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*Technical Specification*

**Universal Mobile Telecommunications System (UMTS);  
Network domain security;  
Authentication framework (NDS/AF)  
(3GPP TS 33.310 version 7.1.0 Release 7)**

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## Foreword

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## Introduction

For 3GPP systems there is a need for truly scalable entity Authentication Framework (AF) since an increasing number of network elements and interfaces are covered by security mechanisms.

This specification provides a highly scalable entity authentication framework for 3GPP network nodes. This framework is developed in the context of the Network Domain Security work item, which effectively limits the scope to the control plane entities of the core network. Thus, *the Authentication Framework will provide entity authentication for the nodes that are using NDS/IP.*

Feasible trust models (i.e. how CAs are organized) and their effects are provided. Additionally, requirements are presented for the used protocols and certificate profiles, to make it possible for operator IPsec and PKI implementations to interoperate.

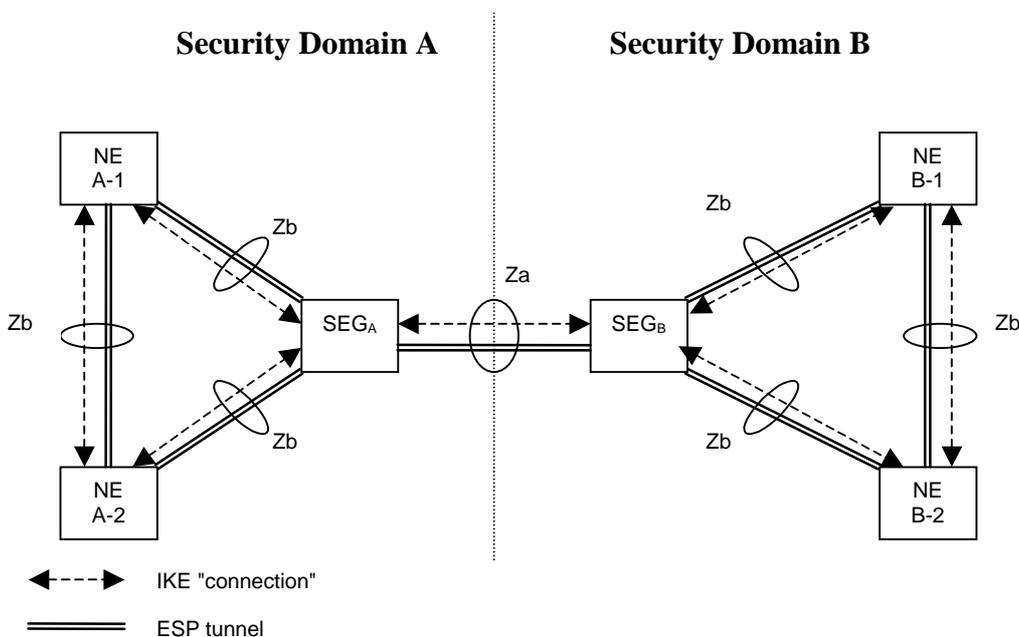
# 1 Scope

The scope of this Technical Specification is limited to authentication of network elements, which are using NDS/IP or TLS, and located in the inter-operator domain.

In the case of NDS/IP this Specification concentrates on authentication of Security Gateways (SEG), and the corresponding Za-interfaces. Authentication of elements in the intra-operator domain is considered an internal issue for operators. This is quite much in line with [1] which states that only Za is mandatory, and that the security domain operator can decide if the Zb-interface is deployed or not, as the Zb-interface is optional for implementation. However, NDS/AF can easily be adapted to intra-operator use since it is just a simplification of the inter-operator case when all NDS/IP NEs and the PKI infrastructure belong to the same operator. Validity of certificates may be restricted to the operator's domain.

**NOTE:** In case two SEGs interconnect separate network regions under a single administrative authority (e.g. owned by the same mobile operator) then the Za-interface is not subject to interconnect agreements, but the decision on applying Za-interface is left to operators.

The NDS architecture for IP-based protocols is illustrated in figure 1.



**Figure 1: NDS architecture for IP-based protocols [1]**

In the case of TLS this Specification concentrates on authentication of TLS entities across inter-operator links. For example, TLS is specified for inter-operator communications between IMS and non-IMS networks [9] and on the Zn' interface in GBA [10]. Authentication of TLS entities across intra-operator links is considered an internal issue for operators. However, NDS/AF can easily be adapted to the intra-operator use case since it is just a simplification of the inter-operator case when all TLS NEs and the PKI infrastructure belong to the same operator. Validity of certificates may be restricted to the operator's domain.

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## 2 References

The following documents contain provisions which, through reference in this text, constitute provisions of the present document.

- References are either specific (identified by date of publication, edition number, version number, etc.) or non-specific.
- For a specific reference, subsequent revisions do not apply.
- For a non-specific reference, the latest version applies. In the case of a reference to a 3GPP document (including a GSM document), a non-specific reference implicitly refers to the latest version of that document *in the same Release as the present document*.

- [1] 3GPP TS 33.210: "3rd Generation Partnership Project; Technical Specification Group Services and System Aspects; 3G Security; Network domain security; IP network layer security".
- [2] IETF RFC 2986: "PKCS#10 Certification Request Syntax Specification Version 1.7".
- [3] IETF RFC 3280: "Internet X.509 Public Key Infrastructure Certificate and CRL Profile".
- [4] IETF RFC 4210: "Internet X.509 Public Key Infrastructure Certificate Management Protocol".
- [5] IETF RFC 2252: "Lightweight Directory Access Protocol (v3): Attribute Syntax Definitions".
- [6] IETF RFC 1981: "Path MTU Discovery for IP version 6".
- [7] "PKI basics – A Technical Perspective", November 2002, [http://www.pkiforum.org/pdfs/PKI\\_Basics-A\\_technical\\_perspective.pdf](http://www.pkiforum.org/pdfs/PKI_Basics-A_technical_perspective.pdf)
- [8] 3GPP TR 21.905: "Vocabulary for 3GPP Specifications".
- [9] 3GPP TS 33.203: "Access security for IP-based services".
- [10] 3GPP TS 33.220: "Generic Authentication Architecture: Generic Bootstrapping Architecture".
- [11] IETF RFC 2246: "The TLS Protocol Version 1.0".

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## 3 Definitions and abbreviations

### 3.1 Definitions

For the purposes of the present document, the definitions given in 3GPP TR 21.905 [8] and the following definitions apply:

**Interconnection CA:** The CA that issues cross-certificates on behalf of a particular operator to the SEG CAs of other domains with which the operator's SEGs have interconnection.

**Interconnect Agreement:** In the context of this specification an interconnect agreement is an agreement by two operators to establish secure communications. This may be for the purpose of protecting various forms of communications between the operators, e.g. GPRS roaming, MMS interconnect, WLAN roaming and IMS interconnect.

**Local CR:** Repository that contains cross-certificates.

**Local CRL:** Repository that contains cross-certificate revocations.

**PSK:** Pre-Shared Key. Method of authentication used by IKE between SEG in NDS/IP [1].

**Public CRL:** Repository that contains revocations of SEG and CA certificates and can be accessed by other operators.

**SEG CA:** The CA that issues end entity certificates to SEGs within a particular operator's domain.

## 3.2 Abbreviations

For the purposes of the present document, the abbreviations given in TR 21.905 [8] and the following abbreviations apply:

AF	Authentication Framework
CA	Certification Authority
CR	Certificate Repository
CRL	Certificate Revocation List
GBA	Generic Bootstrapping Architecture
IMS	IP Multimedia Subsystem
NDS	Network Domain Security
PKI	Public Key Infrastructure
PSK	Pre-Shared Key
SEG	Security Gateway
VPN	Virtual Private Network
Za	Interface between SEGs belonging to different networks/security domains (a Za interface may be an intra or an inter operator interface).
Zb	Interface between SEGs and NEs and interface between NEs within the same network/security domain

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## 4 Introduction to Public Key Infrastructure (PKI)

PKI Forum's "PKI basics – A Technical Perspective" [7] provides a concise vendor neutral introduction to the PKI technology. Thus only two cross-certification aspects are described in this introduction section.

Cross-certification is a process that establishes a trust relationship between two authorities. When an authority A is cross-certified with authority B, the authority A has chosen to trust certificates issued by the authority B. Cross-certification process enables the users under both authorities to trust the other authority's certificates. Trust in this context equals being able to authenticate.

### 4.1 Manual Cross-certification

Mutual cross-certifications are established directly between the authorities. This approach is often called manual cross-certification. In manual cross-certification the authority makes decisions about trust locally. When an authority A chooses to trust an authority B, the authority A signs the certificate of the authority B and distributes the new certificate (B's certificate signed by A) locally.

The disadvantage of this approach is that it often results in scenarios where there needs to be a lot of certificates available for the entities doing the trust decisions: There needs to be a certificate signed by the local authority for each security domain the local authority wishes to trust. However, all the certificates can be configured locally and are locally signed, so the management of them is often flexible.

### 4.2 Cross-certification with a Bridge CA

The bridge CA is a concept that reduces the amount of certificates that needs to be configured for the entity that does the certificate checking. The name "bridge" is descriptive; when two authorities are mutually cross-certified with the bridge, the authorities do not need to know about each other. Authorities can still trust each other because the trust in this model is transitive (A trusts bridge, bridge trusts B, thus A trusts B and vice versa). The bridge CA acts like a bridge between the authorities. However, the two authorities shall also trust that the bridge does the right thing for them. All the decisions about trust can be delegated to the bridge, which is desirable in some use cases. If the bridge decides to cross-certify with an authority M, the previously cross-certified authorities start to trust M automatically.

Bridge CA style cross-certifications are useful in scenarios where all entities share a common authority that everybody believes to work correctly for them. If an authority needs to restrict the trust or access control derived from the bridge CA, it additionally needs to implement those restrictions.

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## 5 Architecture and use cases of the NDS/AF

The following types of certification authority are defined:

- SEG CA: A CA that issues end entity certificates to SEGs within a particular operator's domain.
- TLS client CA: A CA that issues end entity TLS client certificates to TLS entities within a particular operator's domain.
- TLS server CA: A CA that issues end entity TLS server certificates to TLS entities within a particular operator's domain.
- Interconnection CA: A CA that issues cross-certificates on behalf of a particular operator to the SEG CAs, TLS client CAs and TLS server CAs of other domains with which the operator's SEGs and TLS entities have interconnection.

The public key of the interconnection CA shall be stored securely in each SEG and TLS entity within the operator's domain. This allows the SEG and TLS entity to verify cross-certificates issued by its operator's Interconnection CA. It is assumed that each operator domain could include 10s, but not 100s of SEGs or TLS entities.

An operator may choose to combine two or more of the above CAs. For example, the same CA may be used to issue end entity TLS and IPsec certificates. Furthermore, the same CA may be used to issue both end entity certificates and cross-certificates.

