

Power systems management and associated information exchange — Data and communications security

Part 4: Profiles including MMS and derivatives

National foreword

This British Standard is the UK implementation of EN IEC 62351-4:2018+A1:2020. It is identical to IEC 62351-4:2018, incorporating amendment 1:2020. It supersedes [BS EN IEC 62351-4:2018](#), which is withdrawn.

The UK participation in its preparation was entrusted to Technical Committee PEL/57, Power systems management and associated information exchange.

A list of organizations represented on this committee can be obtained on request to its committee manager.

This publication does not purport to include all the necessary provisions of a contract. Users are responsible for its correct application.

© The British Standards Institution 2020
Published by BSI Standards Limited 2020

ISBN 978 0 539 05730 0

ICS 33.200

Compliance with a British Standard cannot confer immunity from legal obligations.

This British Standard was published under the authority of the Standards Policy and Strategy Committee on 31 January 2019.

Amendments/corrigenda issued since publication

Date	Text affected
31 October 2020	Implementation of IEC amendment 1:2020 with CENELEC endorsement A1:2020

English Version

Power systems management and associated information
exchange - Data and communications security - Part 4: Profiles
including MMS and derivatives
(IEC 62351-4:2018)

Gestion des systèmes de puissance et échanges
d'informations associés - Sécurité des communications et
des données - Partie 4 : Profils comprenant MMS
(IEC 62351-4:2018)

Energiemanagementsysteme und zugehöriger
Datenaustausch - IT-Sicherheit für Daten und
Kommunikation - Teil 4: Profile einschließlich MMS und
Ableitungen
(IEC 62351-4:2018)

This European Standard was approved by CENELEC on 2018-12-20. CENELEC members are bound to comply with the CEN/CENELEC Internal Regulations which stipulate the conditions for giving this European Standard the status of a national standard without any alteration.

Up-to-date lists and bibliographical references concerning such national standards may be obtained on application to the CEN-CENELEC Management Centre or to any CENELEC member.

This European Standard exists in three official versions (English, French, German). A version in any other language made by translation under the responsibility of a CENELEC member into its own language and notified to the CEN-CENELEC Management Centre has the same status as the official versions.

CENELEC members are the national electrotechnical committees of Austria, Belgium, Bulgaria, Croatia, Cyprus, the Czech Republic, Denmark, Estonia, Finland, Former Yugoslav Republic of Macedonia, France, Germany, Greece, Hungary, Iceland, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, the Netherlands, Norway, Poland, Portugal, Romania, Serbia, Slovakia, Slovenia, Spain, Sweden, Switzerland, Turkey and the United Kingdom.



European Committee for Electrotechnical Standardization
Comité Européen de Normalisation Electrotechnique
Europäisches Komitee für Elektrotechnische Normung

CEN-CENELEC Management Centre: Rue de la Science 23, B-1040 Brussels

European foreword

The text of document 57/2032/FDIS, future edition 1 of IEC 62351-4, prepared by IEC/TC 57 "Power systems management and associated information exchange" was submitted to the IEC-CENELEC parallel vote and approved by CENELEC as EN IEC 62351-4:2018.

The following dates are fixed:

- latest date by which the document has to be implemented at national level by publication of an identical national standard or by endorsement (dop) 2019-09-20
- latest date by which the national standards conflicting with the document have to be withdrawn (dow) 2021-12-20

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. CENELEC shall not be held responsible for identifying any or all such patent rights.

Endorsement notice

The text of the International Standard IEC 62351-4:2018 was approved by CENELEC as a European Standard without any modification.

In the official version, for Bibliography, the following notes have to be added for the standards indicated:

IEC 60870-6-503:2014	NOTE	Harmonized as EN 60870-6-503:2014 (not modified)
IEC 60870-6-702:2014	NOTE	Harmonized as EN 60870-6-702:2014 (not modified)
IEC 60870-6-802:2014	NOTE	Harmonized as EN 60870-6-802:2014 (not modified)

Foreword to amendment A1

The text of document 57/2217/FDIS, future IEC 62351-4/A1, prepared by IEC/TC 57 "Power systems management and associated information exchange" was submitted to the IEC-CENELEC parallel vote and approved by CENELEC as EN IEC 62351-4:2018/A1:2020.

The following dates are fixed:

- latest date by which the document has to be implemented at national level by publication of an identical national standard or by endorsement (dop) 2021-05-21
- latest date by which the national standards conflicting with the document have to be withdrawn (dow) 2023-08-21

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. CENELEC shall not be held responsible for identifying any or all such patent rights.

Endorsement notice

The text of the International Standard IEC 62351-4:2018/A1:2020 was approved by CENELEC as a European Standard without any modification.

In the official version, for Bibliography, the following notes have to be added for the standards indicated:

IEC 61850-8-1:2011 NOTE Harmonized as EN 61850-8-1:2011 (not modified)

IEC 61850-8-2:2018 NOTE Harmonized as EN IEC 61850-8-2:2019 (not modified)

Annex ZA (normative)

Normative references to international publications with their corresponding European publications

The following documents are referred to in the text in such a way that some or all of their content constitutes requirements of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

NOTE 1 Where an International Publication has been modified by common modifications, indicated by (mod), the relevant EN/HD applies.

NOTE 2 Up-to-date information on the latest versions of the European Standards listed in this annex is available here: www.cenelec.eu.

<u>Publication</u>	<u>Year</u>	<u>Title</u>	<u>EN/HD</u>	<u>Year</u>
IEC/TS 62351-1	-	Power systems management and associated information exchange - Data and communications security - Part 1: Communication network and system security - Introduction to security issues	-	-
IEC/TS 62351-2	-	Power systems management and associated information exchange - Data and communications security - Part 2: Glossary of terms	-	-
IEC 62351-3	2014	Power systems management and associated information exchange - Data and communications security - Part 3: Communication network and system security - Profiles including TCP/IP	EN 62351-3	2014
+A1	2018		+A1	2018
IEC/TS 62351-8	2011	Power systems management and associated information exchange - Data and communications security - Part 8: Role-based access control	-	-
IEC 62351-9	2017	Power systems management and associated information exchange - Data and communications security - Part 9: Cyber security key management for power system equipment	EN 62351-9	2017
ISO/IEC 8073	1997	Information technology - Open Systems Interconnection - Protocol for providing the connection-mode transport service	-	-
ISO/IEC 8823-1	1994	Information technology - Open Systems Interconnection - Connection-oriented presentation protocol: Protocol specification	-	-
ISO/IEC 8824-1	-	Information technology - Abstract Syntax Notation One (ASN.1): Specification of basic notation	-	-

ISO/IEC 8825-1	-	Information technology - ASN.1 encoding rules: Specification of Basic Encoding Rules (BER), Canonical Encoding Rules (CER) and Distinguished Encoding Rules (DER)	-
ISO/IEC 8825-4	-	Information technology - ASN.1 encoding rules: XML Encoding Rules (XER)	-
ISO 8601	2004	Data elements and interchange formats - Information interchange - Representation of dates and times	-
ISO 9506-2	2003	Industrial automation systems - Manufacturing Message Specification - Part 2: Protocol specification	-
ITU-T X.509	-	Information technology - Open Systems interconnection - The Directory: Public-key and attribute certificate frameworks	-
ITU-T Recommendation X.227	-	Information technology - Open Systems Interconnection - Connection-oriented protocol for the Association Control Service Element: Protocol specification	-
+ A1	-		-
IETF RFC 1006	1987	ISO Transport Service on top of the TCP, Version: 3	-
IETF RFC 2104	1997	HMAC: Keyed-Hashing for Message Authentication	-
IETF RFC 3526	2003	More Modular Exponential (MODP) Diffie-Hellman groups for Internet Key Exchange (IKE)	-
IETF RFC 5114	2003	Additional Diffie-Hellman Groups for Use with IETF Standards	-
IETF RFC 5246	2008	The Transport Layer Security (TLS) Protocol Version 1.2	-
IETF RFC 5480	2009	Elliptic Curve Cryptography Subject Public Key Information	-
IETF RFC 5639	2010	Elliptic Curve Cryptography (ECC) Brainpool Standard Curves and Curve Generation	-
IETF RFC 5869	2010	HMAC-based Extract-and-Expand Key Derivation Function	-
IETF RFC 6120	2011	Extensible Messaging and Presence Protocol (XMPP): Core	-
IETF RFC 6122	2011	Extensible Messaging and Presence Protocol (XMPP): Address Format	-

