

# **Detailed Design**

Interim PKI - IEEE 2030.5

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## **Document Revision History**

ID	Title	Date	Revision
A	First Release	03/07/2025	1.0



#### 1. Solution Context

This document outlines the detailed design for the Interim Public Key Infrastructure (PKI) service for coordinated Distribution Network Service Providers (DNSPs), provided by SwitchDin in partnership with DigiCert. This service is a key component for implementing Emergency Backstop mechanisms for Consumer Energy Resources (CER) in alignment with CSIP-AUS (Common Smart Inverter Profile – Australia) and IEEE 2030.5 2018 standards.

Coordinated DNSPs have opted for a shared Smart Energy Root CA (SERCA) and other PKI processes. This shared service model is closely aligned with the national PKI concepts and architecture envisioned for the National Energy PKI (NEPKI). The solution aims to provide the required PKI capability until the NEPKI solution is available, offering an easy transition path.

The PKI components and processes have been informed by the Gatekeeper Public Key Infrastructure Framework published by the Australian Government, Department of Finance.

#### 1.1. Changes to this document

Changes to the document will be made from time to time. The latest version will be made available via the <u>SwitchDin Support Portal</u>. Significant changes will be raised for discussion and final decision at the Policy Steering Committee meetings.

#### 1.2. Roles and responsibilities

#### **Interim PKI Service Operators**

Service Operator	Overview and Responsibilities
SwitchDin	Responsible for the overall operation of the Interim PKI service.
	<ul> <li>Responsibilities include maintaining a PKI service as outlined in this document. This includes but is not limited to: <ul> <li>First and second line technical support for the service.</li> <li>Ensuring a CA hierarchy aligned to the IEEE 2030.5 standard.</li> <li>Maintaining a repository of all relevant information, accessible to Interim PKI Consumers, relating to the service.</li> <li>Completing OEM identity checks.</li> <li>Chairing the Policy Steering Committee.</li> </ul> </li> </ul>



DigiCert	DigiCert operates the PKI platform that the Interim PKI runs on top of.
	Responsibilities include:  Third line technical support for the service.  Operating a reliable and secure platform in line with industry practices.

#### **Interim PKI Service Consumers**

Consumer Type	Overview and Responsibilities
DNSPs	DNSPs manage registered CER connected to their network via a Utility Server. Utility Server Device certificates are hosted on the DNSP Utility Server.
	<ul> <li>Responsibilities include:</li> <li>Approve any certificate requests related to their network (e.g. DNSP MICA and Utility Server Device certificates).</li> <li>Authorise OEMs (Aggregators and Direct Connect) to request PKI services related to their DNSP network.</li> </ul>
OEMs (Aggregators)	OEMs manufacture CER. OEM Aggregators act as a proxy/gateway for a fleet of CER to the DNSP Utility Server. Aggregator Device Certificates are hosted on the Aggregator infrastructure.
	Responsibilities include:
OEMs (Direct Connect)	OEMs manufacture CER. OEMs which operate in a Direct Connect architecture have deployed CER directly connecting to the DNSP Utility Server. Device Certificates are installed directly onto these CER devices.
	Responsibilities include:



### 2. Solution Overview

## 2.1. Certificate Authority (CA)

#### **Test and Production Environments**

Separate test and production CA environments are configured.

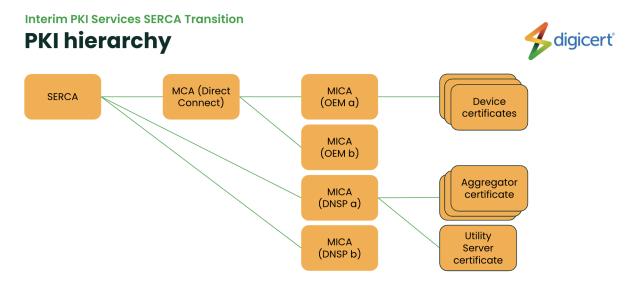
- The test environment manages certificates for pre-production test environments.
- The production environment manages certificates for the live emergency backstop or other CSIP-AUS based services.

