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Action:	**For Decision**

SEC Panel Sub-Committee Report

1. Purpose and highlights

This paper provides the Panel with an update on recent activities from the Panel Sub-Committees, including key issues discussed, and details specific points the Sub-Committees would like to bring to the Panel's attention. The Panel is requested to note the updates and endorse the concerns raised by the Sub-Committees.

Highlights for the Panel's attention include:

- The Sub-Committees made their recommendations for SMETS1 Final Operating Capability (FOC) to the SEC Panel, which were approved at its ad-hoc meeting on Tuesday 23 February.
- The TABASC agreed that the fourth iteration of the Effectiveness Review Survey should be issued during March 2021, with a fifth iteration to be sent in October 2021 to ascertain whether the metrics implemented in April and May have improved performance.
- The DCC reported to the OPSG that CSP N had achieved 96 days of stable service, although the SEC service level for OTA firmware delivery is still not being achieved. The DCC presented their tactical plan for improving performance, comprising 6 Service Improvement Plans to be implemented in the coming months. DCC also noted that a longer-term strategic plan for CSPN improvements is currently in preparation and is expected to be presented in April.
- The SSC Chair presented proposed updates to the Security Controls Framework (SCF) and Agreed Interpretations (AIs) to reflect earlier SSC decisions. The SSC provided feedback and subsequently approved the amendments presented, and the SCF v2.3 was published to the SEC website by SECAS.
- The SMDA Board is now meeting as the SMDA Sub Committee (SMDASC), for items relevant to the SEC. The SMDA Board is still meeting separately for items related to SMDA Co Ltd. The SMDASC met twice in February.

2. Technical Operations

2.1 TABASC Highlights

The TABASC met once in the last month. The meeting covered the following topics:

DCC Contract Change Requirements Register

SECAS presented the compiled list of DCC Contract Change Requirements Register, after having been to other Sub-Committees for input. The TABASC requested two changes to be made before the register can be sent to the DCC.

Effectiveness Review Survey

The TABASC agreed that the fourth iteration of the Effectiveness Review Survey should be issued during March 2021, with a fifth iteration to be sent in October 2021 to ascertain whether the metrics implemented in April and May have improved performance. The TABASC agreed that the survey questions will remain the same as when the survey was previously issued in September 2019.

Data Service Provider (DSP) Outcomes and Drivers

The DCC presented the TABASC with an update on the Data Service Provider (DSP) outcomes and drivers, whereby the TABASC requested that a lower level of detail is brought to the TABASC 64 meeting to enable the TABASC to provide more beneficial input on the outcomes and drivers.

DSP Contract Extension

The DCC provided the TABASC with an update on its DSP contract extension and noted the feedback from TABASC Members on the long-term plan.

Invitation to Tender (ITT) Progress for the Communication Hub and Network Project

The DCC provided the TABASC with an update on its Invitation to Tender (ITT) progress for the Communication Hub and Network project. The TABASC provided robust feedback to DCC on the delayed delivery of the MVP where DCC indicated that Users will be able to respond to DCC's LC13B plan consultation.

Lessons Learned – Network Evolution Project

The DCC presented its lessons learned as a result of the Network Evolution Project. The TABASC put forward further lessons learned for the DCC to take into account for future projects, including DSP Re-procurement.

2.2 TAG Highlights

The TAG met 3 times during the last month to discuss the following topics:

SMETS1 FOC Primary Release Migration Test Completion Report

The TAG considered the SMETS1 Final Operating Capability (FOC) Primary Release Migration Testing (MT) Completion Report for decision, noting that in Version 2.2 of the MT Completion Report it was reported that the DCC deviated from the requirements set out in the Depth and Breadth (D&B) document. However, in Version 4.0 of the Test Completion Report the DCC reported that the affected tests had now completed successfully, and therefore the deviation from the D&B document was no longer valid. The TAG agreed the completion of SMETS1 FOC Primary Release Migration Testing.