This page deliberately left blank

CONTENTS

FOREWORD	8
1 Scope	10
1.1 General	10
1.2 Code components	11
2 Normative references	11
3 Terms, definitions and abbreviated terms	12
3.1 General	12
3.2 Terms and definitions	13
3.3 Abbreviated terms	16
4 Security issues addressed by this part of IEC 62351	18
4.1 Communications reference models	18
4.2 Security for application and transport profiles	18
4.3 Compatibility and native modes	19
4.4 Security threats countered	19
4.4.1 General	19
4.4.2 Threats countered in compatibility mode	20
4.4.3 Threats countered in native mode	20
4.5 Attack methods countered	20
4.5.1 General	20
4.5.2 Attacks countered in compatibility mode	20
4.5.3 Attacks countered in native mode	20
4.6 Logging	21
5 Specific requirements	21
5.1 Specific requirements for ICCP/IEC 60870-6-x communication stack	21
5.2 Specific requirements for IEC 61850	22
6 Transport Security	22
6.1 General	22
6.2 Application of transport layer security (TLS)	22
6.2.1 General	22
6.2.2 The TLS cipher suite concept	23
6.2.3 TLS session resumption	23
6.2.4 TLS session renegotiation	23
6.2.5 Supported number of trust anchors	23
6.2.6 Public-key certificate size	23
6.2.7 Evaluation period for revocation state of public-key certificates	23
6.2.8 Public-key certificate validation	24
6.2.9 Security events handling	24
6.3 T-security in an OSI operational environment	24
6.3.1 General	24
6.3.2 TCP ports	24
6.3.3 Disabling of TLS	25
6.3.4 TLS cipher suites support	25
6.4 T-security in an XMPP operational environment	27
7 Application layer security overview (informative)	27
7.1 General	27
7.2 Description techniques	28

7.2.1	General	28
7.2.2	ASN.1 as an XML schema definition	28
7.2.3	W3C XML Schema Definition (W3C XSD)	28
7.2.4	XML namespace	29
8	Use of cryptographic algorithms	29
8.1	General.....	29
8.2	Basic cryptographic definitions.....	29
8.3	Public-key algorithms.....	30
8.4	Hash algorithms.....	30
8.5	Signature algorithms	30
8.6	Symmetric key algorithms	31
8.7	Authenticated encryption algorithms	31
8.8	Integrity check value algorithms	32
9	Object identifier allocation (normative).....	32
10	General OSI upper layer requirements (normative)	33
10.1	Overview.....	33
10.2	General on OSI upper layer requirements	34
10.3	Session protocol requirements	34
10.4	Presentation protocol requirements.....	34
10.4.1	Context list	34
10.4.2	Abstract syntaxes	35
10.4.3	Presentation user data.....	35
10.4.4	ASN.1 encoding requirements	36
10.5	Association control service element (ACSE) protocol requirements	36
10.5.1	General	36
10.5.2	Protocol version.....	36
10.5.3	Titles	36
10.5.4	Use of ASN.1 EXTERNAL data type	37
11	A-security profile (normative).....	37
11.1	OSI requirements specific to A-security profile	37
11.1.1	General	37
11.1.2	Additional session protocol requirements.....	38
11.1.3	Additional presentation protocol requirement	38
11.1.4	Additional ACSE requirements.....	38
11.2	MMS Authentication value.....	39
11.2.1	General	39
11.2.2	MMS-Authentication value data type.....	40
11.2.3	Handling of the association request (AARQ-apdu)	40
11.2.4	Handling of the association result (AARE-apdu).....	41
12	End-to-end application security model	41
12.1	Introduction and general architecture	41
12.2	Abstract syntax specifications	43
12.2.1	General	43
13	End-to-end application security (normative).....	44
13.1	Association management	44
13.1.1	General concept	44
13.1.2	UTC time specification.....	44
13.1.3	Handshake request.....	44

13.1.4	Handshake accept	45
13.1.5	Association reject by the protected protocol	46
13.1.6	Association reject due to security issues	46
13.1.7	Handshake security abort	47
13.1.8	Data transfer security abort	47
13.1.9	Abort by protected protocol	47
13.1.10	Association release request	48
13.1.11	Association release response	48
13.2	Data transfer phase	49
13.2.1	General	49
13.2.2	Clear data transfer	49
13.2.3	Encrypted data transfer	49
13.3	ClearToken data types	50
13.3.1	The ClearToken1 data type	50
13.3.2	The ClearToken2 data type	55
13.3.3	The ClearToken3 data type	56
13.4	Authentication and integrity specifications	57
13.4.1	The Signature data type	57
13.4.2	The authenticator data type	57
14	E2E security error handling (normative)	57
14.1	General	57
14.2	Specification of diagnostics	57
14.2.1	Handshake diagnostics	57
14.2.2	The data transfer diagnostics	59
14.3	Checking of E2E-security handshake request and accept	60
14.3.1	General	60
14.3.2	Signature checking	60
14.3.3	Protected protocol identity checking	61
14.3.4	ClearToken1 checking	61
14.4	Checking of security protocol control information during data transfer	63
14.4.1	General	63
14.4.2	Authenticator checking	63
14.4.3	Checks of the ClearToken2 value	63
15	E2E security used in an OSI operational environment	64
15.1	General	64
15.2	Additional upper layer requirements	64
15.2.1	Additional presentation layer requirements	64
15.2.2	Additional ACSE requirements	64
15.3	Association management in an OSI operational environment	64
15.3.1	General	64
15.3.2	Mapping to ACSE association request	65
15.3.3	Mapping to ACSE association response	65
15.3.4	Mapping to ACSE abort	66
15.3.5	Mapping to ACSE release request	67
15.3.6	Mapping to ACSE release response	67
15.4	Data transfer in OSI operational environment	67
15.4.1	General	67
15.4.2	Mapping of the clear data transfer SecPDU	67
15.4.3	Mapping of the encrypted data transfer SecPDU	68

15.5	OSI upper layer routing	68
15.6	OSI operational environment checking	70
15.6.1	General checking	70
15.6.2	Environment mapping checking	70
15.6.3	OSI operational environment diagnostics	71
16	E2E security used in in an XMPP operational environment	71
16.1	General on wrapping to an XMPP operational environment	71
16.2	Mapping of SecPDUs to iq stanzas	72
16.3	Mapping of SecPDUs to message stanzas	73
16.4	XMPP stanza error handling	73
16.5	XML namespaces	74
16.6	Encoding of EnvPDUs within XMPP stanzas	74
16.7	Multiple associations	75
16.8	Release collision consideration	75
17	Conformance to this document	75
17.1	General	75
17.2	Notation	75
17.3	Conformance to operational environment	75
17.4	Conformance to modes of operation	76
17.5	Conformance to compatibility mode	76
17.6	Conformance to native mode	76
Annex A	(normative) Formal ASN.1 specification for the A-security-profile	79
Annex B	(normative) Formal ASN.1 specification for the End-to-End security	80
Annex C	(normative) Formal W3C XSD specification for the end-to-end security	85
Annex D	(normative) ASN.1 module for OSI operational environment	93
D.1	Scope of annex	93
D.2	ASN.1 module	93
Annex E	(normative) ASN.1 modules and W3C XSDs for an XMPP operational environment	95
E.1	Scope of Annex	95
E.2	ASN.1 modules for the XMPP operational environment	95
E.2.1	ASN.1 module for the urn:ietf:params:xml:ns:xmpp-stanzas XML namespace	95
E.2.2	ASN.1 module for the http://www.iec.ch/62351/2018/ENV_4 XML namespace	95
E.3	W3C XSDs for the XMPP operational environment	97
E.3.1	W3C XSD for the urn:ietf:params:xml:ns:xmpp-stanzas XML namespace	97
E.3.2	W3C XSD for the http://www.iec.ch/62351/2018/ENV_4 XML namespace	98
Annex F	(normative) Template for virtual API specifications	100
F.1	General	100
F.2	ASN.1 virtual API specification	101
F.3	ASN.1 virtual API specification for OSI environment	101
F.4	W3C XSD virtual API specification	101
Annex G	(normative) End-entity public-key certificate specification	103
G.1	Scope of annex	103
G.2	General requirement	103
G.3	Length considerations	103
G.4	Basic Structure requirement and recommendations	103

G.4.1	Version component	103
G.4.2	Serial number component	103
G.4.3	Issuer signature algorithm component	103
G.4.4	Issuer component	104
G.4.5	Validity component	104
G.4.6	Subject component	104
G.4.7	Subject public key Information component	104
G.4.8	Issuer unique ID and subject unique ID components	105
G.5	Extensions	105
G.5.1	General	105
G.5.2	Key usage extension	105
G.5.3	Revocation checking	105
G.5.4	IEC user role information extension	106
G.6	Specific requirements for operational environments	106
G.6.1	General	106
G.6.2	OSI operational environment	106
G.6.3	XMPP operational environment	106
Annex H (normative)	Lower layer requirements for the OSI operational environment	107
H.1	Scope of annex	107
H.2	Transport protocol class 0	107
H.2.1	Enforcement of maximum lengths	107
H.2.2	Response to Class 0 unsupported TPDU's	107
H.2.3	Transport selectors	107
H.3	IETF RFC 1006	108
H.3.1	General	108
H.3.2	Version number	108
H.3.3	Length	108
H.3.4	Keep-alive	108
Annex I (informative)	ASN.1 definition of ACSE	109
Bibliography		113
Figure 1	– Application and transport profiles (informative)	18
Figure 2	– T-profiles without and with TLS protection	24
Figure 3	– Association establishment	33
Figure 4	– Inclusion of User-data in SESSION DATA TRANSFER SPDU	36
Figure 5	– E2E security building blocks	42
Figure 6	– Relationship between environment, E2E-security and protected protocol	42
Figure 7	– Relationships between APDU's	43
Figure 8	– The scope of E2E-security specification	43
Figure 9	– Upper layer routing	69
Figure F.1	– Virtual API concept	100
Table 1	– Relationship between security and security measure combinations	19
Table 2	– Commented recommended cipher suites from IEC TS 62351-4:2007	26
Table 3	– Cipher suites combinations in the context of this document	27
Table 4	– Mapping of SecPDUs to ACSE EnvPDUs	65

