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Paper Reference:	**SECP_91_1604_24**
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 DCC provided the TABASC with an update on its Network Evolution DSP Gateways and Wide Area Network (WAN) Matrix Requests. The TABASC requested members take away the options presented by the DCC and discuss these internally before returning to TABASC65 with a view on which option should be progressed for TABASC decision.
- Radio Frequency (RF) Noise – The DCC reported to the OPSG that, although at low volumes, the number of non-compliant noisy devices being installed is increasing. The DCC are working with Suppliers to validate the data and then agree remediation plans.
- 'Other User' Issue resolution – The OPSG raised concerns that the issues identified with the Other User functionality on SRV4.8.1 had not been identified in previous User, Device and System testing. The OPSG noted that it was important to understand how this had occurred and how to address any gaps.
- Transition activities to fully integrate SMDA into the SEC are underway, in collaboration with the SMDA Co Board. This is mainly the transfer of assets to SECCo Ltd, including the website, trademark, assurance processes, the Device Assurance Register (DAR) and scheme contacts. A review of the scope of the scheme will also commence shortly.

2. Technical Operations

2.1 TABASC Highlights

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

Risk Register and Issues Log:

The TABASC noted the proposed updates to the Risk Register and Issues Log and requested that the three Risks proposed for closure are marked as complete and reviewed annually to ensure that each risk remains mitigated.

MP102B 'Power Outage Alerts triggered by an OTA firmware upgrade – enduring solution' Proposed Solution

SECAS presented the proposed solution for MP102B 'Power Outage Alerts triggered by an OTA firmware upgrade – enduring solution'. This modification will progress to Preliminary Assessment, but the TABASC requested sight of the business case prior to the modification progressing to Impact Assessment.

DSP Intro to High Level Requirements and Investment Objectives

The DCC presented the TABASC with the high-level requirements and investment objectives which are key to the procurement of the new Data Service Provider (DSP), noting that the list of defined high-level requirements will be presented to the TABASC in 4-8 weeks.

CSP North Communication Hub and Firmware Download Issues

The DCC provided the TABASC with an update on CSP North Communication Hubs and Firmware Download Issues; the DCC will return to the TABASC in May to provide an update to the action raised.

Network Evolution DSP Gateways and WAN Matrix Requests

The DCC provided the TABASC with an update on its Network Evolution DSP Gateways and Wide Area Network (WAN) Matrix Requests. The TABASC requested members take away the options presented by the DCC and discuss these internally before returning to TABASC65 with a view on which option should be progressed for TABASC decision.

2.2 TAG Highlights

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

SMETS1 FOC Primary Release Lessons Learned

The TAG reviewed the SMETS1 FOC Primary Release Lessons Learned as presented by the DCC for discussion. The TAG noted that the update would be the first of three engagement sessions to discuss the DCC's 'Shift Left' Strategy to focus on identifying potential issues earlier in the design, build and test lifecycle.

Key to DCC's 'Shift Left' strategy is to ensure that Pre-Integration Testing (PIT) is carried out consistently across all Service Providers to allow Systems Integration to proceed more smoothly, and to avoid defects being identified during later Test Phases, increasing implementation risk.

The initial discussion covered the DCC's handling of the PIT and Systems Integration Testing (SIT), along with ways in which the DCC is planning to implement the proposed changes. A further update will be provided at the next TAG meeting, scheduled for 28 April 2021.

November 2021 Testing Approach Document (TAD)

The TAG reviewed the DCC's proposal to undertake some parallel testing of PIT and SIT for some of the CSP North reporting aspects of the November 2021 SEC Release. The TAG was satisfied that all the risks this introduces have been identified and mitigated. The TAG agreed a deviation from the Testing Approach Document to support the proposed approach.

SMETS1 Testing Update

The DCC provided an update on the FOC Uplift 2.0 which had gone live on the 30 March 2021 with no issues being reported. It was noted that SIT had commenced for Uplift 2.1 and that test completion was expected on 10 June 2021, which is likely to go for approval at the 30 June 2021 TAG meeting.

The TAG discussed the Uplift 2.2 Update and the DCC noted that PIT would be scheduled for 28 June 2021.

SMETS1 FOC Uplift 2.0 SIT Test Completion Report

The TAG considered the SMETS1 FOC Uplift 2.0 SIT Test Completion Report for decision and agreed the slight variation from the agreed approach to testing. The TAG discussed each status of the Open Testing Issues and agreed the Severity ratings for each one. The TAG approved test completion for Uplift 2.0

SMETS1 FOC Uplift 2.1 Test Approach Document

The TAG approved the SMETS 1 updated SMETS1 FOC Uplift 2.1 Test Approach Document.

