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SEC Panel Sub-Committee Report

1. Purpose

This paper provides the Panel with an update on recent activities from the Panel Sub-Committees. It highlights the key issues discussed and details specific points the Sub-Committees would like to bring to the Panel's attention.

2. Operations Group

2.1 DCC reporting

Report	Delivery per SEC	Content	Observations
Performance Measurement Report June18	On Time (SEC H13.4 – Monthly 25 working days following end of month).	Per SEC H13.1. & L8.6	All Code and Data Service Provider Performance Measures reported as above Target Service Level. Query raised with DCC regarding apparent inconsistency between report and actual DSP availability when SSI was down in June. All CSP Performance Measures reported as 100% or no data available.
DCC Responsible Communications Hub Returns Report Q2 2018	(SEC F9.15 – Quarterly) The SEC does not prescribe when after end of quarter, the report is provided. Not received in time to review for July Ops Group – reviewed August 2018.	n/a Noted that difficult to draw any conclusions at this time due to low levels of activity.	Issues identified with report following SECAS review resulted in a re-issue of the report. However, as volumes are low it remains difficult to draw any general conclusion.

DCC Network Enhancement Report (Network Enhancement Plans - NEP) Q2 2018	(SEC F7.21 "within a reasonable period of time following each quarter that ends prior to 1 January 2021"). Not received in time for July Ops Group – reviewed August 2018.	n/a	On investigation by SECAS, DCC advised that the 59 NEPs "completed" as Planned Mesh are not in fact Mesh installs but improvement in cellular coverage. DCC to make amendments in future reports to provide clarity between cellular improvement versus completed Planned Mesh.
Registration Data Provider (RDP) Incident Report (July 2018)	On Time (SEC Appendix AG 2.5.10 – Monthly - timing not specified).	Per SEC Appendix AG. 9 Incidents opened and resolved in the month.	8 open incidents remain, the oldest is less than 1 month old. Note that previously, DCC had offered assurances that handling of RDP data had been reviewed and was now robust. Nonetheless, RDP related incidents continue to occur.
Certificate Signing Request (CSR) Variance Report – July 2018	SEC L8.9 – 10th Working Day following month end. Received 1 Working Day late.	Per SEC L8.9(a) 493,159 actual requests versus 569,809 forecast.	None
Service Request (SR) Variance Reporting – July 2018	(SEC H3.24 – 10th working day of month) Received on time.	Per SEC H3.24 579,887actual requests versus 2,883,189 forecast.	None
Quarterly Problem Report Q2 2018	Per SEC Appendix AG Quarterly specific timing not specified within Appendix AG.	Clause 3.2 Appendix AG 134 records on the report this quarter.	A useful and detailed report. A number of problems relate to CSPN with solutions identified yet to be deployed. Concerns that R2.0 may be deployed with fixes for earlier problems yet to be made. Ops Group reviewing older CSPN issues.

2.2 OPSG Meeting Highlights

Planned Maintenance

Ops Group members repeated the request made at previous meetings, that the DCC provide an overall view of all planned maintenance activities. Ops Group members requested that the Self-Service Interface (SSI) Forward Schedule of Change be used for this purpose. Members emphasised that, given the high level of planned maintenance, the lack of such a consolidated view was causing operational difficulties.

It was noted that the DCC will need to revise its plan for temporary planned maintenance, and to be compliant with SEC Section H 8.4, the October 2018 elements of this plan will need to be agreed 20 WDs before the start of October. The DCC noted that they intend to seek from the Panel a further extension to the maintenance window, taking it to mid-November. **The Ops Group recommends that the Panel formally ask the DCC to provide, and keep up to date, a consolidated view of planned maintenance.**

The Ops Group also considered the Major Incident on the 21st August 2018 relating to a DSP change.

Ops Group members noted that approximately 7 significant Service affecting outages had occurred during July/August. The categorisation of these incidents was queried by Ops Group members as they were not recorded as Major Incidents. Details have been passed to SECAS to investigate and provide views to DCC for a response.

SSI Proposals

The DCC noted that a change freeze for R2.0 will likely affect the deployment of latest sprints. The DCC reported costs to date and the Ops Group noted the average cost per sprint and the average cost per item. The Ops Group requested that the DCC provide a plan indicating cost to complete the SSI improvement programme at the next meeting. It was noted that, pending completion of SECMP0058 'Changes to the governance of the Self-Service Interface', the DCC will need to seek SEC Panel approval to continue SSI improvements beyond November 2018.

DNO Incidents

The DCC provided a verbal update on Distribution Network Operator (DNO) Incidents detailing the latest work being undertaken. It was noted that process improvements identified at OPSG_10 had not yet been incorporated into the process. The DCC agreed these would be circulated to the Group as soon as possible.

