

OPC Unified Architecture

Specification

Part 2: Security Model

Release 1.02

April 17, 2013

Specification Type:	Industry Standard Specification	Comments:	
Title:	OPC Unified Architecture	Date:	April 17, 2013
	Part 2 :Security Model		
Version:	Release 1.02	Software:	MS-Word
		Source:	OPC UA Part 2 - Security Model 1.02 Specification.doc
Author:	OPC Foundation	Status:	Release

CONTENTS

	Page
1 Scope	1
2 Reference documents	1
2.1 References	1
3 Terms, definitions, and abbreviations	3
3.1 Terms and definitions	3
3.2 Abbreviations	7
3.3 Conventions	7
3.3.1 Conventions for security model figures	7
4 OPC UA Security architecture	7
4.1 OPC UA Security Environment	7
4.2 Security Objectives	8
4.2.1 Overview	8
4.2.2 Authentication	8
4.2.3 Authorization	8
4.2.4 Confidentiality	8
4.2.5 Integrity	9
4.2.6 Auditability	9
4.2.7 Availability	9
4.3 Security Threats to OPC UA Systems	9
4.3.1 Overview	9
4.3.2 Message Flooding	9
4.3.3 Eavesdropping	9
4.3.4 Message Spoofing	10
4.3.5 Message Alteration	10
4.3.6 Message Replay	10
4.3.7 Malformed Messages	10
4.3.8 Server Profiling	10
4.3.9 Session Hijacking	10
4.3.10 Rogue Server	11
4.3.11 Compromising User Credentials	11
4.4 OPC UA Relationship to Site Security	11
4.5 OPC UA Security Architecture	12
4.6 Security Policies	13
4.7 Security Profiles	14
4.8 User Authorization	14
4.9 User Authentication	14
4.10 Application Authentication	14
4.11 OPC UA Security Related Services	15
4.12 Auditing	15
4.12.1 General	15
4.12.2 Single Client and Server	16
4.12.3 Aggregating Server	17
4.12.4 Aggregation through a non-auditing Server	18
4.12.5 Aggregating Server with service distribution	19

5	Security Reconciliation	20
5.1	Reconciliation of Threats with OPC UA Security Mechanisms	20
5.1.1	Overview.....	20
5.1.2	Message Flooding	20
5.1.3	Eavesdropping	20
5.1.4	Message Spoofing	20
5.1.5	Message Alteration	21
5.1.6	Message Replay	21
5.1.7	Malformed Messages	21
5.1.8	Server Profiling	21
5.1.9	Session Hijacking	21
5.1.10	Rogue Server.....	21
5.1.11	Compromising User Credentials	21
5.2	Reconciliation of Objectives with OPC UA Security Mechanisms.....	21
5.2.1	Overview.....	21
5.2.2	Authentication.....	22
5.2.3	Authorization.....	22
5.2.4	Confidentiality.....	22
5.2.5	Integrity	22
5.2.6	Auditability	22
5.2.7	Availability	23
6	Implementation and Deployment considerations.....	23
6.1	Overview	23
6.2	Appropriate Timeouts:.....	23
6.3	Strict Message Processing.....	23
6.4	Random Number Generation.....	23
6.5	Special and Reserved Packets.....	23
6.6	Rate Limiting and Flow Control	23
6.7	Administrative Access.....	24
6.8	Alarm related guidance	24
6.9	Program Access	24
6.10	Audit event management.	24
6.11	Certificate Management.....	25

FIGURES

Figure 1 - OPC UA Network Model	8
Figure 2 – OPC UA Security Architecture	12
Figure 3 – Simple Servers	16
Figure 4 – Aggregating Servers	17
Figure 5 – Aggregation with a Non-Auditing Server	18
Figure 6 – Aggregate Server with Service Distribution	19
Figure 7 - Manual Certificate Handling	25
Figure 8 - CA Certificate Handling	26
Figure 9 - Certificate handling	Error! Bookmark not defined.

TABLES

No table of figures entries found.

OPC FOUNDATION

UNIFIED ARCHITECTURE –

FOREWORD

This specification is the specification for developers of OPC UA applications. The specification is a result of an analysis and design process to develop a standard interface to facilitate the development of applications by multiple vendors that shall inter-operate seamlessly together.

Copyright © 2006-2013, OPC Foundation, Inc.

AGREEMENT OF USE

COPYRIGHT RESTRICTIONS

Any unauthorized use of this specification may violate copyright laws, trademark laws, and communications regulations and statutes. This document contains information which is protected by copyright. All Rights Reserved. No part of this work covered by copyright herein may be reproduced or used in any form or by any means--graphic, electronic, or mechanical, including photocopying, recording, taping, or information storage and retrieval systems--without permission of the copyright owner.

OPC Foundation members and non-members are prohibited from copying and redistributing this specification. All copies must be obtained on an individual basis, directly from the OPC Foundation Web site <http://www.opcfoundation.org>.

PATENTS

The attention of adopters is directed to the possibility that compliance with or adoption of OPC specifications may require use of an invention covered by patent rights. OPC shall not be responsible for identifying patents for which a license may be required by any OPC specification, or for conducting legal inquiries into the legal validity or scope of those patents that are brought to its attention. OPC specifications are prospective and advisory only. Prospective users are responsible for protecting themselves against liability for infringement of patents.

WARRANTY AND LIABILITY DISCLAIMERS

WHILE THIS PUBLICATION IS BELIEVED TO BE ACCURATE, IT IS PROVIDED "AS IS" AND MAY CONTAIN ERRORS OR MISPRINTS. THE OPC FOUNDATION MAKES NO WARRANTY OF ANY KIND, EXPRESSED OR IMPLIED, WITH REGARD TO THIS PUBLICATION, INCLUDING BUT NOT LIMITED TO ANY WARRANTY OF TITLE OR OWNERSHIP, IMPLIED WARRANTY OF MERCHANTABILITY OR WARRANTY OF FITNESS FOR A PARTICULAR PURPOSE OR USE. IN NO EVENT SHALL THE OPC FOUNDATION BE LIABLE FOR ERRORS CONTAINED HEREIN OR FOR DIRECT, INDIRECT, INCIDENTAL, SPECIAL, CONSEQUENTIAL, RELIANCE OR COVER DAMAGES, INCLUDING LOSS OF PROFITS, REVENUE, DATA OR USE, INCURRED BY ANY USER OR ANY THIRD PARTY IN CONNECTION WITH THE FURNISHING, PERFORMANCE, OR USE OF THIS MATERIAL, EVEN IF ADVISED OF THE POSSIBILITY OF SUCH DAMAGES.

The entire risk as to the quality and performance of software developed using this specification is borne by you.

RESTRICTED RIGHTS LEGEND

This Specification is provided with Restricted Rights. Use, duplication or disclosure by the U.S. government is subject to restrictions as set forth in (a) this Agreement pursuant to DFARs 227.7202-3(a); (b) subparagraph (c)(1)(i) of the Rights in Technical Data and Computer Software clause at DFARs 252.227-7013; or (c) the Commercial Computer Software Restricted Rights clause at FAR 52.227-19 subdivision (c)(1) and (2), as applicable. Contractor / manufacturer are the OPC Foundation, 16101 N. 82nd Street, Suite 3B, Scottsdale, AZ, 85260-1830

COMPLIANCE

The OPC Foundation shall at all times be the sole entity that may authorize developers, suppliers and sellers of hardware and software to use certification marks, trademarks or other special designations to indicate compliance with these materials. Products developed using this specification may claim compliance or conformance with this specification if and only if the software satisfactorily meets the certification requirements set by the OPC Foundation. Products that do not meet these requirements may claim only that the product was based on this specification and must not claim compliance or conformance with this specification.

TRADEMARKS

Most computer and software brand names have trademarks or registered trademarks. The individual trademarks have not been listed here.

GENERAL PROVISIONS

Should any provision of this Agreement be held to be void, invalid, unenforceable or illegal by a court, the validity and enforceability of the other provisions shall not be affected thereby.

This Agreement shall be governed by and construed under the laws of the State of Minnesota, excluding its choice of law rules.

This Agreement embodies the entire understanding between the parties with respect to, and supersedes any prior understanding or agreement (oral or written) relating to, this specification.

ISSUE REPORTING

The OPC Foundation strives to maintain the highest quality standards for its published specifications, hence they undergo constant review and refinement. Readers are encouraged to report any issues and view any existing errata here: <http://www.opcfoundation.org/errata>.

Revision 1.02 Highlights

This revision includes various minor clarifications and additions. The following table includes the Mantis issues resolved with this revision.

Mantis ID	Summary	Resolution
2171	Administrator boundary	Added text describing multiple administrative roles.
2133	Need to state that only validated Crypto Algorithms will be used.	Added text as requested.
2231	Security related terms are missing definitions	Added definition of security related terms and added text to make sure they are use in this part.
2232	Certification vs security	Added text to indicate that security policies are also verified as part of certification.
2233	Security algorithm expiration	Added a reference to NIST documentation that describes the life time of security policies and also added text indicating that polices have life time and should be reviewed
2234	Audit records should be restricted to administrators	Added best practice to indicate that audit records should be restricted
2235	Behaviour of server if multiple bad connection requests are encountered	Added best practice to indicate recommended behaviour when encountering a DOS attack
2236	Alarm / Dialog related issues	Added text indicating best practice regarding alarms /dialog and conditions.
2237	Program related issues	Added text indicating best practice regarding program related activity
2238	Audit management	Added text describing ideal audit management system.

OPC Unified Architecture Specification

Part 2: Security Model

1 Scope

This specification describes the OPC Unified Architecture (OPC UA) security model. It describes the security threats of the physical, hardware, and software environments in which OPC UA is expected to run. It describes how OPC UA relies upon other standards for security. It provides definition of common security terms that are used in this and other parts of the OPC UA specification. It gives an overview of the security features that are specified in other parts of the OPC UA specification. It references services, mappings, and *Profiles* that are specified normatively in other parts of this multi-part specification. It provides suggestions or best practice guidelines on implementing security. This part of the specification is informative rather than normative. Any seeming ambiguity between this part and one of the normative parts does not remove or reduce the requirement specified in the normative part.

Note that there are many different aspects of security that have to be addressed when developing applications. However since OPC UA specifies a communication protocol, the focus is on securing the data exchanged between applications. This does not mean that an application developer can ignore the other aspects of security like protecting persistent data against tampering. It is important that the developer look into all aspects of security and decide how they can be addressed in the application.

This Part 2 is directed to readers who will develop OPC UA *Client* or *Server* applications or implement the OPC UA services layer. It is also for end Users that wish to understand the various security features and functionality provided by OPC UA. It also offers some suggestions that can be applied when deploying systems. These suggestions are generic in nature since the details would depend on the actual implementation of the *OPC UA Applications* and the choices made for the site security.

It is assumed that the reader is familiar with Web Services and XML/SOAP. Information on these technologies can be found in SOAP Part 1: and SOAP Part 2.

