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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:

- SECAS presented the TABASC with the Effectiveness Review Survey Results, noting it will contact respondents for further insight on the comments received. SECAS will then return to the TABASC to agree when the next iteration of the Effectiveness Review Survey will be circulated.
- The DCC reported to the OPSG that performance against metric PM2 (OTA Firmware Download) remained below the SEC requirement, but performance was much improved for May and June.

2. Technical Operations

2.1 TABASC Highlights

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

BSCMP375 Overview:

SECAS presented the TABASC with the revised scope of the BSCMP375 Meter Splitting project. The revised scope provides further focus on impacted DCC user business processes as part of any integrated smart metering solution, as well as analysis of the considerations for market domain data and how that can be leveraged by the DCC systems. SECAS noted that it will return to the TABASC with a Project Initiation Document (PID) for approval.

Effectiveness Review Survey:

SECAS presented the TABASC with the Effectiveness Review Survey Results, noting it will contact respondents for further insight on the comments received. SECAS will then return to the TABASC to agree when the next iteration of the Effectiveness Review Survey will be circulated.

CFDA Update:

The DCC presented the TABASC with an introduction to the Cross Function Design Authority (CFDA). The CFDA builds upon the current DCC Design Authority and reflects on the wider DCC role in effectively assuring systems engineering and change to DCC systems.

The CFDA ensures that there is further internal thinking behind how DCC functions that support programmes and project work through the design, build, run and support models. The DCC noted that the TABASC needs to be a part of that discussion. The TABASC therefore agreed who would attend to represent the TABASC at the CFDA.

DSP Market Engagement Options:

The DCC presented the TABASC with an update on its Data Service Provider (DSP) market engagement options, where the TABASC provided input into the options and noted that DCC should continue to work with other Sub-Committees until the options are refined, and then present the final options to all Sub-Committees for agreement.

2.2 TAG Highlights

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

SMETS1 Mixed Installation Testing MOC MDS Test Completion Report

Testing completed successfully with one variance from the agreed scope of testing which relates to two tests which were unable to be performed within the allocated timeframe due to an environment issue. The tests had been run several times in the production environment and other testing environments and therefore the TAG was satisfied that the functionality was tested appropriately. The TAG agreed both the variation and successful test completion of SMETS1 Mixed Installation Testing for MOC MDS.

SMETS1 FOC Uplift 2.1 Test Completion Report

Testing completed with one variation to the agreed scope, which was an erroneous scenario and therefore testing could not be carried out. The TAG agreed the variation and was satisfied that all the exit criteria had been met and agreed test completion for the SMETS1 FOC Uplift 2.1.

SMETS1 FOC DMCT Testing Issue #11108 - Issue Resolution & Test Approach

The TAG consulted on the SMETS1 FOC Device Model Combination Testing (DMCT) Testing Issue (TI) 11108 that was relating to SEAP-2000 Comms Hubbs (CH), particularly pre-SMETS CHs and the requirement to bring the older Devices in line with the current firmware for migration. The TAG discussed the proposed approach and conditionally approved the SMETS1 FOC DMCT Testing Issue #11108 - Issue Resolution & Test Approach pending a further discussion at an additional TAG meeting scheduled for 12 July 2021.

SMETS1 DMCT Use of Environments

The TAG reviewed the DCC's proposed approach to testing new functionality and retesting the Service Request Variants (SRVs) impacted by environment changes in the SIT-A environment, noting that 17 Device Model Combinations (DMCs) had completed DMCT. The TAG endorsed the DCC's proposed approach to testing new functionality and retesting the SRVs impacted by the changes.

SMETS 1 MOC Secure Uplift 1.3 Testing Approach Document

The TAG discussed the SMETS 1 MOC Secure Uplift 1.3 testing approach and considered the exit criteria and Severity ratings for Testing Issue tolerances. The TAG conditionally approved the DCC's proposed test approach, pending updates requested by the TAG and noted that the TAG Chair would

upgrade to full approval on behalf of the TAG, once all conditions had been adequately executed by the DCC.

