

1 **Establishing Confidence in IoT**  
2 **Device Security:**  
3 *How do we get there?*

4  
5 Katerina N. Megas  
6 Barbara Cuthill  
7 *Applied Cybersecurity Division*  
8 *Information Technology Laboratory*

9  
10 Sarbari Gupta  
11 *Electrosoft Services, Inc.*  
12 *Reston, VA*  
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**Abstract**

NIST conducted a review of the available alternative approaches for providing confidence in the cybersecurity of Internet of Things (IoT) devices in November 2020 through January 2021, conducting interviews with government and private sector organizations who are experts on these approaches. This white paper describes the available landscape of approaches and draws out themes commonly heard during the interviews.

**Keywords**

conformance testing; cybersecurity; Internet of Things; labelling

**Disclaimer**

Any mention of commercial products or reference to commercial organizations is for information only; it does not imply recommendation or endorsement by NIST, nor does it imply that the products mentioned are necessarily the best available for the purpose.

**Additional Information**

Information on this topic is available on the [NIST Cybersecurity for IoT Program homepage](#). For additional information on NIST’s Cybersecurity programs, projects and publications, visit the [Computer Security Resource Center](#). Information on other efforts at [NIST](#) and in the [Information Technology Laboratory \(ITL\)](#) is also available.

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National Institute of Standards and Technology  
Attn: Applied Cybersecurity Division, Information Technology Laboratory  
100 Bureau Drive (Mail Stop 2000) Gaithersburg, MD 20899-2000  
Email: [iotsec@nist.gov](mailto:iotsec@nist.gov)

All comments are subject to release under the Freedom of Information Act (FOIA).

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### Note to Reviewers

54 The purpose of this draft essay is to start a conversation about what it means to have confidence in the  
55 cybersecurity of IoT devices used by individuals and organizations and the various ways of gaining that  
56 confidence. This essay describes the landscape of confidence mechanisms that are currently available  
57 for establishing the security of IoT devices in the marketplace. In preparing this essay, NIST conducted  
58 extensive research on initiatives that can help to instill confidence in IoT device security and held a  
59 series of meetings with government and industry experts to glean information on the unique aspects  
60 and challenges in this space.

61 NIST seeks comments on this essay and on the topic of confidence mechanisms including comments  
62 addressing the following questions:

- 63 • While the landscape review wasn't meant to be exhaustive, are there other significant  
64 confidence mechanisms that we should include?
- 65 • Have we correctly characterized the different mechanisms for providing confidence in the  
66 security of IoT products?
- 67 • We identified seven themes that emerged from our interviews. Are there other considerations  
68 that we missed?

69

70 Please provide comments by June 14, 2021 to [iotsec@nist.gov](mailto:iotsec@nist.gov) with the subject line *IoT Confidence*  
71 *Mechanism Comments*.

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## 107 **1 Introduction**

### 108 **1.1 Background and Purpose**

109 The Internet of Things (IoT) is a rapidly evolving and expanding collection of diverse technologies that  
110 interact with the physical world. IoT devices are an outcome of combining the worlds of information  
111 technology (IT) and operational technology (OT). IoT devices have at least one transducer (sensor or  
112 actuator) for interacting directly with the physical world and at least one network interface (e.g.,  
113 Ethernet, Wi-Fi, Bluetooth, Long-Term Evolution [LTE], Zigbee, Ultra-Wideband [UWB]) for interfacing  
114 with the digital world.

115 There is an explosion of IoT devices in the market – customers of such devices include individual  
116 consumers implementing IoT within their home environments as well as organizational customers  
117 implementing IoT devices for business use. They purchase and use IoT devices in their environments due  
118 to the attractive functionality offered by such devices at a reasonable price point. Many such customers  
119 are unaware of the need to ensure that the device is securable and will not create a network risk.

120 Some groups of IoT device customers are indeed worried about the hazards posed by missing or weak  
121 security capabilities of these devices and how these weaknesses can be exploited to bring direct or  
122 indirect harm to the customer and their environment. However, these customers may or may not have  
123 access to adequate confidence mechanisms for the security of the IoT devices they wish to use. For  
124 example, US federal agencies have a large installed base of IoT devices in their environments and are  
125 rapidly expanding the use of additional IoT devices to address a variety of functional requirements. Yet,  
126 many such agency customers are seeking methods to achieve a higher level of awareness of and  
127 confidence in the security capabilities of these IoT devices.

128 What is a confidence mechanism? Confidence is defined as *the feeling or belief that one can rely on*  
129 *someone or something*. Mechanism is defined as *an established process by which something takes place*  
130 *or is brought about*. For the purposes of this essay, the term confidence mechanism can be defined as  
131 “an established process by which the user can rely on someone or something” and addresses the  
132 landscape of approaches to achieve assurance about the security capabilities of IoT devices.

133 In preparing this essay, NIST conducted extensive research on initiatives that can help to instill  
134 confidence in IoT device security and held a series of meetings with government and industry experts to  
135 glean information on the unique aspects and challenges in this space. This essay describes the  
136 landscape of confidence mechanisms that are currently available for establishing the security of IoT  
137 devices in the marketplace. Also included (as an appendix) is a summary of existing NIST work in  
138 conformity assessment to describe the different approaches that can be used to establish confidence  
139 that products meet target standards and specifications.

140 This essay also identifies a few emergent themes which need to be addressed by existing or evolving  
141 confidence mechanisms for IoT device security. These themes are listed below and discussed in further  
142 detail in Section 6:

- 143 • Theme 1: The diversity and scale of IoT devices precludes having a single approach for  
144 establishing security confidence

- 145 • Theme 2: The selection of confidence mechanism has to be risk based, with greater risk  
146 potentially requiring more rigorous confidence mechanisms
- 147 • Theme 3: Confidence mechanisms must be clear about the assumptions and limits of the  
148 confidence attestations
- 149 • Theme 4: Confidence mechanisms can exacerbate problems of market fragmentation through  
150 narrow certifications or can mitigate by providing a certification that is recognized broadly
- 151 • Theme 5: Certain categories of customers cannot be expected to take extensive actions with  
152 respect to IoT security
- 153 • Theme 6: Maintaining appropriate confidence in a device over its lifetime requires IoT device  
154 manufacturers and confidence mechanisms to consider additional dimensions
- 155 • Theme 7: Customer awareness and training are essential to expanding the recognition of IoT  
156 security confidence mechanisms

157 The next steps will involve collaboration among stakeholders to generate ideas and opportunities for  
158 evolving existing mechanisms and developing new mechanisms to encourage a marketplace for secure  
159 IoT products.

160 The purpose of this essay is to start a conversation about what it means to have confidence in the  
161 cybersecurity of IoT devices used by individuals and organizations and the various ways of gaining that  
162 confidence.

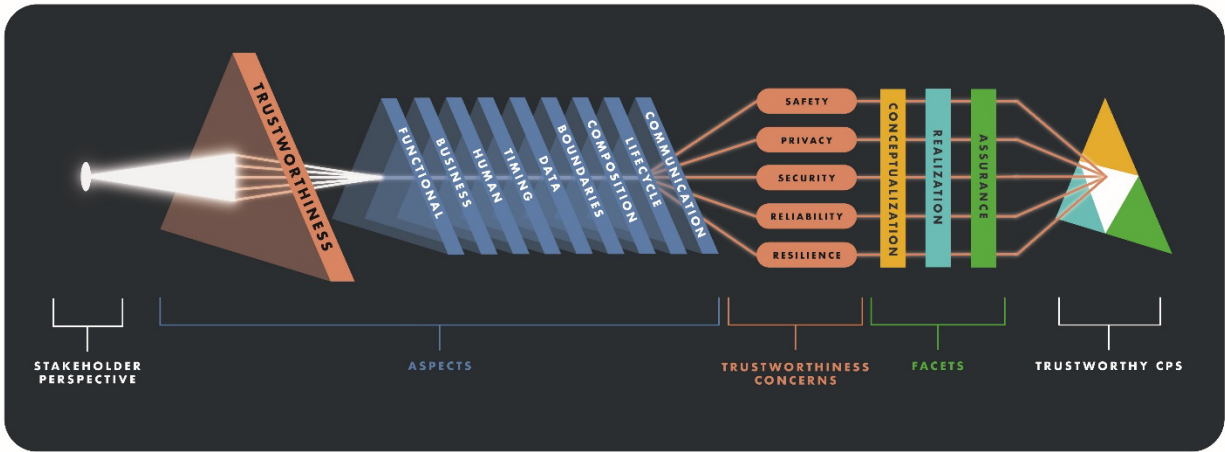
## 163 **1.2 Scope**

164 Security is one dimension of the trustworthiness of a system. The NIST Cyber Physical Systems (CPS)  
165 team has done extensive research into the characteristics of systems that interact with both the physical  
166 world as well as the cyber world and has developed a notional framework (see Figure 1) for  
167 trustworthiness for CPS that incorporates five key dimensions – *security, privacy, safety, reliability, and*  
168 *resilience*.