Table 5 – Mapping of SecPDUs to XMPP stanzas	72
Table 6 – Conformance to operational environment	76
Table 7 – Conformance to modes of operation	76
Table 8 – Conformance to TLS cipher suites in compatibility mode	76
Table 9 – Conformance to mode of encryption	77
Table 10 – Conformance to TLS cipher suites in native mode	77
Table 11 – Conformance to cryptographic algorithms for E2E-security	78
Table H.1 – TP class 0 maximum sizes	107

INTERNATIONAL ELECTROTECHNICAL COMMISSION

POWER SYSTEMS MANAGEMENT AND ASSOCIATED INFORMATION EXCHANGE – DATA AND COMMUNICATIONS SECURITY –

Part 4: Profiles including MMS and derivatives

FOREWORD

- 1) The International Electrotechnical Commission (IEC) is a worldwide organization for standardization comprising all national electrotechnical committees (IEC National Committees). The object of IEC is to promote international co-operation on all questions concerning standardization in the electrical and electronic fields. To this end and in addition to other activities, IEC publishes International Standards, Technical Specifications, Technical Reports, Publicly Available Specifications (PAS) and Guides (hereafter referred to as "IEC Publication(s)"). Their preparation is entrusted to technical committees; any IEC National Committee interested in the subject dealt with may participate in this preparatory work. International, governmental and non-governmental organizations liaising with the IEC also participate in this preparation. IEC collaborates closely with the International Organization for Standardization (ISO) in accordance with conditions determined by agreement between the two organizations.
- 2) The formal decisions or agreements of IEC on technical matters express, as nearly as possible, an international consensus of opinion on the relevant subjects since each technical committee has representation from all interested IEC National Committees.
- 3) IEC Publications have the form of recommendations for international use and are accepted by IEC National Committees in that sense. While all reasonable efforts are made to ensure that the technical content of IEC Publications is accurate, IEC cannot be held responsible for the way in which they are used or for any misinterpretation by any end user.
- 4) In order to promote international uniformity, IEC National Committees undertake to apply IEC Publications transparently to the maximum extent possible in their national and regional publications. Any divergence between any IEC Publication and the corresponding national or regional publication shall be clearly indicated in the latter.
- 5) IEC itself does not provide any attestation of conformity. Independent certification bodies provide conformity assessment services and, in some areas, access to IEC marks of conformity. IEC is not responsible for any services carried out by independent certification bodies.
- 6) All users should ensure that they have the latest edition of this publication.
- 7) No liability shall attach to IEC or its directors, employees, servants or agents including individual experts and members of its technical committees and IEC National Committees for any personal injury, property damage or other damage of any nature whatsoever, whether direct or indirect, or for costs (including legal fees) and expenses arising out of the publication, use of, or reliance upon, this IEC Publication or any other IEC Publications.
- 8) Attention is drawn to the Normative references cited in this publication. Use of the referenced publications is indispensable for the correct application of this publication.
- 9) Attention is drawn to the possibility that some of the elements of this IEC Publication may be the subject of patent rights. IEC shall not be held responsible for identifying any or all such patent rights.

International Standard IEC 62351-4 has been prepared by IEC technical committee 57: Power systems management and associated exchange.

The text of this standard is based on the following documents:

FDIS	Report on voting
57/2032/FDIS	57/2053/RVD

Full information on the voting for the approval of this standard can be found in the report on voting indicated in the above table.

This publication has been drafted in accordance with the ISO/IEC Directives, Part 2.

A list of all parts in the IEC 62351 series, published under the general title *Power systems management and associated information exchange – Data and communications security*, can be found on the IEC website.

This IEC standard includes Code Components i.e. components that are intended to be directly processed by a computer. Such content is any text found between the markers <CODE BEGINS> and <CODE ENDS>, or otherwise is clearly labelled in this standard as a Code Component.

The purchase of this IEC standard carries a copyright license for the purchaser to sell software containing Code Components from this standard to end users either directly or via distributors, subject to IEC software licensing conditions, which can be found at: www.iec.ch/CCv1.

In this document the following print types are used:

- Abstract Syntax Notation One (ASN.1) and W3C XML Schema Definition (W3C XSD) notions are presented in **Courier New** typeface; and
- when ASN.1 types and values are referenced in normal text, they are differentiated from normal text by presenting them in **Courier New** typeface.

A list of all parts in the IEC 62351 series, published under the general title *Power systems management and associated information exchange – Data and communications security*, can be found on the IEC website.

The committee has decided that the contents of this publication will remain unchanged until the stability date indicated on the IEC web site under "<http://webstore.iec.ch>" in the data related to the specific publication. At this date, the publication will be

- reconfirmed,
- withdrawn,
- replaced by a revised edition, or
- amended.

A bilingual version of this publication may be issued at a later date.

IMPORTANT – The 'colour inside' logo on the cover page of this publication indicates that it contains colours which are considered to be useful for the correct understanding of its contents. Users should therefore print this document using a colour printer.

POWER SYSTEMS MANAGEMENT AND ASSOCIATED INFORMATION EXCHANGE – DATA AND COMMUNICATIONS SECURITY –

Part 4: Profiles including MMS and derivatives

1 Scope

1.1 General

This part of IEC 62351 extends the scope of IEC TS 62351-4:2007 [1]¹ by specifying a compatibility mode that provides interoperation with implementation based on IEC TS 62351-4:2007 and by specifying extended capabilities referred to as native mode.

This part of IEC 62351 specifies security requirements both at the transport layer and at the application layer. While IEC TS 62351-4:2007 primarily provided some limited support at the application layer for authentication during handshake for the Manufacturing Message Specification (MMS) based applications, this document also provides support for extended integrity and authentication both for the handshake phase and for the data transfer phase. It provides for shared key management and data transfer encryption at the application layer and it provides security end-to-end (E2E) with zero or more intermediate entities. While IEC TS 62351-4:2007 only provides support for systems based on the MMS, i.e. systems using an Open Systems Interworking (OSI) protocol stack, this document also provides support for application protocols using other protocol stacks, e.g. an Internet protocol suite (see 4.1). This support is extended to protect application protocols using XML encoding. This extended security at the application layer is referred to as E2E-security.

In addition to E2E security, this part of IEC 62351 also provides mapping to environmental protocols carrying the security related information. Only OSI and XMPP environments are currently considered.

It is intended that this part of IEC 62351 be referenced as a normative part of standards that have a need for using application protocols, e.g., MMS, in a secure manner.

It is anticipated that there are implementations, in particular Inter-Control Centre Communications Protocol (ICCP) implementations that are dependent on the IEC TS 62351-4:2007 specifications of the T-profile and the A-security-profile. The specifications from IEC TS 62351-4:2007 are therefore included in this part of IEC 62351. Implementations supporting these specifications will interwork with implementation based on IEC TS 62351-4:2007.

NOTE The A-security-profile is in the strict sense not a profile, but the term is here kept for historical reasons.

This document represents a set of mandatory and optional security specifications to be implemented to protect application protocols.

The initial audience for this document is the members of the working groups developing or making use of protocols. For the measures described in this part of IEC 62351 to take effect, they shall be accepted and referenced by the specifications for the protocols themselves.

The subsequent audience for this document is the developers of products that implement these protocols and the end user that want to specify requirements for its own environment.

¹ Numbers in square brackets refer to the bibliography.

Portions of this document may also be of use to managers and executives in order to understand the purpose and requirements of the work.

1.2 Code components

The purchase of this IEC standard carries a copyright license for the purchaser to sell software containing Code Components from this standard to end users either directly or via distributors, subject to IEC software licensing conditions, which can be found at: www.iec.ch/CCv1.

The Code Components included in this IEC standard are also available as electronic machine readable file at: www.iec.ch/public/tc57/supportdocuments/IEC_62351-4.ASN.1_XSD.full.zip

In this document, code components are contained within Annexes A, B, C, D and E.

