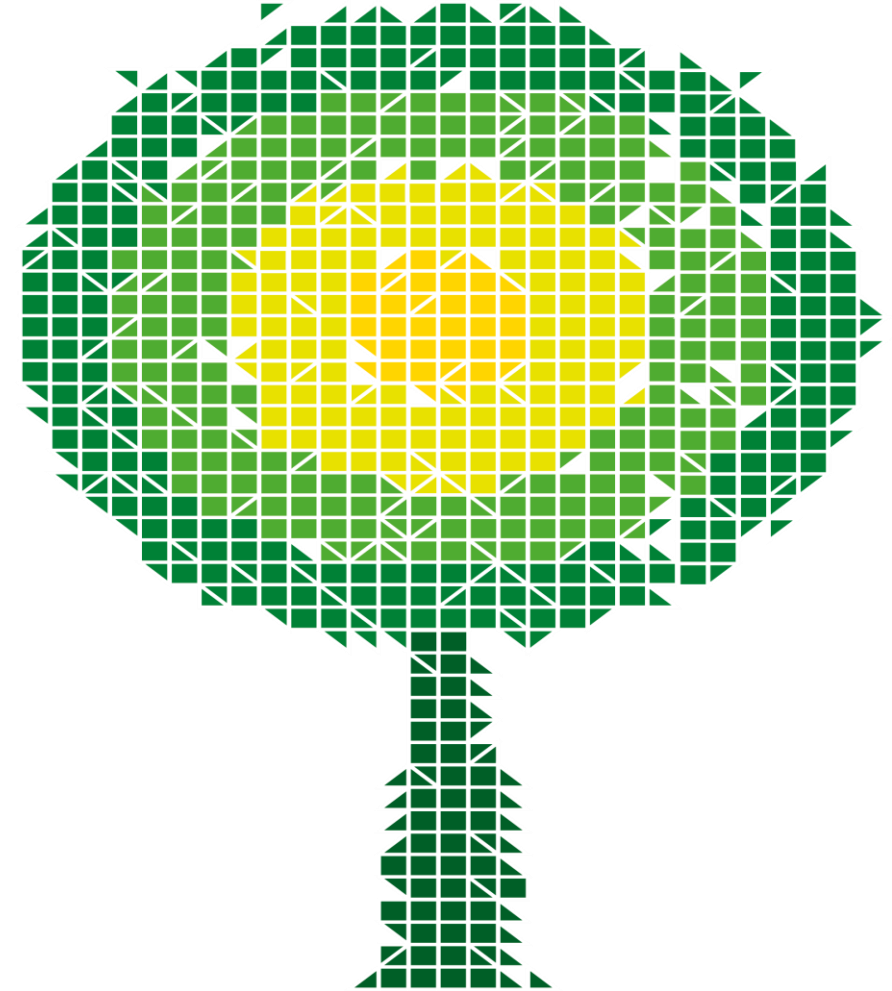


Spotlight on the SEC Seminar

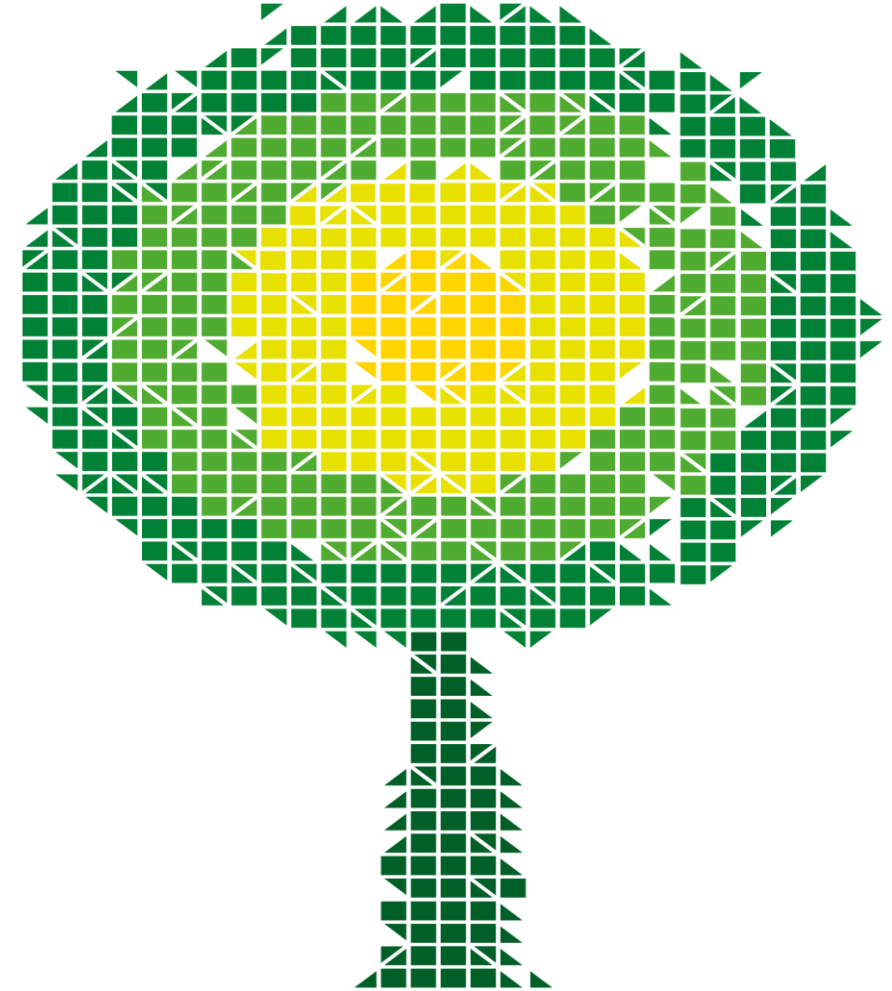
Thursday 23rd November 2017

10:00 – 14:30



Welcome and Introduction

Courtney O'Connor,
Operations Consultant, SECAS





Speakers Today

- Courtney O'Connor, SECAS
- Sasha Townsend, SECAS
- Kayla Reinhart, SECAS
- Nick Blake, SECAS
- Moses Akinniranye, SECAS
- Nicola Farley, The DCC



Agenda

- Welcome and Introduction
- SEC Governance Update and Panel Introduction
- Active Modification Proposals Update
- BAD and BAM Interactive Session

Coffee Break

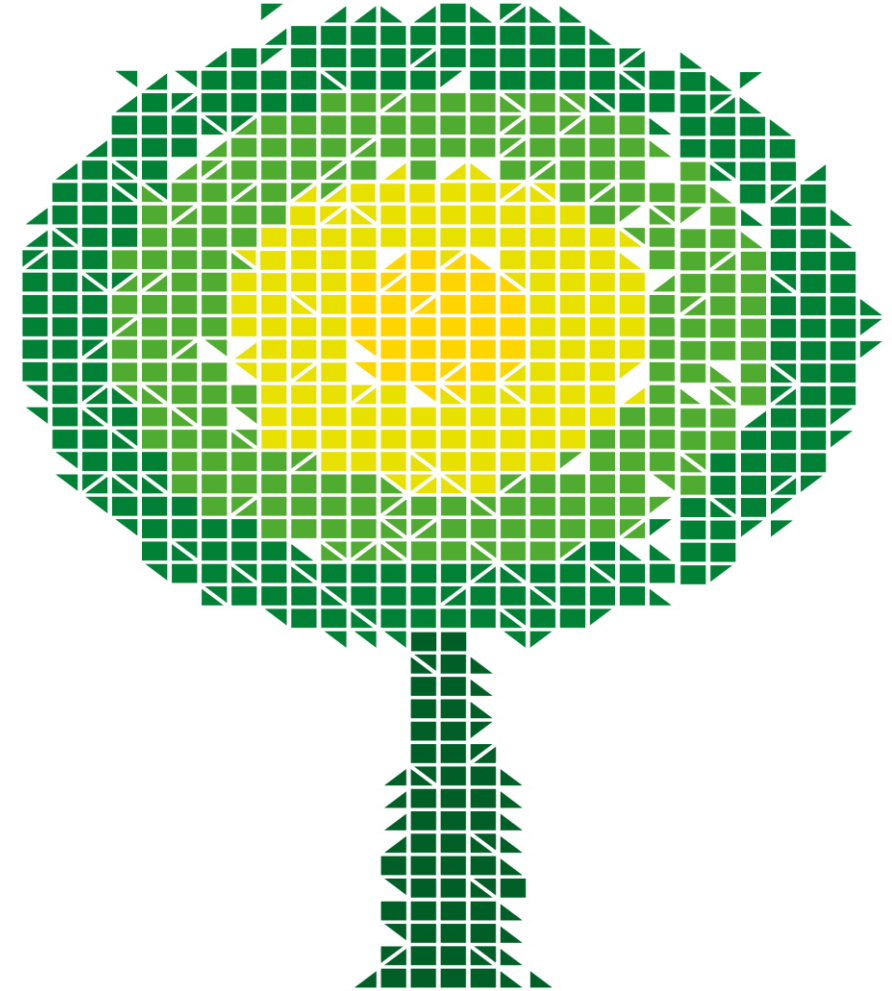
- About Releases
- New SEC Website Interactive Session
- Security Lifecycle

Lunch Break

- DCC Business Update and DCC Onboarding
- Day End and Closing Q&A

SEC Governance Update and the SEC Panel

Courtney O'Connor,
Operations Consultant, SECAS





Smart Energy Code Administrator And Secretariat (SECAS)

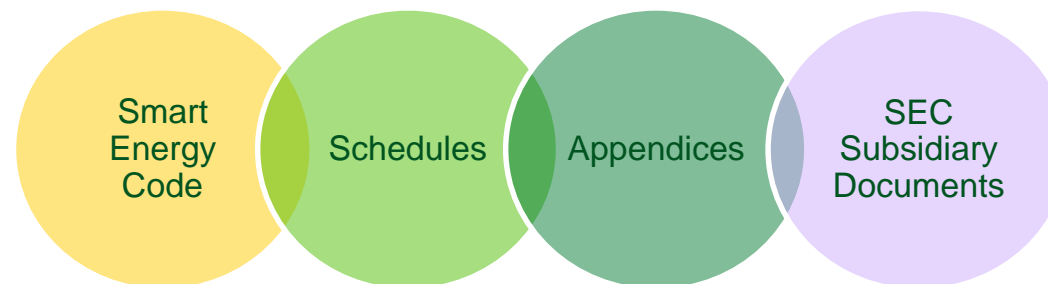
- Role defined in SEC Section C - Governance
- SECAS supports the Panel in delivering its obligations under the SEC, including:
 - Facilitating Parties to accede to the SEC, become DCC Users, raise modifications, and provide or procure information that the Panel may require
- SECAS Helpdesk is available 9am-5pm week days.
 - Email: secas@gemserv.com
 - Phone: 020 7090 7755



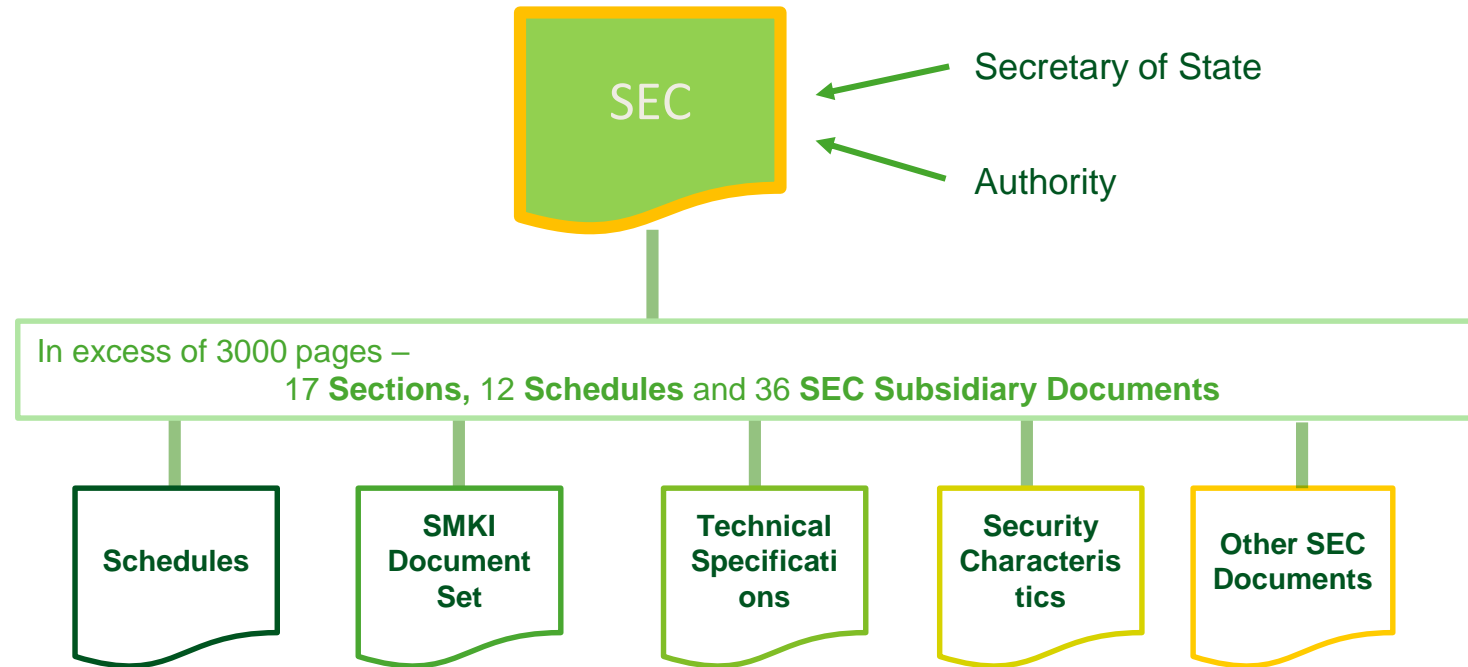
The Smart Energy Code (SEC)

A multi-Party agreement:

- DCC licence obligation for the SEC
- Defines the rights and obligations between the DCC and the Users of the DCC Services
- Specifies other provisions that govern the end-to-end management of Smart Metering in GB