CSPN Matters

The DCC briefed the meeting on various matters affecting roll out in the North. The general picture presented was that a way forward on all issues had been identified. Ops Group members expressed a desire to see the identified solutions proven in operation.

3. Security Sub-Committee and SMKI PMA

3.1 Assurance Status Decisions

The Security Sub-Committee (SSC) set six assurance statuses in August 2018.

3.2 Verification Assessments

As part of their wider obligations, the SSC review the outcomes of Verification Assessments. If the SSC believe that a User is non-compliant, or potentially non-compliant, with obligations contained in

G3-G6 of the SEC, then they notify the Panel. During August, the SSC reviewed one Verification Assessment. Details can be found in the confidential Appendix A.

3.3 Director Letters

The SSC approved four Director Letters in August that showed there were no non-compliances to prevent the Users in question beginning to use DCC Live Systems. Details can be found in confidential Appendix A.

3.4 SSC Highlights

The SSC agreed to formally respond to the Working Group Consultation for SECMP0009 'Centralised Firmware Library', as two out of the three security concerns that had been raised by the SSC in July 2018 had not been included in the Consultation Report.

The SSC took part in a Working Group session for SECMP0057 'Users to notify SSC of a second or subsequent User System'. The Draft Modification Report detailing the SSC discussions will be provided to the SEC Panel in November 2018.

The SSC approved Security Controls Framework (SCF) v1.13, which included amendments to Part 1 and 2 to reflect recent SSC agreement, and to ensure consistency. The SCF will need to be updated following the implementation of SECMP0044 'User Security Assessment of a Shared Resource'. SCF v1.13 was published on the SEC Website.

Following a review by the SSC, the SMETS1 Security Architecture Document v1.1 was made available to SEC Parties at 'Amber' (on a Need to Know basis) on the SEC Website.

3.5 SMKI PMA Highlights

The DCC provided the SMKI PMA with the Independent SMKI Assurance Scheme Report as per obligations under SEC Appendix C paragraph 4.6(c). The SMKI PMA considered the Independent Assessor's Report and the DCC response and set an assurance status for the DCC of 'approved' in relation to SMKI Services.

The SMKI PMA discussed changes to SEC Section L, to provide clarity that any changes, alterations, deletions or other Modification or replacement of any information held in the SMKI Repository must obtain the express approval of the SMKI PMA. The SMKI PMA agreed to raise a SEC Modification to implement these changes.

The SMKI discussed the key findings from the periodic review of the effectiveness of the SMKI Document Set as required under SEC Section L1.17(c) which included an Assessment of SMKI Standards, Procedures and Guidelines mandated within the SMKI and DCCKI documentation.

4. Technical Architecture and Business Architecture Sub-Committee (TABASC) and Testing Advisory Group (TAG)

4.1 TABASC Highlights

Risk Register - 2G/3G cellular coverage

The TABASC agreed to add a new risk to the TABASC Risk Register next month in relation to managing the approach to the sunset of 2G/3G mobile coverage.

Modification Discussions

The TABASC agreed a way forward to implement changes to SMETS2 for SECMP0006 and SECMP0048 which involves introducing these together as part of the November 2018 SEC Release,

subject to when the DCC can accommodate a new version 3.1 of SMETS2 as well as input from an industry consultation.

Target Operating Models

The TABASC received an overview from ELEXON on Target Operating Models in relation to introducing market-wide Half-Hourly Settlement, as part of Ofgem's Significant Code Review.

4.2 TAG Highlights

The TAG discussions have mainly focused on the progress of Release 2.0 (R2.0) System Integration Testing (SIT) completion. The TAG met on 1st August 2018 where it was determined that R2.0 SIT exit criteria had not yet been achieved.

The TAG met again on 6th September to confirm that the proposed approach to discharging each outstanding item is acceptable for SIT Completion. The approaches discussed appear to be acceptable and achievable in the new release timescales. The DCC will provide further information regarding some of the actions and it is likely that some elements of Dual Band testing may extend beyond SIT into Device Integration Testing (DIT).

The DCC and TAG also discussed other aspects of R2.0 to ensure that the process leading to confirmation that Live Services Criteria will be as smooth as possible. These included an update on the use of Feature Switching, the process heading to Secretary of State approval to go live, user (UIT) regression testing and how the DCC plans to address comments on the SIT Completion Report.

The DCC also provided an update on the progress of SMETS1 testing and device selection for SMETS1 SIT.

5. Recommendations

The Panel is requested to **NOTE** the content of this paper.

Hollie McGovern

SECAS Team

7th September 2018

Attachments:

Appendix A – Security Assurance Status Updates (RED)

Appendix B – SSC Letter to Network Operator 'E' (RED)