2 Reference documents

2.1 References

Part 1: OPC UA Specification: Part 2 – Security Model

<http://www.opcfoundation.org/UA/Part1/>

Part 3: OPC UA Specification: Part 3 – Address Space Model

<http://www.opcfoundation.org/UA/Part3/>

Part 4: OPC UA Specification: Part 4 – Services

<http://www.opcfoundation.org/UA/Part4/>

Part 5: OPC UA Specification: Part 5 – Information Model

<http://www.opcfoundation.org/UA/Part5/>

Part 6: OPC UA Specification: Part 6 – Mappings

<http://www.opcfoundation.org/UA/Part6/>

Part 7: OPC UA Specification: Part 7 – Profiles

<http://www.opcfoundation.org/UA/Part7/>

Part 12: OPC UA Specification: Part 12 – Discovery

<http://www.opcfoundation.org/UA/Part12/>

SOAP Part 1: SOAP Version 1.2 Part 1: Messaging Framework

<http://www.w3.org/TR/soap12-part1/>

SOAP Part 2: SOAP Version 1.2 Part 2: Adjuncts

<http://www.w3.org/TR/soap12-part2/>

XML Encryption: XML Encryption Syntax and Processing

<http://www.w3.org/TR/xmlenc-core/>

XML Signature:: XML-Signature Syntax and Processing

<http://www.w3.org/TR/xmldsig-core/>

WS Security: SOAP Message Security 1.1

<http://www.oasis-open.org/committees/download.php/16790/wss-v1.1-spec-os-SOAPMessageSecurity.pdf>

WS Addressing: Web Services Addressing (WS-Addressing)

<http://www.w3.org/Submission/ws-addressing/>

WS Trust: Web Services Trust Language (WS-Trust)

<http://specs.xmlsoap.org/ws/2005/02/trust/WS-Trust.pdf>

WS Secure Conversation: Web Services Secure Conversation Language (WS-SecureConversation)

<http://specs.xmlsoap.org/ws/2005/02/sc/WS-SecureConversation.pdf>

SSL/TLS: RFC 2246: The TLS Protocol Version 1.0

<http://www.ietf.org/rfc/rfc2246.txt>

X509: X.509 Public Key Certificate Infrastructure

<http://www.itu.int/rec/T-REC-X.509-200003-I/e>

HTTP: RFC 2616: Hypertext Transfer Protocol - HTTP/1.1

<http://www.ietf.org/rfc/rfc2616.txt>

HTTPS: RFC 2818: HTTP Over TLS

<http://www.ietf.org/rfc/rfc2818.txt>

IS Glossary: Internet Security Glossary

<http://www.ietf.org/rfc/rfc2828.txt>

NIST 800-12: Introduction to Computer Security

<http://csrc.nist.gov/publications/nistpubs/800-12/>

NIST 800-57: Part 3: Application-Specific Key Management Guidance

http://csrc.nist.gov/publications/nistpubs/800-57/sp800-57_PART3_key-management_Dec2009.pdf

NERC CIP: CIP 002-1 through CIP 009-1, by North-American Electric Reliability Council

<http://www.nerc.com/page.php?cid=2|20>

IEC 62351: Data and Communications Security

http://www.iec.ch/heb/d_md doc-e050507.htm

SPP-ICS: System Protection Profile – Industrial Control System, by Process Control Security Requirements Forum (PCSRF)

<http://www.isd.mel.nist.gov/projects/processcontrol/SPP-ICSv1.0.pdf>

SHA-1: Secure Hash Algorithm RFC

<http://tools.ietf.org/html/rfc3174>

PKI: Public Key Infrastructure article in Wikipedia

http://en.wikipedia.org/wiki/Public_key_infrastructure

X509 PKI: Internet X.509 Public Key Infrastructure

<http://www.ietf.org/rfc/rfc3280.txt>

3 Terms, definitions, and abbreviations

3.1 Terms and definitions

For the purposes of this document, the terms and definitions given in Part 1 as well as the following apply.

3.1.1

Application Instance

an individual installation of a program running on one computer.

NOTE: There can be several Application Instances of the same application running at the same time on several computers or possibly the same computer.

3.1.2

Application Instance Certificate

a *Digital Certificate* of an individual *Application Instance* that has been installed in an individual host.

NOTE: Different installations of one software product would have different Application Instance Certificates.

3.1.3

Asymmetric Cryptography

a *Cryptography* method that uses a pair of keys, one that is designated the *Private Key* and kept secret, the other called the *Public Key* that is generally made available.

NOTE: 'Asymmetric Cryptography, also known as "public-key cryptography". In an Asymmetric Encryption algorithm when an entity "A" requires Confidentiality for data sent to entity "B", then entity "A" encrypts the data with a Public Key provided by entity "B". Only entity "B" has the matching Private Key that is needed to decrypt the data. In an asymmetric Digital Signature algorithm when an entity "A" requires message Integrity or to provide Authentication for data sent to entity "B", entity A uses its Private Key to sign the data. To verify the signature, entity B uses the matching Public Key that entity A has provided. In an asymmetric key agreement algorithm, entity A and entity B each send their own Public Key to the other entity. Then each uses their own Private Key and the other's Public Key to compute the new key value.' according to IS Glossary.

3.1.4

Asymmetric Encryption

the mechanism used by *Asymmetric Cryptography* for encrypting data with the *Public Key* of an entity and for decrypting data with the associated *Private Key*.

3.1.5

Asymmetric Signature

the mechanism used by *Asymmetric Cryptography* for signing data with the *Private Key* of an entity and for verifying the data's signature with the associated *Public Key*.

3.1.6

Auditability

a security objective that assures that any actions or activities in a system can be recorded.

3.1.7

Auditing

the tracking of actions and activities in the system, including security related activities where *Audit* records can be used to review and verify system operations.

3.1.8 Authentication

a security objective that assures the identity of an entity such as a *Client*, *Server*, or user can be verified.

3.1.9 Authorization

the ability to grant access to a system resource.

3.1.10 Availability

a security objective that assures a system is running normally; meaning no services have been compromised in such a way to become unavailable or severely degraded.

3.1.11 Certificate Authority

an entity that can issue *Digital Certificates*, also known as a CA.

Note: The *Digital Certificate* certifies the ownership of a Public Key by the named subject of the *Certificate*. This allows others (relying parties) to rely upon signatures or assertions made by the Private Key that corresponds to the *Public Key* that is certified. In this model of trust relationships, a CA is a trusted third party that is trusted by both the subject (owner) of the *Certificate* and the party relying upon the *Certificate*. *Certificate Authorities* are characteristic of many Public Key infrastructure (PKI) schemes

3.1.12 CertificateStore

persistent location where *Certificates* and *Certificate* revocation lists (CRLs) are stored.

Note: It maybe a disk resident file structure or for Windows platforms it may be a Windows registry location.

3.1.13 Confidentiality

a security objective that assures the protection of data from being read by unintended parties.

3.1.14 Cryptography

transforming clear, meaningful information into an enciphered, unintelligible form using an algorithm and a key.

3.1.15 Cyber Security Management System (CSMS)

a program designed by an organization to maintain the security of the entire organization's assets to an established level of *Confidentiality*, *Integrity*, and *Availability*, whether they are on the business side or the industrial automation and control systems side

3.1.16 Digital Certificate

a structure that associates an identity with an entity such as a user, a product or an *Application Instance* where the *Certificate* has an associated asymmetric key pair which can be used to authenticate that the entity does possess the *Private Key*.

3.1.17 Digital Signature

a value computed with a cryptographic algorithm and appended to data in such a way that any recipient of the data can use the signature to verify the origin and *Integrity*.

3.1.18 Hash Function

an algorithm such as SHA-1 for which it is computationally infeasible to find either a data object that maps to a given hash result (the "one-way" property) or two data objects that map to the same hash result (the "collision-free" property) , see IS Glossary

3.1.19 Hashed Message Authentication Code (HMAC)

a *MAC* that has been generated using an iterative *Hash Function*.

3.1.20 Integrity

a security objective that assures that information has not been modified or destroyed in an unauthorized manner, see IS Glossary

3.1.21 Key Exchange Algorithm

a protocol used for establishing a secure communication path between two entities in an unsecured environment whereby both entities apply a specific algorithm to securely exchange secret keys that are used for securing the communication between them.

NOTE: A typical example of a Key Exchange Algorithm is the SSL Handshake Protocol specified in SSL/TLS.

3.1.22 Message Authentication Code (MAC)

a short piece of data that results from an algorithm that uses a secret key (see *Symmetric Cryptography*) to hash a *Message* whereby the receiver of the *Message* can check against alteration of the *Message* by computing a *MAC* that should be identical using the same *Message* and secret key.

3.1.23 Message Signature

a *Digital Signature* used to ensure the *Integrity* of *Messages* sent between two entities.

NOTE: There are several ways to generate and verify Message Signatures however they can be categorized as symmetric (See Clause 3.1.34) and asymmetric (See Clause 3.1.5).

3.1.24 Non-Repudiation

strong and substantial evidence of the identity of the signer of a *Message* and of *Message Integrity*, sufficient to prevent a party from successfully denying the original submission or delivery of the *Message*.

3.1.25 Nonce

a random number that is used once typically by algorithms that generate security keys.

3.1.26 OPC UA Application

an OPC UA *Client*, which calls OPC UA services, or an OPC UA *Server*, which performs those services.

3.1.27 Private Key

the secret component of a pair of cryptographic keys used for *Asymmetric Cryptography*.

3.1.28**Public Key**

the publicly-disclosed component of a pair of cryptographic keys used for *Asymmetric Cryptography*, see IS Glossary

3.1.29**Public Key Infrastructure (PKI)**

the set of hardware, software, people, policies, and procedures needed to create, manage, store, distribute, and revoke *Digital Certificates* based on *Asymmetric Cryptography*.

NOTE: 'The core PKI functions are to register users and issue their public-key Certificates, to revoke Certificates when required, and to archive data needed to validate Certificates at a much later time. Key pairs for data Confidentiality may be generated by a Certificate authority (CA); it is a good idea to require a Private Key owner to generate their own key pair as it improves security because the Private Key would never be transmitted according to IS Glossary. See PKI and X509 PKI for more details on Public Key Infrastructures.

3.1.30**Rivest-Shamir-Adleman (RSA)**

an algorithm for *Asymmetric Cryptography*, invented in 1977 by Ron Rivest, Adi Shamir, and Leonard Adleman, see IS Glossary

3.1.31**Secure Channel**

in OPC UA, a communication path established between an OPC UA *Client* and *Server* that have authenticated each other using certain OPC UA services and for which security parameters have been negotiated and applied.

3.1.32**Symmetric Cryptography**

a branch of cryptography involving algorithms that use the same key for two different steps of the algorithm (such as encryption and decryption, or Signature creation and signature verification), see IS Glossary

3.1.33**Symmetric Encryption**

the mechanism used by *Symmetric Cryptography* for encrypting and decrypting data with a cryptographic key shared by two entities.

3.1.34**Symmetric Signature**

the mechanism used by *Symmetric Cryptography* for signing data with a *cryptographic key* shared by two entities.

NOTE: The signature is then validated by generating the signature for the data again and comparing these two signatures. If they are the same then the signature is valid, otherwise either the key or the data is different from the two entities. Clause 3.1.19 defines a typical example for an algorithm that generates Symmetric Signatures.

3.1.35**TrustList**

a list of *Certificates* that an application has been configured to trust.

3.1.36**Transport Layer Security (TLS)**

a standard protocol for creating *Secure Channels* over IP based networks.

3.1.37**X.509 Certificate**

a *Digital Certificate* in one of the formats defined by X.509 v1, 2, or 3.

NOTE: An X.509 Certificate contains a sequence of data items and has a Digital Signature computed on that sequence.

3.2 Abbreviations

AES	Advanced Encryption Standard
CA	Certificate Authority
CRL	Certificate Revocation List
CSMS	Cyber Security Management System
DNS	Domain Name System
DSA	Digital Signature Algorithm
ECDH	Elliptic Curve Diffie-Hellman
ECDSA	Elliptic Curve Digital Signature Algorithm
HMAC	Hash-based Message Authentication Code
PKI	Public Key Infrastructure
RSA	public key algorithm for signing or encryption, Rivest, Shamir, Adleman
SHA	Secure Hash Algorithm (Multiple versions exist SHA1, SHA256,...)
SOAP	Simple Object Access Protocol
SSL	Secure Sockets Layer
TLS	Transport Layer Security
UA	Unified Architecture
URI	Uniform Resource Identifier
XML	Extensible Mark-up Language

3.3 Conventions

3.3.1 Conventions for security model figures

The figures in this document do not use any special conventions. Any conventions used in a particular figure are explained for that figure.