The NDS/AF is initially based on a simple trust model (see Annex B) that avoids the introduction of transitive trust and/or additional authorisation information. The simple trust model implies manual cross-certification.

### 5.1 PKI architecture for NDS/AF

This chapter defines the PKI architecture for the NDS/AF. The goal is to define a flexible, yet simple architecture, which is easily interoperable with other implementations.

The architecture described below uses a simple access control method, i.e. every element which is authenticated is also provided service. More fine-grained access control may be implemented, but it is out of scope of this specification.

The architecture does not rely on bridge CAs, but instead uses direct cross-certifications between the security domains. This enables easy policy configurations in the SEGs and TLS entities.

#### 5.1.1 General architecture

Unless the operator chooses to combine CAs, each security domain has at least one SEG CA, TLS client CA or TLS server CA, and one Interconnection CA dedicated to it.

The SEG CA of the domain issues certificates to the SEGs in the domain that have interconnection with SEGs in other domains. The TLS client CA of the domain issues certificates to the TLS clients in that domain that need to establish TLS connections with TLS servers in other domains. The TLS server CA of the domain issues certificates to the TLS servers in that domain that need to establish TLS connections with TLS clients in other domains. The Interconnection CA of the domain issues certificates to the SEG CAs, , TLS client CA or TLS server CA, of other domains with which the operator"s SEGs and TLS entities have interconnection. This specification describes the profile for the various certificates that are needed. Also a method for creating the cross-certificates is described.

In general, all of the certificates shall be based on the Internet X.509 certificate profile [3].

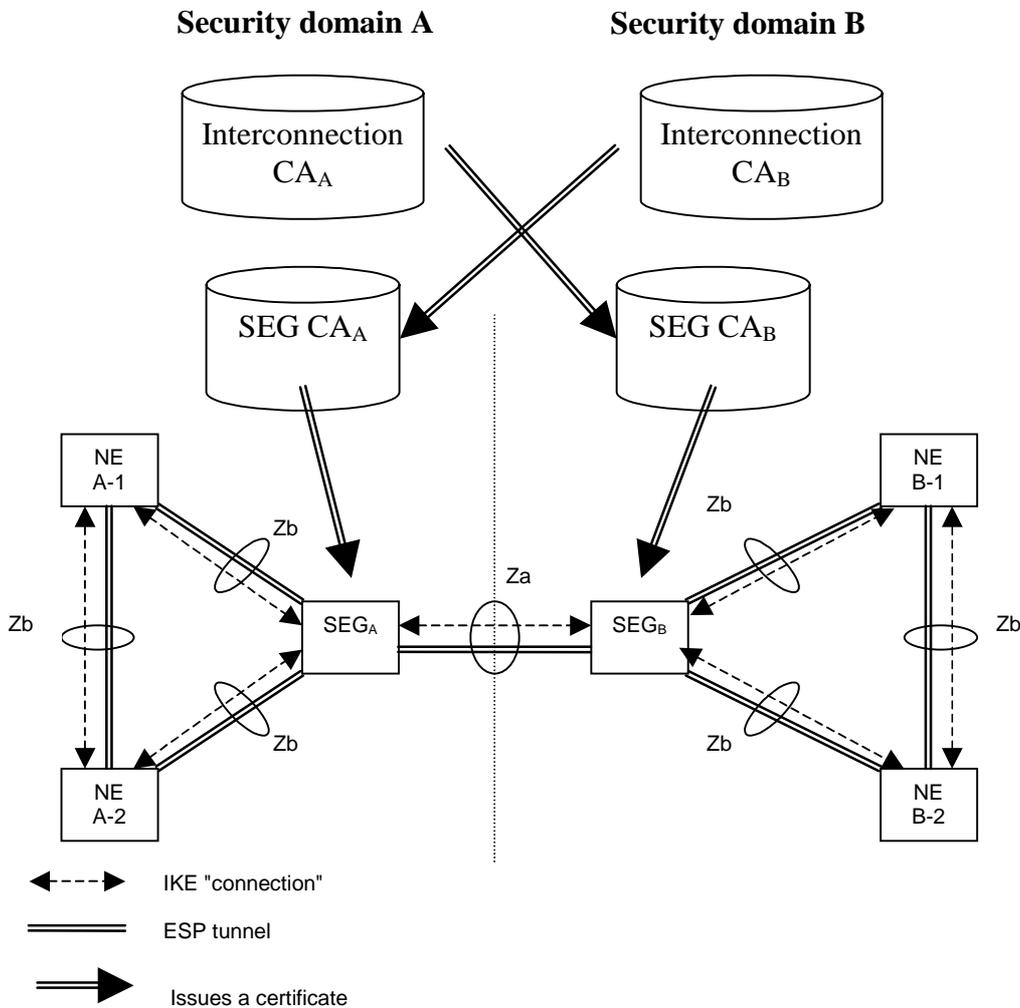
##### 5.1.1.1 NDS/IP case

In the following, the architecture for issuing IPsec certificates using SEG CAs is described.

The SEG CA shall issue certificates for SEGs that implement the Za interface. When SEG of the security domain A establishes a secure connection with the SEG of the domain B, they shall be able to authenticate each other. The mutual authentication is checked using the certificates the SEG CAs issued for the SEGs. When an interconnect agreement is established between the domains, the Interconnection CA cross-certifies the SEG CA of the peer operator. The created cross-certificates need only to be configured locally to each domain. The cross-certificate, which Interconnection CA of

security domain A created for the SEG CA of security domain B, shall be available for the domain A SEG which provides the Za interface towards domain B. Equally the corresponding certificate, which the Interconnection CA of the security domain B created for the SEG CA of security domain A, shall be available for the domain B SEG which provides Za interface towards domain A.

The general architecture for authentication of SEGs is illustrated in Figure 2.



**Figure 2: Trust validation path in the context of NDS/IP**

After cross-certification, the SEG<sub>A</sub> is able to verify the path: SEG<sub>B</sub> -> SEG CA<sub>B</sub> -> Interconnection CA<sub>A</sub>. Only the certificate of the Interconnection CA<sub>A</sub> in domain A needs to be trusted by entities in security domain A.

Equally the SEG<sub>B</sub> is able to verify the path: SEG<sub>A</sub> -> SEG CA<sub>A</sub> -> Interconnection CA<sub>A</sub>. The path is verifiable in domain B, because the path terminates to a trusted certificate (Interconnection CA<sub>B</sub> of the security domain B in this case).

The Interconnection CA signs the second certificate in the path. For example, in domain A, the certificate for SEG CA<sub>B</sub> is signed by the Interconnection CA of domain A when the cross-certification is done.

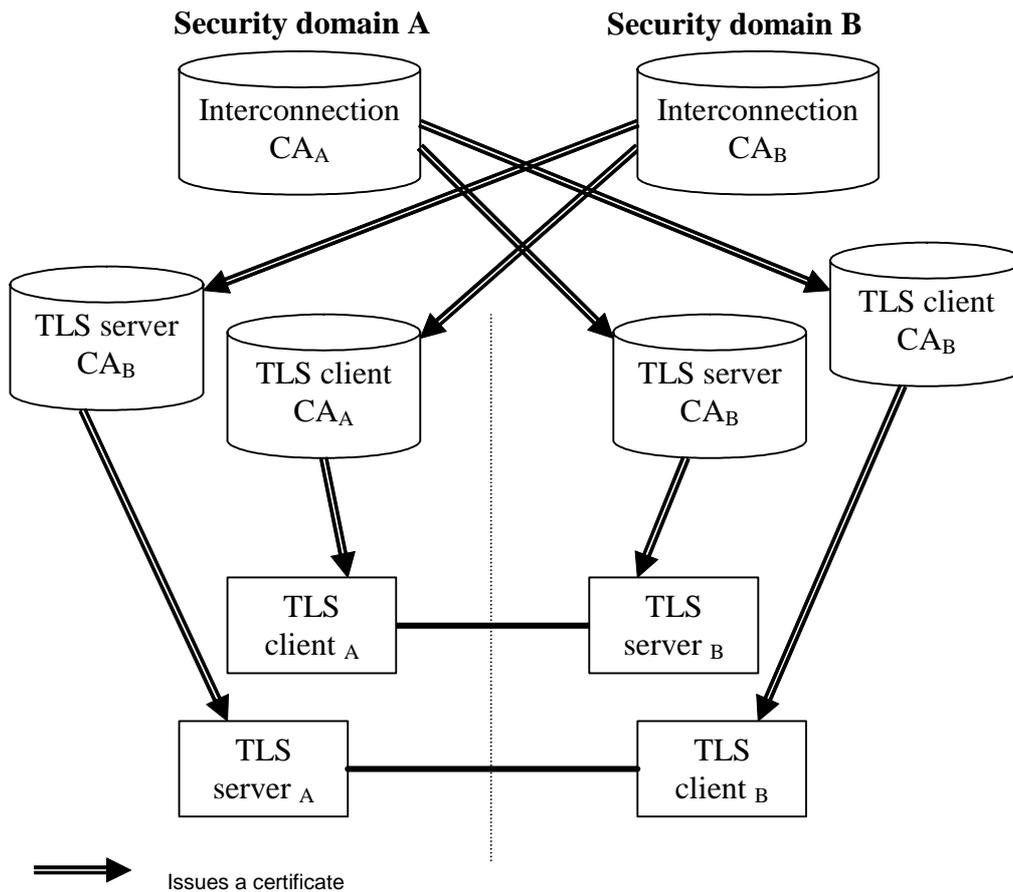
### 5.1.1.2 TLS case

In the following, the architecture for issuing TLS certificates using TLS CAs is described.

The TLS client CA shall issue certificates for TLS clients in its domain. Similarly the TLS server CA shall issue certificates for TLS servers in its domain. When a TLS entity of the security domain A establishes a secure connection with a TLS entity of the domain B, they shall be able to authenticate each other. The mutual authentication is checked

using the certificates the TLS client/server CAs issued for the TLS entities. When an interconnect agreement is established between the domains, the Interconnection CA cross-certifies the TLS client/server CAs of the peer operator. The created cross-certificates need only to be configured locally to each domain. The cross-certificate, which Interconnection CA of security domain A created for the TLS client/server CAs of security domain B, shall be available for the domain A TLS entities which need to communicate with domain B. Equally the corresponding certificate, which the Interconnection CA of the security domain B created for the TLS client/server CAs of security domain A, shall be available for the domain B TLS entities which need to communicate with domain A.

The general architecture for authentication of TLS entities is illustrated in Figure 2a.



**Figure 2a: Trust validation path in the context of TLS**

After cross-certification, the TLS client<sub>A</sub> is able to verify the path: TLS server<sub>B</sub> -> TLS server CA<sub>B</sub> -> Interconnection CA<sub>A</sub>. Only the certificate of the Interconnection CA<sub>A</sub> in domain A needs to be trusted by entities in security domain A.