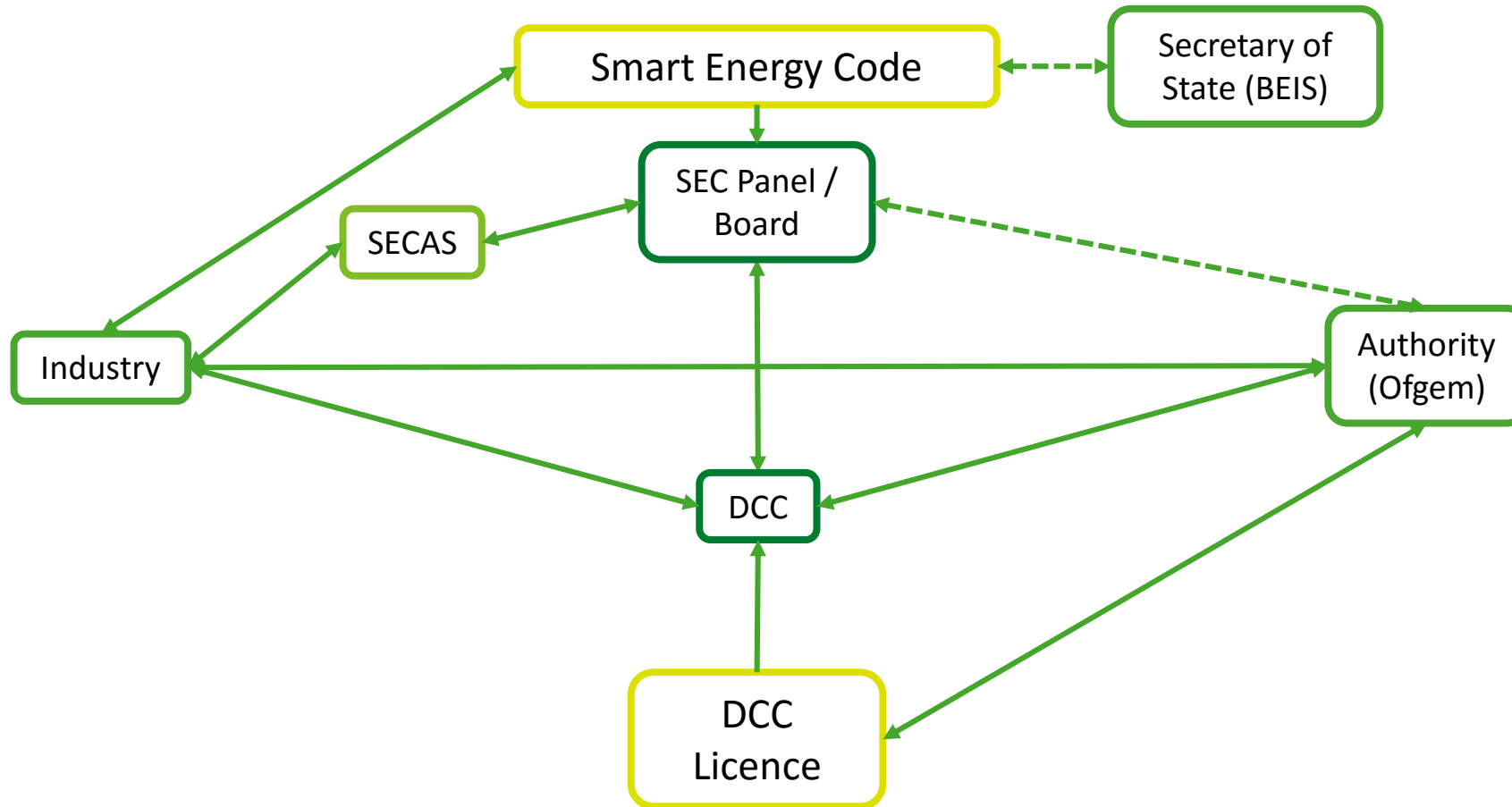


SEC Document Architecture

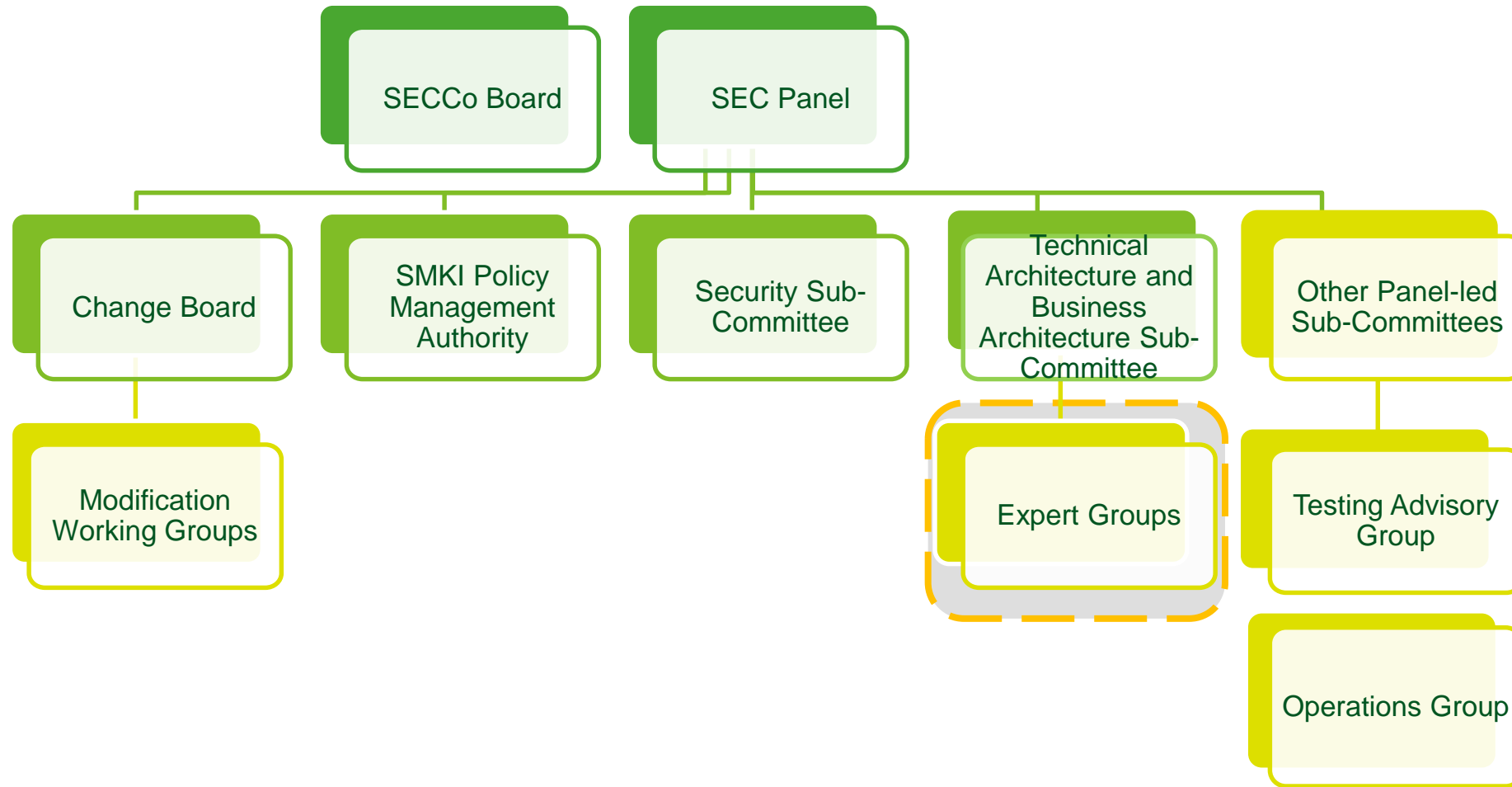


SEC Subsidiary Documents are part of the SEC and are subject to the SEC Modification Process

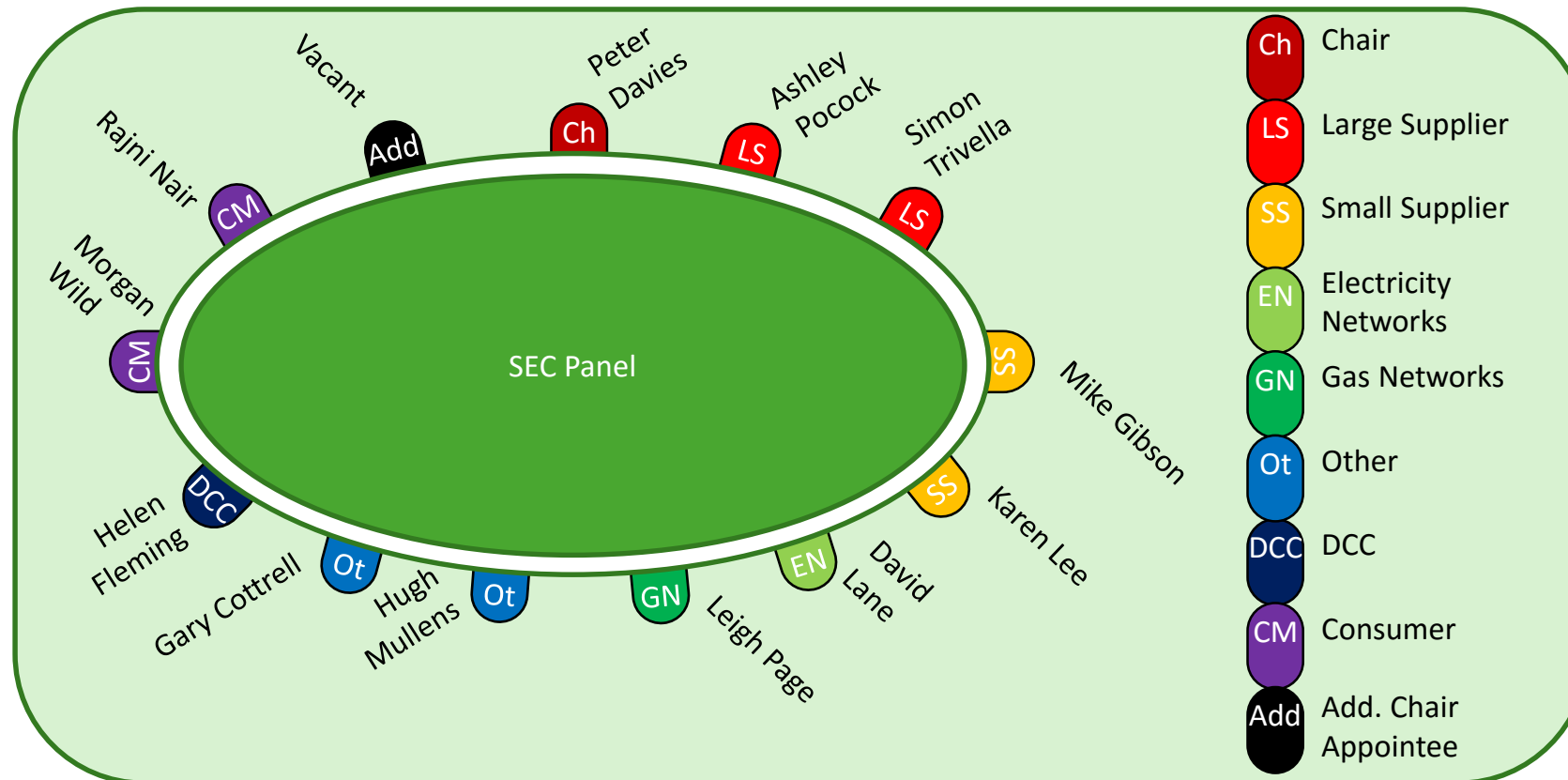
SEC Governance Interactions



SEC Governance Structure



SEC Panel





SEC Panel and SECCo Board

Panel

Pursue the Panel Objectives and Panel Duties using the powers set out in the SEC (SEC Section C2)

- Establishes budgets, Sub-Committee constitution and expert infrastructure, oversight of the Modifications Process
- Developed capability to take-on responsibilities emerging from future SEC content and handover from Transition Governance

Board

Act as the corporate vehicle to support Panel business

- Board of Directors of SECCo
- Looks at the corporate governance of the Code e.g. contract-holder with SECAS, Independent Chairs, PKI Expert, Lawyers, User Competent Independent Organisation and SECCo Auditor



The SEC Panel Budget 2018-2021

It is a SEC requirement that the SEC Panel develop, consult upon, and report upon its performance against three-year budgets.

The draft budget must be circulated to all Parties each January, and as such, SECAS will be issuing the draft 2018-2021 budget for comment in the coming weeks.

We encourage all Parties to provide feedback to this consultation.



SEC Panel Budget Timetable

Month	Activity
September/October 2017	The PFCG and SECAS develop outline of Draft Budget.
October 2017	First draft of budget for Panel consideration.
November 2017	Further iterations discussed as required following the initial Panel review with updates provided at the Panel meeting.
December 2017	Panel approval of Draft Budget consultation version.
January 2018	Draft Budget published for SEC Party consultation for 20 Working Days.
February 2018	The Panel consider and respond to comments from Parties and amend the Draft Budget in line with any comments, if required, prior to approval.
March 2018	By no later than 8 th March 2018 publish the Draft Budget specifying the date (not less than 15 Working Days following the date of publication) that the budget shall become the Approved Budget.
1 st April 2018	Approved Budget takes effect.



SMKI PMA

Sub-Committee	Function	Membership
SMKI Policy Management Authority (PMA)	Governs the SMKI Document Set and to monitor and gain assurance of the DCC operation of SMKI services	3 Large and 1 Small Suppliers, 2 Network, 1 SSC & 1 TABASC Representative, PKI Specialist, DCC, Ofgem, SoS and independent Chair

Duties

Approve Assurance Scheme and Service Provider

Contribute to Design Activities

Review and Approve SMKI Documentation

Produce guidance documents e.g. Recovery Key Guidance

Monitor testing reports in relation to SMKI

Review and Approve DCCKI Documentation

Current Priorities

- Proving SMKI Recovery in the live environment
- Considering the use of SMKI for new proposed uses e.g. SMETS1
- Managing SMKI related risks
- Conducting SMKI Recovery scenarios
- Reviewing the effectiveness of the SMKI SEC Documents.

Security Sub-Committee

Sub-Committee	Function	Membership
Security Sub-Committee (SSC)	Develop & maintain security documents under the end-to-end security architecture	8 Suppliers (6 Large and 2 Small), 2 Networks, 1 Other User, DCC, SoS, 1 TABASC Representative and an independent Chair



Current Priorities

- Reviewing initial Full User Security Assessments and Verification Security Assessments.
- Reviewing and provide advice and input on the SMETS1 Security Architecture.
- Undertaking the annual Security Risk Assessment, to identify any new or changed security risks to the End-to-End Smart Metering System.
- Reviewing and updating the SMETS2 Security Architecture.
- Providing security advice on SEC modification proposals



Technical Architecture and Business Architecture Sub-Committee

Sub-Committee	Function	Membership
Technical Architecture and Business Architecture Sub-Committee (TABASC)	Provides support & advice on the Technical Specifications and end-to-end Technical Architecture	8 Suppliers (6 Large and 2 Small), 2 Networks (1 Gas and 1 Electricity), 2 Other Parties, DCC, an independent Chair, SoS and Authority representative

Technical Architecture and Business Architecture Sub-Committee (TABASC)

Technical and Business Expert Community (TBEC)

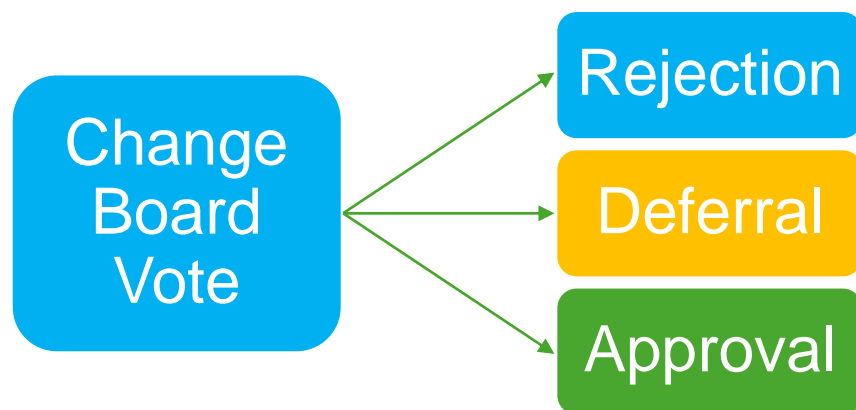
SECAS Technical Experts

Current Priorities

- Reviewing the current TAD and BAD to update for Release 2.0 specifications.
- Ongoing review of modifications raised to determine whether there are any technical and/or business impacts
- Reviewing and monitoring the mitigations of risks inherited from BEIS in relation to the Smart Metering Issues Resolution Forum (SMIRF).

Change Board

Sub-Committee	Function	Membership
Change Board	Review the Modification Report Consultation responses and vote on whether to Accept/Reject or defer a Modification Proposal	Large Suppliers from Voting Group of that Category, 3 Small Suppliers, 3 Other, 3 Networks, Consumer, DCC, Ofgem, SoS and SECAS Chair



Current Priorities

- Establishing meeting schedule for 2018.
- Elections for term commencing February 2018.



Testing Advisory Group

Sub-Committee	Function	Membership
Testing Advisory Group (TAG)	Supports the Panel with their obligations throughout the testing stages. Reviews testing documentation, provides views on testing reports and has weekly calls with the DCC to understand testing progress.	1 person appointed by Large Supplier, 3 persons from the Small Suppliers, 3 Persons from the Electricity and Gas Networks, 3 persons from the Other SEC Parties, 1 Consumer member

Current Priorities

- Reviewing each phased Testing Approach Document for Release 2.0 and SMETS1.
- Reviewing any ongoing testing progress.



Operations Group

Sub-Committee	Function	Membership
Operations Group	The purpose of the Operations Group is to deal with operational matters that relate to services provided under the Smart Energy Code, including DCC Services; and, to enable close co-operation between the DCC and DCC users.	1 person appointed by Large Supplier, 3 persons from the Small Suppliers, 3 Persons from the Electricity and Gas Networks, 3 persons from the Other SEC Parties, 2 persons appointed by the DCC, TABASC representative, Authority and SoS representative

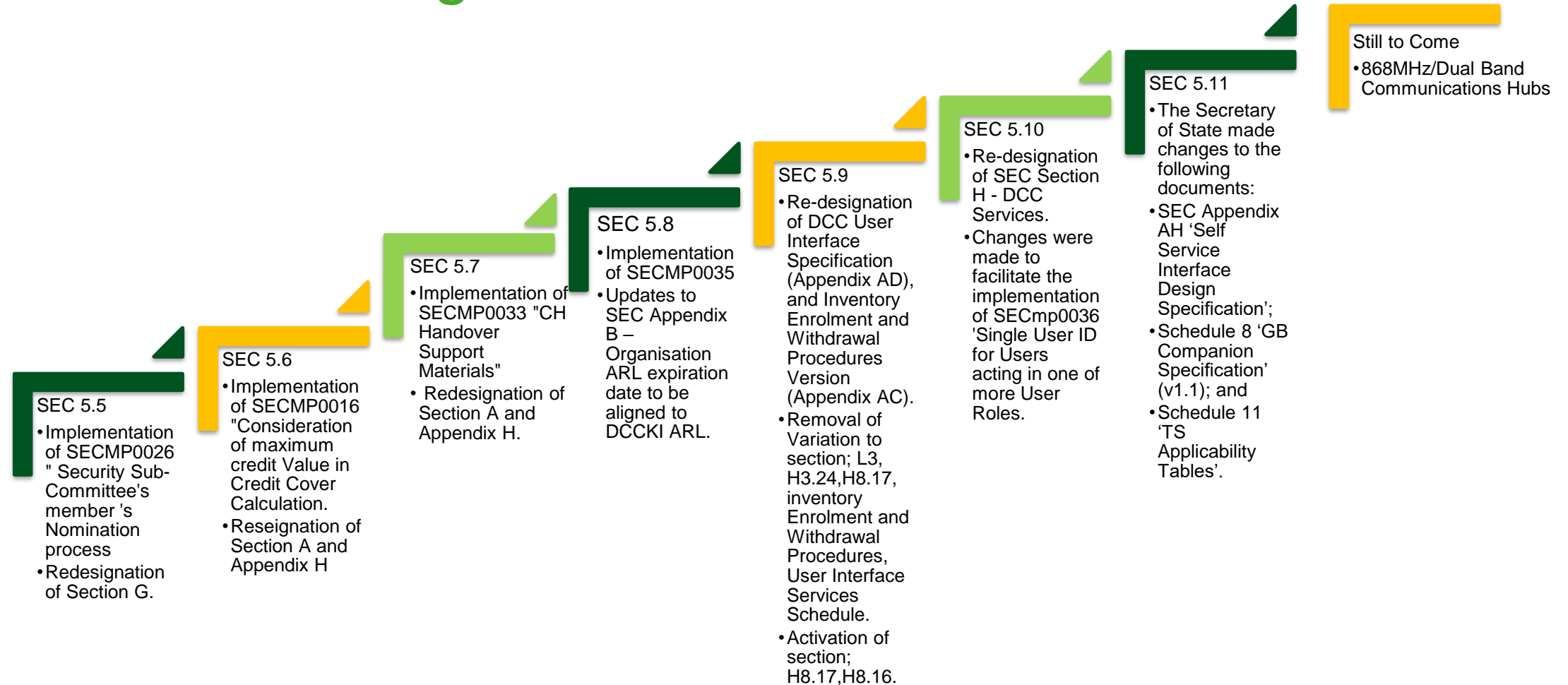
Current Priorities

- Establishing/defining the scope of the Ops Group.
- Exploring DCC reporting and its operational relevance.
- Establishing risks to operations to create an Ops Risk Register.

