APPENDIX D

SMKI Registration Authority Policies and Procedures

(SMKI RAPP)

Contents

1. Introduction

1.1 Purpose

Section L9.6 of the Code sets out the process for the DCC to develop the SMKI Registration Authority Policies and Procedures (SMKI RAPP) as a SMKI SEC Document as defined in Section L 9.4 (a) (v).

The SMKI RAPP sets out the principal obligations and activities undertaken by the DCC in its capacity as the SMKI Registration Authority in accordance with Section L of the Code, and Appendices A, B and Q of the Code. The SMKI RAPP also sets out the activities undertaken by the SMKI Registration Authority in support of the procedures set out in the DCCKI RAPP, as set out in Section 2 of this document.

2. SMKI Registration Authority obligations to support DCCKI identity verification

The DCCKI RAPP sets out the procedures by which nominated individuals may become DCCKI Senior Responsible Officers and/or DCCKI Authorised Responsible Officers in order to act on behalf of a Party, RDP or a DCC Service Provider in respect of DCCKI Services and the DCCKI Repository Service. The DCCKI RAPP also sets out the activities undertaken by the DCC as DCCKI Registration Authority.

Upon request from the DCCKI Registration Authority to verify the identity of an individual nominated to be a DCCKI SRO or DCCKI ARO, the SMKI Registration Authority shall:

a) arrange a verification meeting with the nominated individual, at a date and time that is mutually agreed;

b) at the verification meeting, verify the individual identity of the nominated individual to the level pursuant to the SMKI PMA Guidance on "Verifying Individual Identity" published on the Website, or except to the extent that the DCC otherwise notifies the SMKI Registration Authority, to such equivalent level within a comparable authentication framework as may be agreed by the SMKI PMA for the purposes of verification of individuals to become a SMKI SRO or SMKI ARO;

c) following the verification meeting, notify the nominated individual whether the process to verify their individual identity has been successful; and

d) following the verification meeting, notify the DCCKI Registration Authority whether the identity of the individual has been successfully verified.

Provided that the DCC need not repeat these processes in relation to an individual for the purposes of verifying their identity for the purposes of becoming a DCCKI SRO and/or DCCKI ARO where the required verification processes have already been carried out for the purposes of identifying them as being an SMKI SRO and/or SMKI ARO respectively.

The DCC and any Party or RDP may agree that any action taken by either of them prior to the date of the designation of this SMKI RAPP shall, if the equivalent action taken after that date would have satisfied a requirement of this SMKI RAPP for the purposes of appointing a DCCKI ARO or DCCKI SRO, be treated as if it had taken place after that date.

3. SMKI Roles

This SMKI RAPP details the roles of Parties, RDPs, Manufacturers, SECCo and the DCC in the context of access to SMKI Services and/or the SMKI Repository Service as set out in the Code, this SMKI RAPP and the SMKI interface documents. The SMKI RAPP sets out the procedures by which nominated individuals may become Senior Responsible Officers and/or Authorised Responsible Officers in order to act on behalf of a Party, RDP, Manufacturer, SECCo or the DCC (acting in its role as DCC Service Provider) in respect of SMKI Services and the SMKI Repository Service.

This SMKI RAPP also details the obligations in respect of the SMKI Registration Authority and the individuals acting on its behalf as SMKI Registration Authority Managers or SMKI Registration Authority Personnel.

From time to time, the SMKI PMA may require documents or information to be lodged in the SMKI Repository. In such instances, it shall submit a request via the Service Desk and provide such documents and/or information to be lodged in the SMKI Repository. The DCC shall lodge documents and/or information provided to the SMKI Repository, as soon as reasonably practicable following receipt.

3.1 Party, RDP, Manufacturer, SECCo and DCC representatives

Individuals permitted to act as representatives of a Party, RDP, Manufacturer, SECCo or the DCC (in its role as DCC Service Provider) are as set out immediately below:

- **Senior Responsible Officer (SRO)**. The process by which an individual is nominated and their authorisation is checked and their identity verified, so as to be an SRO and act on behalf of an organisation is set out in SMKI RAPP Section 5.2. An individual is nominated to become an SRO by a Director or Company Secretary for a Party, RDP, Manufacturer, SECCo or the DCC (for DCC Service Provider personnel). Once an individual has become an SRO, the SRO may at any time nominate individuals to undertake to become Authorised Responsible Officers (AROs) and to access SMKI Services and/or the SMKI Repository Service. An SRO may also nominate themselves to become an ARO as described below.

- **Authorised Responsible Officer (ARO)**. The process by which an individual is nominated, verified and authorised to be an ARO is set out in SMKI RAPP Section 5.3. The means by which AROs are provided with credentials to authenticate access to SMKI Services and/or the SMKI Repository Service is set out in Section 5.4. The DCC shall permit only AROs to act on behalf of a Party, RDP, Manufacturer, SECCo or the DCC (in its role as DCC Service Provider) for the purposes of accessing SMKI Services and/or the SMKI Repository Service. Depending upon the processes followed, an ARO may also be authorised to act on behalf of a Party, RDP or the DCC (in its role as DCC Service Provider) to be an Authorised Subscriber for Organisation Certificates, Device Certificates or both, following successful completion of SMKI and Repository Entry Process Tests. All AROs are also permitted to access the SMKI Repository Service on behalf of the organisation that they represent, as set out in the SMKI Repository Interface Design Specification.

Each Party, RDP, Manufacturer, SECCo or the DCC (in its role as DCC Service Provider) that wishes to:

a) become an Authorised Subscriber for Organisation Certificates and/or Device Certificates;

b) become an Authorised Subscriber for an IKI Certificate for the purposes of Digitally Signing of files; or

c) have access only to the SMKI Repository,

shall have at least one ARO successfully appointed (and therefore one SRO).

The DCC shall not be required to repeat processes in relation to an individual for the purposes of verifying their identity for the purposes of becoming an SRO and/or ARO in respect of SMKI Services or the SMKI Repository Service, where the required verification processes have already been carried out for the purposes of identifying them as being a DCCKI SRO and/or DCCKI ARO respectively.

The DCC and any Party or RDP may agree that any action taken by either of them prior to the date of the designation of this SMKI RAPP shall, if the equivalent action taken after that date would have satisfied a requirement of this SMKI RAPP for the purposes of appointing an ARO or SRO or the Party or RDP becoming an Authorised Subscriber, be treated as if it had taken place after that date.

3.2 SMKI Registration Authority representatives

Individuals acting as representatives of the DCC in its role as SMKI Registration Authority are:

- **SMKI Registration Authority Manager**. The process by which a SMKI Registration Authority Manager is nominated, verified, authorised and provided with the means to authenticate their access to SMKI Services and/or the SMKI Repository Service is set out in SMKI RAPP Sections 6.2 and 6.4.

- **SMKI Registration Authority Personnel.** The process by which SMKI Registration Authority Personnel are nominated, verified, authorised and provided with the means to authenticate their access to SMKI Services and/or SMKI Repository is set out in SMKI RAPP Sections 6.3 and 6.4.

The DCC shall ensure that only a SMKI Registration Authority Manager or SMKI Registration Authority Personnel may act on behalf of the DCC in respect of matters relating to the SMKI Registration Authority. Each Party, RDP, Manufacturer, SECCo and the DCC (in its role of DCC Service Provider) shall refrain from dealing with DCC Personnel (including SMKI Registration Authority Managers and SMKI Registration Authority Personnel) other than as directed by the Service Desk for the purposes of submitting Certificate Signing Requests (CSRs) and Certificate Revocation Requests (CRRs).

The DCC, in order to perform its role as SMKI Registration Authority, shall nominate at least two individuals to become a SMKI Registration Authority Manager, each of which will have responsibility for:

a) management of the SMKI Registration Authority function and SMKI Registration Authority Personnel;

b) nomination of individuals to become SMKI Registration Authority Personnel;

c) authentication and verification of SMKI Registration Authority Personnel, as set out in Section 6.3 of this document;

d) provision of the means to authenticate access to SMKI Services and/or the SMKI Repository Service for authorised Party, RDP, Manufacturer or SECCo representatives and DCC Personnel (including SMKI Registration Authority Personnel);

e) managing the process by which documents and information are lodged in the SMKI Repository; and

f) approval of CRRs.

A SMKI Registration Authority Manager may nominate individuals to become SMKI Registration Authority Personnel and to act on behalf of the SMKI Registration Authority as set out in this SMKI RAPP and the Code. The primary responsibilities of SMKI Registration Authority Personnel are:

a) to conduct registration processes as set out in SMKI RAPP Sections 5.1 to 5.5, incorporating:

   i. verification of organisational identity;

   ii. verification and authorisation of individuals nominated to become SROs or AROs, as set out in Section 5.2 and 5.3 of this document;

   iii. provision of the means to authenticate access to SMKI Services and/or the SMKI Repository Service for authorised Party, RDP, Manufacturer, SECCo representatives and DCC personnel; and

   iv. assessment of whether an organisation qualifies to become an Authorised Subscriber for Organisation Certificates and/or Device Certificates.

b) processing and approval (where required) of Certification Signing Requests and processing of Certificate Revocation Requests; and

c) processing of requests for revocation of credentials used to access SMKI Services and/or the SMKI Repository Service.

The DCC shall ensure that SMKI Registration Authority Managers and SMKI Registration Authority Personnel, where required, are available to undertake the obligations in respect of procedures set out in this SMKI RAPP:

a) in respect of the verification, processing and approval of CRRs, on a 24*7 basis; and

b) in respect of all other procedures as set out in this SMKI RAPP, on a Working Day basis and during standard working hours in England.

The DCC and any Party, RDP, Manufacturer or SECCo may agree that any action taken by either of them prior to the date of the designation of this SMKI RAPP shall, if the equivalent action taken after that date would have satisfied a requirement of this SMKI RAPP for the purposes of appointing a SMKI Registration Authority Manager or member of SMKI Registration Authority Personnel, be treated as if it had taken place after that date.

4. Party, RDP, Manufacturer, SECCo and DCC (as DCC Service Provider) registration procedures

4.1 General registration obligations

4.1.1 Organisation, individual, and RA obligations

Each Party, RDP, Manufacturer, SECCo and the DCC (in its role as DCC Service Provider) shall ensure that its nominated representatives wishing to access SMKI Services and/or the SMKI Repository Service shall undertake the procedures and processes as set out in SMKI RAPP Sections 5.1 to 5.5, as appropriate.