Prior to issuing Production Certificates:

- It is expected that all DNSP and OEM configuration and certificates are tested in an appropriate Test environment and approved by the DNSP; and
- OEM identification checks must be completed.

#### **Certificate Authority Trust Hierarchy**

The following Certificate Hierarchy is configured in the Test and Production environments.



#### Notes on hierarchy:

- The hierarchy makes use of the four levels available from the IEEE 2030.5 standard.
- The Smart Energy Root CA (SERCA) is maintained offline and subject to strict
  procedures for its protection and use. The current SERCA is held in the US with the near
  term plan to establish a SERCA in Australia.



- A Manufacturer CA (MCA) is used for Direct Connect OEM's. The Direct Connect MCA is
  online and can only be used by interacting with the DigiCert PKI hosting platform. A
  Direct Connect MCA was established to improve the onboarding speed of OEM MICAs
  as these are signed by the online MCA (as opposed to requiring a key ceremony
  requiring physical access to HSMs).
- Manufacturer Issuing CA's (MICA) are used for DNSP (Aggregator and Utility Server device certificate) and Direct Connect OEM device certificate issuance.
- Direct Connect OEM MICA's are currently managed offline by OEMs. OEM MICAs allow for the simplest OEM support. A single OEM MICA enables valid certificates across all DNSPs. Note: DNSPs have the option to limit access via mechanisms on their Utility Server (e.g. through ACLs). A near term plan is moving these to online MICAs on the PKI platform to improve security.
- DNSP MICA's are online and can only be used by interacting with the DigiCert PKI
  hosting platform. DNSP MICA's allow segregation between DNSPs for a majority of CER
  power under management.

#### **Certificate Profiles**

Certificates are expected to be issued as per the following:

Certificate Type	Implementation Details
SERCA	Completed as per section "6.11.8.2 Root certificate" of IEEE 2030.5 2018 (as referenced in CSIP-AUS v1.2).
	Within Interim PKI implementation the following are permitted:  1. Issued by: Self signed  2. Issuer and Subject Name are:
	<u>Test:</u> % openssl x509 -issuer -noout -in test_SERCA.pem
	issuer= /C=AU/O=SwitchDin Pty Ltd/OU=For TEST Purposes ONLY/CN=SwitchDin Test SERCA G1/serialNumber=001
	Production: % openssl x509 -issuer -noout -in prod_SERCA.pem
	issuer= /C=AU/O=SwitchDin Pty Ltd/CN=SwitchDin SERCA G1/serialNumber=001
	Extensions:  3. certificatePolicy: Critical; anyPolicy



Certificate Type	Implementation Details
	<ul> <li>4. keyUsage: Critical; keyCertSign, crlSign</li> <li>5. basicConstraints: Critical; cA=true, pathLen absent (unlimited)</li> <li>6. subjectKeyIdentifer: set.</li> </ul>
MCA (Direct Connect)	To be completed as per section "6.11.8.3.1 MCA certificate" of IEEE 2030.5 2018.
	Within Interim PKI implementation the following are permitted:  1. Issued by: SERCA  2. Subject Name: C= <country>, O=<manufacturing org="">, CN=SwitchDin MCA GI, serialNumber=<num> a. In the Test Environment only, an OU is set to "For TEST Purposes ONLY".</num></manufacturing></country>
	Extensions:  3. Certificate policies are set to - critical:  a. Policy: 1.3.6.1.4.1.40732.1.1 b. Policy: 1.3.6.1.4.1.40732.1.2 c. Policy: 1.3.6.1.4.1.40732.2.3 d. Policy: 1.3.6.1.4.1.40732.2.1 (Test Environment only)  4. keyUsage: critical; keyCertSign 5. basicConstraints: critical; cA=true, pathLen=1 6. subjectKeyIdentifier: set 7. authorityKeyIdentifier: set
DNSP MICAs	To be completed as per section "6.11.8.3.2 MICA certificate" of IEEE 2030.5 2018.  Within Interim PKI implementation the following are permitted:  1. Issued by: SERCA.  2. Subject Name: C= <country>, O=<manufacturing org="">, CN=IEEE 2030.5 MICA, serialNumber=<num> a. CN may be: <dnsp> IEEE 2030.5 MICA. (non preferred) b. In the Test Environment only, an OU is set to "For TEST Purposes ONLY".</dnsp></num></manufacturing></country>
	Extensions:  3. Certificate policies are set to - critical:  a. Policy: 1.3.6.1.4.1.40732.1.1  b. Policy: 1.3.6.1.4.1.40732.1.2  c. Policy: 1.3.6.1.4.1.40732.1.3