- All non-confidential meeting documentation provided on the SEC Website
- Meeting Headlines provided one Working Day after each meeting
- Transitional Governance Update provided to the Panel each month
- Monthly newsletter – [sign up on the SEC website](#)



Recent SEC designations





SEC Version 5.11

SEC 5.11 came into effect on the
6th November 2017.

On 12 October 2017 BEIS
consulted on the designation
of GB Companion
Specification (GBCS) Version
1.1 within Schedule 8 of the
Smart Energy Code (SEC) and
the re-designation of the TS
Applicability Tables (SEC
Schedule 11).

Please note that
Schedule 8 (GBCS)
version 1.0 has an
applicability end date
of 7th May 2018.
Therefore, Schedule 8
versions 1.0 and 1.1
will both apply until
7th May 2018. Please
refer to Schedule 11 for
the specific dates
associated with the
applicability of each
version of Schedule 8.

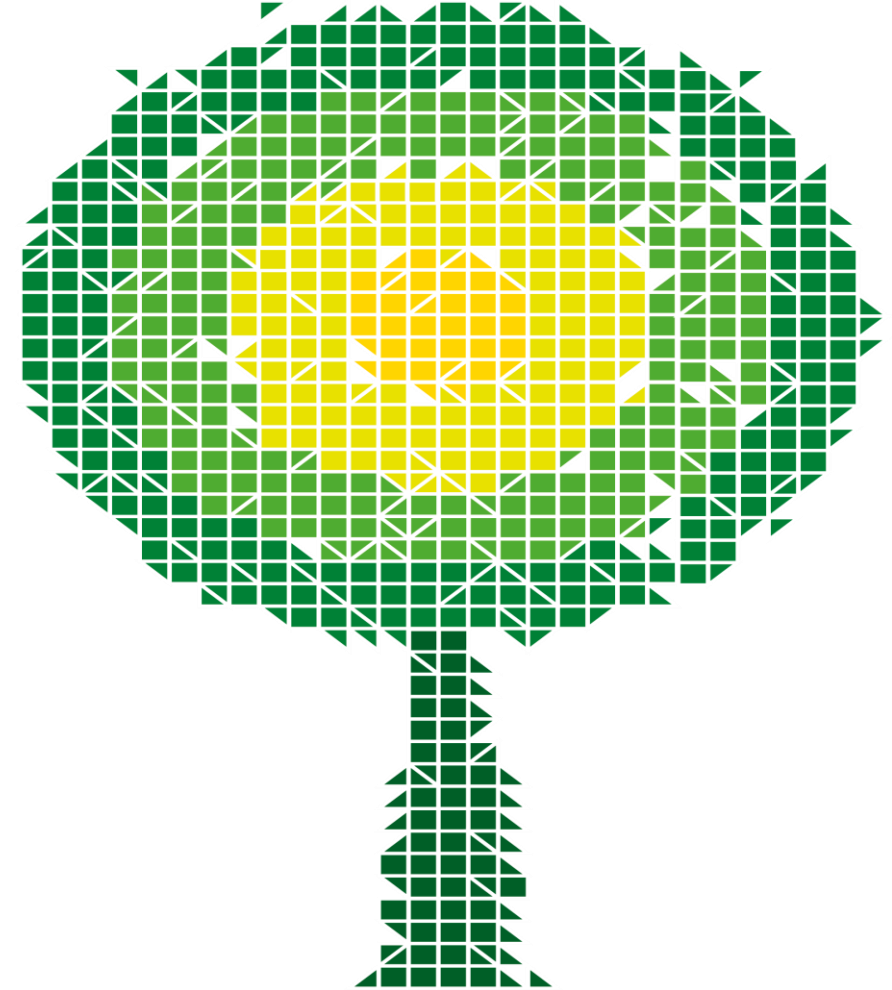


Recent and upcoming consultations and dates

- DCC User Mandates:
 - SMETS1 installation end-date – 13th July 2018 (R1.3 + 13 months, however this decision is under review until January 2018)
 - Distribution Network Operators User Mandate – 21st January 2018. (R1.3 + 6 months)
 - Advanced Meter Exception (AME) end-date for Large Suppliers – 21st January 2018 (R1.3 + 6 months)
 - AME end-date for Small Suppliers – 21st May 2018 (R1.3 + 10 months)
- DCC Mandate for Suppliers in Controlled Market Entry
- [SEC Panel Response](#) to DCC's R2.0 Plan and R2.0 Testing Approach Document Consultations.

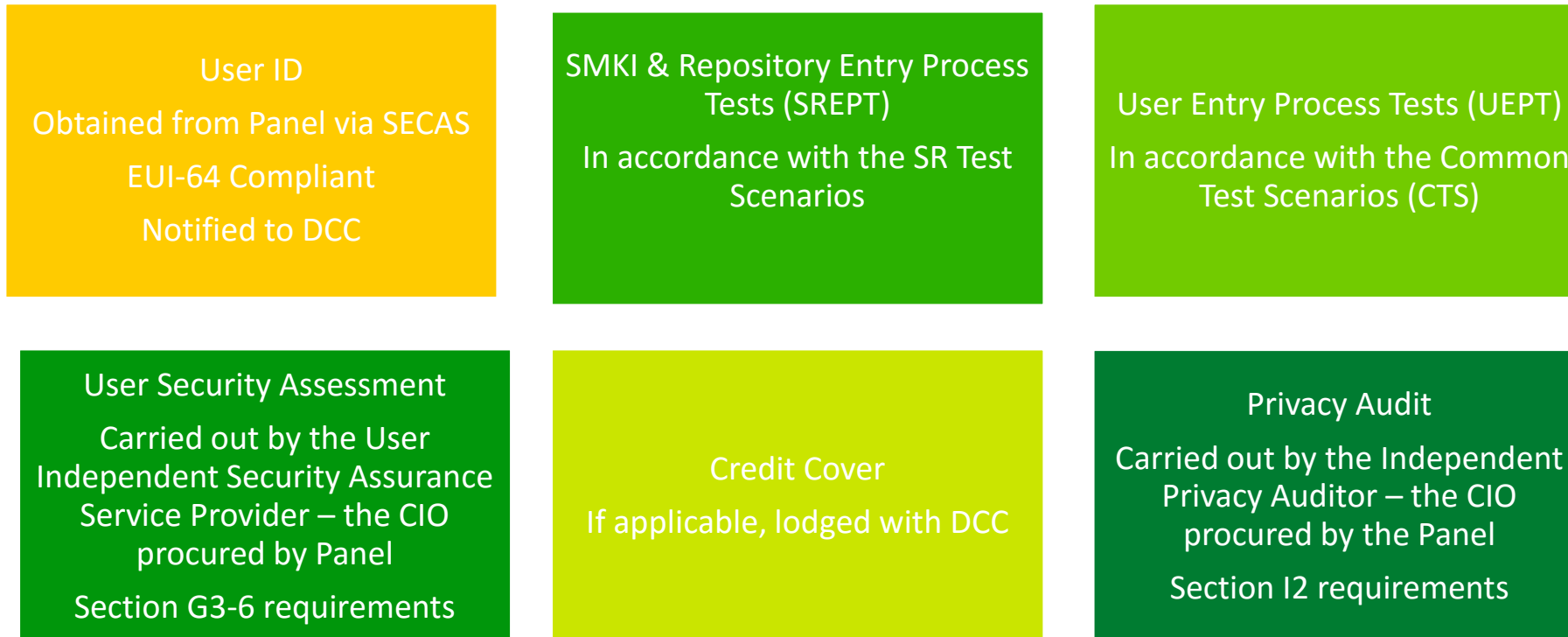
User Entry Process – quick review

Courtney O'Connor,
Operations Consultant, SECAS





UEP in a nutshell



Who does what?

Requirement	By	From?
User ID RDP ID	User Role eligibility through Users notifying DCC of their EUI-64 identifier, and DCC accepts	Panel – (Section B2) SECAS issue these following accession
User Entry Process Test (UEPT)	User successfully completing UEPT for each User Role you will operate in line with the Common Test Scenarios Document (CTSD) <i>Note: RDPs are not a DCC User Role</i>	DCC – (Section H14) Party demonstrates to DCC's satisfaction that they meet the criteria to enter and exit
SMKI & Repository Entry Process Test (SREPT)	Users successfully completing SREPT in order to be an Authorised Subscriber for Organisation and/or Device Certificates	DCC – (Section L7) sets out that DCC confirms completion
Security Assurance	All Users complete their CIO Assessment under Security Controls Framework	Panel – (Section G8) via SSC consideration of CIO report
Other User* Privacy Audit	Other Users complete their CIO Assessment under Privacy Controls Framework	Panel - (Section I2)
Credit Cover	Provide credit support to DCC for User Role	DCC – (Section J3)

**Note: Licensees have privacy conditions in their licences. However, if you also operate in the role of 'Other User' the SEC privacy audit arrangements apply*

UEP Evidence Form



Smart Energy Code (SEC) User Entry Process (UEP) Evidence Form

SEC Section H1.11 states that a Party will have successfully completed the User Entry Process for a particular User Role once the Code Administrator has received confirmation from the body responsible for each of the requirements set out in SEC Section H1.10 that the Party has met all such requirements.

The SEC Party is required to tick the User Role(s) that they have undertaken as part of their User Entry Process:

User Role	
Import Supplier	<input type="checkbox"/>
Export Supplier	<input type="checkbox"/>
Gas Supplier	<input type="checkbox"/>
Electricity Distributor	<input type="checkbox"/>
Gas Transporter	<input type="checkbox"/>
Registered Supplier Agent	<input type="checkbox"/>
Other User	<input type="checkbox"/>

The responsible bodies are as follows:

- DCC – SEC Section H1.10 (a) – we would expect the Party to forward to SECAS the DCC's confirmation that a User ID for the Party for a particular User Role has been accepted. This will likely be a copy of an email from the DCC confirming the above (unless there is a formal document issued by the DCC).
- DCC – SEC Section H1.10 (b) – we would expect the Test Completion Reports to be submitted by a Party to SECAS as evidence to show they have completed Testing.
 - Although not explicitly set out in the SEC, Parties will need to have successfully completed SMKI and Repository Entry Process Testing (SREPT) before they can commence User Entry Process Testing (UEPT).
- SEC Panel – SEC Section H1.10 (c) – we would expect an email / report from the SEC Panel to notify that a Party has had an assurance status set to 'Approved'.
- SEC Panel – SEC Section H1.10 (d) (if applicable) – we would expect an email / report from the SEC Panel to notify that a Party has had an assurance status set to 'Approved'.
- DCC – SEC Section H1.10 (e) – we would expect the DCC to confirm to SECAS that Credit Support (or additional Credit Support) has been lodged for a SEC Party. This will likely be a copy of an email from the DCC confirming the above (unless there is a formal document issued by the DCC).

We expect the SEC Party to provide the above. However, if this has been misplaced or lost, SECAS can and may contact the responsible bodies who oversee the above requirements.



This UEP Evidence Form has been produced in order to confirm the same to the Party, capturing evidence as Appendices and time-stamping when each step has been completed.

SEC Section H1.10 Clauses	Date Received	Evidence
SEC Section H1.10 (a) <i>Receive confirmation from the DCC that a User ID for the User Role has been accepted</i>		
SEC Section H1.10 (b) <i>Complete the required User Entry Process Tests for the User Role</i>		
SEC Section H1.10 (c) <i>Demonstrate the applicable security requirements were met, via a Security Assessment</i>		
SEC Section H1.10 (d) <i>If undertaking the process to act as an Other User, demonstrate that the applicable privacy requirements were met, via a Privacy Assessment</i>		
SEC Section H1.10 (e) <i>Provide Credit Support or additional Credit Support as required by the DCC</i>		

Table 1: UEP Evidence Form

If the above UEP Evidence Form has been completed incorrectly, or does not align to your own records, please contact the SECAS Helpdesk (secas@gemserv.com).

Please note: as required by the SEC, SECAS shall notify both the Party, as well as the SEC Panel and the DCC that a Party has completed UEP for a particular User Role.

[Link to form](#)

SEC Guidance

SEC Guides and other useful materials are currently available on the SEC Website at the below hyperlink:

[UEP Guidance](#)

Additionally, SECAS produces guidance on:

- Each section of the SEC
- SEC designations
- Processes and procedures
- Anything else you need to know? Tell us!



Who are the Party Support Analysts?



Party Category	Main Contact
Large Suppliers and Other Parties	Courtney O'Connor Courtney.OConnor@gemserv.com Tel: +44 (0)20 7191 1540
Small Suppliers	Nick Blake Nick.Blake@gemserv.com Tel: +44 (0)20 7090 7745
Network Parties	Huw Exley Huw.Exley@gemserv.com Tel: +44 (0)20 7090 1063
	SECAS@gemserv.com Tel: +44 (0)20 7090 7755

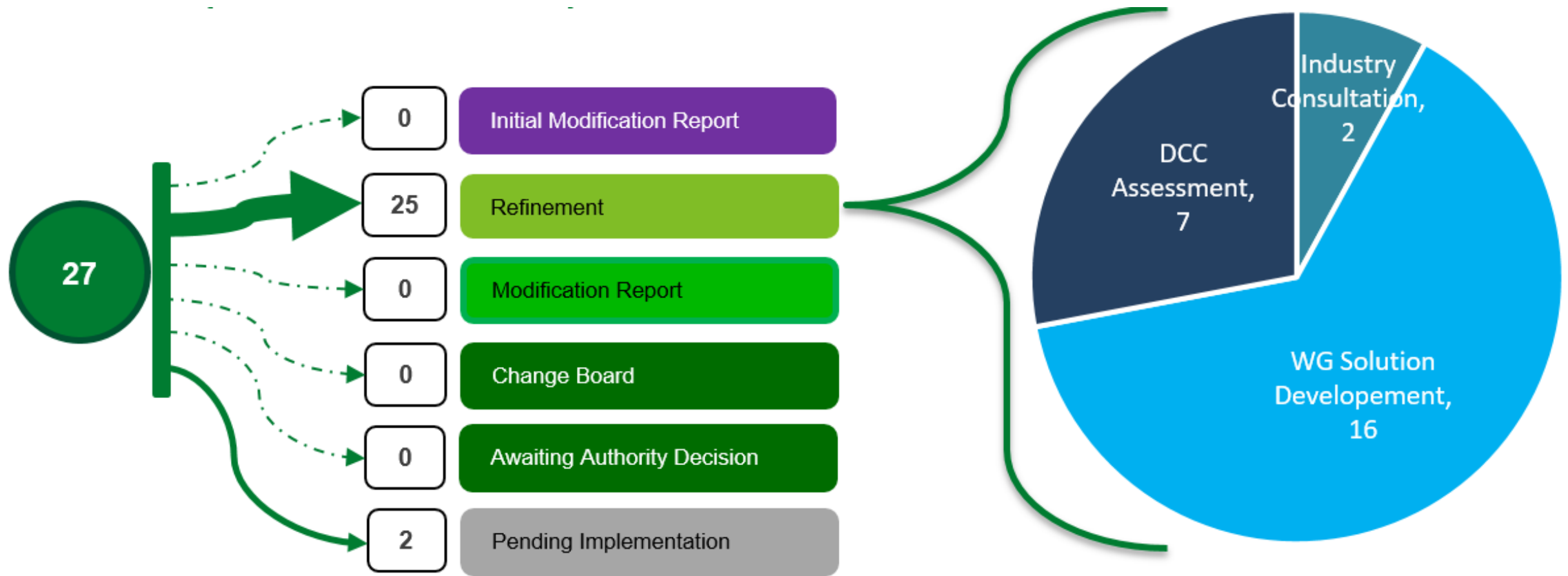


SEC Modification Proposals Update

Sasha Townsend
Senior Modifications Analyst



Active SEC Modification Proposals





Firmware Modification Proposals

- SECMP07 'Firmware updates to IHDs and PPMIDs'
- SECMP09 'Centralised Firmware Library'
- SECMP24 'Enduring Approach to CH Firmware' Management"

