

SECTION L – SMART METERING KEY INFRASTRUCTURE AND DCC KEY INFRASTRUCTURE

L1 SMKI POLICY MANAGEMENT AUTHORITY

Establishment of the SMKI PMA

- L1.1 The Panel shall establish a Sub-Committee in accordance with the requirements of this Section L1, to be known as the “**SMKI PMA**”.
- L1.2 Save as expressly set out in this Section L1, the SMKI PMA shall be subject to the provisions concerning Sub-Committees set out in Section C6 (Sub-Committees).

Membership of the SMKI PMA

- L1.3 The SMKI PMA shall be composed of the following persons (each an “**SMKI PMA Member**”):
- (a) the SMKI PMA Chair (as further described in Section L1.5);
 - (b) four SMKI PMA (Supplier) Members (as further described in Section L1.6);
 - (c) two SMKI PMA (Network) Member (as further described in Section L1.8); and
 - (d) one representative of the Security Sub-Committee and one representative of the Technical Architecture and Business Architecture Sub-Committee (in each case as further described in Section L1.10); and
 - (e) one SMKI Specialist (appointed as described in the definition of that expression in Section A1 (Definitions)).
- L1.4 Each SMKI PMA Member must be an individual (and cannot be a body corporate, association or partnership). No one person can hold more than one office as an SMKI PMA Member at the same time.
- L1.5 The “**SMKI PMA Chair**” shall be such person as is (from time to time) appointed to that role by the Panel in accordance with a process designed to ensure that:
- (a) the candidate selected is sufficiently independent of any particular Party or class

of Parties;

- (b) the SMKI PMA Chair is appointed for a three-year term (following which he or she can apply to be re-appointed);
- (c) the SMKI PMA Chair is remunerated at a reasonable rate;
- (d) the SMKI PMA Chair's appointment is subject to Section C6.9 (Member Confirmation), and to terms equivalent to Section C4.6 (Removal of Elected Members); and
- (e) provision is made for the SMKI PMA Chair to continue in office for a reasonable period following the end of his or her term of office in the event of any delay in appointing his or her successor; and

(f) where the SMKI PMA Chair's appointment (and for the purposes of this section and section L1.5A all references to appointment shall encompass re-appointment) is to take effect on or after the date this Section L1.5(f) comes into force, the Panel shall:

- (i) notify the Secretary of State of the appointment it proposes to make;
- (ii) not make the appointment unless and until the Secretary of State has confirmed in writing that they do not object to the appointment being made;
- (iii) ensure that the terms of the appointment include terms which provide for the Panel to terminate the appointment where directed to do so by the Secretary of State pursuant to Section L1.5A and from such date or within such period as may be specified in the Secretary of State's direction; and
- (iv) where the appointed person does not, at the date of the appointment, have (as a minimum) 'Security Check (SC)' clearance (or any equivalent to this procedure which may update or replace it from time to time) under the Baseline Personnel Security Standard, ensure that the terms of the appointment include terms which:

(A) require the appointed person to apply for the required level of clearance within one month of the date of the appointment;

(B) provide for the Panel to terminate the appointment if the required level of clearance is not obtained within 12 months of the date of the appointment (or such longer period as the Secretary of State may approve following a request from the Panel).

L1.5A The Secretary of State may, in respect of any SMKI PMA Chair appointment which takes effect on or after the date Section L1.5(f) comes into force, direct the Panel to terminate the appointment of the SMKI PMA Chair where the Secretary of State considers it necessary to do for the purposes of preserving the integrity of, and in the interests of maintaining, the security of the End-to-End Smart Metering System (or any part of that system).

L1.5B The Panel shall comply with any direction given to it by the Secretary of State pursuant to Section L1.5A.

L1.6 Each of the four “**SMKI PMA (Supplier) Members**” shall (subject to any directions to the contrary made by the Secretary of State for the purpose of transition on the incorporation of this Section L1 into this Code):

- (a) be appointed in accordance with Section L1.7, subject to compliance by the appointed person with Section C6.9 (Member Confirmation);
- (b) retire 2 years after his or her appointment (without prejudice to his or her ability to be nominated for a further term of office); and
- (c) be capable of being removed from office in accordance with Sections C4.5 and C4.6 (Removal of Elected Members), for which purpose those Sections shall be read as if references to “Elected Member” were to “SMKI PMA (Supplier) Member”, references to “Panel” were to “SMKI PMA”, references to “Panel Chair” were to “SMKI PMA Chair”, and references to “Panel Members” were to “SMKI PMA Members”.

