

INTERNATIONAL STANDARD

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Industrial communication networks – Network and system security –
Part 3-3: System security requirements and security levels
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Réseaux industriels de communication – Sécurité dans les réseaux et les
systèmes –
Partie 3-3: Exigences de sécurité des systèmes et niveaux de sécurité



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systèmes –** <https://standards.iteh.ai/catalog/standards/sist/c32e05fe-78a2-467e-a24d-8011680551c1/iec-62443-3-3-2013>
Partie 3-3: Exigences de sécurité des systèmes et niveaux de sécurité

INTERNATIONAL
ELECTROTECHNICAL
COMMISSION

COMMISSION
ELECTROTECHNIQUE
INTERNATIONALE

ICS 25.040.40; 35.110

ISBN 978-2-8322-6422-5

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CONTENTS

CONTENTS	2
FOREWORD	9
0 Introduction	11
0.1 Overview	11
0.2 Purpose and intended audience	12
0.3 Usage within other parts of the IEC 62443 series	12
1 Scope	14
2 Normative references	14
3 Terms, definitions, abbreviated terms, acronyms, and conventions	14
3.1 Terms and definitions	14
3.2 Abbreviated terms and acronyms	20
3.3 Conventions	22
4 Common control system security constraints	22
4.1 Overview	22
4.2 Support of essential functions	23
4.3 Compensating countermeasures	23
4.4 Least privilege	24
5 FR 1 – Identification and authentication	24
5.1 Purpose and SL-C(IAC) descriptions	24
5.2 Rationale	24
5.3 SR 1.1 – Human user identification and authentication	24
5.3.1 Requirement	24
5.3.2 Rationale and supplemental guidance	24
5.3.3 Requirement enhancements	25
5.3.4 Security levels	25
5.4 SR 1.2 – Software process and device identification and authentication	26
5.4.1 Requirement	26
5.4.2 Rationale and supplemental guidance	26
5.4.3 Requirement enhancements	26
5.4.4 Security levels	27
5.5 SR 1.3 – Account management	27
5.5.1 Requirement	27
5.5.2 Rationale and supplemental guidance	27
5.5.3 Requirement enhancements	27
5.5.4 Security levels	27
5.6 SR 1.4 – Identifier management	28
5.6.1 Requirement	28
5.6.2 Rationale and supplemental guidance	28
5.6.3 Requirement enhancements	28
5.6.4 Security levels	28
5.7 SR 1.5 – Authenticator management	28
5.7.1 Requirement	28
5.7.2 Rationale and supplemental guidance	28
5.7.3 Requirement enhancements	29
5.7.4 Security levels	29
5.8 SR 1.6 – Wireless access management	30

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IEC 62443-3-3:2013

[https://standards.iteh.ai/catalog/standards/sist/c32e05fe-78a2-467e-a24d-](https://standards.iteh.ai/catalog/standards/sist/c32e05fe-78a2-467e-a24d-01c422289159/iec-62443-3-3-2013)

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5.8.1	Requirement.....	30
5.8.2	Rationale and supplemental guidance.....	30
5.8.3	Requirement enhancements	30
5.8.4	Security levels	30
5.9	SR 1.7 – Strength of password-based authentication	30
5.9.1	Requirement.....	30
5.9.2	Rationale and supplemental guidance.....	30
5.9.3	Requirement enhancements	31
5.9.4	Security levels	31
5.10	SR 1.8 – Public key infrastructure (PKI) certificates	31
5.10.1	Requirement.....	31
5.10.2	Rationale and supplemental guidance.....	31
5.10.3	Requirement enhancements	32
5.10.4	Security levels	32
5.11	SR 1.9 – Strength of public key authentication	32
5.11.1	Requirement.....	32
5.11.2	Rationale and supplemental guidance.....	32
5.11.3	Requirement enhancements	33
5.11.4	Security levels	33
5.12	SR 1.10 – Authenticator feedback	33
5.12.1	Requirement.....	33
5.12.2	Rationale and supplemental guidance.....	33
5.12.3	Requirement enhancements	33
5.12.4	Security levels	33
5.13	SR 1.11 – Unsuccessful login attempts	34
5.13.1	Requirement.....	34
5.13.2	Rationale and supplemental guidance.....	34
5.13.3	Requirement enhancements	34
5.13.4	Security levels	34
5.14	SR 1.12 – System use notification.....	34
5.14.1	Requirement.....	34
5.14.2	Rationale and supplemental guidance.....	34
5.14.3	Requirement enhancements	35
5.14.4	Security levels	35
5.15	SR 1.13 – Access via untrusted networks	35
5.15.1	Requirement.....	35
5.15.2	Rationale and supplemental guidance.....	35
5.15.3	Requirement enhancements	35
5.15.4	Security levels	35
6	FR 2 – Use control.....	36
6.1	Purpose and SL-C(UC) descriptions.....	36
6.2	Rationale	36
6.3	SR 2.1 – Authorization enforcement.....	36
6.3.1	Requirement.....	36
6.3.2	Rationale and supplemental guidance.....	36
6.3.3	Requirement enhancements	37
6.3.4	Security levels	37
6.4	SR 2.2 – Wireless use control	37
6.4.1	Requirement.....	37