2 Normative references

The following documents are referred to in the text in such a way that some or all of their content constitutes requirements of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

IEC TS 62351-1, *Power systems management and associated information exchange – Data and communications security – Part 1: Communication network and system security – Introduction to security issues*

IEC TS 62351-2, *Power systems management and associated information exchange – Data and communications security – Part 2: Glossary of terms*

IEC 62351-3:2014, *Power systems management and associated information exchange – Data and communications security – Part 3: Communication network and system security – Profiles including TCP/IP*

IEC 62351-3:2014/AMD1:2018

IEC TS 62351-8:2011, *Power systems management and associated information exchange – Data and communications security – Part 8: Role-based access control*

IEC 62351-9:2017, *Power systems management and associated information exchange – Data and communications security – Part 9: Cyber security key management for power system equipment*

ISO/IEC 8073:1997 | Rec. ITU-T X.224 (1995), *Information technology – open systems interconnection – Protocol for providing the connection-mode transport service*

ISO/IEC 8823-1:1994 | Rec. ITU-T X.226 (1994), *Information technology – open systems interconnection – connection-oriented presentation protocol: Protocol specification*

ISO/IEC 8824-1 | Rec. ITU-T X.680, *Information technology – Abstract Syntax Notation One (ASN.1): Specification of basic notation*

ISO/IEC 8825-1 | Rec. ITU-T X.690, *Information technology – ASN.1 encoding rules: Specification of Basic Encoding Rules (BER), Canonical Encoding Rules (CER) and Distinguished Encoding Rules (DER)*

ISO/IEC 8825-4 | Rec. ITU-T X.693, *Information technology – ASN.1 encoding rules: XML Encoding Rules (XER)*

ISO 8601:2004, *Data elements and interchange formats – Information interchange – Representation of dates and times*

ISO 9506-2:2003, *Industrial automation systems – Manufacturing Message Specification – Part 2: Protocol specification*

A1 ISO/IEC 9594-8:2020 | Rec. ITU-T X.509 (2019), *Information technology – Open Systems Interconnection – The Directory: Public-key and attribute certificate frameworks* **A1**

Rec. ITU-T X.227 (1995), *Information technology – open systems interconnection – connection-oriented protocol for the association control service element: Protocol specification*

NOTE 1 The corresponding International Standard ISO/IEC 8650-1:1996 has been withdrawn.

Rec. ITU-T X.227 (1995)/Amd.1 (1996), *Information technology – open systems interconnection – connection-oriented protocol for the association control service element: Protocol specification – Amendment 1: Incorporation of extensibility markers*

NOTE 2 The corresponding International Standard amendment ISO/IEC 8650-1:1996/Amd.1:1997 has been withdrawn.

IETF RFC 1006:1987, *ISO Transport Service on top of the TCP, Version: 3*

IETF RFC 2104:1997, *HMAC: Keyed-Hashing for Message Authentication*

IETF RFC 3526:2003, *More Modular Exponential (MODP) Diffie-Hellman groups for Internet Key Exchange (IKE)*

IETF RFC 5114:2008, *Additional Diffie-Hellman Groups for Use with IETF Standards*

IETF RFC 5246:2008, *The Transport Layer Security (TLS) Protocol, Version 1.2*

IETF RFC 5480:2009, *Elliptic Curve Cryptography Subject Public Key Information*

IETF RFC 5639:2010, *Elliptic Curve Cryptography (ECC) Brainpool Standard Curves and Curve Generation*

IETF RFC 5869:2010, *HMAC-based Extract-and-Expand Key Derivation Function*

IETF RFC 6120:2011, *Extensible Messaging and Presence Protocol (XMPP): Core*

IETF RFC 6122:2011, *Extensible Messaging and Presence Protocol (XMPP): Address Format*

3 Terms, definitions and abbreviated terms

3.1 General

For the purposes of this document, the terms and definitions given in IEC TS 62351-2 and the following apply.

ISO and IEC maintain terminological databases for use in standardization at the following addresses:

- IEC Electropedia: available at <http://www.electropedia.org/>
- ISO Online browsing platform: available at <http://www.iso.org/obp>

3.2 Terms and definitions

3.2.1

a-security profile

application security specification that provides peer-to-peer authentication as originally defined by IEC TS 62351-4:2007

3.2.2

abstract syntax

specification of application-protocol-data-units by using notation rules that are independent of the encoding technique used to represent them

 [SOURCE: ISO/IEC 7498-1:1994 | Rec. ITU-T X.200 (1994), 7.1.1.2] 

3.2.3

alarm

security event that might be caused by an adversary 

3.2.4

Application context

set of rules shared in common by two application-entity in order to support an association (in an OSI operational environment)

3.2.5

application entity

active element embodying a set of capabilities which is pertinent to communication systems and which is defined for the application layer

3.2.6

application profile

application profile that represents the set of protocols and agreements in regards to the upper three layers of the OSI reference model

3.2.7

application-protocol-control information

information exchanged between application entities to co-ordinate their joint operation

3.2.8

association

cooperative relationship between application-entity invocations, which enables the communication of information and the coordination of their joint operation for an instance of communication

Note 1 to entry: This relationship may be formed by the transfer of application-protocol-control-information using an underlying service.

 [SOURCE: Rec. ITU-T X.217 (1995), 3.5.1] 

3.2.9

association control service element

application service element that provides the exclusive means for establishing and terminating application associations within an OSI environment

3.2.10

bilateral agreement

agreement between two control centres which includes the data elements to be accessed and the means to access them

[SOURCE: IEC 60870-6-503:2014, 3.3]

3.2.11

bilateral table

computer representation of the bilateral agreement

Note 1 to entry: The representation used is a local matter

 [SOURCE: IEC 60870-6-503:2014, 3.4] 

3.2.12

CA certificate

public-key certificate for one certification authority (CA) issued by another CA or by the same CA

 [SOURCE: ISO/IEC 9594-8:2020 | Rec. ITU-T X.509 (2019), 3.5.14] 

3.2.13

certification path

ordered list of one or more public-key certificates, starting with a public-key certificate signed by the trust anchor, and ending with the end-entity public-key certificate to be validated

Note 1 to entry: All intermediate public-key certificates, if any, are CA certificates in which the subject of the preceding public-key certificate is the issuer of the following public-key certificate.

[SOURCE: ISO/IEC 9594-8:2020 | Rec. ITU-T X.509 (2019), 3.5.21]

3.2.14

client

application entity that initiate the establishment of an association with a server

Note 1 to entry: The term specifies the role of an entity for a particular association. The entity may have another role for another association.

Note 2 to entry: XMPP has a somewhat different client/server concept.

3.2.15

compatibility mode

operation mode where the partners in an association or in an association establishment communicate using those facilities specified by this part of IEC 62351 that corresponds to the facilities specified by IEC TS 62351-4:2007

3.2.16

coordinated universal time

UTC

time-scale maintained by BIPM (International Bureau of Weights and Measures or Bureau international des poids et mesures) that forms the basis of a coordinated dissemination of standard frequencies and time signals

Note 1 to entry: UTC and Greenwich Mean Time (GMT) are two alternative time standards that for most practical purposes determine the same time.

Note 2 to entry: Specified in Rec. ITU-R TF.460-6.

Note 3 to entry: ASN.1 has two built-in types for the representation of UTC, **UTCTime** and **GeneralizedTime**. **UTCTime** has a two-digit year representation, while **GeneralizedTime** has a four-digit year representation.

3.2.17

data transfer phase

phase from the completion of the establishment of an association to the initiation of the association termination

Note 1 to entry: In some specifications, this phase is termed a session. This term is avoided here, as it is used for other purposes within the OSI architecture and within TLS.

3.2.18

E2E security

security facilities at the application layer that ensures data origin authentication and integrity end-to-end with or without confidentiality (encryption) between two entities with zero or more intermediate entities

3.2.19

end-entity public-key certificate

public-key certificate issued to an entity, which then acts as an end entity within a public-key infrastructure

 [SOURCE: ISO/IEC 9594-8:2020 | Rec. ITU-T X.509 (2019), 3.5.31] 

3.2.20

environment protocol data unit

application protocol data unit (APDU) that is carrying protocol control information for the environment protocol in addition to carrying a security protocol data unit

 **3.2.21**

error

security event that is caused by bad implementation behaviour resulting in disruption of communication 

3.2.22

internet protocol suite

set of network communications protocols and a description framework used for the Internet and similar networks

Note 1 to entry: This is commonly also known as the TCP/IP suite or the TCP/IP model.