169 The CPS trustworthiness framework is directly applicable to the trustworthiness of IoT devices since the  
170 fundamental concepts of CPS and IoT are closely aligned. Although all five dimensions of trustworthiness  
171 of IoT are important, the security dimension is the primary thrust of this essay. However, it may be  
172 noted that a security failure in an IoT device has the potential to undermine all the other  
173 trustworthiness dimensions of the device.

174 This essay is focused on confidence mechanisms for security of IoT devices which is a step in the process  
175 of establishing trust in that system.

**CYBER-PHYSICAL SYSTEMS FRAMEWORK**  
**TRUSTWORTHINESS**



176

177

Figure 1 - Trustworthiness of Cyber Physical Systems

178 **1.3 Intended Audience**

179 The intended audience for this document includes security researchers, federal agency personnel  
180 responsible for purchasing and operating IoT devices, IoT manufacturers, consumer advocacy groups,  
181 members of standards organizations and third-party certification bodies who have an interest in  
182 establishing a marketplace of secure IoT products.

183 **1.4 Organization**

184 This essay is organized as follows. Section 2 describes the similarities and dissimilarities between IoT and  
185 IT devices with respect to security. Section 3 describes the various types of confidence mechanisms and  
186 a general framework for customer confidence. Section 4 provides a high-level survey of the landscape of  
187 non-regulatory confidence mechanisms while Section 5 provides examples of policy-based confidence  
188 mechanisms. Section 6 summarizes the essay and provides some themes and observations on building  
189 confidence mechanisms for IoT device security.

## 190 2 Security of IoT Devices

191 IoT devices interact with the physical world through sensors and actuators. However, IoT devices are  
192 also Information Technology (IT) devices that collect, store and/or transmit information (data) over  
193 network connections. Since they can be viewed as IT assets/systems, IoT devices and the data that they  
194 process need to be protected for confidentiality, integrity and availability just like any other IT system.  
195 Many of the vulnerabilities that plague other IT systems also affect IoT devices, and the attack methods  
196 that target other IT systems may also be used against IoT devices and systems.

197 Yet, IoT devices are different than conventional IT devices and systems in many ways. Many IoT devices  
198 interact with the physical world in ways conventional IT devices do not (and cannot). For example, IoT  
199 sensor data, representing measurements of the physical world, have to be effectively managed in order  
200 to mitigate physical attacks on sensor technology. IoT devices with actuators have the ability to make  
201 changes to physical systems and thus affect the physical world. The potential impact of manipulating  
202 these physical actuators needs to be explicitly recognized and addressed. A security compromise could  
203 allow an attacker to hijack or control the actuators of an IoT device to endanger human safety, damage  
204 or destroy equipment and facilities, or cause major operational disruptions.

205 Many IoT devices cannot be accessed, managed, or monitored in the same ways conventional IT devices  
206 can. Conventional IT devices usually provide authorized people, processes, and devices with hardware  
207 and software access, management, and monitoring features. In contrast, many IoT devices are opaque,  
208 often referred to as “black boxes.” They provide little or no visibility into their state and composition,  
209 including the identity of any external services and systems they interact with, and little or no access to  
210 and management of their software and configuration.

211 The availability, efficiency, and effectiveness of security capabilities are often different for IoT devices  
212 than conventional IT devices. Many IoT devices do not or cannot support the range of security  
213 capabilities typically built into conventional IT devices.

214 Unlike conventional IT devices/systems, IoT devices possess some **unique characteristics** that make it  
215 challenging<sup>1</sup> to implement and maintain a strong security posture. For example:

- 216 • The power and computational limitations may make it difficult to implement complex security  
217 protections such as cryptography.
- 218 • The software/firmware on the devices are often highly configurable – thus, the specific  
219 configuration used by a customer may affect the security of the device functionality.
- 220 • It is often unclear whether the data handled by the device is sensitive or the possible impacts of  
221 data aggregation for unanticipated purposes.
- 222 • The mismatch between the expected life of the physical elements of the device versus the IT  
223 elements can create long term support challenges.
- 224 • The difficulty of communicating with customers (post-market) regarding new security  
225 vulnerabilities and the availability of firmware/software updates makes it challenging to  
226 maintain the security posture of IoT devices in the operational environment.

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<sup>1</sup> <https://doi.org/10.6028/NIST.IR.8228>



## 227 **3 Confidence Mechanisms for IoT Device Security**

228 As defined earlier, a confidence mechanism is “an established process by which the user can rely on  
229 someone or something.” For the purposes of this essay, NIST is exploring the types of confidence  
230 mechanisms that are available to customers of IoT devices with regards to their security capabilities.

### 231 **3.1 Sources of Confidence**

232 Many customers of IoT devices, especially in the consumer market, do not have the expertise to  
233 appreciate the potential risks posed by these devices. Other customers understand the need to have  
234 confidence in the overall trustworthiness (including resistance to security threats) of the IoT devices  
235 they use and are seeking mechanisms to have confidence in the security of IoT that they buy and use.

236 From the customer’s perspective, the available sources of confidence in IoT device security include:

- 237 • **User experience** – Customer has had positive experiences related to security mechanisms in the  
238 IoT device. The customer believes that the available, configurable security mechanisms meet  
239 their needs and are meaningful, relevant, and usable.
- 240 • **Reporting by Consumer Groups** – Customer believes that if there was a problem with the IoT  
241 device, it would be evident from news media and/or reports published by consumer advocacy  
242 groups.
- 243 • **Brand Recognition** – Customer has a deep level of trust in the manufacturer or reseller’s brand  
244 and has confidence in their IoT products.
- 245 • **Manufacturer Assertions** – Customer believes that a Manufacturer’s assertion (e.g., a label<sup>2</sup> or  
246 online assertion) provides confidence in the IoT product.
- 247 • **Trade Association Assertions** – Customer believes that an assertion made by a relevant trade  
248 association or business advocacy group provides confidence in the IoT product.
- 249 • **Third-Party Assertions** – Customer believes that a Third-Party Assertion (e.g., a certification  
250 marking or online assertion) provides confidence in the IoT product.
- 251 • **Regulations and Enforcement** – Customer believes there are government regulations that  
252 protect them from unsafe devices and that enforcement bodies (such as consumer protection  
253 agencies) will ensure that violating manufacturers/resellers will be made to recall or ban unsafe  
254 products.