6.4.2	Rationale and supplemental guidance.....	38
6.4.3	Requirement enhancements	38
6.4.4	Security levels	38
6.5	SR 2.3 – Use control for portable and mobile devices	38
6.5.1	Requirement.....	38
6.5.2	Rationale and supplemental guidance.....	38
6.5.3	Requirement enhancements	39
6.5.4	Security levels	39
6.6	SR 2.4 – Mobile code.....	39
6.6.1	Requirement.....	39
6.6.2	Rationale and supplemental guidance.....	39
6.6.3	Requirement enhancements	39
6.6.4	Security levels	39
6.7	SR 2.5 – Session lock.....	40
6.7.1	Requirement.....	40
6.7.2	Rationale and supplemental guidance.....	40
6.7.3	Requirement enhancements	40
6.7.4	Security levels	40
6.8	SR 2.6 – Remote session termination	40
6.8.1	Requirement.....	40
6.8.2	Rationale and supplemental guidance.....	40
6.8.3	Requirement enhancements	40
6.8.4	Security levels	41
6.9	SR 2.7 – Concurrent session control.....	41
6.9.1	Requirement.....	41
6.9.2	Rationale and supplemental guidance.....	41
6.9.3	Requirement enhancements	41
6.9.4	Security levels	41
6.10	SR 2.8 – Auditable events.....	41
6.10.1	Requirement.....	41
6.10.2	Rationale and supplemental guidance.....	41
6.10.3	Requirement enhancements	42
6.10.4	Security levels	42
6.11	SR 2.9 – Audit storage capacity	42
6.11.1	Requirement.....	42
6.11.2	Rationale and supplemental guidance.....	42
6.11.3	Requirement enhancements	42
6.11.4	Security levels	43
6.12	SR 2.10 – Response to audit processing failures	43
6.12.1	Requirement.....	43
6.12.2	Rationale and supplemental guidance.....	43
6.12.3	Requirement enhancements	43
6.12.4	Security levels	43
6.13	SR 2.11 – Timestamps.....	43
6.13.1	Requirement.....	43
6.13.2	Rationale and supplemental guidance.....	43
6.13.3	Requirement enhancements	44
6.13.4	Security levels	44
6.14	SR 2.12 – Non-repudiation.....	44

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[IEC 62443-3-3:2013](https://standards.iteh.ai/catalog/standards/siv/c32e051e-78a2-467e-a24d-1c42289151ec/iec-62443-3-3-2013)

