

Threshold Anomaly Detection Procedures (TADP)

Version 1.1

Rebaselined 11 January 2016

1. Introduction

- 1.1. The Threshold Anomaly Detection Procedures (TADP) document makes provision for such matters as are described in Section G6.1 and G6.4(b) (i) of the Code, and provides further processes and detail required to facilitate those matters.

2. DCC Anomaly Detection Threshold Consultation

- 2.1. Pursuant to Section G6.4 (b) of the Code, each User shall consult with the DCC as to the appropriate level for their Anomaly Detection Thresholds (ADTs) giving regard to their Service Request forecast and expected pattern of demand for each Service Request.
- 2.2. DCC will provide information and guidance documentation via the Self Service Interface (SSI) to support Users in setting appropriate Anomaly Detection Thresholds.
- 2.3. In setting ADTs, each User shall consider the information and guidance documentation provided by DCC. The DCC shall include in such guidance documentation how to determine appropriate values for the ADTs for each relevant type of Service Request and a template for the User to provide their ADTs in the format required, as set out in Section 5.3 of this document.

3. Notification of Anomaly Detection Thresholds

User and DCC Responsibilities: ADT submissions

- 3.1. Prior to notifying the DCC of any ADT, the User shall raise a DCC Service Management Service Request (SMSR) via the SSI to obtain a reference number for use in its ADT submission, where such reference number will be generated by the SSI automatically.
- 3.2. Each User shall use reasonable endeavours to organise its business processes in such a manner that obviates the need for it to rely on the use of Fast-Track Notifications.
- 3.3. Where a User wishes to submit a Fast-Track Notification it shall, prior to doing so, contact the DCC Service Desk and provide a justification for why it is necessary for them to do so.
- 3.4. Pursuant to Section G6.1(a) (i) of the Code, a User shall, in each User Role in relation to which it is required (or elects) to set ADTs, provide ADTs to the DCC via an email to the DCC Service Desk. The email shall include:
 - a) the SMSR reference number in the subject line of the email; and
 - b) the User's ADTs and their User ID in a ADT Comma Separated Variable (CSV) file (of the form set out in Section 5.3 of this document), Digitally

Signed by a Private Key issued to a SMKI Authorised Responsible Officer (SMKI ARO) for the purpose of signing CSV files.

- 3.5. The User shall update the SMSR corresponding to the ADT submission on the SSI. On receipt of an SMSR and accompanying ADTs, the DCC shall:
- a) Check Cryptographic Protection applied to the CSV file, Confirm Validity of the Certificate used to Check Cryptographic Protection for the CSV file;
 - b) check that the format of the ADT data is correct;
 - c) check that the ADT values provided are consistent with guidance provided by DCC; and
 - d) for Fast-Track Notifications, assess whether the justification provided is valid.
- 3.6. The DCC shall validate and process ADT submissions and shall either apply the ADTs or reject the submission, in accordance with the timescales set out immediately below:
- a) for a notification of ADTs that is not a Fast-Track Notification, within 72 hours of receipt of an Anomaly Detection Thresholds File by the DCC; or
 - b) for a Fast-Track Notification, within 24 hours of receipt of an Anomaly Detection Thresholds File by the DCC.
- 3.7. Where the ADTs have been successfully applied, the DCC shall update and close the relevant SMSR. Where any of the above checks fail, the DCC shall not apply the ADTs and shall update the SMSR to reflect this and notify the User of the reason for the failure.
- 3.8. Where the check identified in c) above only has failed, the DCC shall contact a SMKI Senior Responsible Officer (SMKI SRO) acting on behalf of the User, by telephone using the contact details held by the DCC. The DCC shall request confirmation from the SMKI SRO as to whether the submitted ADTs should be applied. The SMKI SRO shall either:
- a) provide additional confirmation to the DCC to apply the ADTs that it has submitted, in which case the DCC shall apply the ADTs included within the ADT CSV file and close the relevant SMSR; or
 - b) resubmit ADTs that are aligned with the guidance.

User and DCC Responsibilities: Population of ADT values

- 3.9. The guidance documentation located on the SSI shall provide details of how the DCC expects ADTs to be specified and any restrictions on how ADT values may be submitted for each Service Request.

4. Threshold Anomaly Detection and Resolution

User and DCC Responsibilities: User Warning Threshold

- 4.1. Where the number of communications has exceeded the warning threshold for a User's ADT, the DCC shall raise an Incident and send an email notification to the User's registered contact address on the DCC Service Management System (DSMS).
- 4.2. Following any such notification, a User shall use the View Service Management Incident use case within SSI to obtain details on the warning threshold exceeded using the SMSR reference number provided within the email notification.
- 4.3. Each User shall investigate, and then update and assign the Incident to the DCC Service Desk using the Update Service Management Incident use case within SSI.