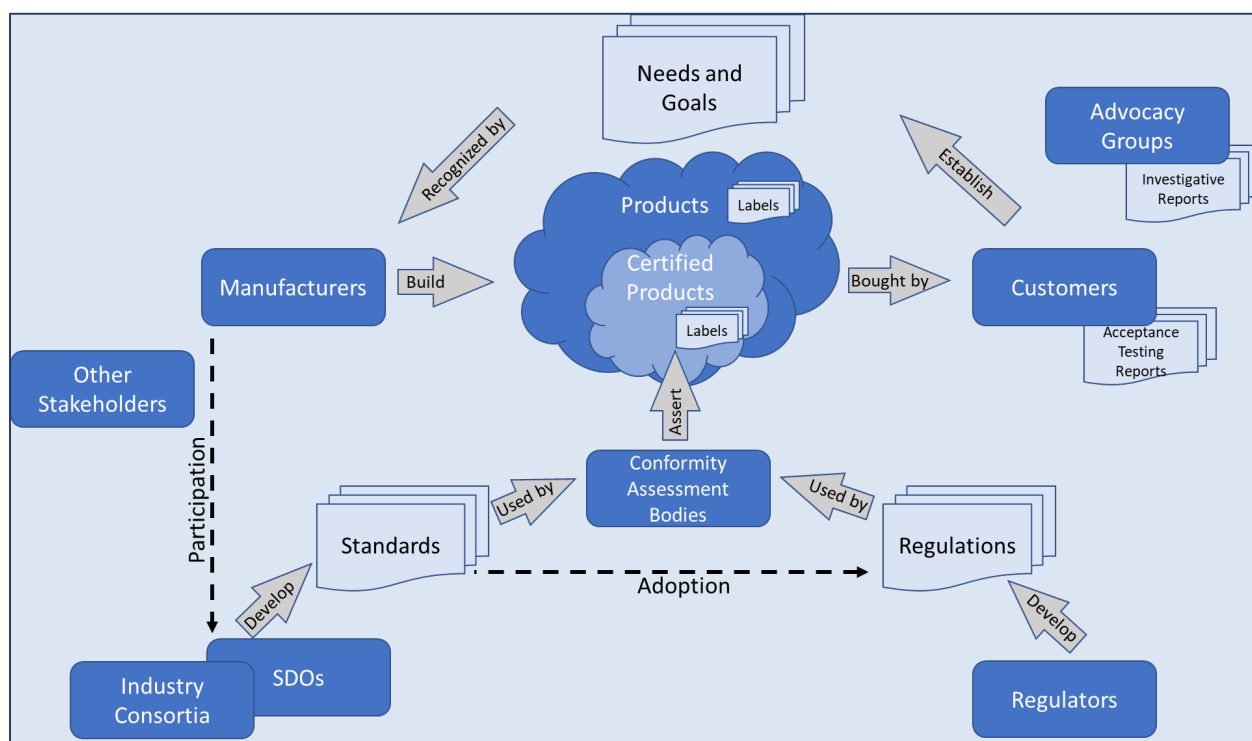
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<sup>2</sup> Product labels are a well-established mechanism for asserting characteristics and attributes of products. Manufacturers use labels to describe the product, its characteristics, and benefits. Certain labels (such as nutritional information labels on food products, or weight and volume metrics for a product) are mandated by the government and the accuracy of the label is enforced by law. Some other labels indicate assertions about the product by third parties (such as the UL approved label for electrical products or Energy Star label on appliances). A label may be directly affixed to the product packaging. It can also take the form of literature included with the product, QR codes that lead to online statements, manufacturer website claims, etc. Labels are markings that proclaim attributes about a product and can be issued by manufacturers, trade associations or third-party assessment bodies.

### 255 3.2 Framework for Customer Confidence

256 The Figure 2 illustrates a general framework for consumer confidence. This framework comprises the  
257 following participants:

- 258 • **Customers** of a category of product
- 259 • **Advocacy Groups** that watch out for the customer’s interest
- 260 • **Manufacturers** of products
- 261 • **Regulators** that mandate requirements for a particular market or category of product and  
262 enforce them
- 263 • **Standard Development Organizations (SDOs)** and **Industry Consortia** (trade associations and  
264 business advocacy groups) that develop specifications and requirements for a category of  
265 product and establish consensus or industry standards for that category
- 266 • **Conformity Assessment Bodies (CABs)** that measure conformity of products to a selected  
267 standard or regulation and provide certifications indicating the level of conformity



268

269

Figure 2: Framework for Customer Confidence

270 Customers have functional needs and goals that need to be met. Manufacturers build products to meet  
271 the perceived or articulated functional needs and goals of their target customers. Depending on the  
272 criticality of the functions provided by the product, regulatory bodies may enact regulations and  
273 establish mandatory requirements for the product category and enforce them through watchdog

274 organizations. SDOs and Industry Consortia establish standards that are relevant to that product  
275 category.

276 Either because they are driven by regulation or the desire to differentiate their products in the  
277 marketplace, manufacturers work to meet applicable sets of regulations or standards. Ultimately the  
278 customer determines what standards are important for them and what regulations apply to their  
279 market and then seek out ways to obtain confidence that the products they want to purchase meet  
280 those regulations/standards. Based on the category of product, there may be various mechanisms  
281 available for the Customer (such as consumer reports, manufacturer labels, and certification statements  
282 issued by independent CABs) to achieve the desired level of confidence that the product meets the  
283 requirements.

### 284 **3.3 Benefits of Confidence in IoT Device Security**

285 With appropriate confidence mechanisms, customers will have a way to distinguish IoT products that  
286 have strong security controls from those that have weak or non-existent security controls. This will help  
287 customers to determine the value-to-cost tradeoff for secure IoT devices and select more secure devices  
288 when appropriate for their risk profile.

289 The availability of confidence mechanisms also allows manufacturers to differentiate their products  
290 from less secure comparable products. This creates is a gradual pressure in the marketplace to build  
291 better security within IoT devices. Having confidence mechanisms that are based on standards  
292 recognized across many geographies allows manufacturers to build secure IoT devices that can be sold  
293 across many regions, which makes it more cost effective to build secure IoT devices. The IoT device  
294 marketplace can thus continue to thrive and provide highly sought functionality and services to  
295 customers across the globe.

## 296 **4 Landscape of Non-Regulatory Confidence Mechanisms**

### 297 **4.1 Consumer Advocacy Groups**

298 Several consumer advocacy groups are focusing their attention on IoT security. Their work serves to  
299 drive customer awareness of IoT device cyber risks and advocates for ways to instill higher confidence in  
300 these products. Some examples are provided below.

- 301 • Consumer Reports (CR) is working to create a new open-source industry criteria-set that can be  
302 used to safeguard the security and privacy of consumers of IoT devices<sup>3</sup>. They issued a letter to  
303 25 connected camera manufacturers saying that they will change their rating system to reflect  
304 stronger security and privacy standards. They have issued a guide for digital security and privacy  
305 to help consumers navigate the complexities, risks, and easy-to-follow tips on using IoT devices<sup>4</sup>.
- 306 • The Center for Democracy and Technology (CDT) has filed comments with the Consumer  
307 Products Safety Commission<sup>5</sup> in response to hearings on IoT and consumer product hazards and  
308 have reported on the liability issues surrounding IoT<sup>6</sup>.
- 309 • Electronic Privacy Information Center (EPIC)<sup>7</sup> pursues a wide range of program activities  
310 including policy research, public education, conferences, litigation, publications, and advocacy.  
311 They are looking at the security and privacy issues of IoT devices that are connecting to other  
312 devices and people over the existing Internet infrastructure.
- 313 • Internet Society is a global nonprofit organization empowering people to keep the Internet  
314 open, globally connected, secure, and trustworthy. They are investigating the impact of IoT  
315 devices<sup>8</sup> and have developed a IoT security and privacy checklist for manufacturers and  
316 enterprise users as well as a list of top tips for consumers of IoT.
- 317 • Consumers International is a membership organization for consumer groups around the world  
318 working to ensure that the voice of the consumer is heard

### 319 **4.2 Industry Consortia (Trade Associations and Business Advocacy Groups)**

320 Various trade organizations and business advocacy groups are working to improve the state of IoT  
321 device security through development of relevant requirements and standards and/or shaping the  
322 industry's stance on policy issues. While not exhaustive, some examples are provided below.