Certificate Type	Implementation Details
	d. Policy: 1.3.6.1.4.1.40732.2.1 (Test Environment only) 4. keyUsage: critical; keyCertSign 5. basicConstraints: critical; cA=true, pathLen=0 6. subjectKeyIdentifier: set 7. authorityKeyIdentifier: set
	E.g. in Test: % openssl x509 -noout -in Test_DNSP_MICA.pem -subject
	subject= /C=AU/O=DNSP/OU=For TEST Purposes ONLY/CN=IEEE 2030.5 MICA/serialNumber=001
	E.g. in Production: % openssl x509 -noout -in Prod_DNSP_MICA.pem -subject
	subject= /C=AU/O=DNSP/CN=DNSP IEEE 2030.5 MICA/serialNumber=001
Utility Server Certificates	To be completed as per section "6.11.8.3.3 Device certificate" of IEEE 2030.5 2018.
	<ol> <li>Within Interim PKI implementation the following are permitted:         <ol> <li>Issued by: DNSP MICA.</li> </ol> </li> <li>The Subject field must be set. Note: this is required for devices and aggregators to trust the server through a Common Name match. Attributes must include C, O and CN fields. The CN field should record the DNS name. Other Subject fields are optional.</li> </ol>
	Extensions:  3. Certificate policies are set to - critical:  a. Policy: 1.3.6.1.4.1.40732.1.1  b. Policy: 1.3.6.1.4.1.40732.2.1 (Test Environment only)  4. As per the standard, the Subject Alternative Name is marked critical and includes one GeneralName of type OtherName of hardwareModuleName. This field is made up of hwType and hwSerialNum.
	<ul> <li>a. hwType records the PEN</li> <li>b. hwSerialNum can be determined by the DNSP but the combination of hwType and hwSerialNum must be unique. Recommended value <pen>yyyymmdd.</pen></li> <li>5. keyUsage: critical; keyAgreement, digitalSignature</li> <li>6. authorityKeyldentifier: set</li> </ul>



Certificate Type	Implementation Details	
	<ol> <li>Note: the following may also be set:</li> <li>The Subject Alternative Name field may have the DNS field set. No Utility Server Certificates signed after 01/07/2025 have this value set.</li> <li>OCSP set. No Utility Server Certificates signed after 01/07/2025 have this value set.</li> <li>X509v3 Extended Key Usage is set to: TLS Web Server Authentication, TLS Web Client Authentication. No Utility Server Certificates signed after 01/07/2025 have this value set.</li> <li>subjectKeyldentifier set. No Utility Server Certificates signed after 01/07/2025 will have this value set.</li> </ol>	
Aggregator Certificates	To be completed as per section "6.11.8.3.3 Device certificate" of IEEE 2030.5 2018.  Within Interim PKI implementation the following are permitted:  1. Issued by: DNSP MICA.  2. Subject Name: [EMPTY].	
	Extensions:  3. Certificate policies are set to - critical:  a. Policy: 1.3.6.1.4.1.40732.1.1  b. Policy: 1.3.6.1.4.1.40732.2.1 (Test Environment only)  4. As per the standard, the Subject Alternative Name is marked critical and includes one GeneralName of type OtherName of hardwareModuleName. This field is made up of hwType and hwSerialNum.  a. hwType records the PEN  b. hwSerialNum can be determined by the OEM but the combination of hwType and hwSerialNum must be unique. Recommended value <pen>yyyymmdd.  5. keyUsage: critical; keyAgreement, digitalSignature  6. authorityKeyIdentifier: set</pen>	
	<ol> <li>Note: the following may also be set:</li> <li>OCSP is set. No Aggregator Certificates signed after 01/07/2025 have this value set.</li> <li>Extended Key Usage is set to: TLS Web Server Authentication, TLS Web Client Authentication. No Aggregator Certificates signed after 01/07/2025 have this value set.</li> <li>subjectKeyldentifier set. No Aggregator Certificates signed after 01/07/2025 will have this value set.</li> </ol>	