Equally the TLS server<sub>B</sub> is able to verify the path: TLS client<sub>A</sub> -> TLS client CA<sub>A</sub> -> Interconnection CA<sub>A</sub>. The path is verifiable in domain B, because the path terminates to a trusted certificate (Interconnection CA<sub>B</sub> of the security domain B in this case).

The Interconnection CA signs the second certificate in the path. For example, in domain A, the certificates for TLS server CA<sub>B</sub> and TLS client CA<sub>B</sub> are signed by the Interconnection CA of domain A when the cross-certification is done.

## 5.2 Use cases

### 5.2.1 Operator Registration: Creation of interconnect agreement

SEGs or TLS entities of two different security domains need to establish a secure connection, when the operators make an interconnect agreement. The first technical step in creating the interconnect agreement between domains is the creation of cross-certificates by the Interconnection CAs of the two domains.

Inter-operator cross-certification can be done using different protocols, but the certification authority shall support the PKCS#10 [2] method for certificate requests. The SEG CA, TLS client CA and TLS server CA create a PKCS#10 certificate request, and send it to the other operator's Interconnection CA. The method for transferring the PKCS#10 request is not specified, but the transfer method shall be secure. The PKCS#10 can be transferred e.g. in a floppy disk, or be send in a signed email. The PKCS#10 request contains the public key of the authority and the name of the authority requesting the cross-certificate. When the Interconnection CA accepts the request, a new cross-certificate is created for the requesting CA. The Interconnection CA shall make the new cross-certificate available to SEGs and TLS entities in its own domain that need to use it. Cross-certificates on the other domain's SEG CA's are stored in a local CR (Certificate Repository) which all SEGs that need to communicate with the other domains shall access using LDAP [5]. Cross-certificates on TLS client CAs and TLS server CAs are made available to TLS entities, e.g. by storing them in a file of trusted CAs on the TLS entity, or by storing them in a local CR (Certificate Repository) which all TLS entities that need to communicate with the other domain shall access e.g. using LDAP [5].

The cross-certification is a manual operation, and thus PKCS#10 is a suitable solution for the interconnect agreement.

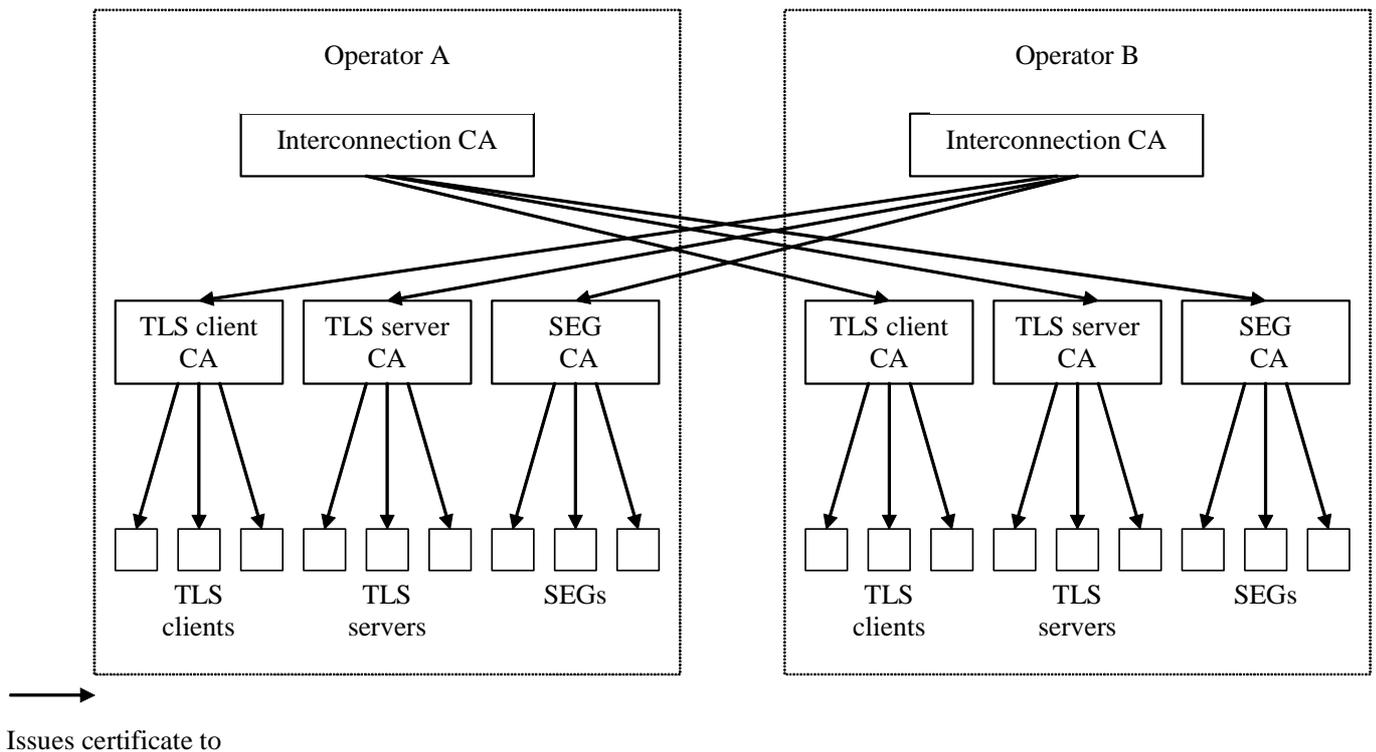
Creation of an interconnect agreement only involves use of the private keys of the Interconnection CAs. There is no need for the operators to use the private keys of their respective SEG CAs, TLS client CAs or TLS server CAs in forming an interconnect agreement.

When creating the new cross-certificate, the Interconnection CA should use basic constraint extension (according to section 4.2.1.10 of [3]) and set the path length to zero. This inhibits the new cross-certificate to be used in signing new CA certificates. The validity of the certificate should be set sufficiently long. The cross-certification process needs to be done again when the validity of the cross-certificate is ending.

When the new cross-certificate is available to the SEG, all that needs to be configured in the SEG is the DNS name or IP address of the peering SEG gateway. The authentication can be done based on the created cross-certificates.

When the new cross-certificate is available to a TLS entity, it allows that TLS entity to authenticate TLS entities in the peering network. Authentication is done based on the created cross-certificates.

The certificate hierarchy in the case of two peering operators is illustrated in Figure 3.



**Figure 3: Certificate Hierarchy**

## 5.2.2 Establishment of secure inter-domain communications

### 5.2.2.1 NDS/IP case

After establishing an interconnect agreement and finishing the required preliminary certificate management operations as specified in clause 5.2.1, the operators configure their SEGs for SEG-SEG connection, and the SAs are established as specified by NDS/IP [1].

In each connection configuration, the remote SEG DNS name or IP address is specified. Only the local Interconnection CA and SEG CA are configured as trusted CAs. Because of the cross-certification, any operator whose SEG CA has been cross-certified can get access using this VPN connection configuration.

The following is the flow of connection negotiation from the point of view of Operator A's SEG (initiator). Operator B's SEG (responder) shall behave in a similar fashion.

- During connection initiation, the initiating Operator A's SEG A provides its own SEG certificate and the corresponding digital signature in IKE Main Mode message 3;
- SEG A receives the remote SEG B certificate and signature;
- SEG A verifies the remote SEG B signature;
- SEG A checks the validity of the SEG B certificate by a CRL check to Operator B's CRL databases. If a SEG cannot successfully perform the CRL check, it shall treat this as an error and abort tunnel establishment;
- SEG A verifies the SEG B certificate using the cross-certificate for Operator B's SEG CA by executing the following actions:

- SEG A fetches the cross-certificate for Operator B's SEG CA from Operator A's Certificate Repository or from a local cache.
- SEG A checks the validity of the cross-certificate for Operator B's SEG CA by a CRL check to Operator A's Interconnection CA CRL database. If a SEG cannot successfully perform the CRL check, it shall treat this as an error and abort tunnel establishment;
- SEG A verifies the cross-certificate for Operator B's SEG CA using Operator A's Interconnection CA's certificate if the Interconnection CA is not a top-level CA, otherwise the Interconnection CA's public key is implicitly trusted.

The IKE Phase 1 SA is established and the Phase-2 SA negotiation proceeds as described in NDS/IP [1] with PSK authentication.

NOTE: This specification provides authentication of SEGs in an "end-to-end" fashion as regards to interconnect traffic (operator to operator). If NDS/AF (IKE) authentication were to be used for both access to the transport network (e.g. GRX) and for the end-to-end interconnect traffic, IPsec mechanisms and policies such as iterated tunnels or hop-by-hop security would need to be used. However, it is highlighted that the authentication framework specified is independent of the underlying IP transport network.

### 5.2.2.1 TLS case

After establishing a interconnect agreement and finishing the required preliminary certificate management operations as specified in clause 5.2.1, the operators configure their TLS entities for secure interconnection. The exact process for establishing the TLS connections is dependent on the application protocol and is outside the scope of this specification. However, the general flow is described in the remainder of this clause.

The local Interconnection CA and TLS client/server CAs are configured as trusted CAs in the TLS entity typically by storing them in a file of trusted CAs on the TLS entity. The cross-certificates on the TLS client/server CAs of the remote operator are also made available to the TLS entity, e.g. by storing them in a file of trusted CAs on the TLS entity, or by storing them in a local CR (Certificate Repository) which all TLS entities that need to communicate with the other domain shall access e.g. using LDAP. Because of the cross-certification, any operator whose TLS client CA or TLS server CA has been cross-certified by another operator can establish TLS connections with that other operator.

The following is the connection establishment from the point of view of a TLS client in Operator A (TLSa) and a TLS server in Operator B (TLSb). The case where the TLS client is in Operator B and the TLS server is in Operator A is treated in a similar fashion. The flow is based on the TLS handshake protocol as described in RFC 2246 [11].