- 323 • The ioXt Alliance<sup>9</sup> comprises over 300 member companies (including Amazon, Google, Comcast,  
324 T-Mobile and many others) operating in over 30 countries. Through its Working Groups, ioXt

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<sup>3</sup> <https://www.consumerreports.org/privacy/consumer-reports-to-begin-evaluating-products-services-for-privacy-and-data-security/>

<sup>4</sup> <https://www.consumerreports.org/digital-security/online-security-and-privacy-guide/>

<sup>5</sup> <https://cdt.org/insights/protecting-consumers-in-the-era-of-iot-cdt-comments-to-the-consumer-product-safety-commission/>

<sup>6</sup> <https://cdt.org/insights/when-iot-kills-preparing-for-digital-products-liability/>

<sup>7</sup> <https://epic.org/privacy/internet/iot/>

<sup>8</sup> <https://www.internetsociety.org/iot/>

<sup>9</sup> <https://www.ioxtalliance.org/>

- 325 develops security profiles to meet specific product or market security needs and to comply with  
326 regulations in the countries where the products are sold. ioXt offers two types of certification:  
327 testing of products by accredited third party laboratories and self-attestation by manufacturers.  
328 A product that successfully completes the ioXt certification process results in the issuance of a  
329 SmartCert, which is a QR code label that links back to the ioXt website and shows if the device is  
330 currently “ioXt certified” or not. ioXt also combines researcher rewards for identification of  
331 vulnerabilities on all of their certified products. ioXt focuses on the smart home, smart building,  
332 cellular IoT, and mobile application markets.
- 333 • CTIA represents the U.S. wireless communications industry. CTIA’s IoT Cybersecurity  
334 Certification Program<sup>10</sup> establishes an industry baseline (developed in collaboration with leading  
335 wireless operators, technology companies, security experts, and test labs) for device security on  
336 wireless networks. The program is based on technical testing of tangible IoT security features by  
337 CTIA Authorized Test Labs (CATLs). The CTIA IoT security certification program was designed to  
338 be a framework for OEMs and other device manufacturers to go through rigorous testing and be  
339 certified; this certification provides assurances to network operators.
  - 340 • The Consumer Technology Association<sup>11</sup> (CTA)<sup>®</sup> is the trade association representing the US  
341 consumer technology industry. The CTA<sup>®</sup> IoT Working Group supports the advancement of the  
342 consumer IoT industry through market research, education, standards and policy efforts.

### 343 4.3 Third Party Confidence Mechanisms

344 There are several active third-party programs for testing and certification and/or labeling of IoT devices  
345 against security requirements. While not meant to be exhaustive, below are some representative  
346 examples of such programs. It may be noted that NIST has extensive experience with conformity  
347 assessment programs. Appendix A describes the terminology and concepts related to conformity  
348 assessment from NIST publications on this topic.

- 349 • Underwriters Laboratories (UL) launched its IoT Security Rating in 2019, with the goal of  
350 providing assessments against the UL MCV (Marketing Claim Verification) 1376, which is a set of  
351 requirements representing industry best practice baseline security capabilities for consumer and  
352 commercial IoT devices. Testing against MCV 1376 can be performed at five (5) levels: Bronze,  
353 Silver, Gold, Platinum and Diamond – with an increasing set of security capabilities being verified  
354 at each level starting with Bronze as the basic level. The UL IoT Security Rating is applicable to  
355 the overall consumer and commercial IoT industry. On successful evaluation at a particular level,  
356 manufacturers receive a UL Verified Mark (rather than a *certification*) and a security label.
- 357 • TIC Council is a global association representing Testing, Inspection and Certification  
358 organizations<sup>12</sup>. Members operate 3rd party conformity assessment programs or are conformity  
359 assessment scheme owners and must demonstrate ongoing compliance with ISO/IEC 17025 in  
360 addition to compliance review against TIC Council’s Code of Practice.

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<sup>10</sup> <https://ctiacertification.org/program/iot-cybersecurity-certification/>

<sup>11</sup> <https://www.cta.tech/Membership/Member-Groups/IoT-Working-Group>

<sup>12</sup> <https://www.tic-council.org/about-us>

## 361 **5 Landscape of Policy-Based Confidence Mechanisms**

362 With the explosion of IoT devices of various types that are available on the market and the rapid  
363 pace at which such devices are being adopted by individual consumers and being integrated into  
364 the infrastructure of various organizations, there is significant awareness by governments and  
365 industry that the security of these devices requires further attention. This section provides  
366 examples of some of the efforts made by governments to drive better security in IoT devices.

### 367 **5.1 National Level Efforts**

368 Executive Order (EO) 13800<sup>13</sup>, *Strengthening the Cybersecurity of Federal Networks and Critical*  
369 *Infrastructure*, was issued in May 2017. The focus of EO 13800 is to improve the Nation's cyber posture  
370 and capabilities against intensifying cybersecurity threats by modernizing Federal information  
371 technology infrastructure, working with state and local government and private sector partners to more  
372 fully secure critical infrastructure, and collaborating with foreign allies.

373 Published in March 2020, the U.S. Cyberspace Solarium Commission report<sup>14</sup> consists of over 80  
374 recommendations organized into 6 pillars, describing a new strategic approach to defending the United  
375 States in cyberspace against cyber-attacks of significant consequences. The report makes a  
376 recommendation for the creation of a National Cybersecurity Certification and Labeling Authority  
377 (NCCLA) to establish and manage a voluntary cybersecurity certification and labeling program for critical  
378 information and communication technologies, including IoT devices. The term critical implies that that  
379 the product is in use in critical infrastructure sectors supporting national critical functions as determined  
380 by DHS. The NCCLA would work in coordination with other Federal government to identify common  
381 security standards, frameworks, and benchmarks against which the security of the product can be  
382 measured. The certification would result in a label or symbol provided by an accredited certifying agent  
383 resulting from a comprehensive evaluation of the product against a set of specified security standards.  
384 Three classes of certification would be supported: attestation-based, accreditation-based, and Third-  
385 party test-based. The label would be a clear visual and easy to understand symbol or list that conveys a  
386 product's security capabilities and features. The labels would be enforced by the Federal Trade  
387 Commission for falsely labeled or mislabeled products. It is envisioned that a nonprofit,  
388 nongovernmental organization may be suitable to serve as a project manager for centralized  
389 certification and labeling efforts in the United States.

390 Public Law 116-207<sup>15</sup>, *IoT Cybersecurity Improvement Act of 2020*, was passed by Congress in December  
391 2020, to establish minimum security standards for IoT devices owned or controlled by the Federal  
392 Government. It requires the establishment of security standards and guidelines for agencies on the use  
393 and management of IoT devices; establishment of guidelines for and implementation of coordinated  
394 disclosure of security vulnerabilities relating to IoT devices; and contractor compliance with the  
395 coordinated disclosure of such vulnerabilities. This law specifically addresses the general use of IoT  
396 devices within the information technology environment of a federal agency and the security standards

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<sup>13</sup> <https://www.federalregister.gov/documents/2017/05/16/2017-10004/strengthening-the-cybersecurity-of-federal-networks-and-critical-infrastructure>

<sup>14</sup> <https://drive.google.com/file/d/1c1UQI74Js6vkfjUowI598NjwaHD1YtIY/view>

<sup>15</sup> <https://www.congress.gov/116/plaws/publ207/PLAW-116publ207.pdf>

397 that need to be upheld with such use. It may be noted that IoT cybersecurity is also being addressed by  
398 federal agencies that regulate specific classes of consumer IoT devices that pose special hazards (such as  
399 FDA for connected medical devices and Department of Transportation for connected cars).

400 The Consumer Product Safety Commission (CPSC)<sup>16</sup> is charged with protecting the public from  
401 unreasonable risks of injury or death associated with the use of the thousands of types of consumer  
402 products under the agency's jurisdiction. CPSC has been looking into the safety hazards posed by IoT  
403 devices in the consumer space for some time and released *A Framework of Safety for the Internet of*  
404 *Things*<sup>17</sup> in 2019 that provides technology-neutral best practices to incorporate consumer product safety  
405 in the design and deployment of devices, software, and systems. In its FY 2021 Operating Plan<sup>18</sup>, CPSC  
406 includes the following FY 2021 priority activity: "Focus on potential safety issues associated with  
407 Internet of Things (IoT)/Connected products."

408 The Federal Trade Commission (FTC)<sup>19</sup> protects consumers and competition by preventing  
409 anticompetitive, deceptive, and unfair business practices. The FTC performs its activities through law  
410 enforcement, advocacy, and education. The FTC also advances consumers' interests; develops policy  
411 and research tools through hearings, workshops, and conferences; and creates practical and plain-  
412 language educational programs for consumers and businesses. It enforces federal laws (such as the FTC  
413 Act and others) relating to consumers' privacy and security<sup>20</sup> through cases brought against companies  
414 that make claims that they do not substantiate through actions. It has brought legal actions against  
415 organizations that have violated consumers' privacy rights, misled them by failing to maintain security  
416 for sensitive consumer information, or caused substantial consumer injury.