SMETS1 FOC Primary Release SIT Completion Report

The TAG reviewed and discussed the SMETS1 FOC Primary Release SIT Completion Report for decision. The DCC presented the FOC SIT Test Completion Criteria. The TAG initially deferred its

considerations until the OPSG agreed the severity of Testing Issue 201175, which had an operational impact on Users and the potential to prevent Pre-Payment consumers from successfully topping up under some circumstances. Prior to the OPSG assessing Testing Issue 201175, the DCC proposed a fix for the associated defect which removes the impacts on Users and consumers. The TAG subsequently agreed the severity rating on that basis and the OPSG confirmed that Users will be able to manage the impacts of the defect until the fix is implemented. The TAG agreed completion of SMETS1 FOC Primary Release System Integration Testing.

SMETS1 FOC Live Services Criteria Decision

The TAG discussed the Live Services Criteria and Residual risks for FOC. The DCC presented its assessment of the impacts on testing already conducted internally and the TAG unanimously agreed that LSC 4 (Regression Testing) had been completed successfully for SMETS1 and SMETS2 Live Systems and should have a RAG status of Green. The TAG also agreed a Green RAG status for LSC 5 (Functional System Testing) once the issues relating to Testing Issue 201175 had been resolved.

The TAG considered Residual Risk 11 (Reliability of Testing), which was raised in response to several high-severity Testing Issues being identified during User testing. The TAG assessed the additional work undertaken by the DCC to quantify the level risk and to ensure that effective mitigations were in place. The TAG accepted that the likelihood of any increase in the risk that high severity defects would be uplifted into the production environment was no greater than would normally be the case.

The TAG agreed that the changes to DCC Systems have been satisfactorily tested and are ready to be deployed into the production environment.

SMETS1 FOC Uplift 2.0 Test Approach Document

The TAG had initially conditionally approved the FOC Uplift 2.0 Testing Approach Document (TAD), pending the DCC's confirmation of the inclusion of rollback testing in the scope of SMETS1 FOC Uplift 2.0 testing. The DCC subsequently added this requirement to the TAD.

The TAG also requested that the DCC review the Maintenance regression scope against proposed IOC and MOC fixes to validate that the scope for SMETS1 FOC Uplift 2.0 remains valid. The DCC confirmed that because the testing was being done in the SIT B environment, the discussion regarding the Maintenance regression testing had changed and that the DCC would hold the decision not to undertake additional IOC Secure or MDS regression testing.

The TAG approved the updated SMETS1 FOC Uplift 2.0 Test Approach Document.

SMETS1 FOC Uplift 2.1 Test Approach Document Update

The TAG conditionally approved the updated SMETS1 FOC Uplift 2.1 Test Approach Document, with the condition being that the DCC confirms whether the S1SP will be able to test the disabling of Push Profile Reads; and that the TAG agrees that the DCC's response would not materially impact the testing agreed. This action currently remains outstanding.

Switching SIT Test Completion Report

The DCC provided an overview of the Smart impacting aspects of SIT for Ofgem's Faster Switching programme and the TAG was asked to make a decision regarding test completion. The TAG agreed that all the SIT exit criteria had been met.

Release 2.0 Fylingdales DITAD

The DCC outlined the timeframes for the Release 2.0 Fylingdales DITAD, noting that testing was underway, that SIT would be commencing in March 2021 and that the completion report would be

presented to the TAG for its consideration in May 2021. The TAG approved the Release 2.0 Fylingdales DITAD.

2.3 Operations Group Highlights

FOC Readiness

The OPSG reviewed readiness for FOC Go-live and supported the DCC submission that the central services were ready for live operation. The OPSG was unable to support the addition of EPCL entries since the investigation of a possible defect was still continuing.

CSP N Performance & Reporting

The DCC reported that CSP N had achieved 96 days of stable service, although the SEC service level for OTA firmware delivery is still not being achieved.

The DCC presented their tactical plan for improving performance, comprising 6 Service Improvement Plans to be implemented in the coming months. DCC also noted that a longer-term strategic plan for CSPN improvements is currently in preparation and is expected to be presented in April.

The OPSG endorsed DCC's approach to the execution of the SIPs, noting the indicative timing and extent of expected improvements outlined by the DCC. The OPSG requested that the Strategic Plan contain options and proposals to address any shortfalls in the outcomes of the SIPs.

