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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:

- **DSP Technical Refresh** - The overall plan for maintenance outages in 2022 is still in development, and, meanwhile, it will be necessary to seek Panel approval for additional maintenance windows in March.
- **Supply Chain Challenges in C&S** - The OPSG noted the risk to CHs deliveries, and also that any proposed price increases should be considered in the light of the current contract.
- **Incident Management** - The OPSG had an initial discussion of a major incident which occurred on 21st December. Users highlighted the impact of this incident, and, also, difficulties encountered with the incident management process.

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2. Technical Operations

2.1 TABASC Highlights

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

The TABASC discussed MP078 'Incorporation of multiple Issue Resolution Proposals into the SEC - Part 2' and noted that the costs of the modification do not represent value for money and there may be alternative ways of achieving the same result and as such the recommendation is for it to not proceed.

SECAS provided the DCC's Impact Assessment on MP140 'CH Stock Transfer' and the TABASC queried whether there were ways to automate the proposed process further, as well as what actions would be taken by the DCC following the transfer of CH stock from one SEC Party to another.

The TABASC discussed MP143 'Incorporating IRPs into GBCS v3 series' and supported the Modification moving to a full Impact Assessment.

SECAS provided the TABASC with the DCC's Preliminary Assessment on MP192 'Extend Scheduled Services for SMETS1 Devices'. The TABASC requested that the modification working group investigates which Users would benefit by using this new scheduled service as there was doubt that the data retrieved would be meaningful.

BEIS presented the TABASC with an update on Electric Vehicles and BEIS agreed to return to TABASC74 with additional information and progress.

SECAS presented the TABASC with a Project Brief dealing with Technical Specification Ambiguities. The TABASC approved the scope of the project and recommended the project brief to the SEC Panel for approval.

The TABASC reviewed the extended scope for the BSCMP375 project, which focuses on registration data considerations. The TABASC noted that this met the requirements of its members and queried whether this would need SEC Panel approval as the scope has been extended since its previous sign off by the SEC Panel.

The TABASC was provided with an update on the Firmware Upgrade Requirements and Guidance. The TABASC agreed with SECAS' proposals for meter firmware upgrade paths and requested further information from the DCC regarding CHTS version interoperability testing.

The DCC provided a Chief Technical Officer (CTO) update regarding current priorities and projects for the Quarter. The TABASC queried the governance undertaken for planned expenditure of a new large team to work on network economics activities. In addition, the TABASC requested the DCC to investigate the message compression techniques and what benefits it would bring to the DCC Architecture.

2.2 TAG Highlights

The TAG met once during the last month to discuss the following topics in addition to the regular testing updates:

SMETS1 FOC Pre-Payment Test Scope

The TAG reviewed the DCC's proposed test scope for SMETS1 Final Operational Capability (FOC) Pre-Payment installations. The proposed approach reflects that the changes required to DCC Systems will be implemented using the regular Maintenance approach, rather than being treated as part of a major Transitional release. This approach means that FOC Pre-Payment functionality will not be subject to formal TAG governance, which it would have done if it had not been de-scoped from a previous FOC Uplift release.

The TAG agreed that whilst this approach and the associated governance is acceptable in this instance, this situation has highlighted that some elements of governance structures need to be reviewed to ensure that the TAG has a governance role whenever required. The TAG Chair and the DCC agreed to identify processes for managing any similar situations which may arise in future.

TAG Issues and Risks Log

The TAG was presented with information on the risks and issues logs SECAS had created for the Sub-Committee. The TAG discussed the content and process of the logs, and the DCC and TAG Chair agreed to meet to discuss potential refinements to the documents.

Trusted Service Provider Project Update

The TAG was provided with an update on the Trusted Service Provider (TSP) project. The TAG discussed the DCC's proposal to carry out additional regression testing and asked the DCC to

document the details of any deviations to the TSP Test Approach Document (TAD) in the Test Completion Report (TCR).

2.3 Operations Group Highlights

The Operations Group met once in the last month. The topics covered included the following:

CSP North Performance

The DCC reported that CSP N had achieved 77.19% performance for PM2 ‘*Percentage of Category 1 firmware payloads completed within the relevant TRT*’ in November, against the upper target set out in the remediation plan of 82%. The DCC noted that it is on target to achieve approximately 91% in December.

The OPSG asked the DCC to investigate the impact of non-contactable CHs on PM2 in CSP N. The DCC noted that it will investigate this as part of its continuous improvement plan.