User and DCC Responsibilities: User Quarantine Threshold

- 4.4. Where the DCC has quarantined communications the DCC shall raise an Incident and send an email notification to the affected User's registered contact address on the DSMS to inform the User of the quarantine threshold being exceeded for the User's ADT.
- 4.5. The DCC shall make all such quarantined communications available to Users to download for a period of 120 hours from the point at which the communication was quarantined. At this point the DCC will immediately initiate the automated email notification process to notify the User that the communication has been quarantined. After this 120 hour time period has elapsed, the DCC shall archive all quarantined communications relating to the event for audit purposes and permanently delete them after 30 days. During the 30 day archive period, Users cannot access these archived communications except where required for the purposes of investigating a Major Security Incident. DCC shall not unreasonably withhold access to archived communications where required for this purpose.
- 4.6. Each User shall use the View Service Management Incident use case within SSI to obtain details on the ADT quarantine threshold exceeded using the Incident reference number provided within the email notification. The User shall download a configurable report, as set out in Section 5.4 of this document, from the Reporting use case within SSI, which shall include the list of quarantined communications in a CSV format.

- 4.7. Each User shall investigate and resolve the ADT quarantine threshold exceeded event. In accordance with Section G6.1 (a)(iii) of the Code, each User shall provide an email to the DCC Service Desk indicating the action to be taken on each of the quarantined communications. The email shall include:
- a) the Incident reference number in the subject line of the email; and
 - b) a valid CSV file, updated with the required action for each communication (Release or Delete), Digitally Signed with a Private Key issued to the SMKI ARO for the purposes of CSV file signing, as set out in Section 5.5 of this document.
- 4.8. Each User shall update the Incident using the Update Service Management Incident use case within SSI and assign to the DCC Service Desk for further action. The DCC shall:
- a) Check Cryptographic Protection applied to the CSV file, Confirm Validity of the Certificate used to Check Cryptographic Protection for the CSV file; and
 - b) check that the format of the data is correct.
- 4.9. Upon successful validation of all of the above checks the DCC shall perform the actions on the quarantined communications, notify the User, update and close the Incident.
- 4.10. Where any of the above validation steps fail the DCC shall update the Incident, reassign it to the User and notify the User of the reason for the failure.

User and DCC Responsibilities: DCC Set Quarantine Threshold

- 4.11. Pursuant with Section G6.6 of the Code, the DCC shall set ADTs and, where a DCC set ADT has been exceeded, the DCC shall:
- a) quarantine the communication(s) that have exceeded the ADT;
 - b) raise an Incident in accordance with the Incident Management Policy; and
 - c) determine the reasons for the Incident and take appropriate remedial action.
- 4.12. DCC shall contact the User(s) impacted by the event by raising an Incident to notify them that their communication(s) have been quarantined. At an appropriate point during the investigation, DCC shall advise Users of the action that should be taken in respect of quarantined communications, which will be one of the following:
- a) that quarantined communications must be deleted;

- b) that the User may decide whether quarantined communications should be processed or deleted; or
 - c) that no action should be taken by the User in respect of quarantined communications, which will result in the quarantined communications being archived for 30 days and subsequently deleted by the DCC.
- 4.13. Upon being advised of the action to be taken, Users shall submit an email and Quarantined Communications Action File which specifies actions in respect of each quarantined communication and shall correspond with the actions as advised by the DCC. Such email shall be submitted to the DCC Service Desk and shall include:
- a) the DSMS Incident reference number notified in the subject line of the email; and
 - b) a valid CSV file, updated with the required action for each communication (Release or Delete), Digitally Signed with a Private Key issued to the SMKI ARO for the purposes of CSV file signing, as set out in Section 5.5 of this document.
- 4.14. The DCC shall make all such quarantined communications available to Users to download for a period of 120 hours from the point at which the communication was quarantined. At this point the DCC will immediately initiate the automated email notification process to notify the User that the communication has been quarantined. After this 120 hour time period has elapsed, the DCC shall archive all quarantined communications relating to the event and permanently delete them after 30 days. During the 30 day archive period, Users cannot access these archived communications except where required for the purposes of investigating a Major Security Incident. DCC shall not unreasonably withhold access to archived communications where required for this purpose.
- 4.15. The User shall download a configurable report, as set out in Section 5.4 of this document, from the Reporting use case within SSI which shall include the quarantined communication(s) in a CSV format. Each User shall update the Incident using the Update Service Management Incident use case within SSI and assign the Incident to DCC for further action. The DCC shall:
- a) Check Cryptographic Protection applied to the CSV file, Confirm Validity of the Certificate used to Check Cryptographic Protection for the CSV file; and
 - b) check that the format of the data is correct.
- 4.16. Within 24 hours of receipt of a Quarantined Communications Action File, the DCC shall validate that Quarantined Communications Action File and shall either:

- a) where the checks are successful, perform the actions on the quarantined communications and notify the User of successful completion of the notified actions once completed, via the SSI; or
- b) where the checks are unsuccessful, update and reassign the Incident and notify the User of the reason for the failure.