- During connection initiation, the TLSa sends a ClientHello message to TLSb. TLSb responds with a ServerHello message followed by a ServerCertificate message, a ServerKeyExchange message, an optional CertificateRequest message and a ServerHelloDone message. The ServerCertificate message will contain TLSb's certificate that was issued by Operator B's TLS server CA. The CertificateRequest message is sent if TLSb wants to authenticate TLSa.
- TLSa receives the messages from TLSb
- TLSa verifies the ServerKeyExchange message using TLSb's public key
- TLSa checks the validity of TLSb's certificate by a CRL check to Operator B's CRL databases. If a TLS peer cannot successfully perform the CRL check, it shall treat this as an error and abort the TLS handshake
- TLSa verifies TLSb's certificate using the cross-certificate for Operator B's TLS server CA by executing the following actions:
  - TLSa fetches the cross-certificate for Operator B's TLS server CA from Operator A's Certificate Repository, from a local cache of the Certificate Repository on TLSa, or from a local certificate store on TLSa if a separate Certificate Repository is not used.
  - TLSa checks the validity of the cross-certificate for Operator B's TLS server CA by a CRL check to Operator A's Interconnection CA CRL database. If a TLS peer cannot successfully perform the CRL check, it shall treat this as an error and abort the TLS handshake;

- TLSa verifies the cross-certificate for Operator B's TLS server CA using Operator A's Interconnection CA's certificate if the Interconnection CA is not a top-level CA, otherwise the Interconnection CA's public key is implicitly trusted.
- If TLSb requested a certificate using the CertificateRequest message, then TLSa responds with a Certificate message followed by a ClientKeyExchange message, a CertificateVerify message and a Finished message. The Certificate message is only sent if the Server requests a certificate. If present, the Certificate message will contain TLSa's certificate that was issued by Operator A's TLS client CA. The CertificateVerify message is only sent if TLSa's certificate has signing capability. It is used to provide explicit verification of a client certificate.
- TLSb receives the messages from TLSa
- TLSb verifies the ClientKeyExchange and optional CertificateVerify message using TLSa's public key
- TLSb checks the validity of TLSa's certificate by a CRL check to Operator A's CRL databases. If a TLS entity cannot successfully perform both CRL checks, it shall treat this as an error and abort the TLS handshake
- TLSb validates TLSa's certificate using the cross-certificate for Operator A's TLS client CA by executing the following actions:
  - TLSb fetches the cross-certificate for Operator A's TLS client CA from Operator B's Certificate Repository, from a local cache of the Certificate Repository on TLSb, or from a local certificate store on TLSb if a separate Certificate Repository is not used.
  - TLSb checks the validity of the cross-certificate for Operator A's TLS client CA by a CRL check to Operator B's Interconnection CA CRL database. If a TLS entity cannot successfully perform the CRL check, it shall treat this as an error and abort the TLS handshake
  - TLSb verifies the cross-certificate for Operator A's TLS client CA using Operator B's Interconnection CA's certificate if the Interconnection CA is not a top-level CA, otherwise the Interconnection CA's public key is implicitly trusted.
- TLSb sends a Finished message to complete the handshake
- TLSa receives the Finished message to complete the handshake

If the handshake is successfully completed then the secure communications can take place over the TLS connection.

### 5.2.3 Operator deregistration: Termination of interconnect agreement

When an interconnect agreement is terminated or due to an urgent service termination need, all concerned SEG peers shall remove the IPsec SAs using device-specific management methods, while all concerned TLS entities shall terminate any ongoing TLS sessions with the peer network and not permit those sessions to be resumed (e.g. by prohibiting TLS session resumption).

Each concerned operator shall also list the cross-certificate created for the Interconnection CA of the terminated operator in his own local CRL.

#### 5.2.3a Interconnection CA registration

In principle only one Interconnection CA shall be used within the operator's network, but using more than one Interconnection CA is possible (in which case the public keys of all the operator's interconnection CAs should be installed in the operator's SEGs or TLS entities). The involved actions in Interconnection CA registration are those as described in the cross-certification part of clause 5.2.1: 'Operator Registration: creation of interconnect agreement'. Such a situation may exist if the Interconnection CA functions are to be moved from one responsible organisation to another (e.g. outsourcing of CA services).

#### 5.2.3b Interconnection CA deregistration

If an Interconnection CA is removed from the network, it shall be assured that all certificates that have been issued by that CA to SEG or TLS CAs, and have not expired yet, shall be listed in the CRLs.

### 5.2.3c Interconnection CA certification creation

The Interconnection CA certificate may not be the top-level CA of the operator, which means that the Interconnection CA certificate is not self-signed. If the Interconnection CA certificate is self-signed then it needs to be securely transferred to each SEG or TLS entity and stored within secure memory otherwise it can be managed in the same way as a SEG or TLS entity certificate.

The Interconnection CA certificate shall have a 'longer' lifetime than SEG CA or TLS CA certificates in order to avoid the cross-certification actions that are needed each time an Interconnection CA certificate has to be renewed.

NOTE: There is no need to involve other operators when creating an Interconnection CA certificate.

### 5.2.3d Interconnection CA certification revocation

If an Interconnection CA key pair gets compromised then a hacker could use the keys to issue himself SEG CA or TLS CA certificates which in turn could be used to issue SEG or TLS entity certificates. Since however the trusted Interconnection CA certificates are stored locally on the SEG or TLS entity device or in a dedicated repository (i.e. received Interconnection CA certificates within the IKE payload or TLS handshake shall not be accepted), the hacker also needs to compromise the SEG, TLS entity, or the local repository to be able to set up a secure connection.

Existing secure connections need not be torn down. The old cross-certificates - and any other certificates - issued by the Interconnection CA shall be taken out of service by listing them in the Interconnection CA's CRL (provided the operator still has the key available to sign this CRL) and removing them from the dedicated repository. If the Interconnection CA certificate is self-signed then it shall be removed from each of the operator's SEGs and TLS entities. If the Interconnection CA certificate is issued by a higher level CA of the operator, then it shall be revoked by this higher level CA.

The operator has to create a new Interconnection CA key pair, perform the actions as described within clause 5.2.3c for Interconnection CA certification creation, and perform the actions as described within clause 5.2.1 to generate new cross-certificates for all his interconnected networks SEG CAs or TLS CAs.

NOTE: There is no need to involve other operators when revoking an Interconnection CA certificate.

### 5.2.3e Interconnection CA certification renewal

The Interconnection CA certificate has to be renewed before the old Interconnection CA certificate expires. The renewing of an Interconnection CA certificate involves repeating the actions as described in clause 5.2.3c. This should be done before the old certificate expires.

NOTE: There is no need to involve other operators when renewing an Interconnection CA certificate.

## 5.2.4 SEG/TLS CA registration

In principle only one SEG CA, one TLS client CA and one TLS server CA shall be used within the operator's network, but using more than one of each of these CAs is possible. The involved actions are those as described in the cross-certification part of clause 5.2.1: 'Operator Registration: creation of interconnect agreement'. Such a situation of having multiple CAs of each type may exist if the CA functions are to be moved from one responsible organisation to another (e.g. outsourcing of CA services).

## 5.2.5 SEG/TLS CA deregistration

If a SEG CA or TLS CA is removed from the network, it shall be assured that the SEG CA or TLS CA certificates and all certificates that have been issued by the SEG CA or TLS SEG to SEGs or TLS entities, and have not expired yet, shall be listed in CRLs.

## 5.2.6 SEG/TLS CA certificate creation

The involved actions are those as described in the cross-certification part of clause 5.2.1: 'Operator Registration: creation of interconnect agreement'.

The SEG CA or TLS CA certificate does not have to be the top-level CA of the operator, which means that the SEG CA or TLS CA certificate is not self-signed. One option is to sign the operator's SEG CA and TLS CAs with the operator's own Interconnection CA, as this will already be a trust point established in the operator's own SEGs and TLS entities. If the SEG CA or TLS CA certificates are self-signed then they should be securely transferred to each of the operator's SEGs and TLS entities and stored within secure memory (see NOTE to clause 7.5).

## 5.2.7 SEG/TLS CA certificate revocation

This compromise is a serious event as it will require all the cross-certificates issued by other operators' Interconnection CAs to that SEG CA or TLS CA to be revoked.

Existing secure connections need not be torn down, unless they were formed very recently i.e. after the time at which the operator suspects the CA key became compromised, but before the cross-certificate used to establish the tunnel was revoked.

It shall be assured that the SEG CA or TLS CA certificates and all certificates that have been issued by the SEG CA or TLS CA to SEGs or TLS entities, and have not expired yet, shall be listed in CRLs.

To restore inter-domain interoperability, the operator has to create a new SEG CA or TLS CA key pair and use it to issue certificates to all the SEGs and TLS entities in the operator's own domain. The operator shall then provide a cross-certification request (see clause 5.2.1) for the new SEG CA or TLS CA key pair to the operators with whom it has interconnect agreements.

It is recommended that operators carefully protect their SEG CA and TLS CA keys to limit this knock-on effect across the operator community.

## 5.2.8 SEG/TLS CA certificate renewal

The SEG CA and TLS CA certificate has to be renewed before the old SEG CA and TLS CA certificate expires. The renewing of a SEG CA or TLS CA certificate involves repeating the actions as described in the cross-certification part of clause 5.2.1: 'Operator Registration: creation of interconnect agreement'. This should be done before the old certificate expires.

## 5.2.9 End entity registration

### 5.2.9.1 SEG registration

If not already done, a SEG certificate has to be created (see clause 5.2.11 for a description on certificate creation).

If a SEG is added to the network, the policy database of this SEG has to be configured using device-specific management methods.

Other operators have to be informed of the new SEG: The SEG policy databases of SEGs in other networks may have to be adapted.

### 5.2.9.2 TLS client registration

If not already done, a TLS client certificate has to be created (see clause 5.2.11 for a description on certificate creation).

If a TLS client is added to the network, then some local configuration may be needed to take the new TLS client into use for secure inter-operator communication. In addition, other operators may need to be informed of the new TLS client.

### 5.2.9.3 TLS server registration

If not already done, a TLS server certificate has to be created (see clause 5.2.11 for a description on certificate creation).

If a TLS server is added to the network, then some local configuration may be needed to take the new TLS server into use for secure inter-operator communication. In addition, other operators may need to be informed of the new TLS server.

## 5.2.10 End entity deregistration

### 5.2.10.1 SEG deregistration

If a SEG is removed from the network, the SAs shall be removed using device-specific management methods. The operator of the SEG shall have the certificate of the SEG listed in his CRL. The SPD of the partner network may have to be adapted.

### 5.2.10.2 TLS client deregistration

If a TLS client is removed from the network, the TLS connections shall be terminated using device-specific management methods. The operator of the TLS client shall have the certificate of the TLS client listed in his CRL.

### 5.2.10.3 TLS server deregistration

If a TLS server is removed from the network, the TLS connections shall be terminated using device-specific management methods. The operator of the TLS server shall have the certificate of the TLS server listed in his CRL.

## 5.2.11 End entity certificate creation

Using device-specific management methods, the certificate creation shall be initiated. As specified in section 7.2, either the CMPv2 protocol for automatic certificate enrolment or manual certificate installation using PKCS#10 formats can be used. This is an operator decision depending for example on the number of SEG elements and TLS entities.

## 5.2.12 End entity certificate revocation

If a SEG or TLS entity key pair gets compromised then the existing SAs shall be removed using device-specific management methods. The operator of the SEG or TLS entity shall include the revoked certificate in his CRL.

## 5.2.13 End entity certificate renewal

A new SEG or TLS entity certificate needs to be in place before the old certificate expires. The procedure is similar to the certificate creation and can be either fully automated by using CMPv2 as specified in section 7.2 or done manually using PKCS#10 formats. This is an operator decision depending for example on the number of SEGs and TLS entities.