To facilitate this, the SMKI Registration Authority shall:

a) make the forms as set out in SMKI RAPP Annex A, available from the DCC Website or via the DCC SharePoint site as advised by the DCC;

b) provide reasonable support and advice to each Party, RDP, Manufacturer, SECCo and DCC Service Providers in relation to the procedures as set out in SMKI RAPP sections 5.1 to 5.5;

c) place no restriction on the number of individuals that can be nominated as SROs or AROs in respect of any Party, RDP, Manufacturer, SECCo or the DCC (in its role as DCC Service Provider);

d) permit an individual to become an ARO to represent multiple parties, by successfully completing the procedures in SMKI RAPP section 5.3 and 5.4 as are necessary;

e) store and maintain records relating to the nomination, verification and authorisation of individuals and organisations (but not the personal details of individuals) as set out Sections 5.1 to 5.5, and in accordance with the Code and the DCC's data retention policy and data protection policy;

f) not permit any nominated individual to access the SMKI Services or relevant the SMKI Repository Service on behalf of a Party, RDP, Manufacturer, SECCo or the DCC (in its role as DCC Service Provider) until they have become an ARO;

g) ensure that credentials issued under the IKI Certificate Policy to AROs have a lifetime of ten years and that such credentials and shall cease to be valid after ten years following issuance;

h) for authentication and file signing credentials issued under the IKI Certificate Policy and where the Key Pair and Certificate Signing Request are both generated by the prospective ARO on a Cryptographic Credential Token during the ARO verification meeting, that the prospective ARO has an opportunity to validate and agree information (e.g. role and other organisation and individual identity) against which the Certificate is Issued is accurate and that it reflects the identity of the ARO or system that is the subject of the Certificate;

i) for authentication and file signing credentials issued under the IKI Certificate Policy and which are delivered to the SMKI Registration Authority in the form of a Certificate Signing Request generated by the prospective ARO's organisation and provided by the prospective ARO during the ARO verification meeting, that the prospective ARO has an opportunity to validate the information in the resulting Certificate reflects that provided in the Certificate Signing Request and that it is accurate and reflects the identity of the prospective ARO or system that is the subject of the Certificate;

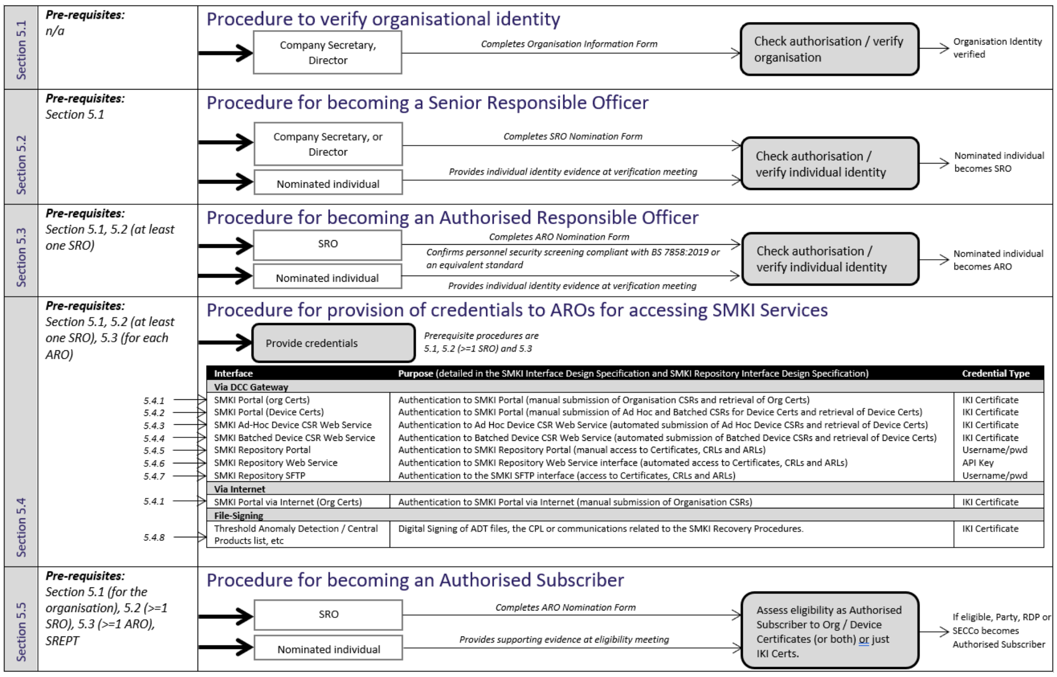
j) for authentication credentials not issued under the IKI Certificate Policy, shall ensure that such authentication credentials remain valid until revoked; and

k) produce, each month, and make available to each Party, RDP, Manufacturer and SECCo, a report for that organisation which details the list of SROs, AROs, the credentials that have been issued to each ARO and those AROs for which credentials will expire in the following month.

4.1.2 High level overview of SMKI Registration Authority procedures

Figure 1 as set out immediately below provides a high level view of the procedures required in order for a Party, RDP, Manufacturer, SECCo or the DCC (in its role as DCC Service Provider) to:

- verify their organisational identity;
- become an SRO;
- become an ARO;
- gain credentials for accessing SMKI Services and/or the SMKI Repository Service;
- become an Authorised Subscriber for:
    - Organisation Certificates or Device Certificates, or both;
    - a File Signing Certificate (issued under the IKI Certificate Policy) for the purposes of verifying Digital Signatures of files in accordance with the Code;
- gain access to Organisation Certificates and/or Device Certificates and other material via the SMKI Repository; and
- gain access to File Signing Certificates, and their corresponding Private Keys to be used for the purposes of Digitally Signing files.


Section 5.1
Pre-requisites:
n/a
Procedure to verify organisational identity
Company Secretary, Director
Completes Organisation Information Form
Check authorisation / verify organisation
Organisation Identity verified
Section 5.2
Pre-requisites:
Section 5.1
Procedure for becoming a Senior Responsible Officer
Company Secretary, or Director
Completes SRO Nomination Form
Nominated individual
Provides individual identity evidence at verification meeting
Check authorisation / verify individual identity
Nominated individual becomes SRO
Section 5.3
Pre-requisites:
Section 5.1, 5.2 (at least one SRO)
Procedure for becoming an Authorised Responsible Officer
SRO
Completes ARO Nomination Form
Confirms personnel security screening compliant with BS 7858:2019 or an equivalent standard
Nominated individual
Provides individual identity evidence at verification meeting
Check authorisation / verify individual identity
Nominated individual becomes ARO
Section 5.4
Pre-requisites:
Section 5.1, 5.2 (at least one SRO), 5.3 (for each ARO)
Procedure for provision of credentials to AROs for accessing SMKI Services
Provide credentials
Prerequisite procedures are 5.1, 5.2 (>=1 SRO) and 5.3
5.4.1
5.4.2
5.4.3
5.4.4
5.4.5
5.4.6
5.4.7
5.4.1
5.4.8
Section 5.5
Pre-requisites:
Section 5.1 (for the organisation), 5.2 (>=1 SRO), 5.3 (>=1 ARO), SREPT
Procedure for becoming an Authorised Subscriber
SRO
Completes ARO Nomination Form
Nominated individual
Provides supporting evidence at eligibility meeting
Assess eligibility as Authorised Subscriber to Org / Device Certificates (or both) or just IKI Certs.
If eligible, Party, RDP or SECCo becomes Authorised Subscriber

Interface	**Purpose** (detailed in the SMKI Interface Design Specification and SMKI Repository Interface Design Specification)	Credential Type
Via DCC Gateway		
SMKI Portal (org Certs)	Authentication to SMKI Portal (manual submission of Organisation CSRs and retrieval of Org Certs)	IKI Certificate
SMKI Portal (Device Certs)	Authentication to SMKI Portal (manual submission of Ad Hoc and Batched CSRs for Device Certs and retrieval of Device Certs)	IKI Certificate
SMKI Ad-Hoc Device CSR Web Service	Authentication to Ad Hoc Device CSR Web Service (automated submission of Ad Hoc Device CSRs and retrieval of Device Certs)	IKI Certificate
SMKI Batched Device CSR Web Service	Authentication to Batched Device CSR Web Service (automated submission of Batched Device CSRs and retrieval of Device Certs)	IKI Certificate
SMKI Repository Portal	Authentication to SMKI Repository Portal (manual access to Certificates, CRLs and ARLs)	Username/pwd
SMKI Repository Web Service	Authentication to SMKI Repository Web Service interface (automated access to Certificates, CRLs and ARLs)	API Key
SMKI Repository SFTP	Authentication to the SMKI SFTP interface (access to Certificates, CRLs and ARLs)	Username/pwd
Via Internet		
SMKI Portal via Internet (Org Certs)	Authentication to SMKI Portal via Internet (manual submission of Organisation CSRs)	IKI Certificate
File-Signing		
Threshold Anomaly Detection / Central Products list, etc	Digital Signing of ADT files, the CPL or communications related to the SMKI Recovery Procedures.	IKI Certificate

Figure 1: Overview of SMKI access registration processes

- SMKI RAPP Section 5.1 sets out the procedure and detailed processes for confirming the role of the nominating individual and verifying the organisational identity of the Party, RDP, Manufacturer, SECCo or DCC Service Provider, which shall be conducted where its identity has not previously been established.

- SMKI RAPP Section 5.2 sets out the procedure and detailed processes for verifying the identity of an individual nominated to become an SRO. The DCC shall ensure that an individual cannot become an SRO until the organisational identity of the applicant has been verified.

- SMKI RAPP Section 5.3 sets out the procedure and detailed processes for verifying the identity of an individual nominated to become an ARO. The DCC shall ensure that an individual cannot become an ARO until the organisation has at least one SRO and the organisational identity of the applicant has been verified.

- Once an individual has become an ARO, SMKI RAPP Section 5.4 sets out the procedure and detailed processes by which the appropriate credentials used to access SMKI Services and/or the SMKI Repository Service are provided to AROs.

- Where an applicant wishes to be an Authorised Subscriber for Organisation Certificates or Device Certificates or both, Section 5.5 of the SMKI RAPP sets out the procedure and detailed processes by which the DCC determines if the applicant is eligible to become an Authorised Subscriber for such Organisation Certificates or Device Certificates or both.

In respect of the procedures and detailed processes set out in SMKI RAPP Sections 5.1 to 5.5, the DCC shall place no restriction on the number of forms that can be submitted by an individual Party, RDP, Manufacturer, SECCo or the DCC. Where reasonably practicable, the DCC shall conduct the procedures as set out in SMKI RAPP Sections 5.1 to 5.5 such that where multiple forms are submitted at the same time, multiple procedures can be conducted via a video link by the applicant's nominated individuals.

4.1.3 Change of details

If there is a change to any of the information used to verify the organisational identity of any Party, RDP, Manufacturer, SECCo or a DCC Service Provider (acting on behalf of the DCC), an SRO shall advise the Service Desk of the change and shall ensure that the procedure and detailed processes as set out in SMKI RAPP Section 5.1 is undertaken in respect of the revised evidence of identity, as soon as is reasonably practicable after the change occurs.

If there is a material change to any of the information used to verify the identity of any SRO or ARO, an SRO shall:

a) advise the Service Desk of the change;

b) where required to do so by the SMKI Registration Authority, check the name and address of an ARO before issuing a replacement token, ensure that its SRO or ARO undertakes the procedures as set out in SMKI RAPP Sections 5.2 or 5.3 in respect of the revised evidence of identity, as soon as is reasonably practicable after a material change occurs; and

c) where necessary, for an ARO ensure that credentials used to access SMKI Services and/or the SMKI Repository Service are revoked as set out in SMKI RAPP Section 8.3.

No Party, RDP, Manufacturer, SECCo or the DCC (acting as DCC Service Provider) shall unreasonably withhold information that is required by the SMKI Registration Authority in order to perform the procedures as set out in SMKI RAPP Sections 5.1 to 5.5.

4.1.4 Director or Company Secretary ceasing to be eligible to act on behalf of a Party, RDP, Manufacturer or SECCo

Where Director or Company Secretary ceases to be eligible to act on behalf of a Party, RDP, Manufacturer or SECCo in respect of the procedures set out in the SMKI RAPP:

a) the Director or Company Secretary themselves, or a Senior Responsible Officer (SRO) whose identity has previously been verified by the DCC, shall advise the Service Desk of the change;

b) the DCC shall confirm such information from the relevant Nominee Details Form, in order to provide confidence that the request is from a Director, Company Secretary or SRO; and

c) if b) is successful, the DCC shall update the DCC's records of authorised individuals for the Party, RDP, Manufacturer or SECCo and shall no longer consider the individual to be able to act on behalf of that Party, RDP, Manufacturer or SECCo.

4.1.5 SROs ceasing to be eligible to act on behalf of a Party, RDP, Manufacturer or SECCo

Where an SRO ceases to be eligible to act on behalf of a Party, RDP, Manufacturer or SECCo in respect of the procedures set out in the SMKI RAPP:

a) the SRO themselves, or a Director, Company Secretary or SRO whose identity has previously been verified by the DCC, shall advise the Service Desk of the change;

b) the DCC shall confirm such information from the relevant Nominee Details Form, in order to provide confidence that the request is from an SRO, Director or Company Secretary; and

c) if b) is successful, update the DCC's records of authorised individuals for the Party, RDP, Manufacturer or SECCo and shall no longer consider the individual to be able to act on behalf of that Party, RDP, Manufacturer or SECCo.