For further information on these modifications, please contact **Sasha Townsend** at SEC.Change@gemserv.com



Pre-payment Modification Proposals

- SECMP27 'Amending Service Request Forecasting
- SECMP28 'Prioritising Service Requests'
- SECMP31 'Adding UTRN functionality to SMETS'
- SECMP32 'Prioritising Prepayment Customers in no-WAN situations'
- SECMP37 'Pairing Local PPMIDs'
- SECMP38 'Sending Commands via PPMIDs'

For further information on these modifications, please contact **Selin Ergiden** at SEC.Change@gemserv.com



Governance Modification Proposals

- SECMP34 'Changes to the Section D for DCC analysis provisions'
- SECMP41 'Amending the Change Board decision making rules'

For further information on these modifications, please contact **Talia Addy** (MP23) and **Selin Ergiden** (MP41) at SEC.Change@gemserv.com



Upcoming Meetings & Consultations

Working Group Meetings

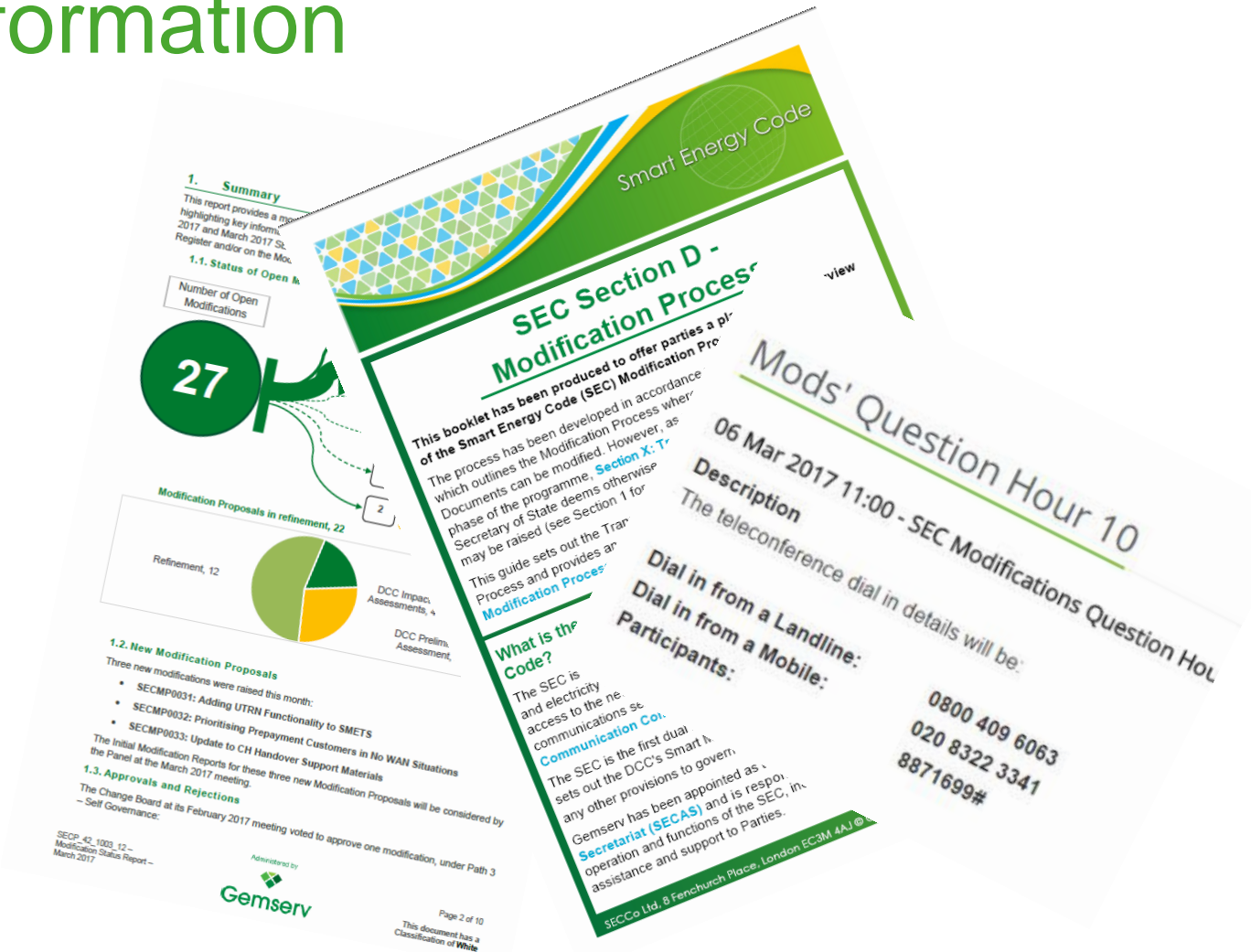
- SECMP39 'CH returns notification mechanism for Other SEC Parties' – **28th November 2017**

Industry Consultations

- SECMP29 'Business Continuity and Disaster Recovery Testing Amendments'
- SECMP34 'Changes to the Section D for DCC analysis provisions'

Where to find more information

- Guidance on the SEC Website
- Modification and Release Content Status Report
- Monthly SEC Modification Proposal Question Hour



SEC Modifications Register

Details (Open Modification Proposals)			2017																																							
Mod Ref	Title	Current Stage	Aug-17					Sep-17					Oct-17					Nov-17				Dec-17					Jan-18															
			31st - 4th	7th - 11th	14th - 18th	21st - 25th	28th - 1st	4th - 8th	11th - 15th	18th - 22nd	25th - 29th	2nd - 6th	9th - 13th	16th - 20	23rd - 27th	30th - 3rd	6th - 10th	13th - 17th	20th - 24th	27th - 1st	4th - 8th	11th - 15th	18th - 22nd	25th - 29th	1st - 5th	8th - 12th	15th - 19th	22nd - 26th	29th - 2nd													
SECMP02	Add New Command to Reset Debt Registers	DCC IA																									WG Consultation					WG										
SECMP05	Add Tariff and Register Labels in SMETS2 Devices	DCC IA																														WG										
SECMP06	Specify number of digits for device displays	Pending Implementation		Change Board	Authority Decision																																					
SECMP07	Enable OTA firmware updates to mandated HAN devices	WG Consultation						WG Consultation																														WG				
																		DCC IA?																								
SECMP009	Centralised Firmware Library	Refinement											WG					WG										DMR	MR Consultation					Change Board								
SECMP010	Introduce triage arrangements for Comms Hubs	DCC PA																																								
SECMP012	Add channel selection for Shared HAN solutions	DCC PA																																								
SECMP013	Introduce triage arrangements for SMETS2 devices (e.g. smart meters)	Refinement																																								
SECMP015	GPF Timestamp for Reading Instantaneous Gas Values	Refinement																																								



Business Architecture Document (BAD) & Business Architecture Model (BAM)

Kayla Reinhart
Systems and Design Senior Analyst

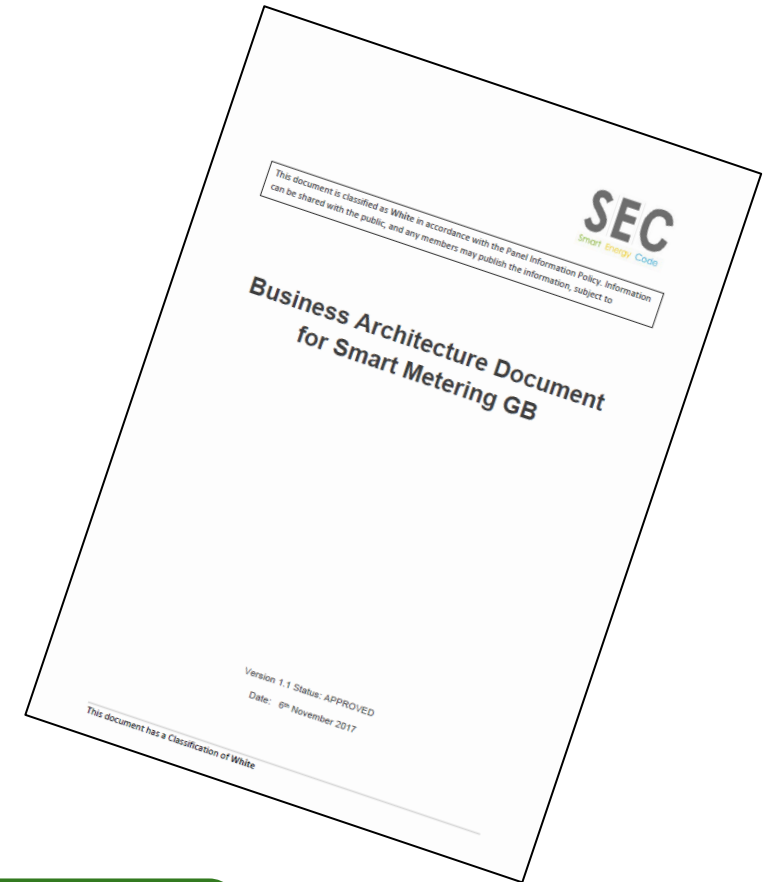


Business Architecture Document

- Lays out the current GB Smart Metering Business Architecture that exists under the Smart Energy Code (SEC).
- Business Architecture is designed to enable Parties to use the Services and/or to enable Parties, Energy Consumers and those acting on behalf of Energy Consumers to access the functionality described in the Technical Specifications.
- SEC Section F1.4 sets out the duties of the Technical Architecture and Business Architecture Sub-Committee (TABASC), on behalf of the Panel, to develop and maintain a BAD.

The BAD includes:

- a main document containing introductory sections, a Target Operating Model, change management and the functional and process areas; and
- an accompanying model providing visual representation of the process within the main BAD.



The BAD is available on the SEC Website:

<https://smartenergycodecompany.co.uk/the-business-architecture-document-bad/>

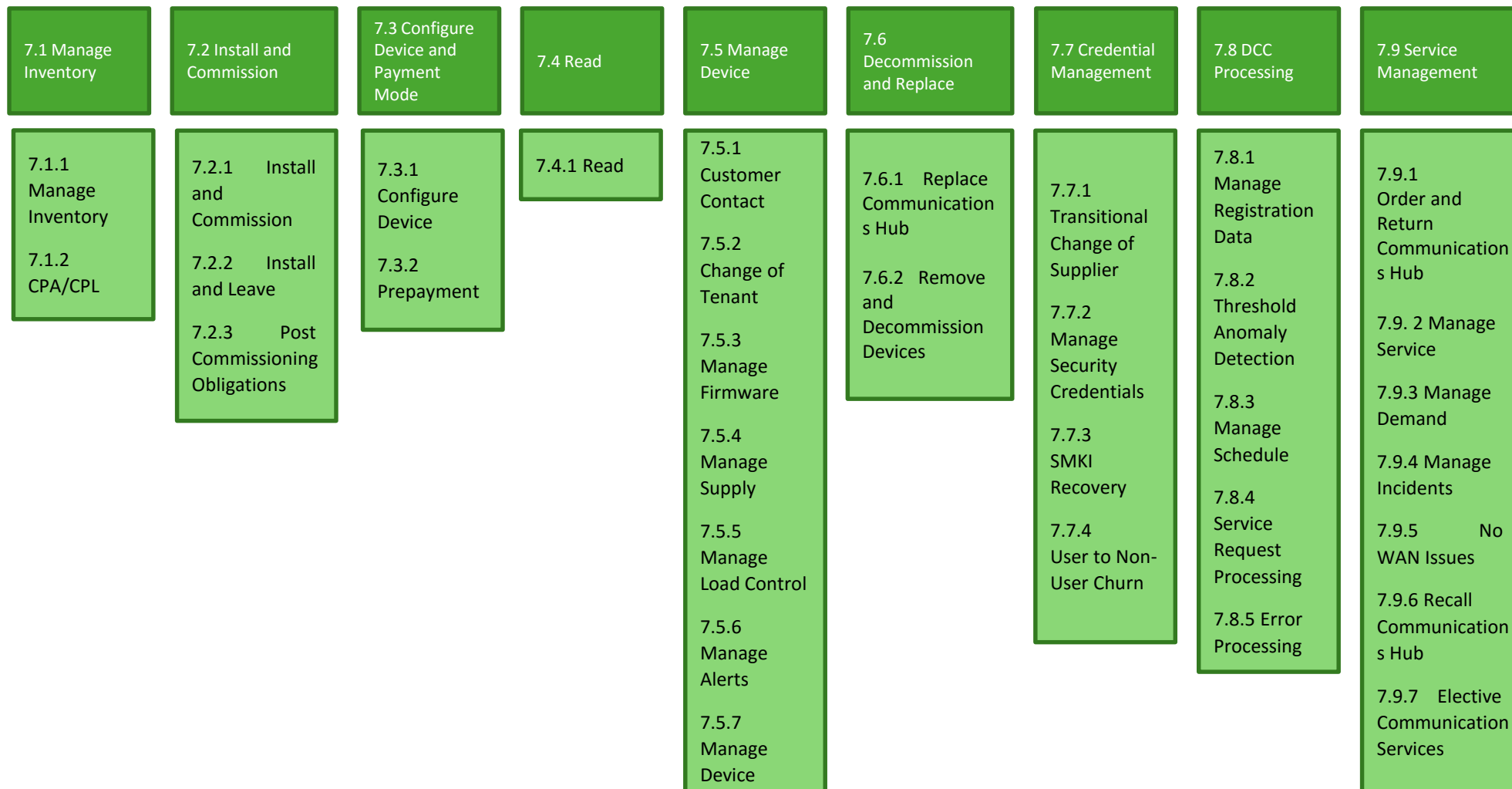


Structure of Business Architecture Document

1. Introduction
2. Background
3. Scope
4. Target Operating Model
5. Tooling and Relationship to Business Architecture Model
6. Change Management
7. Functional and Process Areas

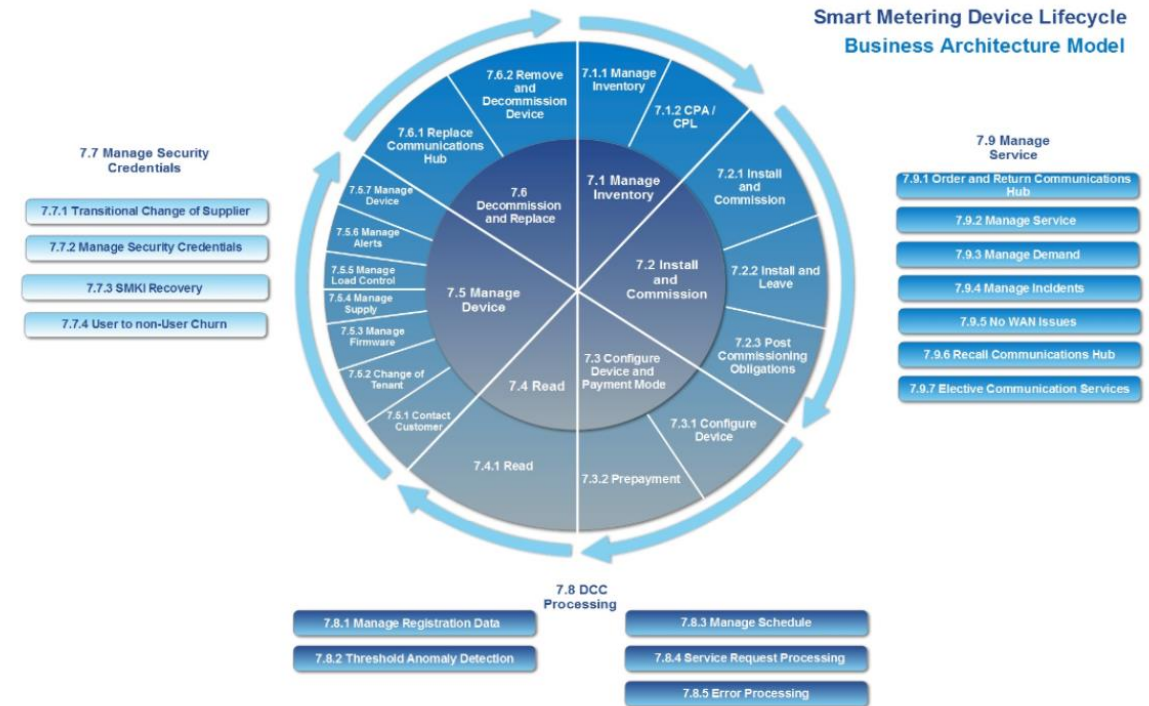


Functional and Process Areas



Business Architecture Model

- Sits alongside the BAD.
- Provides a high level view of the Business Architecture and associated SEC obligations.



