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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 SMDASC has agreed new testing fees based on the new Test House and SEC funding, with different prices for SEC Parties and non-SEC Parties. The new test fees are substantially reduced and are due to be published in June.
- BCDR 2021: The DCC has informed the OPSG that the recent Business Continuity Disaster Recovery (BCDR) test on 25 April 2021 for the Data Service Provider (DSP) Failover and subsequent Failback on 9 May 2021 had not been fully successful. The DCC advised the OPSG that given its assessment of costs, risks, and benefits it would not be requiring an immediate retest. The OPSG requested that the next routine test of the DSP be scheduled for Q1 2022.
- CH Reporting: The OPSG noted that the Great Britain Companion Specification (GBCS) version 1.0 is no longer valid and therefore devices operating on this version will need to be upgraded to prevent interoperability issues. The DCC and SECAS will return to a future OPSG with proposals to address the remaining stock and installations operating GBCS version 1.0.
- 4G CH & Network: The OPSG expressed disappointment that despite early identification that a systematic structured approach to considering such additional candidates was required, this had not apparently transpired.
- P375 Project Brief: The TABASC provided views and feedback on the BSCMP375 project brief presented by SECAS. The TABASC requested that SECAS return with the scope expanded to identify a list of business processes it believes will be impacted, as part of the gap analysis.
- Intro to DSP Business Requirements Document: The DCC provided the TABASC with an introduction to the Data Service Provider (DSP) Business Requirements Document. The TABASC requested that a new version of the Business Requirements, including the updates requested by the TABASC, is sent to Members at least one week ahead of the meeting on 17 June, along with a letter explaining what is expected from TABASC Members on this item.

2. Technical Operations

2.1 TABASC Highlights

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

Final Report for Use Cases 1-3 – Strategic Technical Design Project:

SECAS presented the TABASC with the final report for Use Cases 1-3 of the Strategic Technical Design Project, noting the options for Electric Vehicles, Distributed Energy Resource and Internet of Things.

P375 Project Brief:

The TABASC provided views and feedback on the BSCMP375 project brief presented by SECAS. The TABASC requested that SECAS return with the scope expanded to identify a list of business processes it believes will be impacted, as part of the gap analysis.

Intro to DSP Business Requirements Document:

The DCC provided the TABASC with an introduction to the Data Service Provider (DSP) Business Requirements Document. The TABASC requested that a new version of the Business Requirements, including the updates requested by the TABASC, is sent to Members at least one week ahead of the meeting on 17 June, along with a letter explaining what is expected from TABASC Members on this item.

CSP North Scalability Update:

The DCC presented the TABASC with an update on Communication Service Provider (CSP) North Scalability, noting an update on the Over The Air (OTA) enhancement delivery.

2.2 TAG Highlights

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

Network Evolution governance approach

The DCC updated the TAG on its plans for establishing and documenting how testing and its assurance will be undertaken for the Comms Hub & Network Programme (CH&N). The DCC presented the TAG with the following three Options:

1. To continue with the present arrangements, whereby PIT is not addressed by the TAG and PIT remains as an 'un-regulated' Test Phase. This way, neither PIT coverage, nor completion is approved by the TAG and PIT completion reports continue to be made available to the TAG 'for information' post TAB approval.
2. The TAG to expand its role to agree the coverage of all Test Phases, including PIT. The TAG would also agree the Test Approach, and the Test Coverage Documents and PIT completion reports continue to be made available to the TAG 'for information' post TAB approval; or
3. The TAG agrees the coverage and completion of PIT (as per Option 2) with the addition of TAG being required to approve the PIT Completion.

The TAG decided that Option 3 would be preferable and requested the DCC to consider this. BEIS acknowledged the TAG's viewpoint and noted that it would not be appropriate for BEIS to provide its view at this point when it was already involved in the SEC Variation Testing Approach Document (SVTAD) consultation and considerations with the DCC. However, BEIS advised the DCC to be clear when setting out its rationale for whichever option it chooses.

