

Meeting SECPMA_23_1005, 10th May 2016

12:00 – 15:00

Gemserv, 8 Fenchurch Place, London, EC3M 4AJ

SMKI PMA DRAFT Minutes

Attendees:

Category	SMKI PMA Members
SMKI PMA Chair	Gordon Hextall
Large Supplier	Geoff Huckerby
Large Supplier	Fabien Cavenne
Networks	Sara Neal
Technical Sub-Committee (TSC) Representative	Julian Hughes
Security Sub-Committee (SSC) Representative	Michael Constable

Non-Voting Members:

Category	Attendees
DCC	Marc Avery
SMKI Specialist	Darren Calam
DECC (Representative)	Joe Howard
SECAS	James Simmonds
SMKI PMA Secretary	Joe Davenport

Apologies:

Category	Attendees
Small Supplier	Rob Kinson
Ofgem (the Authority)	Nigel Nash

1. Minutes of SMKI PMA Meeting 22_1004

The DCC requested further explanation regarding two of the actions as written in the draft minutes. They were advised that these would be clarified during the actions outstanding. No further suggested changes were raised by SMKI PMA Members and the minutes were approved as written.

2. Actions Outstanding

SECAS provided the SMKI PMA with an update on the Actions Outstanding from previous meetings.

SECPMA 22/01 – No further comments were received on the SMKI Recovery Key Guidance beyond what was discussed at the April 2016 meeting. The necessary amendments had been made to the documentation and the next steps are covered in agenda item 3 – SMKI Recovery Key Guidance Document.

This action was marked as **CLOSED**.

SECPMA 22/02 – The DCC have now begun standing up the recovery environment. Alongside this, the DCC have started to consider the scenarios for Recovery and the development of a checklist of information required for the DCC and the SMKI PMA in the result of a Recovery Event. The DCC questioned whether this should be just undertaken by the DCC and advised this would be a better exercise to be undertaken by the SMKI PMA as a collective.

The DCC suggested a common template of the information that needs to be submitted or needs to be considered, with the aim of creating a pro-forma that contains all of the necessary information in order to expedite agreement and the approval process for evoking recovery. The DCC are aiming to have a future desktop exercise with the SMKI PMA to see whether this process works, and are aiming to run this before R1.3 Live. They will look at delivering this in July in order to improve the process during August. The DCC will aim to run the desktop exercise at the same time as the Recovery Key Guidance consultation and feed in the outcomes from the exercise into the consultation.

The DCC advised that in the short term, this process is not ready to deal with an actual security response or outcome plan. As good as the forms may be with the limited information available at this time, these have to be tested against operational realities. The desktop exercise can be used to demonstrate all possibilities prior to the SMKI PMA adopting the checklist and extending the process to other relevant committees e.g. the SSC. In terms of an appropriate scenario the DCC will look at undertaking the prepayment scenario first as this is the biggest concern for suppliers.

The action was marked as **ONGOING**.

ACTION SECPMA 23/01: The DCC to run a desktop exercise and undertake further work on the Recovery Scenarios along with the SMKI PMA.

SECPMA 22/03 – SECAS considered the Key Factors table within the SMKI Recovery Key Guidance alongside the Business Impact Level factors. These have now been merged.

This action is now **CLOSED**.

SECPMA 22/04 – The DCC are checking the quoted figure from their Service Provider (SP) to initiate recovery. The DCC have drafted 4 change requests (CRs) in order to seek further clarity on the figures and information from the SPs. The DCC will bring this back to the July SMKI PMA Meeting.

The action was marked as **ONGOING**.

SECPMA 22/05 – The DCC have been asked to establish if the contract with LRQA extends to provisions for auditing SMKI Parties as per SEC Appendix C. The regulation team at DCC will continue to look over the contract and provide information at the next SMKI PMA meeting.

The action was marked **ONGOING**.

SECPMA 22/06 – The DCC will continue to investigate ‘Operation Categories’ and a reporting structure. Minutes to be amended to clarify the action.

The action was marked **ONGOING**.

SECPMA 22/07 – The SMKI PMA provided comment on the Responsible Officer Guidance and necessary amendment has been made to the documentation. The Guidance is covered further in agenda item 4.

This action is now **CLOSED**.

SECPMA 22/08 – The process for transitioning responsibilities between old and new Key Custodians is covered by the SMKI Registration Authority Policies and Procedures (RAPP) and states that the DCC has the ability to cancel or transfer ownership of Key Custodians. Discussions were also held on the frequency of regular checks to ensure the physical token is where it is supposed to be and also annual visits to the site, much like a disaster recovery event.

This action is now **CLOSED**.

SECPMA 22/09 – The DCC’s main SP has not yet come back with an answer, enquiries have also been lodged with other SPs but they were unaware of the issue.

The action was marked **ONGOING**.

SECPMA 22/10 – The modifications team confirmed that no current or recently submitted modifications have an impact on the SMKI Services. The Technical Sub-Committee (TSC) is currently reviewing Modifications and will look at relaying back to SMKI PMA where necessary on any SMKI related matters.

This action is now **CLOSED**.

SECPMA 22/11 – SMKI PMA Members provided no comments on the SMKI recovery procedure consultation that was released by the DCC as the changes were non-contentious.

This action is now **CLOSED**.

SECPMA 22/12 – The alternate declaration forms were sent to SMKI PMA Members who were advised that no alternates had yet been put forward. Members noted this was not the intent of the action but will investigate who to put forward, as each SMKI PMA Members cannot appoint an Alternate from the same organisation.

This action is now **CLOSED**.