4 OPC UA Security architecture

4.1 OPC UA Security Environment

OPC UA is a protocol used between components in the operation of an industrial facility at multiple levels: from high-level enterprise management to low-level direct process control of a device. The use of OPC UA for enterprise management involves dealings with customers and suppliers. Such a system may be an attractive target for industrial espionage or sabotage, and may also be exposed to threats through untargeted malware such as worms circulating on public networks. Disruption of communications at the process control could result in financial losses, affect employee and public safety, or cause environmental damage.

OPC UA will be deployed in a diverse range of operational environments with varying assumptions about threats and accessibility, and with a variety of security policies and enforcement regimes. Therefore, OPC UA provides a flexible set of security mechanisms as shown in Figure 1. Some OPC UA *Clients* and *Servers* are on the same host and can be easily protected from external attack. Some *Clients* and *Servers* are on different hosts in the same operations network and might be protected by the security boundary protections that separate the operations network from external connections. Some OPC UA *Applications* run in relatively open environments where users and applications might be difficult to control. Other applications are embedded in control systems that have no direct electronic connection to external systems.

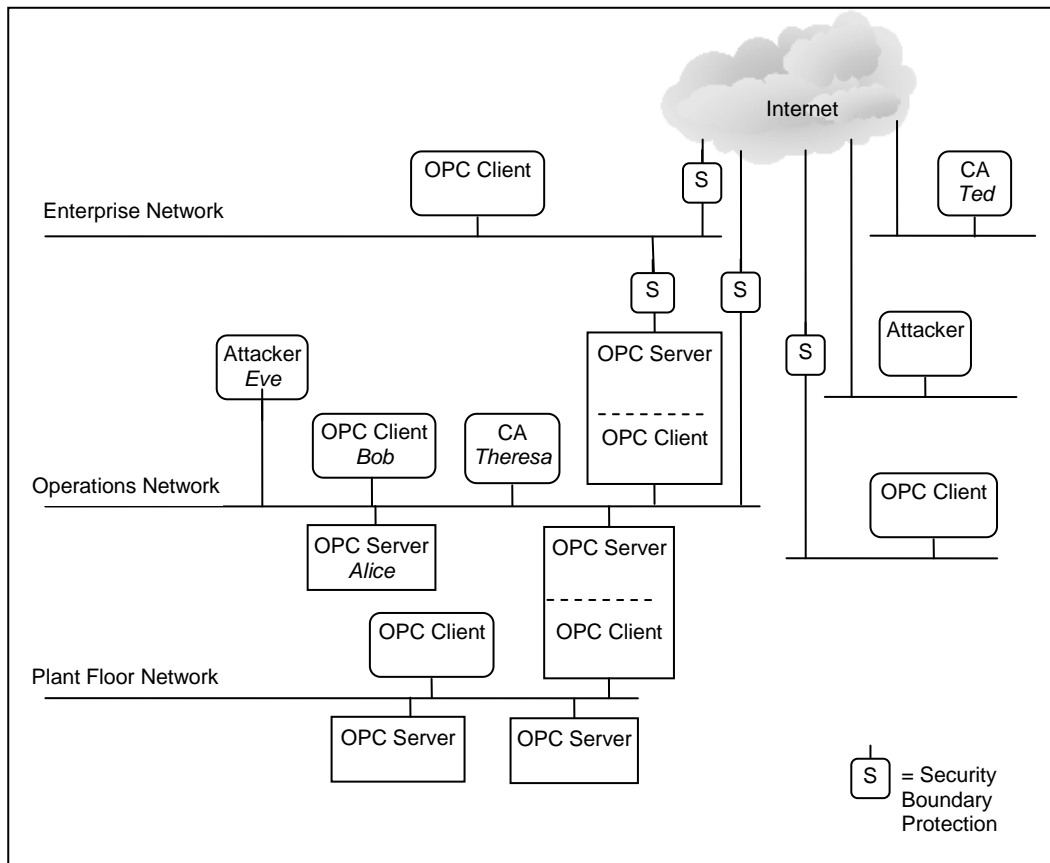


Figure 1 - OPC UA Network Model

4.2 Security Objectives

4.2.1 Overview

Fundamentally, information system security reduces the risk of damage from attacks by identifying the threats to the system, identifying the system's vulnerabilities to these threats, and providing countermeasures. The countermeasures reduce vulnerabilities directly, counteract threats, or recover from successful attacks.

Industrial automation system security is achieved by meeting a set of objectives. These objectives have been refined through many years of experience in providing security for information systems in general and they remain quite constant despite the ever-changing set of threats to systems. They are described in the following sub-clauses of Clause 4.2, and Clause 5.2 reconciles these objectives against the OPC UA functions. Clause 6 offers additional best practice guidelines to *Client* and *Server* developers or those that deploy *OPC UA Applications*.

4.2.2 Authentication

Entities such as clients, *Servers*, and users should prove their identities. *Authentication* can be based on something the entity is, has, or knows.

4.2.3 Authorization

The access to read, write, or execute resources should be authorized for entities that have a need for that access within the requirements of the system. *Authorization* can be as coarse-grained as allowing or disallowing a *Client* to access a *Server* or it could be much finer grained such as allowing specific actions on specific information items by specific users.

4.2.4 Confidentiality

Data must be protected from passive attacks such as eavesdropping, or whether the data is being transmitted in memory, or stored. To provide *Confidentiality*, data encryption algorithms using

special secrets for securing data are used along with *Authentication* and *Authorization* mechanisms for accessing that secret.

4.2.5 Integrity

Receivers must receive the same information that the original sender sent, without the data being changed during transmission.

4.2.6 Auditability

Actions taken by a system must be recorded to provide evidence to stakeholders that:

- the system works as intended (successful actions are tracked)
- to identify the initiator of certain actions (user activity is tracked)
- attempts to compromise the system were denied (unsuccessful actions are tracked).

4.2.7 Availability

Availability is impaired when the execution of software (that needs to run) is turned off, or when the software or communication system is overwhelmed by processing input. Impaired *Availability* in OPC UA can appear as slowing down of *Subscription* performance or the inability to add sessions for example.

4.3 Security Threats to OPC UA Systems

4.3.1 Overview

OPC UA provides countermeasures to resist threats to the security of the information that is communicated. The following sub-clauses of Clause 4.3 list the currently known threats to environments in which OPC UA will be deployed, and Clause 5.1 reconciles these threats against the OPC UA functions.

4.3.2 Message Flooding

An attacker can send a large volume of *Messages* (or a single *Message* that contains a large number of requests) with the goal of overwhelming the OPC UA *Server* or dependent components such as CPU, TCP/IP stack, Operating System, or the File System. Flooding attacks can be conducted at multiple layers including OPC UA, SOAP, [HTTP] or TCP.

Message flooding attacks can use both well-formed and malformed *Messages*. In the first scenario the attacker could be a malicious person using a legitimate *Client* to flood the *Server* with requests. Two cases exist, one in which the *Client* does not have a session with the *Server* and one in which it does. *Message* flooding may impair the ability to establish OPC UA sessions, or terminate an existing session. In the second scenario an attacker could use a malicious *Client* that floods an OPC UA *Server* with malformed *Messages* in order to exhaust the *Server's* resources.

In general, *Message* flooding may impair the ability to communicate with an OPC UA entity and result in denial of service.

Message flooding impacts *Availability*.

See clause 5.1.2 for the reconciliation of this threat.

4.3.3 Eavesdropping

Eavesdropping is the unauthorized disclosure of sensitive information that might result directly in a critical security breach or be used in follow-on attacks.

If an attacker has compromised the underlying operating system or network infrastructure then the attacker might be able to record and capture *Messages*. It may be beyond the capability of a *Client* or *Server* to recover from a compromised operating system.

Eavesdropping impacts *Confidentiality* directly and indirectly threatens all other security objectives.

See clause 5.1.3 for the reconciliation of this threat.

4.3.4 Message Spoofing

An attacker may forge *Messages* from a *Client* or a *Server*. Spoofing may occur at multiple layers in the protocol stack.

By spoofing *Messages* from a *Client* or *Server*, attackers may perform unauthorized operations and avoid detection of their activities.

Message spoofing impacts *Integrity* and *Authorization*.

See clause 5.1.4 for the reconciliation of this threat.

4.3.5 Message Alteration

Network traffic and application layer *Messages* may be captured or modified and forwarded to OPC UA *Clients* and *Servers*. *Message* alteration may allow illegitimate access to a system.

Message alteration impacts *Integrity* and *Authorization*.

See clause 5.1.5 for the reconciliation of this threat.

4.3.6 Message Replay

Network traffic and valid application layer *Messages* may be captured and re-sent to OPC UA *Clients* and *Servers* at a later stage without modification. An attacker could misinform the user or send a valid command such as opening a valve, but at an improper time, so as to cause damage or property loss.

Message replay impacts *Authorization*.

See clause 5.1.6 for the reconciliation of this threat.

4.3.7 Malformed Messages

An attacker can craft a variety of *Messages* with an invalid *Message* structure (malformed XML, SOAP, UA Binary, etc.) or data values, and send them to OPC UA *Clients* or *Servers*.

The OPC UA *Client* or *Server* may incorrectly handle certain malformed *Messages* by performing unauthorized operations or processing unnecessary information. It might result in a denial or degradation of service including termination of the application or a complete crash in the case of embedded devices.. In a worst-case scenario an attacker could use malformed *Messages* as a pre-step for a multi-level attack to gain access to the underlying system of an *OPC UA Application*.

Malformed *Messages* impact *Integrity* and *Availability*.

See clause 5.1.7 for the reconciliation of this threat.

4.3.8 Server Profiling

An attacker tries to learn the identity, type, software version, or vendor of the *Server* or *Client* in order to apply knowledge about specific vulnerabilities of that product to mount a more intrusive or damaging attack. The attacker might profile the target by sending valid or invalid formatted *Messages* to the target and try to recognize the type of target by the pattern of its normal and error responses.

Server profiling impacts all of the security objectives indirectly.

See clause 5.1.8 for the reconciliation of this threat.

4.3.9 Session Hijacking

An attacker may use information (retrieved by sniffing the communication or by guessing) about a running session established between two applications to inject manipulated *Messages* (with valid session information) that allow him or her to take over the session from the authorized user.

An attacker may gain unauthorized access to data or perform unauthorized operations.

Session hijacking impacts all of the security objectives.

See clause 5.1.9 for the reconciliation of this threat.

4.3.10 Rogue Server

An attacker builds a malicious OPC UA *Server* or installs an unauthorized instance of a genuine OPC UA *Server*.

The OPC *Client* may disclose necessary information.

A rogue *Server* impacts all of the security objectives except *Integrity*.

See clause 5.1.10 for the reconciliation of this threat.

4.3.11 Compromising User Credentials

An attacker obtains user credentials such as usernames, passwords, *Certificates*, or keys by observing them on paper, on screen, or in electronic communications, or by cracking them through guessing or the use of automated tools such as password crackers.

An unauthorized user could launch and access the system to obtain all information and make control and data changes that harm plant operation or information. Once compromised credentials are used, subsequent activities may all appear legitimate.

Compromised user credentials impact *Authorization* and *Confidentiality*.

See clause 5.1.11 for the reconciliation of this threat.

4.4 OPC UA Relationship to Site Security

OPC UA security works within the overall *Cyber Security Management System (CSMS)* of a site. Sites often have a CSMS that addresses security policy and procedures, personnel, responsibilities, audits, and physical security. A CSMS typically addresses threats that include those that were described in Clause 4.3. They also analyse the security risks and determine what security controls the site needs.