Release 2 Fylingdales DIT Completion

The TAG reviewed the Test Completion Report (TCR) for R2.0 Fylingdales Device Integration Testing (DIT) and the DCC provided a summary of the DIT Test Recommendation Report.

The TAG considered the DIT Exit Criteria, noting that all criteria had been met with 100% test execution and 98% pass rate. The TAG also reviewed the Open and Closed Testing Issues and agreed a suitable Severity Rating for each one in line with the previous considerations of the Test Advisory Board (TAB), and the TAG approved the DIT Test Completion Report for R2.0 Fylingdales DBCH - CSP North.

SMETS1 FOC Uplift 2.2 Test Approach Document

The TAG discussed the SMETS1 FOC Uplift 2.2 Test Approach Document and agreed for TAG members to provide any additional feedback on the TAD to the DCC by 8 June 2021. The TAG agreed that after this date, if no further feedback was provided, the DCC could accept this as the TAG's offline approval of the SMETS1 FOC Uplift 2.2 Test Approach Document which would be finalised and issued at the next TAG meeting (30 June 2021).

SMETS 1 Device Model Combination Test:

The TAG formally agreed the severities of the new Device Model Combination Test (DMCT) Testing Issues (TI), and considered the previously agreed TIs and whether to retain their agreed exclusions and Severity ratings.

The TAG reviewed a Severity 4 issue (TI 201220) 'ESME initial credit assigned on change of mode from Credit to pre-payment may not be correct on emergency credit balance based on the limit'. After further consideration, it was agreed by the TAG that TI 201220 should be raised from a Severity 4 to a Severity 3 due to its impact on Prepayment Customers. This change in severity rating falls within the agreed tolerances and does not affect test completion.

2.3 Operations Group Highlights

The Operations Group met twice in the last month. The meeting covered the following topics:

CSP N Performance & Reporting

The DCC reported that performance against metric PM2 (OTA Firmware Download) remained well short of the SEC requirement but was much improved over March. In comparison with the Service Improvement Plan (SIP) expectations, performance was just under the expected 51% for April 2021. The DCC provided an overview of the early figures for May, and although an Incident (INC000000723639) significantly impacted performance early in the month, the plan target of 57% is still achievable. The OPSG questioned the Category 3 rating of the Incident given the impact on firmware downloads, which the DCC agreed to review. The OPSG noted that the end of Q2 2021 (OPSG_52) would be a suitable point to review the progress against the improvement plan.

Radio Frequency (RF) Noise

The DCC reported that there has been a reduction in the number of non-compliant meters being installed, and that it had received positive engagement from Suppliers. The OPSG noted the progress made, and the efforts of DCC and Users to address this issue.

The DCC presented an update on a Change Request currently in discussion with the CSPs. This would accommodate the network derogation-compliant meters installed before the end of March 2022, until the end of the 2028 CSP contracts.

The OPSG highlighted that the Communication Hub (CH) & Network 4G Programme would need to take account of RF noise technical and management matters and any pre-existing arrangements (such as the Change Request above).

CH Reporting

The OPSG were presented with the current volume of CHs by hardware and firmware version that has been installed or is still in stock at Suppliers/Installers warehouses.

The OPSG noted that the Great Britain Companion Specification (GBCS) version 1.0 is no longer valid and therefore devices operating on this version will need to be upgraded to prevent interoperability issues. The DCC and SECAS will return to the OPSG with proposals to address the remaining stock and installations operating GBCS version 1.0. The OPSG also noted that Communications Hub Technical Specification (CHTS) version 1.0 and GBCS version 1.1 will be coming to end of validity in February 2022 and will therefore also need to be considered.

4G CH & Network

Potential SEC Modifications

The OPSG agreed that consideration of these service improvements should progress further. The OPSG noted that the DCC should provide an initial indication of impact on costs, benefits, and timelines for each of the three.