## 417 **5.2 State Government Efforts**

418 Various state governments have started work on legislation to regulate the security of connected  
419 devices. For example, California<sup>21</sup> and Oregon<sup>22</sup>, have formally enacted laws targeted at device  
420 manufacturers. Several other states (e.g., Maryland<sup>23</sup>, Illinois<sup>24</sup>, Virginia<sup>25</sup> and New York<sup>26</sup>, Vermont<sup>27</sup> )  
421 have started state level legislation efforts related to connected device security – however, none of these  
422 efforts have resulted in state regulation as of this writing.

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<sup>16</sup> <https://cpsc.gov/About-CPSC>

<sup>17</sup> [https://www.cpsc.gov/s3fs-public/A\\_Framework\\_for\\_Safety\\_Across\\_the\\_Internet\\_of\\_Things\\_1-31-2019\\_0.pdf?1KJ.t4Tn04v9OtEBr2s0wyLAP.KsuuQ3](https://www.cpsc.gov/s3fs-public/A_Framework_for_Safety_Across_the_Internet_of_Things_1-31-2019_0.pdf?1KJ.t4Tn04v9OtEBr2s0wyLAP.KsuuQ3)

<sup>18</sup> <https://www.cpsc.gov/s3fs-public/Fiscal-Year-2021-Operating-Plan.pdf?CKb6Hx.as1gLs3MDCecBUq3Daqo1f5nt>

<sup>19</sup> <https://www.ftc.gov/about-ftc>

<sup>20</sup> <https://www.ftc.gov/news-events/media-resources/protecting-consumer-privacy/privacy-security-enforcement>

<sup>21</sup> [https://leginfo.legislature.ca.gov/faces/billTextClient.xhtml?bill\\_id=201720180SB327](https://leginfo.legislature.ca.gov/faces/billTextClient.xhtml?bill_id=201720180SB327)

<sup>22</sup> <https://olis.leg.state.or.us/liz/2019R1/Measures/Overview/HB2395>

<sup>23</sup> <http://mgaleg.maryland.gov/mgawebsite/Legislation/Details/SB0443?ys=2020RS>

<sup>24</sup>

<https://www.ilga.gov/legislation/BillStatus.asp?DocNum=3391&GAID=15&DocTypeID=HB&LegId=119982&SessionID=108&GA=101>

<sup>25</sup> <https://lis.virginia.gov/cgi-bin/legp604.exe?191+ful+HB2793&191+ful+HB2793>

<sup>26</sup> <https://www.nysenate.gov/legislation/bills/2019/s3973>

<sup>27</sup> <https://legislature.vermont.gov/bill/status/2020/H.157>

423 Since the passing of the *IoT Cybersecurity Improvement Act of 2020*, most states have suspended state  
424 level efforts to develop legislation for securing connected devices to avoid fragmentation and  
425 suppression of the IoT marketplace with dissimilar state level laws.

### 426 **5.3 International Efforts**

427 Many countries (including the US, UK, Brazil, Taiwan, Australia, Singapore, Japan and others) have been  
428 working on laws to regulate the security of IoT devices. While not exhaustive, several examples are  
429 provided below.

430 The European Union (EU) Cybersecurity Act<sup>28</sup>, issued in April 2019, aims to achieve a high level of  
431 cybersecurity, cyber resilience and trust in the EU by setting (i) objectives, tasks and organizational  
432 matters for a strengthened and renamed European Union Agency for Cybersecurity (ENISA), with a new  
433 permanent mandate; and (ii) a framework for voluntary European cybersecurity certification schemes  
434 for Information and communications technology (ICT) products, services and processes.

435 The EU Cybersecurity Act establishes the EU Cybersecurity Certification Framework<sup>29</sup> to: (a) improve the  
436 functioning of the internal market by increasing the level of cybersecurity in the EU and enabling a  
437 harmonized approach at EU level to European cybersecurity certification schemes; and (b) set up a  
438 mechanism to establish certification schemes that confirm ICT products, services and processes that  
439 have been evaluated in accordance with such schemes comply with specified security requirements to  
440 protect the availability, authenticity, integrity or confidentiality of stored, transmitted or processed data  
441 or functions or services offered by, or accessible via, those products, services and processes throughout  
442 their life cycle.

443 In October 2018, the Government of United Kingdom (UK) has published the *Code of Practice for*  
444 *Consumer IoT Security*<sup>30</sup>, which sets out practical steps for IoT manufacturers and other industry  
445 stakeholders to improve the security of consumer IoT products and associated services. The document  
446 describes thirteen guidelines that are widely considered good security practice and can contribute  
447 to protecting consumers' privacy and safety.

448 In February 2020, the UK government published its *Response to the Regulatory proposals for consumer*  
449 *Internet of Things (IoT) security consultation*<sup>31</sup>, advocating a robust and staged approach to enforcing  
450 improved IoT security through regulation, starting with ensuring stronger security is built into products.  
451 The regulatory proposals set out in the consultation advocated mandating the most important security  
452 requirements centered around aspects of the top three guidelines within the Code of Practice for  
453 Consumer IoT Security and the ETSI Technical Specification (TS) 103 645, which are: (i) IoT device  
454 passwords must be unique and not resettable to any universal factory setting; (ii) Manufacturers of IoT  
455 products provide a public point of contact as part of a vulnerability disclosure policy; and (iii)

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<sup>28</sup> <https://ec.europa.eu/digital-single-market/en/eu-cybersecurity-act>

<sup>29</sup> <https://ec.europa.eu/digital-single-market/en/eu-cybersecurity-certification-framework>

<sup>30</sup> <https://www.gov.uk/government/publications/code-of-practice-for-consumer-iot-security/code-of-practice-for-consumer-iot-security>

<sup>31</sup> <https://www.gov.uk/government/consultations/consultation-on-regulatory-proposals-on-consumer-iot-security/outcome/government-response-to-the-regulatory-proposals-for-consumer-internet-of-things-iot-security-consultation>



456 Manufacturers of IoT products explicitly state the minimum length of time for which the device will  
457 receive security updates. This is the start of the journey and the UK Government will look to increase the  
458 baseline and mandate further security requirements as and when appropriate.

459 The Government of Australia published a voluntary *Code of Practice, Securing the Internet of Things for*  
460 *Consumers*<sup>32</sup> in 2020. This code of practice comprises 13 principles that are recommended to be  
461 followed by industry as a minimum standard for securing IoT devices.

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<sup>32</sup> <https://www.homeaffairs.gov.au/reports-and-pubs/files/code-of-practice.pdf>

## 462 **6 Confidence Mechanisms - Discussion**

463 As described in this essay, there is an urgent and critical need to improve the security capabilities of IoT  
464 devices available in the marketplace. Various organizations have been working on and have issued  
465 standards and guidance on security best practices for IoT devices. Several governments are considering  
466 regulatory actions or have enacted regulations related to the security of connected devices such as IoT.

467 To address the demand for confidence in the security capabilities of IoT products, several conformity  
468 assessment programs for IoT device security are available and others are evolving. Some of these are  
469 based on third-party (independent) assessments of conformity to a specified standard, while others are  
470 based on a supplier's (or manufacturer's) self-assessment and declaration of conformity to a standard.  
471 Consumer advocacy groups have also been investigating the impact of security compromise of IoT  
472 devices.

### 473 **6.1 Emerging Themes**

474 From the research and analysis performed in developing this essay, the following set of themes emerged  
475 related to building confidence mechanisms for IoT devices. These are described below.

476

#### 477 **Theme 1: The diversity and scale of IoT devices precludes having a single approach for establishing** 478 **security confidence**

479 Just as cybersecurity is not "one-size-fits-all" solution, there is no magical "one-size-fits-all" approach for  
480 building confidence in IoT device security. The great diversity of IoT devices and the use cases they  
481 address make it difficult to create a single set of prescriptive security requirements or confidence  
482 mechanism for these devices. Each of the sources of confidence listed in 3.1 could be appropriate  
483 depending on the device and requirements involved.

484 The security posture of an IoT device in an operational environment is often dependent on the specific  
485 configuration of the device. While an IoT device may possess excellent security capabilities, it's actual  
486 configuration will determine the level of the effective security. Hence, it may be necessary for  
487 confidence mechanisms for IoT device security to assert the configurations that were assessed or tested.

488 The short (expected) life span and low cost of some of these devices make it economically impractical to  
489 apply expensive and time-consuming confidence mechanisms. As a result, different types of confidence  
490 mechanisms (with varying levels of rigor or complexity) may emerge as being more suitable for different  
491 categories of IoT devices.