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6.14.1	Requirement.....	44
6.14.2	Rationale and supplemental guidance.....	44
6.14.3	Requirement enhancements	44
6.14.4	Security levels	44
7	FR 3 – System integrity	45
7.1	Purpose and SL-C(SI) descriptions	45
7.2	Rationale	45
7.3	SR 3.1 – Communication integrity	45
7.3.1	Requirement.....	45
7.3.2	Rationale and supplemental guidance.....	45
7.3.3	Requirement enhancements	46
7.3.4	Security levels	46
7.4	SR 3.2 – Malicious code protection	46
7.4.1	Requirement.....	46
7.4.2	Rationale and supplemental guidance.....	46
7.4.3	Requirement enhancements	47
7.4.4	Security levels	47
7.5	SR 3.3 – Security functionality verification	47
7.5.1	Requirement.....	47
7.5.2	Rationale and supplemental guidance.....	47
7.5.3	Requirement enhancements	48
7.5.4	Security levels	48
7.6	SR 3.4 – Software and information integrity	48
7.6.1	Requirement.....	48
7.6.2	Rationale and supplemental guidance.....	48
7.6.3	Requirement enhancements	49
7.6.4	Security levels	49
7.7	SR 3.5 – Input validation	49
7.7.1	Requirement.....	49
7.7.2	Rationale and supplemental guidance.....	49
7.7.3	Requirement enhancements	49
7.7.4	Security levels	49
7.8	SR 3.6 – Deterministic output	50
7.8.1	Requirement.....	50
7.8.2	Rationale and supplemental guidance.....	50
7.8.3	Requirement enhancements	50
7.8.4	Security levels	50
7.9	SR 3.7 – Error handling	50
7.9.1	Requirement.....	50
7.9.2	Rationale and supplemental guidance.....	50
7.9.3	Requirement enhancements	50
7.9.4	Security levels	51
7.10	SR 3.8 – Session integrity.....	51
7.10.1	Requirement.....	51
7.10.2	Rationale and supplemental guidance.....	51
7.10.3	Requirement enhancements	51
7.10.4	Security levels	51
7.11	SR 3.9 – Protection of audit information	52
7.11.1	Requirement.....	52

7.11.2	Rationale and supplemental guidance.....	52
7.11.3	Requirement enhancements	52
7.11.4	Security levels	52
8	FR 4 – Data confidentiality.....	52
8.1	Purpose and SL-C(DC) descriptions.....	52
8.2	Rationale	52
8.3	SR 4.1 – Information confidentiality.....	53
8.3.1	Requirement.....	53
8.3.2	Rationale and supplemental guidance.....	53
8.3.3	Requirement enhancements	53
8.3.4	Security levels	53
8.4	SR 4.2 – Information persistence	54
8.4.1	Requirement.....	54
8.4.2	Rationale and supplemental guidance.....	54
8.4.3	Requirement enhancements	54
8.4.4	Security levels	54
8.5	SR 4.3 – Use of cryptography	54
8.5.1	Requirement.....	54
8.5.2	Rationale and supplemental guidance.....	55
8.5.3	Requirement enhancements	55
8.5.4	Security levels	55
9	FR 5 – Restricted data flow	55
9.1	Purpose and SL-C(RDF) descriptions	55
9.2	Rationale	55
9.3	SR 5.1 – Network segmentation.....	56
9.3.1	Requirement.....	56
9.3.2	Rationale and supplemental guidance.....	56
9.3.3	Requirement enhancements	56
9.3.4	Security levels	57
9.4	SR 5.2 – Zone boundary protection.....	57
9.4.1	Requirement.....	57
9.4.2	Rationale and supplemental guidance.....	57
9.4.3	Requirement enhancements	57
9.4.4	Security levels	58
9.5	SR 5.3 – General purpose person-to-person communication restrictions.....	58
9.5.1	Requirement.....	58
9.5.2	Rationale and supplemental guidance.....	58
9.5.3	Requirement enhancements	58
9.5.4	Security levels	59
9.6	SR 5.4 – Application partitioning	59
9.6.1	Requirement.....	59
9.6.2	Rationale and supplemental guidance.....	59
9.6.3	Requirement enhancements	59
9.6.4	Security levels	59
10	FR 6 – Timely response to events.....	59
10.1	Purpose and SL-C(TRE) descriptions.....	59
10.2	Rationale	60
10.3	SR 6.1 – Audit log accessibility	60
10.3.1	Requirement.....	60

