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SEC Panel Meeting 43

Meeting SECP_43_2104, 21st April 2017

10:00 – 12:30, Gemserv, 8 Fenchurch Place, London, EC3M 4AJ

Final Minutes

Attendees:

Category	SEC Panel Members
SEC Panel Chair	Peter Davies
Large Suppliers	Simon Trivella
Small Suppliers	Andrew Green (Alternate)
	Mike Gibson
Electricity Networks	David Lane
Gas Networks	Hilary Chapman
Other SEC Parties	Mike Woodhall
	Hugh Mullens
Consumer Member	Morgan Wild (Observer)
DCC	Carmen Strickland
	Dave Broady (Part)
	Ian Marshall (Part)
	Tereza Borges (Part)

Representing	Other Participants
BEIS (Secretary of State)	Duncan Stone
	Patrick De Nijs
Ofgem (the Authority)	Michael Walls
Meeting Secretary	Mertcan Agir
SECAS	Sarah Gratte
	Jill Ashby
	Alys Garrett

	Sasha Townsend (Part)
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Apologies:

Category	SEC Panel Members
Large Suppliers	David Ross Scott
Small Suppliers	Eric Graham

1. Minutes and Actions Outstanding - SECP_43_2104_01

The minutes from the March 2017 Panel meeting were approved via ex-committee decision, noting that suggested changes were included in the final minutes.

SECAS provided the Panel with an update on the Actions Outstanding from previous meetings, noting that the majority of the actions had been closed, with the outstanding actions on target for completion and/or updates to be provided under respective agenda items. A brief update was provided on the following action:

Action reference	Update
SECP42/02	SECAS noted that a response had been received from BEIS and would be discussed under the Modification Items on the agenda.

2. DCC R1.3 Governance and Testing Update

SECAS provided the Panel with an update on the latest activities and timescales for future meetings and decisions in relation to DCC Release 1.3 (R1.3). It was noted that there remained actions to be undertaken by the DCC in relation to Systems Integration Testing (SIT) Exit prior to them presenting the exit documentation to the Testing Advisory Group (TAG). This would then allow the TAG to make a formal recommendation to the Panel. It was noted that the DCC are currently aiming for the Panel meeting on 12th May 2017 for them to make a decision on SIT Exit. The decision activities on the End-to-End Testing start date would then follow.

SECAS also noted that the amended Smart Metering Key Infrastructure (SMKI) and Repository Testing (SRT) Approach Document would be discussed at the May Panel meeting for approval. The SMKI Policy Management Authority (PMA) discussed the document at the April meeting and would provide the Panel with a recommendation on its approval.

The Panel **NOTED** the verbal update.

3. SEC Panel Risk and Issue Register Update - SECP_43_2104_03

SECAS presented the Panel with an updated Risk and Issue Register with Risk 30 now being identified as an Issue. Due to the sensitive nature of the information surrounding the Issue, the details of the issue were provided in an Amber appendix to the paper.

The Panel:

- **NOTED** the contents of the paper; and

- **AGREED** the amendments to the SEC Panel Risk Register and SEC Panel Issues Log.

4. End of Regulatory Year Report 2016/17 - SECP_43_2104_04

SECAS presented the Panel with a confidential first draft of the End of Regulatory Year Report 2016/17, developed in accordance with SEC Section C2.3 (h). The draft was provided as confidential in order for the Panel to provide feedback prior to the report being published on the SEC Website to Parties. SECAS noted that the Alternative HAN (Alt HAN) Forum had provided a section to be included within the report in relation to the activities undertaken in support of the Eighth General Objective.

SECAS agreed to circulate the report with the Alt HAN section included for the Panel to provide any further feedback prior to publication.

The Panel:

- **NOTED** the contents of the paper; and
- **AGREED** the End of Regulatory Year Report for the period 2016-17, subject to any revisions following final circulation.

5. SEC Party Engagement Day Preparations – SECP_43_2104_05

SECAS presented the Panel with an approach for the SEC Party Engagement Day to fulfil the duty to hold a general meeting in July of each year (SEC Section C2.3 (k)). The approach set out follows the outline of the engagement days held in previous years.