The BAM is available on the SEC Website:

<http://cwgemserv.northeurope.cloudapp.azure.com/evolve/statics/y0taky4w/#cwtype=index&cwview=home>



Context and Assumptions behind the Model

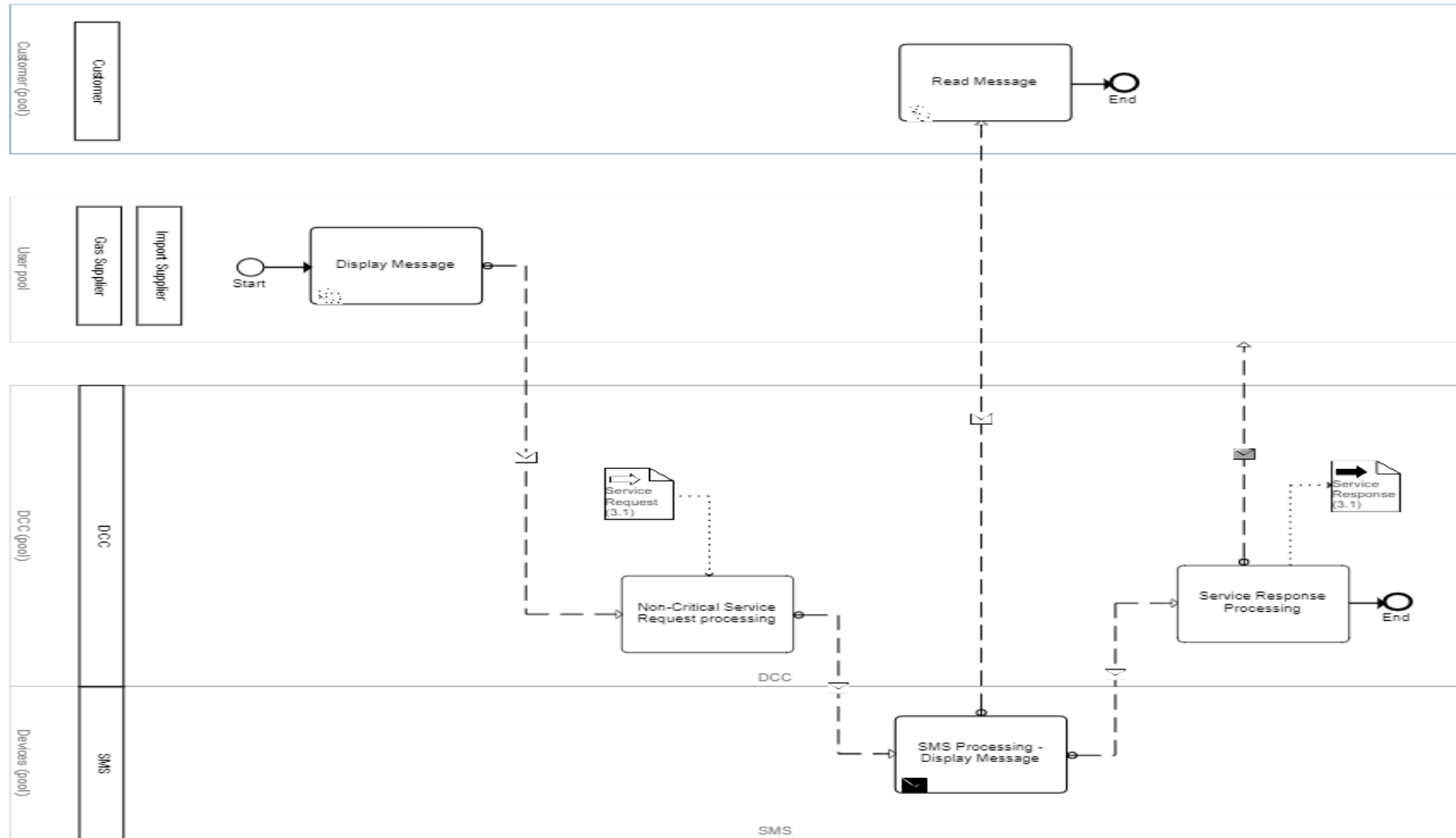
1. The Model is based on SEC and its subsidiary documents.
2. The Model was developed from and is supported by more detailed process descriptions, sequence diagrams and governance documents which comprise the BAD.
3. It is intended to be a working model, which will develop and evolve through time as directed by TABASC, in line with updates and changes to the SEC introduced by future SEC Releases of content.
4. The style is deliberately vernacular, not regulatory or legal.
5. The model is intended to have enough detail to make sense of the end to end process, but not to replicate the many existing documents;
 - a) it will include text from key documents where these are directly relevant
 - b) it will refers out to key parts of SEC Sections, DUIS, GBCS, SRPD, CHTS and SMETS.
6. The Actors are those defined by DUIS. The highest level of abstraction has been used; e.g. a process which is the same for all types of Supplier would use Supplier as the Actor.



Context and Assumptions behind the Model

7. The model has two levels; one for the business processes, and a more detailed level for those processes which continually recur. (With exceptions included in the text). At present this includes;
 - a) Critical SR Processing.
 - b) Non-Critical SR Processing.
 - c) Non-Device SR Processing.
8. The priority has been to describe the best case scenario, including SRs, Device Alerts and DCC Alerts.
9. The focus is to describe the interactions that occur across DCC interfaces and to the extent that the effects on a device or the type of device is relevant.
10. The model also identifies the interdependencies between process steps and actors.

Example – 7.5.1.5.1 Display Message





Change Management

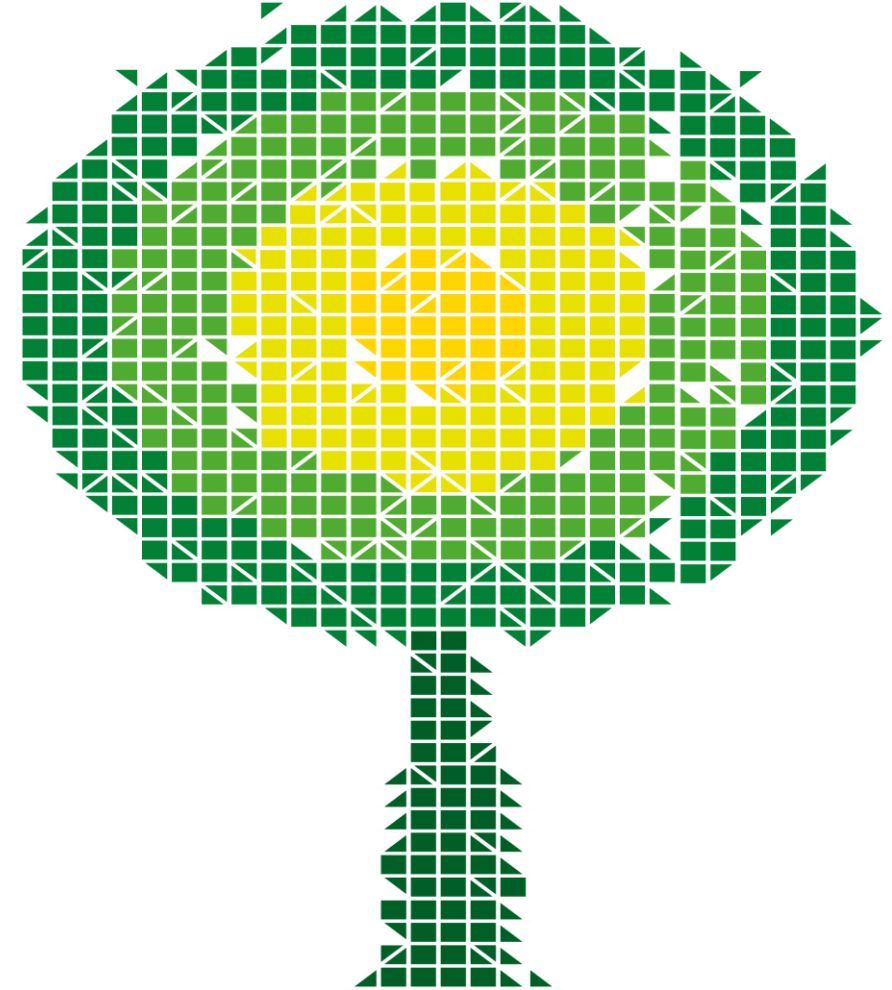
- The BAD and BAM will be maintained as part of the on-going release management cycle.
- The updated BAD and BAM will be published and issued on the effective date, including the necessary changes



- The SoS led changes to the SEC planned for Release 2.0 and SMETS1 Services (previously referred to as Release 3.0) will have an impact on the Business Architecture
- The extent of the impacts are being assessed by SECAS to then enable the drafting and preparation of the required updates to incorporate these changes

Release Management

Courtney O'Connor,
Operations Consultant, SECAS





Release 1.4 – DCC's Latest Uplift

Release 1.4 implemented the three following functional changes:

Multiple User IDs (SEC H1.5): Provides functionality to support Users which choose to use more than one User ID for each SEC Party and User Role

SSI changes (SEC H8.16(c)): Provides functionality to allow Users to access audit table records for 'Read Profile Data' and 'Retrieve Daily Consumption Log' Service Requests for any supply point, including those which are not registered to that User; and

Changes to the Anomaly Detection Limits: These changes support a request made by the Security Sub Committee in relation to the Anomaly Detection SMETS Object Limits. They accommodate four new data value checks based on SMETS objects for Signed Pre-Commands received by the DCC Systems



Release 2.0

- Expected in September 2018
- Release 2.0 will contain DCC and/or SEC Party System impacting changes. The content of the release will primarily be SoS (BEIS) executed changes, and is expected to take the form of:
 - changes to support Dual Band Communications Hubs, and
 - changes to the Technical Specifications and GB Companion Specification (referred to as the TSG2 changes and no includes 15 BEIS Issue resolution Proposals (IRPs) that were previously de-scoped and moved to 'Release 3.0');
 - Implementation of SECMP0006; and
 - Implementation of SECMP0008
- In addition, Release 2.0 may be supplemented by internal DCC changes undertaken in accordance with the DCC Release Management Policy and approved Modification Proposals.



Release 3.0



SMETS1 Enrolment and Adoption is expected from November 2018.

Release 3.0 will contain DCC and/or SEC Party System impact changes. the content of the release will primarily be SoS (BEIS) executed changes.



The June 2019 Release



This will be a 'hybrid' Release.

It will be overseen by the SEC Panel and will include de-scoped BEIS changes from R2.0

The changes will reflect BEIS' Initial Resolution Proposals.

In addition it will contain changes to the Technical Specifications and GB Companion Specification (that were de-scoped from the TSG2 changes included in Release 2.0).



Release Management Consultation – Closes 15th December 2017

In accordance with the SEC, the Panel and the DCC are each required to develop and maintain a Release Management Policy that covers the implementation of Modification Proposals and Internal DCC System Changes respectively.

A Release Management Document has been produced to cover the overarching approach to managing releases.

The consultation seeks views on the Release Management approach set out in the Release Management Document and each of the respective Policies.



Testing Advisory Group and the RMP

When required, the Testing Advisory Group (TAG) will be utilised to review and comment on Modification Testing at a modification specific level.

The TAG will also be utilised to review and comment on the approach for release level testing, testing progress and testing outcomes, to aid the Panel in any decisions that are required. A timetable of when TAG input is expected will be included as part of the wider implementation approach timescales in the RID.

Users will be kept informed as to what type of testing will be required and when it will take place, in line with the approach set out in the RID. This information will be communicated to Users via email and through the SEC Website. In addition, any supplementary testing information will be made available on the respective release page on the SEC Website.



Testing Advisory Group

Following the September 2017 SEC Panel meeting, the Panel agreed revisions to the Testing Advisory Group (TAG) Terms of Reference (ToR) to clarify the ongoing role of the TAG. This includes TAG to support the Panel with matters relating to transitional release testing activities and enduring release activities.

In addition, the Panel agreed that a nominations activity should be undertaken to bring the TAG membership up to the level set out within the ToRs.

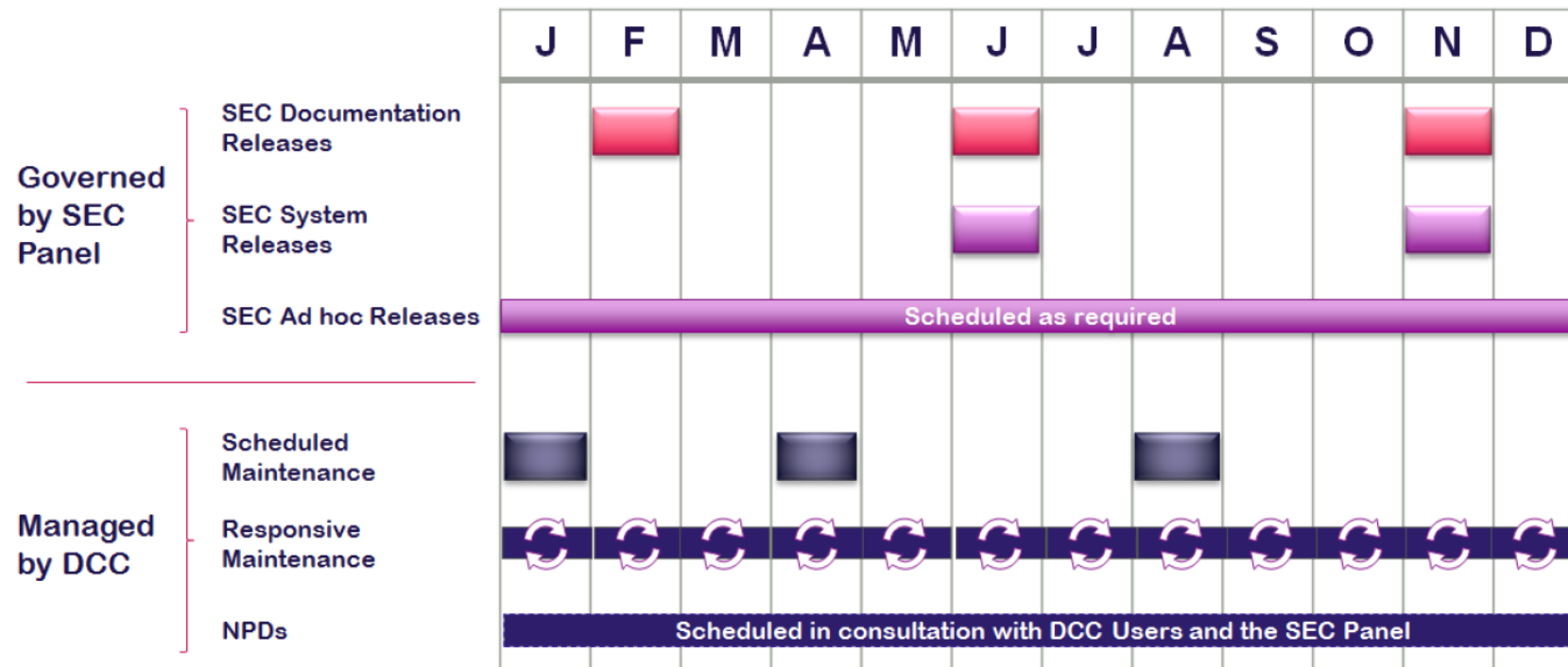
TAG are still seeking: 3x Small Suppliers, who may act on a rota basis and 3x Network party members