5. Detailed Party, RDP, Manufacturer, SECCo and DCC (as DCC Service Provider) registration procedures and processes

Each Party, RDP, Manufacturer, SECCo and DCC (in its role as DCC Service Provider) shall ensure that its nominated representatives wishing to access SMKI Services and/or the SMKI Repository Service shall undertake the procedures and processes as set out in SMKI RAPP Sections 5.1 to 5.5, as appropriate.

5.1 Procedure and processes to verify organisational identity

The processes as detailed immediately below shall be conducted by the SMKI Registration Authority in order to verify the organisational identity of a Party, RDP, Manufacturer, SECCo or DCC Service Provider (acting on behalf of the DCC).

Step	When	Obligation	Responsibility	Next Step
5.1.1	As required	The applicant organisation shall complete the Organisation Information Form, as set out in SMKI RAPP Annex A (A1). In doing so, the applicant organisation shall ensure that: a. the information entered on the form is complete and accurate; b. the EUI-64 Compliant identifier range for any particular User Role is defined by the applicant organisation such that the range is continuous and does not overlap with	Director or Company Secretary, on behalf of the applicant organisation, which shall be a Party, RDP, Manufacturer, SECCo or DCC Service Provider	5.1.2

		the EUI-64 Compliant identifier range for any other User Role, other than where a particular EUI-64 Compliant identifier is allowed to be used for more than one User Role in accordance with H1.5; and c. the Organisation Information Form is authorised by a Director or Company Secretary on behalf of the applicant organisation. The applicant organisation shall also complete the Nominee Details Form, as set out in SMKI RAPP Annex A (A5), for the Director or Company Secretary that has authorised the Organisation Information Form. In doing so, the applicant organisation shall ensure that the information entered on the form is complete and accurate.		
5.1.2	As required, following 5.1.1	Submit the completed Organisation Information Form and Nominee Details Form to the SMKI Registration Authority,	Director or Company Secretary, on behalf of the applicant organisation,	5.1.3

		in writing, as directed on the DCC Website.	which shall be a Party, RDP, Manufacturer, SECCo or DCC Service Provider	

5.1.3	As soon as reasonably practicable following receipt of completed Organisation Information Form	Acknowledge receipt by email to the Director or Company Secretary that has authorised the Organisation Information Form.	Service Desk	5.1.4

5.1.4	As soon as reasonably practicable following 5.1.3	Confirm that the nominating Director or Company Secretary holds such a position within the application organisation, via a public information source. Analyse the information entered on the Organisation Information Form and Nominee Details Form, to determine completeness, discrepancies and whether the submitted EUI-64 Compliant identifier ranges are consistent with the restriction set out in step 5.1.1. Where there are omissions/discrepancies or the submitted identifier ranges are not consistent with the restriction set out in step 5.1.1, the SMKI Registration Authority shall agree actions and/or amendments, via email, with the Director or Company Secretary that has authorised the Organisation Information Form.	SMKI Registration Authority Personnel	If complete, accurate and no discrepancies, 5.1.6; if not complete and accurate or any discrepancies, 5.1.5

5.1.5	Once omissions / discrepancies addressed	Submit a revised Organisation Information Form and/or Nominee Details Form to the SMKI Registration Authority, or in writing as directed on the DCC Website.	Director or Company Secretary, on behalf of the applicant organisation, which shall be a Party, RDP, Manufacturer, SECCo or DCC Service Provider	5.1.3

5.1.6	As soon as reasonably practicable, following 5.1.4	Agree with the applicant organisation and confirm, by email, the date and time of a meeting to verify the organisation identity to the Director, or Company Secretary that has signed the Organisation Information Form. The meeting shall be held via a video link or face to face if preferred.	SMKI Registration Authority	5.1.7
5.1.7	As soon as reasonably practicable on becoming aware of unavailability	If it is identified that SMKI Registration Authority Personnel will be unavailable to conduct the verification meeting on the agreed date and time, the SMKI Registration Authority shall inform the applicant Director or Company Secretary by email, and shall agree and confirm an alternative date and time. If it is identified that the individual(s) acting on behalf of the applicant organisation will be unavailable to attend the verification meeting on the agreed date and time, the individual(s) shall inform the SMKI Registration Authority, by email, and shall agree and confirm an alternative date and time.	SMKI Registration Authority or applicant organisation, as appropriate	5.1.8
5.1.8	In meeting to verify organisational identity	Verify: a. the organisational identity of the applicant organisation to the level pursuant to the SMKI PMA Guidance on "Verifying Organisation Identity" published on the Website; b. via information held by SECCo, that the applicant organisation has the User Role or User Roles as specified in Organisation Information Form; c. proof of individual identity provided for the nominating individual against the information listed on the Organisation Information Form and the Nominee Details Form; and d. the individual identity of the nominating individual to the level pursuant to the SMKI PMA Guidance on "Verifying Individual Identity" published on the Website.	SMKI Registration Authority Personnel	If not successful, 5.1.9; if successful, 5.1.10
5.1.9	As soon as reasonably practicable, following 5.1.8	If verification in 5.1.8 is unsuccessful, notify the nominating Director, Company Secretary or SRO that verification of the organisational identity has been unsuccessful, by email.	SMKI Registration Authority Personnel	5.1.5 once issues addressed

5.1.10	As soon as reasonably practicable, following 5.1.8	If verification in 5.1.8 is successful, inform the nominating Director or Company Secretary that the organisational identity has been successfully verified, by email.	SMKI Registration Authority	5.1.11
5.1.11	As soon as reasonably practicable, following 5.1.10	Add the verified organisation to the DCC's list of such organisations, in accordance with Section 4.1.2 (A) (ii) of Appendix A to the Code and Section 4.1.2 (A) (ii) of Appendix B to the Code.	SMKI Registration Authority	End of procedure

5.2 Procedure for becoming a Senior Responsible Officer

The procedure as detailed immediately below shall be conducted by the SMKI Registration Authority in order to check the authorisation and verify the identity of any individual that has been nominated to become a Senior Responsible Officer in respect of that Party, RDP, Manufacturer, SECCo or the DCC (in its role as DCC Service Provider).

Step	When	Obligation	Responsibility	Next Step
5.2.1	As required	Complete the SMKI SRO Nomination Form and Nominee Details Form, as set out in SMKI RAPP Annex A (A3) and Annex A (A5). In doing so, the individual completing the SMKI SRO Nomination Form and Nominee Details Form shall ensure that the information entered on the forms is complete and accurate, and that: a. the nominating individual is for a Party, RDP, Manufacturer, SECCo or the DCC (as DCC Service Provider), a Director of, or Company Secretary of and an employee of, the applicant organisation or its parent organisation; and b. the SMKI SRO Nomination Form and Nominee Details Form are both authorised, where applicable, by a Director or Company Secretary on behalf of the applicant organisation.	Director or Company Secretary, on behalf of the applicant organisation, which shall be a Party, RDP, Manufacturer, SECCo or DCC (as DCC Service Provider).	5.2.2
5.2.2	As required, following 5.2.1	Submit the completed SMKI SRO Nomination Form and Nominee Details Form to the SMKI Registration Authority, in writing, as	Director or Company Secretary, on behalf of the applicant organisation,	5.2.3

		directed on the DCC Website.	which shall be a Party, RDP, Manufacturer, SECCo or DCC (as DCC Service Provider).	

5.2.3	As soon as reasonably practicable following receipt of completed SRO Nomination Form	Acknowledge receipt to the Director or Company Secretary that has authorised the SMKI SRO Nomination Form.	Service Desk	5.2.4

5.2.4	As soon as reasonably practicable following 5.2.3	Analyse the information entered on the SMKI SRO Nomination Form and Nominee Details Form, to: a. determine completeness and any discrepancies; and b. confirm, using the DCC's records or using publicly available information, that the Director or Company Secretary that has authorised the SMKI SRO Nomination Form has the role indicated on the SMKI SRO Nomination Form. Where there are omissions/discrepancies, agree actions with the nominating individual, via email.	SMKI Registration Authority Personnel	If complete, 5.2.6; if not complete, 5.2.5

5.2.5	Once omissions / discrepancies addressed	Submit a revised SMKI SRO Nomination Form and/or Nominee Details Form to the SMKI Registration Authority, in writing as directed on the DCC Website.	Director or Company Secretary, on behalf of the applicant organisation, which shall be a Party, RDP, Manufacturer, SECCo or DCC (as DCC Service Provider).	5.2.3

5.2.6	As soon as reasonably practicable, following 5.2.4	If the SMKI Registration Authority has any questions about the information submitted, contact the Director or Company Secretary that nominated the individual, via telephone, using the telephone number provided previously in the SMKI SRO Nomination Form, to confirm whether each nominated individual on the SMKI SRO Nomination Form is authorised to act on behalf of the organisation as SRO and seek confirmation of information provided on the SMKI SRO Nomination Form in order to provide confidence that the correct person has been contacted.	SMKI Registration Authority Personnel	If confirmed as authorised, 5.2.8; if not confirmed as authorised, 5.2.7
5.2.7	As soon as reasonably practicable following rejection	Inform the applicant organisation that the application to become a Senior Responsible Officer has not been successful, by email to the Director or Company Secretary that has authorised the SMKI SRO Nomination Form.	SMKI Registration Authority Personnel	5.2.6 once issues resolved
5.2.8	As soon as reasonably practicable, following 5.2.6	Agree, via email with the individual nominated to become a Senior Responsible Officer, a date and time for the nominated individual(s) to attend a face to face verification meeting in person or by video link.	SMKI Registration Authority Personnel	5.2.9
5.2.9	As soon as reasonably practicable on becoming aware of unavailability	If it is identified that SMKI Registration Authority Personnel will be unavailable to conduct the verification meeting on the agreed date and time, the SMKI Registration Authority shall inform the nominated individual, and shall agree and confirm an alternative date and time. If it is identified that the individual(s) nominated to act on behalf of the applicant organisation will be unavailable to attend the verification meeting on the agreed date and time, the nominated individual shall inform the SMKI Registration Authority, by email and telephone, and shall agree and confirm an alternative date and time.	SMKI Registration Authority or applicant organisation, as appropriate	5.2.10
5.2.10	In SRO verification meeting	At the face-to-face SRO verification meeting in person or by video link, the SMKI Registration Authority shall, in person: a. check proof of individual identity provided for each nominated individual against the information listed on the SRO Nomination Form and the	SMKI Registration Authority	If not successfully verified, 5.2.11; if successfully verified, 5.2.12

		Nominee Details Form; and b. verify the individual identity for each nominated individual to the level pursuant to the SMKI PMA Guidance on "Verifying Individual Identity" published on the Website.		
5.2.11	As soon as reasonably practicable, following verification meeting	Notify the Director or Company Secretary in writing, that the nominated individual(s) has not been verified successfully and has not become a Senior Responsible Officer on behalf of the applicant organisation.	SMKI Registration Authority	5.2.5 once issues addressed
5.2.12	As soon as reasonably practicable, following verification meeting	Notify the Director or Company Secretary in writing, that the nominated individual(s) has become a Senior Responsible Officer on behalf of the applicant organisation.	SMKI Registration Authority	5.2.13
5.2.13	As soon as reasonably practicable, 5.2.12	Add the relevant SRO to the DCC’s list of SROs, in accordance with Section 4.1.2 (A) (ii) of Appendix A to the Code and Section 4.1.2 (A) (ii) of Appendix B to the Code.	SMKI Registration Authority	End of Procedure

5.3 Procedure for becoming an Authorised Responsible Officer

The procedure as detailed immediately below shall be conducted by the SMKI Registration Authority in order to check the authorisation and verify the identity of any individual that has been nominated to become an Authorised Responsible Officer in respect of that Party, RDP, Manufacturer, SECCo or the DCC (in its role as DCC Service Provider).