L1.7 Each of the four SMKI PMA (Supplier) Members shall be appointed in accordance with a process:

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- (a) by which three SMKI PMA (Supplier) Members will be elected by Large Supplier Parties, and one SMKI PMA (Supplier) Member will be elected by Small Supplier Parties;
- (b) by which any person (whether or not a Supplier Party) shall be entitled to nominate candidates to be elected as an SMKI PMA (Supplier) Member; and
- (c) that is otherwise the same as that by which Elected Members are elected under Sections C4.2 and C4.3 (as if references therein to “Panel” were to “SMKI PMA”, references to “Panel Chair” were to “SMKI PMA Chair”, references to “Panel Members” were to “SMKI PMA Members”, and references to provisions of Section C or D were to the corresponding provisions set out in or applied pursuant to this Section L1).

L1.8 The “**SMKI PMA (Network) Members**” shall (subject to any directions to the contrary made by the Secretary of State for the purpose of transition on the incorporation of this Section L1 into this Code):

- (a) be appointed in accordance with Section L1.9, subject to compliance by the appointed person with Section C6.9 (Member Confirmation);
- (b) retire 2 years after his or her appointment (without prejudice to his or her ability to be nominated for a further term of office); and
- (c) be capable of being removed from office in accordance with Sections C4.5 and C4.6 (Removal of Elected Members), for which purpose those Sections shall be read as if references to “Elected Member” were to “SMKI PMA (Network) Members”, references to “Panel” were to “SMKI PMA”, references to “Panel Chair” were to “SMKI PMA Chair”, and references to “Panel Members” were to “SMKI PMA Members”.

L1.9 The two SMKI PMA (Network) Member shall be appointed in accordance with a process:

- (a) by which one SMKI PMA (Network) Member will be elected by the Electricity Network Parties and one SMKI PMA (Network) Member will be elected by the Gas Network Parties; and

- (b) that is otherwise the same as that by which Elected Members are elected under Sections C4.2 and C4.3 (as if references therein to “Panel” were to “SMKI PMA”, to “Panel Chair” were to “PMA Chair”, to “Panel Members” were to “SMKI PMA Members”, and to provisions of Section C or D were to the corresponding provisions set out in or applied pursuant to this Section L1).

L1.10 The Security Sub-Committee and the Technical Architecture and Business Architecture Sub-Committee shall each nominate one of their members to be an SMKI PMA Member by notice to the Secretariat from time to time. The Security Sub-Committee or the Technical Architecture and Business Architecture Sub-Committee (as applicable) may each replace its nominee from time to time by prior notice to the Secretariat. Such nomination or replacement shall be subject to compliance by the relevant person with Section C6.9 (Member Confirmation). Until each such Sub-Committee exists, the Panel shall nominate a person to act as a representative of that Sub-Committee (and may from time to time replace such person).

L1.11 Each SMKI PMA Member must ensure that he or she reads the SMKI Document Set when first appointed, and subsequently from time to time, so that he or she is familiar with its content.

Proceedings of the SMKI PMA

L1.12 Each SMKI PMA Member shall be entitled to appoint an Alternate in accordance with Section C5.19 (as it applies pursuant to Section L1.15). The SMKI PMA Chair must nominate another person to act as Alternate for the SMKI PMA Chair (which person may be the SMKI Specialist but may not be another SMKI PMA Member, and which person must be sufficiently independent of any particular Party or class of Parties).

L1.13 No business shall be transacted at any meeting of the SMKI PMA unless a quorum is present at that meeting. The quorum for each such meeting shall be four of the SMKI PMA Members, at least one of whom must be the SMKI PMA Chair (or his or her Alternate).

L1.14 Without prejudice to the generality of Section C5.13(c) (Attendance by Other Persons) as it applies pursuant to Section L1.15:

- (a) a representative of the DCC shall be invited to attend each and every SMKI

PMA meeting (which representative shall be entitled to speak at SMKI PMA meetings without the permission of the SMKI PMA Chair); and

- (b) other persons who may be invited to attend SMKI PMA meetings may include:
 - (i) the Independent SMKI Assurance Service Provider;
 - (ii) one or more representatives of Device Manufacturers; or
 - (iii) a specialist legal adviser.