3.2.23

native mode

scenario where the partners in an association or an association establishment apply E2E security according to this part of IEC 62351 and possibly support TLS

3.2.24

nonce

number used once, either to protect against replay attacks or as initialization vector for cryptographic algorithms

3.2.25

presentation data value

unit of information specified in an abstract syntax, which is transferred by the underlying service in an OSI operational environment

3.2.26

protected (application) protocol

application protocol that is protected by E2E security

3.2.27

protected protocol data unit

application protocol data unit (APDU) defined by a protected application protocol

 **3.2.28**

protocol control information

information exchanged between entities of a given layer, via the service provided by the next lower layer, to coordinate their joint operation 

3.2.29

public-key certificate

public key of an entity, together with some other information, rendered unforgeable by digital signature with the private key of the CA, which issued it

Note 1 to entry: A public-key certificate is often called an X.509 certificate or a digital certificate. However, such terms are ambiguous, as they could also mean attribute certificates, which are also defined by ISO/IEC 9594-8 | Rec. ITU-T X.509.

 [SOURCE: ISO/IEC 9594-8:2020 | Rec. ITU-T X.509 (2019), 3.5.58] 

3.2.30

salt

random string used to add entropy to another, possibly random value.

Note 1 to entry: Salt may also be concatenated with a password before hashing to prevent collision and to protect against replay.

3.2.31

secure protocol data unit

application protocol data unit (APDU) carrying security protocol control information and, when relevant, carrying a protected protocol data unit

3.2.32

server

entity that accepts association request from clients

Note 1 to entry: The term specifies the role of an entity for a particular association. The entity may have another role for another association.

3.2.33

transport profile

profile that represents the protocols and agreements in regards to the lower four layers of the OSI reference model

3.2.34

trust anchor

an entity that is trusted by a relying party and used for validating public-key certificates

 [SOURCE: ISO/IEC 9594-8:2020 | Rec. ITU-T X.509 (2019), 3.5.72] 

3.2.35

XML stanza

a stanza is the basic unit of meaning in XMPP. A stanza is a first-level element (at depth=1 of the stream) whose element name is "message", "presence", or "iq" and whose qualifying an XML namespace is 'jabber:client' or 'jabber:server'

[SOURCE: IETF RFC 6120:2011, 4.1]

3.3 Abbreviated terms

For the purposes of this document, the abbreviated terms given in IEC TS 62351-2 and the following apply.

ACSE	Association Control Service Element
AE	Authenticated Encryption
APDU	Application Protocol Data Unit
API	Application Programming Interface
BER	Basic Encoding Rules

CA	Certification Authority
CBC	Cipher Block Chaining
CRL	Certificate Revocation List
DER	Distinguished Encoding Rules
DHE	Ephemeral Diffie-Hellman
E2E	End-to-End
ECDHE	Elliptic Curve Ephemeral Diffie-Hellman
EnvPDU	Environment Protocol Data Unit
GCM	Galois/Counter Mode
GMAC	Galois Message Authentication Code
HKDF	HMAC-based Extract-and-Expand Key Derivation Function
HMAC	Keyed-hash Message Authentication Code
ICCP	Inter-Control Centre Communications Protocol
ICV	Integrity Check Value
IPsec	Internet Protocol security
JID	Jabber Identifier
MAC	Message Authentication Code
MMS	Manufacturing Message Specification
OCSP	Online Certificate Status Protocol
 PCI	Protocol Control Information 
PDU	Protocol Data Unit
PDV	Presentation Data Value
PPDU	Presentation Protocol Data Unit
PrPDU	Protected Protocol Data Unit
SecPDU	Security Protocol Data Unit
SPDU	Session Protocol Data Unit
TASE.2	Telecontrol Application Service Element 2
TPDU	Transport Protocol Data Unit
UTC	Coordinated Universal Time
VPN	Virtual Private Network
XER	XML Encoding Rules
XML	eXtensible Markup Language
XMPP	eXtensible Messaging and Presence Protocol
XSD	XML Schema Definition

4 Security issues addressed by this part of IEC 62351

4.1 Communications reference models

Figure 1 illustrates the OSI reference model and how an OSI protocol stack and an Internet protocol suite relate to that model.

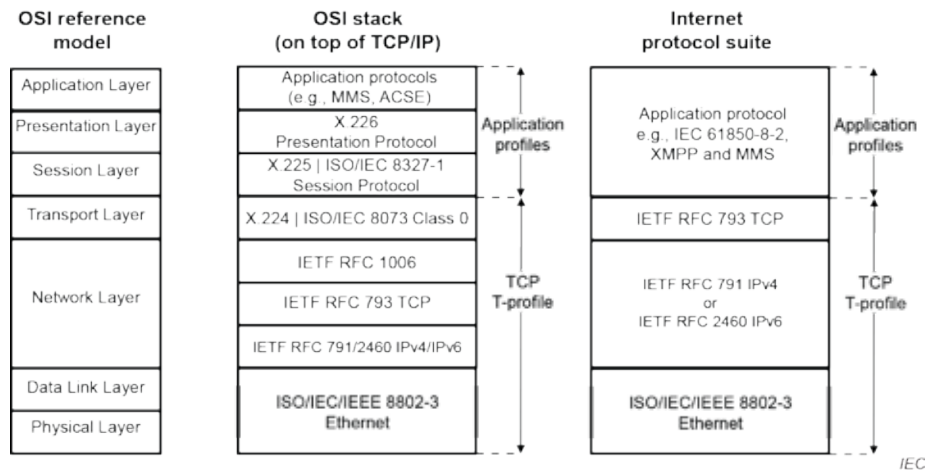


Figure 1 – Application and transport profiles (informative)

In relation to this document and in most other cases, the OSI stack is a hybrid stack allowing application based on an OSI stack, such as Manufacturing Message Specification (MMS), to communicate over a TCP/IP based network, such as the public Internet. The top four layers are OSI protocols, while the OSI network service is provided by IETF RFC 1006 on top of a TCP/IP stack.

In the Internet protocol suite, the three top OSI layers are collapsed into one application layer.

4.2 Security for application and transport profiles

The communications aspect, as relevant for this document and shown in Table 1, is discussed in terms of:

- Transport profiles: A transport Profile (T-profile) defines the set of protocols and requirements for layers 1 to 4 of the OSI Reference Model.
- Application profiles: An application profile (A-profile) defines the sets of protocols and requirements for layers 5 to 7 of the OSI Reference Model.

This is also illustrated in Figure 1.

There are two T-security specifications and two application security specifications identified by this part of IEC 62351.

In the terms of security, the T-security, if present, is typically provided by transport layer security (TLS) as defined by IETF RFC 5246.

Table 1 – Relationship between security and security measure combinations

Application Security	A-security profile	None	A-security profile	E2E security without encryption	E2E security without encryption	E2E security with encryption	E2E security with encryption
Transport Security	none	TLS	TLS	none	TLS	none	TLS
Note	Note 1	Note 2		Note 3		Note 4	
<p>For the application of the T-security, TLS is expected to be used as specified in 6.3 for the OSI operational environment. For other environments, TLS usage is outside the scope of this document and specified by the referencing standard.</p> <p>Note 1: Using the A-security profile alone without TLS results in a non-secure system.</p> <p>Note 2: Using TLS with or without the A-security profile gives a reasonable security assuming that all other security measures are observed, including use of secure TLS cipher suits and that the communication is peer-to-peer without intermediate entities. In addition to the authentication provided by TLS, the use of the A-security profile allows for authentication at the application layer of application entities.</p> <p>Note 3: Using E2E security without encryption with or without TLS provides for mutual authentication and end-to-end integrity protection and thus reasonable security providing that confidentiality is not required and that other security measures are observed. Use of TLS fulfils confidentiality (encryption) an integrity protection on transport layer hops should the E2E security be compromised.</p> <p>Note 4: As for note 3 with addition of end-to-end encryption (confidentiality).</p>							

NOTE If in an ICCP environment confidentiality is needed and no encryption, as specified by this part of IEC 62351-4, is being utilized, it is suggested to utilize some other form of encryption technology such as a VPN.

4.3 Compatibility and native modes

This document specifies two mutually exclusive modes of operation. i.e., communication is done exclusively in either of the two modes:

- The compatibility mode is a mode of operation that is compatible with IEC TS 62351-4:2007. The set of cipher suits for TLS used in this mode is specified in 6.3.4.2 and the application security specification is given in Clause 11.

The mode of operation is only relevant for MMS in an OSI operational environment by reference to ISO 9506-2:2003 and Rec ITU-T X.227:1995. This mode of operation is not recommended for new implementations.

- The native mode of operation represents the major addition to this document. It allows for extended support for TLS as specified in 6.3.4.3 and it allows for end-to-end security between two application entities with zero or more intermediate application entities as specified in Clauses 12 to 16.

4.4 Security threats countered

4.4.1 General

See IEC TS 62351-1 for a discussion on security threats and attack methods.

The listed security threats are mitigated through the appropriate implementation of the specification/recommendations found within this document.

The security threats countered depend on whether compatibility mode or native mode of operation is used.

4.4.2 Threats countered in compatibility mode

If IEC 62351-3:2018 is not employed for data to be transmitted, but the A-security profile applies, then the specific threat countered includes:

- Masquerade during association establishment.

