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# SunSpec Cybersecurity Certification Program

## Phase 1: Recertification Policy



### **Abstract**

This document describes what vendors must do to receive certification for design updates to a previously certified product line. It applies to both hardware and software updates.

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Prepared by the SunSpec Alliance

Website: [sunspec.org](https://sunspec.org)

Email: [info@sunspec.org](mailto:info@sunspec.org)

# Revision History

Version	Date	Comments
1.0	2-15-2024	Initial release

## About the SunSpec Alliance

The SunSpec Alliance is a trade alliance of developers, manufacturers, operators, and service providers together pursuing open information standards for the distributed energy industry. SunSpec standards address most operational aspects of PV, storage, and other distributed energy power plants on the smart grid, including residential, commercial, and utility-scale systems, thus reducing cost, promoting innovation, and accelerating industry growth.

Over 150 organizations are members of the SunSpec Alliance, including global leaders from Asia, Europe, and North America. Membership is open to corporations, non-profits, and individuals. For more information about the SunSpec Alliance, or to download SunSpec specifications at no charge, visit [sunspec.org](https://sunspec.org).

## About the SunSpec Specification Process

SunSpec Alliance specifications are initiated by SunSpec members to establish an industry standard for mutual benefit. Any SunSpec member can propose a technical work item. Given sufficient interest and time to participate, and barring significant objections, a work group is formed, and its charter is approved by the board of directors. The workgroup meets regularly to advance the agenda of the team.

The output of the workgroup is generally in the form of a SunSpec Interoperability Specification. These documents are considered to be normative, meaning that there is a matter of conformance required to support interoperability. The revision and associated process of managing these documents is tightly controlled. Other documents are informative, or make some recommendations regarding best practices, but are not a matter of conformance. Informative documents can be revised more freely and more frequently to improve the quality and quantity of information provided.

SunSpec Interoperability Specifications follow a lifecycle pattern of: DRAFT, TEST, APPROVED, and SUPERSEDED.

For more information or to download a SunSpec Alliance specification, go to <https://sunspec.org/about-sunspec-specifications/>.

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# 1 Introduction

SunSpec's 2023-1 Cybersecurity Certification is for a specific hardware and software version and does not have an expiration date.

When the hardware or software of a certified product line is changed, the previous certification does not apply to the new design as certification is only for a specific hardware and software version. Vendors may request certification for the new product version by submitting the following to the SunSpec Cybersecurity Certification Body on a certification portal:

1. Recertification Request Form (Exhibit A),
2. Release notes for the product line update,
3. Required fee (if any).

## 2 Recertification Classification

The Certification Body classifies recertification requests into one of the following categories:

- Class 1: Changes to the non-compliant portion
  - Does not require new testing.
- Class 2: Minor changes to the compliant portion
  - Class 2 can include class 1 changes.
  - Vendor self-testing results to be submitted to the Certification Body.
- Class 3: Medium changes to the compliant portion
  - May involve limited retesting at an authorized lab.
  - The Certification Body may consult with subject matter experts and authorized labs to confirm impact analysis and retesting requirements.
- Class 4: Major changes to the compliant portion
  - Requires completely new testing at an authorized test lab and certification.

Class 1 changes receive automatic certification for the new version, although the Certification Body retains the right to revoke automatic certifications if certification problems are found. Higher class changes will require at least a subset of required test cases to be performed, with the results sent to the Certification Body for recertification. Examples of change classifications are listed in Exhibit B below. Disagreements on classification may be brought to the Certification Appeals Board.

If SunSpec releases a new set of requirements and test cases, the previous certification does not expire. If the vendor wishes the product to comply with the new release, the authorized test lab only needs to run the modified or additional test cases.

# Exhibit A

## Recertification Request Form

This form must be filled out by a manufacturer to request certification for a new version of a device that has been previously certified.

Manufacturer Name:

Product Name:

Product ID:

Certification Number:

Hardware version of the current product requesting certification:

Software version of the current product requesting certification:

Are there changes to the device's compliant portion (e.g.- functionality that is addressed by the requirements)?

Yes      No

If so, list the changes below:

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List all the changes to the device's non-compliant portion, if any:

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# Exhibit B

## Classification Guide

What has changed	Class
Discrete hardware components	2
External non-secure memory	2
Mechanical housing	1
Display	1
All other changes to hardware	3
Virtual machine	3
Operating system distribution	3
Operating system version (same distribution)	2
Other operating system change	3
Communication driver	3
Other kernel driver	3
Other user driver	3
Cryptography library version	2
Cryptography library distribution	3
Security settings	3
Application framework	3
Logging system	4
Access control system	3
Communication application- M2M interface	3
Communication application- everything else	3
Security-related user interface application	3
Non-security-related user interface application	1
Power-related application	3