492 IoT devices incorporate complex technologies related to actuators, sensors, information technology  
493 hardware and software. As a result, manufacturers of these devices often rely on a host of suppliers for  
494 the various components. This makes it more difficult for the ultimate integrator/manufacturer to ensure  
495 that the components used are free from defects that can have negative impact on the overall security of  
496 the device. These supply chains may also be lengthy and span international borders. The risk of  
497 inadvertent or intentional security weaknesses in IoT devices can be high as a result. Confidence  
498 mechanisms for IoT devices that have complex supply chains may need to check for transparency in the  
499 supply chain using techniques such a software-bill-of-materials (SBOM). They may also need to track

500 changes in the supply chain over the life of the product. For example, a manufacturer might change  
501 cloud service providers over the life of an IoT device.

502 **Theme 2: The selection of confidence mechanism has to be risk based, with greater risk potentially**  
503 **requiring more rigorous confidence schemes**

504 The risk of insecure IoT varies by context and environment of use. IoT devices span a very wide variety of  
505 functional capabilities from smart medical/health devices to smart lighting and appliances. Security  
506 weaknesses in these devices can be used as a launching point to impact other elements of  
507 trustworthiness (such as *privacy, safety, reliability, and resilience*) of that device.

508 While all types of risk cannot be captured in a single list, some areas of risk to consider are:

- 509 • Risk of compromising device functionality – IoT devices can be used to support critical functions  
510 (such as health, safety, transportation, etc.). In addition, some devices can potentially become  
511 hazardous through a security compromise, such as a device that generates heat like a stove or  
512 coffee pot.
- 513 • Risk due to device location – An IoT device that has the capability to collect voice or video data may  
514 pose a much higher risk in a sensitive location (such as a lawyer’s conference room or a medical  
515 exam room) and may need a higher level of assurance regarding its security.
- 516 • Risk of compromising the local network – IoT devices with weak security can create a weak point for  
517 unauthorized access to the network to which the device is attached. This introduces risk to other  
518 systems and devices that are connected to the same network. Bad actors can use weak IoT devices  
519 (whether supporting a critical function or not) to launch an attack on other connected systems and  
520 devices.
- 521 • Risk of using the IoT Device to attack external systems – Compromised IoT devices have been used  
522 as “bots” to participate in denial-of-service attacks unbeknownst to the device owner. Maintaining  
523 the security of IoT devices has broader benefits in denying malicious actors the ability to use them in  
524 attacks.

525 For high impact environments (such as critical infrastructure installations), the addition and use of IoT  
526 devices should always be preceded by a comprehensive risk assessment. The results of the risk  
527 assessment can be used to inform the selection of appropriate confidence mechanisms that provides  
528 the needed level of assurance in the security of the IoT devices being deployed.

529 While the security posture of the network environment to which the IoT is connected influences the  
530 operational security of the device, this concern exists for any IT device on the same network as well. For  
531 example, an IoT device connected to an unsecured wireless network (such as at a hotel lobby, airport or  
532 coffee shop) is extremely vulnerable regardless of the security capabilities of the actual IoT device itself.  
533 Using a device that boasts a more rigorous security confidence assertion may or may not be helpful. In  
534 such cases, compensating security controls may need to be implemented in order to protect the IoT  
535 device from compromise.

536 **Theme 3: Confidence mechanisms have to be clear about the assumptions and limits of the confidence**  
537 **attestations**

538 While IoT device manufacturers have intended markets and use cases for their products, these devices  
539 may often be used across market segments and for unexpected use cases from the original intended  
540 use. For example, a smart speaker/microphone that goes through a security certification for use in a  
541 home environment may be used in an industrial environment where the threats are quite different than  
542 a home environment. The security confidence mechanism that the manufacturer selected for the IoT  
543 device may have been based on the expected usage environment and the security threats that exist in  
544 such an environment.

545 It is desirable that the attestations from confidence mechanisms should specify the expected  
546 environment of use and any related assumptions so that the customer can understand the limitations of  
547 a particular IoT device and make appropriate choices.

548 Using the same IoT device in an unexpected environment with very different set of threats and threat  
549 actors may result in a much higher level of risk. As mentioned earlier, a risk assessment should ideally be  
550 performed for the use of IoT in the specific target environment prior to selecting a particular IoT device  
551 with a known set of security capabilities and security confidence mechanisms.

552 **Theme 4: Confidence mechanisms can exacerbate problems of market fragmentation through narrow**  
553 **certifications or can mitigate by providing a certification that is recognized broadly**

554 Many National as well as local governments have been analyzing the impacts of insecure IoT devices  
555 within their jurisdictions and developing legislation and/or guidance to protect their constituents from  
556 the negative impacts of such devices. Several have passed legislation and/or guidance on minimum  
557 security requirements for IoT devices; others are still working on developing such legislation or  
558 guidance. Similarly, many standards bodies, consumer advocacy groups and industry consortia have  
559 been working to develop standards, guidelines and best practices for IoT device security. As a result,  
560 there are multiple (and potentially conflicting) IoT device security requirements and standards issued by  
561 various interested stakeholders. Confidence schemes (such as certifications) for IoT device security are  
562 typically based on standards and/or regulations that are applicable to the IoT market segment.

563 Regulators recognize that multiple jurisdictional regulations can fragment the marketplace and have  
564 been working on ways to harmonize the requirements they establish. There have also been efforts to  
565 establish mutual recognition of IoT device security standards across jurisdictions and markets.

566 From a manufacturer's perspective, the existence of multiple certification schemes for their IoT products  
567 and the lack of reciprocity between various types of existing certifications drive up the cost of product  
568 manufacture. Additionally, for manufacturers that sell products in multiple regulatory jurisdictions, the  
569 existence of disparate confidence schemes that are not mutually recognized make it economically  
570 unsustainable to develop IoT products that can be sold in these different jurisdictions.

571 Several IoT device security confidence schemes may be available in certain markets. For IoT customers,  
572 the existence of multiple confidence schemes within a given market offers advantages as well as  
573 disadvantages. When a customer needs to select a confidence scheme based on the risk level of their  
574 use case, it is good to have options to select from. However, for other customers, having multiple  
575 confidence schemes makes it is difficult to select one for their particular use case.

576 In some cases, a single certification could meet the requirements of multiple markets or standards  
577 thereby mitigating market fragmentation.

578 **Theme 5: Certain categories of customers cannot be expected to take extensive actions with respect**  
579 **to IoT security**

580 Security for IoT devices cannot be achieved through technology alone. Many IoT devices are designed  
581 and built with technical security capabilities - however, in many instances, the security capabilities must  
582 be enabled or selected within the environment of use to become operational. To assist the customer to  
583 make the right choices in operating these devices, manufacturers may provide guidance/instructions  
584 explaining secure configurations, software updates to address discovered vulnerabilities, and security  
585 best practices for their products. The customer is assumed to be a partner in ensuring adequate security  
586 of these IoT devices.

587 Certain categories of customers may be more or less prepared to assume this responsibility. There is a  
588 significant difference between organizational customers versus individual (and small business)  
589 customers of IoT. The former set can be presumed to have a higher level of security awareness as well  
590 as resources to address security of the IoT devices they use within their environments. Organizational  
591 customers may be capable of implementing IoT devices in accordance with manufacturer instructions,  
592 ensuring devices have connectivity to receive updates (when available), and monitoring devices to  
593 ensure continued security. Organizational customers often have established policies/processes to  
594 manage the additional risks introduced through the use of IoT devices in their environment to achieve  
595 compliance with regulations that apply to their industry segment.

596 Individual consumers or small business customers of IoT devices are often unaware of the security  
597 concerns related to IoT and do not have the sophistication to understand and implement security  
598 measures needed to secure their IoT devices. For this group, it may be difficult or impossible to engage  
599 the customer to enable the needed configurations for secure operation of IoT devices. IoT devices  
600 targeted at this group of customers may need to have stronger default security configurations and  
601 simpler sets of instructions to enable security.

