Anurag K. Srivastava • Venkatesh Venkataramanan **Carl Hauser**

Cyber Infrastructure Smart Electric Grid

Cyber Infrastructure for the Smart
Electric Grid

Cyber Infrastructure for the Smart Electric Grid

Anurag K. Srivastava West Virginia University, Morgantown, WV, USA

Venkatesh Venkataramanan National Renewable Energy Laboratory, Golden, CO, USA

Carl Hauser Washington State University, Pullman, WA, USA

This edition first published 2023 © 2023 John Wiley & Sons Ltd

All rights reserved. No part of this publication may be reproduced, stored in a retrieval system, or transmitted, in any form or by any means, electronic, mechanical, photocopying, recording or otherwise, except as permitted by law. Advice on how to obtain permission to reuse material from this title is available at [http://www.wiley.com/go/permissions.](http://www.wiley.com/go/permissions)

The right of Anurag K. Srivastava, Venkatesh Venkataramanan, and Carl Hauser to be identified as the authors of this work has been asserted in accordance with law.

Registered Office(s)

John Wiley & Sons, Inc., 111 River Street, Hoboken, NJ 07030, USA John Wiley & Sons Ltd, The Atrium, Southern Gate, Chichester, West Sussex, PO19 8SQ, UK

Editorial Office

The Atrium, Southern Gate, Chichester, West Sussex, PO19 8SQ, UK

For details of our global editorial offices, customer services, and more information about Wiley products visit us at [www.wiley.com.](http://www.wiley.com)

Wiley also publishes its books in a variety of electronic formats and by print-on-demand. Some content that appears in standard print versions of this book may not be available in other formats.

Limit of Liability/Disclaimer of Warranty

In view of ongoing research, equipment modifications, changes in governmental regulations, and the constant flow of information relating to the use of experimental reagents, equipment, and devices, the reader is urged to review and evaluate the information provided in the package insert or instructions for each chemical, piece of equipment, reagent, or device for, among other things, any changes in the instructions or indication of usage and for added warnings and precautions. While the publisher and authors have used their best efforts in preparing this work, they make no representations or warranties with respect to the accuracy or completeness of the contents of this work and specifically disclaim all warranties, including without limitation any implied warranties of merchantability or fitness for a particular purpose. No warranty may be created or extended by sales representatives, written sales materials or promotional statements for this work. The fact that an organization, website, or product is referred to in this work as a citation and/or potential source of further information does not mean that the publisher and authors endorse the information or services the organization, website, or product may provide or recommendations it may make. This work is sold with the understanding that the publisher is not engaged in rendering professional services. The advice and strategies contained herein may not be suitable for your situation. You should consult with a specialist where appropriate. Further, readers should be aware that websites listed in this work may have changed or disappeared between when this work was written and when it is read. Neither the publisher nor authors shall be liable for any loss of profit or any other commercial damages, including but not limited to special, incidental, consequential, or other damages.

Library of Congress Cataloging-in-Publication Data applied for

Hardback ISBN: 9781119460756

Cover Design: Wiley Cover Image: © metamorworks/Shutterstock

Set in 9.5/12.5pt STIXTwoText by Straive, Chennai, India

Contents

About the Authors *xi* **Acknowledgments** *xiii* **Acronyms** *xv*

1 Introduction to the Smart Grid *1*

- 1.1 Overview of the Electric Power Grid *1*
- 1.1.1 Power Grid Operation *6*
- 1.2 What Can Go Wrong in Power Grid Operation *8*
- 1.3 Learning from Past Events 9
	- 1.4 Toward a Smarter Electric Grid *12*
	- 1.5 Summary *13*
	- 1.6 Problems *13*
	- 1.7 Questions *14*
		- Further Reading *15*
	- **2 Sense, Communicate, Compute, and Control in a Secure Way** *17*
	- 2.1 Sensing in Smart Grid *18*
	- 2.1.1 Phase Measurement Unit (PMU) *19*
	- 2.1.1.1 Why Do We Need PMUs? *19*
	- 2.1.1.2 Estimation of Phasors *21*
	- 2.1.1.3 Phasor Calculation *22*
	- 2.1.1.4 Time Signal for Synchronization *22*
	- 2.1.1.5 PMU Data Packets *23*
	- 2.1.1.6 PMU Applications *23*
	- 2.1.2 Smart Meters *24*
	- 2.1.2.1 Communication Systems for Smart Meters *25*
	- 2.2 Communication Infrastructure in Smart Grid *26*
- **vi** *Contents*
	- 2.3 Computational Infrastructure and Control Requirements in Smart Grid *26*
	- 2.3.1 Control Center Applications *28*
	- 2.4 Cybersecurity in Smart Grid *30*
	- 2.4.1 Methods to Provide Cybersecurity for Smart Grids *31*
	- 2.5 Summary *31*
	- 2.6 Problems *31*
	- 2.7 Questions *33*
		- Further Reading *33*