3. SMKI Recovery Key Guidance Document

SECAS outlined that they had amended the SMKI Recovery Key Guidance document and started to embed processes within SECAS to ensure these are available to follow. SECAS are aiming to issue the document out to consultation in the near future. The DCC noted that they are satisfied with the level of detail and the content does not point out vulnerabilities or expose how the decisions are made and are content that the document is suitable for public consultation.

Members considered whether a formal published response to the consultation was needed. SEC Section L10.13 is not explicit as to whether a formal response document is needed but it was noted that it is normal practice. SECAS will respond to each person who provides feedback to the consultation. Members would prefer that the response document was compiled and then brought to the July meeting, SECAS will undertake this.

ACTION SECPMA 23/02: SECAS to release the SMKI Recovery Key Guidance Document for consultation. SECAS will determine appropriate questions for the consultation and have these reviewed by the SMKI Specialist. An update on the responses will be provided at the June SMKI PMA meeting.

4. Responsible Officer Guidance

SECAS presented the group with the amended Responsible Officer Guidance. Members noted it would be useful to ensure all requirements across other SEC documentation, relating to Responsible Officer roles, were considered (such as the Threshold Anomaly Detection Procedure (TADP) document and for matters relating to the Certified Product List (CPL)).

The DCC requested a tracked change version of the document and this will be provided by SECAS. It was also requested if references to the document sets utilised could be included so as to future proof the document. It was also requested that before publishing the material on the SEC website that a systematic approach be undertaken by analysing the SEC Subsidiary Documents to ensure all responsibilities have been included within the document.

ACTION SECPMA 23/03: SECAS to review all SEC Subsidiary Documents to ensure all the responsibilities have been captured within the Guidance Material and to ensure it has been aligned with SEC 4.10.

5. Post DCC Live Risk Management

This item had been covered in the TPMAG¹ agenda item of the same name and was therefore not repeated to the SMKI PMA Members, who had been in attendance at both.

6. SMKI Live Certificate Work-Off Plan

This agenda item was incorporated with agenda item 8 - SMKI and Repository Testing (2b) (SRT2b) Update.

7. tScheme Stage 1 Assurance Report

This item is covered with the Confidential SMKI PMA Minutes (*SECPMA_23_1005 – SMKI PMA CONFIDENTIAL Draft Minutes*)

ACTION SECPMA 23/04: The DCC to provide the tScheme Stage 2 report at the August SMKI PMA meeting.

ACTION SECPMA 23/05: The SMKI PMA requested the tScheme Stage 1 report be provided at the next SMKI PMA meeting alongside the DCC remediation action plan.

¹ Transitional Policy Management Authority Group

ACTION SECPMA 23/06: Work needs to be undertaken by the SMKI PMA to establish the levels of classification within the SMKI PMA forum. What is the definition of CONFIDENTIAL in the SMKI PMA environment compared to the security environment?

8. SRT2b Update

The SMKI PMA were provided with an update on the further testing relating to the SMKI Apex Recovery Key and its progress.

9. SMKI PMA Activity Planner

SECAS provided the SMKI PMA with an updated activity planner outlining the activities expected over the next three months.

SECAS advised that a reminder would be sent out to all SEC Parties to advise them of the continuing nomination process for a Large Supplier seat and the Small Supplier seat on the SMKI PMA Sub-Committee, a news item would also be published on the SEC website. The activity planner would also be amended to incorporate the future release of tScheme Stage 2.

The SMKI PMA **NOTED** the content of the Activity Planner.

ACTION SECPMA 23/07: SECAS to send a reminder to all SEC Parties informing that the nomination window for one Large Supplier seat and the Small Supplier seat was currently open. SECAS will also publish a news article on the SEC website.

10. Modifications Update

SECAS provided the group with the Modification Status Report, providing a status update on the SEC modifications currently in the Modification Process and what stage in the Modification Process they were currently residing.

It was highlighted by the SMKI PMA that SECMP 0013 should be kept under consideration as this may have implications which the SMKI PMA may later consider.

The group were informed that if a new modification is assigned to the SMKI PMA, then an invite is extended for a SMKI PMA Member(s) to attend the Modifications Working Group due to the implications the Modification may have on SMKI related matters.

The group were also advised that SECMP 0001 is not on the report as this was implemented in May 2014.

The SMKI PMA **NOTED** the content of the Modifications Update.

11. DCC Update

The DCC advised that as Systems Integration Testing (SIT) and Pre-User Entry Process Testing (Pre-UEPT) have now commenced within Release 1.2 it is important that the SMKI PMA still has visibility of the progress of testing moving forwards.

The SMKI PMA **NOTED** that there was no further update from the DCC for May 2016.

ACTION SECPMA 23/08: The DCC will ensure that a member of its delivery team is in attendance at future meetings in order to carry forwards a SMKI delivery plan.

12. DCCKI PMA Functions Update

The SMKI PMA **NOTED** that there was no additional information from the DCCKI PMA Function for May 2016.

13. DECC Update

DECC informed the group of amendments being made to the SMKI Registration Authority Policies and Procedures (RAPP) and IKI Certification Practice Statement (CPS). These documents are being amended to allow for SECCo Ltd to appoint Senior and Authorised Responsible Officers and apply for IKI Certificates.

A consultation on further SEC changes is also expected in June 2016 and will consider the switch on of elements relating to matters such as the CPL.

14. Any Other Business

An issue was raised in relation to one company having difficulties applying for SRO and AROs and the lack of an appointed Director or Company Secretary in order to fulfil the role of the Nominating Officer. The SMKI PMA considered that there were no special circumstances and that the standard SMKI RAPP processes should apply. The SMKI PMA response will be fed back through the DCC to the relevant parties.

There was no further business.

15. Next Meeting

The next meeting will be held on **14th June 2016**.