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IEC 62443-3-3:2013

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10.3.2	Rationale and supplemental guidance.....	60
10.3.3	Requirement enhancements	60
10.3.4	Security levels	60
10.4	SR 6.2 – Continuous monitoring.....	60
10.4.1	Requirement.....	60
10.4.2	Rationale and supplemental guidance.....	60
10.4.3	Requirement enhancements	61
10.4.4	Security levels	61
11	FR 7 – Resource availability	61
11.1	Purpose and SL-C(RA) descriptions.....	61
11.2	Rationale	61
11.3	SR 7.1 – Denial of service protection	62
11.3.1	Requirement.....	62
11.3.2	Rationale and supplemental guidance.....	62
11.3.3	Requirement enhancements	62
11.3.4	Security levels	62
11.4	SR 7.2 – Resource management.....	62
11.4.1	Requirement.....	62
11.4.2	Rationale and supplemental guidance.....	62
11.4.3	Requirement enhancements	62
11.4.4	Security levels	63
11.5	SR 7.3 – Control system backup.....	63
11.5.1	Requirement.....	63
11.5.2	Rationale and supplemental guidance.....	63
11.5.3	Requirement enhancements	63
11.5.4	Security levels	63
11.6	SR 7.4 – Control system recovery and reconstitution	63
11.6.1	Requirement.....	63
11.6.2	Rationale and supplemental guidance.....	63
11.6.3	Requirement enhancements	64
11.6.4	Security levels	64
11.7	SR 7.5 – Emergency power.....	64
11.7.1	Requirement.....	64
11.7.2	Rationale and supplemental guidance.....	64
11.7.3	Requirement enhancements	64
11.7.4	Security levels	64
11.8	SR 7.6 – Network and security configuration settings.....	64
11.8.1	Requirement.....	64
11.8.2	Rationale and supplemental guidance.....	64
11.8.3	Requirement enhancements	65
11.8.4	Security levels	65
11.9	SR 7.7 – Least functionality	65
11.9.1	Requirement.....	65
11.9.2	Rationale and supplemental guidance.....	65
11.9.3	Requirement enhancements	65
11.9.4	Security levels	65
11.10	SR 7.8 – Control system component inventory	66
11.10.1	Requirement.....	66
11.10.2	Rationale and supplemental guidance.....	66

11.10.3 Requirement enhancements 66

11.10.4 Security levels 66

Annex A (informative) Discussion of the SL vector 67

Annex B (informative) Mapping of SRs and REs to FR SL levels 1-4 75

Bibliography..... 79

Figure 1 – Structure of the IEC 62443 series 13

Figure A.1 – High-level process-industry example showing zones and conduits 69

Figure A.2 – High-level manufacturing example showing zones and conduits..... 70

Figure A.3 – Schematic of correlation of the use of different SL types 71

Table B.1 – Mapping of SRs and REs to FR SL levels 1-4 (1 of 4) 75

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**INDUSTRIAL COMMUNICATION NETWORKS –
NETWORK AND SYSTEM SECURITY –**

Part 3-3: System security requirements and security levels

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International Standard IEC 62443-3-3 has been prepared by IEC technical committee 65: Industrial-process measurement, control and automation.

This bilingual version (2019-01) corresponds to the monolingual English version, published in 2013-08.

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

FDIS	Report on voting
65/531/FDIS	65/540/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.

The French version of this standard has not been voted upon.

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

A list of all parts in the IEC 62443 series, published under the general title *Industrial communication networks – Network and system security*, can be found on the IEC website.

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0 Introduction

0.1 Overview

NOTE 1 This standard is part of series of standards that addresses the issue of security for industrial automation and control systems (IACS). It has been developed by working group 4, task group 2 of the IEC99 committee in cooperation with IEC TC65/WG10. This document prescribes the security requirements for control systems related to the seven foundational requirements defined in IEC 62443-1-1 and assigns system security levels (SLs) to the system under consideration (SuC).

NOTE 2 The format of this standard follows the ISO/IEC requirements discussed in ISO/IEC Directives, Part 2 [11].¹ These directives specify the format of the standard as well as the use of terms like “shall”, “should”, and “may”. The requirements specified in normative clauses use the conventions discussed in Appendix H of the ISO/IEC Directives.

Industrial automation and control system (IACS) organizations increasingly use commercial-off-the-shelf (COTS) networked devices that are inexpensive, efficient and highly automated. Control systems are also increasingly interconnected with non-IACS networks for valid business reasons. These devices, open networking technologies and increased connectivity provide an increased opportunity for cyber attack against control system hardware and software. That weakness may lead to health, safety and environmental (HSE), financial and/or reputational consequences in deployed control systems.

Organizations deploying business information technology (IT) cyber security solutions to address IACS security may not fully comprehend the results of this decision. While many business IT applications and security solutions can be applied to IACS, they need to be applied in an appropriate way to eliminate inadvertent consequences. For this reason, the approach used to define system requirements needs to be based on a combination of functional requirements and risk assessment, often including an awareness of operational issues as well.