2.3 Operations Group Highlights

CSP N Performance & Reporting

The DCC reported that the Performance Measure 2 '*Percentage of Category 1 Firmware Payloads completed within the relevant TRT'* Minimum Service Level had not been achieved in February and acknowledged that performance has been on a downward trend since December 2020. The DCC provided an update on the implementation of the six Service Improvement Proposals (SIPs).

The DCC presented a plan and schedule for achieving the SEC requirement for PM2 by, in the best case, December 2021. The DCC noted that performance achieved by the end of Q2 2021 would be a good indicator of whether this plan was on track.

The OPSG were concerned that this plan may not be achieved and raised the question of when alternatives would be reviewed.

Radio Frequency (RF) Noise

The DCC reported good progress in working with Suppliers to quantify existing stocks of derogation compliant meters that can be installed in the acceptable locations by March 2022.

The DCC reported that non-compliant installations continued to be made, although at low volumes but at an increasing rate. The OPSG noted the need to protect the integrity of the network and asked that the DCC continue to work with Suppliers to identify the reasons for these non-compliant installations and report back.

The DCC noted it had issued a 90 days' notice period for Users to remove and replace the non-compliant noisy meters from the network. The OPSG were concerned whether this would be practical due to, for example, the COVID-19 restrictions. The OPSG asked that the DCC agree remediation plans with Suppliers, reflecting what could practically be achieved given Suppliers' reasonable efforts.

The DCC, working with SECAS, will summarise the timetable for formulating these remediation plans, circulate to OPSG members and seek agreement to the timetable within 10 days. The OPSG requested that the DCC then work with Users on the remediation plans over the subsequent 90 days.

'Other Users' – Issue Resolution

The DCC reported on the outcome of testing of SRV4.8.1 for 'Other Users' DCC User Role. The DCC noted that it will be presenting the results at the Other User Common Issues Forum.

The DCC noted that the issues are more prevalent in older firmware versions of meters in Production and have been engaging with both Suppliers and Other Users to confirm root causes, test fixes and support the deployment of the latest firmware across four Meter Manufacturers (MM). The DCC stated that one MM has accepted a defect and are coordinating firmware fixes with the DCC and Suppliers for testing and deployment.

The OPSG questioned how these issues were not identified in previous testing, noting that the causes for this needed to be understood and addressed.

Service Stability Update

The OPSG noted that there had been one Category 1 Incident and three Category 2 Incidents in March. The Category 1 Incident occurred on 23 March resulting in 100% of SMETS1 service requests to fail.

SMETS1

The DCC reported that up until the recent DCO Incident on 23 March, it had achieved 148 days of stable service. The DCC noted that the DCO remediation plan has been completed.

The DCC plan to implement a 'Hot Standby' plan by 11 May to ensure continued resilience of the service.

Self Service Interface (SSI) Change Governance

The OPSG supported the proposal that Self Service Interface (SSI) changes arising as a result of a Modification be considered as part of the Modification process rather than separately by the OPSG.

The OPSG asked that SECAS draft a paper to the Panel requesting that this approach be adopted for Modifications currently in progress, whilst an enduring change to governance is being implemented.

Service Performance

The OPSG noted that two Code Performance Measures (CPM) were below Target Service Level in the January 2021 Performance Measurement Report (PMR).

CPM1 '*Percentage of On-Demand Service Responses delivered within the applicable Target Resolution Time*' was below Target Service Level at 94.58% (previously 94.65%). This shortfall was principally due to the failure to achieve the performance standard for OTA Firmware Downloads (Metric PM2) in CSPN.

CPM5 *'Percentage of Incidents which the DCC is responsible for resolving and which fall within Incident Category 3, 4 or 5 that are resolved in accordance with the Incident Management Policy within the Target Resolution Time'* was below Target Service Level at 89.59% (previously 91.14%).

Further details and commentary can be found in the SEC Panel DCC Reporting paper (SECP_91_1604_25 – DCC Reporting).

3. Security Sub-Committee and SMKI PMA

3.1 Assurance and Compliance Status Decisions

The SSC set the compliance status for five Full User Security Assessments (FUSA), one Verification User Security Assessment (VUSA) and one Follow-Up Security Self-Assessment (FSA) in March 2021. Details can be found in the confidential Appendix A.

3.2 Director's Letters

The SSC reviewed one Director's Letter following an initial FUSA, and one Director's Letter following a VUSA in March 2021.