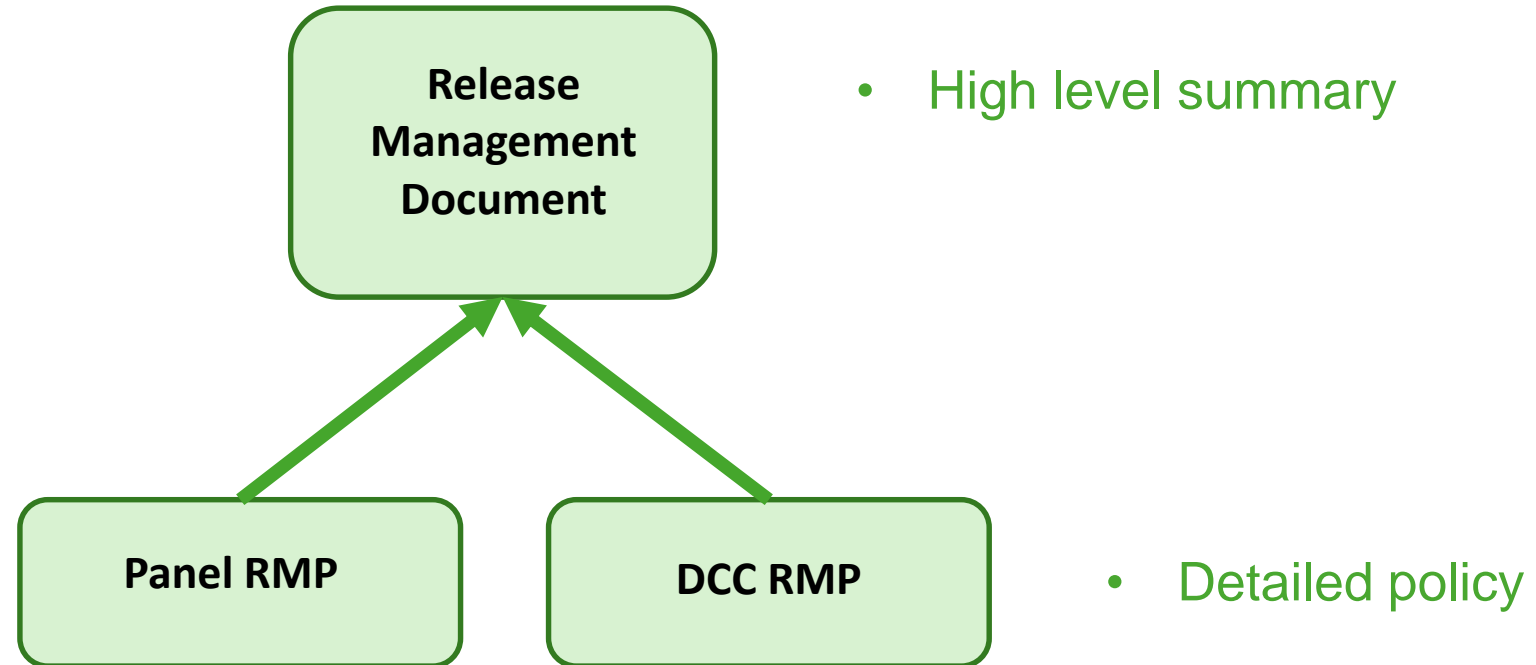
Proposed Release Frequency and Schedule

Release Type	Description	Frequency	Release Type	Description	Frequency
SEC Documentation Release	SEC release including Modifications that have no impact on the DCC Systems.	1 per year	DCC Scheduled Maintenance	Resolution of non-emergency production faults and problems plus defects of all severities, plus any other change to the DCC Total System that isn't new.	3 per year
SEC System Release	SEC release including Modifications that may have an associated impact on DCC Systems	2 per year	DCC Responsive Maintenance	Resolution of high priority and severity production faults on a fix-on-fail basis. Including Security fixes.	Ad-Hoc
SEC Ad-Hoc Release	Implementation of a Modification outside the scheduled release as required, if urgent.	Ad-Hoc	New Product Development	Scheduled as required and in consultation with DCC Users and SEC Panel.	Ad-Hoc

Proposed Release Frequency and Schedule



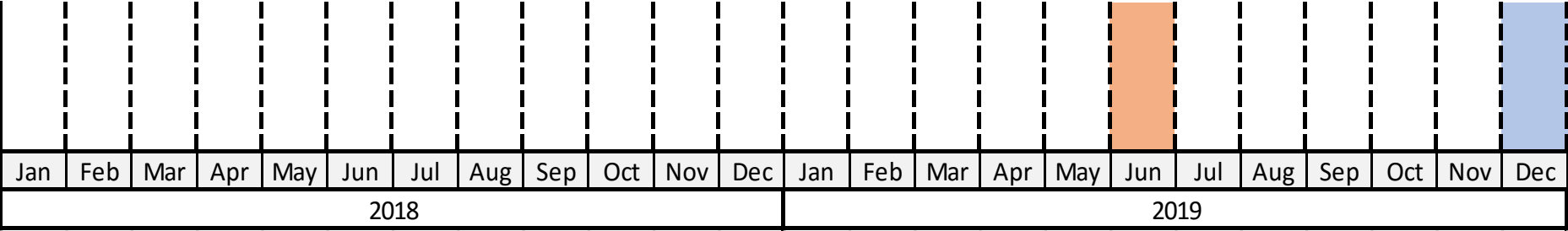
Structure





Panel RMP - Example

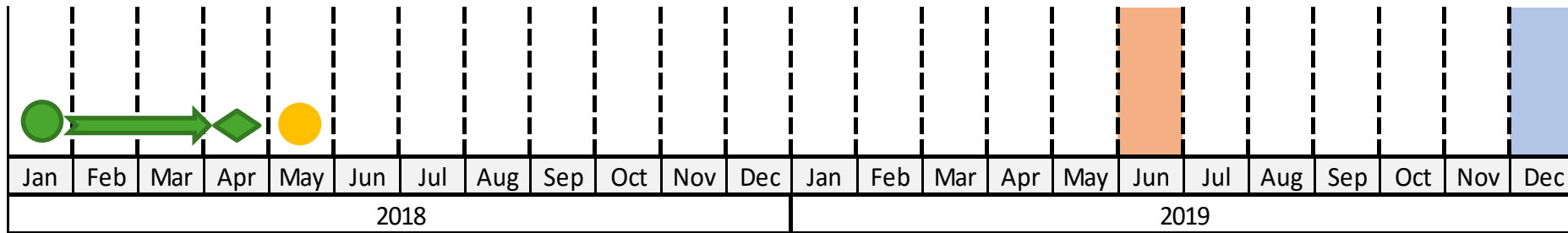
- June 2020 Release
- Release cut off – June 2019 for systems impacts and Dec 2019 for documentation impacts only





Panel RMP - Example

- MP001 - Mod Report
- June 2020 date set

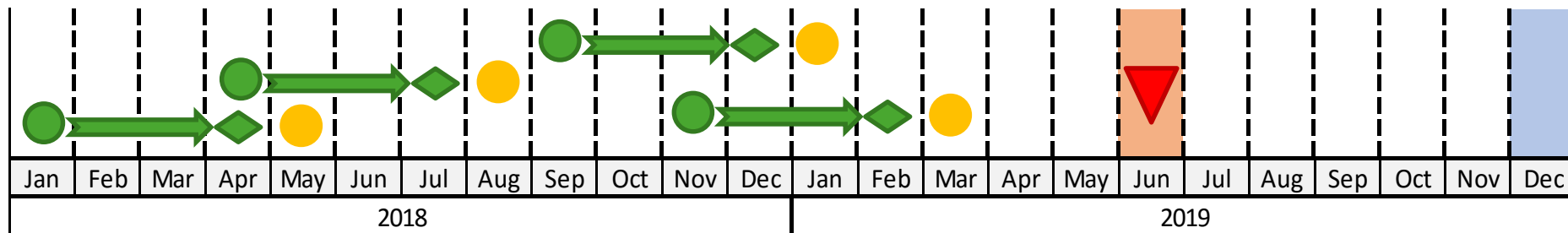


- In our example the decision to approve is in April
- Release Implementation Document produced in May



Panel RMP - Example

- Further change added to scope of the release, in the form of additional modifications, if necessary.

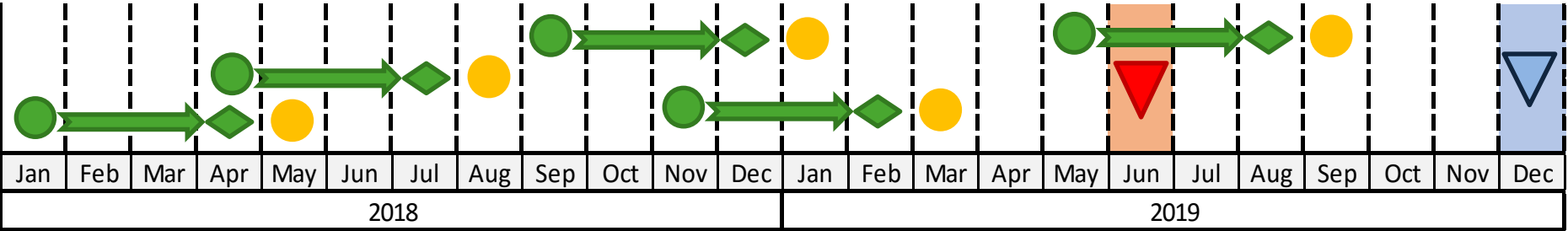


- Scope finalised and Release Implementation Document (RID) updated.



Panel RMP - Example

- The RID can be continued to be updated with document only changes until the 6 month cut off period (December 2019)



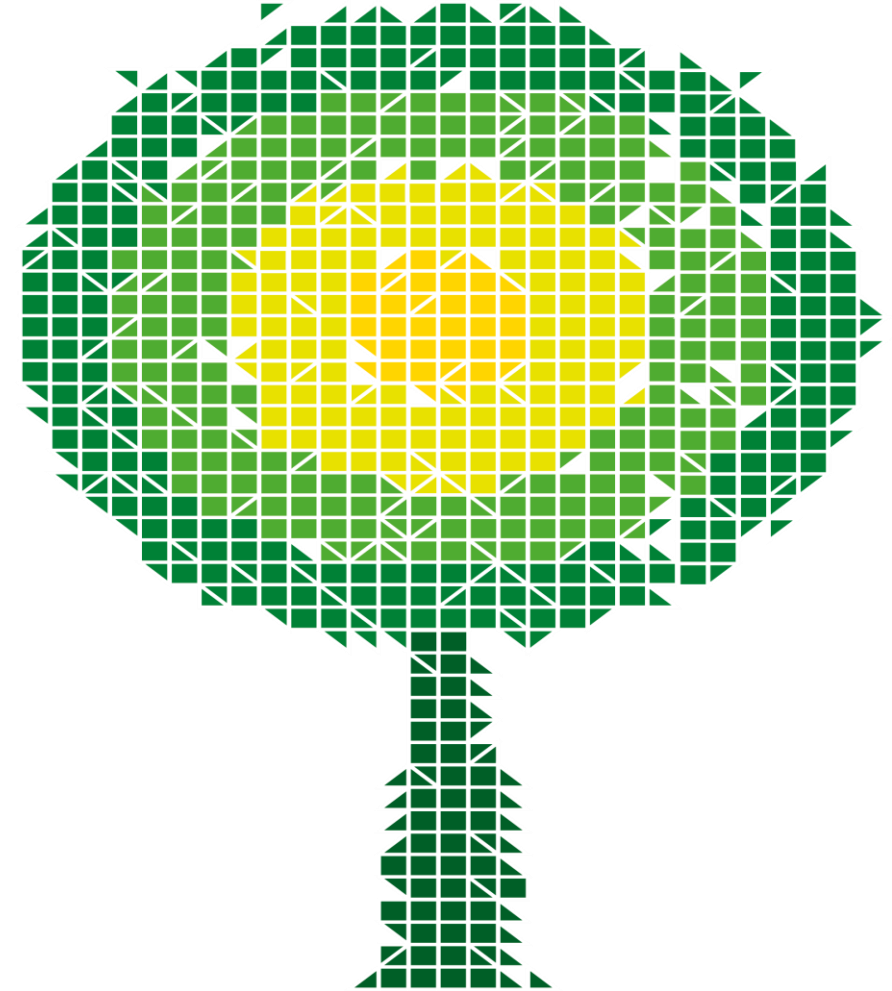


Baselined Documents

- The baselined documents for upcoming releases can be found on our website under the Developing SEC page.
- These specifications are still subject to change through the standard Issues Management Process. Stakeholders can ascertain the latest changes to the specifications prior to designation via the Issues Management Process available on the Tech Spec Feedback area on Huddle. Stakeholders who do not already have access to this should email smartmetering@beis.gov.uk.

Security Lifecycle

Moses Akinniranye
Senior Security Co-Ordinator, SECAS





Purpose and Relevance

- **Purpose:** to provide attendees with a high-level overview of the **User Security Assessment lifecycle**, with specific focus on Year Two assessments – which, for attendees, is likely a **Verification Security Assessment**.
- **Relevance:** all DCC Users are required to undertake an annual User Security Assessment to demonstrate continued compliance with **SEC Section G – Security**.

QUICK RECAP & BACKGROUND





Initial Assessments: Who Needs What?

- User Security Assessments are a part of the User Entry Process and are a key focus on continual compliance with the Code. Therefore:

Security

- All DCC Users

Privacy

- All SEC Parties acting in the capacity of an '**Other User**'



Why is Security important?

- SEC Parties and/or DCC Users are assessed against SEC Sections G3 – G6 (these relate to **DCC Users only**).
- Security is a fundamental principle within the architecture and design of Smart Meters. This is applicable for Smart Meters, the DCC and DCC Users, hence annual assessments and checks for all three.
- As a SEC Party / DCC Users, you are assessed by the User Competent Independent Organisation (**User CIO**) – who is Deloitte MCS Limited (and was appointed by the SEC Panel in July 2015).
- Control Frameworks are used to ensure that SEC Parties and/or DCC Users are assessed to a baselined expectation and standard – for security, this is called the **Security Controls Framework (SCF)**.
- There are 47 SEC Clauses that SEC Parties and/or DCC Users will be, or are, assessed against in '*most*' **DCC User Roles**.



Are there any exceptions in relation to User Security Assessment Scope?

- There are two DCC User Roles that have obligations excluded from them for their User Security Assessment – meaning they are subject to a Full User Security Assessment which is focused on specific clauses only (and not all of SEC Sections G3-G6).
- These are **Export Supplier (ES)** and **Registered Supplier Agent (RSA)**.
- SEC Section G1.7 sets out what a User Security Assessment for an ES and an RSA will be assessed against.



Security Controls Framework (SCF)

- The SCF is a document which has gone through numerous iterations (and will continue to do so) and has now been split into two parts:
 - Part One: User Assessment Methodology; and
 - Part Two: User Assessment Guidance.
- It sets out the key areas of focus for User Security Assessments, specifically:
 - Pre-Assessment;
 - Assessment; and
 - Post-Assessment.
- The latest iteration has taken into account and now sets out the scope of the Verification Security Assessment. This latest iteration is v1.10 and is available on the SEC Website.



The story so far...

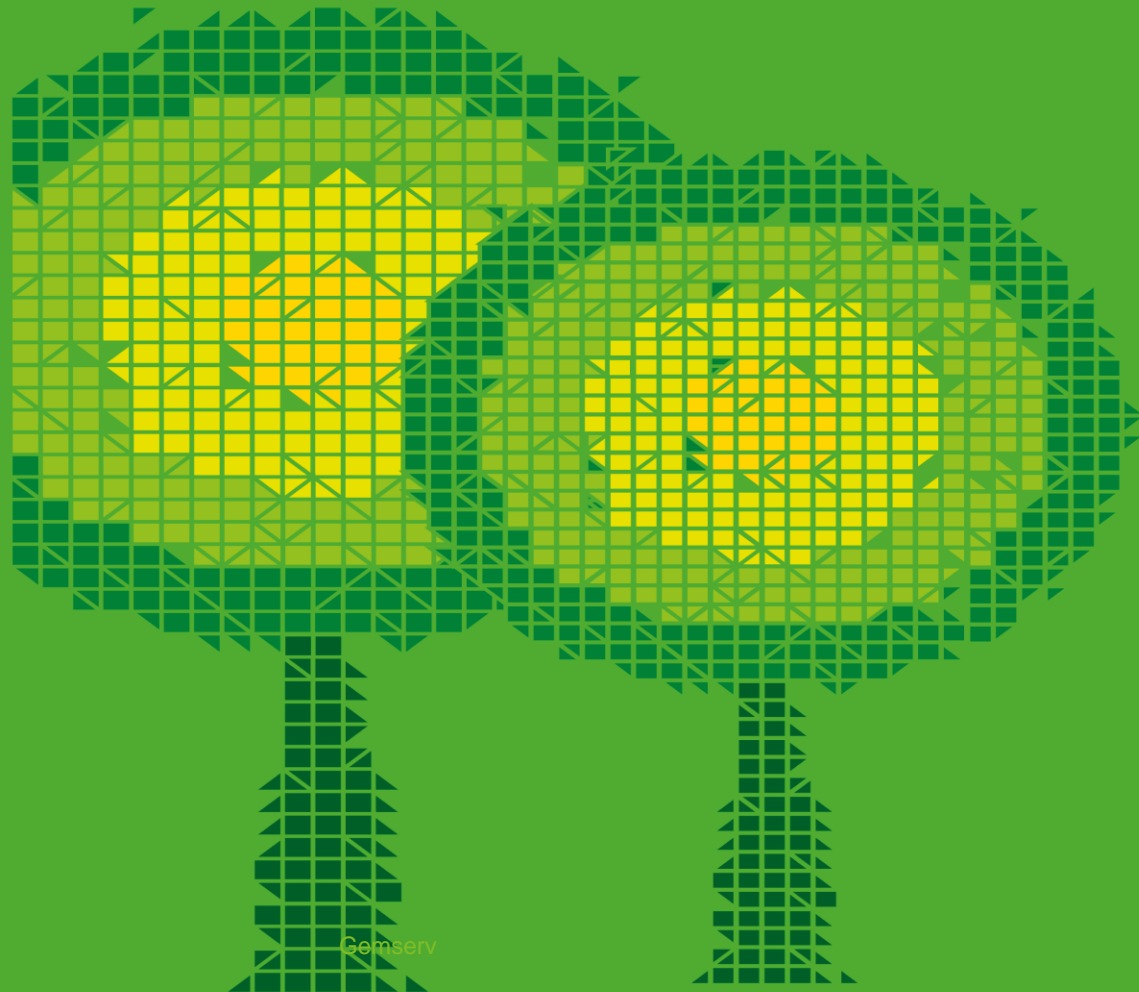
- For many in the audience, your SEC Party will have gone through (or is in the process of undertaking) the **initial Full User Security Assessment (FUSA)** and equally, will have or be in the process of completing the wider **DCC User Entry Process**.
- To continue using DCC Services, you will need to start thinking about your next annual User Security Assessment. This, in theory, is likely to be a **Verification Security Assessment**.
- For the **Non-Domestic Suppliers** in the audience, you will need to begin factoring in your initial FUSA.
- BEIS' current '*minded to*' position for Non-Domestic Suppliers to become DCC Users is 25th August 2018.
- If you are a Non-Domestic Supplier, please come and speak to a member of SECAS to understand the process and the ways in which you schedule your assessment.