SMETS1 FOC Uplift 2.2 Test Approach Document

The SMETS1 FOC Uplift 2.2 Testing Approach Document (TAD) was updated following feedback received from TAG members at its May 2021 meeting and incorporated into a TAD v1.1. The TAG conditionally agreed the approach to testing for the SMETS1 FOC Uplift 2.2, pending some additional requirements requested by the TAG being completed.

SMETS1 DMCT Tranche 14 Testing Issues

The TAG reviewed the SMETS1 DMCT Tranche 14 TIs and agreed with the severity ratings allocated by the DCC.

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 below the SEC requirement, but performance was much improved for May and June. The DCC noted that the implementation of Action 6B (killing jobs every 4 hours) at the end of May has significantly improved the performance and was confident that June's performance will be above the expectations of the SIP. The OPSG reiterated that there will still be a lack of confidence in CSP N until the PM2 Minimum Service Level has been achieved: the OPSG reiterated its serious concerns regarding the quality of service. The OPSG noted that the end of Q2 2021 (OPSG_54) would be a suitable point to review the progress against the improvement plan.

CSP N Roadmap – CH Mass Over-the-Air (OTA) Proposal

The DCC presented an overview and proposals for rolling out v2.03.3 Communication Hub (CH) firmware in CSP North which have been discussed and refined through the DCC's CSP North Common Issues Forum (CIF). The OPSG endorsed the recommended approach outlined by the DCC. The strategy adopted involves the rollout being executed without impact on User services: this in contrast with the previous rollout that required the cessation of User download jobs for an extended period. The new approach revolves around a tightly managed deployment of firmware downloads and activations on a weekly cycle. The DCC estimates that it will take 50 days to attempt firmware downloads across the entire estate, completing by the end of September 2021. The DCC will return to the OPSG in August 2021 to provide an update on the plan and progress, and to cover any comments or concerns.

Network Evolution Programme (NEP) – 4G CH & Network

Additional Candidate requirements

The DCC presented two categories of candidate additional requirements which could be considered for addition to the Minimum Viable Product (MVP) in the 4G Communications Hubs (CH) and Network programme. The OPSG raised comments regarding the cost, schedule and governance of the two categories and requested that other candidate requirements should be included for consideration, including addressing the problem of 'smart as dumb' meters. The DCC noted that it will request OPSG views on the additional candidate requirements at the next OPSG, 26 July 2021 (OPSG_53).

Coverage Checker

The DCC presented three concepts for a coverage checker for WAN Service Providers as part of the CH & Network 4G service. The OPSG noted that further work will need to be done on all solution concepts, asking in particular whether any implied a change in the responsibilities of Suppliers, how they would accommodate transitional requirements, and seeking to understand implications for CH logistics.

DCC Maintenance

High Impact Maintenance Windows

The DCC presented options for the scheduling and timing of High Impact Planned Maintenance windows following a request from an OPSG member. Based on analysis of data, the DCC recommended exploring a trial to undertake Planned Maintenance on Sundays between 10am and 4pm. The OPSG raised concerns that a failure to restart services correctly after a Sunday maintenance window would put at risk prepayment services on the following Monday. OPSG members noted the high level of prepayment transactions on Mondays, and the ending of weekend non-disconnect periods. The OPSG requested that the DCC provide further information on the implications of moving the Tuesday Maintenance windows to a later start time (10pm rather than 8pm).

Planned Maintenance Strategy

The DCC presented a brief overview of the current Planned and Unplanned Maintenance definitions and terminology. SECAS requested that the DCC reintroduce the process of engaging with the Panel and OPSG on any Planned Maintenance that is required above and beyond the SEC Requirements (SEC Section H – DCC Services, H8.2-8.7), specifically if the DCC are expecting to go above the 6-hour SEC permitted allowance for Planned Maintenance each month. At the request of the OPSG, DCC (with the assistance of SECAS) are working on a strategic review of the level of maintenance and other outages, to identify drivers, expectations for the future, and any options for containment of the impact on services availability.

SSI Improvement Proposal (SIP) – Firmware Distribution Tracking

The OPSG approved an SSI Improvement Proposal #7 to provide an ability to track, monitor and generate reports on the status of firmware distribution.