Radio Frequency (RF) Noise

The DCC noted the success in drastically reducing the rate of non-compliant installations and thanked Users for their cooperation.

The DCC noted that only approx. 10% of the declared derogated stock has been installed, with the derogation due to end in March 2022. The DCC noted that it was seeking to agree plans for the installation of declared stock with Suppliers.

DCC Non-Compliances

The DCC outlined its view of SEC non-compliances and the OPSG welcomed the transparency provided. An OPSG member noted that discussion of remediation actions should not be taken to imply acceptance of non-compliances.

The OPSG noted that it would be valuable to maintain a full list of agreed non-compliances. The OPSG agreed that it was important to prioritise items on the list and agree how each item will be addressed.

Monitoring and Assurance of DCC Services

The OPSG noted the objectives and next steps, to be considered in the development of the project brief. The OPSG asked SECAS to include how the OPSG Issues Log and process will be considered as part of the project, to avoid duplication. The OPSG endorsed the development of the project brief.

DSP Technical Refresh – March Outages

The DCC presented proposals for additional outages in March 2022. The OPSG members reiterated that it did not support lengthy planned maintenance windows in March 2022 due to the impact this would have on prepayment customers.

The OPSG agreed to discuss the proposed additional March outages and the draft baseline plan for Maintenance outages and BCDR in 2022 as a whole at the workshop on 11 January 2022.

Supply Chain challenges in CSP C&S

The DCC reported that CSP C&S has requested a price support increase on Single Band CHs in 2022, due to fees being levied at the point of delivery (to vendors) and an increase in component costs that the providers in the supply chain are not prepared to absorb.

The OPSG noted that it did not know the full commercial and contractual context, and therefore it would be difficult to comment on a proposed increase in price in isolation. However, the OPSG noted that the starting position ought to be the terms and conditions of the current contract. The OPSG also noted that it believed that it would not be able to approve this as this it was a commercial contract decision.

However, the OPSG emphasised that it would be willing to engage on discussing any aspects of ordering which might ameliorate current difficulties.

CH Exclusions

The DCC noted that CH exclusions will be managed via reporting rather than raising individual incidents. The OPSG endorsed this process, noting that it will be easier to cross check exclusions. The DCC agreed to provide regular updates at the OPSG.

SMETS2 Interoperability

SECAS presented an update on the draft problem statements and reporting requirements following the SMETS2 Interoperability workshop. The OPSG reviewed and endorsed the two proposed problem statements for the proliferation of Device Combinations and next steps.

Switching Go Live Governance

The DCC provided an overview of the Switching Go Live Governance and outlined the approach for the assessment of readiness for Live Service Criteria (LSC).

The OPSG noted that the LSCs will need to be developed to identify those aspects relevant to SEC obligations: these aspects will be the focus for Panel subcommittees, with conclusions being forwarded to the Panel. The OPSG noted that progress towards readiness will be reviewed at future meetings.

Major Incident Review

OPSG members noted that they did not receive notification of Incident INC000000796770 on 18 November 2021.

The OPSG asked for the Review Report for INC000000796770 to be revised following investigation of the communications problems; the revised report would be circulated ex committee for approval.

Incident - INC000000806199

An OPSG member highlighted that they believed that an Incident on 21 December 2021 was classified incorrectly (as a Category 2 instead of a Category 1 due to loss of service) and caused significant disruption to critical business processes (Install & Commission, Change of Supply, Prepayment). Other OPSG members noted that the escalation process for this Incident was not clear, and that Service Managers were unable to contact the DCC Service Desk. The DCC noted that it will investigate this further.

The OPSG Chair noted that Incident Categorisation will be discussed at the next meeting (OPSG 65).

SEC Releases

February 2022

The DCC provided an update on the scope of the release. The OPSG noted that components currently have an Amber status as there are modifications in the release that have not yet been approved, however the DCC noted that there are no significant issues or risks identified. The OPSG asked that, if at all possible, Go-live of the SSI elements of the release be made coincident with

June 2022.

The DCC provided an update on the scope of the June 2022 SEC Release. The DCC highlighted that the SEC Release is currently on track and no issues or risks have been identified.

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), and the compliance status for one Verification User Security Assessment (VUSA) in December 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, and one Director's Letter following a VUSA in December 2021.