The OPSG highlighted concerns with the difference between these candidate items and the previous list that had been provided to the OPSG in October 2020 (OPSG_37X), and reiterated its concerns that a full consolidated list of additional candidate requirements needed to be provided. The OPSG expressed disappointment that despite early identification that a systematic structured approach to considering such additional candidates was required, this had not apparently transpired.

The DCC noted that it will review the list of additional candidate requirements and define a process for them to be reviewed.

Transition Questions for Lot 1 Bidders

The OPSG emphasised that at present, the DCC only appears to be considering part of the transition phase: the OPSG emphasised the importance of having an overall picture of the full envisaged transition phase and approach. Without this as a starting point it is very difficult to comment on specific features. The OPSG asked the DCC to set out a fuller view of the transition process (including the governance process and any implications).

The OPSG asked that the Panel (and hence its Sub-Committees) should be explicitly identified for engagement in governance discussions, including those related to Transition.

BCDR Update

ISO 220301 Certification

The OPSG provided initial comments on the DCC's proposal to become certified under the ISO 22301 standard (and also to require this of Service Providers). The OPSG noted DCC's commitment to improving the resilience of its ecosystem, and noted the need for DCC to be compliant with the relevant SEC requirements on ISO and good industry practice. The OPSG requested further information on the costs and benefits of adopting the proposal, but also sought clarity on whether this would ultimately be a decision for the DCC.

DSP Failover

The DCC noted that the recent Business Continuity Disaster Recovery (BCDR) test on 25 April 2021 for the Data Service Provider (DSP) Failover and subsequent Failback on 9 May 2021 had not been fully successful. Whilst there was a process failure post Disaster Recovery (DR), the DCC indicated that the core elements of the exercise were successful.

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The DCC advised the OPSG that, given its assessment of costs, risks, and benefits, it would not be requiring an immediate retest. The OPSG noted that the DSP had not had a successful DR test in the past two years and requested that the next routine test of the DSP be scheduled for Q1 2022.

New Connections

A Large Supplier member noted that it has experienced difficulties with aspects of the new connections installation process and using the SMWAN Coverage Database to confirm the relevant WAN/HAN Communications Hub required.

The DCC provided an initial overview of the process that Suppliers and Installers will need to consider but noted that it will publish further guidance. The OPSG noted that this issue should be considered as a candidate for the OPSG Issues Log.

Introduction to Performance Indicator Reports

SECAS and the DCC presented a first look at the new reporting metrics for [MP122A 'Operational Metrics'](#) and outlined proposals on how the OPSG would use them. The formal PMR reviewed monthly by the OPSG will remain unchanged for the present.

New performance indicator reports will be available to show business process performance globally and to support investigation of specific topics (CPM6A). SECAS noted that CPM6A will be an important performance indicator, helping drive improvements for DCC services and infrastructure, Devices, and end to end performance. An identified subset of the available performance indicator reports will be routinely reviewed alongside the PMR at future meetings. Further, the reports will be reviewed, as prompted, alongside specific operational issues that may arise each month. The OPSG agreed that the use of the new reporting capability would be likely to evolve over the coming months.

Service Performance

The OPSG noted that one Code Performance Measure (CPM) was below Target Service Level in the March 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 92.75% (previously 93.95%). This shortfall was principally due to the failure to achieve the performance standard for OTA Firmware Downloads (Metric PM2) in CSPN. This constitutes a continuation of the performance shortfall on PM2, which has been below the Minimum Service level for the previous 19 months (and below Target Service Level for the previous 25 months).

Further details and commentary can be found in the SEC Panel DCC Reporting paper (SECP_93_1806_25 – DCC Reporting).

3. Security Sub-Committee and SMKI PMA

3.1 Assurance and Compliance Status Decisions

The SSC set the compliance status for six Full User Security Assessments (FUSAs), one Verification User Security Assessment (VUSA) and two Security Self-Assessments (SSAs) in May 2021. Details can be found in the confidential Appendix A.