Device Interoperability Measurement Methodology

Gemserv briefed the OPSG on the results of work commissioned by BEIS, and suggested that the Panel might now consider taking this forward. The OPSG noted the value of understanding the effectiveness of device interoperability. As a precursor to putting a proposal to the Panel, the OPSG asked SECAS to summarise what aspects of the proposed methodology could be implemented using existing and envisaged reporting capabilities, noting the considerable investment already committed to these. The OPSG also noted the need to ensure any requests to DCC for further reporting needed to be coordinated to ensure best use of DCC resources.

Service Performance

The OPSG noted that one Code Performance Measure (CPM) was below Target Service Level in the April 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 95.63% (previously 92.75%).

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 20 months (and below Target Service

Level for the previous 26 months). The OPSG members reiterated that they remain very concerned about PM2 performance levels in CSP N and requested that this is reflected in the SEC Panel report. The OPSG noted that confidence in CSP N will only increase once remediation plans have been met.

Further details and commentary can be found in the SEC Panel DCC Reporting paper (SECP_94_1607_16 – DCC Reporting).

Performance Indicator Reporting Summary

For the first time, outputs from the new reporting capability (provided by MP122A) were available to the OPSG. Whilst only the first phase of the new capability is as yet in operation, this is expected to be a valuable tool for examining service performance and identifying issues. SECAS and DCC presented the Performance Indicator Reporting summary and the proposed set of routine reports. The OPSG noted the need to develop higher level summaries to clearly present overall service performance and trends. The OPSG requested that SECAS refine mapping on how Risks, Issues, Incidents and Problems are affecting the service and correlate to the Performance Indicator Reporting.

Performance Indicator Reporting Summary

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3. Security Sub-Committee and SMKI PMA

3.1 Assurance and Compliance Status Decisions

The SSC set the compliance status for three Full User Security Assessments (FUSAs) in June 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, two Director's Letter following a VUSA and one Director's Letter following an SSA in June 2021.

3.3 SSC Highlights

Security Non-Compliances

The SSC noted an update on an actual instance of non-compliance regarding a notification of a second or subsequent User System, as is required to be submitted by DCC Users under SEC Section G3.9. The SSC also noted two actual instances of non-compliance by a DCC User which failed to schedule its next assessment in line with G8.40.

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.

CPA-Related Issues

The SSC Chair presented an update on a response from NCSC explaining their concerns about a Use Case for Device Triage and advised Members on the outcomes of meetings with NCSC on Tuesday 25 May 2021 and Wednesday 2 June, and with Other SEC Parties on Wednesday 16 June 2021. The SSC

commissioned a survey of industry participants affected by the CPA Scheme to establish whether any aspects of the CPA Scheme are not considered to be 'fit for purpose'.

Feedback from Material Observations Discussion

The User CIO Representative presented feedback from the Material Observations Discussion held on Tuesday 22 June 2021 and the SSC agreed to adopt new criteria for observations raised during a User Security Assessment, including making any necessary changes to documentation.

Anomaly Detection Report

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

DCC TCoS to ECoS Migration

The DCC presented an update on DCC Transitional Change of Supplier (TCoS) to Enduring Change of Supplier (ECoS) Migration and the SSC provided feedback.

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; MOC Secure remediations; active and monthly dormant Migration process; CIO report updates; and Eligible Products Combinations Lists (EPCL) for approval.

Digital Signatures and IKI File Signing

The DCC and the TABASC Chair presented an update on Digital Signatures and IKI File Signing and received feedback from the SSC.

Post-Commissioning Report

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

Anomaly Detection Report

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

Network Evolution – DSP Programme – Study 2 Outputs

The DCC presented an update on Network Evolution: Data Service Provider (DSP) Engagement. The SSC noted the engagement plan.

DCC/TSP CIO for TSP Re-Procurement

The DCC/Trusted Service Provider (TSP) Competent Independent Organisation (CIO) presented the CIO assurance proposals for DCC/TSP re-platforming, and the SSC provided recommendations to the DCC.

Parse and Correlate / Java

The SSC Chair advised the SSC of an update relating to Parse and Correlate, and the DCC's compliance with Section H11.4.