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# 6 Profiling

## 6.1 Certificate profiles

This clause profiles the certificates to be used for NDS/AF. An NDS/AF component shall not expect any specific behaviour from other entities, based on certificate fields not specified in this section.

Certificate profiling requirements as contained in this specification have to be applied in addition to those contained within RFC3280 [3]. This applies for the SEG, , the TLS entity, the SEG CA and the Interconnection CA.

Before fulfilling any certificate signing request, the SEG CA and Interconnection CA shall make sure that the request suits the profiles defined in this section. Furthermore, the CAs shall check the Subject's DirectoryString order for consistency, and that the Subject's DirectoryString belongs to its own administrative domain.

SEGs and TLS entities shall check compliance of certificates with the NDS/AF profiles and shall only accept compliant certificates.

### 6.1.1 Common rules to all certificates

- Version 3 certificate according to RFC3280 [3].

- Hash algorithm for use before signing certificate: Sha-1 mandatory to support, MD-5 shall not be used.
- Subject and issuer name format.
  - Note that C is optional element. : (C=<country>), O=<Organization Name>, CN=<Some distinguishing name>. Organization and CN shall be in UTF8 format.
- or
- Note that ou is optional element. : cn=<hostname>, (ou=<servers>), dc=<domain>, dc=<domain>.
- CRLv2 support with LDAPv3 [5] retrieval shall be supported as the primary method of certificate revocation verification. HTTP shall also be allowed for checking the revocation status of TLS certificates.
- Certificate extensions which are not mandated by this specification but which are mentioned within RFC3280 [3] are optional for implementation. If present, such optional extensions shall be marked as 'non critical'.

## 6.1.2 Interconnection CA Certificate profile

In addition to clause 6.1.1, the following requirements apply:

- The RSA key length shall be at least 2048-bit;
- Extensions:
  - Optionally non critical authority key identifier;
  - Optionally non critical subject key identifier;
  - Mandatory critical key usage: At least keyCertSign and CRL Sign should be asserted;
  - Mandatory critical basic constraints: CA=True, path length unlimited or at least 1.

## 6.1.3 SEG Certificate profile

SEG certificates shall be directly signed by the SEG CA in the operator domain that the SEG belongs to. Any SEG shall use exactly one certificate to identify itself within the NDS/AF.

In addition to clause 6.1.1, the following requirements apply:

- The RSA key length shall be at least 1024-bit;
- Issuer name is the same as the subject name in the SEG CA certificate.
- Extensions:
  - Optionally non critical authority key identifier;
  - Optionally non critical subject key identifier;
  - Mandatory non-critical subjectAltName;
  - Mandatory critical key usage: At least digitalSignature and keyEncipherment shall be set;
- Mandatory non-critical Distribution points: CRL distribution point;

NOTE: Depending on the availability of DNS between peer SEGs, the following rule is applied:

- subjectAltName should contain IP address (in case DNS is not available);
- subjectAltName should contain FQDN (in case DNS is available).

**Editor's note: It is intended to align the SEG certificate profile with draft-ietf-pki4ipsec-ikecert-profile-10 if/when it becomes an RFC. This draft was moved to IETF last call in June 2006.**

### 6.1.3a TLS entity certificate profile

TLS client certificates shall be directly signed by the TLS client CA in the operator domain that the TLS client belongs to. TLS server certificates shall be directly signed by the TLS server CA in the operator domain that the TLS server belongs to.

In addition to clause 6.1.1, the following requirements apply:

- The RSA key length shall be at least 1024-bit;
- Issuer name is the same as the subject name in the TLS CA certificate.
- Extensions:
  - Optionally non critical authority key identifier;
  - Optionally non critical subject key identifier;
  - Mandatory critical key usage: At least digitalSignature or keyEncipherment shall be set; According to RFC2246 keyAgreement shall be set on Diffie-Hellman certificates;
  - Optional non-critical extended key usage: If present, at least id-kp-serverAuth shall be set for TLS server certificates, and at least id-kp-clientAuth shall be set for TLS clients;
  - Mandatory non-critical Distribution points: CRL distribution point;

### 6.1.4 SEG CA certificate profile

In addition to clause 6.1.1, the following requirements apply:

- The RSA key length shall be at least 2048-bit;
- Subject name is the same as the issuer name in the SEG certificate;
- Issuer name is the same as the subject name in the Interconnection CA certificate;
- Extensions:
  - Optionally non critical authority key identifier;
  - Optionally non critical subject key identifier;
  - Mandatory critical key usage: At least keyCertSign and CRL Sign, should be asserted;
  - Mandatory critical basic constraints: CA=True, path length 0.

### 6.1.4a TLS client/server CA certificate profile

In addition to clause 6.1.1, the following requirements apply:

- The RSA key length shall be at least 2048-bit;
- Subject name is the same as the issuer name in the TLS entity certificate;
- Issuer name is the same as the subject name in the Interconnection CA certificate;
- Extensions:
  - Optionally non critical authority key identifier;
  - Optionally non critical subject key identifier;
  - Mandatory critical key usage: At least keyCertSign and CRL Sign, should be asserted;
  - Mandatory critical basic constraints: CA=True, path length 0.

## 6.2 IKE negotiation and profiling

For establishment of IPsec SAs between NDS/IP SEGs, the IKE profile in this clause shall be used.

### 6.2.1 IKE Phase 1 profile

The Internet Key Exchange protocol shall be used for negotiation of IPsec SAs. The following requirements on IKE in addition to those specified in NDS/IP [1] are made mandatory for inter-security domain SA negotiations over the Za-interface.

For IKE Phase 1 (ISAKMP SA):

- The use of RSA signatures for authentication shall be supported;
- The identity of the CERT payload (including the SEG certificate) shall be used for policy checks;
- Initiating/responding SEG are required to send certificate requests in the IKE messages;

NOTE: At least a CERTREQ payload with an empty CA name field should be sent to avoid interoperability problems.

- Cross-certificates shall not be sent by the peer SEG as they are pre-configured in the SEG;
- The SEG shall always send its own certificate in the certificate payload of the last (third) IKE Main Mode message;
- The certificates in the certificate payload shall be encoded as type 4 (X.509 Certificate – Signature);
- The lifetime of the Phase 1 IKE SA (ISAKMP SA) shall be limited to at most the remaining validity time of the peer SEG certificate that would expire first.

NOTE: Depending on the availability of DNS between peer SEGs, the following rule is applied:

- subjectAltName and ISAKMP policy should both contain IP address (in case DNS is not available);
- subjectAltName and ISAKMP policy should both contain FQDN (in case DNS is available).

### 6.2.2 Potential interoperability issues

Some PKI-capable VPN gateways do not support fragmentation of IKE packets, which becomes an issue when more than one certificate is sent in the certificate payloads, forcing IKE packet fragmentation. This means that direct cross-certification or manually importing the peer CA certificate to the local SEG and trusting it is preferable to bridge CA systems. When IKE is run over pure IPv6 the typical MTU sizes do not increase and long packets still have to be fragmented (allowed for end UDP hosts even for IPv6, see Path MTU Discovery for IPv6 – [6]), so this is a potential interoperability issue.

Certificate encoding with PKCS#7 is supported by some PKI-capable VPN gateways, but it shall not be used.

## 6.2a TLS profiling

For 3GPP uses of TLS for inter-operator security, the TLS profile in this clause shall be used.

### 6.2a.1 TLS profile

The following requirements are mandatory:

- The TLS server shall always send its own end entity certificate in the ServerCertificate message;
- The TLS client shall send its own end entity certificate in the Certificate message if requested by the TLS server;
- Cross-certificates shall not be sent by the TLS entities in the TLS handshake as they are available locally to the TLS entities.

## 6.2a.2 Potential interoperability issues

No general interoperability issues are identified.

## 6.3 Path validation

### 6.3.1 Path validation profiling

- Validity of certificates received from the peer SEG shall be verified by CRLs retrieved with LDAP, based on the CRL Distribution Point in the certificates.
- Validity of certificates received from the TLS entity shall be verified by CRLs retrieved with LDAP or HTTP, based on the CRL Distribution Point in the certificates.
- A SEG or TLS entity shall not validate received certificates from the peer SEG or TLS entity whose validity time has expired, but end the path validation with a negative result.
- A SEG shall not validate received certificates from the peer SEG or TLS entity whose CRL distribution point field is empty, but end the path validation with a negative result.
- Certificate validity calculation results shall not be cached in SEGs for longer than the resulting IKE Phase 1 lifetime.
- Certificate validity calculation results shall not be cached in TLS entities for longer than the TLS connection lifetime.

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# 7 Detailed description of architecture and mechanisms

## 7.1 Repositories

During secure connection establishment, each SEG or TLS entity has to verify the validity of its peer's certificate according to clause 5.2.2. Any certificate could be invalid because it was revoked (and replaced by a new one) or a SEG, TLS entity or operator has been deregistered.

Consider secure connection establishment between Peer<sub>A</sub> in network A and Peer<sub>B</sub> in network B.

Peer<sub>B</sub> has to verify that:

- a) the cross-certificate of the Peer<sub>A</sub>'s CA<sub>A</sub> is still valid;
- b) the certificate of Peer<sub>A</sub> is still valid,

and be able to:

- c) fetch the cross-certificate of Peer<sub>A</sub> CA<sub>A</sub> (if not found in Peer<sub>A</sub>'s cache or local store).

Peer<sub>A</sub> performs the same checks from its own perspective.

Check a) can be performed by querying the local CRL. For check b), a CRL of the Peer<sub>A</sub>'s CA shall be queried. At this point of time, the secure connection is not yet available, therefore the public CRL of the Peer<sub>A</sub>'s CA shall be accessible without relying on a secure connection.

Figure 4 and Figure 4a illustrate the repositories and the above-mentioned steps a) – c). The local Certificate Repository (CR) contains cross-certificates for SEG CAs and possibly cross-certificates for TLS CAs if these are not locally stored in the TLS entities. Local CRLs contains SEG CA and TLS CA cross-certificate revocations, and the public CRL contains revocations of SEG, TLS entity, SEG CA, and TLS CA certificates, and can be accessed by other operators.