CH Reporting

The OPSG were requested by the Panel to monitor issues relating to MP139 'MVP and IVP dates for CHTS', to ensure that Communication Hubs (CHs) are installed and the firmware is upgraded in a timely fashion without any compatibility issues.

As a first step, the OPSG reviewed information summarising the numbers of CHs variants and firmware versions in the Production environment and remaining in stock. The next steps will be to develop the reporting to include any problem statements and remediation plans relating to installing and upgrading CHs.

The OPSG questioned the effectiveness of some aspects of the CH returns process, particularly where defects have been identified with devices. The OPSG were also concerned with the costs of upgrading CHs to the latest versions.

Spurious Alerts

The OPSG noted that in general, the extent of this issue continues to be satisfactorily managed. One large set of 8F3E alerts appeared concurrently with the deployment of R2.0 CH firmware in CSPN: DCC believe the root cause of this is a particular manufacturing batch of one ESME.

Reductions of other 8F3E alerts in all regions is expected from Q2 2021 following the introduction of stack upgrades to ESMEs.

Additional Maintenance Outages

The DCC reported that the demand for maintenance outages continues to increase due to Programme deliverables such as the SMETS1 cohorts, an overall increase in Service Providers, the requirements for patching, and refreshing infrastructure due to end of life of components.

The DCC has put together a task force to explore opportunities to reduce the amount of requested outage time. The DCC will provide an update on the progress of the task force at the upcoming OPSG with the aim of minimising outages in the second half of 2021. The OPSG asked DCC to provide an indicative forecast of the expected level of outages.

Adverse Weather

The DCC reported on the trial of the process to defer Planned Maintenance at short notice in the event of Adverse Weather. The DCC has so far rescheduled two high priority maintenance windows following Amber weather warnings. The OPSG agreed to support the extension of the trial for six months, to finalise the process and to assess its benefits and costs.

MP122A 'Operational Metrics' – Readiness review

Live Service Criteria (DCC/SECAS)

The OPSG reviewed the Live Service Criteria and component readiness of the DCC's Technical Operations Centre (TOC) for implementation of the new reporting from April.

The OPSG accepted the DCC's statement of readiness of the Technical Operating Centre (TOC) to support MP122A 'Operational Metrics' (included in the February 2021 SEC Release).

OPSG Readiness Review

SECAS reported that following the implementation of MP122A a new Performance Measurement Report (PMR) will be created based on the new metrics. The OPSG noted that the Performance Measurement Methodology (PMM) will need to be completed promptly and before the new arrangements come into operation.

The OPSG noted the intention to execute a full end to end trial of the new processes, including the TOC, other parts of DCC, SECAS and the OPSG, and emphasised the importance of this dry run.

Service Stability Update

SMETS2

The OPSG noted that there had been no Major Incidents in January 2021; however, there have since been two Major Incidents in February: one Category 1 Incident impacting installations in CSP N (due to a problem in the DSP) and one Category 2 Incident impacting a single DNO.

SMETS1

The DCC reported that it has achieved 124 days of stable service. The DCC noted that it continues to work with the DCO on the database architecture and performance as part of its remediations plans.

Service Performance

The OPSG noted that one Code Performance Measures (CPM) was below Target Service Level in the December PMR.

Code Performance Measure 1

CPM1 '*Percentage of On-Demand Service Responses delivered within the applicable Target Resolution Time*' was below Target Service Level at 94.65% (previously 94.57%). CPM1 has been below Target Service Level for the last 17 months.

It was impacted by the failure to achieve the SEC standards for Service Provider Performance Measure (PM) 2 '*Percentage of Category 1 Firmware Payloads completed within the relevant TRT'.* This was below Minimum Service Level in CSP N. The OPSG continue to review the results of the DCC's remediation plans for CSP N performance (please see CSP N Performance & Reporting).

CSP South was also below Target Service Level for PM2 but above Target Service Level. The DCC noted that an issue was identified when scheduling meter OTAs via mesh CHs. A workaround has been deployed with an enduring solution to be developed. The DCC confirmed that there is no underlying infrastructure issue and that performance in January will be above Target.