3.3 SSC Highlights

SMETS1 Update

The SSC noted DCC updates regarding the different aspects of SMETS1 enrolment including the Migration Summary; active and monthly dormant Migration process; Middle Operating Capability (MOC) Secure remediation.

CPA Monitoring

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

CPA-Related Issues

The SSC Chair and BEIS presented an update on ongoing discussions with NCSC regarding CPA-related issues, and the SSC noted security related updates regarding the issues for the SSC CPA Issue Resolution Sub-Group (SCIRS), Use Case 004 (Factory Reset) Triage Assurance Arrangements, and CPA Re-Certification.

Re-Use of DSP Specialist Software

The DCC presented an update on the re-use of Data Service Provider (DSP) specialist software, and the SSC noted the update.

Emergency Firmware Update

The DCC presented an update on emergency Firmware updates in the event of a security incident, and the SSC noted DCC model scenarios and steps to be taken by the DCC in these circumstances.

DSP Technical Refresh

The DCC presented an update on the DSP technical refresh, and the SSC noted the update.

NE: OBC Engagement Approach

The DCC presented an update on the Network Evolution Outline Business Case (OBC) engagement approach, and the SSC provided feedback on the security risk assessment and architecture and engaging with NCSC.

TSP CIO Update

The DCC CIO presented an update on the Trusted Service Provider (TSP) assessment, and the SSC noted the update.

Risk Register Review

The SSC noted and agreed amendments to the SSC Risk Register.

3.4 SMKI PMA Update

SRV 6.15.2 Failure Analysis

The DCC provided an update on the SRV 6.15.2 failures, highlighting there has been an improvement in SMETS1 failure rates between September and October 2021.

SMKI Test Certificate Policy

The SMKI PMA Chair provided an update on behalf of the DCC relating to the updated SMKI Test Certificate Policy and the latest version was approved by the SMKI PMA for publication on the DCC website.

SMETS1 Cryptographic Key Management Policy

The DCC provided an update on the SMETS1 Cryptographic Key Management Policy and the responses to the recently concluded consultation were considered, and the SMKI PMA approved the SMETS1 Cryptographic Key Management Policy which BEIS will implement into the SEC.

SoLR Process

The SMKI PMA Chair provided an update on the Supplier of Last Resort (SoLR) decisions made under SEC Section L16 and the SMKI PMA endorsed the decisions.

Outstanding issues relating to MP173 'SMKI & DCCKI Document Set Reviews'

The SMKI PMA noted the update on remaining observations which are still being considered by the DCC and have not been included in MP173 'SMKI & DCCKI Document Set Reviews' and the SMKI PMA agreed to raise a Draft Proposal to address the observations.

MP134B 'Use of SMKI Certificates relating to a SoLR event – Part 2'

SECAS provided an update on the progress of [MP134B 'Use of SMKI Certificates relating to a SoLR event'](#), highlighting the business requirements and the Preliminary Impact Assessment response. The SMKI PMA noted the update and formally requested that the DCC include the DSP System changes needed for MP134B as a requirement in the Network Evolution Programme: DSP Re-Procurement.

SMKI PMA Risk Register

The SMKI PMA noted and agreed amendments to the SMKI PMA Risk Register.

SMKI Key Recovery Exercise Update

The SMKI PMA noted an overview of the SMKI Key Recovery event which took place on Tuesday 16 November 2021, including Recovery execution and lessons learned.

4. SMDA Sub Committee

The next SMDA Sub-Committee (SMDASC) meeting will be held on 7 February 2022. This is also expected to be the date of the last meeting of the SMDA Company Board, to finalise the closure of the SMDA Co Ltd.

A Terms of Reference update has been prepared for approval by the SEC Panel; the aim being to align to existing SEC governance. Once approved, there will be an election initiated in January 2022, for

roles on the SMDASC, reappointing one manufacturer representative and one Large Supplier representative following the end of term for the appointments, plus filling newly created vacancies.

A January 2022 SMDA newsletter which will be issued, outlining the achievements of the Scheme during the last year as well as the goals for 2022, to encourage device submissions.

Implementation of updated test scripts will be completed by the Test House shortly alongside a plan to do more frequent updates, in line with SEC releases.

5. Recommendations

The Panel is requested to:

- **NOTE** the contents of this paper; and
- **ENDORSE** the concerns raised by the Sub-Committees.

Cecily Bain
SECAS Team
7 January 2021

Attachments:

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