Certificate Type	Implementation Details
Aggregator Notification Server Certificates	To be completed as per Aggregator Certificates (see above) with the following addition:  • Subject Alternative Name: critical. With the DNS field set to the URL of their notification server.
OEM MICA (Direct Connect)	To be completed as per section "6.11.8.3.2 MICA certificate" of IEEE 2030.5 2018.  Within Interim PKI implementation the following are permitted:
	<ol> <li>Issued by: Direct Connect MCA.</li> <li>Subject Name: C=<country>, O=<manufacturing org="">, CN=IEEE 2030.5 MICA, serialNumber=<num> <ul> <li>In the Test Environment only, an OU is set to "For TEST Purposes ONLY".</li> <li>CN must be set to "IEEE 2030.5 MICA" (after 1 July 2025).</li> <li>Subject Name attribute matches the above order for all certificates after 1 July 2025.</li> </ul> </num></manufacturing></country></li> </ol>
	Extensions:  3. Certificate policies are set to - critical:  a. Policy: 1.3.6.1.4.1.40732.1.1 b. Policy: 1.3.6.1.4.1.40732.1.2 c. Policy: 1.3.6.1.4.1.40732.2.1 (Test Environment only)  4. Key Usage must be set to - critical, Certificate Sign (only) after 1 July 2025.  5. basicConstraints: critical; cA=true, pathLen=0  6. subjectKeyIdentifier: set  7. authorityKeyIdentifier: set
Device Certificates (Direct Connect)	To be completed as per section "6.11.8.3.3 Device certificate" of IEEE 2030.5 2018.  Within Interim PKI implementation the following are permitted:  1. Issued by: OEM MICA.  2. Subject Name: [EMPTY].
	Extensions:  3. Certificate policies are set to - critical. One device type



Certificate Type	Implementation Details
	identifier as a Policy Identifier from the below:  a. Policy: 1.3.6.1.4.1.40732.1.1 b. Policy: 1.3.6.1.4.1.40732.1.2 c. Policy: 1.3.6.1.4.1.40732.1.3  4. The following policy assignment identifier must be set as a Policy Identifier for test device certificates: a. Policy: 1.3.6.1.4.1.40732.2.1 (Test Environment only)  5. As per the standard, the Subject Alternative Name is marked critical and includes one GeneralName of type OtherName of hardwareModuleName. This field is made up of hwType and hwSerialNum. a. hwType records the PEN b. hwSerialNum can be determined by the OEM but the combination of hwType and hwSerialNum must be unique.  6. keyUsage: critical; keyAgreement, digitalSignature 7. authorityKeyIdentifier: set

Note: refer to the Repository section for details on common SERCA and MCA (Direct Connect).

## 2.2. Registration Authority (RA)

The RA is responsible for verifying the organisation and the identity of the Authoriser of the business entity (the Authoriser). Identity verification is performed to the Gatekeeper PKI Framework published by the Digital Transformation Office of the Australian Government. Identify Verification of the Authoriser is performed in line with the Gatekeeper frameworks Level of Assurance 2.