602 **Theme 6: Maintaining appropriate confidence in a device over its lifetime requires IoT device**  
603 **manufacturers and confidence mechanisms to consider additional dimensions**

604 Like all other IT devices, the threat environment for IoT devices is continuously evolving, with the  
605 identification of new vulnerabilities and emergence of new attack methods. Over the years, IT  
606 manufacturers have evolved an infrastructure of vulnerability disclosure policies, vulnerability reporting  
607 mechanisms, vulnerability databases, and software patching and updates. Organizational and individual  
608 customers receive notifications of updates, and those updates have become routine. While not all  
609 organizations and individuals perform updates, the processes for updating are at least well-established  
610 and available to organizations and individuals who take advantage of them.

611 However, vulnerability disclosure and remediation are not routine practices for IoT devices. Many IoT  
612 manufacturers are still building this type of infrastructure and not yet providing routine software  
613 updates. With the variety of IoT devices available in the market, the customer's role in installing updates  
614 may vary by type of device and customer. IoT customers are often unaware of the security risks of such  
615 devices and the importance of being vigilant about installing and applying security updates. Customers

616 having to cope with different software update cycles for a larger and larger number of devices can be  
617 overwhelmed. IoT manufacturers have to develop effective strategies to deal with the current maturity  
618 state of the IoT customer base and their awareness of and ability to deal with security issues.

619 Another related challenge is that there is a mismatch between the life span of the IT components and  
620 the mechanical components of an IoT device. Manufacturers may establish a product support period for  
621 the IoT device based on the expected lifetime of the IT components. During the support period, the  
622 manufacturer may implement an effective vulnerability disclosure and remediation program for the  
623 product. Yet, the IoT device may be quite functional beyond the manufacturer's support period and the  
624 customer may continue to use it. The device may be insecure at that point of its life. Many customers  
625 choose to use devices after support ends but need to recognize the risk involved.

626 A core focus of confidence mechanisms is to assess and attest that a product meets the stated  
627 requirements for a given environment of use prior to the product becoming available on the market.  
628 However, as pointed out in Appendix A, Section 7.3, confidence programs often provide assurance on an  
629 on-going basis through surveillance activities focused on maintaining the validity of the initial confidence  
630 attestation. IoT devices that received certification may need strong surveillance methods to ensure they  
631 continue to be secure.

632 **Theme 7: Customer awareness and training are essential to expanding the recognition of IoT security**  
633 **confidence mechanisms**

634 Many customers of IoT devices are unaware of the security implications of their use. Even if IoT device  
635 security information is available to target customers, the extent to which customers can use the  
636 information is open to question. Various participants gathered from the October 2020 NIST workshop  
637 entitled *Workshop on Cybersecurity Risks in Consumer Home IoT Products* highlighted research on IoT  
638 device customer behavior with respect to security. The lack of easily accessible and reliable security  
639 information in product information precludes most consumers from using security as a factor in  
640 selecting IoT devices. While various participants highlighted studies suggesting that consumers want,  
641 and may be willing to pay somewhat more for, secure IoT devices, those consumers do not have the  
642 background to evaluate detailed information about security or to perform complex security functions. In  
643 the individual consumer space, the buyer's assumption generally is that if a product is on the market, its  
644 safety and security can be assumed<sup>33</sup>.

645 Modern day consumers recognize the value of a variety of other confidence mechanisms (such as food  
646 labels, gas mileage ratings or energy usage ratings) based on awareness campaigns launched by  
647 advocacy groups, industry groups and government organizations. It is difficult to gain customer  
648 recognition and acceptance of the value of new certifications/labels.

649 More awareness programs are needed to help customers understand the importance of IoT device  
650 security and the value of confidence mechanisms that attest to the security of IoT devices in the market.  
651 Such awareness campaigns may need to focus on individual consumers and small business customers  
652 who are much less prepared to deal with IoT device security than customers within larger, more mature  
653 organizations. If an IoT device security certification is widely recognized as valuable, it can be an

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<sup>33</sup> <https://doi.org/10.6028/NIST.IR.8322>

654 important tool for communicating with customers.

655 In workshops on IoT held in 2020, NIST received feedback that reinforces these themes:

656 As identified in the summary report from NIST's October, 2020 *Cybersecurity Risks in Consumer Home*  
657 *Internet of Things (IoT) Devices Virtual Workshop*, "Consumers do not have a mechanism for recognizing  
658 which devices meet security baselines and which do not. Customers expect devices to be initially secure,  
659 but confidence mechanisms for establishing that security are not available." [NISTIR 8333]

660 One of the themes identified in the summary report of NIST's July, 2020 *Building the Federal Profile for*  
661 *IoT Device Cybersecurity Virtual Workshop* was: "Evaluate Approaches for Establishing Confidence in IoT  
662 *Device Cybersecurity*. Workshop participants indicated a desire for greater specificity regarding the use  
663 of conformance assessments and other confidence mechanisms such as labels and self-certification.  
664 These confidence mechanisms can be an important component of the IoT cybersecurity solution space.  
665 The program will begin exploring, in concert with interested government and industry organizations,  
666 approaches for gaining confidence in the cybersecurity capabilities of IoT devices that address the needs  
667 of both IoT device users and manufacturers." [NISTIR 8322]

668 Developing and making customers aware of confidence mechanisms could fill an important market gap.

## 669 **6.2 The Way Forward**

670 There is a need to strengthen the available ecosystem for confidence mechanisms for IoT device  
671 security. The size and diversity of the IoT device marketplace demonstrates the need for a variety of  
672 confidence mechanisms depending on the type of IoT device, use case, and risks involved in its  
673 operation. Different confidence mechanisms will be the best choice for different situations.

674 Bringing together communities of interest around particular device types and market segments and  
675 identifying the best confidence mechanisms will need to be worked through a variety of forums. As with  
676 many areas of security, no one size fits all and risk must be considered in its broadest context.

677 The themes that emerged in the process of developing this essay suggest that there are many topics  
678 that remain to be further discussed. NIST invites feedback on this essay as well as additional discussion  
679 on possible approaches to improve confidence in the security of IoT devices in the marketplace.

680

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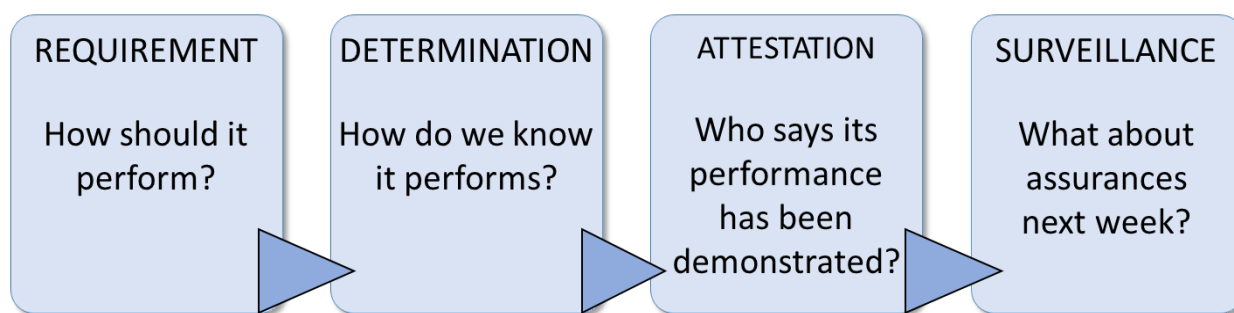


## 706 Appendix A—Conformity Assessment

707 NIST serves as the focal point for federal government standards and conformity assessment  
708 coordination and is a key information source for United States industry on standards-related market  
709 access issues. Standards allow technology to work seamlessly and establish trust so that markets can  
710 operate smoothly. They:

- 711 • provide a common language to measure and evaluate performance,
- 712 • make interoperability of components made by different companies possible, and
- 713 • protect consumers by ensuring safety, durability, and market equity.

714 Under the National Technology Transfer and Advancement Act (NTTAA), NIST is assigned responsibility  
715 to coordinate federal, state, and local documentary standards and conformity assessment activities.