The Panel noted that the date proposed was also the date of the Balancing and Settlement Code (BSC) General Meeting to be held in the afternoon. The SEC Panel agreed to keep the engagement day to a morning event so as not to clash with the BSC General Meeting. SECAS also noted that that would then provide an opportunity for SECAS to hold an Introduction to the SEC event for any new Parties or employees new to the Code. SECAS agreed to continue with preparations on that basis.

The Panel:

- **NOTED** the contents of the paper; and
- **AGREED** the outline approach as set out above for the SEC Party Engagement Day.

6. SMKI Upgrade and Annual Disaster Recovery Testing – Request for Additional Maintenance - SECP_43_2104_06

Ian Marshall (IM), DCC, provided the Panel with a request for additional maintenance to allow for the deployment of SMKI Release 6 in the production environment. The DCC noted that this would enable the upgrade to be linked with the annual SMKI Disaster Recovery (DR) failover test. It was noted that this would include an outage period to failover to the secondary site which the SMKI Services would run on for a week whilst the upgrade takes place. The second outage would then failback to the Release 6 production environment.

The Panel Chair noted that there had previously been a request by the Panel that any requests in relation to SMKI should first be discussed by the SMKI PMA for them to provide an expert recommendation.

The Panel Chair also requested that requests of this nature should also provide information on the potential impacts to the User community. The DCC noted that they would provide this information going forwards. For this request, IM noted that during the outage periods, Users will not be able to submit Certificate Signing Requests (CSRs). The impact on each individual organisation would be dependent on their business processes.

The Panel:

- **NOTED** the contents of the paper; and
- **AGREED** that the DCC may undertake the proposed Maintenance required to implement the upgrade to SMKI 6 and carry out the annual SMKI DR testing.

7. Post-implementation temporary maintenance schedule review – SECP_43_2104_07

Dave Broady (DB), DCC, provided the Panel with a request to extend the temporary maintenance schedule that the Panel had approved in November 2016, in place of the arrangements set out in SEC Section H8.3.

DB noted that the DCC had completed a review of the temporary arrangements and consulted with Parties on some amendments to the temporary arrangements based on that review. The proposed amendments to the arrangements were set out in a table in the Panel paper. It was noted that the majority of respondents were understanding of the approach but there was some disagreement on the earliest maintenance window start time of 20:00. It was noted that this would align to the SEC provisions, however may impact Registration Data Provider (RDP) updates. The DCC noted that when setting a maintenance window, if there were any impacts on RDPs identified they would amend the start time so as to minimise the impact.

The Panel discussed the SEC arrangements that are currently at a high level and may need amending to align to enduring maintenance requirements. The DCC agreed to take an action to consider a more user friendly approach to enduring maintenance and bring to a future Panel for discussion.

The Panel:

- **NOTED** the contents of the paper; and
- **APPROVED** the revised maintenance schedule in place of the H8.3 provisions until August 2017.

ACTION SECP43/02: DCC to consider a revised approach to enduring maintenance for discussion at a future Panel meeting.

8. Release Management – Release Frequency and Testing Environments - Presentation

SECAS provided the Panel with an introduction to the agenda item, setting out that the Panel had discussions in late-2016 in relation to altering the release frequency of DCC System-impacting releases currently set out within the Panel Release Management Policy. Since those discussions, the DCC have been undertaking analysis of how many releases they could support a year and the risks

and impacts of frequency options. Ongoing discussions have been held between SECAS and the DCC regarding the outcome of the analysis.

The DCC provided an overview of the challenges and context in relation to enduring release management. It was noted that there is evolving demand with the focus of the DCC moving from implementation to enduring releases with multiple programmes running, including SMETS2, SMETS1 and the switching programme. The DCC Services will need to cope with multiple demands including overnight fixes, Releases and programme implementation. The Panel were informed that the DCC are looking at alternative methods to deal with the changing focus including technological platforms and testing services.