5. Communication Formats

5.1. All data sent by email for use in the DCC Systems for the purposes of these Threshold Anomaly Detection Procedures shall be in the form of a Digitally Signed CSV file. The field separator shall be a comma “,” and the record separator shall be a line feed character 0x0A. In the file descriptions set out in Sections 5.3 to 5.5 of this document, the character “▲” indicates the record separator. Users may include, within such CSV files, consecutive comma separators to the left of a record separator to specify that a field has a null value. DCC shall interpret consecutive commas within a record to identify a null value.-

5.2. Each User submitting a CSV file that is to be Digitally Signed using the Private Key associated with a File Signing Certificate shall, prior to Digitally Signing that file, ensure that:

- a) the CSV file is formatted to ensure that each record has a separator which is a 0x0A character and that any 0x0D character is removed from the file; and
- b) the last record in the CSV file is terminated with a 0x0A character.

~~5.2. As some spreadsheets output a carriage return line feed 0x0D0A as the record separator, the DCC shall ensure that the software utility that signs the CSV file must first normalise the file to remove any carriage return characters and to ensure that the last record in the file is terminated with a line feed character. Details of the function of the software utility are contained within Section 6 of this document.~~

Anomaly Detection Thresholds File

5.3. Each ADT CSV file shall be generated in accordance with the procedure set out immediately below.~~contain the following fields:~~

- a) an “initial” CSV file shall be created, which shall contain the following records:
 - a)i. UserID ▲
 - b)ii. Service_Reference_Variant,
Warning_Threshold,Quarantine_Threshold,
Time_Period_Applicable, (repeated for each applicable Service
Reference Variant to be used) ▲

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- b) a File Signing Certificate_ID shall be appended as a record to the end of the "initial" CSV file, comprising:
 - i. all of the attributes contained within the 'Issuer' field in the File Signing Certificate, including attribute names, equals signs and values, which shall be encoded in URL format such that it does not contain any special characters, followed by a comma; and
 - ii. the Certificate serial number obtained from the 'serialNumber' field in the File Signing Certificate, followed by a 0x0A character; and
- e) ~~File Signing Certificate_ID ▲~~
- c) a Digital Signature shall be generated from the "initial" CSV file and appended as a record to the end of the CSV file, in accordance with the procedure set out in Section 6 of this document.
- d) ~~Digital_Signature ▲~~

Where:

- a) The UserID is the EUI-64 identifier obtained as part of the SEC Panel ID Allocation Procedure.
- b) The Service Reference Variant is the number set out in DUIS for the Service Request.
- c) The Warning Threshold field shall be populated with an integer value that is greater than or equal to zero.
- d) The Quarantine Threshold field shall be populated with an integer value that is greater than or equal to zero.
- e) The Time Period Applicable is populated with a number that represents the measurement interval for the threshold in minutes, which shall be an integer value that is greater than or equal to one and less than or equal to 43200.

Quarantined Communications Report File

- 5.4. Each Quarantined Communications Report File shall contain the following fields:
- a) Event_Reference, Service_Reference_Variant, Critical_Indicator, Date/time, Originator_ID, Target_ID, Counter, (repeated for each quarantined communication uploaded by the User) ▲

Where:

- a) The Event Reference is generated by the DCC for a particular instance of an ADT quarantine threshold being exceeded.

- b) The Service Reference Variant is the number set out in DUIS for the Service Request.
- c) The Critical Indicator indicates whether the Service Request is Critical or Non-Critical, which shall be set to *C* or *NC*.
- d) The Date/time field is the date and time when the communication was placed in quarantine, which will be of the format *DD/MM/YYYY hh:mm:ss*.
- e) Originator ID, Target ID and Counter fields are equivalent to the "RequestID", as set out in DUIS, for each quarantined communication.

Quarantined Communications Action File

5.5. Each Quarantined Communications Action File shall be generated in accordance with the procedure set out immediately below. ~~contain the following fields:~~

a) an "initial" CSV file shall be created, which shall contain the following records:

i. UserID ▲

ii. -Event_Reference, Service_Reference_Variant, Critical_Indicator, Date/time, Originator_ID, Target_ID, Counter, Action (repeated for each quarantined communication uploaded by the User) ▲

b) a File Signing Certificate ID shall be appended as a record to the end of the "initial" CSV file, comprising:

i. all of the attributes contained within the 'Issuer' field in the File Signing Certificate, including attribute names, equals signs and values, which shall be encoded in URL format such that it does not contain any special characters, followed by a comma; and

ii. the Certificate serial number obtained from the 'serialNumber' field in the File Signing Certificate, followed by a 0x0A character; and

~~b) CSV File Signing Certificate_ID ▲~~

c) a Digital Signature shall be generated from the "initial" CSV file and appended as a record to the end of the CSV file, in accordance with the procedure set out in Section 6 of this document.