Step	When	Obligation	Responsibility	Next Step
5.3.1	As required	Complete the SMKI ARO Nomination Form and Nominee Details Form as set out in SMKI RAPP Annex A (A4) and Annex A (A5), ensuring that; a. the information entered on the forms is complete and	SRO on behalf of the applicant organisation, which shall be a Party, RDP, Manufacturer, SECCo or DCC (as DCC Service Provider)	5.3.2

		accurate; b. the SMKI ARO Nomination Form and Nominee Details Form are authorised by an SRO on behalf of the applicant organisation; and c. the SRO has confirmed that the SMKI ARO Nominee has been subject to a standard that is compliant with BS 7858:2019 or an equivalent standard.		
5.3.2	As required, following 5.3.1	Submit the completed SMKI ARO Nomination Form and Nominee Details Form to the SMKI Registration Authority in writing, as directed on the DCC Website.	SRO on behalf of the applicant organisation, which shall be a Party, RDP, Manufacturer, SECCo or DCC (as DCC Service Provider)	5.3.3
5.3.3	As soon as reasonably practicable following receipt of completed ARO Nomination Form and Nominee Details Form	Acknowledge receipt by email to the SRO as identified on the SMKI ARO Nomination Form.	Service Desk	5.3.4
5.3.4	As soon as reasonably	Analyse the information entered on the SMKI ARO Nomination Form and Nominee Details	SMKI Registration Authority	If complete,

	practicable following 5.3.3	Form; determine completeness and any discrepancies. Where there are omissions/discrepancies, agree actions with the SRO via email.		5.3.6; if not complete, 5.3.5
5.3.5	Once omissions / discrepancies are addressed	Submit a revised SMKI ARO Nomination Form and/or Nominee Details Form to the Registration Authority in writing as directed on the DCC Website.	SRO on behalf of the applicant organisation, which shall be a Party, RDP, Manufacturer, SECCo or DCC (as DCC Service Provider)	5.3.3
5.3.6	As soon as reasonably practicable, following 5.3.4	If the SMKI Registration Authority has any questions about the information submitted, contact an SRO of the applicant organisation via telephone, using the registered contact information for the SRO as held by the SMKI Registration Authority, to confirm whether the nominated individual is authorised to become an ARO.	SMKI Registration Authority	If confirmed as authorised, 5.3.8; if not authorised, 5.3.7
5.3.7	As soon as reasonably practicable following rejection	Notify the individual and an SRO that the procedure for becoming an ARO has not been successful for relevant nominated individual, by email.	SMKI Registration Authority	5.3.5 once issues addressed
5.3.8	As soon as reasonably practicable, following 5.3.6	Agree with the applicant organisation and confirm the date and time for the ARO verification meeting, via email to the nominated individual and an SRO of the applicant organisation.	SMKI Registration Authority	5.3.9
5.3.9	As soon as reasonably practicable on becoming aware of unavailability	If it is identified that SMKI Registration Authority Personnel will be unavailable to conduct the verification meeting on the agreed date and time, the SMKI Registration Authority shall inform an SRO and the nominated individual, by email, and shall agree and confirm an alternative date and time. If it is identified that the nominated individual(s) acting on behalf of the applicant organisation will be unavailable to attend the verification meeting on the agreed date and time, an SRO shall inform the SMKI Registration Authority, by	SMKI Registration Authority or applicant organisation, as appropriate	5.3.10

		email, and shall agree and confirm an alternative date and time.		
5.3.10	In ARO verification meeting	At the ARO face-to-face verification meeting, the SMKI Registration Authority shall, in person, for the nominated individual: a. check proof of individual identity provided against the information listed on the ARO Nomination Form and Nominee Details Form; and b. verify the identity of the nominated individual to the level pursuant to the SMKI PMA Guidance on "Verifying Individual Identity" published on the Website.	SMKI Registration Authority	If verified, 5.3.12; if not verified, 5.3.11
5.3.11	As soon as reasonably practicable, following ARO verification meeting	Notify: a. the nominated individual that they have become an ARO, verbally; or b. in writing to the SRO, that the verification has not been successful for the nominated individual, that the nominated individual has not become an ARO, and provide reasons for the rejection and request that the nominated individual is required to attend a further ARO verification meeting once the issues have been remedied.	SMKI Registration Authority	If successful, 5.3.12; otherwise 5.3.5 once issues are addressed
5.3.12	As soon as reasonably practicable, following ARO verification meeting	Ensure that the applicant organisation is notified of the individuals whose identity has been verified and have become AROs by email or via the Service Desk updating the relevant ticket, ensuring that there is a record for audit purposes.	SMKI Registration Authority or Service Desk	5.3.13
5.3.13	As soon as reasonably practicable, following 5.3.12	Add the relevant individual to the DCC’s list of AROs, in accordance with Section 4.1.2 (A) (ii) of Appendix A to the Code and Section 4.1.2 (A) (ii) of Appendix B to the Code.	SMKI Registration Authority	Procedure as set out in SMKI RAPP section 5.5

5.4 Procedure for provision of credentials to AROs for accessing SMKI Services and the SMKI Repository Service and file signing

The procedure and processes as detailed immediately below shall be conducted by the SMKI Registration Authority in order to provide credentials for accessing SMKI Services and/or the SMKI Repository Service or for file signing to Authorised Responsible Officers in respect of a Party, RDP, Manufacturer, SECCo or the DCC (in its role as DCC Service Provider). The SMKI Registration Authority shall not provide such credentials to an individual on behalf of a Party, RDP, Manufacturer, SECCo or the DCC (in its role as DCC Service Provider), other than where the organisation has completed SMKI and Repository Entry Process Tests and such individuals have become Authorised Responsible Officers.

Step	When	Obligation	Responsibility	Next Step
5.4.1	During ARO verification meeting and after becoming an ARO	**IKI credentials for submission of CSRs in respect of Organistion Certificates using SMKI Portal via DCC Gateway Connection or SMKI Portal via the Internet** If the applicant has indicated on the Authorised Subscriber application form that it wishes to be an Authorised Subscriber for Organisation Certificates and/or Device Certificates, and where the Party, RDP, Manufacturer, SECCo or DCC Service Provider has successfully completed SMKI and Repository Entry Process Tests, the SMKI Registration Authority shall, if the ARO wishes to access the SMKI Portal interface, provide the ARO with: a. If the	SMKI Registration Authority	5.4.2

		applicant organisation has access to a DCC Gateway Connection, one Cryptographic Credential Token containing credentials issued under the applicable IKI Certification Authority that authenticate the ARO to access the SMKI Portal Interface for the purposes of submission of CSRs in respect of Organisation Certificates and retrieval of corresponding Organisation Certificates via a DCC Gateway Connection. The DCC shall ensure that the Cryptographic Credential Token enables the ARO to set a PIN code which shall be used each		

		time the Cryptographic Credential Token is used, to render the Cryptographic Credential Token operative. Such credentials shall not allow the ARO to access the SMKI Portal Interface via the Internet. b. If the applicant organisation does not have access to a DCC Gateway Connection, one Cryptographic Credential Token containing credentials issued under the applicable IKI Certification Authority that authenticate the ARO to access the SMKI Portal Interface via the Internet for the purposes of submission of CSRs in respect of		

		Organisation Certificates and retrieval of corresponding Organisation Certificates. The DCC shall ensure that the Cryptographic Credential Token enables the ARO to set a PIN code which shall be used each time the Cryptographic Credential Token is used, to render the Cryptographic Credential Token operative. Such credentials shall not allow the ARO to access the SMKI Portal Interface via a DCC Gateway Connection. Where the Party, RDP, Manufacturer, SECCo or DCC (in its role as DCC Service Provider) has not successfully completed SMKI and Repository Entry Process Tests, the DCC shall retain such		

		Cryptographic Credential Token until such time as the Party, RDP, Manufacturer, SECCo or DCC (as DCC Service Provider) has successfully completed SMKI and Repository Entry Process Tests, at which point the DCC shall send such Cryptographic Credential Token to the ARO via secure courier.		

5.4.2	During ARO verification meeting and after becoming an ARO	**IKI credentials for submission of CSRs in respect of Device Certificates using SMKI Portal via DCC Gateway Connection** If the applicant has indicated on the Authorised Subscriber application form that it wishes to be an Authorised Subscriber for Device Certificates, the Registration Authority shall determine, in accordance with the steps set out in Section 5.5 of the SMKI RAPP, whether there is reasonable evidence to suggest that it is necessary for the applicant organisation to become an Authorised Subscriber for Device Certificates in order for them to carry out business processes that will, or are likely to, lead to the installation of Devices in premises. Where there is such reasonable evidence, and where the applicant organisation has successfully completed SMKI and Repository Entry Process Tests, the SMKI Registration Authority shall, if the ARO wishes to access the SMKI Portal Interface, provide the ARO with: a. If the applicant organisation has access to a DCC Gateway Connection, one Cryptographic Credential Token containing credentials issued under the applicable IKI Certification Authority that authenticate the ARO to access the SMKI Portal Interface for the purposes of submission of CSRs in respect of Device Certificates and retrieval of corresponding Device Certificates via a DCC Gateway Connection. The DCC shall ensure that the Cryptographic	SMKI Registration Authority	5.4.3

		Credential Token enables the ARO to set a PIN code which shall be used each time the Cryptographic Credential Token is used, to render the Cryptographic Credential Token operative. Such credentials shall not allow the ARO to access the SMKI Portal Interface via the Internet. Where the Party, RDP or DCC (in its role as DCC Service Provider) has not successfully completed SMKI and Repository Entry Process Tests, the DCC shall retain such Cryptographic Credential Token until such time as the Party, RDP or DCC (as DCC Service Provider) has successfully completed SMKI and Repository Entry Process Tests, at which point the DCC shall send such Cryptographic Credential Token to the ARO via secure courier.		

5.4.3	During ARO verification meeting and after becoming an ARO	**IKI credentials for Ad Hoc Device CSR Web Service** If the applicant has indicated on the Authorised Subscriber application form that it wishes to be an Authorised Subscriber for Device Certificates and it wishes to use the Ad Hoc Device CSR Web Service, the SMKI Registration Authority shall, if the applicant organisation has access to a DCC Gateway Connection and is a Supplier Party or the DCC, and where the Supplier Party or DCC (in its role as DCC Service Provider) has successfully completed SMKI and Repository Entry Process Tests, the SMKI Registration Authority shall provide the ARO, via USB token or optical media, with Ad Hoc Device CSR Web Service access credentials for Device Certificates, which corresponds with a CSR that shall be provided, via USB token or optical media, by the applicant organisation in accordance with the SMKI Interface Design Specification, sections 2.4 xv, xvi & xvii. If the Supplier Party or DCC (in its role as DCC Service Provider) has not successfully completed SMKI and Repository Entry Process Tests at the time of the verification meeting, once the Supplier Party or DCC (as DCC Service Provider) has successfully completed SMKI and Repository Entry Process Tests, the SMKI Registration Authority shall provide, on a USB token or optical media via secure courier or by secured electronic means, the appointed ARO with Ad	SMKI Registration Authority	5.4.4

		Hoc Device CSR Web Service access credentials for Device Certificates, which corresponds with a CSR that shall be provided by the applicant organisation in accordance with the SMKI Interface Design Specification.		