3.2 Director's Letters

The SSC reviewed one Director's Letter following a FUSA, one Director's Letter following a VUSA and one Director's Letter following an SSA in April 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 Supplier issues updating to compliant Firmware Versions. The SSC confirmed that Suppliers will be notified that a specific firmware version will be removed from the CPL with three months' notice.

CPA Industry Days

The SSC Chair presented an update on a response from NCSC explaining their concerns about a Use Case for Device Triage and the outcome of a meeting with NCSC on Tuesday 25 May 2021. The SSC noted the update and agreed that the NCSC concerns and questions about the Factory Reset Use Case should be shared with attendees of the CPA Industry Days. These were circulated to industry on 27 May 2021 with comments requested by 26 June 2021.

Second User System Notifications

The SSC approved the use of a second User System after it was satisfied that it had no security concerns. The SSC also noted concerns regarding another User's second User System and agreed that further investigation is required.

SCF Updates

The User CIO Representative presented proposed updates to the Security Controls Framework (SCF) and the SSC considered further updates to the SCF to be brought back to SSC for approval in June.

Anomaly Detection Report

The DCC presented the latest Anomaly Detection Report and the SSC provided feedback to the DCC.

Digital Signatures and IKI File Signing

The SSC Chair and the TABASC Chair presented a proposed Draft Problem Statement regarding Digital Signatures and Infrastructure Key Infrastructure (IKI) File Signing, and the SSC agreed to submit the proposed Draft Problem Statement to the SEC Panel.

SMETS1 Update

The SSC noted DCC updates regarding the different aspects of SMETS1 enrolment including Initial Operating Capability (IOC)/Middle Operating Capability (MOC) Morrison Data Services (MDS) remediations; active and monthly dormant Migration process; CIO report updates; and Device Model Combination Testing (DMCT) Tranches for approval.

Post-Commissioning Report

The SSC noted the latest Post-Commissioning Report for April 2021 and provided feedback on the Post-Commissioning Report for the DCC.

SOC2 Update

The DCC presented the latest update on the SOC2 2020 Report, and the SSC noted the update.

CSS Anomaly Detection Proposals

The DCC presented its proposals for Anomaly Detection regarding the Central Switching Service (CSS) and the SSC provided recommendations to the DCC.

Network Evolution – DSP Programme – Study 2 Outputs

The DCC presented an update regarding the study 2 report for the Network Evolution – Data Service Provider (DSP) Programme and the SSC provided feedback to the DCC.

BEIS Smart Meter Cyber Incident Exercise – Lessons

BEIS and Contextis presented the lessons learned from the BEIS Smart Meter Cyber Incident Exercise which took place on 16 – 17 March 2021, and the SSC provided input to the feedback and proposals provided.

MP125 ‘Correcting Device Information ESME Variant, Device Model and Device Manufacturer’
SECAS presented an update on the business requirements for [MP125 ‘Correcting Device Information ESME Variant, Device Model and Device Manufacturer’](#) and queried whether the SSC would seek a risk assessment to be conducted after the Refinement Consultation or if the SSC would like the risk assessment to be started earlier. SSC Members provided feedback on potential issues for SECAS to investigate.

Quarterly Standards Review

The SECAS Security Expert presented the latest Quarterly Standards Review.

3.4 SMKI PMA Highlights

SMKI Document Set

The SMKI PMA Chair provided the SMKI PMA with the recommendations resulting from the review of the effectiveness of the SMKI and DCCKI Document Sets as required by the SEC Section L1.17. The SMKI PMA agreed to raise a SEC Modification to implement the changes.

SMETS1 FOC S1SPKI Certification Practice Statement

The SMKI PMA noted that the SMETS1 FOC S1SPKI Certification Practice Statement is still under review and will be presented at the June SMKI PMA meeting.