If IEC 62351-3:2018 is employed, then, in addition to above, the specific threats countered include:

- Unauthorized modification (tampering) of information by use of digital signatures and integrity check values (ICVs), the latter is also referred to as message authentication codes (MACs).
- Theft or misuse of information by use of confidentiality (encryption).

4.4.3 Threats countered in native mode

If TLS is employed, then on the individual hops the specific threats countered include:

- Masquerade during connection establishment.
- Unauthorized modification (tampering) of information by use of digital signatures and integrity check values (ICVs).
- Theft or misuse of information by use of confidentiality (encryption).

For E2E security without encryption, the specific threat countered in the end-to-end communications includes:

- Masquerade during association establishment end-to-end.
- Unauthorized modification (tampering) both for the handshake phase and for the data transfer phase by use of digital signatures and integrity check values (ICVs) end-to-end.
- Replay countered through the use of time, association ID and sequence numbers.

For E2E security with encryption, the additional specific threat countered includes:

- Theft or misuse of information by use of confidentiality (encryption) end-to-end.

4.5 Attack methods countered

4.5.1 General

The attack methods countered depend on whether compatibility mode or native mode is used.

4.5.2 Attacks countered in compatibility mode

The following list is exclusive of the attack methods countered through the deployment of IEC 62351-3:2018, as outlined within this document:

- Man-in-the-middle: This threat is countered through the use of authentication during TLS handshake by use of digital signature and during data transfer by use of ICV.
- Tamper detection/message integrity: This attack is countered in the same way as the man-in-the-middle attack.
- Masquerading: This attack is countered in the same way as the man-in-the-middle attack.

4.5.3 Attacks countered in native mode

If TLS is employed, then on the individual hops the specific attacks countered include:

- Man-in-the-middle: This threat is countered through the use of authentication during TLS handshake by use of digital signature and during data transfer by use of ICV.

- Tamper detection/message integrity: This attack is countered in the same way as the man-in-the-middle attack.
- Masquerading: This attack is countered in the same way as the man-in-the-middle attack.

For E2E security without encryption, the specific attacks countered in the end-to-end communications includes:

- Man-in-the-middle: ^[A1] This threat is countered through the use of authentication during end-to-end association establishment by use of digital signature and during data transfer by use of ICV. ^[A1]
- Tamper detection/message integrity: This attack is countered in the same way as the man-in-the-middle attack.
- Masquerading: This attack is countered in the same way as the man-in-the-middle attack.
- Replay: This attack is countered through the use time and sequence numbers.

For E2E security with encryption, the additional specific attack countered includes:

- Theft or misuse of information by use of confidentiality (encryption) end-to-end.

4.6 Logging

It is important that care be taken to log security-related violations in a separate log whose contents are inherently secure from manipulation (e.g., modification of information or deletion of information). Implementers should strive to archive enough information so that security audit and prosecution is facilitated. The actual implementation of this recommendation is a local matter.

Relevant communications and definitions pertaining to monitoring and security logging are addressed in two separate parts of IEC 62351: IEC 62351-7 targets monitoring in the context of network management, while IEC 62351-14 addresses security logging.

5 Specific requirements

5.1 Specific requirements for ICCP/IEC 60870-6-x communication stack

This Clause is relevant and normative when this part of IEC 62351 is used in connection with ICCP also referred to as Telecontrol Application Service Element 2 (TASE.2), as defined in IEC 60870-6-503:2014 [2], IEC 60870-6-702:2014 [3] and IEC 60870-6-802:2014 [4].

The implementation of MMS for ICCP shall provide some mechanism for configuring and making use of the security capabilities. This is provided as bilateral agreements as specified in IEC 60870-6-503:2014.

In general, the following needs to be provided:

- A mechanism for configuration of public-key certificate information and the binding of that information to access authentication (e.g., the bilateral tables).
- A mechanism for configuration of the acceptable incoming transport profile for the implementation's access control mechanism. It is suggested that the following choices be provided:
 - DON'T_CARE: An MMS association may be established with or without the use of T-security.
 - NON_SECURE: would indicate that T-security shall not be used in order to allow establishment of an MMS association.
 - SECURE: would indicate that T-security shall be used in order to allow establishment of an MMS association.

- A mechanism for configuration of the application security to use in order to initiate an MMS association. It is suggested that the following choices be provided:
 - NON_SECURE: would indicate that an application security shall not be used in order to allow establishment of an MMS association.
 - SECURE: would indicate that the A-security profile as specified in Clause 11 (or IEC TS 62351-4:2007) shall be used in order to allow establishment of an MMS association.
 - END-TO-END SECURE: would indicate that E2E security shall be used in order to allow establishment of an MMS association.
- A mechanism to convey/verify the association parameters. These parameters should include address information, profile used indication (e.g., end-to-end secure, secure, or non-secure) and handshake authentication parameters.

This information shall be used, in conjunction with the configured MMS expected association values, to determine if an MMS association should be established. How the entity determines the actual acceptance is a local issue.

When having to restart a single association due to configuration changes, it is desirable that this does not require other associations to be restarted. However, some referencing specifications require a complete restart of all associations.

5.2 Specific requirements for IEC 61850

When a referencing standard of the IEC 61850 series wants to run in compatibility mode, it shall specify the application context **basic-AC** (see 11.1.4.2) in the association request. If it wants to run in native mode, it shall specify the application context **e2eMmsAC** (see 15.2.2).

6 Transport Security

6.1 General

The T-security does not specify security recommendations for TCP, IP, or Ethernet. Rather the specifications for T-security define how to apply Transport Layer Security (TLS) properly to secure traffic above the transport layer. This specification relates in part to the TLS profile defined in IEC 62351-3:2018.

6.2 Application of transport layer security (TLS)

6.2.1 General

A general profile of TLS is specified in IEC 62351-3:2018 which leaves many parameters open. Subclauses, 6.2.2 through 6.2.9, describe and define the required values and settings of these parameters for compliance with this document. The types of parameters specified include:

- a) The mandatory TLS cipher suites to be supported.
- b) The recommended specification in regards to resumption of session parameters from a previous connection based upon session run-time.
- c) The recommended specification in regards to the renegotiation of session parameters based upon session run-time.
- d) The recommended default certificate revocation list (CRL) evaluation period if CRLs are used for revocation checking.
- e) In case of using OCSP for certificate revocation checks, the handling of failures to access the OCSP responder.
- f) The handling of public-key certificate validation actions.
- g) The conformance requirements to this part of IEC 62351. The conformance statement is provided in Clause 17.

Besides the parameters already required by IEC 62351-3:2018 and specified in this clause, further specification of selected parameters is required as defined in Clause 6.3 for OSI operational environment and Clause 6.4 for the XMPP operational environment.

6.2.2 The TLS cipher suite concept

A cipher suite in TLS is a set of cryptographic algorithms for the combination of peer authentication, encryption, message authentication code (MAC), and key exchange algorithms. A cipher suite is identified by a specific cipher suite value used in the ClientHello and the ServerHello messages. These values are registered by IANA in the TLS Cipher Suite Registry.

6.2.3 TLS session resumption

An implementation that claims conformance to this specification shall support session resumption at least every two hours.

NOTE This requirement is not applicable for support of compatibility mode.

6.2.4 TLS session renegotiation

An implementation that claims conformance with this document shall support session renegotiation with at least half of the CRL update period (see also 6.2.7). The lower bound for the session renegotiation shall be 10 minutes.

NOTE This requirement protects client and server performance by preventing too many full TLS handshakes and associated public-key certificate validations.

6.2.5 Supported number of trust anchors

Implementations compliant to this specification shall support at least two different trust anchors. That requirement aligns with the certificate management described in IEC 62351-9 describing vendor and operator distributed public-key certificates.

6.2.6 Public-key certificate size

- A1** An implementation that claims conformance to this document shall support a public-key certificate size of minimum and maximum 8192 octets. It is a local issue if larger public-key certificates are supported.

In order to achieve interoperability of public-key certificates, it is necessary to set a maximum allowed size for the public-key certificates exchanged by ACSE. This size shall be limited to a maximum encoding size of 8192 octets. **A1**

An implementation that receives a public-key certificate larger than the size that it can support shall terminate the connection and shall raise a security event ("warning: session termination due to unsupported public-key certificate size").

6.2.7 Evaluation period for revocation state of public-key certificates

An implementation that claims conformance to this part of IEC 62351 shall support a CRL refresh at minimum every 24 hours. The default evaluation period for revoked public-key certificates shall be 24 hours. This evaluation period shall be configurable.

An implementation supporting OCSP for revocation check information shall cache the OCSP response no longer than 24 hours.

An inability to access the CRL provider or the OCSP responder or a locally cached CRL or OCSP response shall raise a security event ("warning: certificate revocation information unavailable").

In line with to IEC 62351-3:2018, the inability to retrieve the revocation information shall not cause the session to be terminated.