The CPM was further impacted by the failure of Service Provider PM1.1 *'Percentage S1SP Countersigned Service Request Times within relevant Target Response Time'.* This was below Minimum Service Level for Secure at 95.19% (previously 99.97%). The DCC confirmed that a capacity issue has been identified following large volume migration days; improvements have been made and January performance is above Target.

3. Security Sub-Committee and SMKI PMA

3.1 Assurance and Compliance Status Decisions

The SSC set the compliance status for one Full User Security Assessment (FUSA) and one Security Self-Assessment (SSA) in February 2021. Details can be found in the confidential Appendix A.

3.2 Director's Letters

The SSC reviewed five Director's Letters following a second or subsequent FUSA, three Director's Letters following a VUSA, and three Director's Letters following a SSA in February 2021.

3.3 SSC Highlights

SCF Updates

The SSC Chair presented proposed updates to the Security Controls Framework (SCF) and Agreed Interpretations (AIs) to reflect earlier SSC decisions. The SSC provided feedback and subsequently approved the amendments presented, and the SCF v2.3 was published to the SEC website by SECAS.

CPA Industry Days

The SSC Chair presented proposals based upon feedback received at the CPA Industry Days that took place throughout November 2020, and the SSC provided input on the outstanding actions. SECAS circulated an update to CPA Industry Day attendees and SSC members on 1 March 2021.

SMETS1 Update

The SSC noted DCC updates regarding the different aspects of SMETS1 enrolment, including the Final Operating Capability (FOC) Live Service Criteria (LSC) and provided a recommendation to the SEC Panel for LSC#10. The SSC also noted DCC updates on FOC Anomaly Detection Attribute (ADA) Monitoring, FOC CHECK Assurance and CIO Report, Initial Operating Capability (IOC)/Middle Operating Capability (MOC) MDS remediations; the Active and Monthly Dormant Migration Process, Eligible Product Combinations List (EPCL) reports, CIO report updates, Home Area Network (HAN) Control Assurance, and MOC Secure remediations.

SMETS1 HAN Assurance Report

The DCC and NCC Group provided an update on the SMETS1 Device Testing Report undertaken to meet the DCC SEC obligations in SEC Appendix AL, Section 17 and the SSC provided feedback and agreed a number of actions for the DCC and SECAS to consider.

CPA Monitoring

The SSC was presented with an update on the early expiry of Commercial Product Assurance (CPA) Certificates, and the latest CPA Remediation Plans. The SSC also noted the latest Prepayment Meters (PPM) Report and a new report from the DCC on Devices in "pending" mode in the Smart Metering Inventory (SMI).

TSP Re-Procurement

The DCC presented an update on Trusted Service Provider (TSP) Re-Procurement and agreed to return with further updates on associated risks.

SOC2 Report

The DCC presented an update on the SOC2 Report and the SSC provided feedback.

DCC Update on Quantum Computing

The DCC presented the DCC update on potential impacts to the DCC Total System arising from Quantum Computing and noted queries by the SSC.

MP078 Risk Assessment

The DCC presented the risk assessment for MP078 'Incorporation of multiple Issue Resolution Proposals into the SEC - Part 2' and the SSC agreed that the security risks should not prevent the progression of the SEC Modification.

CSP North Performance

The DCC presented an update on Communications Service Provider (CSP) North performance and noted feedback by the SSC on associated security concerns about urgent security firmware updates.

Network Evolution – DSP Re-Procurement

The DCC presented an update on Network Evolution – Data Service Provider (DSP) Re-Procurement and noted feedback from the SSC on security requirements.

Notification of a Second User System

SECAS provided the SSC with an update on a notification of a second User System from a DCC User and the SSC considered the proposed architecture and associated risks.

CSS Risk Treatment Plan

The DCC presented the DCC's Central Switching Service (CSS) Risk Treatment Plan (RTP) and noted feedback by the SSC.

Post-Commissioning Report

The DCC presented the Post-Commissioning Report for January 2021 and advised of future improvements to the Post-Commissioning Report.

Anomaly Detection Report

The DCC presented the latest Anomaly Detection Report and noted suggestions by the SSC regarding reporting.

MP104 'Security Improvements'

SECAS presented an update on MP104 'Security Improvements' and noted suggestions by the SSC.