A change to scheduling future User Security Assessments...

- SECMP0040 – Changes to how DCC Users schedule and carry out User Security Assessments after completion of the User Entry Process
- This modification will/has changed the ways in which User Security Assessments (for Year Two and beyond) are scheduled.
- This modification will mean that, 12 months after completion of the User Entry Process and initial FUSA (and has been set an assurance status of 'approved', or 'approved, subject to...'), the SEC Party and/or DCC User will need to schedule their next assessment.
- This modification has been introduced to avoid '*bunching*' of SEC Parties and/or DCC Users throughout each year – managing expectations, SSC's future business and User CIO resource.

YEAR TWO ASSESSMENTS





What SEC Clauses are relevant?

- The SEC sets out the **User Security Assessment Lifecycle** for DCC Users (*after they have completed the DCC User Entry Process*). This lifecycle details the User Security Assessment that each DCC User will need the year after the initial FUSA.
- This is set out in the Code as **Security Assurance Assessments: Post-User Entry Process** and can be found in SEC Sections G8.41 – G8.50.
- As always, each DCC User should recognise that they are accountable for the security of their **User System** – whether or not you outsource and use a **Shared Resource**.
- The use of a Shared Resource can help bring in necessary expertise to support your compliance with the Code, but it can also increase the level of risk that you are exposed to. More on Shared Resources later...



Assessment Types once you are a DCC User

- As mentioned on the previous slide, the SEC is explicit in what type of assessment is required for **Supplier Parties**, **Network Parties** and **Other Users**. The assessment type is determined by:
 - The number of Smart Metering Systems that are used to supply electricity and/or gas which the User is the **Responsible Supplier** for;
 - The number of Smart Metering System that are used to supply electricity and/or gas which the User is the '**Electricity Distributor**' or '**Gas Transporter**' for; or
 - For Users that are neither a Supplier Party or a Network Party (e.g. in the '**Other SEC Party Category**'), then SEC Section G8.47 is the assessment lifecycle you are subject to.
- SEC Section A defines a Smart Metering System as an Electricity Smart Meter, or a Gas Smart Meter, together with the Communications Hub (CH) Function with which it is Associated, and any associated Type 1 Device, and, for Gas Smart Meters, a Gas Proxy Function (GPF).



Gemserv



Assessment Type using a Shared Resource

- It is recognised that many Suppliers are using a Shared Resource to deliver the functionality required to support Smart Meters via their User System.
- For your initial FUSA, your Shared Resource has '*likely*' played a key role in helping you through the first assessment.
- For your Year Two assessment, it is '*likely*' that they will continue to play a significant role.



Assessment Type using a Shared Resource

- The SEC is explicit in that, from a risk based point-of-view, the number of Smart Metering Systems you use will also need to consider the Smart Metering Systems of other SEC Parties and/or DCC Users using that Shared Resource too. This means that – once the number of Smart Metering Systems communicated via a Shared Resource surpasses 250,000, each DCC user using said Shared Resource will be subject to a Full User Security Assessment.
- **However**, the Security Sub-Committee (SSC) is looking at the ways in which a Shared Resource can be assessed outright (reducing the burden on Small Suppliers before the bulk of Small Suppliers begin their Year Two User Security Assessment). This is being assessed and progressed by the SSC, with the intention of raising a modification.
- Shared Resources have been engaged by the SSC Chair and SECAS – and further information shall be communicated in the future.



Verification Security Assessment Scope

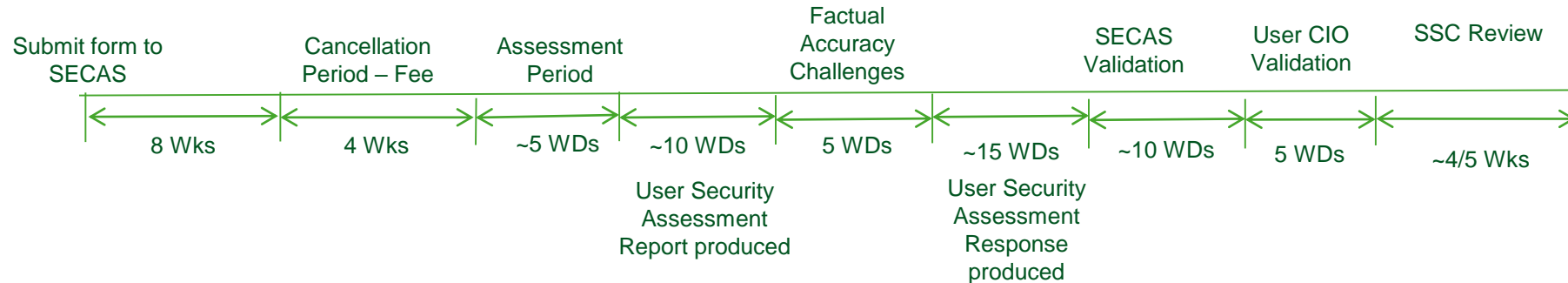
- Please note that the scope of the Verification Security Assessment is being reviewed by the Security Sub-Committee (SSC).
- This is due to the SSC having recently reviewed the first Verification Security Assessment outputs. As the SSC progress through this process, areas of improvement and change are identified.
- These changes will be introduced in future iterations of the Security Controls Framework (SCF).
- **Currently**, the SCF (Part 2) sets out the current scope of the Verification Security Assessment. This is set out in Appendix G: Verification User Security Assessment.
- There are twelve areas that are within the scope of the Verification Security Assessment.



Scheduling a Verification Security Assessment

- An [Assessment Application Form](#) is available on the SEC Website.
- The form is to be submitted to SECAS **at least** 12 weeks in advance of the requested assessment date. This is due to SEC Parties and DCC Users wanting to schedule their User Security Assessment.
- Once received, SECAS will review and then forward to the User CIO, who will undertake a Conflicts of Interest check. Following this, the User CIO (via SECAS) will provide an **indicative cost**, as well as a **timetable** for the User Security Assessment to each SEC Party and/or DCC Users.
- The indicative cost is a ‘*worst case*’ scenario cost which looks at your assessment taking the full amount of time. In reality, this is likely not the case (for example, you are using a Shared Resource who has been previously assessed by the User CIO).

User Security Assessment Process for a Verification Security Assessment



- As mentioned, the User CIO requires **at least** 12 weeks notice prior to undertaking a User Security Assessment on a SEC Party or DCC User.
- SEC Parties and/or DCC Users will be subject to a ‘cancellation fee’ if the User Security Assessment date is changed within four weeks of the proposed start date. This is normally 25% of the cost of your User Security Assessment (unless the User CIO can re-deploy the resource to another assessment).**
- The SSC meets on the second and fourth Wednesday of each month, with the SEC Panel meeting on the second Friday of each month (*though they can and will meet on the fourth Friday of each month too*).
- Please note we work on provisional planning – we will confirm an actual SSC meeting date closer to the time once the SSC Chair and the SSC have an agreed forward look.



Assurance Arrangement Differences

- As part of the DCC User Entry Process, the SSC will set an assurance status for your initial FUSA. Assurance Status' are only applicable for **Year One only**.
- For Year Two and beyond, a DCC User is simply either Compliant or Not Compliant with the Code. If you are Compliant, then you will continue to use the DCC Services as is. If you are Not Compliant, then you will be in breach of the Code and therefore trigger an **Event of Default**.
- Provisions are specifically set out in SEC Sections G8.54 – 8.60.
- Further information on Event of Default Process can be found [here](#).

DCC Programme and Business Update

Nicola Farley

Industry Partnership Manager

23 November 2017



Independent Suppliers' Forum Presentation Scope & Objectives

1. DCC Business and Programme Update

- **Release 2.0**
- **SMETS1**

2. E2E Testing and DCC onboarding

3. Upcoming Events and getting in touch

DCC Update

Current System Release R1.4

Details on release functionality are on DCC's [SharePoint](#).



DCC completed the uplift the R1.4 code into production on 5 November 2017



DCC issued our readiness assurance statement to SEC Panel



R1.4 remains available in UIT, for customers to test

DCC Programmes

Release 2.0

Summary:

Release 2.0 comprises of the introduction of dual-band Communication Hubs (DBCHs) and some changes to the DCC systems and processes to reflect changes to a number of underlying technical documents.

Key dates: Go live on 30 September 2018. DBCH available from 13 October 2018 (initial volumes), 13 December 2018 (full volumes).

Status: SIT for Release 2.0 is planned to commence on 13 November 2017. DCC is in the process of procuring meter device support for Release 2.0 Device Integration Testing.

DCC Programmes

SMETS1

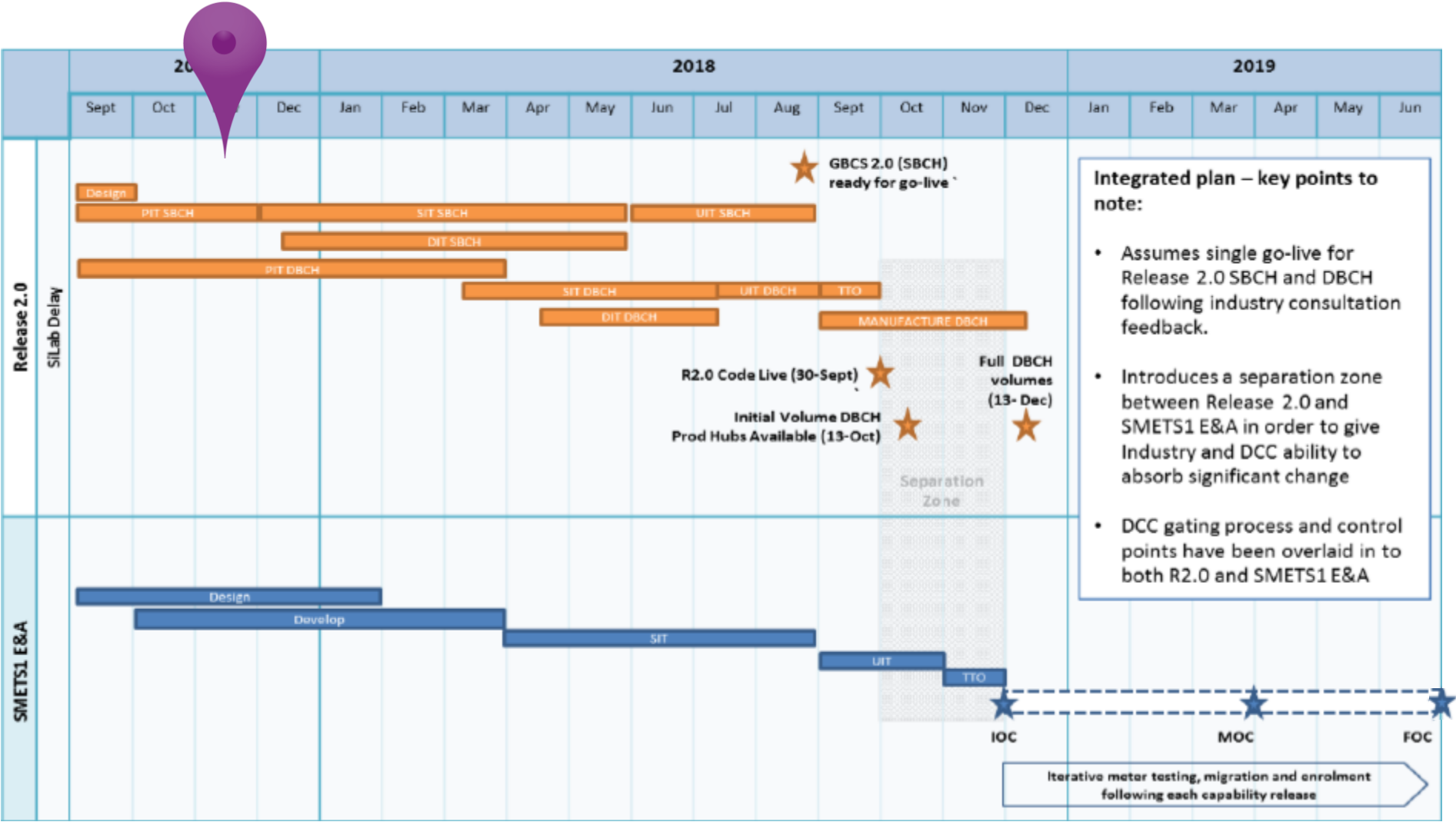
Summary:

SMETS1 Programme is the enrolment of first generation SMETS1 meters into the DCC's network.

Key dates: Initial Operating Capability (IOC) will be available from 30 November 2018, with incremental functionality and capability introduced over 7 months, with the final scope of the service in place by the end of June 2019.

Status: Our revised SMETS1 plan was approved by BEIS in October. DCC will be providing additional information to BEIS in November, to inform their direction on which integration path should be carried forward, on 30 March 2018.

R2.0 and SMETS1 Plan on a Page - Non Contingent Plans



End to End Testing



The Big picture and testing

Test Phases

- Test phases are defined in regulatory documents and contracts, i.e. the Smart Energy Code (SEC) and DCC's Service Provider contracts
- The scope of phases starts narrow and becomes broader
- Functionality is tested by the DCC before being exposed to Testing Participants

DCC Testing:

Pre-Integration Testing (PIT)

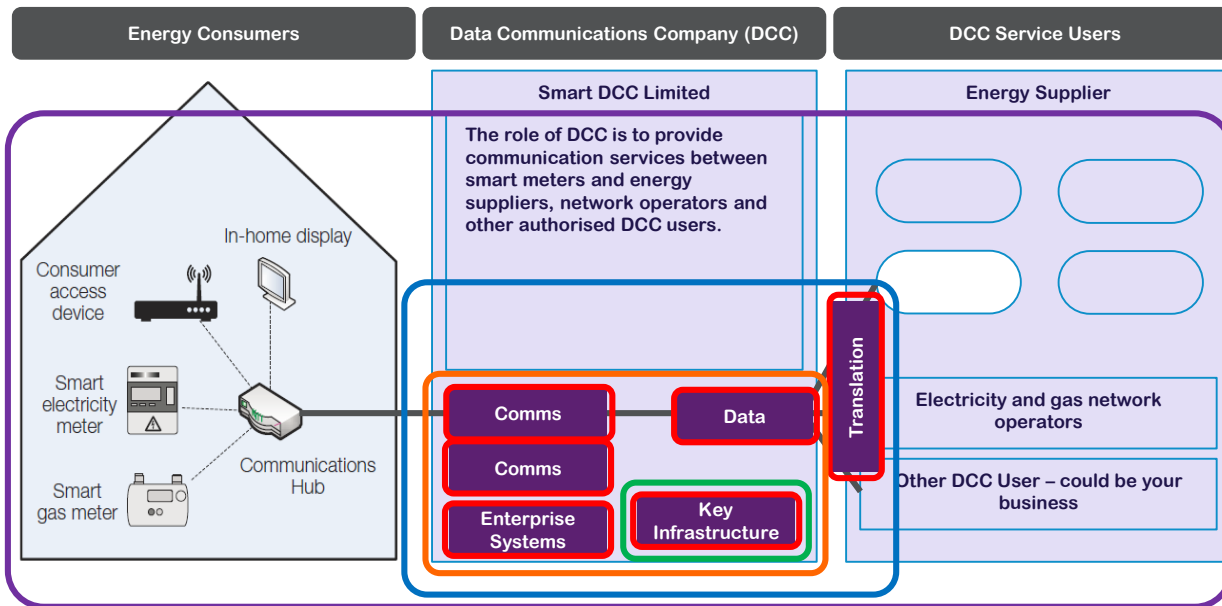
Systems Integration Testing (SIT)

User Testing:

Smart Metering Key
Infrastructure (SMKI) &
Repository Entry Process
Testing (SREPT)

User Entry Process Testing (UEPT)

End-to-End Testing (E2E)



What is E2E Testing?