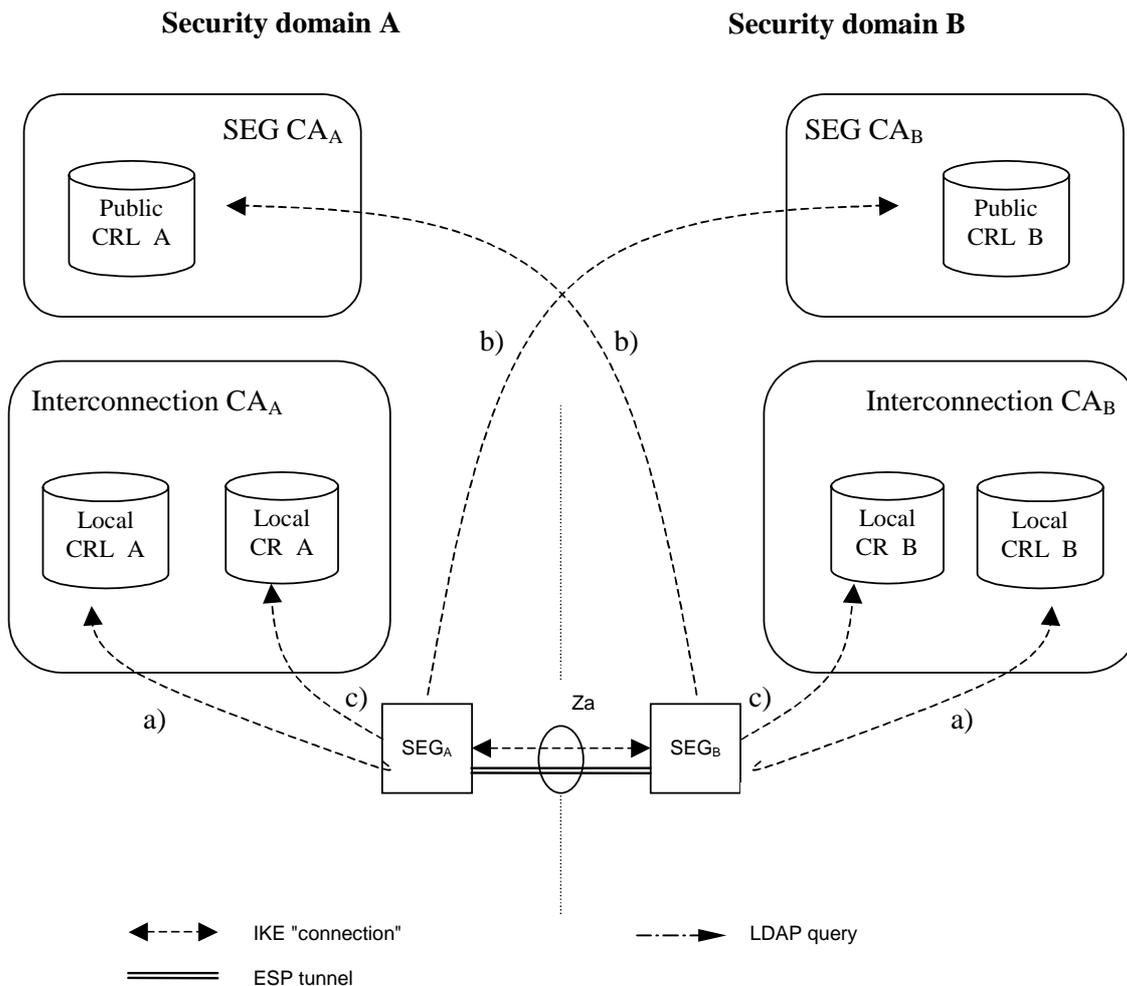
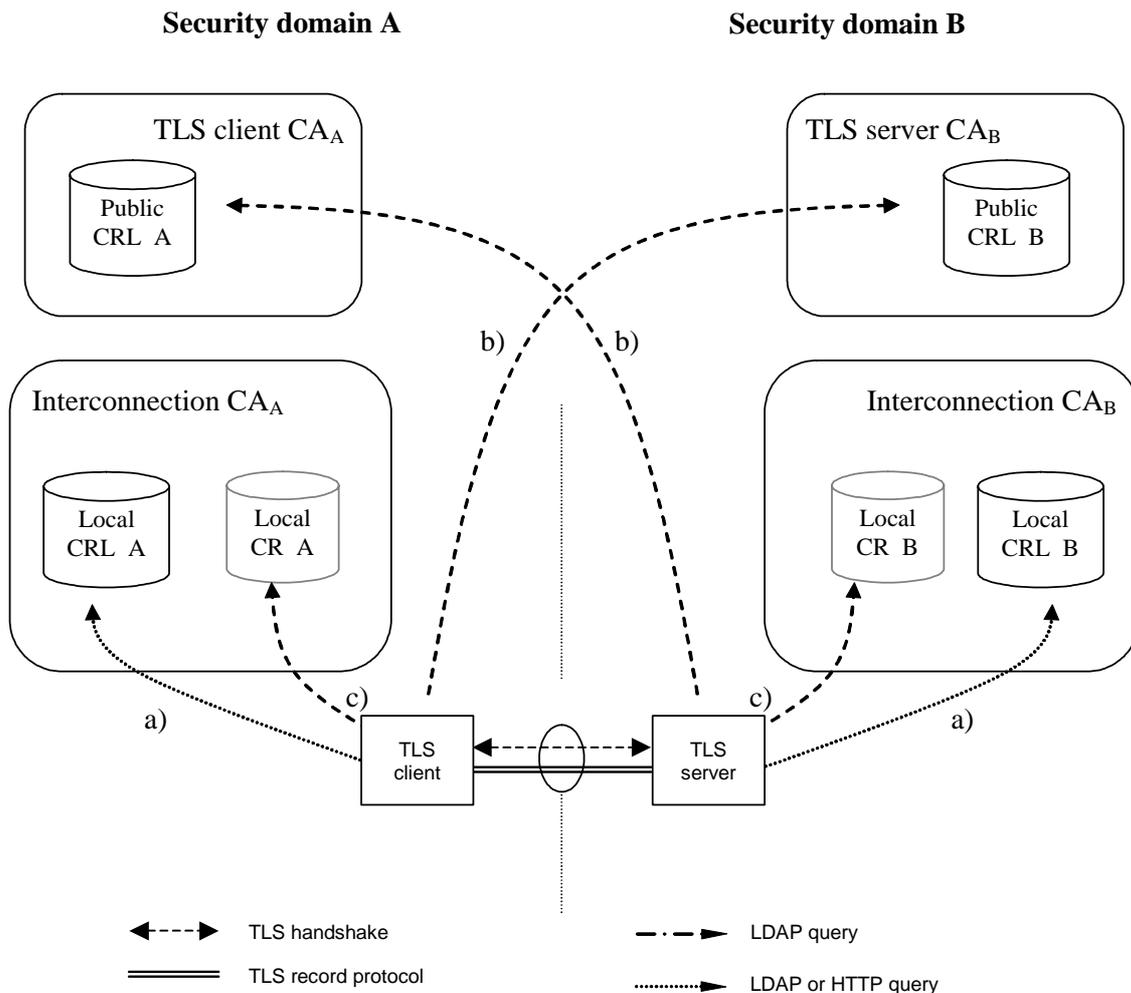


Figure 4: Repositories for NDS/IP



**Figure 5: Repositories for TLS case**

If the SEG CA, TLS CA or Interconnection CA are combined then the public and local repositories of the CA may be implemented as separate databases or as a single database which is accessible via two different interfaces. Access to the "public" CRL is public with respect to the interconnecting transport network (e.g. GRX). The public CRL should be adequately protected (e.g. by a firewall) and the owner of the public CRL may limit access to it according to his interconnect agreements. Access to a public CRL database does not need to be secured.

**NOTE:** First it is not necessary to secure access to the CRL database as the retrieved CRL is integrity protected and contains no confidential information. Secondly access via an unprotected interface is anyhow necessary in case no currently valid security association is available to access the public CRL database.

SEGs shall use LDAP to access the CRL and cross-certificate repositories. TLS entities shall use LDAP or HTTP to access the CRL repositories. TLS entities may use LDAP to access the cross-certificate repositories, if the cross certificates are not stored locally in the TLS entity.

**NOTE:** Interfaces a) and c) for locating the data used to establish secure communications between operators belong to the scope of NDS/AF (in addition to public b) interface) as the purpose is to guarantee the interoperability between different SEGs, TLS entities and repository implementations. The possible migration to the cross-certification with a Bridge CA would also require these interfaces to be specified.

## 7.2 Life cycle management

Certificate Management Protocol v2 (CMPv2) [4] shall be the supported protocol to provide certificate lifecycle management capabilities for SEGs. All SEGs and SEG CAs shall support initial enrolment by the SEG to the SEG CA via CMPv2, i.e. receiving a certificate from the SEG CA, and updating the key of the certificate via CMPv2 before the certificate expires.

Certificate Management Protocol v2 (CMPv2) [4] should be the supported protocol to provide certificate lifecycle management capabilities for TLS entities. All TLS entities and TLS CAs should support initial enrolment by the TLS entity to the SEG CA via CMPv2, i.e. receiving a certificate from the TLS CA, and updating the key of the certificate via CMPv2 before the certificate expires.

Enrolling a certificate to a SEG or TLS entity is an operation that may be done more often than inter-operator cross-certifications, thus more automation could be required by the operator than is possible with a PKCS#10 approach. However, also manual SEG certificate installation using PKCS#10 formats shall be supported. It should be also noted that the lifetime of a SEG CA cross-certificate is considerably longer than the lifetime of a SEG certificate.

NOTE: CMPv2 is preferred to CMPv1 (specified in obsoleted RFC 2510), because of the interoperability issues with CMPv1.

## 7.3 Cross-certification

Both operators use the following procedure to create a SEG CA or TLS CA cross-certificate:

1. The SEG CA or TLS CA creates a PKCS#10 certificate request, and sends it to the other operator;
2. The Interconnection CA receives a similar request from the other operator;
3. The Interconnection CA accepts the request and creates a new cross-certificate;
4. The SEG CA cross-certificate is stored once into the local CR of the Interconnection CA and LDAP is used to fetch cross-certificates. The TLS CA cross-certificate may be stored once into the local CR of the Interconnection CA and LDAP is used to fetch cross-certificates. Alternatively the TLS CA cross certificate may be locally stored in the TLS entities.

## 7.4 Revoking a SEG/TLS CA cross-certificate

The following procedure is used to revoke a SEG CA cross-certificate:

1. The cross-certificate is added into the Interconnection CA's CRL;
2. The cross-certificate is removed from the Interconnection CA's CR.

The following procedure is used to revoke a TLS CA cross-certificate:

1. The cross-certificate is added into the Interconnection CA's CRL;
2. If the TLS CA cross certificates are stored in the Interconnection CA's CR, then the cross-certificate is removed.
3. If the TLS CA cross-certificates are stored locally in the TLS entities, then the locally stored cross-certificates are deleted in the TLS entities.