An Authoriser is a member of a class of persons with a clear capacity to commit an organisation and to appoint a Certificate Manager. Persons who are members of this class may include but are not limited to a Chief Executive Officer, Company Director, Trustee, Sole Trader, Partner or Company Owner. For more information refer to "Evidence of Association" under the Gatekeeper Framework page.

The Authoriser also nominates one or more certificate managers authorised to manage digital certificates on behalf of the organisation. Certificate Managers are verified against the approved list prior to certificate issuance. No identity checks are required.



#### 2.3. Repository

All relevant information relating to the Interim PKI service can be found on the SwitchDin support portal repository including:

- Valid and invalid certificates Reports page.
- Certified list of OEMs (per DNSP) <u>Production PKI Certified List</u>.
- Process documentation (including this document) <u>Document Repository</u>.
- Common SERCA, MCA and DC MICAs are not stored on the repository but provided to certificate requestors in a bundle as needed by the requestor.

#### 2.4. Governance

#### **Detailed Design (this document)**

The Interim PKI will be run in line with the practices documented in this detailed design document and those processes it refers to.

#### **Policy Steering Committee**

A Policy Steering Committee guides the development of this policy framework that supports the secure and coordinated implementation of the Interim PKI. There is a strong emphasis on alignment with the National Energy Public Key Infrastructure (NEPKI). The Committee includes appropriate representation from the different stakeholders of the Interim PKI as well as those interested in ensuring interoperability, security, and consistency across the broader energy ecosystem. This includes SwitchDin, DigiCert, participating DNSPs, OEMs, and other relevant stakeholders.

Significant security issues detected (e.g. a compromise of an OEM MICA) will be reported immediately to relevant stakeholders. All other issues will be reported on during regular steering committee meetings for visibility.

#### **OEM Requirements**

Upon registering, OEMs sign a set of Certificate Practice Requirements stating their obligations when operating in the Interim PKI.



### 3. PKI Processes

#### 3.1. Contacting support

SwitchDin support can be reached via:

- Our online Support Hub (accessible 24x7) https://support.switchdin.com/hc/en-us/requests/new
- By email at support@switchdin.com
- By phone at +61 (0) 2 4786 0426

SwitchDin Support Standard Operating Hours are from 9am AEDT to 5pm AWST on business days.

## 3.2. DNSP Registration and Issuance

- 1. DNSP registration to the service commences upon receipt of a signed contract and purchase order.
- 2. SwitchDin create DNSP profiles in the relevant Certificate Request forms and Interim PKI Document Repository including:
  - a. Valid and invalid certificates Reports page.
  - b. Certified list of OEMs (per DNSP) Production PKI Certified List.
  - c. Certificate Request forms.
- 3. SwitchDin authorises DNSP users to access the Interim PKI Document Repository.
- 4. DNSP authorised users to <u>register</u> to the support portal and the Interim PKI Document Repository.
- 5. DNSP MICA setup SwitchDin will populate MICA Naming Documents for DNSP review and approval. Note: MICA setup requires a physical key signing ceremony and thus forms must be submitted 10 days before the key signing ceremony (completed by DigiCert weekly on Wednesday's).
- 6. Utility Server Certificates (Test/Production) DNSP to initiate <u>Utility Server Client</u>

  <u>Certificate</u> request. Note: Production requests are expected to be completed after appropriate validation in a Test environment.
- 7. SwitchDin records all certificates created in the relevant DNSP Certificate Tracker.
- 8. DNSP is responsible for testing the certificate and connectivity in a timely manner to close out the support ticket.