- The End-to-End Test stage provides the first opportunity for Testing Participants (TP) to conduct User System & Device Tests against the DCC solution
- Tests can be undertaken against meters that are installed in a DCC Test Lab or against meters that are installed in a Remote Test Lab which has been established by the TP
- TPs can use their own meters during E2ET, or can use DCC selected meters. The meters that are obtained by the DCC will be identical to those that are used during UEPT
- TPs must meet the entry criteria before they can conduct these tests, but there is no associated exit criteria.

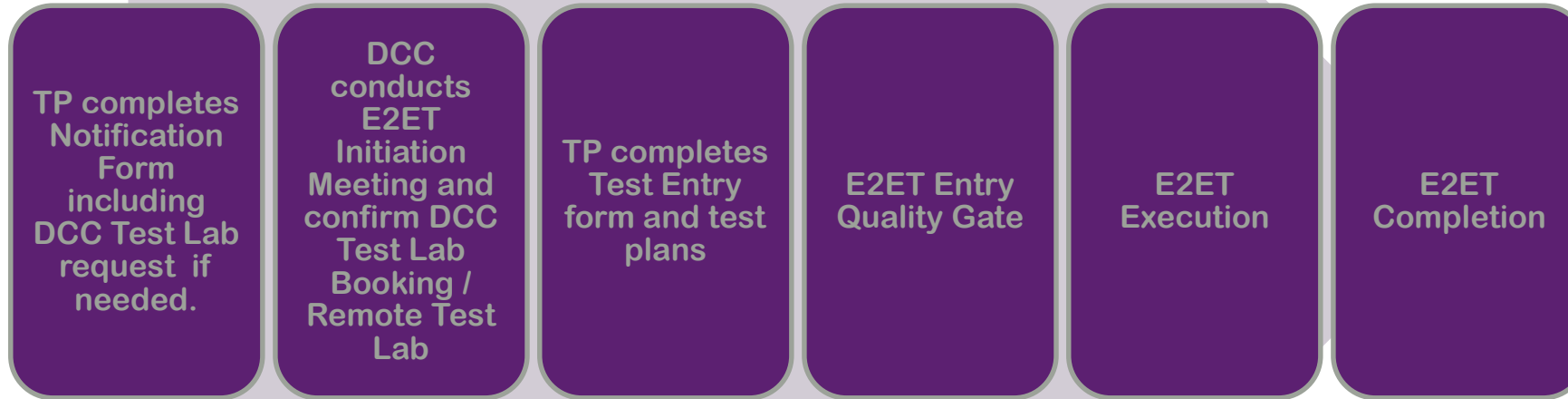
Principles for Conducting E2ET

- The Testing Party must use the DCC Gateway connection
- E2E testing can only be carried out for the roles in which a TP has completed mandatory testing for. These are:
 - Import Supplier, Gas Supplier, Export Supplier, Gas Transporter, Registered Supplier Agent, Electricity Distributor, Other User
- Tests may be conducted using Devices in a DCC Test Lab or a remote test lab
- TPs can request slots in the DCC Test Lab subject to availability & capacity
- TPs will be scheduled a DCC test slot(s) for E2ET by DCC
- TPs will be required to attend an Induction meeting, before attending the DCC Test Lab, if the party intends to have a presence in the Lab
- TPs will be required to attend the DCC Test Lab to conduct E2ET where hands on activities are required e.g. Install and Commission will require a TP to attend the lab
- TPs will need to observe the DCC guidelines on confidentiality as per the Enduring Test Approach Document

PREPARING FOR E2E TESTING



E2ET Procedural Steps



40 Working days notice to start E2E testing



Things to think about before initiation meeting

- Which DCC lab do you want to use?
- When do you want to start E2E testing?
- How much space do you think you will need in the lab?
- How long do you think you will need to complete your initial testing?
- What are you intending to test?
- Are you using your own devices?
- **Do you have resources in place?** TPs will be required to attend the DCC Test Lab to conduct E2ET where hands on activities are required e.g. Install and Commission will require a TP to attend the lab
- Do you intend to come back into E2E later date?

Costs for E2E testing

	Costs Associated
DCC Lab	No
CHs in DCC Lab	No – don't need to be ordered
Remote test lab	Yes – cost for set up and monthly service charge
CHs in Remote test lab	Yes – need to be ordered via DCC service desk <i>Its currently £60.83 per CH. minimum order of 10 applies, lead time up to 16 weeks could apply</i>

No costs associated with using DCC Labs – this is included as part of the DCC's fixed charges

DCC Test Labs

	Arqiva test lab	Telefonica test lab
Location	Winchester	Northampton
Number of spaces	100	280
DCC devices	Emulators & meters	Emulators & meters
Allocation of space	Managed by DCC	Managed by DCC
CH Type	EDMI	Toshiba and WNC
Induction process	Induction on first visit to lab	Induction on first visit to lab
Notice of attendance	48 hours notice	48 hours notice
Level of Support	Support for logging of defects Installation of CH and DCC devices	Support for logging of defects Installation of CH and DCC devices
Phantom load	Yes	Yes
Operational hours	8am to 6pm	8am to 6pm
Log Capture	Yes – CHs are debug capable Also available on DCC devices	Yes – CHs are debug capable Also available on DCC devices

What can be tested in the DCC test lab?

UIT environment is a cut down version of production.

What can be tested

- 1.2 and 1.3 service requests – full functionality.
- Any further new releases e.g. R1.4 and R2.0
- Change of Supplier Comms Hub exchange
- Mesh capability in TEF lab
- Some alerts e.g. power outage & n28/29
- Own devices e.g. meters & IHDs
- Some SSI functionality

What can't be tested

- Volume testing including large scale alert testing
- Polyphase meters- this is being looked into it
- Destructive tests
- Testing with Non SMETS 2 compliant devices
- No WAN e.g. install & leave

If there are areas that you want to test that you don't think are covered then let us know so we can put provisions in place.

DCC Customer On-boarding: Final Steps to become a DCC User



SEC Panel review UEPT Certificate, and Credit Cover check, SSC's CIO assessment summary and decide on SEC Party Status

Once a SEC Party has been approved By SEC Panel, DCC is notified via SECAS, and the final on-boarding stages can commence

DCC engage with customer to ensure all paperwork and processes are complete. I.e. issue Live SMKI / DCCKI credentials, set up gateway configuration, SSI, ADT Values

A customer confirms their go-live date, and a production proving exercise is arranged. This is held via teleconference

The production proving session starts by testing DUIS connectivity. Once complete, the customer can begin their rollout.

Final on-boarding process: approx. 2-3 weeks







Customer On-Boarding

Onboarding Journey										
7. User Entry Status		8. SECAS Assessment Status		9. Become DCC User Status		10. Pre Live - Live Setup Status				Key
7.1	Complete	8.1	Complete	9.1	Complete	10.1	TBC	10.11	In Progress	SECAS/SEC Panel
7.2	Complete	8.2	Complete	9.2	Complete	10.2	Complete	10.12	In Progress	SEC Party Applicant
7.3	Complete	8.3	Complete	9.3	Complete	10.3	In Progress	10.13	In Progress	DCC
7.4	Complete			9.4	Complete	10.4	Complete	10.14	In Progress	
7.5	Complete			9.5	Complete	10.5	In Progress	10.15	TBC	
7.6	Complete			9.6	Complete	10.6	Not Started	10.16	Not Started	
7.7	Complete			9.7	Complete	10.7	Complete	10.17	Not Started	
						10.8	TBC	10.18	Not Started	
						10.9	TBC	10.19	Not Started	
						10.1	TBC	10.20	Not Started	
								10.21	Not Started	
								10.22	Not Started	

Detail and Information needed

In order to best support our Customers' production proving and pilots, we like to know:

-  Your SEC Party User Role (ES, IS, GS, RSA or OU) and your MSP, if applicable.
-  What you intend to test; i.e. just DCC connection, or will this be followed up with a full install and commission.
-  If installing; the CSP region, Comms Hub GUIDs, meter type(s), firmware versions, property type and postcode.
-  What are your future plans, so we can work out how to best support you in your roll out.

How to engage and get support

Speak to your Industry Partnership Manager

- Or alternatively email contact@smartdcc.co.uk

Industry Test Team

- Available to support you through testing
Testing.Notices@smartdcc.co.uk or
E2ETestingNotices@smartdcc.co.uk

DCC Forums

- Running monthly for Testing, Design, Customer Operations & Comms Hubs. Check [our website calendar!](#)



DCC Service Desk

- For live services ServiceDesk@smartdcc.co.uk

DCC Website and DCC SharePoint

- Contact Service Desk for access to SharePoint

DCC monthly newsletter

- [Sign up here!](#)



THANK YOU

Any questions? Please email contact@smartdcc.co.uk

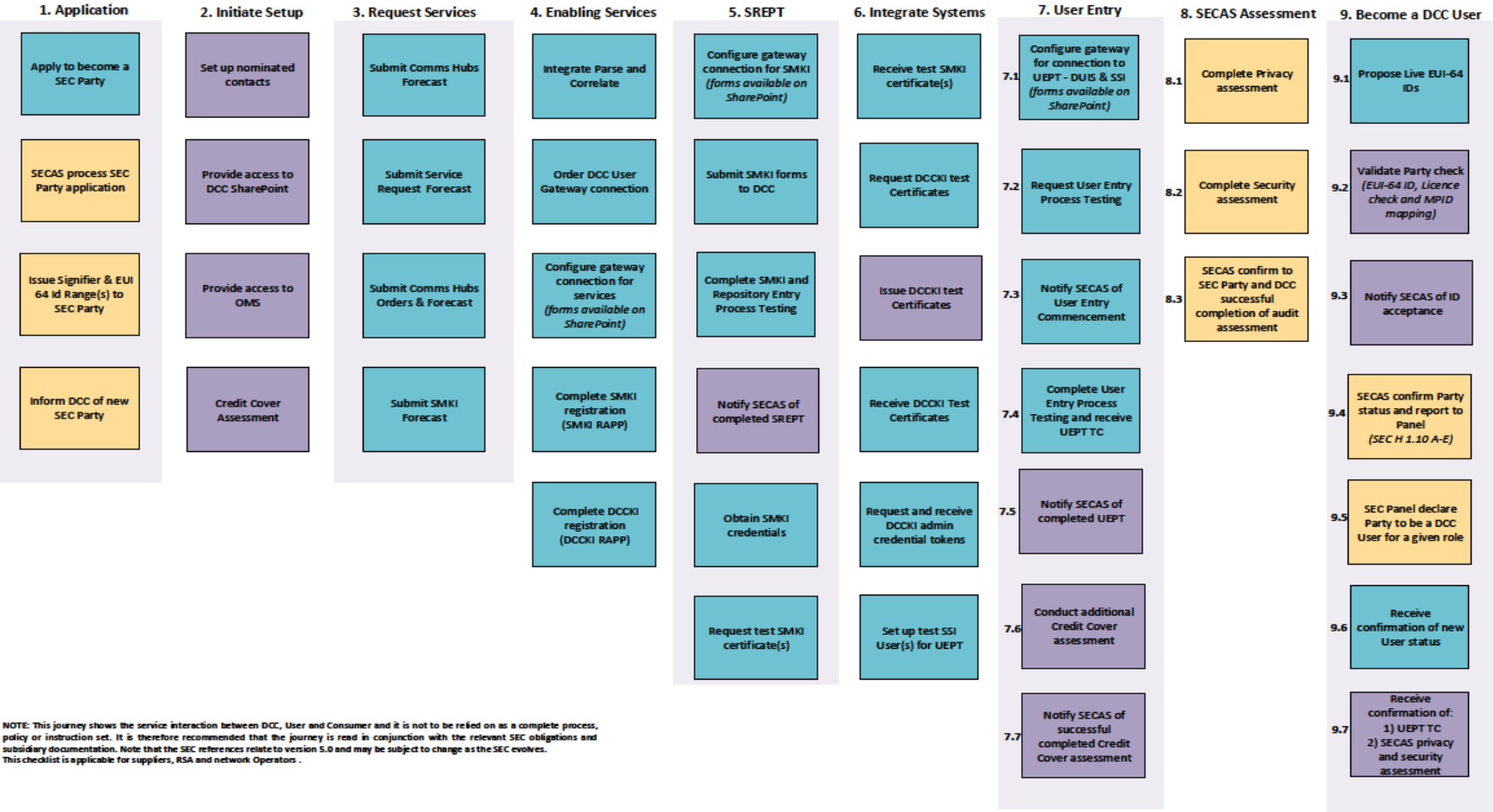
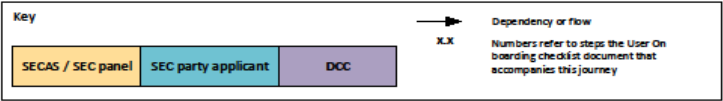


ANNEXURES



Customer Journey Part 1

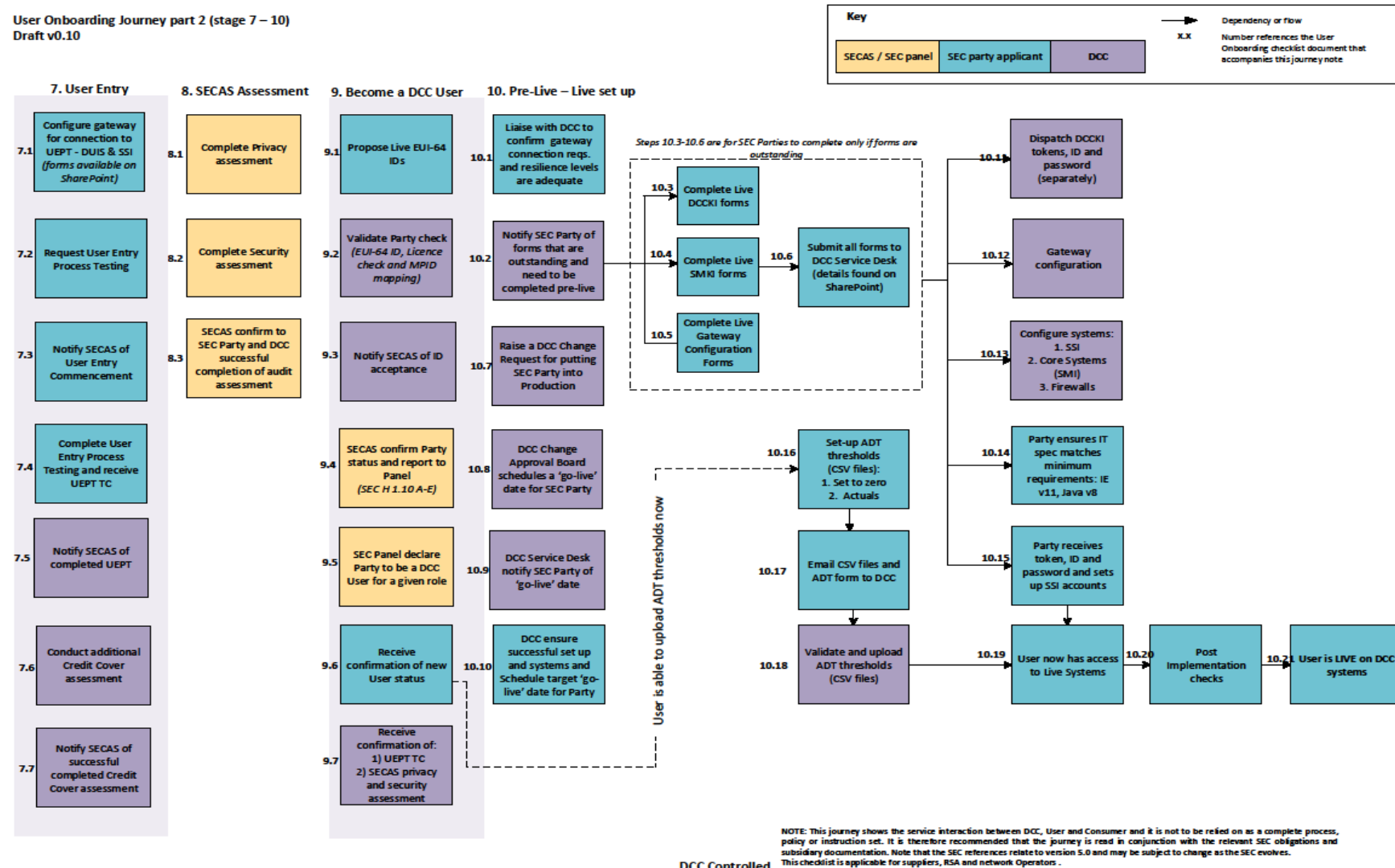
User Onboarding Journey part 1 (stage 1-9)
Draft v0.29



NOTE: This journey shows the service interaction between DCC, User and Consumer and it is not to be relied on as a complete process, policy or instruction set. It is therefore recommended that the journey is read in conjunction with the relevant SEC obligations and subsidiary documentation. Note that the SEC references relate to version 5.0 and may be subject to change as the SEC evolves. This checklist is applicable for suppliers, RSA and network Operators.

Customer Journey Part 2

User Onboarding Journey part 2 (stage 7 – 10)
Draft v0.10



DCC Controlled



Thank you