## 7.5 Establishing secure connections between NDS/IP SEGs using IKE phase 1

Authentication during IKE Phase 1 is shown in figure 4 above. The SEGa uses the following procedure to authenticate SEGb:

1. SEGa requests SEGb's certificate using the IKE certificate request payload;
2. SEGa receives SEGb's certificate inside the IKE certificate payload;
3. SEGa authenticates SEGb (verifies signatures);
4. SEGa fetches a CRL from the (public) CRL database of SEG CA<sub>b</sub> if the locally cached CRL has not yet expired;
5. SEGa uses this CRL to verify the status of SEGb's certificate;

6. SEGa uses either the locally cached cross-certificate or fetches the cross-certificate from the (local) Interconnection CAa CR;
7. SEGa fetches a CRL from the (local) Interconnection CAa CRL if the locally cached CRL has not yet expired;
8. SEGa uses this CRL to verify the status of the SEG CA cross-certificate;
9. SEGa verifies the status of the Interconnection CAa certificate if the Interconnection CAa is not a top-level CA, otherwise Interconnection CAa is implicitly trusted;

NOTE: If the local SEG CA public key is securely installed on every SEG within an operator's domain, then a cross-certificate does not need to be checked when SEGa and SEGb belong to the same operator's domain.

## 7.5a Establishing secure connections using TLS

The procedure for establishing secure connections using TLS is specified in detail in clause 5.2.2.

## 7.6 CRL management

NDS/AF compliant SEGs shall not send an ISAKMP CERTREQ where the Certificate Type is "Certificate Revocation List (CRL)". Receiving SEGs may ignore this request as section 6.1.3 specifies that CRLs shall be retrieved via a CRL distribution point.

The CRL issuer (which is in most cases the CA) shall only issue full CRLs. The use of delta CRLs is not allowed because of possible interoperability problems and because in the NDS/AF environment the full CRL is not expected to grow too large. The full CRL shall only contain revoked certificates applicable for use within NDS/AF. The CRL issuer shall issue a CRL also in cases that there are no revoked certificates. A SEG or TLS entity is not obliged to query for a CRL via the CRL Distribution Point if a cached one is still available and valid. If no valid cached CRL is available, the SEG or TLS entity shall fetch a new CRL. If no valid CRL can be fetched, the SEG or TLS entity shall treat this as an error and cancel tunnel establishment.

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# 8 Backward compatibility for NDS/IP SEGs

NDS/IP describes an authentication framework whereby IKE Phase 1 negotiation is based on the Pre-shared Secret Key (PSK) authentication method. NDS/AF describes an optional authentication framework which enables NDS/IP SEGs to perform IKE phase 1 negotiation based on the RSA Signatures authentication method. An NDS/AF compliant SEG shall also contain NDS/IP functionality. However, an NDS/IP compliant SEG need not contain NDS/AF functionality.

Device-specific management has to be used to reconfigure a SEG such that NDS/AF functionality will be used at the IKE initiator side for IKE Phase 1 negotiation. The transition towards NDS/AF-based authentication may be done on a SEG by SEG basis. Before the first NDS/AF SEG is taken into use it shall be assured that all needed NDS/AF functionality like CRs, CRL databases are available and working. The setting up of a NDS/AF-based IPsec tunnel can be tested in parallel to the protection of existing traffic using the PSK authentication method.

A smooth migration may be done in the following way:

- a NDS/AF SEG shall provide several algorithm proposal's during IKE Phase 1 negotiation, some based on the RSA signature authentication method, others based on the PSK authentication method;
- the responding IKE peer will select PSK authentication method if it does not support RSA signature authentication method, but it may select RSA signature authentication method if it complies with NDS/AF.
- the IKE responder policy shall be configured such that the RSA signature authentication method shall take precedence over the PSK authentication method to ensure that it is used as soon as the IKE initiator proposes the RSA signature authentication method.

If the SEGs of both operators support NDS/AF-based authentication then both SEG settings may be changed. The pre-shared secrets may then be removed from the SEGs and the IKE initiator shall only use the RSA signature authentication method. However, this removal of PSK is not essential as it may be used as a fallback mechanism. Some

care has to be taken that the policy between SEGs of different operators be coordinated otherwise this may result in failed tunnel set up. This would be the case if the initiating IKE peer only uses the RSA signature authentication method and the responding IKE peer only accepts the PSK authentication method. Furthermore, if the PSK is kept as a fallback mechanism after the RSA signature authentication method is introduced, then fallback to PSK should only be allowed if the operator makes a policy change in the SEGs to allow PSK to be used. The operator may temporarily allow fallback to PSK if, for example, the SEGs are unable to verify the necessary certificates because of problems with the PKI. If PSK is kept as a fallback then it may be necessary to renew the PSK periodically for security reasons, or if PSK compromise is suspected.

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## Annex A (normative): Critical and non critical Certificate Extensions

According to RFC3280 [3], section 4.2 a certificate extension can be designated as either critical or non-critical.

*"A certificate using system MUST reject the certificate if it encounters a critical extension it does not recognize; however, a non-critical extension MAY be ignored if it is not recognized."*

Optional and mandatory support statements (e.g. section 6 Profiling) are being made with respect to implementation requirements. A receiving SEG or TLS entity shall be able to process an extension marked as critical that is mandatory to support in NDS/AF. When optional to support, a received extension marked as critical shall lead to an error according to RFC 3280.

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## Annex B (informative): Decision for the simple trust model

### B.1 Introduction

In order to document the decision for the "simple trust model", which requires manual cross-certification, this section discusses technical advantages and disadvantages of two basic approaches to providing inter-operator trust for purposes of roaming traffic protection, namely **cross-certification** and a **Bridge CA**. The Bridge CA is an extension of the cross-certification approach, and identified as one of the recommendable solutions for providing inter-operator trust in NDS/AF feasibility study (TR 33.810). Taking into account the current state of PKI software and the general need for simple solutions when there is a choice, the cross-certification without a Bridge CA was chosen for the NDS/AF TS. This Annex discusses the background motivation for such direction.

The direct cross-certification without Bridge CA model is associated strongly with the current practice in the Internet IPsec world, where each IPsec connection is configured with a list of trusted CAs, and anyone with a certificate that has a trust path that can be followed up to such trusted CA (trust anchor) is allowed access. In this model, cross-certification is done at the time the roaming agreement is made. This is called the "**simple trust model**."

The Bridge CA model assumes that all operators wishing to establish a roaming agreement with other operators will first get certified by the Bridge CA for purposes of identification by other operators. This is a necessary preliminary step. Next, when the roaming agreement is done, the operators will configure their IPsec tunnels, with information about which one of the identifiable operators (who have a certificate issued by the Bridge CA) can use that tunnel. This is called the "**extended trust model**", or "separated trust and access control."

This Annex does not discuss the benefits of certificates vs. Pre-Shared Keys. The benefit of cross-certification vs. the explicit listing of roaming peer CAs includes the easier evolution path to a possible eventual Bridge CA model.

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### B.2 Requirements for trust model in NDS/AF

The following is a list of requirements for the trust model for NDS/AF:

- A. *Simplicity and ease of deployment.* PKI brings many benefits when a large number of operators need to tunnel traffic in a mesh configuration, but its adoption should not be hindered by an unnecessarily complex technical solution. The required technical and legal operations necessary for exchanging traffic with another operator should be as easy and straightforward as possible;
- B. *Compatibility with existing standards.* Unless there are explicit requirements why existing PKI standards should be extended to accommodate 3GPP environment, the 3GPP specifications should be accommodated to the existing standards. This allows best choice of equipment for operators and allows interoperability with non-3GPP environments;
- C. *Usable by both GRX and non-GRX operators.* Both operators making use of GRX providers and those without (using leased lines or even the public Internet), should be able to make use of NDS/AF measures to exchange traffic securely.

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### B.3 Cross-certification approaches

#### B.3.1 Manual Cross-certification

The trust model of manual cross-certification is characterized by the clause: "Trust nobody unless explicitly allowed". Issuing a certificate for the authority to be trusted creates the allowances. The manual cross-certification is easy to understand. Also the security of this depends only on the decisions done locally.

## B.3.2 Cross-certification with a Bridge CA

The trust model of bridge-CA can be characterized by the clauses:

- "Trust everybody that the Bridge-CA trusts unless explicitly denied". Explicit denials are handled by writing the restrictions (in the form of name constraints) to the certificate issued to the bridge.
- "Trust everybody listed in the certificate which I issued to the bridge". Explicit allowances are listed in the certificate issued to the bridge (in the form of name constraints).

Name constraint is a rarely used extension for X.509 certificates. In essence it is a clause that says who to trust or who not to trust based on names on certificates. The fact that they are relative rarely used and the fact that there is so little official documentation about them is a risk. Name constraints also require that there is some organization doing registration of names in order to avoid name collisions.

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## B.4 Issues with the Bridge CA approach

### B.4.1 Need for nameConstraint support in certificates or strong legal bindings and auditing

If no precautions are taken, it is possible that an operator (M) whose SEG CA has been signed by the Bridge CA (= certified by the Bridge), creates certificates that resemble another operator's (A) certificates, letting M access to operator (B)'s network, even without authorization.

Let's say operator B has the following configuration for access to her subnetwork reserved for handling roaming traffic:

- Local-Subnetwork = some ipv6 subnetwork address;
- TrustedCA's = BridgeCA;
- AllowedCertificateSubject = O=Operator A or O=Operator C or O=Operator D.

NOTE: The IP addresses of the remote SEGs are not limited, as authentication is done based on certificates, and all trusted operators are allowed similar access. If different foreign operators would require to access different subnetworks, there would be several configuration blocks like the above, with the IP addresses appropriately specified.

Such "AllowedCertificateSubject" feature (the term name is imaginary) is widely supported by PKI-capable IPSec devices.

If Operator M used certificates of the following form for her certificates, she would not be allowed in:

- Subject: CN=SEG 1, O=Operator M;
- Signer: CN=SEG CA, O=Operator M.

However, she can fabricate certificates of the following form:

- Subject: CN=SEG 1, O=Operator A;
- Signer: CN=SEG CA, O=Operator M.

Using such certificates would allow full but illegitimate access to Operator B's network revealed for use by Operator A.

Now, there are the following possibilities to circumvent the problem:

1. checking also the Signer name when authenticating foreign operators, either by a) a proprietary "AllowedCertificateSigner" property or b) support for nameConstraints in the Bridge CA certificate issued to operator M;
2. establishing strong legal bindings and auditing that would discourage Operator M from such illegitimate fabrication of Operator A certificates.

The problem with solution 1.a is that such "AllowedCertificateSigner" is not commonly supported by current PKI end-entity products, being in conflict with requirement B.

The problem with solution 1.b is that such "nameConstraints" attribute in certificates is not commonly supported by current PKI CA or end-entity products, being in conflict with requirement B.

The problem with solution 2 is that first of all, an organization willing to run a Bridge CA has to be found before any pair of operators can exchange roaming traffic with NDS/AF mechanisms. Next, there shall be established paperwork and auditing procedures to make sure that the exploit described here can be detected. This is in conflict with requirement A. Also, the illegitimate act described could not be technically prevented beforehand.