~~c) Digital_Signature ▲~~

Where:

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- a) The UserID is the EUI-64 obtained as part of the SEC Panel ID Allocation Procedure.
- b) The Event Reference is generated by the DCC for a particular instance of an ADT quarantine threshold being exceeded.
- c) The Service Reference Variant is the number set out in DUIS for the Service Request.
- d) The Critical Indicator indicates whether the Service Request is Critical or Non-Critical, which shall be set to 'C' or 'NC'.
- e) The Date/time field is the date and time when the communication was placed in quarantine, which will be of the format DD/MM/YYYY hh:mm:ss.
- f) Originator ID, Target ID and Counter fields are equivalent to the "RequestID", as set out in DUIS, for each quarantined communication.
- g) The Action field shall be created and populated by the User for each quarantined communication with the required action, which shall have a value of 'Delete' or 'Release'.

6. File Signing the "input" CSV File

6.1. An "input" CSV file will be finalised for communication by applying a Digital Signature to the end of the file.

~~6.1.6.2.~~ The Private Key corresponding with the File Signing Certificate used for Digitally Signing the "input" CSV file shall be stored on a cryptographic token, supplied by the DCC in accordance with the SMKI RAPP.

6.3. Each User wishing to use the Private Key corresponding with a File Signing Certificate to apply a Digital Signature to an "input" CSV file and to append such Digital Signature record to the end of the "input" CSV file shall :

- a) Digitally Sign the content in the "input" CSV file, using a Private Key corresponding with the File Signing Certificate in accordance with the FIPS 186-4 Digital Signature Standard and using the parameters for signing as set out in clause 6.4; and
- b) convert the Digital Signature to Base64 format and append the Base64 encoded Digital Signature, as a record, to the end of the "input" file, followed by a 0x0A character, to create the "finalised" CSV file.

~~6.2. In all submissions of ADTs from a User to the DCC, the User shall append the File Signing Certificate ID to the CSV file before applying the Digital Signature.~~

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~~6.3. The User shall then Digitally Sign the CSV file using a Private Key corresponding with the File Signing Certificate in accordance with the FIPS 186-4 Digital Signature Standard~~

6.4. The parameters used for signing will be:

- a) Hashing algorithm: SHA-256, as specified in FIPS 180-4;
- b) Signing Method: The RSASSA – PKCS - v1.5 Digital Signature Algorithm specified in Section 5.5 -of FIPS 186-4; and
- c) Key Length: 2048.

~~6.5. The entire file shall be signed, including the header and the Certificate ID of the File Signing Certificate and the signature shall be converted to Base64 before appending it to the CSV file.~~

~~6.6.6.5. The DCC shall provide a software utility for the purposes of Digitally Signing files, which a User may choose to utilise in order to meet its obligations; as set out immediately above. The DCC shall ensure that the software utility enables Users to:~~

- ~~a) to format such files so that the correct field separators and record separators are used;~~
- ~~b) in respect of obligations to append a File Signing Certificate ID to CSV files where required; and~~
- ~~c) to Digitally Sign the “finalised” CSV file as set out in clause 6.3.~~
 - ~~a) normalise the CSV file that the User wishes to Digitally Sign;~~
 - ~~b) attach the File Signing Certificate identifier and a linefeed character;~~
 - ~~c) sign the CSV file as set out in this section; and~~
 - ~~d) append the Digital Signature to the file.~~

Appendix A Definitions

Anomaly Detection Thresholds File means a CSV file submitted by a User for the purposes of notification of ADTs to be applied by the DCC.

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Comma Separated Variable (CSV) means a tabular set of data records in text format in which the data fields within each data record are delimited using commas, and where data fields are not enclosed with opening and closing double quotation marks

DCC Service Management System means the DCC Service Desk system used to manage Incidents and Service Management Service Requests.

Fast-Track Notification means notification from a User to the DCC of ADTs that are submitted with the intention of being applied in shorter timescales than standard processing timescales, where such timescales are set out in Section 3 of this document

File Signing Certificate means an IKI Certificate issued to a Party in accordance with the SMKI RAPP and associated with a Private Key that is used for the purposes of Digital Signing of CSV files

Quarantined Communications Action File means a CSV file submitted by a User for the purposes of notifying the DCC of the actions to be taken by DCC in respect of quarantined communications

Quarantined Communications Report File means a CSV file issued by the DCC to notify a User that communications have been quarantined

Service Management Service Request means the request raised by the User to facilitate management of a DCC Service Desk call