#### 3.3. OEM Registration and Issuance

The following process flow describes the high-level steps involved in registering a new OEM through to certificate issuance:

#### Interim PKI OEM Onboarding - High Level View DNSP **New Request** SwitchDin Requests DNSP Approval **DNSP Approval** Submitted on SwitchDin Online Support SwitchDin requests OEM approval via a DNSP **DNSP** approves OEM request Center or email at support@switchdin.com Program representative **Portal Registration Open Portal Access** OEM must register with the SwitchDin Support SwitchDin grants access to secure section of Center Online support center ID Check Process (Production Server) SwitchDin sends a DocuSign request to the OEM Authoriser After completion, SwitchDin reviews and approves the submitted ID Test **CSR Preparation** Cert Issuance Update Cert OEM prepare CSR and submit to the SwitchDin Register SwitchDin support portal process CSR. SwitchDin generate updates relevant certificate bundle certificate Cert Validation / Installation and provide to register OEM ensure that the trust-chain is assembled the OFM correctly and test connectivity with server

#### **OEM Registration**

- 1. New Request OEM to submit a new request to be onboarded to the Interim PKI for the specific DNSP required <a href="https://support.switchdin.com/hc/en-us/requests/new">https://support.switchdin.com/hc/en-us/requests/new</a>
- 2. DNSP approval
  - a. A support ticket has been opened and sent to DNSP for approval.
  - b. Authorisation is tracked on the Production PKI Certified List of OEM per DNSP
- Open Portal Access SwitchDin authorises OEM users to access the <u>Interim PKI</u>
   <u>Document Repository</u>.
- 4. OEM Portal Registration OEM authorised users to <u>register</u> to the support portal and the Interim PKI Document Repository.

Note: during initial onboarding periods (or for other unforeseen reasons) this process may differ. SwitchDin will ensure DNSP approval is provided prior to servicing OEM requests.

#### Certificate Request and Issuance (Test and Production)

For Test Environment Certificates, jump to step 2.

 ID Check Process - this step must be completed prior to Production Certificate Issuance.



- a. SwitchDin sends the Organisation Verification Request Form to the nominated Authoriser via Docusign.
- The Authoriser completes the relevant forms and attaches the required evidence. Refer here for more details on <u>Understanding "Evidence of</u> <u>Association" Under the Gatekeeper PKI Standard</u>.
- c. SwitchDin verifies the Authorisers documentation.

Note 1: ID checks do not need to be re-performed for OEMs who have completed the process for another DNSP in the last year provided that the Authoriser and Certificate Manager remain the same.

Note 2: By signing these forms, the Authoriser confirms acceptance of the obligations set out in the OEM Certificate Practice Requirements outlined in the form.

Note 3: Where insufficient documentation is provided as part of the identity check process, SwitchDin will request additional details to be provided. Significant delays will be communicated to the DNSP.

- 2. Certificate Signing Request (CSR) Preparation The OEM initiates the certificate request via the relevant forms:
  - a. Aggregator OEM Process
  - b. <u>Direct Connect OEM Process</u>
- 3. Certificate Issuance SwitchDin returns the signed certificate to the OEM on the support ticket once completed.
- 4. Certificate Register Updated SwitchDin updates the relevant <u>Certificate Tracker</u> for DNSP visibility.
- 5. Certificate Validation / Installation OEM is responsible for testing the certificate and connectivity in a timely manner to close out the support ticket.

Note 5: Any issues identified with the CSR will be requested to be updated prior to certificate issuance.

Note 6: Issue identified post certificate issuance will be rectified by providing a new certificate. The certificate will be marked as revoked in the PKI portal. SwitchDin will request the OEM to delete the private key and/or certificate as required. The OEM is responsible for securely completing this deletion.



#### 4. Future work

This section outlines design improvements that have been identified for future work but are not included in the current design. These will act as a checklist or backlog for future design iterations. The list is not intended to be exhaustive.

- A SERCA hosted in Australia. To ensure sovereignty of private key material.
- Online hosted OEM MICAs for Direct Connect OEMs. To standardise security practices for all OEMs without requiring distributed security audits.
- Alternative processes for identity checking. E.g. where required due to an update to the Gatekeeper framework.