Resulting security controls commonly implement a “defence-in-depth” strategy that provides multiple layers of protection and recognizes that no single layer can protect against all attacks. Boundary protections, shown as abstract examples in Figure 1, may include firewalls, intrusion detection and prevention systems, controls on dial-in connections, and controls on media and computers that are brought into the system. Protections in components of the system may include hardened configuration of the operating systems, security patch management, anti-virus programs, and not allowing email in the control network. Standards that may be followed by a site include [NERC CIP] and [IEC 62351] which are referenced in Clause 2.

The security requirements of a site CSMS apply to its OPC UA interfaces. That is, the security requirements of the OPC UA interfaces that are deployed at a site are specified by the site, not by the OPC UA specification. OPC UA specifies features that are intended so that conformant *Client* and *Server* products can meet the security requirements that are expected to be made by sites where they will be deployed. Those who are responsible for the security at the site should determine how to meet the site requirements with OPC UA conformant products.

The system owner that installs OPC UA *Clients* or *Servers* should analyse its security risks and provide appropriate mechanisms to mitigate those risks to achieve an acceptable level of security. OPC UA meets the wide variety of security needs that might result from such individual analyses. OPC UA *Clients* and *Servers* are required to be implemented with certain security features which are available for the system owner’s optional use. Each system owner should be able to implement a security solution that meets its security and economic requirements using a combination of mechanisms available within the OPC UA specification and external to OPC UA.

The security requirements placed on the OPC UA *Clients* and *Servers* deployed at a site are specified by the site CSMS, not by the OPC UA specification. The OPC UA security specifications,

however, are requirements placed upon OPC UA *Client* and *Server* products, and recommendations of how OPC UA should be deployed at a site in order to meet the security requirements that are anticipated to be specified at the site.

OPC UA addresses some threats as described in Clause 4.3. The OPC Foundation recommends *Client* and *Server* developers address the remaining threats, as detailed in Clause 6. Threats to infrastructure components that might result in the compromise of *Client* and *Server* operating systems are not addressed by OPC UA.

4.5 OPC UA Security Architecture

The OPC UA security architecture is a generic solution that allows implementation of the required security features at various places in the *OPC UA Application* architecture. Depending on the different mappings described in Part 6, the security objectives are addressed at different levels. The OPC UA Security Architecture is structured in an Application Layer and a Communication Layer atop the Transport Layer as shown in Figure 2.

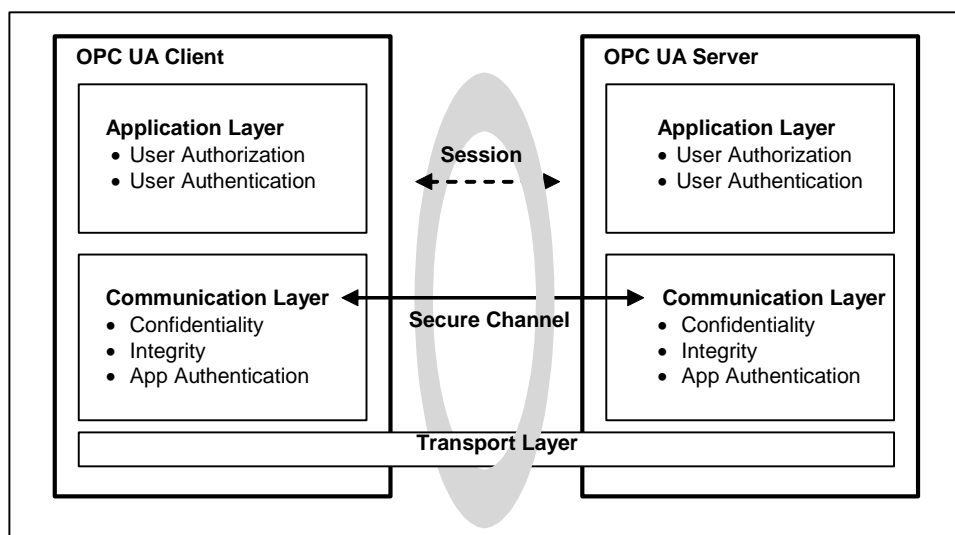


Figure 2 – OPC UA Security Architecture

The routine work of a *Client* application and a *Server* application to transmit information, settings, and commands is done in a session in the Application Layer. The Application Layer also manages the security objectives *user Authentication* and *user Authorization*. The security objectives that are managed by the Application Layer are addressed by the Session Services that are specified in Part 4. A session in the Application Layer communicates over a *Secure Channel* that is created in the Communication Layer and relies upon it for secure communication. All of the session data is passed to the Communication Layer for further processing.

Although a session communicates over a *Secure Channel* and must be activated before it can be used. The binding of users, sessions, and *Secure Channels* is flexible.

Impersonation allows a user to take ownership of an existing session.

If a *Secure Channel* breaks, the session will remain valid for a period of time allowing the *Client* to re-establish via a new *Secure Channel*. Otherwise, the session closes after its lifetime expires.

The Communication Layer provides security mechanisms to meet *Confidentiality*, *Integrity* and application *Authentication* as security objectives.

One essential mechanism to meet the above mentioned security objectives is to establish a *Secure Channel* (see Clause 4.11) that is used to secure the communication between a *Client* and a *Server*. The *Secure Channel* provides encryption to maintain *Confidentiality*, *Message Signatures* to maintain *Integrity*, and *Digital Certificates* to provide application *Authentication* for data that comes from the Application Layer and passes the “secured” data to the Transport Layer. The security mechanisms that are managed by the Communication Layer are provided by the *Secure Channel* Services that are specified in Part 4.

The security mechanisms provided by the *Secure Channel* services are implemented by a protocol stack that is chosen for the implementation. Mappings of the services to some of the protocol stack options are specified in Part 6 which defines how functions in the protocol stack are used to meet the OPC UA security objectives.

The Communication Layer can represent an OPC UA protocol stack. OPC UA specifies alternative stack mappings that can be used as the Communication Layer. These mappings are described in Part 6.

If the OPC UA Native mapping is used then functionality for *Confidentiality*, *Integrity*, application *Authentication*, and the *Secure Channel* are similar to the SSL/TLS specifications, as described in Part 6.

If the Web Services mapping is used then WS Security, WS Secure Conversation, and XML Encryption, as well as XML Signature: are used to implement the mechanisms for *Confidentiality*, *Integrity*, application *Authentication* as well as for implementing a *Secure Channel*. For more information see Part 6.

The Transport Layer handles the transmission, reception, and the transport of data that is provided by the Communication Layer.

To survive the loss of the Transport Layer connections (e.g. TCP connections) and resume with a new connection, the Communication Layer is responsible for re-establishing the Transport Layer connection without interrupting the logical *Secure Channel*.

4.6 SecurityPolicies

A *SecurityPolicy* specifies which security mechanisms are to be used, and are derived from a *Security Profile* (see Clause 4.7 for details). Security policies are used by the *Server* to announce which mechanisms it supports and by the *Client* to select one for use with the *Secure Channel* it wishes to open. The *SecurityPolicies* include the following:

- algorithms for signing and encryption
- algorithm for key derivation

The choice of *SecurityPolicy* is normally made by the administrator typically when the *Client* and *Server* products are installed. The available Security policies are specified in Part 7. The Administrator can change or modify the selection of *SecurityPolicies* as circumstances dictate at any time.

The announcement of security policies is handled by special discovery services specified in Part 4. More details about the discovery mechanisms and policy announcement strategies can be found in Part 12.

If a *Server* serves multiple *Clients* then it maintains separate policy selections for each *Client*. This allows a new *Client* to select policies independent of the policy choices that other *Clients* have selected for their *Secure Channels*.

Since computing power increases every year, specific algorithms that are considered as secure today can become insecure in the future. Therefore, it makes sense to support different security policies in an *OPC UA Application* and to be able to adopt more as they become available. NIST or other agencies often make predictions about the life-expectancy of algorithms (see NIST 800-57). The list of supported security policies will be updated based on recommendations such as those published by NIST. From a deployment point of view it is important that the periodic site-review checks that the currently selected list of security profiles still fulfil the required security objectives and if they do not then a newer selection of *Security Profiles* is selected

There is also the case that new security policies are composed to support new algorithms that improve the level of security of OPC UA products. The application architecture of OPC UA *Clients* and *Servers* should be designed in a way that it is possible to update or add additional cryptographic algorithms to the application with little or no coding changes.

Part 7 specifies several policies which are identified by a specific unique URI. To improve interoperability among vendors' products, *Server* products shall implement these policies rather than define their own. *Clients* shall support the same policies.

4.7 Security Profiles

OPC UA *Client* and *Server* products are certified against *Profiles* that are defined in Part 7. Some of the *Profiles* specify security functions and others specify other functionality that is not related to security. The *Profiles* impose requirements on the certified products but they do not impose requirements on how the products are used. A consistent minimum level of security is required by the various *Profiles*. However, different *Profiles* specify different details such as which encryption algorithms are required for which OPC UA functions. If a problem is found in one encryption algorithm then the OPC Foundation can define a new *Profile* that is similar, but specifies a different encryption algorithm that does not have a known problem. Part 7, not this Part 2, is the normative specification of the *Profiles*.

Policies refer to many of the same security choices as *Profiles*; however the policy specifies which of those choices to use in a session. The policy does not specify the range of choices that the product offers as they are described in the *Profiles* that it claims to support.

These policies are included in Certification Testing associated with OPC UA *Client* and *Servers*. The Certification Testing ensures that the standard is followed and that the appropriate security algorithms are supported.

Each security mechanism in OPC UA is provided in *Client* and *Server* products in accordance with the *Profiles* with which the *Client* or *Server* complies. At the site, however, the security mechanisms may be deployed optionally. In this way each individual site has all of the OPC UA security functions available and can choose which of them to use to meet its security objectives.

4.8 User Authorization

OPC UA provides a mechanism to exchange user credentials, but does not specify how the applications use those credentials. *Client* and *Server* applications may determine in their own way which data is accessible and which operations are authorized. *Profiles* exist to indicate the support of user credentials to restrict or control access to data.

4.9 User Authentication

User *Authentication* is achieved when the *Client* passes user credentials to the *Server* as specified via Session services (described in Part 4). The *Server* can authenticate the user with these credentials.

The owner (user) of a session can be changed using the *ActivateSession* service in order to meet needs of the application.

4.10 Application Authentication

OPC UA uses a concept conveying Application *Authentication* to allow applications to identify each other. Each OPC UA *Application Instance* has a *Digital Certificate (Application Instance Certificate)* assigned that is exchanged during *Secure Channel* establishment. The receiver of the *Certificate* checks whether it trusts the *Certificate* and based on this check it either accepts or rejects the request or response *Message* from the sender. This trust check is accomplished using the concept of *TrustLists*. *TrustLists* are a *CertificateStore* designated by an administrator. An administrator shall determine if the *Certificate* is signed, validated and trustworthy before placing it in a *TrustList*. *TrustLists* usually include *Certificate Revocation Lists (CRLs)*. OPC UA makes use of these industry standard concepts as defined by other organizations.

In OPC UA HTTPS can be used to create *Secure Channels*. However, these channels do not provide application *Authentication*. If *Authentication* is required then it must be based on user credentials.

More details on *Application Authentication* can be found in Part 4.

4.11 OPC UA Security Related Services

The OPC UA Security Services are a group of abstract service definitions specified in Part 4 that are used for applying various security mechanisms to communication between OPC UA *Clients* and *Servers*.

The Discovery Service Set (specified in Part 4) defines services used by an OPC UA *Client* to learn about the security policies (see Clause 4.6) and the *Digital Certificates* of specific OPC UA *Servers*.