5.4.4	During ARO verification meeting and after becoming an ARO	**IKI credentials for Batched Device CSR Web Service** If the applicant has indicated on the Authorised Subscriber application form that it wishes to be an Authorised Subscriber for Device Certificates and it wishes to use the Batched Device CSR Web Service, the SMKI Registration Authority shall determine, if the applicant organistaion has access to a DCC Gateway Connection and the applicant is not a Supplier Party or the DCC, in accordance with the steps set out in Section 5.5 of the SMKI RAPP, whether there is reasonable evidence to suggest that it is necessary for the applicant organisation to become an Authorised Subscriber for Device Certificates in order for them to carry out business processes that will, or are likely to, lead to the installation of Devices in premises. Where there is such reasonable evidence, and where the applicant organisation has successfully completed SMKI and Repository Entry Process Tests, the SMKI Registration Authority shall provide the appointed ARO, via USB token or optical media, with Batched Device CSR Web Service access credentials for Device Certificates, which shall be Issued by the DCC in response to a valid CSR that shall be provided by the applicant organisation in accordance with the SMKI Interface Design Specification, sections 2.5 xxvi & xxvii. If the applicant organisation has not successfully completed SMKI and Repository Entry Process Tests at the time of the verification meeting, once the applicant organisation has successfully completed SMKI and Repository Entry Process Tests, the SMKI Registration Authority shall provide, on a USB token or optical media via secure courier or by secured electronic means, the appointed ARO with Batched Device CSR Web Service access credentials for Device Certificates, which corresponds with a CSR that shall be provided by the applicant organisation in accordance with the SMKI Interface Design Specification.	SMKI Registration Authority	5.4.5

5.4.5	During ARO verification meeting and after becoming an ARO	**Credentials for SMKI Repository portal** If the applicant organisation has access to a DCC Gateway Connection, and it wishes to access the SMKI Repository via the SMKI Repository Portal and has successfully completed SMKI and Repository Entry Process Tests, provide the appointed ARO with a username and password, to be accessed via the SMKI Repository Portal, that is specific to the Authorised Responsible Officer, for the purposes of authenticating to the SMKI Repository Portal via DCC Gateway Connection, as set out in the SMKI Repository Interface Design Specification, section 2.1.2. If the applicant organisation has access to a DCC Gateway Connection, it wishes to access the SMKI Repository via the SMKI Repository Portal but has not successfully completed SMKI and Repository Entry Process Tests at the time of the verification meeting: a. DCC shall, once the applicant organisation has successfully completed SMKI and Repository Entry Process Tests, provide the appointed ARO with a username and password via secured electronic means that is specific to the Authorised Responsible Officer, for the purposes of authenticating to the SMKI Repository Portal via DCC Gateway Connection, as set out in the SMKI Repository Interface Design Specification, section 2.1.2.	SMKI Registration Authority	5.4.6

5.4.6	During ARO verification meeting and after becoming an ARO	**Credentials for SMKI Repository web service** If the applicant organisation has access to a DCC Gateway Connection, and wishes to access the SMKI Repository Web Service interface and has successfully completed SMKI and Repository Entry Process Tests, provide the ARO with the credentials required to authenticate to the SMKI Repository Web Service interface, as set out in the SMKI Repository Interface Specification section 2.2.1, along with a certificate which enables verification of the SMKI Repository Web Service server identity. If the applicant organisation has access to a DCC Gateway Connection, wishes to access the SMKI Repository Web Service interface but has not successfully completed SMKI and Repository Entry Process Tests at the time of the	SMKI Registration Authority	5.4.7

		verification meeting, once the applicant organisation has successfully completed SMKI and Repository Entry Process Tests, the SMKI Registration Authority shall provide, on electronic media as set out in the "SMKI Repository User Guide", the ARO with the credentials required to authenticate to the SMKI Repository Web Service interface, as set out in the SMKI Repository Interface Design Specification section 2.2.1.		
5.4.7	During ARO verification meeting and after becoming an ARO	**Credentials for SMKI Repository Portal SFTP** If the applicant organisation has access to a DCC Gateway Connection, wishes to access the SMKI Repository using SSH File Transfer Protocol (SFTP) access credentials and has successfully completed SMKI and Repository Entry Process Tests, provide the ARO with credentials, in the form of a username and password, used to access the SSH File Transfer Protocol (SFTP) interface, as set out in the SMKI Repository Interface Design Specification section 2.3.1. If the applicant organisation has access to a DCC Gateway Connection, wishes to access the SMKI Repository using SSH File Transfer Protocol (SFTP) access credentials but has not successfully completed SMKI and Repository Entry Process Tests at the time of the verification meeting, once the applicant organisation has successfully completed SMKI and Repository Entry Process Tests, the SMKI Registration Authority shall provide the ARO, via the SMKI Repository Portal profile page, with credentials, in the form of a username and password, used to access the SSH File Transfer Protocol (SFTP) interface, as set out in the SMKI Repository Interface Design Specification section 2.3.1.	SMKI Registration Authority	5.4.8
5.4.8	During ARO verification meeting and after becoming an ARO	**IKI credentials for file signing** If the applicant organisation wishes the ARO to be Issued with a File Signing Certificate for the purposes as set out in the Code, the SMKI Registration Authority shall either: a. provide the ARO with a Cryptographic Credential Token enabling the ARO to submit a CSR for a File Signing Certificate; in which case, the ARO shall use the software on the Cryptographic	SMKI Registration Authority	5.4.9

		Credential Token to generate a Private Key for a File Signing Certificate to submit a CSR for a File Signing Certificate; and if the CSR is valid, the ICA shall Issue a File Signing Certificate under the IKI Certificate Policy, to be used for the purposes as set out in the Code; or b. provide the appointed ARO, via USB token or optical media, with an IKI File Signing Certificate, which shall be Issued by the DCC in response to a valid CSR that shall be provided by the applicant organisation.		
5.4.9	During ARO verification meeting and after issuance of credentials	**Acceptance of credentials issued in steps 5.4.1 to 5.4.8** The SMKI Registration Authority shall complete the relevant sections of the Nominee Details Form in Annex A (A5) accordingly to confirm credential issuance either manually or digitally and give the form to the ARO, retaining a copy of the original. The ARO shall confirm receipt of and acceptance of the credentials issued by completing the relevant sections of the Nominee Details Form in Annex A (A5) either manually or digitally. The SMKI Registration Authority shall retain a copy of the receipt. Should the ARO not wish to accept these credentials, the ARO shall notify the SMKI Registration Authority immediately and not sign for the Certificate and / or Cryptographic Credential.	SMKI Registration Authority ARO	End of procedure

5.5 Procedure for becoming an Authorised Subscriber

An organisation is an Authorised Subscriber for IKI File Signing Certificates where it has successfully appointed and maintains in place at least one SRO and at least one ARO.

The procedure detailed immediately below shall be conducted by the DCC, in order to determine whether a Party, RDP or the DCC (in its role as DCC Service Provider) has become an Authorised Subscriber for Organisation Certificates, an Authorised Subscriber for Device Certificates, or both.

Step	When	Obligation	Responsibility	Next Step
5.5.1	As required	Complete the Authorised Subscriber / Interface Access Application Form as set out in SMKI	SRO on behalf of the applicant	5.5.2

		RAPP Annex A (A2), ensuring that the information entered on the form is complete and accurate, and the Authorised Subscriber Application Form is authorised by an SRO on behalf of the applicant organisation.	organisation, which shall be a Party, RDP or the DCC (in its role as DCC Service Provider)	
5.5.2	As required, following 5.5.1	Submit the completed Authorised Subscriber Application Form to the SMKI Registration Authority in writing, as directed on the DCC Website.	Applicant organisation, which shall be a Party or RDP	5.5.3
5.5.3	As soon as reasonably practicable following 5.5.2	Acknowledge receipt by email to the SRO as identified on the Authorised Subscriber / Interface Access Application Form.	SMKI Registration Authority	5.5.4
5.5.4	As soon as reasonably practicable following 5.5.3	Analyse the information entered on the Authorised Subscriber / Interface Access Application Form; determine completeness and any discrepancies. Where there are omissions/discrepancies, agree actions with an SRO via email.	SMKI Registration Authority	If complete, 5.5.6; if not complete, 5.5.5
5.5.5	Once omissions / discrepancies are addressed	Submit a revised Authorised Subscriber / Interface Access Application Form to the SMKI Registration Authority in writing, as directed on the DCC Website.	SRO on behalf of the applicant organisation, which shall be a Party, RDP or the DCC (in its role as DCC Service Provider)	5.5.3
5.5.6	As soon as reasonably practicable, following 5.5.4	Contact the SRO as identified on the Authorised Subscriber / Interface Access Application Form via telephone, using the registered contact information for the SRO as held by the SMKI Registration Authority. The SMKI Registration Authority shall verbally confirm details for the SRO as held by the DCC to verify that the correct individual has been contacted. The SMKI Registration Authority shall confirm the applications indicated on the Authorised Subscriber / Interface Access Application Form are authorised.	SMKI Registration Authority	If confirmed as authorised, 5.5.8; if not authorised, 5.5.7

5.5.7	As soon as reasonably practicable following rejection	Notify the SRO as identified on the Authorised Subscriber / Interface Access Application Form that the procedure in respect of the application has not been successful, in writing.	SMKI Registration Authority	5.5.5 once issues addressed
5.5.8	As requested	Where the application organisation is not a DCC Service Provider, conduct the SMKI and Repository Entry Process Tests if SMKI and Repository Entry Process Tests have not been completed previously, in accordance with Sections H14.22 to H14.30 of the Code.	Applicant organisation, in respect of the corresponding Authorised Subscriber / Interface Access Application Form	If successful or the applicant organisation is a DCC Service Provider (acting on behalf of the DCC), 5.5.10; if not successful, 5.5.9
5.5.9	As soon as reasonably practicable, following 5.5.8	The DCC shall confirm in writing, to the SRO as identified on the Authorised Subscriber / Interface Application Form, that the SMKI and Repository Entry Process Tests were not completed successfully.	DCC	5.5.8 once issues addressed
5.5.10	As soon as reasonably practicable, following 5.5.8	The DCC shall confirm in writing to the relevant Party that the SMKI and Repository Entry Process Tests have been completed successfully.	DCC	5.5.11
5.5.11	As soon as reasonably practicable, following 5.5.10	If the applicant organisation has indicated on its Authorised Subscriber / Interface Access Application Form that it wishes to become an Authorised Subscriber in respect of the Organisation Certificate Policy, the SMKI Registration Authority shall confirm in writing to the SRO as identified on the Authorised Subscriber / Interface Access Application Form that it the applicant organisation has become an Authorised Subscriber for Organisation Certificates. Where appropriate, the DCC shall issue credentials enabling the applicant to act as an Authorised Subscriber for Organisation Certificates, in accordance with the procedural steps as set out in section 5.4 of this document.	SMKI Registration Authority	If the applicant organisation has indicated that it wishes to become an Authorised Subscriber for Device Certificates, 5.5.12; otherwise, 5.5.17

5.5.12	As soon as possible, following 5.5.11	If the applicant organisation has indicated on the Authorised Subscriber / Interface Access Application Form that it wishes to become an Authorised Subscriber in respect of the Device Certificate Policy, the SMKI Registration Authority shall assess whether there is evidence to confirm that the Party has completed the User Entry Process (defined in Section H1.10) and will use a DCC Gateway Connection to obtain Device Certificates.	SMKI Registration Authority	If determined to be an Authorised Subscriber for Device Certificates, 5.5.15; otherwise 5.5.13
5.5.13	As soon as possible, following 5.5.12	Confirm by email, to the SRO as identified on the Authorised Subscriber / Interface Access Application Form, that the DCC has determined that applicant organisation is not eligible to become an Authorised Subscriber for Device Certificates.	SMKI Registration Authority	5.5.14
5.5.14	As soon as possible, following 5.5.13	In the case of a dispute by the SRO where the DCC has determined that there is no evidence as defined in 5.5.12 to support the applicant organisation to become such an Authorised Subscriber, the DCC shall notify the SMKI PMA of the refusal.	SMKI Registration Authority	End of procedure
5.5.15	As soon as reasonably practicable, following 5.5.12, or, where a Supplier Party or the DCC (in its role as DCC Service Provider) has indicated that it wishes to become an Authorised Subscriber in respect of the Device Certificate Policy	The SMKI Registration Authority shall confirm by email, to the SRO as identified on the Authorised Subscriber / Interface Access Application Form, that the applicant organisation has become an Authorised Subscriber for Device Certificates and will also notify the Service Desk.	SMKI Registration Authority	5.5.16

5.5.16	As soon as reasonably practicable, following 5.5.15	The SMKI Registration Authority shall arrange and conduct a meeting, as soon as reasonably practicable, at which the credentials as set out in steps 5.4.2, 5.4.3 and 5.4.5 (as set out in Section 5.4 of this document) shall be provided, as appropriate.	SMKI Registration Authority	5.5.17
5.5.17	As soon as reasonably practicable, following 5.5.11 or 5.5.16	Update the DCC's list of Authorised Subscribers for Organisation Certificates and/or Device Certificates, for audit purposes.	SMKI Registration Authority	End of procedure

6. SMKI Registration Authority registration procedures

The procedures as set out in SMKI RAPP Sections 6.2 to 6.4 shall be undertaken in order for nominated individuals to act on behalf of the SMKI Registration Authority as a SMKI Registration Authority Manager or a member of SMKI Registration Authority Personnel.