6.2.8 Public-key certificate validation

An implementation that claims conformance to this specification shall, subject to local policy, be able to terminate a connection establishment or connection renegotiation, where one of the public-key certificates used by either the client or the server is revoked or has been expired.

The refusal of a connection establishment or the termination of a connection during session renegotiation due to a revoked or expired public-key certificate should raise a security event ("incident: revoked public-key certificate"). If the public-key certificate had expired, a security event ("warning: expired public-key certificate") shall be raised.

6.2.9 Security events handling

Security event and monitoring information should be made available to the embedding infrastructure through the application of IEC 62351-7:2017 and/or IEC 62351-14. IEC 62351-7:2017 defines the handling of security monitoring information, while IEC 62351-14 specifies the handling of security warning and security incident messages.

6.3 T-security in an OSI operational environment

6.3.1 General

TLS as specified for T-security shall be used as specified by IEC 62351-3:2018 with the specified parameter set in 6.2. Subclauses 6.3.2 through 6.3.4 further specify the communication ports and cipher suites to be utilized.

6.3.2 TCP ports

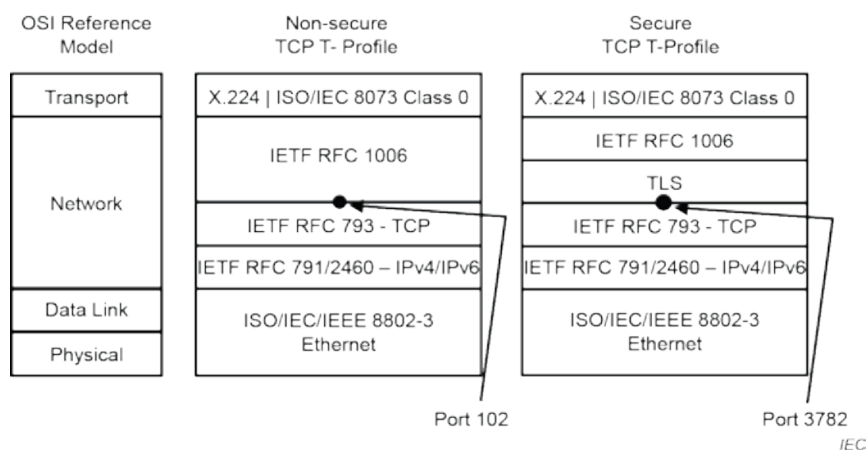


Figure 2 – T-profiles without and with TLS protection

Figure 2 shows the two relevant TCP T-Profiles. One is the standard IETF RFC 1006 T-Profile that provides no transport security. The other one shows the addition of TLS to provide transport security as specified within this document.

When there is no transport security, TCP port 102 shall be used as specified by IETF RFC 1006.

Implementations claiming conformance to this part of IEC 62351-4 shall use TCP port 3782 to indicate the use of the transport security. This port is registered by IANA as a secure ISO TP0 port.

IETF RFC 1006 only supports the use of transport class 0 of ISO/IEC 8073 | Rec. ITU-T X.224.

6.3.3 Disabling of TLS

Implementations shall permit TLS to be disabled. When disabled, the TCP port 102 shall be used.

TLS may be disabled depending on the underlying security, which may be provided through a VPN (used in this context to describe a security protocol below TLS, which may be IPsec or another) or depending on the utilized application security profile.

6.3.4 TLS cipher suites support

6.3.4.1 General

6.3.4.2 defines TLS cipher suites to be supported in compatibility mode, and 6.3.4.3 defines TLS cipher suites to be supported in native mode. Referencing specifications may add additional mandatory cipher suites.

- A1** TLS prioritizes the proposed cipher suites in the TLS handshake according to the order in the proposed cipher suite list in the ClientHello message. To accommodate a security policy it is strongly recommended to have the order of proposed cipher suites according to the local security policy. Cipher suites marked as mandatory shall be stated in the proposal list of the ClientHello message. **A1**

6.3.4.2 Mandatory and recommended cipher suites for compatibility mode

- A1** All implementations that claim conformance to IEC TS 62351-4:2007 shall support TLS_DH_DSS_WITH_AES_256_CBC_SHA at a minimum. **A1**

It is recommended that the TLS cipher suites listed in Table 2 (from IEC TS 62351-4:2007) be considered. Due to advances in cryptography, certain cipher suites are considered insecure. These are marked in the original table from IEC TS 62351-4:2007.

Table 2 – Commented recommended cipher suites from IEC TS 62351-4:2007

Key exchange		Encryption	Hash	IANA Value	Source	Support
Algorithm	Signature					
TLS_RSA_		WITH_RC4_128_	SHA	0x00,0x05	RFC 2246 (TLS 1.0)	Disallowed (RC 4 considered weak)
TLS_RSA_		WITH_3DES_ede_CBC_	SHA	0x00,0x0A	RFC 2246 (TLS 1.0)	o
TLS_DH_	DSS_	WITH_3DES_ede_CBC_	SHA	0x00,0x0D	RFC 2246 (TLS 1.0)	o
TLS_DH_	RSA_	WITH_3DES_ede_CBC_	SHA	0x00,0x10	RFC 2246 (TLS 1.0)	o
TLS_DHE_	DSS_	WITH_3DES_ede_CBC_	SHA	0x00,0x13	RFC 2246 (TLS 1.0)	o
TLS_DHE_	RSA_	WITH_3DES_ede_CBC_	SHA	0x00,0x16	RFC 2246 (TLS 1.0)	o
TLS_DH_	DSS_	WITH_AES_128_CBC_	SHA	0x00,0x30	RFC 4346 (TLS 1.1)	o
TLS_DH_	DSS_	WITH_AES_256_CBC_	SHA	0x00,0x36	RFC 4346 (TLS 1.1)	m
TLS_DH_		WITH_AES_128_CBC	SHA	0x00, 0x34	RFC 4346 (TLS 1.1)	Disallowed (anonymous)
TLS_DH_		WITH_AES_256_CBC	SHA	0x00, 0x3A	RFC 4346 (TLS 1.1)	Disallowed (anonymous)

NOTE The negotiation mechanism in TLS selects the actual cipher suite used for a particular connection based upon the configured allowed/present cipher suites.

6.3.4.3 Mandatory and recommended cipher suites for native mode

All implementations that claim conformance to the native mode shall support the mandatory cipher suites listed in Table 3.

It is recommended that the optional TLS cipher suites listed in Table 3 be considered for use. They originate from different IETF RFCs as noted in Table 3.

Table 3 – Cipher suites combinations in the context of this document

Key exchange		Encryption	Hash	IANA Value	Source	Support
Algorithm	Signature					
TLS_RSA		WITH_AES_128_CBC_	SHA256	0x00,0x3C	RFC 5246	m
TLS_DH_	RSA_	WITH_AES_128_CBC_	SHA256	0x00,0x31	RFC 5246	o
TLS_DH_	RSA_	WITH_AES_128_GCM_	SHA256	0x00,0xA0	RFC 5288 [20]	m
TLS_DHE_	RSA_	WITH_AES_128_GCM_	SHA256	0xC0,0x9E	RFC 5288 [20]	m
TLS_DH_	RSA_	WITH_AES_256_GCM_	SHA384	0x00,0xA1	RFC 5288 [20]	o
TLS_ECDHE_	RSA_	WITH_AES_128_GCM_	SHA256	0xC0,0x2F	RFC 5289 [7]	o
TLS_ECDHE_	RSA_	WITH_AES_256_GCM_	SHA384	0xC0,0x30	RFC 5289 [7]	o
TLS_ECDHE_	ECDSA_	WITH_AES_128_GCM_	SHA256	0xC0,0x23	RFC 5289 [7]	m
TLS_ECDHE_	ECDSA_	WITH_AES_256_GCM_	SHA384	0xC0,0x24	RFC 5289 [7]	o

6.4 T-security in an XMPP operational environment

TLS for T-security in an XMPP environment shall be used as specified by Clause 5 of IETF RFC 6120:2011. Subclauses 13.7.2 to 13.7.4 of this RFC provide the specification for public-key certificate handling and require the support of the TLS_RSA_WITH_AES_128_CBC_SHA cipher suite. As this cipher suite is considered less secure due to the application of SHA-1, this part of IEC 62351 instead strongly recommends the support of the TLS_RSA_WITH_AES_128_CBC_SHA256 cipher suite to be more future proof. Additionally, the specified parameter set in Clause 6.2 is recommended to be considered.

IETF RFC 7590 provides additional requirements on the XMPP use of TLS. This IETF RFC requires that the recommendations given in IETF RFC 7525 shall be followed.

Referencing standards of this document shall determine the necessary T-profile parameters.

7 Application layer security overview (informative)

7.1 General

While the T-security provides authentication, integrity and confidentiality at the transport layer, application security provides security at the application layer.