The services of the *Secure Channel* Service Set (specified in Part 4) are used to establish a *Secure Channel* which is responsible for securing *Messages* sent between a *Client* and a *Server*. The challenge of the *Secure Channel* establishment is that it requires the *Client* and the *Server* to securely exchange cryptographic keys and secret information in an insecure environment, therefore a specific *Key Exchange Algorithm* (similar to SSL Handshake protocol defined in SSL/TLS) is applied by the communication participants:

The OPC UA *Client* retrieves the security policies and *Digital Certificates* of the OPC UA *Server* by the above mentioned discovery services. These *Digital Certificates* contain the *Public Keys* of the OPC UA *Server*.

The OPC UA *Client* sends its *Public Key* in a *Digital Certificate* and secret information with the OpenSecureChannel service *Message* to the *Server*. This *Message* is secured by applying *Asymmetric Encryption* with the *Server's Public Key* and by generating *Asymmetric Signatures* with the *Client's Private Key*. However the *Digital Certificate* is sent unencrypted so that the receiver can use it to verify the *Asymmetric Signature*.

The *Server* decrypts the *Message* with its *Private Key* and verifies the *Asymmetric Signature* with the *Client's Public Key*. The secret information of the OPC UA *Client* combined with the secret information of the OPC UA *Server* is used to derive a set of cryptographic keys that are used for securing all further *Messages*. Furthermore, all other service *Messages* are secured with *Symmetric Encryption* and *Symmetric Signatures* instead of the asymmetric equivalents.

The *Server* sends its secret information in the service response to the *Client* so that the *Client* can derive the same set of cryptographic keys.

Since *Clients* and *Servers* have the same set of cryptographic keys they can communicate securely with each other.

Derived cryptographic keys are changed periodically so attackers do not have unlimited time and unrestricted sequences of *Messages* to use to determine what the keys are.

4.12 Auditing

4.12.1 General

Clients and *Servers* generate audit records of successful and unsuccessful connection attempts, results of security option negotiations, configuration changes, system changes, user interactions and session rejections.

OPC UA provides support for security audit trails through two mechanisms. First, it provides for traceability between *Client* and *Server* audit logs. The *Client* generates an audit log entry for an operation that includes a request. When the *Client* issues a service request it generates an audit log entry and includes the local identifier of the log entry in the request sent to the *Server*. The *Server* logs requests that it receives and includes the *Client's* entry id in its audit log entry. In this fashion, if a security-related problem is detected at the *Server* then the associated *Client* audit log entry can be located and examined. OPC UA does not require the audit entries to be written to disk, but it does require that they are made available. OPC UA provides the capability for *Servers* to generate *Event Notifications* that report auditable *Events* to *Clients* capable of processing and logging them. See Part 4 for more details on how services in OPC UA are audited.

OPC UA defines audit parameters to be included in audit records. This promotes consistency across audit logs and in *Audit Events*. Part 5: defines the data types for these parameters. Other information models may extend the audit definitions. Part 7 defines *Profiles* which include the ability to generate *Audit Events* and use these parameters, including the *Client* audit record id.

Because the audit logs are used to prove that the system is operating securely, the audit logs themselves must also be secured from unauthorized tampering. If someone without authorization were able to alter or delete log records then this could hide an actual or attempted security breach. Because there are many different ways to generate and store audit logs (e.g. files or database) the mechanisms to them are outside the scope of this specification.

The information in an Audit record may contain sensitive or private information. Therefore, the ability to subscribe for *Audit Events* shall be restricted to appropriate users and/or applications. As an alternative, the fields with sensitive or private information may contain an error code indicating access denied for users that do not have the appropriate rights.

The following clauses illustrate the behaviour of OPC UA *Servers* and *Clients* that support *Auditing*.

4.12.2 Single Client and Server

Figure 3 illustrates the simple case of a *Client* communicating with a *Server*.

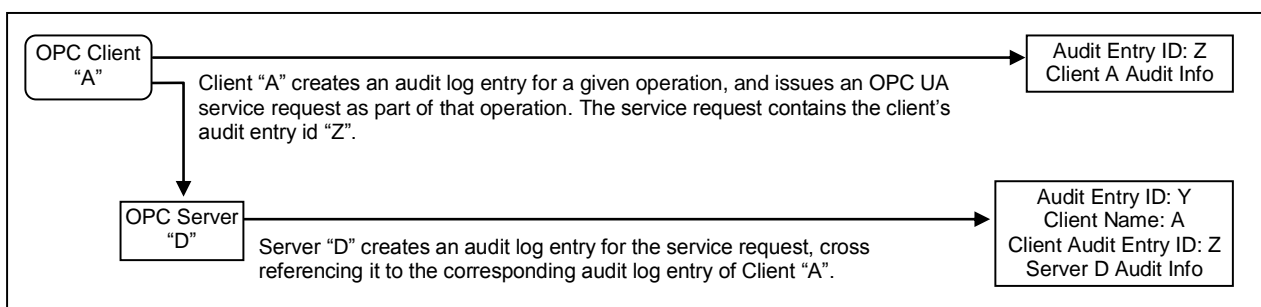


Figure 3 – Simple Servers

In this case, OPC Client "A" executes some auditable operation that includes the invocation of an OPC UA service in Server "D". It writes its own audit log entry, and includes the identifier of that entry in the service request that it submits to the *Server*.

The *Server* receives the Client's request and creates its own audit log entry for it. This entry is identified by its own audit id and contains its own *Auditing* information, but also includes the name of the *Client* that issued the service request and the *Client* audit entry id received in the request.

Using this information, an auditor can inspect the collection of log entries of the *Server* and relate them back to their associated *Client* entries.

4.12.3 Aggregating Server

Figure 4 illustrates the case of a *Client* accessing services from an aggregating *Server*. An aggregating *Server* is a *Server* that provides its services by accessing services of other OPC UA *Servers*, referred to as lower layer-*Servers*.

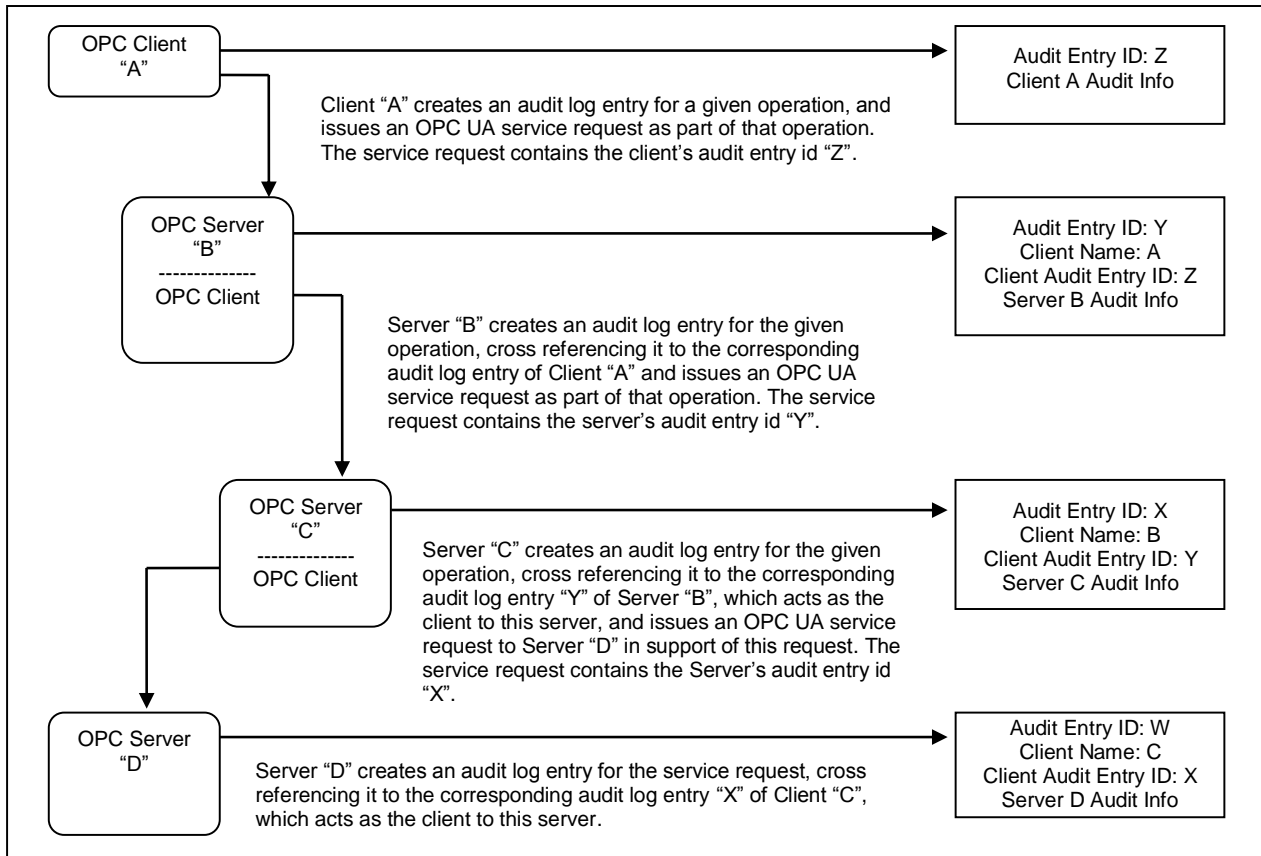


Figure 4 – Aggregating Servers

In this case, each *Server* receives requests and creates its own audit log entry. Each entry is identified by its own audit id, contains its own *Auditing* information, and also includes the name of the *Client* that issued the service request and the *Client* audit entry id received in the request. The *Server* then passes the audit id of the entry it just created to the next *Server* in the chain.

Using this information, an auditor can inspect the *Server's* log entries and relate them back to their associated *Client* entries.

In most cases the *Servers* will only generate *Audit Events*, but these *Audit Events* will still contain the same information as the audit log records. In the case of aggregating *Servers* a *Server* would also be required to subscribe for *Audit Events* from the *Servers* it is aggregating. In this manner, *Server "B"* would be able to provide all of the *Audit Events* to *Client "A"*, including the *Events* generated by *Server "C"* and *Server "D"*

4.12.4 Aggregation through a non-auditing Server

Figure 5 illustrates the case of a *Client* accessing services from an aggregating *Server* that does not support *Auditing*.