6.1 General registration obligations

The SMKI Registration Authority shall:

a) not permit any nominated individual to access Systems used to provide SMKI Services and/or the SMKI Repository Service as a SMKI Registration Authority Manager or member of SMKI Registration Authority Personnel until the procedures in SMKI RAPP Sections 6.2 or 6.3 have been successfully completed;

b) in performing the procedures as set out in SMKI RAPP Sections 6.2 and 6.3, store and maintain records relating to individuals becoming SMKI Registration Authority Managers and SMKI Registration Authority Personnel, in accordance with the Code and the DCC's data retention policy;

c) ensure that, at all times, there are at least two SMKI Registration Authority Managers;

d) if there is a material change to any of the information used to verify the identity of any SMKI Registration Authority Manager or member of SMKI Registration Authority Personnel, ensure that its SMKI Registration Authority Manager or member of SMKI Registration Authority Personnel undertakes the procedures as set out in SMKI RAPP Sections 6.2 or 6.3 in respect of the revised evidence of identity; and

e) check the name and address of the SMKI Registration Authority Manager or member of the SMKI Registration Authority Personnel before issuing a replacement token.

The DCC shall ensure that:

a) for authentication credentials issued under the IKI Certificate Policy to Authorised Responsible Officers, such authentication credentials have a lifetime of ten years following issuance of such authentication credentials and shall cease to function upon after ten years following issuance; and

b) for authentication credentials not issued under the IKI Certificate Policy, that such authentication credentials remain valid until revoked.

6.2 Procedure for becoming a SMKI Registration Authority Manager

The procedure for becoming a SMKI Registration Authority Manager as detailed immediately below shall be conducted by DCC's Chief Information Security Officer (CISO), or an individual that they have authorised to act on their behalf in this capacity, on behalf of the DCC, in order to nominate, authorise and verify a SMKI Registration Authority Manager.

Step	When	Obligation	Responsibility	Next Step
6.2.1	As required	Nominate an individual to become a SMKI Registration Authority Manager, who shall be an employee of the DCC or be contracted to the DCC, and advise the nominated individual of the evidence to be provided in order to verify their identity.	DCC Chief Information Security Officer, on behalf of the DCC	6.2.2
6.2.2	As soon as reasonably practicable following 6.2.1	Confirm verification meeting date/time with nominated individual.	DCC Chief Information Security Officer, on behalf of the DCC	6.2.3
6.2.3	In verification meeting	The CISO shall, in accordance with the provisions of Sections G4.4 to G4.8: a. check proof of identity provided against the information provided by the nominated individual; and b. verify the identity of the nominated individual to the level pursuant to the SMKI PMA Guidance on "Verifying Individual Identity" published on the Website.	DCC Chief Information Security Officer, on behalf of the DCC	If verified, 6.2.5. If not verified, 6.2.4
6.2.4	In verification meeting	If the identity of the nominated individual is not successfully verified, provide reasons for the failure to the individual and notify the individual that a further verification meeting is required to remedy the unsuccessful elements of the verification.	DCC Chief Information Security Officer, on behalf of the DCC	6.2.5
6.2.5	In verification meeting	If the identity of the nominated individual is successfully verified, notify the individual verbally and subsequently in writing that they have become a SMKI Registration Authority Manager and notify the SMKI PMA that the	DCC Chief Information Security Officer, on behalf of the DCC	6.2.6

		nominated individual has become a SMKI Registration Authority Manager.		
6.2.6	As soon as reasonably practicable following 6.2.5	Record the details of the individual that has become a SMKI Registration Authority Manager, in a manner which is auditable.	SMKI Registration Authority	Procedure as set out in SMKI RAPP Section 6.4

6.3 Procedure for becoming a member of SMKI Registration Authority Personnel

The procedure for becoming a member of SMKI Registration Authority Personnel as detailed immediately below shall be conducted by a SMKI Registration Authority Manager on behalf of the SMKI Registration Authority, in order to nominate, verify, authorise and provide means for authenticating access to Systems used to provide SMKI Services and/or the SMKI Repository Service in respect of a member of SMKI Registration Authority Personnel.

Step	When	Obligation	Responsibility	Next Step
6.3.1	As required	Nominate an individual to become a member of SMKI Registration Authority Personnel, who shall be an employee of the DCC or be contracted to the DCC.	SMKI Registration Authority Manager, on behalf of the SMKI Registration Authority	6.3.2
6.3.2	As soon as reasonably practicable following 6.3.1	Confirm verification meeting date/time with nominated individual.	SMKI Registration Authority Manager, on behalf of the SMKI Registration Authority	6.3.3
6.3.3	In verification meeting	In the verification meeting, the SMKI Registration Authority Manager shall, in accordance with the provisions of Sections G4.4 to G4.8: a. check proof of identity provided against the information provided by the nominated individual; and b. verify the identity of the nominated individual to the level pursuant to the SMKI PMA Guidance on "Verifying Individual Identity" published on the Website.	SMKI Registration Authority Manager, on behalf of the SMKI Registration Authority	If successful, 6.3.5. If not successful, 6.3.4
6.3.4	In verification meeting	If the identity of the nominated individual is not successfully verified, provide reasons for the rejection to the individual and notify the	SMKI Registration Authority Manager, on behalf of the	6.3.2

		individual that a further meeting is required to remedy the affected elements of the verification.	SMKI Registration Authority	
6.3.5	As soon as reasonably practicable, following 6.3.3	If the identity of the nominated individual is successfully verified, notify the individual verbally and subsequently in writing that they have become a member of SMKI Registration Authority Personnel.	SMKI Registration Authority Manager, on behalf of the SMKI Registration Authority	6.3.6
6.3.6	As soon as reasonably practicable following 6.3.5	Record the details of the individual that has become a member of SMKI Registration Authority Personnel in respect of the SMKI Registration Authority, in a manner which is auditable.	SMKI Registration Authority	Procedure as set out in SMKI RAPP Section 6.4

6.4 Procedure for provision of credentials to a SMKI Registration Authority Manager or a member of SMKI Registration Authority Personnel

The procedure for provision of credentials to a SMKI Registration Authority Manager or a member of SMKI Registration Authority Personnel, as detailed immediately below, shall be conducted by the DCC's CISO in respect of a SMKI Registration Authority Manager or a SMKI Registration Authority Manager in respect of a member of SMKI Registration Authority Personnel.

Step	When	Obligation	Responsibility	Next Step
6.4.1	In verification meeting, following confirmation of becoming a SMKI Registration Authority Manager or member of SMKI Registration Authority Personnel	Provide credentials in accordance with step 6.4.2 or 6.4.3 below, depending on whether the individual has become a SMKI Registration Authority Manager or a member of SMKI Registration Authority Personnel.	DCC CISO or SMKI Registration Authority Manager	If providing to a SMKI Registration Authority Manager, 6.4.2; if providing to a member of SMKI Registration Authority Personnel, 6.4.3
6.4.2	In verification meeting, following confirmation	Provide the SMKI Registration Authority Manager with credentials as listed immediately below, to be used to perform activities on behalf of the SMKI Registration Authority: a. one Cryptographic Credential Token	DCC CISO	6.4.4

	of becoming a SMKI Registration Authority Manager	containing authentication credentials issued under the IKI Certificate Policy which can be used to authenticate the individual to the SMKI Portal; and b. usernames and passwords enabling for the purposes of authentication to the SMKI Repository portal.		
6.4.3	In verification meeting, following confirmation of becoming a member of SMKI Registration Authority Personnel	Provide the member of SMKI Registration Authority Personnel with credentials as listed immediately below, to be used to perform activities on behalf of the SMKI Registration Authority: a. one Cryptographic Credential Token containing authentication credentials issued under the IKI Certificate Policy which can be used to authenticate the individual to the SMKI Portal; and b. usernames and passwords enabling for the purposes of authentication to the SMKI Repository Portal.	SMKI Registration Authority Manager	6.4.4
6.4.4	In verification meeting, following issuance of credentials	The SMKI Registration Authority Manager or member of SMKI Registration Authority Personnel shall sign that they accept the credentials issued to them on the Cryptographic Credential Token. Where the SMKI Registration Authority Manager or member of SMKI Registration Authority Personnel does not accept the credentials they shall notify the DCC's CISO (in the case of the SMKI Registration Authority Manager) or otherwise the SMKI Registration Authority Manager and shall not sign for the Cryptographic Credential Token.	SMKI Registration Authority Manager or member of SMKI Registration Authority Personnel	End of Procedure

7. Submission of CSRs and Issuance of Certificates

7.1 Submission of Certificate Signing Requests

The SMKI Interface Design Specification (SMKI IDS) and the Code sets out the provisions in respect of:

a) the mechanism established for this purpose is in accordance with the procedure in PKCS#10;

b) naming restrictions in respect of the Subject of each Certificate in accordance with the relevant Certificate Policy;

c) the circumstances in which an Authorised Subscriber may submit a Certificate Signing Request (CSR) in respect of a Device Certificate and the means by which it may do so (SMKI IDS sections 2.3.1.6, 2.4.1.1 and 2.5.1.1);

d) the circumstances in which an Authorised Subscriber may submit a CSR in respect of an Organisation Certificate and the means by which it may do so (SMKI IDS sections 2.3.1.1 and 2.6.1.1);

e) the circumstances in which an Authorised Subscriber for an IKI Certificate may submit a CSR in respect of an IKI Certificate and the means by which it may do so (SMKI IDS sections 2.4 and 2.5); and

f) requirements in respect of validation of the format of a CSR, checking that the submitting organisation is an Eligible Subscriber for the Certificate and rejection if such requirements are not met.

The SMKI Registration Authority shall validate the Subject of each CSR in respect of an Organisation Certificate to ensure that each CSR corresponds with an EUI-64 Compliant identifier range that is applicable to the relevant User Role, as provided in the Organisation Information Form.

Subject to the provisions of the Code and this SMKI RAPP, the DCC shall accept requests for copies of Organisation Certificates and/or Device Certificates from non DCC Users by phone via the Service Desk or, in the case of Organisation Certificates, via the SMKI Portal via the Internet. The DCC shall, following such a request, provide the relevant information as soon as is reasonably practicable, via a secured electronic means.