The DCC noted that there was on-going work in a number of areas looking at initiatives for delivering change:

- Quality and efficiency of management of change and forecasting;
- Mechanisms to deliver change and scheduling (Release Management Policies);
- DCC cost efficiency, reliability, customer adoption and scalability to deliver the evolving demand; and
- Understanding of Users capacity for adopting change into their growing service business.

The DCC noted that as part of the above initiatives they are looking at alternative mechanisms to deliver change which could include discrete updates as well as larger Releases. With that in mind, they presented three potential options for delivering change annually. The DCC proposed that to take the options forward, they would engage with stakeholders through a workshop to refine and challenge the options for delivering change.

The Panel challenged the proposed way forward, noting that the impact analysis had been ongoing for a number of months with the Panel yet to see the outcome. It was noted that before stakeholders are asked to provide feedback on the options they should be provided with the impact analysis from the DCC, specifically from a cost perspective. The Panel requested that the DCC provide the impact analysis of the current release strategy of up to three DCC-System Impacting Releases per year, as well as for two and one Release per year. This would then allow the Panel to discuss an appropriate way forward in relation to amendments to the Panel Release Management Policy and consultation with Parties.

SECAS agreed to work with the DCC offline to develop potential changes to the Release Management Policy, which would be provided to the Panel in May alongside the DCC analysis. The Panel would then discuss the information provided, prior to consulting with stakeholders on any changes required to the Panel Release Management Policy.

The Panel:

- **NOTED** the update; and
- **REQUESTED** that the DCC and SECAS work to produce a further update in May 2017.

ACTION SECP43/04: DCC and SECAS to provide a paper to the May Panel meeting with DCC analysis on potential Release Frequency approaches.

9. SEC Modification – DCC Assessments - SECP_43_2104_09

The DCC provided the Panel with an update on the progress with the production of Preliminary Assessments (PAs) and Impact Assessments (IAs) for SEC Modification Proposals currently in the Refinement Process.

The Panel **NOTED** the contents of the paper.

10. Modification Status Report – April 2017- SECP_43_2104_10

The Panel were provided with an update on the status and progress of Modification Proposals going through the Modification Process.

SECAS informed the Panel of the outcomes of the Change Board held on 19th April 2017. At the meeting, the Change Board:

- voted to recommend the approval of SECMP0004 and SECMP0008 to the Authority;
- voted to recommend the rejection of SECMP0011 to the Authority;
- voted to reject SECMP0021; and
- voted to approve SECMP0033.

The Panel **NOTED** the contents of the paper.

11. Modification Proposals – Initial Modification Reports - SECP_43_2104_11

SECMP0031: Adding UTRN Functionality to SMETS

SECAS informed the Panel that a response had been received from BEIS to the letter from the Panel referring SECMP0031 and SECMP0032 to BEIS for determination on whether they should utilise their transitional powers set out in SEC Section X2.3(d). The response set out that BEIS would not use its powers to prevent the modifications from progressing.

Panel Decision

Following consideration, the Panel agreed with the recommendations set out in Section 6 of the Initial Modification Report (IMR) in that it should proceed through the Refinement Process and confirmed for SECMP0031 to be progressed as Path 2 – Authority Determination. The Panel noted that the Security Sub-Committee had concerns on this modification from a security perspective and the Working Group should focus on forming a solution that would mitigate those concerns.

SECMP0032: Prioritising Prepayment Customers in no WAN Situations

SECAS informed the Panel that a response had been received from BEIS to the letter from the Panel referring SECMP0031 and SECMP0032 to BEIS for determination on whether they should utilise their transitional powers set out in SEC Section X2.3(d). The response set out that BEIS would not use its powers to prevent the modifications from progressing.

Panel Decision

Following consideration, the Panel agreed with the recommendations set out in Section 6 of the IMR in that it should proceed through the Refinement Process and confirmed for SECMP0032 to be progressed as Path 2 – Authority Determination.