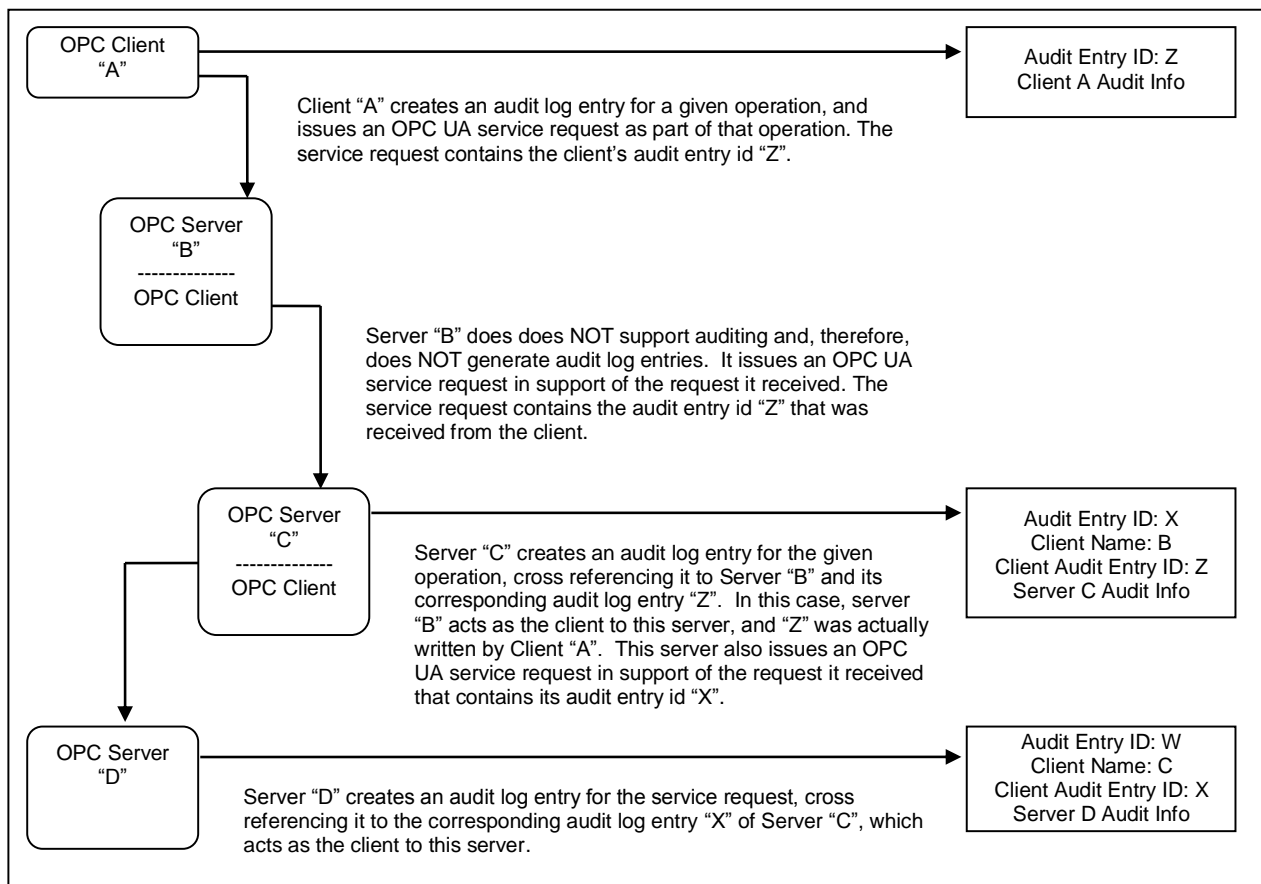


Figure 5 – Aggregation with a Non-Auditing Server

In this case, each *Server* receives requests and creates their own audit log entry for each, with the exception of *Server* "B" which does not support *Auditing*. In this case, *Server* "B" passes the audit id it receives from its *Client* "A" to the next *Server*. This creates the required audit chain. *Server* "B" is not listed as supporting *Auditing*. In a case where a *Server* does not support writing audit entries, the entire system may be considered as not supporting *Auditing*.

In the case of an aggregating *Server* that does not support *Auditing*; the *Server* would still be required to subscribe for *Audit Events* from the *Servers* it is aggregating. In this manner, *Server* "B" would be able to provide all of the *Audit Events* to *Client* "A", including the event generated by *Server* "C" and *Server* "D", even though it did not generate an *Audit* event.

4.12.5 Aggregating Server with service distribution

Figure 6 illustrates the case of a *Client* that submits a service request to an aggregating *Server*, and the aggregating service supports that service by submitting multiple service requests to its underlying *Servers*.

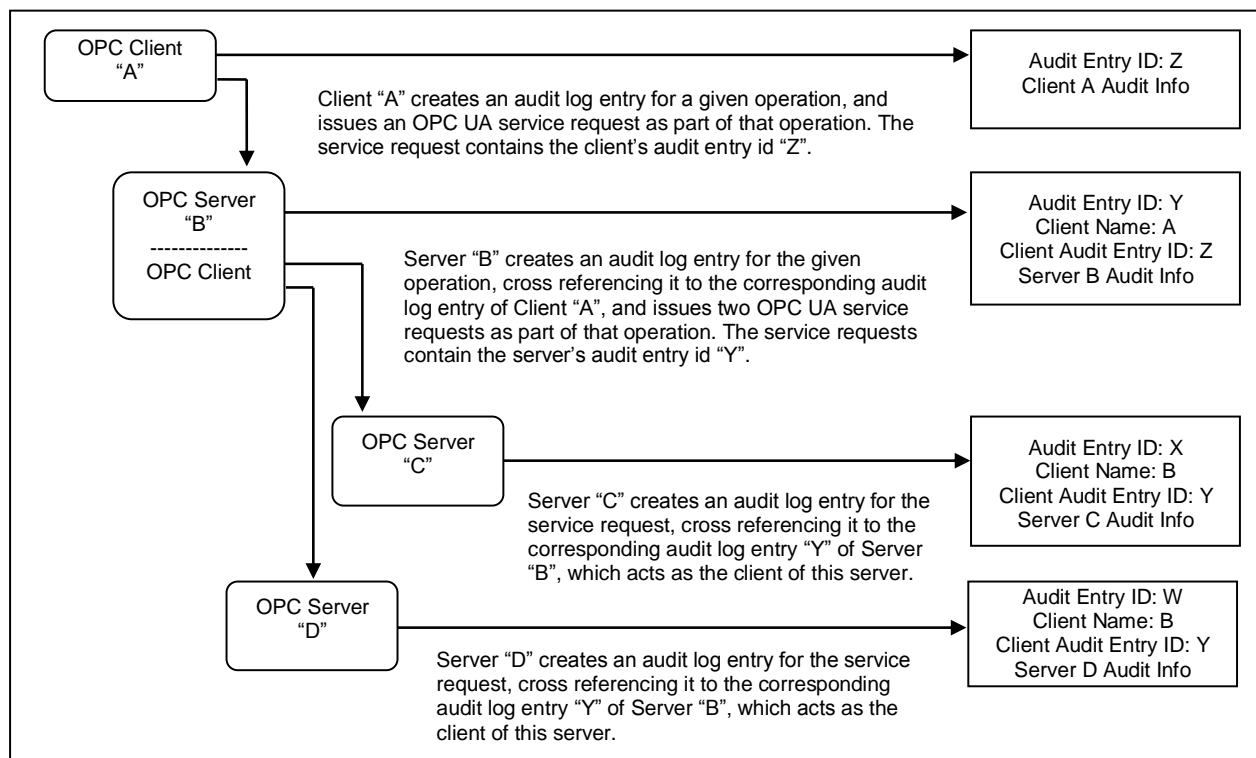


Figure 6 – Aggregate Server with Service Distribution

In the case of aggregating *Servers*: a *Server* would be required to subscribe for *Audit Events* from the *Servers* it is aggregating. In this manner, *Server "B"* would be able to provide all of the *Audit Events* to *Client "A"*, including the event generated by *Server "C"* and *Server "D"*

5 Security Reconciliation

5.1 Reconciliation of Threats with OPC UA Security Mechanisms

5.1.1 Overview

The following sub-clauses of Clause 5.1 reconcile the threats that were described in Clause 4.3 against the OPC UA functions. Compared to the reconciliation with the objectives that will be given in Clause 5.2, this is a more specific reconciliation that relates OPC UA security functions to specific threats.

5.1.2 Message Flooding

See clause 4.3.2 for a description of this threat.

OPC UA minimizes the loss of *Availability* caused by *Message* flooding by minimizing the amount of processing done with a *Message* before the *Message* is authenticated. This prevents an attacker from leveraging a small amount of effort to cause the legitimate *OPC UA Application* to spend a large amount of time responding, thus taking away processing resources from legitimate activities.

GetEndpoints (specified in Part 4) and OpenSecureChannel (specified in Part 4) are the only services that the *Server* handles before the *Client* is authenticated. The response to GetEndpoints is only a set of static information so the *Server* does not need to do much processing. The response to OpenSecureChannel consumes significant *Server* resources because of the signature and encryption processing. OPC UA has minimized this processing, but it cannot be eliminated.

The *Server* implementation could protect itself from a flooding of OpenSecureChannel *Messages* in two ways.

First, the *Server* could intentionally delay its processing of OpenSecureChannel requests once it receives more than some minimum number of bad OpenSecureChannel requests. It should also issue an alarm to alert plant personnel that an attack is in progress which could be blocking legitimate OpenSecureChannel calls.

Second, when an OpenSecureChannel request attempts to exceed the *Server's* specified maximum number of concurrent channels the *Server* replies with an error response without performing the signature and encryption processing. Certified OPC UA *Servers* are required to specify their maximum number of concurrent channels in their product documentation as specified in Part 7.

OPC UA user and *Client Authentication* reduce the risk of a legitimate *Client* being used to mount a flooding attack. See the reconciliation of *Authentication* in Clause 5.2.2.

OPC UA *Auditing* functionality provides the site with evidence that can help the site discover that flooding attacks are being mounted and to find ways to prevent future attacks (see clause 4.12). As a best practice *Audit Events* should be monitored for excessive connection requests.

OPC UA relies upon the site *CSMS* to prevent attacks such as *Message* flooding at protocol layers and systems that support OPC UA.

5.1.3 Eavesdropping

See clause 4.3.3 for a description of this threat.

OPC UA provides encryption to protect against eavesdropping as described in Clause 5.2.4 - *Confidentiality*.

5.1.4 Message Spoofing

See clause 4.3.4 for a description of this threat.

As specified in Part 4 and Part 6, OPC UA counters *Message* spoofing threats by providing the ability to sign *Messages*. Additionally *Messages* will always contain a valid Session ID, *Secure Channel* ID, Request ID, Timestamp as well as the correct Sequence Number.

5.1.5 Message Alteration

See clause 4.3.5 for a description of this threat.

OPC UA counters *Message* alteration by the signing of *Messages* that are specified in Part 4. If *Messages* are altered then checking the signature will reveal any changes and allow the recipient to discard the *Message*. This check can also prevent unintentional *Message* alteration due to communication transport errors.

5.1.6 Message Replay

See clause 4.3.6 for a description of this threat.

OPC UA uses Session IDs, *Secure Channel* IDs, Timestamps, Sequence Numbers and Request IDs for every request and response *Message*. *Messages* are signed and cannot be changed without detection; therefore it would be very hard to replay a *Message*, such that the *Message* would have a valid Session ID, *Secure Channel* ID, Timestamp, Sequence Numbers and Request ID. (All of which are specified in Part 4 and Part 6)

5.1.7 Malformed Messages

See clause 4.3.7 for a description of this threat.

Implementations of OPC UA *Client* and *Server* products counter threats of malformed *Messages* by checking that *Messages* have the proper form and that parameters of *Messages* are within their legal range. Invalid *Messages* are discarded. This is specified in Part 4 and Part 6.

5.1.8 Server Profiling

See clause 4.3.8 for a description of this threat.

OPC UA limits the amount of information that *Servers* provide to *Clients* that have not yet been identified. This information is the response to the GetEndpoints service specified in Part 4.

5.1.9 Session Hijacking

See clause 4.3.9 for a description of this threat.

OPC UA counters session hijacking by assigning a security context (i.e. *Secure Channel*) with each session as specified in the CreateSession service in Part 4. Hijacking a session would thus first require compromising the security context.

5.1.10 Rogue Server

See clause 4.3.10 for a description of this threat.

OPC UA *Client* applications counter the use of rogue *Servers* by validating *Server Application Instance Certificates*. There would still be the possibility that a rogue *Server* provides a *Certificate* from a certified OPC UA *Server*, but since it does not possess the appropriate *Private Key* (because this will never be distributed) to decrypt and verify *Messages* secured with the correct *Public Key* the rogue *Server* would never be able to read and misuse secured data sent by a *Client*.

5.1.11 Compromising User Credentials

See clause 4.3.11 for a description of this threat.

OPC UA protects user credentials sent over the network by encryption as described in Clause 5.2.4.