Quarterly Standards Review

The SECAS Security Expert presented the latest Quarterly Standards Review and the SSC noted that there were no major changes. SECAS subsequently published the latest standards to the SEC website.

3.4 SMKI PMA Highlights

SMETS1 FOC S1SPKI Certificate Policy

The DCC presented the FOC S1SPKI Certificate Policy following DCC consultation and SMKI PMA approved the document for designation into the SEC in time for FOC go-live.

SMETS1 FOC S1SPKI Certification Practice Statement

The DCC provided the SMKI PMA with an update on the SMETS1 FOC S1SPKI Certification Practice Statement as required by SEC Section L14. The SMKI PMA noted that a subsequent version will come back to the SMKI PMA in March for discussion and approval as appropriate.

FOC t-Scheme Outcome

The DCC provided the SMKI PMA with the outcome of the most recent t-Scheme audit undertaken by the DCC as required by SEC Appendix AO, and Members advised on the required follow-up actions. The SMKI PMA set the Assurance Status to 'approved subject to caveats' with supporting reasons and published this to Parties as required by SEC Appendix AO.

SMKI t-Scheme Findings

The DCC provided the SMKI PMA with the outcome of the SMKI t-Scheme audit as required by SEC Appendix C, and Members advised on the required follow-up actions, noting that the updated remediation plan will be provided to the SMKI PMA at the March meeting where the majority of outstanding non compliances should be completed. The SMKI PMA set the Assurance Status to 'approved subject to caveats' with supporting reasons and published this to Parties as required by SEC Appendix C.

SMKI Recovery Testing Outcome

The SMKI PMA noted the updates on the outstanding defects from Phase 2 of SMKI Recovery testing and the suggested items and timeline for 2021 SMKI Recovery testing.

Supplier of Last Resort (SoLR)

Following a SEC Panel discussion, the SMKI PMA Chair proposed changes to the governance procedures in a SoLR event, in order to keep Prepayment Energy Consumers safe. The SMKI PMA considered and approved the proposed arrangements, pending agreement with the Authority.

TSP Re-Procurement

The DCC presented an update on Trusted Service Provider (TSP) Re-Procurement and the SMKI PMA provided feedback. The DCC will consider if any SEC changes are required for a change in the technical solution to bring back to a future SMKI PMA meeting.

SMKI Key Recovery Guidance Approval

The SMKI PMA approved the proposed updates to the SMKI Key Recovery Guidance and the SMKI Confidential Key Recovery Guidance to clarify that consideration must be given to Prepayment Energy Consumers when revoking SMKI Certificates.

SMKI PMA Terms of Reference Review

SECAS provided the SMKI PMA with the proposed updates to its Terms of Reference (ToR). The SMKI PMA agreed to review the proposals offline and provide any comments by Tuesday 23 February 2021. No comments were received, and the updated ToR have been sent for Panel approval.

SMETS1 Symmetric Keys

The DCC provided an update on SMETS1 Symmetric Keys and a meeting will take place before the next SMKI PMA meeting to discuss the scope of the associated risk assessment in further detail.

3.5 SMDA Sub Committee

The SMDA Board is now meeting as the SMDA Sub Committee (SMDASC), for items relevant to the SEC. The SMDA Board is still meeting separately for items related to SMDA Co Ltd. The SMDASC met twice in February.

Following notification from NMi that it no longer wishes to provide the Test House facilities after the 31 March, an exit management plan is in review and a procurement plan has commenced.

The next SMDA Management Panel Sub- group meeting is scheduled for 4 March 2021. The Management Panel Sub-Group Terms of Reference have been reviewed by SECAS and issued to the Management Panel for comment. Once comments have been received these will be taken to the SMDASC for approval.

Initial communications have been issued to all relevant parties, informing them of the transition to SEC and the decision of the current Test House to not continue SMDA Testing Services beyond 31 March 2021.

4. Recommendations

The Panel is requested to

- **NOTE** the contents of this paper; and
- **ENDORSE** the concerns raised by the Sub-Committees.

Cecily Bain

SECAS Team

5 March 2021

Attachments:

- **Appendix A:** User Security Assessments – Identified Non-Compliances (**RED**)