IACS security measures should not have the potential to cause loss of essential services and functions, including emergency procedures (IT security measures, as often deployed, do have this potential.) IACS security goals focus on control system availability, plant protection, plant operations (even in a degraded mode) and time-critical system response. IT security goals often do not place the same emphasis on these factors; they may be more concerned with protecting information rather than physical assets. These different goals need to be clearly stated as security objectives regardless of the degree of plant integration achieved. A key step in risk assessment, as required by IEC 62443-2-1², should be the identification of which services and functions are truly essential for operations. (For example, in some facilities engineering support may be determined to be a non-essential service or function.) In some cases, it may be acceptable for a security action to cause temporary loss of a non-essential service or function, unlike an essential service or function that should not be adversely affected.

This standard assumes that a security program has been established and is being operated in accordance with IEC 62443-2-1. Furthermore, it is assumed that patch management is implemented consistently with the recommendations detailed in IEC/TR 62443-2-3 [5] utilizing the appropriate control system requirements and requirement enhancements as described in this standard. In addition, IEC 62443-3-2 [8] describes how a project defines risk-based security levels (SLs) which then are used to select products with the appropriate technical security capabilities as detailed in this standard. Key input to this standard included ISO/IEC 27002 [15] and NIST SP800-53, rev 3 [24] (see Clause 2 and the Bibliography for a more complete listing of source material).

¹ Numbers in square brackets refer to the Bibliography.

² Many documents in the IEC 62443 series are currently under review or in development.

The primary goal of the IEC 62443 series is to provide a flexible framework that facilitates addressing current and future vulnerabilities in IACS and applying necessary mitigations in a systematic, defensible manner. It is important to understand that the intention of the IEC 62443 series is to build extensions to enterprise security that adapt the requirements for business IT systems and combines them with the unique requirements for strong availability needed by IACS.

0.2 Purpose and intended audience

The IACS community audience for this standard is intended to be asset owners, system integrators, product suppliers, service providers and, where appropriate, compliance authorities. Compliance authorities include government agencies and regulators with the legal authority to perform audits to verify compliance with governing laws and regulations.

System integrators, product suppliers and service providers will use this standard to evaluate whether their products and services can provide the functional security capability to meet the asset owner's target security level (SL-T) requirements. As with the assignment of SL-Ts, the applicability of individual control system requirements (SRs) and requirement enhancements (REs) needs to be based on an asset owner's security policies, procedures and risk assessment in the context of their specific site. Note that some SRs contain specific conditions for permissible exceptions, such as where meeting the SR will violate fundamental operational requirements of a control system (which may trigger the need for compensating countermeasures).

When designing a control system to meet the set of SRs associated with specific SL-Ts, it is not necessary that every component of the proposed control system support every system requirement to the level mandated in this standard. Compensating countermeasures can be employed to provide the needed functionality to other subsystems, such that the overall SL-T requirements are met at the control system level. Inclusion of compensating countermeasures during the design phase should be accompanied by comprehensive documentation so that the resulting achieved control system SL, SL-A (control system), fully reflects the intended security capabilities inherent in the design. Similarly, during certification testing and/or post-installation audits, compensating countermeasures can be utilized and documented in order to meet the overall control system SL.

There is insufficient detail in this standard to design and build an integrated security architecture. That requires additional system-level analysis and development of derived requirements that are the subject of other standards in the IEC 62443 series (see 0). Note that providing specifications detailed enough to build a security architecture are not the goal of this standard. The goal is to define a common, minimum set of requirements to reach progressively more stringent security levels. The actual design of an architecture that meets these requirements is the job of system integrators and product suppliers. In this task, they retain the freedom to make individual choices, thus supporting competition and innovation. Thus this standard strictly adheres to specifying functional requirements, and does not address how these functional requirements should be met.

0.3 Usage within other parts of the IEC 62443 series

Figure 1 shows a graphical depiction of the IEC 62443 series when this standard was written.

IEC 62443-3-2 uses the SRs and REs as a checklist. After the system under consideration (SuC) has been described in terms of zones and conduits, and individual target SLs have been assigned to these zones and conduits, the SRs and REs in this standard, as well as their mapping to capability SLs (SL-Cs), are used to compile a list of requirements which the control system design needs to meet. A given control system design can then be checked for completeness, thereby providing the SL-As.