SECMP0034: Changes to the SEC Section D for DCC Analysis Provisions

SECAS informed the Panel this Modification Proposal has been raised by the DCC, and seeks to align the Communications Hub (CH) Handover Support Materials document with the implemented DCC Solution. The Panel were informed the proposal also covers and contains draft legal text to bring the SEC in line with the current DCC process relating to Service Management Service Requests when dealing with no SM WAN coverage requests, through the introduction of clearer definitions with Section A.

Panel Decision

Following consideration, the Panel agreed with the recommendations set out in Section 6 of the IMR in that it should proceed through the Refinement Process and confirmed for SECMP0034 to be progressed as Path 3 – Self-Governance.

The Panel:

- **NOTED** the contents of the paper; and
- **APPROVED** the determinations for the Modification Proposals, as set out in the IMRs for SECMP0031, SECMP0032 and SECMP0034.

12. Code Administration Survey – Presentation

SECAS provided the Panel with an update on the Code Administrator Survey that was undertaken by Ofgem in November 2016, in line with Ofgem's Code Governance Review (CGR) 3 Final Proposals. SECAS noted that a summary report across all Code Administrators had been published on 20th April 2017, as well as individual reports for each Code Administrator.

SECAS noted that Ofgem would be attending the Panel meeting in May 2017 to provide an overview of the survey results. At that meeting, SECAS would also present an action plan setting out the response to the feedback and action areas for improvement.

The Panel **NOTED** the update.

13. User Security Assessment Update – Confidential

The Panel were provided with a confidential update on a number of Parties going through the User Security Assessment process.

The Panel **NOTED** the update.

14. SEC Website Enhancement Project – Presentation

The Panel were informed that SECAS were undertaking a review of the website to ensure it remains fit for purpose as the SEC and SECAS services have grown. The Panel were asked for any feedback to be incorporated into developing requirements for the SEC Website.

The Panel noted that key functions such as accessing meeting documentation and other guidance documentation required a review, as well as the search function. It was also noted that the members log in function should be reviewed.

The Panel **NOTED** the update.

15. DCC Update - Presentation

The DCC presented the Panel with an operational update on the activities undertaken by the DCC since the last Panel meeting.

For R1.3, the DCC confirmed that a draft of the Live Services Criteria will be shared with BEIS for review in the coming week, in preparation for the DCC Live decision making activities.

The DCC will publish its SMETS1 delivery plan for consultation with parties, as well as DCC's conclusions on the Initial Enrolment Project Feasibility Report (IEPFR).

The DCC provided an update on Release 1.4, noting its current delivery status of Amber / Green. It was noted that the Transitional Variation end-date in relation to the Self-Service Interface requirements set out in H8.16 is currently set at 30th June 2017. A change to the end-date would require consultation via the Panel as undertaken for the Transitional Variation in relation to the EUI-64 Identifiers.

The Panel **NOTED** the contents of the update.

16. DCC Reporting - SECP_43_2104_16

The Panel were provided with a paper that includes any reports issued to the Panel from the DCC as required by the SEC.

SECAS noted that the DCC Performance Measurement Report had been discussed at the TABASC meeting held on 20th April 2017 and that concerns had been raised on the level of reporting and the measures being reported against not accurately reflecting what users are experiencing, specifically in relation to Communications Hub delivery and acceptance of orders. The DCC noted that the performance measures set out within the SEC are built for the enduring arrangements and therefore, may not be appropriate for the current transitional period. The DCC also informed the Panel that service management issues are being raised and discussed through the Service Management Design Forum (SMDF) which continues to meet monthly.

The Panel noted the concern raised and that the TABASC should continue to review the report on a monthly basis and to continue to raise any significant concerns to the Panel.

The Panel **NOTED** the contents of the paper.

17. BEIS Update - Presentation

BEIS presented the Panel with an update on their recent publications. This included the Response and Direction letter to enable R1.3 to be made available in the E2E environment that was circulated on 11th April 2017.

BEIS also highlighted the key upcoming publications. These included the Government response to the further consultation on the DCC opt-out approximately for Q2 2017 and the Technical Specifications & Great Britain Companion Specification (GBCS) documents for Release 2.0 are expected to be published in May 2017.