Digital Signatures and IKI File Signing

The TABASC Representative provided the SMKI PMA with an update on Digital Signatures and IKI File Signing, and the SMKI PMA agreed to provide support to the SSC should it raise a SEC Modification to implement the proposed recommendations.

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.

Key Custodians

The DCC provided the SMKI PMA with an update on Key Custodians and noted that the guidance document on nominating Key Custodians will be updated to include Key Custodian processes, and the DCC will submit this to Members for approval at the June meeting.

SMKI Recovery Testing & Future Testing Scenarios

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

New Draft Proposals and Modification Proposals

The SMKI PMA noted the updates on [DP161 – DP162](#) and requested to be kept informed on these modifications due to the potential impacts on SMKI.

MP128 'Gas Network Operators SMKI Requirements' Business Requirements

SECAS provided the SMKI PMA with the business requirements for [MP128 'Gas Network Operators SMKI Requirements'](#), noting that the requirements will be amended based on SMKI PMA feedback and presented at a future meeting for approval.

SMETS1 Symmetric Keys

The DCC provided an update on SMETS1 Symmetric Keys and agreed to provide the Certificate Policy document for consideration at the June SMKI PMA meeting.

4. Change Sub-Committee

The Change Sub-Committee (CSC) met once in the last month. The meeting covered the following topics:

Draft Proposals

The CSC considered the problem statements for the below Draft Proposals before agreeing the issue and impact is clearly defined and understood. These will now be presented to Panel with a recommendation to convert each into a Modification Proposal:

- [DP158 'Incorporation of multiple Issue Resolution Proposals into the SEC – Batch 5'](#)
- [DP159 'Credit Cover Review'](#)
- [DP160 'Certificate Signing Request forecasting'](#)
- [DP162 'SEC Changes required to deliver MHHS'](#)

The CSC agreed that [DP163 'T3 Aerials Requirements Removal'](#) and [DP164 'November 2021 SEC Release Supporting changes'](#) should remain in development to fully define and understand the issue.

Change Sub-Committee Terms of Reference Review

The CSC noted that a key recommendation from the SEC Section D review was that the Panel's oversight for SEC modifications should be fully delegated to the CSC. As a result of this, the CSC ToR was updated to accommodate the delegation of these decisions. The CSC endorsed the recommendations to delegate duties to the CSC, endorsed the updated ToR and noted that these duties will become effective at the next scheduled meeting on 29 June 2021.

SECAS also requested to stagger the membership terms of the CSC which is an approach that has been successful across other Sub-Committees. Members agreed to this approach, with some members volunteering to reduce their current term to one year to implement this.

5. SMDA Sub Committee

The SMDA Sub-Committee (SMDASC) met on 24 May. The main topics discussed included:

SMDA Membership and SEC Party Access:

The SMDASC agreed that all parties with access to the SMDA website and documentation should be a SEC Party, and it was agreed in principle to follow the same classification system used by SECAS when publishing documentation following further clarification by the Scheme Operator (SO). Updates to the open consultation to request feedback on the Scheme's scope will include:

- Background/ aims of the Scheme;
- Questions on the Industry views of SMDA Comms Hub testing pre- User Integration Test (UIT);
- Proposals on the DNO service requests that could be included in testing; and,

- Request for feedback on the inclusion of triage with Critical Software's (the new Test House) SMITEn as a Service.

Test House

The SMDASC agreed the new testing fees based on the new Test House and SEC funding, with different prices for SEC Parties and non-SEC Parties. The new test fees are substantially reduced and are due to be published in June.

Terms of Reference

The SMDA Sub-Committee and SMDA Management Panel Sub-Group Terms of Reference will be reviewed to align the membership and tenure process with other SEC Sub-Committees.

Assurance

Full Assurance is expected to be issued mid-2021.

Comms Hubs

The SO and SMDA Test House continues to work with DCC on the testing of Comms Hubs and this is expected to commence shortly.

6. 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
11 June 2021

Attachments:

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