L1.15 Subject to Sections L1.12, L1.13 and L1.14, the provisions of Section C5 (Proceedings of the Panel) shall apply to the proceedings of the SMKI PMA, for which purpose that Section shall be read as if references to “Panel” were to “SMKI PMA”, references to “Panel Chair” were to “SMKI PMA Chair”, and references to “Panel Members” were to “SMKI PMA Members”.

L1.16 Notwithstanding Section C3.12 (Protections for Panel Members and Others), that Section shall not apply to the SMKI Specialist in any circumstances and the SMKI Specialist shall have no rights under that Section.

Duties of the SMKI PMA

L1.17 The SMKI PMA shall undertake the following duties:

- (a) to approve the Device CPS, Organisation CPS and the IKI CPS, and any changes to those documents, in accordance with Sections L9;
- (b) to propose variations to the SMKI SEC Documents, as further described in Section L1.19;
- (c) to periodically review (including where directed to do so by the Panel) the effectiveness of the SMKI Document Set (including so as to evaluate whether the SMKI Document Set remains consistent with the SEC Objectives), and report to the Panel on the outcome of such review (such report to include any recommendations for action that the SMKI PMA considers appropriate);
- (d) as soon as reasonably practicable following the incorporation of each of the following documents into this Code, its re-incorporation, or its modification in

accordance with section 88 of the Energy Act 2008, to review that document in accordance with paragraph (c) above:

- (i) the SMKI Compliance Policy;
- (ii) the SMKI RAPP;
- (iii) the Device Certificate Policy;
- (iv) the Organisation Certificate Policy;
- (v) the IKI Certificate Policy;
- (vi) the SMKI Recovery Procedure,

and (where the SMKI PMA considers it appropriate to do so) submit one or more Draft Proposals in respect of those documents;

- (e) to periodically review the effectiveness of the DCCKI Document Set and to:
 - (i) notify DCC where it considers that changes should be made to the DCCKI Document Set in order to ensure that DCC meets its obligations under Section G (Security) (such notification to include any recommendation for action that the SMKI PMA considers appropriate); and
 - (ii) copy any such notification to the Security Sub-Committee and, except to the extent that it is appropriate to redact information for security purposes, to other SEC Parties;
- (f) as soon as reasonably practicable following the incorporation of each of the following documents into this Code, its re-incorporation, or its modification in accordance with section 88 of the Energy Act 2008, to review that document in accordance with paragraph (e) above:
 - (i) the DCCKI RAPP;
 - (ii) the DCCKI Certificate Policy;
- (g) to review the DCCKI CPS, and any amendments proposed to be made to it by

the DCC, in accordance with Section L13 (DCC Key Infrastructure);

- (h) as part of its review of the SMKI Compliance Policy pursuant to paragraph (d) above, to consider whether SMKI Participants which are subject to assurance assessments pursuant to the SMKI Compliance Policy should be liable to meet the costs (or a proportion of the costs) of undertaking such assessments, and (where the SMKI PMA considers it appropriate to do so) submit one or more Draft Proposals as referred to in paragraph (d) above;
- (i) in relation to any incident in which a Relevant Private Key is (or is suspected of being) Compromised, to decide, in accordance with the SMKI Recovery Key Guidance, whether or not to require the use of the Recovery Private Key or Contingency Private Key (including in the latter case the use of the Contingency Symmetric Key);
- (j) to exercise the functions allocated to it under the SMKI Recovery Procedure, and in particular to exercise any power to nominate Parties for such purposes (and in accordance with such procedures) as may be set out in the SMKI Recovery Procedure;
- (k) to provide the Panel, the Change Sub-Committee, the Change Board and Working Groups with support and advice in respect of Draft Proposals and Modification Proposals that provide for variations to the SMKI SEC Documents, the DCCKI SEC Documents, or the S1SPKM SEC Documents;
- (l) to provide assurance in accordance with Section L2 (SMKI Assurance);
- (m) to provide the Panel with support and advice in respect of Disputes for which the Panel is required to make a determination, insofar as such Disputes relate to the SMKI Document Set, the DCCKI Document Set or the S1SPKM Document Set;
- (n) to provide the Panel and Sub-Committees with general advice and support with respect to the SMKI Services, the SMKI Repository Service, the DCCKI Services, the DCCKI Repository Service, each S1SPKI and each SMETS1 Symmetric Key Arrangement;