3.4 SMKI PMA Highlights

SMETS1 FOC S1SPKI Certification Practice Statement

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

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The DCC provided the SMKI PMA with the updated Key Custodians Nomination and Guidance document, which the SMKI PMA approved.

SMKI Recovery Testing & Future Testing Scenarios

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

SMETS1 Symmetric Keys

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

4. Change Sub-Committee and Change Board

4.1 Change Sub-Committee

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

Modifications progressed to the Report Phase

The CSC considered the Modification Reports for the following Draft Proposals and Modification Proposals. It agreed the Modification Reports were complete and that the modifications were ready to be progressed for final decision:

- [MP134A 'Use of SMKI Certificates relating to a SoLR event'](#)
- [DP157 'Removal of DUIS v1.0 and v2.0'](#)
- [DP158 'Incorporation of multiple Issue Resolution Proposals into the SEC – Batch 5'](#)

Modifications progressed to the Refinement Process

The CSC considered the problem statements for the following Draft Proposals. It agreed the issue and impact had been clearly defined and understood and that these should be progressed to the Refinement Process:

- [DP156 'Unit Inconsistency'](#)
- [DP167 'Review of SEC documents'](#)

New Draft Proposals

The CSC agreed that the following new Draft Proposals should remain in the Development Stage to further define and understand the issue:

- [DP165 'ESME Voltage Accuracy'](#)
- [DP166 'Adverse Weather Planned Maintenance Process'](#)
- [DP168 'CPL Security Improvements'](#)
- [DP169 'Managing SEC Obligations and the Consumer's Right to refuse a Smart Meter'](#)
- [DP170 'Firmware updates to Point to Point Alt HAN Devices'](#)
- [DP171 'Undertaking a FUSA without a Supply License'](#)
- [DP172 'Reduced CPA & CPL requirements for innovation and Device field trials'](#)
- [DP173 'SMKI & DCCKI Document Set reviews'](#)

- [DP174 'Changes to Electricity pricing limitations within DUIS'](#)
- [DP175 'Alt HAN Inventory Information Sharing'](#)

Modification timetables

The CSC noted an update on the timetables for modifications undergoing the Refinement Process. SECAS also informed the CSC that, given the current number of open modifications, it will be completing a review of all modification timetables to better stagger SECAS, the DCC and the industry's workload over the coming months, considering the modification prioritisation matrix. SECAS will present its proposed timetables to the CSC for endorsement next month.

SEC Releases

The CSC noted an update on the scheduled SEC Releases in 2021 and 2022.

4.1 Change Board

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

Impact Assessment Requests

The Change Board voted to approve the DCC Impact Assessment requests for the following modifications:

- [MP140 'CH Stock Transfer'](#)
- [MP141 'SRV Visibility for Devices on SSI'](#)

6. SMDA Sub Committee

The SMDA Management Panel Sub-Group (MPSG) met on 6 July. The MPSG were informed that as part of the SEC transition, the Early Mover Model (EMM) fund will close at the end of July. The EMM fund covered the first round of testing and re-testing for manufacturers who submitted their devices at the start of the Scheme. Three manufacturers have committed to testing.

The next SMDA Sub-Committee (SMDASC) meeting is scheduled for 26 July. The main topics of discussion will include:

- SMDA Scheme Scope Consultation - currently being reviewed by the MPSG;
- SECAS Categorisation for SMDA documents and access;
- Introducing WNC Communication Hubs into SMDA Testing; and.
- DCC Comms Hub testing - expected to start in July 2021.

New SMDA Testing fees were published on 21 June, with a substantial decrease following the transition to SEC and the appointment of the new Test House, which is hoped to encourage device submission. The new fees are now split into charges for SEC Parties and non-SEC Parties, to align with SEC processes.

The new fees are:

Type of Device	SEC Parties Fees	Non-SEC Parties Fees
Electricity meter	£40,000	£44,000
Gas meter	£45,000	£49,500

Combined PPMID/ IHD Device	£38,000	£41,800
Day rate for Re-testing, Pre-Testing & Issue Analysis	£1,200	£1,200

7. 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 July 2021

Attachments:

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