3.3 SSC Highlights

CPA Monitoring

The SSC was presented with an update on the early expiry of Commercial Product Assurance (CPA) Certificates and noted the latest Prepayment Meters (PPM) Report.

CPA Industry Days

The SSC Chair presented an update on 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.

Quarterly Risk Register Review

SECAS presented the latest SSC Risk Register Review and the SSC provided feedback on mitigation controls for recorded risks.

SMETS1 Update

SSC noted DCC updates regarding the different aspects of SMETS1 enrolment including the Final Operating Capability (FOC) CHECK Assurance and CIO Report; Initial Operating Capability (IOC)/Middle Operating Capability (MOC) Morrison Data Services (MDS) remediations; active and monthly dormant Migration process; CIO report updates; MOC Secure remediations; the FOC Communications Service Provider (CSP) Access Point Name (APN) uplift and the SMETS1 Symmetric Key Risk Assessment.

Alt HAN Update

Alt HAN Co presented the latest update on Alt HAN and the SSC provided feedback on security.

Anomaly Detection Thresholds

The DCC presented proposals for Anomaly Detection Thresholds (ADTs) and noted guidance and recommendations from the SSC.

Anomaly Detection – CR4058 Pre-Payment Design

The DCC presented proposals for the Change Request (CR) 4058 “Pre-Payment Design” and noted feedback from the SSC.

SMETS1 HAN Assurance Report

The DCC provided an update on the SMETS1 Device Security Testing Report as required by SEC Appendix AL, Section 17.

ADT Changes due to ECoS

The DCC presented proposals for ADT changes due to Enduring Change of Supplier (ECoS) and the SSC agreed that there were no objections to the proposals from a security perspective.

DCC Assessment of Huawei Products

The SSC noted an update on the DCC’s security assessment on the use of Huawei products.

Post-Commissioning Report

The DCC presented the latest Post-Commissioning Report and noted feedback from Members.

MP113 ‘Unintended Data Disclosure when using SR8.2’

SECAS presented an update regarding MP113 ‘Unintended Data Disclosure when using SR8’ and noted advice from the SSC.

SEC Section G Changes for ECoS

BEIS presented an update on proposed SEC Section G changes required for Enduring Change of Supplier (ECoS).

Q1 Work Package 2021-22

SECAS presented the SSC Quarterly Work Package for Q1 2021-22 (April – June) and the SSC recommended the Work Package to the SECCo Board for approval.

3.4 SMKI PMA Highlights

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.

SMKI t-Scheme Findings

The DCC provided the SMKI PMA with an update on the follow-up actions following the outcome of the SMKI t-Scheme audit as required by SEC Appendix C, and Members provided feedback.

FOC t-Scheme Outcome

The DCC provided the SMKI PMA with an update on the follow-up actions from the most recent t-Scheme audit undertaken by the DCC as required by SEC Appendix AO, and Members noted all actions have been completed by the DCC.

TSP Re-Procurement

The SMKI PMA noted the update on the latest position of the re-procurement of the Trusted Service Provider (TSP) and the associated SEC changes.

Key Custodians

The DCC provided the SMKI PMA with two process maps of appointing Key Custodians and noted that details on the full process for Key Custodians will be provided at the April SMKI PMA meeting.

SMKI Recovery Testing & Future Testing Scenarios

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

Supplier of Last Resort

The SMKI PMA noted an update on Supplier of Last Resort (SoLR) and the proposed arrangements to keep Energy Consumers safe in a SoLR event.

Q1 2021 Work Package

The SMKI PMA noted the Work Package for Q1 (April - June) and the SMKI PMA recommended the Work Package to the SECCo Board for approval.

SMETS1 Symmetric Keys

The DCC provided an update on SMETS1 Symmetric Keys and agreed to provide a Certificate Policy Document at the April SMKI PMA meeting.

4. SMDA Sub Committee

An interim agreement was successfully put in place between Gemserv and Critical Software Technology from 1 April 2021. This will ensure continuity of testing services for manufacturers with Devices already in test and for new Devices. A review of the fees will now be undertaken, in light of this new contract and the new funding structure.

The SMDA Sub Committee approved the Terms of Reference for the SMDA Management Panel Sub-Group (MPSG).

Transition activities to fully integrate SMDA into the SEC are underway, in collaboration with the SMDA Co Board. This is mainly the transfer of assets to SECCo Ltd, including the website, trademark, assurance processes, the Device Assurance Register (DAR) and scheme contacts. A review of the scope of the scheme will also commence shortly.

5. 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

9 April 2021

Attachments:

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