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- (o) to exercise such functions as are allocated to it under, and to comply with all the applicable requirements of, the SMKI Document Set in accordance with Section L9.1;
- (p) in respect of each S1SPKI CPS, to review, and either to approve or determine not to reject (subject to such amendments as it may direct), or to reject:
 - (i) a draft of that document, in accordance with Section L14.11;
 - (ii) any proposed amendment to that document, in accordance with Section L14.13;
- (q) to periodically review the effectiveness of the S1SPKM Document Set and to:
 - (i) notify DCC where it considers that changes should be made to the S1SPKM Document Set (such notification to include any recommendation for action that the SMKI PMA considers appropriate); and
 - (ii) copy any such notification to the Security Sub-Committee;
- (r) as soon as reasonably practicable following the incorporation of each of the following documents into this Code, its re-incorporation, or its modification in accordance with section 88 of the Energy Act 2008, to review that document in accordance with paragraph (q) above:
 - (i) each S1SPKI Certificate Policy;
 - (ii) each S1SPKI RAPP;
 - (iii) each SMETS1 Cryptographic Key Management Policy;
 - (iv) the S1SPKM Compliance Policy; and
- (s) to perform any other duties expressly ascribed to the SMKI PMA elsewhere in this Code.

L1.18 The SMKI PMA shall establish a process whereby the Code Administrator monitors Draft Proposals and Modification Proposals with a view to identifying (and bringing to

the SMKI PMA's attention) those proposals that are likely to affect the SMKI SEC Documents. The Code Administrator shall comply with such process.

Modification of the SMKI SEC Documents and S1SPKM Documents by the SMKI PMA

L1.19 Notwithstanding Section D1.3 (Persons Entitled to Submit Draft Proposals):

- (a) the SMKI PMA shall be entitled to submit Draft Proposals in respect of any of the SMKI SEC Documents or S1SPKM SEC Documents where the SMKI PMA considers it appropriate to do so; and
- (b) any SMKI PMA Member shall be entitled to submit Draft Proposals in respect of any of the SMKI SEC Documents or S1SPKM SEC Documents where he or she considers it appropriate to do so (where the SMKI PMA has voted not to do so).

Updated or Replacement Standards, Procedures and Guidelines

L1.20 L1.20 In respect of the SMKI Document Set, the SMKI Services, the DCCKI Document Set, the DCCKI Services and Sections L2 to L13 shall be interpreted in accordance with the following provisions of this Section L1.

L1.21 As a consequence of its duties under Section L1.17, the SMKI PMA shall determine any updates that are required to standards, procedures and guidelines that apply to the operation of the SMKI Services and the DCCKI Services and shall publish the latest versions on the Website.

Transitional Period for Updated or Replacement Standards, Procedures and Guidelines

L1.22 Section L1.23 applies where:

- (a) the DCC or any User is required, in accordance with any provision of the SMKI SEC Documents, to ensure that it, or that any of its policies, procedures, systems or processes, complies with:
 - (i) any standard, procedure or guideline issued by a third party; and

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- (ii) any equivalent to that standard, procedure or guideline which updates or replaces it from time to time; and
- (b) the relevant third party issues an equivalent to that standard, procedure or guideline which updates or replaces it.

L1.23 Where this Section L1.23 applies, the obligation on the DCC or User (as the case may be):

- (a) shall be read as an obligation to comply with the updated or replaced standard, procedure or guideline from such date as is determined by the SMKI PMA in respect of that document; and
- (b) prior to that date shall be read as an obligation to comply (at its discretion) with either:
 - (i) the previous version of the standard, procedure or guideline; or
 - (ii) the updated or replaced standard, procedure or guideline.

L1.24 Any date determined by the SMKI PMA in accordance with Section L1.23 may be the subject of an appeal by the DCC or any User to the Panel (whose decision shall be final and binding for the purposes of this Code).