If name constraints are used, every time a new roaming agreement is made, each operator shall update the certificate they issue for the Bridge, adding the new roaming partner's name into the certificate. From the point of view of one operator, the number of new certificate signing operations is the same whether a Bridge CA or a direct cross-certification model is in use.

## B.4.2 Preventing name collisions

If name constraints are used to prevent the additional "bureaucracy" involved with the Bridge CA, the names written into the certificate need to be registered with a third party to prevent two operators accidentally or on purpose using the same name in their certificates. This is in conflict with requirement B.

## B.4.3 Two redundant steps required for establishing trust

As described in the introduction, with the "extended trust model", each operator shall first be certified by the bridge (authentication), and then as the second step, enumerate the trusted operators when configuring the IPSec tunnel (access control).

For the Bridge CA model to work, there is a need for organization that all the other parties involved can trust - and the trust shall be transitive! If you trust the bridge, you shall also trust the other organizations joining to the bridge via the cross-certification. If Operator A and the Bridge CA cross-certify with each other, Operator A will automatically trust every other certified operator to obey the rules. And this trust is not related to the roaming traffic tunnel; the tunnel has to be configured independently of the PKI.

So even if configuring new certificates in the SEGs is avoided when cross-certification is used, the roaming information shall be configured and maintained in the SEG some other way. And the hard part: How the trust provided by the PKI and the roaming agreements is combined, because clearly in this case PKI provided trust is not the same as roaming agreements.

Two steps would be needed:

1. building "trust" through Bridge CA => authenticating the peer SEG;
2. specify in the tunnel configuration which peering SEGs can be trusted.

If the cross-certification is done without a Bridge CA, the steps can be combined into one. What is the additional value of the PKI provided trust (step 1), if the peering SEGs have to be restricted in any case?

## B.4.4 Long certificate chains connected with IKE implementation issues

If Bridge CA is used, a SEG CA certificate has to be sent in the certificate payload in addition to the local end entity (SEG) certificate. This leads in Ethernet environments to the fragmentation of the IKE packet, which some current IKE implementations do not support. It is a problem in the implementation, not the protocol. Even in IPv6, the IKE UDP packets need to be fragmented, posing a potential interoperability problem. Clearly it is not a solution to use a different protocol, but instead the current implementations should be fixed. Still, taking into account requirement B, it is safer to avoid the problem altogether by not forcing the fragmentation of IKE packets by not using a Bridge CA.

## B.4.5 Lack of existing relevant Bridge CA experiences

The Federal PKI in the USA is an example deployment where a Bridge CA is used to connect together CAs of the various federal agencies. It seems to be however the only documented one of its kind, and is connected with very heavy policy documentation and obviously heavy auditing practices, even within one organization, the federal government. The bridge approach is warranted in the case, because they want to automatically check whether some entity has legal rights to sign some document. The number of entities doing cross-domain PKI validation can be several millions, and it is impossible for one validating entity to keep count of individual signers.

In 3G roaming, the situation is in many ways different. When a new operator is born, the other ones do not automatically want to exchange roaming traffic with the new one, but a legal agreement with that operator and a technical tunnel establishment shall be done. In Federal PKI, the situation is the opposite: nothing should need to be done and still be able to trust the other.

In the Federal PKI, the paperwork and processes make name constraints in certificates unnecessary, and IKE is supposedly not used together with the Bridge CA.

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## B.5 Feasibility of the direct cross-certification approach

This chapter discusses the direct cross-certification, i.e. manual cross-certification approach, where operators are doing the cross-certification operation only when agreeing to set up a tunnel with another operator. This tunnel setup is a legal and technical operation in any case, so it is feasible to do also the cross-certification at this time, removing the need for the initial step to cross-certify with the Bridge CA.

There is no technical difference regarding the feasibility of direct cross-certification or Bridge CA in the context of GRX or non-GRX environment. GRX might be one possible choice for providing the Bridge CA services.

### B.5.1 Benefits of direct cross-certification

The benefits of the direct cross-certification is that as a mechanism it is well known, supported widely by current PKI products and there even exists an evolution path to a Bridge CA solution if the products come to support it adequately, a Bridge CA is established, and the number of operators becomes so large to warrant the use of the Bridge CA technology. Bridge CA uses the cross-certification mechanisms in any case.

The tunnel configuration would look like the following:

- Local-Subnetwork = some ipv6 subnetwork address;
- TrustedCA's = LocalCA.

The information of which operator is allowed access is implicit in the direct cross-certifications that have been done by the LocalCA, thus authentication and access control are tightly connected. If different foreign operators need to access different subnetworks, there would be separate tunnel configurations with SEG IP address for each, including an "AllowedCertificateSubject" limitation. The "AllowedCertificateSigner" limitation is not needed as necessary in this model (compared to the bridge CA model), since the set of operators which can be authenticated are only the ones, that have previously been agreed to trust when doing the direct cross-certification. In the bridge CA case, the set of operators which can be authenticated includes all operators who have joined to the bridge.

## B.5.2 Memory and processing power requirements

In case of direct cross-certification, each operator shall store the certificates issued for the other operators locally. They could be stored in the SEG devices, or then in a common repository.

If an operator makes roaming agreements with 500 other operators, this would require roughly 1000 kilobytes of memory, if the operator signs the certificates herself, and one certificate takes 1 kilobyte of memory. This should be quite feasible taken into account the high-end nature of SEG hardware.

Processing power benchmark for validating certificates:

- Hardware: 800 MHz Pentium III, 256 MB of memory.
- 200 x 1024-bit RSA certificates, 1 Root CA (operator's own CA), 200 Sub CAs (other operator CAs) and 200 end entity (SEG) certificates. Also CRLs were verified. Both certificates and CRLs were loaded from disk during the test. The whole test took 3.5 seconds, with probably disk I/O taking most of the time.

In this test 200 certificate chains were validated up to the trusted root.

## B.5.3 Shortcomings

As discussed in the previous section, the Bridge CA approach saves memory or storage space in SEGs, because all the other operators SEG CA certificates do not need to be stored with other operators. Just the Bridge CA certificate would be stored, and other certificates retrieved during IKE negotiation.

## B.5.4 Possible evolution path to a Bridge CA

If needed, it is possible to take the Bridge CA into use gradually, given that the support by PKI products becomes reality. From one operator's point of view, the bridge CA would be like any other operator so far, and a cross-certification would be made, but additionally the name constraints in the certificate issued for the Bridge CA should be updated every time a new roaming agreement is made.

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## Annex C (informative): Decision for the CRL repository access protocol for SEGs

In order to document the decision for the protocol for SEGs to access CRL repositories, this section summarises technical advantages and disadvantages of the two candidates.

### **LDAP**

- + implemented by all PKI products (unless purely manual)
- + scalability
- + flexibility (integration possibility to other systems, automatic public key retrieval possibility)
- complexity

### **HTTP**

- + simple
- not supported by all PKI products (although widely supported)

LDAP was chosen as the more future-proof protocol. Although more complex than HTTP, LDAP is well established amongst PKI vendors and operators.

## Annex D (informative): Decision for storing the cross-certificates in CR

In order to document the decision for storing the cross-certificates in Certificate Repository, fetching those with LDAP and caching them in SEGs, this section summarises technical advantages and disadvantages of the three alternatives.

The following table summarizes differences between alternatives:

**Table D.1**

Issue	A) Cross-certificates are stored into SEGs:	B) Cross-certificates are stored into CRs:	C) Cross-certificates are stored into CRs and cached in SEGs upon usage:
1) Initialization issues: storing the cross-certificate during the cross-certification	The cross-certificate is <i>initially</i> stored in several places, that is, into <i>all</i> SEGs (estimated number is between 2 and 10). Pros: -  Cons: Certificate must be initially copied in several places. SEGs from different manufacturers may have other O&M interfaces to handle the certificates.	The cross-certificate is <i>initially</i> stored in CR. Pros: The handling is fully standardized. Certificate is initially copied in one place only. The operator should have the repository anyway (due to CRL handling). Cons: -	The cross-certificate is <i>initially</i> stored in CR. Pros and cons as in B).
2) Usage issues: latency during the IKE Phase 1	Pros: No extra latency Cons: -	Pros: - Cons: More latency caused by extra LDAP query (the cross-certificate is queried)	Pros & cons: as in B) at the first time, and as in A) at subsequent times
3) Cleanup issues: removing the cross-certificate	Pros: - Cons: The cross-certificate has to be removed from several places, that is, from <i>all</i> SEGs	Pros: The cross-certificate has to be removed from one single place only Cons: -	Pros: - Cons: The cross-certificate has to be removed from <i>both</i> CR <i>and</i> each SEG.
NOTE: this functionality is needed only to be able to revoke cross-certificates before the next CRL gets published.			
4) Security issues	Pros: No single point of failure exists. Cons: -	Pros: - Cons: CR represents a single point of failure suitable for an attacker, e.g. to submit a denial of service attack by breaking the communication at the CR.	Pros: Single point of failure partly mitigated Cons: -

### Analysis:

- Alternative B) requires one additional LDAP query in every IKE Phase 1 negotiation and will introduce new error cases
- Latency of LDAP: information from LDAP to local disk is cached and populating it takes some time, but in practice this time is not significant.
- The benefit of alternative B) and C) compared to alternative A) is easier management, that is, storing and removing the certificate in/from one single place only.

**Conclusion:** alternative C) is the most feasible choice, because it combines good points of alternatives A) and B).

## Annex E (informative): Change history

Change history							
Date	TSG #	TSG Doc.	CR	Rev	Subject/Comment	Old	New
2004-03	SP-23	SP-040168	-	-	Presented for approval at TSG SA #23	1.1.0	2.0.0
2004-03	SP-23	-	-	-	Approved and placed under Change Control (Rel-6)	2.0.0	6.0.0
2004-06	SP-24	SP-040393	001	-	Removal of inconsistencies regarding SEG actions during IKE phase 1	6.0.0	6.1.0
2004-06	SP-24	SP-040394	002	-	Removal of unnecessary restriction on CA path length	6.0.0	6.1.0
2004-06	SP-24	SP-040395	003	-	Correction of "Extended key usage" extension in SEG Certificate profile	6.0.0	6.1.0
2004-09	SP-25	SP-040623	004	-	Splitting the Roaming CA into a SEG CA and an Interconnection CA	6.1.0	6.2.0
2005-12	SP-30	SP-050654	-	-	Raised to Rel-7 to allow reference by TISPAN	6.2.0	7.0.0
2006-09	SP-33	SP-060507	000	-	Extending NDS/AF to support TLS	7.0.0	7.1.0
2006-09	SP-33	SP-060504	000	-	Clarifications and corrections	7.0.0	7.1.0
			5				
			6				

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## History

<b>Document history</b>		
V7.0.0	December 2005	Publication
V7.1.0	September 2006	Publication