716

717

Figure 3: Conformity Assessment Components

718 Conformity Assessment is the demonstration that specified requirements relating to a product, process,  
719 system, person or body are fulfilled [ISO/IEC 17000]. NIST Special Publications 2000-1<sup>34</sup> and 2000-2<sup>35</sup>  
720 describe core concepts and terminology related to Conformity assessments. A conceptual view of  
721 conformity assessments includes four essential components (see Figure 3). These components are:

- 722 1. Requirements – representation of how the product or service should perform
- 723 2. Determination – methodology establishing how it performs
- 724 3. Attestation – an assertion that performance has been demonstrated
- 725 4. Surveillance – methodology establishing continuing assurance about the performance

726 Conformity assessment can assure that a particular product, service, or system meets a given level of  
727 quality or safety, and provide explicit or implicit information about its characteristics, the consistency of  
728 those characteristics, performance, and/or adherence to regulatory requirements. Conformity  
729 assessment can also increase **confidence**, furnish useful information, and help to substantiate a  
730 company's advertising and labeling claims. Therefore, conformity assessment is an important  
731 marketplace communication mechanism providing a means of information exchange.

732 It is vital for interested parties to understand the conformity assessment process to competently judge

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<sup>34</sup> <http://doi.org/10.6028/NIST.SP.2000-01>

<sup>35</sup> <http://doi.org/10.6028/NIST.SP.2000-02>

733 the value of a conformity assessment program and to use the information resulting from that program  
734 to make intelligent choices that can achieve the desired goals.

735 Various parties participate in such an ecosystem. These are the types of organizations and individuals  
736 that can participate in conformity assessment activities for a specified product or service include:

- 737 • First Party – the seller, manufacturer or supplier
- 738 • Second Party – the purchaser or user
- 739 • Third Party – individuals and organizations whose interests are independent of transactions  
740 between the first and second parties

## 741 **A.1 Requirements**

742 Standards often contain the requirements for performance that are used as the basis for conformity  
743 assessments. Standards are a vital tool of industry and commerce promoting market understanding  
744 between buyers, and sellers thus enabling mutually beneficial commercial transactions. A standard is  
745 defined as a document, established by consensus and approved by a recognized body, that provides, for  
746 common and repeated use, rules, guidelines, or characteristics for activities or their results, aimed at the  
747 achievement of the optimum degree of order in a given context.

748 Standards can cover many aspects of the conformity assessment process. They can describe  
749 characteristics of the product for which conformity is sought; the methodology used to assess that  
750 conformity; or even the conformity assessment process itself (e.g., how a certification program should  
751 be operated). Standards used in conformity assessment should be clearly and concisely written, readily  
752 understood, precise, and technically credible, as well as contain requirements for objective verification.

## 753 **A.2 Determination**

754 The Determination component comprises the activities that may be used to examine an object of  
755 conformity to specified requirements. A variety of conformity assessment activities may be used to  
756 provide evidence of conformity including:

- 757 • Testing – the determination of one or more characteristics of an object of assessment, according  
758 to a specified way to carry out an activity [ISO/IEC 17000]. Testing activity is used to develop  
759 information about the object’s fulfillment of requirements. ISO/IEC 17025 is used to  
760 demonstrate that testing and calibration laboratories are competent and capable of generating  
761 valid results. Testing laboratories use a test method (often a set of procedures) to conduct tests  
762 on received samples and report data. Testing can be performed by first, second, or third-party  
763 laboratories. Test reports issued by testing laboratories may be used for evidence of  
764 conformance in support of other conformity assessment activities.
- 765 • Inspection - examination of a product design, product, process, or installation and  
766 determination of its conformity with specific requirements or, on the basis of professional  
767 judgement, with general requirements [ISO/IEC 17000]. Inspection is an activity to develop  
768 information about the object’s fulfillment of requirements. ISO/IEC 17020 defines requirements  
769 for the operation of various types of bodies performing inspection. an inspection body uses an  
770 inspection method (often a set of procedures) to examine a product design, product, or

771 installation to determine conformity with requirements and produce an inspection report.  
772 Inspection can be performed by first, second, or third parties.

773  
774 • **Audit** – a systematic, independent, documented process for obtaining records, statements of  
775 fact or other relevant information and assessing them objectively to determine the extent to  
776 which specified requirements are fulfilled [ISO/IEC 17000]. ISO/IEC 17021 outlines requirements  
777 for certification bodies to ensure that management system certifications are performed in a  
778 consistent, competent, and impartial manner. The audit activity may provide assurance of a  
779 credible management system certification.

## 780 **A.3 Attestation**

781 Information obtained from a conformity assessment activity about the object’s fulfillment of  
782 requirements is used as the basis of an attestation. An attestation is an issue of a statement, based on a  
783 decision following review, that fulfilment of specified requirements has been demonstrated [ISO/IEC  
784 17000]. The attestation intends to convey assurance about the conformity of the object to consumers,  
785 regulators, buyers, or other interested parties. Types of attestation are described in the subsections  
786 below.

### 787 **A.3.1 Supplier Declaration of Conformity**

788 This is a declaration by the supplier that requirements have been met based on the results of testing,  
789 inspection, or audits undertaken by the manufacturer or other parties on its behalf. A declaration is  
790 generally used when the consequences associated with nonconformity are low, there are suitable  
791 penalties for placing nonconforming products on the market, and/or there are suitable mechanisms in  
792 place to remove nonconforming products from the market.

### 793 **A.3.2 Certification**

794 This is a third-party attestation related to products, processes, systems or persons with the goal to  
795 provide confidence to interested parties that objects of assessment meet specified requirements.  
796 Certification may provide a higher level of confidence since the third-party’s certification decision is  
797 required to be impartial and free of commercial, financial or other pressures. Certification programs  
798 often include surveillance and/or ongoing renewal process to ensure continued conformity.

799 Certification programs are usually designed for mass-produced products to provide assurance of  
800 continued conformity to applicable standards throughout the manufacturer’s production process. There  
801 are many organizations that operate third-party certification programs, such as:

- 802 • Conformity assessment bodies
- 803 • Other organizations, such as nonprofit organizations
- 804 • Professional or technical societies
- 805 • Trade associations

806 The Federal government as well as State and Local governments also administer certification programs  
807 that cover a diversity of products from meat inspection to ensuring the health and safety of amusement  
808 rides on its population.

### 809 **A.3.3 Management System Certification**

810 Management system certification is third-party attestation related to systems within an organization. A  
811 management system is the way in which an organization manages the interrelated parts of its business  
812 to achieve its objectives. Certification of management systems is generally used as a demonstration of  
813 fulfillment of quality, security, and environmental management system standards.

### 814 **A.3.4 Personnel Certification**

815 Personnel certification provides confidence that individuals have skills needed to perform their work  
816 competently. ISO/IEC 17024 specifies requirements to ensure certification bodies for persons operate  
817 personnel certification schemes with competence, consistency, and impartiality.

### 818 **A.4 Surveillance**

819 Conformity assessment programs may require assurance on an on-going basis. Surveillance comprises a  
820 group of activities conducted to maintain the validity of the attestation. Per ISO/IEC 17000, surveillance  
821 is defined as “systematic iteration of conformity assessment activities as a basis for maintaining the  
822 validity of the statement of conformity.” Post-market surveillance involves the evaluation of certified  
823 products taken from the marketplace to determine if product requirements continue to be met. Pre-  
824 market surveillance is the checking of products before they reach the market and may include audits of  
825 the supplier's process control systems and/or inspection of the production.

### 826 **A.5 Examples of Existing Conformity Assessment Programs**

827 The Environmental Protection Agency (EPA) ENERGY STAR16 program is a voluntary public-private  
828 partnership that relies on independent third-party certification to ensure ongoing compliance and the  
829 integrity of the ENERGY STAR label. Reliance on third-party certification helps maintain consumer trust  
830 and improve oversight of the program while allowing the agency to utilize the private sector to conduct  
831 evaluation and additional market surveillance activities.

832 The National Registry of Food Safety Professionals develops and maintains an accredited certification  
833 examination program in the areas of food safety as well as Hazard Analysis Critical Control Point  
834 (HACCP) for workers in food manufacturing facilities, plants, packaging facilities, and warehouses.

835 There are many additional examples of existing, successful conformity assessment programs that have  
836 promoted safety, security, interoperability and commerce. For example, UL certification for electrical  
837 devices ensures consumer safety and nutritional labels enable food purchasing decisions. Examples of  
838 programs that enhance security and interoperability include the FIPS 140 certification for cryptographic  
839 modules, FICAM certification for identity management products, and the FedRAMP certification of cloud  
840 services. Programs that enable commerce include testing of gasoline pumps and weight scales.