BEIS also provided an update on the timing and process for handing over the 'Authority' role from BEIS to Ofgem in relation to SEC Modification Process.

The Panel **NOTED** the contents of the update.

18. Operations Report – March 2017 - SECP_43_2104_18

The Panel were presented with the Operations Report for March 2017. The report provided an outline of the SECAS activities undertaken in support of the SEC. This included headlines from the Sub-Committee meetings held in the previous month and an update on configuration management of the SEC. The contents of the paper also included a breakdown of days by driver, product and grade, and provides commentary related to the activities undertaken by SECAS.

SECAS provided an update on the TABASC discussions held on 20th April 2017 in relation to the handover of the Design Notes currently maintained by BEIS through the Technical and Business Design Group (TBDG). SECAS highlighted that BEIS had confirmed that they would not be continuing to maintain the Design Notes through the transitional governance arrangements. The TABASC noted that as the group responsible for the Technical and Business Architecture, ongoing maintenance of the Design Notes could fit into their remit. The Panel agreed with the approach for the TABASC to own the Design Notes and SECAS noted that the Terms of Reference would be updated. It was also noted that the TABASC would first undertake a review of the Design Notes to determine those that require updating.

The Panel **NOTED** the contents of the paper.

19. Smarter Markets Project Update - SECP_43_2104_19

SECAS provided the Panel with the monthly overview on activities undertaken in support of the Smarter Markets project. This included an update of the ongoing efforts to support the End-to-End Design Team and the Regulatory Design Team.

The Panel **NOTED** the contents of the paper.

20. Transitional Governance Update - SECP_43_2104_20

The Panel were provided with an update on the transition governance entities and other smart metering related meetings and workshops attended by SECAS and the Panel Chair in the last month.

The Panel **NOTED** the contents of the paper.

21. SEC Panel Activity Planner - SECP_43_2104_21

The Panel were provided with the SEC Activity Planner as a standing agenda item providing a high-level overview of the forthcoming SEC Panel activities and a forward look at Panel agenda items for the next three months, based on the latest information available.

The Panel **NOTED** the contents of the two appendices to this paper.

22. SEC Party Update - SECP_43_2104_22

SECAS informed the Panel of the Parties who have officially completed the User Entry Process as described in SEC Section H1.10 and confirmation of Parties that have completed various testing activities as required by the SEC.

The Panel **NOTED** that the following organisations would be admitted as Parties to the SEC following countersignature of their Accession Agreement by the SECCo Board:

- Electraphase Ltd (Small Supplier);
- GEN4U Ltd (Small Supplier); and
- Yoursmartmeter.com Limited (Other SEC Party).

It was also noted that Cleanreturns Limited (Small Supplier) will be withdrawn from the SEC as of 19th April 2017 due to a licence revocation.

SECAS noted to the Panel that there may be a need for fast-tracked SEC accessions due to some SEC Parties wishing to combine their DCC Supplier Roles against one EUI-64 Identifier not having the appropriate corporate structure to do so. The Panel noted that they would fast-track accessions if required. SECAS noted that guidance is being developed to support new and current Parties through this process.

The Panel **NOTED** the contents of the paper

23. Any Other Business (AOB)

The DCC raised an item of business on the publication of the Initial Enrolment Feasibility Project Report (IEPFR). Prior to publication, the DCC are required to seek Panel approval of any redactions that are required to the report for reasons of security. The Panel had been provided with a paper setting out the approach which is in line with the approach that was followed for the Draft IEPFR.

The DCC noted that a letter had been provided from the SSC Chair outlining the recommendation for approval. The Panel **APPROVED** the approach for redacted security content prior to the publication of the IEPFR.

SECAS raised an item of business in relation to the modifications going through the process that may require certain aspects of the documentation to be confidential for security reasons. The Panel Chair had received a letter from the SSC Chair highlighting the risk that a security vulnerability may become widely known if documented in the public documentation as part of the business case for a modification. SECAS noted that currently modification documentation is required to be public due to the principle for it to be open and transparent. The Panel noted that SECAS should develop a solution with the SSC Chair.

There was no further business and the Chair closed the meeting.