3 Smart Grid Operational Structure and Standards *35*

- 3.1 Organization to Ensure System Reliability *37*
- 3.1.1 Regional Entities *38*
- 3.2 Smart Grid Standards and Interoperability *39*
- 3.3 Operational Structure in the Rest of the World *40*
- 3.4 Summary *41*
- 3.5 Problems *41*
- 3.6 Questions *42* Further Reading *42*

❦ ❦ **4 Communication Performance and Factors that Affect It** *45*

- 4.1 Introduction *45*
- 4.2 Propagation Delay *47*
- 4.3 Transmission Delay *47*
- 4.4 Queuing Delay and Jitter *49*
- 4.5 Processing Delay *51*
- 4.6 Delay in Multi-hop Networks *51*
- 4.7 Data Loss and Corruption *52*
- 4.8 Summary *53*
- 4.9 Exercises *53*
- 4.10 Questions *56* Further Reading *56*

5 Layered Communication Model *57*

- 5.1 Introduction *57*
- 5.1.1 OSI and TCP/IP Models *59*
- 5.2 Physical Layer *60*
- 5.3 Link Layer: Service Models *61*
- 5.3.1 Ethernet *62*
- 5.3.1.1 Link Virtualization *63*
- 5.4 Network Layer: Addressing and Routing *64*
- 5.4.1 IP Addressing *66*
- 5.4.2 Routing *68*
- 5.4.3 Broadcast and Multicast *68*
- 5.5 Transport Layer: Datagram and Stream Protocols *70*
- 5.5.1 UDP *72*
- 5.5.2 TCP *73*
- 5.6 Application Layer *75*
- 5.7 Glue Protocols: ARP and DNS *76*
- 5.7.1 DNS *77*
- 5.8 Comparison Between OST and TCP/IP Models *78*
- 5.9 Summary *78*
- 5.10 Problems *79*
- 5.11 Questions *80*
	- Further Reading *80*

6 Power System Application Layer Protocols *81*

- 6.1 Introduction *81*
- 6.2 SCADA Protocols *82*
- 6.2.1 DNP3 Protocol *83*
- ❦ ❦ 6.2.2 IEC 61850 *86*
	- 6.3 ICCP *87*
	- 6.4 C37.118 *87*
	- 6.5 Smart Metering and Distributed Energy Resources *89*
	- 6.5.1 Smart Metering *89*
	- 6.5.2 Distributed Energy Resources (DERs) *91*
	- 6.6 Time Synchronization *92*
	- 6.7 Summary *92*
	- 6.8 Problems *93*
	- 6.9 Questions *94*

Further Reading *94*

- **7 Utility IT Infrastructures for Control Center and Fault-Tolerant Computing** *95*
- 7.1 Conventional Control Centers *95*
- 7.2 Modern Control Centers *97*
- 7.3 Future Control Centers *98*
- 7.4 UML, XML, RDF, and CIM *99*
- 7.4.1 UML *100*
- 7.4.2 XML and RDF *102*

- 9.1.1.1 Flooding *136*
- 9.1.1.2 Malformed Packet *137*
- 9.1.1.3 Reflection *137*
- 9.1.1.4 DDoS *138*
- 9.1.2 Spoofing *138*
- 9.1.2.1 ARP Spoofing *139*
- 9.1.2.2 Other Spoofing *139*
- 9.2 Mitigation Mechanisms Against Network Attacks *140*
- 9.2.1 Network Protection Through Security Protocols *140*
- 9.2.1.1 TLS *141*
- 9.2.1.2 IPsec *143*
- 9.3 Network Protection Through Firewalls *144*
- 9.4 Intrusion Detection *145*
- 9.4.1 Anomaly-Based Detection *147*
- 9.4.2 Signature-Based Detection *147*
- 9.5 Summary *148*
- 9.6 Problems *149*
- 9.7 Questions *150* Further Reading *150*