7.2 Processing of CSRs for XML Signing Certificates

Upon receipt of a Certificate Signing Request from a Supplier Party seeking to be Issued with an Organisation Certificate that has a Remote Party Role of xmlSign and where that Supplier Party is seeking to include within the Subject X520 Common Name field (with the meaning given to that term in the Organisation Certificate Policy) one or more Market Participant Identifier(s) by which that Supplier Party may be identified in the Party Details, the SMKI Registration Authority shall reject that Certificate Signing Request if:

a) there is more than one such identifier that relates to the supply of gas;

b) there is more than one such identifier that relates to the supply of electricity;

c) the Market Participant Identifier(s) included with the Certificate Signing Request are identifiers that the Panel has notified the DCC are not associated with that Supplier Party pursuant to Section B1.21 of the Code; and

d) any of the Market Participant Identifier(s) included within the Certificate Signing Request is already included within the Subject X520 Common Name field (with the meaning given to that term in the Organisation Certificate Policy) of another Organisation Certificate that has been Issued to a different Supplier Party and any such other Organisation Certificate:

   i. has not been revoked; or

   ii. has not expired.

7.3 Issuance of Certificates

The SMKI Interface Design Specification sets out the provisions in respect of:

a) the circumstances in which the DCA shall issue Device Certificates (SMKI IDS sections 2.3.1.9, 2.4.1.4 and 2.5.1.4);

b) the circumstances in which the OCA shall issue Organisation Certificates (SMKI IDS sections 2.3.1.4 and 2.6.1.4);

c) the circumstances in which the ICA shall issue IKI Certificates (SMKI IDS sections 2.4 and 2.5); and

d) the obligations in respect of lodging Certificates in the SMKI Repository (SMKI IDS sections 2.3.1.4, 2.3.1.9, 2.4.1.4 and 2.5.1.4).

8. Revocation

The procedures as set out in this Section 8 shall be undertaken for the revocation of Certificates except where SEC Section L16 (Supplier of Last Resort) applies.

8.1 Revocation of Device Certificates

In line with the Device Certificate Policy section 4.9.1, Device Certificates cannot be revoked.

8.2 Revocation of Organisation Certificates

8.2.1 General Organisation Certificate revocation obligations

The DCC shall permit each of the following individuals to request the revocation of an Organisation Certificate, where the reasons for such revocation request must be one of the permitted reasons for Organisation Certificate revocation as set out in Section 4.9.1 in Appendix B of the Code:

a) Any SMKI PMA member, on behalf of the SMKI PMA;

b) Any Senior Responsible Officer for a Subscriber for an Organisation Certificate; or

c) Any SMKI Registration Authority Manager or member of SMKI Registration Authority Personnel, on behalf of the DCC.

The DCC, in its role as SMKI Registration Authority, shall only accept CRRs through the following mechanisms (or a combination of such mechanisms):

a) in writing, via registered post;

b) via a secured electronic means; or

c) in person, at the offices of the SMKI Registration Authority, where the address of such offices shall be as set out on the DCC Website.

The revocation of an Organisation Certificate shall be permanent and the SMKI Registration Authority shall ensure that no revoked Organisation Certificate may be reinstated.

The DCC shall, each month, prepare and submit a report to the SMKI PMA regarding the number and nature of Organisation Certificate revocations. A null report is not required.

8.2.2 Procedure for Organisation Certificate Revocation

The procedure for authorisation, verification and, where verified, revocation of Certificates is as set out immediately below.

Step	When	Obligation	Responsibilit y	Next Step
8.2.2.1	As soon as reasonably practicable when Certificate revocation is required	A SMKI PMA Member on behalf of the SMKI PMA, an SRO on behalf of a Subscriber or the SMKI Registration Authority Manager or a member of SMKI Registration Authority Personnel on behalf of the DCC shall submit, using the mechanisms set out in SMKI RAPP Section 8.2.1, a CRR to the SMKI Registration Authority. The reason for such CRR shall be one of the permitted reasons for Organisation Certificate revocation as set out in Section 4.9 in Appendix B of the Code. Each CRR shall contain the following information, as set out in SMKI RAPP Annex A (A7) : a. Identify the Subscriber; b. Identify the individual who is submitting the CRR; c. Unambiguously (i.e. by specifying the serial number of the Certificate) identify the Certificate to be revoked; and d. State the reason for the Certificate revocation.	SMKI PMA Member, Subscriber requiring Organisation Certificate revocation or SMKI Registration Authority Manager or SMKI Registration Authority Personnel	8.2.2.2
8.2.2.2	As soon as reasonably practicable, following 8.2.2.1	On receipt of a CRR, notify the SMKI Registration Authority Manager for verification, processing and/or approval. The SMKI Registration Authority shall treat each CRR and any associated circumstances as confidential. Where the CRR is submitted by an SMKI Registration Authority Manager, the approval in this step must be sought from a different SMKI Registration Authority Manager or the DCC's CISO.	SMKI Registration Authority Personnel	8.2.2.3
8.2.2.3	As soon as reasonably practicable following receipt	Where it has been submitted by an SRO, validate the Certificate Revocation Request by contacting a Senior Responsible Officer and confirming details for the SRO as provided in the original application to become an SRO: a. Where submitted in writing, the SMKI Registration Authority shall send an email	SMKI Registration Authority Manager or DCC's CISO	If validated, 8.2.2.5; if invalid (considere d malicious

		to a Senior Responsible Officer. The SMKI Registration Authority shall 1) confirm such information from the relevant SRO Nomination Form, in order to provide confidence that the request is from an authorised SRO; 2) confirm the details of the Organisation Certificate to which the revocation request received relates (as provided in the submitted letter); and 3) confirm that a reason for the request has been specified in accordance with section 4.9.2 of the Organisation Certificate Policy. b. Where submitted in person, the SMKI Registration Authority shall 1) verify the handwritten signature of the Senior Responsible Officer against that held by the SMKI Registration Authority; 2) confirm details provided in the relevant SRO Nomination Form, in order determine that the request is authentic; 3) confirm the details of the Organisation Certificate to which the CRR received relates; and 4) confirm that a reason for the request has been specified in accordance with section 4.9.2 of the Organisation Certificate Policy. Where the Certificate Revocation Request was submitted by a SMKI Registration Authority Manager, a member of the SMKI Registration Authority Personnel or a member of the SMKI PMA, validate the Certificate Revocation Request by contacting a SMKI Registration Authority Manager or the SMKI PMA to confirm details of the Certificate Revocation Request.		and/or inauthentic) or incomplete, 8.2.2.4

8.2.2.4	As soon as reasonably practicable following unsuccessful validation	Where the Certificate Revocation Request is not validated as in 8.2.2.3, reject the revocation request and notify the individual that was contacted in step 8.2.2.3 to validate the revocation request, in writing, including the reasons for rejection and identify resulting steps to be taken.	SMKI Registration Authority Manager or DCC's CISO	End of procedure

8.2.2.5	As soon as reasonably practicable following successful validation	Where the Certificate Revocation Request is validated in 8.2.2.3, the DCC shall carry out a check that the	SMKI Registration Authority Manager (s) and/or DCC's CISO (as needed for two party approval).	8.2.2.6

		correct Certificate is to be revoked and to obtain and record two-party approval of the authorisation and record the time from which the revocation is to take effect.		
8.2.2.6	As soon as reasonably practicable following 8.2.2.5	Revoke the identified Organisation Certificate that is the subject of the CRR.	SMKI Registration Authority Manager	8.2.2.7
8.2.2.7	As soon as reasonably practicable following notification, or every hour (whichever is sooner)	Update the relevant Certificate Revocation List (CRL) and publish such CRL to the SMKI Repository, as set out in Appendix B of the Code, section 4.9.7 (D).	SMKI Registration Authority	8.2.2.8
8.2.2.8	Following revocation	Notify the individual submitting the CRR of the successful revocation of the Organisation Certificate in the CRR, by email.	SMKI Registration Authority Manager	End of procedure

8.3 Revocation of SMKI Services and / or the SMKI Repository Service access credentials and / or IKI File Signing Certificates

8.3.1 General obligations relating to revocation of ARO credentials for accessing SMKI Services and / or the SMKI Repository Service and / or File Signing Certificates

A Senior Responsible Officer on behalf of a Party, RDP, Manufacturer, SECCo or the DCC (in its role as DCC Service Provider) may request the revocation of access credentials in respect of an Authorised Responsible Officer acting on behalf of that Party, RDP, Manufacturer, SECCo or the DCC (as DCC Service Provider) or revocation of an IKI File Signing Certificate for which that Party, RDP, Manufacturer, SECCo is an Authorised Subscriber, using the form as set out in Annex A (A7) and clearly identifying the credentials to be revoked.

The permitted reasons for revocation of authentication credentials shall be as listed immediately below:

a) An applicant wishes an IKI File Signing Certificate or the credentials of an ARO to be revoked.

b) A Party, RDP, Manufacturer, SECCo or the DCC (as DCC Service Provider), of which the ARO is a representative, becomes ineligible to access SMKI Services and/or the SMKI Repository Service or ceases to become an Authorised Subscriber for Device Certificates or Organisation Certificates, or both, as appropriate.

c) If there is a change to any of the information that was used to verify the identity of an ARO (but where the renewal or replacement of documents used to verify such identity, where the identity information remains the same, shall not constitute a change).

d) A Party, RDP, Manufacturer, DCC (as DCC Service Provider), or SECCo notifies the SMKI Registration Authority that it reasonably believes that the ARO is a threat to the security, integrity, or stability of the SMKI Services and/or the SMKI Repository Service.

e) The information on which the identity of an ARO was established is known, or is reasonably suspected, to be inaccurate.

f) The authentication credentials issued to the ARO are lost, stolen, inoperative, or destroyed. The DCC shall ensure that the Cryptographic Credential Token issued to an ARO is automatically rendered inoperative where the PIN code on the Cryptographic Credential Token used to access SMKI Services has been entered incorrectly 15 consecutive times.

Where access credentials have been revoked and the Party, RDP, Manufacturer, SECCo or DCC (as DCC Service Provider) wishes to receive new access credentials, that Party, RDP, Manufacturer, SECCo or DCC (as DCC Service Provider) shall submit a new ARO Nomination Form.

8.3.2 Procedure for revocation of SMKI Services and / or the SMKI Repository Service access credentials for AROs and / or IKI File Signing Certificates

The procedure for verification and, where verified, revocation of authentication credentials or IKI File Signing Certificates is as set out immediately below.

