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SEC Panel and Sub-Committee Roles in Transitional Governance

1. Purpose

This paper provides details of the Technical Architecture and Business Architecture Sub-Committee (TABASC) discussions and conclusions on its role in transitional governance. The information contained in the paper is provided to inform whether the Panel should seek confirmation from BEIS on what the Panel and its Sub-Committees should expect to be provided following a transitional release going live and moving under enduring governance.

2. Background

At the January 2018 TABASC meeting, discussions took place on proposed approaches to how the TABASC could ensure that its Risk Register is complete in relation to the current live arrangements, transitional releases and enduring releases.

The TABASC agreed approaches in relation to the current live arrangements and enduring releases, however it was agreed that further consideration was required in relation to the TABASC role in transitional releases. An Action (TABASC26/06), was taken for *SECAS and BEIS to consider timeframes and responsibilities of when transitional release become enduring governance responsibility, noting the different cohort dates to consider*. The matter was subsequently discussed by the TABASC Chair and the Panel Chair to aid these further considerations.

3. Information provided to the TABASC

The TABASC duties, as set out in SEC Section F1.4, include the monitoring and provision of support and advice on the impacts that different changes may have on the on the technical and/or business architectures. Changes could originate from SEC Modification Proposals or DCC change requests. In addition, in the near-term, changes can also arise from transitional governance releases such as those that are with Release 2.0 or the SMETS1 Enrolment and Adoption (E&A) Release.

3.1 Transitional Governance oversight of Release 2.0 and the SMETS1 E&A release

Transitional governance is responsible for the oversight and implementation of changes to the Smart Metering infrastructure for Release 2.0 and the SMETS1 E&A release. The technical aspects of both releases are overseen by the Technical and Business Design Group (TBDG) with support from

relevant sub-groups, including the Technical Specifications Issues Resolution Sub-group (TSIRS), the 868 Sub-Group for matters relating to Dual Band Communications Hubs for Release 2.0 and the SMETS1 E&A TBDG Sub-group.

The Implementation Management Forum (IMF) monitors the plans and associated risks and issues registers for the overall Smart Metering Implementation Programme (SMIP), including the transitional releases. Oversight of the programme is done through the Smart Metering Delivery Group (SMDG). Ultimately, overall control of these releases sits with BEIS and the Secretary of State (SoS), including any decisions as to whether transitional releases should go live.

3.2 Exceptions

There are a few exceptions where enduring governance bodies do have an active role in transitional releases. However, these roles have been driven by specific requests from BEIS for support to be given. For example, the Security Sub-Committee has been reviewing and discussed the security requirements for the SMETS1 E&A release. This is due to the Transitional Security Expert Group (TSEG)¹ no longer being in operation. In addition, the Panel, with support from the Testing Advisory Group (TAG), have been requested to make recommendations on the approval of test phase entry and exit criteria and whether certain test phase entry and exit criteria for Release 2.0 and SMETS1 E&A have been met. While activities have and continue to be adopted by enduring governance bodies on these two releases, final decisions do still sit with BEIS and the SoS.

4. TABASC discussions

The TABASC considered the above information at its February meeting. The considerations and conclusions on the matter are summarised below.

TABASC and transitional releases

The TABASC agreed that it would not undertake any additional activities on the two transitional releases (Release 2.0 and SMETS1 Enrolment and Adoption) beyond identifying and making the necessary changes to the Technical Architecture Document (TAD) and Business Architecture Document (BAD), in advance and in preparation for each release going live. This is on the basis that all governance activities have an appropriate transitional body to support it, which provides the same support and advice that enduring bodies would provide, without duplicating activities.

Matters to highlight to the Panel

While the TABASC agreed that it should not undertake any activities in relation to transitional releases beyond those associated with TAD and BAD maintenance, it did agree that the Panel should be informed of what it would expect as part of any transitional release post go live handover activities. The TABASC agreed that the following should be provided:

- Any open un-mitigated risks, including details of activities undertaken to date to manage and mitigate the risk;
- Any open issues, including any associated plans, plan progress and timescales to resolve them; and

¹ TSEG was an expert forum through which BEIS, industry and other security experts managed security risks to ensure security in the end-to-end solution during transition until the relevant SEC security governance was in place.

- Details of any existing workarounds or work-off plans that have not been resolved or are in the process of being resolved.

It is worth noting that all or some of the information outlined above, provided as part of any handover, would not directly be passed by the Panel to the TABASC to resolve and monitor. Instead, matters handed over may get passed to any of the Panel Sub-Committees.

5. Next Steps

The Panel is asked to consider the information set out above, including the TABASC view on what should be provided as part of any post transitional release go live activities and agree to seek confirmation from BEIS that such information should be provided to the Panel.

The Panel, on receipt of such handover documentation, can then disseminate the relevant items to Panel Sub-Committees to monitor, manage and resolve under enduring activities.

6. Recommendations

The Panel is requested to:

- **AGREE** to seek confirmation from BEIS, that following each transitional release going live, that outstanding risks, issues and defects will be provided to the Panel to oversee and manage under enduring governance.

David Barber

SECAS Team

2nd March 2018