OPC UA depends upon the site CSMS to protect against other attacks to gain user credentials, such as password guessing or social engineering.

5.2 Reconciliation of Objectives with OPC UA Security Mechanisms

5.2.1 Overview

The following sub clauses of Clause 5.2 reconcile the objectives that were described in Clause 4.2 with the OPC UA functions. Each of the following sub clauses relates directly to the objective described in its corresponding sub clause of Clause 4.2.

Compared to the reconciliation against the threats of Clause 5.1, this reconciliation justifies the completeness of the OPC UA security architecture.

5.2.2 Authentication

OPC UA Applications support *Authentication* of the entities with which they are communicating as well as providing the necessary *Authentication* credentials to the other entities.

5.2.2.1 Application Authentication

As specified in the *GetEndpoints* and *OpenSecureChannel* services in Part 4, *OPC UA Client* and *Server* applications identify and authenticate themselves with *X.509 Certificates* (see [X509]). Some choices of the Communication Stack require these *Certificates* to represent the machine or user instead of the application.

5.2.2.2 User Authentication

As described in the *OpenSecureChannel* service in Part 4, the *OPC UA Client* accepts a *UserIdentityToken* from the user and passes it to the *OPC UA Server*. The *OPC UA Server* authenticates the user token. *OPC UA Applications* accept tokens in any of the following three forms: username/password, an *X.509v3 Certificate* (see [X509]) or a *WS-SecurityToken*

As specified in the *CreateSession* and *ActivateSession* services in Part 4, if the *UserIdentityToken* is a *Digital Certificate* then this token is validated with a challenge-response process. The *Server* provides a *Nonce* and signing algorithm as the challenge in its *CreateSession* response. The *Client* responds to the challenge by signing the *Server's Nonce* and providing it as an argument in its subsequent *ActivateSession* call.

5.2.3 Authorization

OPC UA does not specify how user or *Client Authorization* is to be provided. *OPC UA Applications* that are part of a larger industrial automation product may manage *Authorizations* consistent with the *Authorization* management of that product. Identification and *Authentication* of users is specified in *OPC UA* so that *Client* and *Server* applications can recognize the user in order to determine the *Authorization* level of the user.

OPC UA Servers respond with the *Bad_UserAccessDenied* error code to indicate an *Authorization* or *Authentication* error as specified in the status codes defined in Part 4.

5.2.4 Confidentiality

OPC UA uses *Symmetric* and *Asymmetric Encryption* to protect *Confidentiality* as a security objective. Thereby *Asymmetric Encryption* is used for key agreement and *Symmetric Encryption* for securing all other *Messages* sent between *OPC UA Applications*. Encryption mechanisms are specified in [UA Part 6].

OPC UA relies upon the site *CSMS* to protect *Confidentiality* on the network and system infrastructure. *OPC UA* relies upon the *PKI* to manage keys used for *Symmetric* and *Asymmetric Encryption*.

5.2.5 Integrity

OPC UA uses *Symmetric* and *Asymmetric Signatures* to address *Integrity* as a security objective. The *Asymmetric Signatures* are used in the key agreement phase during the *Secure Channel* establishment. The *Symmetric Signatures* are applied to all other *Messages*.

OPC UA relies upon the site *CSMS* to protect *Integrity* on the network and system infrastructure. *OPC UA* relies upon the *PKI* to manage keys used for *Symmetric* and *Asymmetric Signatures*.

5.2.6 Auditability

As specified in the *UA Auditing* description in Part 4, *OPC UA* supports *Audit* logging by providing traceability of activities through the log entries of the multiple *Clients* and *Servers* that initiate, forward, and handle the activity. *OPC UA* depends upon *OPC UA Application* products to provide an effective *Audit* logging scheme or an efficient manner of collecting the *Audit Events* of all nodes. This scheme may be part of a larger industrial automation product of which the *OPC UA Applications* are a part.

5.2.7 Availability

OPC UA minimizes the impact of *Message* flooding as described in Clause 5.1.2.

Some attacks on *Availability* involve opening more sessions than a *Server* can handle thereby causing the *Server* to fail or operate poorly. *Servers* reject sessions that exceed their specified maximum number. Other aspects of OPC UA such as OPC UA Secure Conversation or WS Secure Conversation can also affect availability and are discussed in Part 6

6 Implementation and Deployment considerations

6.1 Overview

This section provides guidance to vendors that implement *OPC UA Applications*. Since many of the countermeasures required to address the threats described above fall outside the scope of the OPC UA specification, the advice in this section suggests how some of those countermeasures should be provided.

For each of the following areas, this section defines the problem space, identifies consequences if appropriate countermeasures are not implemented and recommends best practices.

6.2 Appropriate Timeouts:

Timeouts, the time that the implementation must wait (usually for an event such as *Message* arrival), play a very significant role in influencing the security of an implementation. Potential consequences include

- Denial of service: Denial of service conditions may exist when a *Client* does not reset a session, if the timeouts are very large.
- Resource consumption: When a *Client* is idle for long periods of time, the *Server* must keep the *Client's* buffered *Message* or information for that period, leading to resource exhaustion.

The implementer should use reasonable timeouts for each connection stage.

6.3 Strict Message Processing

The specifications often specify the format of the right *Messages* and are silent on what the implementation should do for *Messages* that deviate from the specification. Typically, the implementations continue to parse such packets, leading to vulnerabilities.

- The implementer should do strict checking of the *Message* format and should either drop the packets or send an error *Message* as described below.
- Error handling uses an error code (defined in Part 4) which most precisely fits the condition.
- All arrays lengths and string lengths should be strictly enforced and processed.

6.4 Random Number Generation

Random numbers that meet security needs can be generated by suitable functions that are provided by cryptography libraries. Common random functions such as using `rand()` provided by the "C" standard library do not generate enough entropy. As an alternative, implementers could use the random number generator provided by the MS Windows Crypto library (WinCrypt library) or by OpenSSL.

6.5 Special and Reserved Packets

The implementation must understand and correctly interpret any *Message* types that are reserved as special (such as broadcast and multicast addresses in IP specification). Failing to understand and interpret those special packets may lead to vulnerabilities.

6.6 Rate Limiting and Flow Control

OPC-UA does not provide rate control mechanisms, however an implementation can incorporate rate control

6.7 Administrative Access

OPC UA describes that certain functionality, such as the management of *CertificateStores*, should be restricted to administrators. This Multi-part standard does not describe the details associated with administrative access. The nature of administrative access varies from platform to platform. Some platforms only have a single administrator. Other platforms provide multiple levels of administrative access such as backup administrator, network administrator, configuration administrator etc. The deployment site should make appropriate selections for administrator access and the implementer should allow for the configuration of appropriate administrator account access.

6.8 Alarm related guidance

OPC UA supports a robust *Alarm* and *Condition* information model which includes the ability to disable alarms, shelve alarms, and to generally manage alarms. Alarm processing and management is an important part of maintaining efficient control of a plant. From a security point of view it is important that this avenue is adequately protected and to ensure that a rogue agent does not create a dangerous or financial situation. OPC UA provides the tools required for this protection, but the implementer needs to ensure that they are exercised correctly. All functions that allow changes to the running environment are able to generate *Audit Events* and are to be restricted to appropriate users.

The disabling of Alarms is one such function that should be restricted to personnel with appropriate access rights. Furthermore, any action that disables an alarm, whether it is initiated by personnel or some automated system, should generate an *Audit Event* indicating the action.

The shelving of alarms should follow a similar guideline as the disabling of alarms with regard to access and *Auditing*; although it may be available to a wider range of users (operators, engineers). Also the implementer should ensure that appropriate timeouts are configured for Alarm Shelving. These timeouts should ensure that an Alarm cannot be shelved for period of time that could cause safety concerns.

Dialog *Events* could also be used to overload a *Client*. It would be a best practice for *Servers* that support Dialog to restrict the number of concurrent dialogs that could be active. Also Dialogs should include some timeout period to ensure that they are not used to create a DOS. *Client* implementers should also ensure that any dialog processing cannot be used to overwhelm an operator. The maximum number of open dialogs should be limited and dialogs should be able to be ignored (i.e. other processing should still be available).

6.9 Program Access

OPC UA describes functionality that allows for programs to be executed as part of the OPC UA *Server*. These programs can be used to perform advanced control algorithms or other actions. The use of these actions should be restricted to personnel with appropriate access rights. Furthermore the definition of Programs should be carefully monitored. It is recommended that statistics be maintained regarding the number of defined programs in addition to their execution frequency. This information shall be available to administrative personnel. In no case should an unlimited number of program executions be allowed.

6.10 Audit event management.

The OPC UA specification describes *Audit Events* that are to be generated and the information that these *Audit Events* must include as a minimum. However, the specification does not describe how these *Audit Events* are handled once they are generated. *Audit Events* can be subscribed to by multiple *Audit* tracking systems or logging systems. The OPC UA specification does not describe these systems. It is assumed that any number of vendor provided systems could provide this functionality. As a best practice whatever system is used to store and manage *Audit Events* should ensure the following:

- that *Audit Events* are not tampered with once they are received.
- the *Subscription* of *Audit Events* should be via a *Secure Channel* to ensure they are not tampered with while in transition.

An *Audit* event management system could have additional requirements based on the site CSMS.

6.11 Certificate Management

OPC UA applications typically have *Application Instance Certificates* to provide application level security. They are used for establishing a secure connection using *Asymmetric Cryptography*. These *Application Instance Certificates* are *Digital Certificates* which are *X.509 Certificates* and contain a list of data items that are defined in Part 4 and completely described in Part 6. These data items describe the *Application Instance* that the *Digital Certificate* is assigned to.

The *Digital Certificates* include a *Digital Signature* by the generator of the certificate. This *Digital Signature* can be self-signed (generated by the *Private Key* associated with *X.509 Certificate* that is the *Application Instance Certificate*) or can be signed by a *Certificate Authority* (generated by the *Private Key* associated the *X.509 Certificate* of the CA). Both types of *Certificates* provide the same level of security and can be used in *Asymmetric Cryptography*.

Asymmetric Cryptography makes use of two keys – a *Private Key* and a *Public Key*. An application will have a list of trusted *Public Keys* that represent the applications it trusts. This list of trusted *Public Keys* is stored either in the Windows Registry or a file folder. It will also have a *Private Key* that corresponds to its *Application Instance Certificate*. The application can use a *Public Key* from its list to validate the Signature on a received connection request was generated by the corresponding *Private Key*. An application can also use the *Public Key* of the target application to encrypt data, which can only be decrypted using the *Private Key* of the target application.

The major difference between CA signed and self-signed *Digital Certificate* is the effort required to deploy and maintain the *Digital Certificates*. The choice of when to use a CA issued *Digital Certificate* versus a self-signed *Digital Certificate* depends on the installation and site requirements.