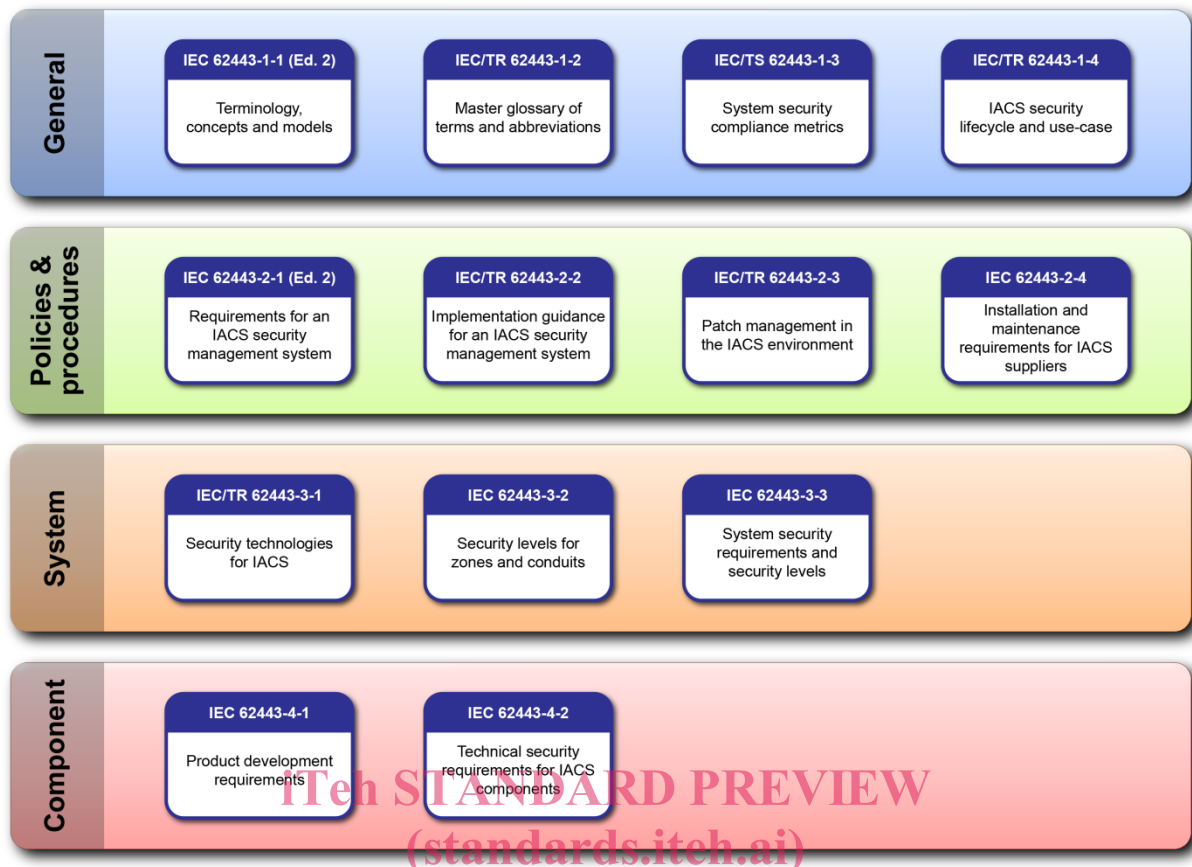


Figure 1 – Structure of the IEC 62443 series

<https://standards.itech.ai/catalog/standards/sist/c32e05fe-78a2-467e-a24d-0fc422289f55/iec-62443-3-3-2013>

IEC/TS 62443-1-3 [2] uses the foundational requirements (FRs), SRs, REs and the mapping to SL-Cs as a checklist to test for completeness of the specification of quantitative metrics. The quantitative security compliance metrics are context specific. Together with IEC 62443-3-2, the asset owner's SL-T assignments are translated into quantitative metrics that can be used to support system analysis and design trade-off studies, to develop a security architecture.

IEC 62443-4-1 [9] addresses the overall requirements during the development of products. As such, IEC 62443-4-1 is product supplier centric. Product security requirements are derived from the list of baseline requirements and REs specified in this standard. Normative quality specifications in IEC 62443-4-1 will be used when developing these product capabilities.

IEC 62443-4-2 [10] contains sets of derived requirements that provide a detailed mapping of the SRs specified in this standard to subsystems and components of the SuC. At the time this standard was written, the component categories addressed in IEC 62443-4-2 were: embedded devices, host devices, network devices and applications. As such, IEC 62443-4-2 is vendor (product supplier and service provider) centric. Product security requirements are first derived from the list of baseline requirements and REs specified in this standard. Security requirements and metrics from IEC 62443-3-2 and IEC/TS 62443-1-3 are used to refine these normative derived requirements.