This part of IEC 62351 specifies two classes of application security capabilities:

- A peer-to-peer security specification, called the A-security profile, which is equivalent to the A-profile specified by IEC TS 62351-4:2007, only provides security for MMS based application protocols and only supports an OSI protocol stack. It is provided here, as communities such as ICCP community and as IEC 61850-8-1 implementations are using this security specification. In general, it is strongly recommended to migrate to stronger security. This security specification only provides peer authentication at the application layer during association establishment, with no cryptographic binding for the subsequent data exchange messages (data transfer phase). It does not provide for end-to-end authentication with intermediate entities and it does not provide for integrity and confidentiality. This profile should only be used together with T-security.

The specification for the A-security profile is given in Clause 11.

- End-to-end application security, named E2E security, which provide end-to-end security at the application layer with zero or more intermediate entities (while T-security only provides security on the individual hops).

E2E security can be applied in different operational environment and it can protect different protocols.

The E2E security provides end-to-end data origin authentication and message integrity during association establishment and for the subsequent data transfer phase bound to the initial authentication. E2E security can be used without or with encryption.

Although the security information is exchanged end-to-end, an intermediate entity is somewhat involved, like when it is not possible to perform the routing.

The specification for the E2E security is given in the following clauses:

- **A1** Clause 12 defines the overall model or architecture for E2E security, including how E2E security relates to an operational environment and a protected protocol. **A1**
- Clause 13 specifies the protocol for the E2E security independent of operational environment and the protected protocol.
- Clause 14 specifies procedures for the E2E security error handling.
- Clause 15 specifies the requirements for an OSI operational environment, including specific error handling.
- Clause 16 specifies the requirements for an XMPP operational environment, including specific error handling.

7.2 Description techniques

7.2.1 General

The Abstract Syntax Notation ONE (ASN.1), as specified in ISO/IEC 8824-1 | Rec. ITU-T X.680, is used for specifying the E2E security protocol. Use of ASN.1 is further discussed in 7.2.2.

The abstract syntax for the E2E security protocol is also expressed in W3C XML Schema Definition (W3C XSD) as specified in W3C XML Schema Definition Language (XSD) 1.1 Part 1: Structures [8] and in W3C XML Schema Definition Language (XSD) 1.1 Part 2: Datatypes [9]. Use of W3C XSD is further discussed in 7.2.3.

7.2.2 ASN.1 as an XML schema definition

The formal ASN.1 specification for E2E security is given in Annex B.

There are different encoding rules for an ASN.1 abstract syntax:

- a) In an OSI operational environment, including the A-security profile, this part of IEC 62351 requires the support of basic encoding rules (BER) as specified by ISO/IEC 8825-1 | Rec. ITU-T X.690.
- b) In an XMPP environment, the encoding may be based on the ASN.1 specification using the XML encoding rules (XER) or more precise, the **A1** EXTENDED-XER **A1** as specified by ISO/IEC 8825-4 | Rec. ITU-T X.693.
- c) According to ISO/IEC 9594-8 | Rec. ITU-T X.509, public-key certificates and attribute certificates shall be encoded using distinguished encoding rules (DER). DER is BER with some restrictions that remove all encoding options. An implementation shall check that public-key and attribute certificates are DER encoded. **A1** DER is also specified by ISO/IEC 8825-1 | Rec. ITU-T X.690. **A1**

7.2.3 W3C XML Schema Definition (W3C XSD)

W3C XSD is an alternative abstract syntax that may be used for XML encoding of PDUs.

If XML encoding is required, either W3C XSD or ASN.1 EXTENDED-XER shall be supported.

As specified in 7.2.2 c), public-key and attribute certificates shall be encoded in ASN.1 DER. An implementation using XSD shall be able to validate a public-key or attribute certificate encoded in DER. An implementation using W3C XSD shall also be aware that all PKI related communications (CRL retrieval, OCSP access, etc.) require ASN.1 BER encoding.

The W3C XSD for the E2E security is given in Annex C.

7.2.4 XML namespace

When XML encoding is required, the E2E security and the virtual-API (see [A1](#) 16.5 [A1](#)) share a common XML namespace identified as http://www.iec.ch/62351/2018/E2E_4.

8 Use of cryptographic algorithms

8.1 General

This document makes extensive use of cryptographic algorithms for providing the required security. This Clause introduces relevant cryptographic algorithms to be used by either the A-security profile or E2E security. Clause 11 specifies the cryptographic algorithm to be used for the A-security profile, while Clause 13 specifies the cryptographic algorithms to be used for E2E security.

ISO/IEC 9594-8 | Rec. ITU-T X.509 defines different ASN.1 constructs for formal specifications of cryptographic algorithms. These definitions are copied into 8.2 for easy reference. 8.3 to 8.8 list cryptographic algorithms as defined by other specifications, such as IETF RFCs. These algorithms are considered relevant for this document.

8.2 Basic cryptographic definitions

```
ALGORITHM ::= CLASS {
    &Type          OPTIONAL,
    &id             OBJECT IDENTIFIER UNIQUE }
WITH SYNTAX {
    [PARMS         &Type]
    IDENTIFIED BY &id }
```

The **ALGORITHM** ASN.1 information object class is used for the formal specifications of cryptographic algorithms.

```
AlgorithmIdentifier{ALGORITHM:SupportedAlgorithms} ::= SEQUENCE {
    algorithm  ALGORITHM.&id({SupportedAlgorithms}),
    parameters ALGORITHM.&Type({SupportedAlgorithms}{@algorithm}) OPTIONAL,
    ... }
```

The **AlgorithmIdentifier** parameterized data type gives the general syntax for a cryptographic algorithm as defined using the **ALGORITHM** ASN.1 information object class.

The cryptographic algorithms are under continuous development. This part of IEC 62351 is open for new and more secure algorithms. The following algorithm specifications are those that are considered safe to be used for an extended period. Referencing specifications and/or implementers' agreements may add to the list of cryptographic algorithms to be used for specific environments.

ASN.1 has a concept of ASN.1 object sets that allows a specification to specify a supported set of cryptographic algorithms for a specific purpose as illustrated by the example below:

```
AlgorithmSet ALGORITHM ::= {
    algorithm-ID1 |
    algorithm-ID2 |
    - - -
    algorithm-IDn,
    ... }
```

[A1](#) A defined set represents a set of cryptographic algorithms relevant for a particular situation.

The extension mark (...) will cause an ASN.1 tool to accept any cryptographic object, whether it identifies a cryptographic algorithm for the specific purpose or not. A referencing specification or an implementers' agreement may remove the extension mark and/or add additional algorithms. ^{A1}

8.3 Public-key algorithms

Two public-key algorithms are introduced here:

```
rsaEncryptionAlgorithm ALGORITHM ::= {
    PARMS          NULL
    IDENTIFIED BY rsaEncryption }

rsaEncryption      OBJECT IDENTIFIER ::= { iso(1) member-body(2) us(840)
    rsadsi(113549) pkcs(1) pkcs-1(1) rsaEncryption(1) }
```

IETF RFC 4055 gives the formal specification for the `rsaEncryptionAlgorithm` public-key algorithms.

```
ecPublicKey ALGORITHM ::= {
    PARMS          OBJECT IDENTIFIER
    IDENTIFIED BY id-ecPublicKey }

id-ecPublicKey     OBJECT IDENTIFIER ::= { iso(1) member-body(2) us(840)
    ansi-x9-62(10045) keyType(2) 1 }      -- IETF RFC 5480
```

IETF RFC 5480 gives the formal specification for the `ecPublicKey` public-key algorithm.

The `ecPublicKey` public-key algorithm requires an identification of an elliptic curve as the parameter. A particular elliptic curve is identified by an object identifier. The following elliptic curves are relevant for this part of IEC 62351.

```
secp256r1          OBJECT IDENTIFIER ::= { iso(1) member-body(2) us(840)
    ansi-x9-62(10045) curves(3) prime(1) 7 }
```

IETF RFC 5480 gives the formal specification for the `secp256r1` elliptic curve.

```
brainpoolP256r1    OBJECT IDENTIFIER ::= { iso(1) identified-organization(3)
    teletrust(36) algorithm(3) signature-algorithm(3) ecSign(2) 8 ellipticCurve(1)
    versionOne(1) 7 }
```

IETF RFC 5639 gives the formal specification for the `brainpoolP256r1` elliptic curve.

8.4 Hash algorithms

A single hash algorithm is introduced here:

```
sha256 ALGORITHM ::= { -- IETF RFC 5754
    IDENTIFIED BY id-sha256 }

id-sha256 OBJECT IDENTIFIER ::= { joint-iso-itu-t(2) country(16) us(840)
    organization(1) gov(101) csor(3) nistAlgorithm(4) hashalgs(2) 1 }
```

^{A1} IETF RFC 5754 gives the formal specification for the `sha256` hash algorithm. ^{A1}

8.5 Signature algorithms

A signature algorithm is a combination of a hash algorithm and a public-key algorithm to be applied when generating and ^{A1} verifying ^{A1} digital signatures.

The following signature algorithms are relevant for this document.