Figure 7 illustrates the work that is required to maintain the trust list for self-signed *Digital Certificates*

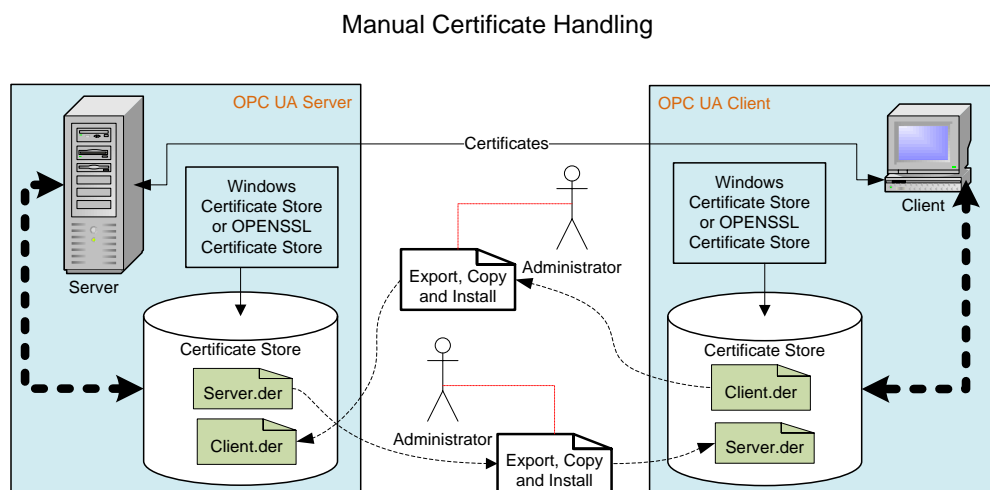


Figure 7 - Manual Certificate Handling

An administrator would be required to copy the *Public Key* associated with all *Client* applications to all *Server* applications that they may need to communicate with. In addition the administrator would be required to copy the *Public Key* associated with all *Server* applications to all *Client* applications that may need to communicate with them. As the number of *Servers* and *Clients* grows, the administration effort can become too burdensome. In addition a *Digital Certificate* has a lifetime and will need to be replaced with an updated *Digital Certificate* at some point in time; this will require all of the *Public Keys* to be copied again. In very small installations, explicitly listing the *Clients* a *Server* trusts by installing the *Public Key* of the *Client Application Instance Certificate* in the Trusted *Certificate* store of the *Server* may be acceptable.

In systems with multiple *Servers* and *Clients* the installation of *Public Keys* in Trust Lists can very quickly become cumbersome. In these instances, the use of a company specific CA can greatly simplify the installation/configuration issues. The CA can also provide additional benefits such as

management of *Digital Certificate* expiration and *Certificate Revocation Lists* (CRL). Figure 8 provides an illustration of this activity.

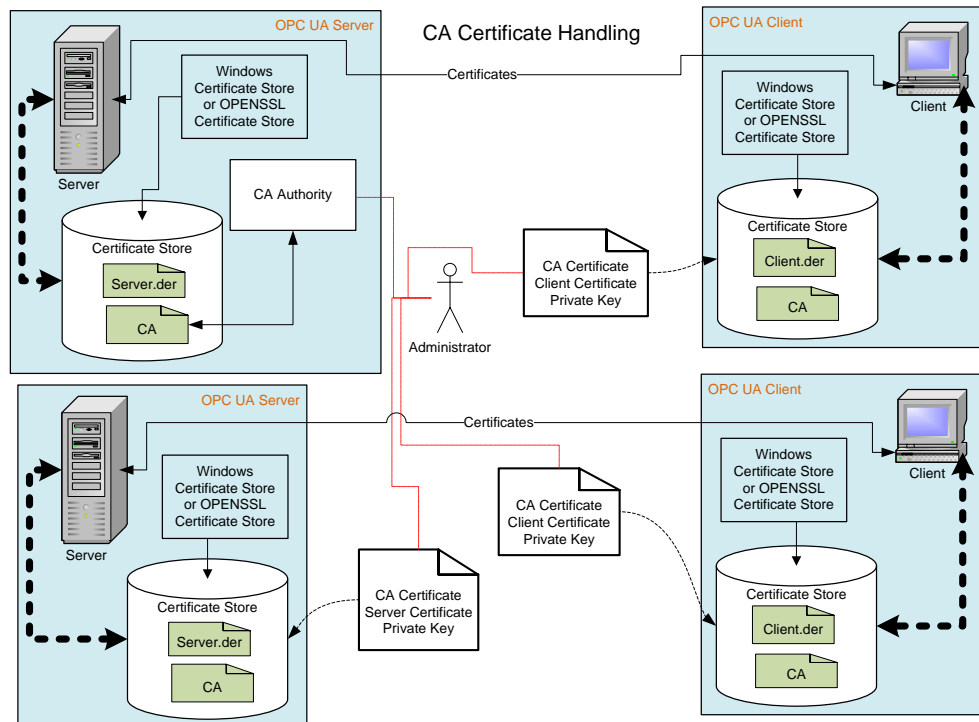


Figure 8 - CA Certificate Handling

The administrator will need to generate a CA signed *Application Instance Certificate* for all *Clients* and *Servers* that are installed in a system, but he will only need to install the CA *Public Key* on all machines. When a *Digital Certificate* expires and is replaced, the administrator will only need to replace the expired *Digital Certificate*; there will be no need to copy a *Public Key* to any locations.

The company specific CA allows the company to control the issuing of *Digital Certificates*. The use of a commercial CA (such as VeriSign) would not be recommended in most cases. An OPC UA Application is typically configured to trust applications determined by the Company as trusted. If all *Digital Certificates* issued by a commercial CA were trusted then the commercial CA would be controlling which applications are trusted, and not the company.

Certificate management needs to be addressed by all application developers. Some applications may make use of *Certificate* management that is provided as part of a system wide infrastructure; others will generate self-signed *Digital Certificates* as part of an installation. See Part 12 Discovery for additional details on system wide infrastructures for *Certificate* management.

From a developer point of view it is a best practice, if your application supports *Certificates*, to automatically provide a self-signed *Application Instance Certificate* on installation. In addition the application must be able to easily replace the self-signed *Application Instance Certificate* with a CA issued *Application Instance Certificate*. The configuration of a Trust List should also be easily accomplished. Typically, Trust Lists for *Public Keys* of Application Instances are kept in a separate list from those of a CA. Also an application should be able to handle Certificate Revocation Lists (CRL); these are lists of *Public Keys* that are associated with a given CA that have been revoked. This allows a CA to remove a *Digital Certificate* (that it had signed) from circulation. CRLs are provided by a CA and usually distributed in some automatic manner; see Part 12 for additional details.

From a security point of view it is essential that the *Certificate* stores used for storing *Private Keys* are protected and secured allowing read/write access by an appropriate administrator, and read access by the application. Trust lists, CRLs, and trusted CA lists must be secured by restricting write access to an appropriate administrator. Read access may be granted to other valid users, but the list of users with read access would be a deployment-site decision.

From an Installation point of view it is a best practice that a standard tool is used to generate an *Application Instance Certificate*. This tool could be one provided by an OPC UA SDK vendor or by the OPC Foundation. The standard tool ensures that the *Application Instance Certificates* that are generated include all of the required fields and settings. An particular OPC UA application must be able to accept and install *Application Instance Certificates* generated by any of the available certificate generation tools.

Figure 9 provides an overview of some of the key points of Certificate handling.

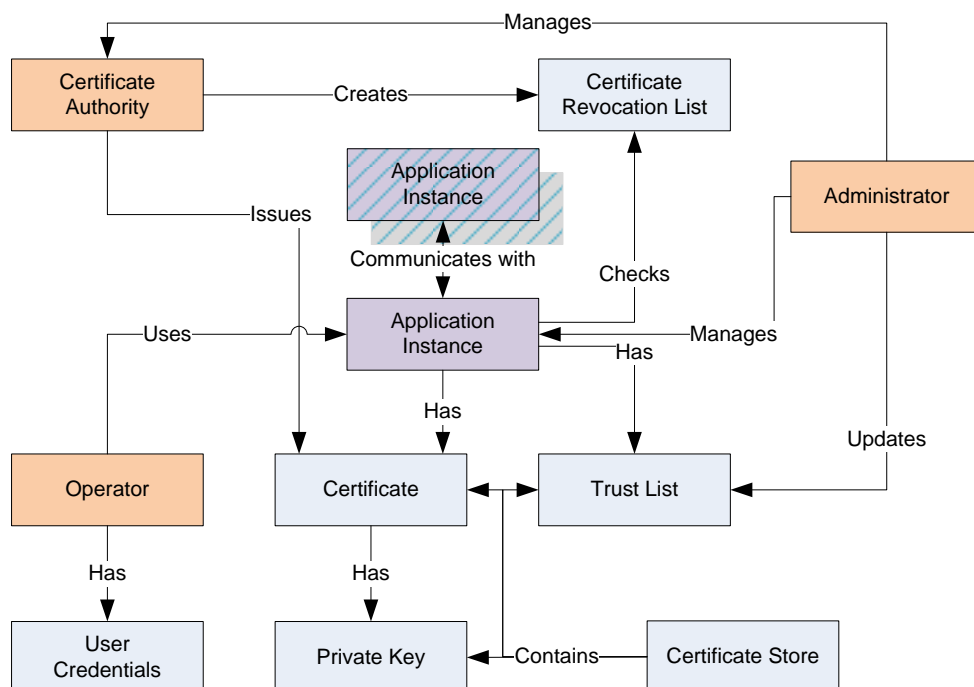


Figure 9 - Certificate handling

The following is a summary of these key points when a CA based, security required system is deployed:

Application Instance – An OPC UA Application installed on a single machine is called an Application Instance. Each instance must have its own *Application Instance Certificate* to identify itself when connecting to other applications (the *Public Key* and *Private Key*). Each Application Instance has a globally unique URI which identifies it. The application will also check trust lists and CRL's to determine if access should be granted. The application will communicate using a secure channel established using *Asymmetric Cryptography* with other applications.

Administrator – the person or persons that administer the *Certificate* handling associated with a UA system and manage the security settings for Application Instances. This includes setting the contents of trust lists and managing any activities performed by a CA.

Operator – An Operator is person who uses the Application Instance. More than one Operator may exist for any given application. An Operator may have User Credentials which are used to determine access rights and to track activities within the Application Instance.

User Credential – A User Credential is a generic term for an electronic ID which identifies an Operator/User. It may be passed to a Server after the *Application Instance Certificate* is used to create a secure channel. It can be used to determine access rights and to track activities (auditing).

Certificate Authority (CA) - A *Certificate Authority* (CA) is an administrator or organization responsible for creating and managing Certificates (it is usually a partially automated software product). The *Certificate Authority* must verify that information placed in the *Application Instance Certificate* is correct and to add a *Digital Signature* to the *Certificate* that is used to verify that the

information has not changed. Each CA must have its own *Digital Certificate* which is used to create the *Digital Signatures*. A CA is also responsible for maintaining CRLs. In most cases it is a software package that an administrator must periodically review or access, usually when the software package generates an alarm or notification that some review action is required.

Certificate - A Certificate is an electronic ID that can be held by an application. The ID includes information that identifies the holder, the issuer, and a unique key that is used to create and verify *Digital Signatures*. The syntax of these *Certificates* conforms to the X509 specification. As a result, these certificates are also called "X509 Certificates". Certificates also have a *Private Key* associated with them.

Self-Signed Certificate - A Self-Signed Certificate is a *Digital Certificate* which has no *Certificate Authority*. These Certificates can be created by anyone and can be used in situations where the administrators of UA Applications are able to verify the claims by reviewing the contents themselves. A system that uses only Self-Signed Certificates would not have CA or CRL.

Private Key - A *Private Key* is a secret number known only to the holder of a *Digital Certificate*. This secret allows the holder to create *Digital Signatures* and decrypt data. If this secret is revealed to unauthorized parties then the associated *Digital Certificate* can no longer be trusted or used. It must be replaced or in the case of a CA generated certificate it must be revoked.

Trust List - A Trust List is a list of Certificates which are trusted by an Application Instance. When security is enabled UA Applications must reject connections from peers whose certificates are not in the trusted list or if the certificate is issued by a CA that is not in the Trust List.

Certificate Store - A Certificate Store is a place where Certificates and *Private Keys* can be stored on a file system. All Windows systems provide a registry based store called the Windows Certificate Store. All UA systems can also support a directory containing the Certificates stored in a file which is also called an OpenSSL Certificate Store.

Revocation List - A Revocation List is a list of Certificates which have been revoked by a CA and must not be accepted by an Application Instance.