Step	When	Obligation	Responsibility	Next Step
8.3.2.1	As required	Complete the Credential Revocation Request Form as set out in SMKI RAPP Annex A (A7), ensuring that the information entered on the form is complete and accurate, and the Credential Revocation Request Form is authorised by an SRO on behalf of the applicant organisation.	SRO on behalf of the applicant organisation, which shall be a Party, RDP, Manufacturer, SECCo or DCC (as DCC Service Provider)	8.3.2.2

8.3.2.2	As required, following 8.3.2.1	Submit the completed Credential Revocation Request Form to the SMKI Registration Authority via a secured electronic means, as directed on the DCC Website.	SRO on behalf of the applicant organisation, which shall be a Party, RDP, Manufacturer, SECCo or DCC (as DCC Service Provider)	8.3.2.3
8.3.2.3	As soon as reasonably practicable following 8.3.2.2	Acknowledge receipt by email to the SRO as identified on the Credential Revocation Request Form or via the Service Desk updating the relevant ticket, ensuring a record is kept.	SMKI Registration Authority or Service Desk	8.3.2.4
8.3.2.4	As soon as reasonably practicable following 8.3.2.3	Analyse the information entered on the Credential Revocation Request Form; determine completeness and any discrepancies. Where there are omissions/discrepancies, agree actions with an SRO via email.	SMKI Registration Authority	If complete, 8.3.2.6; if not complete, 8.3.2.5
8.3.2.5	Once omissions / discrepancies are addressed	Submit a revised Credential Revocation Request Form to the SMKI Registration Authority via a secured electronic means, as directed on the DCC Website.	SRO on behalf of the applicant organisation, which shall be a Party, RDP, Manufacturer, SECCo or DCC (as DCC Service Provider)	8.3.2.3
8.3.2.6	As soon as reasonably practicable, following 8.3.2.4	Contact the SRO as identified on the Credential Revocation Request Form, using the registered contact information for the SRO as held by the SMKI Registration Authority, to confirm the application identified by the Credential Revocation Request Form is authorised.	SMKI Registration Authority	If confirmed as authorised, 8.3.2.8; if not authorised, 8.3.2.7
8.3.2.7	As soon as reasonably practicable following rejection	Notify the SRO that was contacted in step 8.3.2.3, that the procedure in respect of the application has not been successful, by email.	SMKI Registration Authority	End of procedure

8.3.2.8	As soon as reasonably practicable following 8.3.2.6	Notify the SRO that was contacted in step 8.3.2.3, and the DCC's CISO by email that the revocation request has been accepted.	SMKI Registration Authority Personnel, on behalf of the SMKI Registration Authority	8.3.2.9
8.3.2.9	As soon as reasonably practicable following 8.3.2.8	Revoke the credentials for the relevant service, for the identified ARO or relevant IKI File Signing Certificate as indicated by the SRO on the Credential Revocation Request Form. In doing so, the DCC shall, where required to revoke the credentials, revoke all associated IKI Certificates. DCC shall ensure that access to the relevant service is prevented from the point of revocation.	SMKI Registration Authority Personnel, on behalf of the SMKI Registration Authority	8.3.2.10
8.3.2.10	As soon as reasonably practicable following 8.3.2.9	Notify the SRO that was contacted in step 8.3.2.3 of the successful revocation of credentials for the ARO or relevant IKI File Signing Certificate. Where such revocation results in the individual that is the subject of the Credential Revocation Request Form no longer having any valid credentials issued to them in accordance with the SMKI RAPP, the SMKI Registration Authority shall notify the SRO that was contacted in step 8.3.2.3 that the individual is no longer an ARO, by email.	SMKI Registration Authority Personnel, on behalf of the SMKI Registration Authority	8.3.2.11
8.3.2.11	As soon as reasonably practicable following 8.3.2.10	Where the revoked credentials were issued on a Cryptographic Credential Token or Cryptographic Credential Tokens, the Party, RDP, Manufacturer, SECCo or DCC Service Provider shall, where such Cryptographic Credential Tokens are in the possession of the applicant organisation, send the Cryptographic Credential Token or Cryptographic	SRO on behalf of the applicant organisation	8.3.2.12

		Credential Tokens to the DCC, via secure courier.		

8.3.2.12	As soon as reasonably practicable following 8.3.2.11	The DCC shall verifiably destroy all Secret Key Material or Certificates contained on the returned Cryptographic Credential Token.	SMKI Registration Authority Manager, on behalf of the SMKI Registration Authority	8.3.2.13

8.3.2.13	As soon as reasonably practicable following 8.3.2.12	Record the details of the credentials that have been revoked in respect of the ARO as identified on the Credential Revocation Request Form or relevant IKI File Signing Certificate, plus, if relevant, update the DCC's list of AROs, in a manner which is auditable.	SMKI Registration Authority	End of procedure

8.3.3 General obligations relating to revocation of SMKI Registration Authority Manager or SMKI Registration Authority Personnel credentials for accessing SMKI Services and / or the SMKI Repository Service

The following parties may request the revocation of authentication credentials in respect of SMKI Registration Authority Personnel, using the form referred to in Annex A (A7):

a) Any SMKI PMA member, on behalf of the SMKI PMA;

b) A SMKI Registration Authority Manager, on behalf of the SMKI Registration Authority; and

c) DCC's CISO.

The permitted reasons for revocation of authentication credentials shall be as listed immediately below:

a) A SMKI Registration Authority Manager or DCC's CISO wishes the credentials of a SMKI Registration Authority Manager or member of SMKI Registration Authority Personnel to be revoked.

b) A member of SMKI Registration Authority Personnel becomes ineligible to access SMKI Services and/or the SMKI Repository Service.

c) A member of SMKI Registration Authority Personnel fails to comply with Appendix A, Appendix B and Appendix Q of the Code, or this SMKI RAPP.

d) Any information used to verify the identity of a member of SMKI Registration Authority Personnel changes, the individual leaves the employment of the DCC, or moves within DCC to a role in which they are not entitled to access SMKI Services and/or the SMKI Repository Service.

e) A SMKI Registration Authority Manager becomes aware that the member of SMKI Registration Authority Personnel or a SMKI Registration Authority Manager is a potential threat to the security, integrity, or stability of the SMKI Services and/or the SMKI Repository Service.

f) The information on which the identity of a SMKI Registration Authority Manager or member of SMKI Registration Authority Personnel was established is known, or is suspected, to be inaccurate.

g) The authentication credentials issued to a member of SMKI Registration Authority Personnel are lost, stolen, inoperative, or destroyed. The DCC shall ensure that the Cryptographic Credential Token issued to a member of SMKI Registration Authority Personnel is automatically rendered inoperative where the PIN code on the Cryptographic Credential Token used to access SMKI Services has been entered incorrectly 15 consecutive times.

8.3.4 Procedure for revocation of SMKI Services access credentials for SMKI Registration Authority Managers and SMKI Registration Authority Personnel

The procedure for verification and, where verified, revocation of credentials in respect of a SMKI Registration Authority Manager or member of SMKI Registration Authority Personnel is as set out immediately below.

Step	When	Obligation	Responsibility	Next Step
8.3.4.1	As required	Complete the Credential Revocation Request Form as set out in SMKI RAPP Annex A (A7), ensuring that the information entered on the form is complete and accurate, and the Credential Revocation Request Form is authorised: a. for a member of SMKI Registration Authority Personnel, by a SMKI Registration Authority Manager; or b. for a SMKI Registration Authority Manager, by the DCC's CISO.	DCC CISO, SMKI Registration Authority Manager, or SMKI PMA Member	8.3.4.2
8.3.4.2	As required, following 8.3.4.1	Submit the completed Credential Revocation Request Form to a SMKI Registration Authority Manager.	DCC CISO, SMKI Registration Authority Manager, or SMKI PMA Member	8.3.4.3
8.3.4.3	As soon as reasonably practicable following 8.3.4.2	Analyse the information entered on the Credential Revocation Request Form; determine completeness and any discrepancies. Where there are omissions/discrepancies, agree amendments and adjust form contents.	SMKI Registration Authority Manager, on behalf of the SMKI Registration Authority	8.3.4.4

8.3.4.4	As soon as reasonably practicable following 8.3.4.3	Revoke the credentials of the identified SMKI Registration Authority Manager or member of SMKI Registration Authority Personnel as indicated on the Credential Revocation Request Form. Where the Credential Revocation Request is validated as in 8.3.4.3, the DCC shall carry out a check that the correct credential is to be revoked and record approval of the authorisation.	SMKI Registration Authority Manager, on behalf of the SMKI Registration Authority	8.3.4.5
8.3.4.5	As soon as reasonably practicable following 8.3.4.4	Where such revoked credentials were issued on a Cryptographic Credential Token, the DCC shall retrieve such Cryptographic Credential Token from the identified SMKI Registration Authority Manager or member of SMKI Registration Authority Personnel and shall verifiably destroy all Secret Key Material or Certificates contained on the Cryptographic Credential Token.	SMKI Registration Authority Manager, on behalf of the SMKI Registration Authority	8.3.4.6
8.3.4.6	As soon as reasonably practicable following 8.3.4.5	Record the details of the credentials that have been revoked in respect of the member of SMKI Registration Authority Personnel or SMKI Registration Authority Manager as identified on the Credential Revocation Request Form.	SMKI Registration Authority Manager, on behalf of the SMKI Registration Authority	8.3.4.7
8.3.4.7	As soon as reasonably practicable following 8.3.4.5	Notify DCC's CISO or SMKI Registration Authority Manager who submitted the original Credential Revocation Request Form that the revocation has been completed.	SMKI Registration Authority Manager, on behalf of the SMKI Registration Authority	End of procedure

Annex A – Form Templates

The form templates listed in Annex A are available from the DCC Website or via the DCC SharePoint site as advised by the DCC.

The DCC may, subject to the approval of the SMKI PMA, modify the form templates from time to time.

A1. **Organisation Information Form**

A2. **Authorised Subscriber / Interface Access Application Form**

A3. **SMKI SRO Nomination Form**

A4. **SMKI ARO Nomination Form**

A5. **Nominee Details Form**

A6. **Organisation Certificate Revocation Request Form**

A7. **Credential Revocation Request Form**

Annex B – Definitions

In this Policy, except where the context otherwise requires:

- expressions defined in Section A of the Code (Definitions and Interpretation) have the same meaning as is set out in that Section;
- the expressions in the left hand column below shall have the meanings given to them in the right hand column below; and
- where any expression is defined in Section A of the Code (Definitions and Interpretation) and in this Annex, the definition in this Annex shall take precedence for the purposes of this document.

Ad Hoc Device CSR Web Service	The system-to-system interface provided for the purposes of Authorised Subscribers systems submitting individual CSRs in respect of Device Certificates.

Authorised Responsible Officer (ARO)	Means an individual that has successfully completed the process for becoming an ARO on behalf of a Party, RDP, Manufacturer, SECCo or a DCC Service Provider in accordance with the SMKI RAPP and/or the DCCKI RAPP (as applicable).

Authorised Subscriber / Interface Access Application Form	Means the for as specified in section A2 of this SMKI RAPP.

Batched Device CSR Web Service	The system-to-system interface provided for the purposes of Authorised Subscribers systems submitting batches of CSRs in respect of Device Certificates and subsequently a synchronous mechanism to retrieve the resulting Device Certificates.

Chief Information Security Officer (CISO)	Has the meaning given to that expression in the SMKI Recovery Procedure.

Certificate Revocation Request	Has the meaning given to that expression in the Organisation Certificate Policy.

Credential Revocation Request Form	Means the form as specified in section A7 of this SMKI RAPP.
Cryptographic Credential Token	Means a FIPS 140-2 Level 3 token containing Secret Key Material, as issued in accordance with the SMKI RAPP
IKI Certification Authority	Has the meaning given to that expression in the IKI Certificate Policy.
Issue	Has the meaning given to that expression in SEC Section A and like terms shall be interpreted accordingly.
Nominee Details Form	Means the form as specified in section A5 of this SMKI RAPP.
Organisation Certificate Revocation Request Form	Means the form as specified in section A6 of this SMKI RAPP.
Organisation Information Form	Means the form as specified in section A1 of this SMKI RAPP.
Party	Has the meaning set out in SEC Section A except for the DCC, which shall not be a Party in this document.
SMKI Portal	Has the meaning given to that expression in the SMKI Interface Design Specification.
SMKI Registration Authority	Means the DCC acting in its capacity as such for the purposes of the Organisation Certificate Policy, Device Certificate Policy or IKI Certificate Policy.
SMKI Registration Authority Manager	Means an individual who acts on behalf of the SMKI Registration Authority to perform tasks relating to the management of the SMKI Registration Authority, as set out in the SMKI RAPP
SMKI Registration Authority Personnel	Means those persons who are engaged by DCC, in so far as such persons carry out functions of the SMKI Registration Authority as set out in the SMKI RAPP
SMKI ARO Nomination Form	Means the form as specified in section A4 of this SMKI RAPP.
SMKI SRO Nomination Form	Means the form as specified in section A3 of this SMKI RAPP.

Senior Responsible Officer (SRO)	Means an individual that has successfully completed the process for becoming an SRO on behalf of a Party, RDP, Manufacturer, SECCo or a DCC Service Provider in accordance with the SMKI RAPP and/or the DCCKI RAPP (as applicable).