❦ ❦ **10 Vulnerabilities and Risk Management** *151*

- 10.1 System Vulnerabilities *151*
- 10.1.1 Software Vulnerabilities *152*
- 10.1.2 Hardware and Side-Channel Vulnerabilities *155*
- 10.1.3 Social Engineering *155*
- 10.1.4 Malware *156*
- 10.1.5 Supply Chain *158*
- 10.2 Security Mechanisms: Access Control and Malware Detection *159*
- 10.2.1 Access Control *159*
- 10.2.2 Malware Detection *160*
- 10.3 Assurance and Evaluation *161*
- 10.3.1 Port Scanning *161*
- 10.3.2 Network Monitoring *162*
- 10.3.3 Network Policy Analysis *163*
- 10.3.4 Vulnerability Scanning *163*
- 10.3.5 Continuous Monitoring *163*
- 10.3.6 Security Assessment Concerns *165*
- 10.3.7 Software Testing *165*
- 10.3.8 Evaluation *166*
- 10.4 Compliance: Industrial Practice to Implement NERC CIP *167*
- 10.5 Summary *167*

11 Smart Grid Case Studies *171*

- 11.1 Smart Grid Demonstration Projects *171*
- 11.2 Smart Grid Metrics *173*
- 11.3 Smart Grid Challenges: Attack Case Studies *174*
- 11.3.1 Stuxnet *175*
- 11.3.2 Ukraine Attack *176*
- 11.4 Mitigation Using NIST Cybersecurity Framework *178*
- 11.5 Summary *180*
- 11.6 Problems *180*
- 11.7 Questions *181*
	- Further Reading *181*

Index *183*

About the Authors

Carl Hauser, PhD, is emeritus faculty in Computer Science at Washington State University. He received his PhD from Cornell University. Following 20 years in industry at IBM Research and Xerox Research, he joined WSU where he conducted research on communications and cybersecurity for electric grid operations.

Acknowledgments

Authors are thankful to students who were brave enough to take the team-taught course offered at the Washington State University. Students shaped up the course material development process over multiple offerings. Authors are also thankful to the US Department of Energy and the Power System Engineering Research Center (PSERC) for supporting the course development. We acknowledge the support from our colleagues including Dr. Adam Hahn, Prof. David Bakken, Dr. Min Sik Kim, and Prof. Anjan Bose.

Acronyms

xvi *Acronyms*

1

Introduction to the Smart Grid

At the same time, increased number of "smart" devices in the grid also increase The power grid has been evolving from a physical system to a "cyber-physical" system to sense, communicate, compute, and control with enhanced digitalization. The cyber-physical smart grid includes components from the physical power system, digital devices, and the associated communication infrastructure. To realize the vision of the smart grid, massive amounts of data need to be transferred from the field devices to the control devices or to the control centers. As more optimal algorithms are deployed for best possible control at a faster time scale, the communication infrastructure becomes critical to provide the required inputs. the attack surface for potential cyber attacks. It is necessary to study the power system's exposure to risks and vulnerabilities in the associated cyber system.

1.1 Overview of the Electric Power Grid

The electric power grid can be defined as the entire apparatus of wires and machines that connects the sources of electricity with the customers. A power grid is generally divided into four major components as shown in Figure 1.1:

- 1. Generation
- 2. Transmission
- 3. Distribution
- 4. Loads

Electricity was first generated, sold, and distributed locally in 1870s via direct current (DC) circuits over very small distances. As the demand for electricity became more widespread, the cost of construction and distribution of local generation and DC circuits to carry the power over long distances became prohibitively expensive. Hence, alternating current (AC) generation, transmission, and distribution became the standard that is used to this day. However, the

Electricity generation, transmission, and distribution

Figure 1.1 Major components of the power grid. Source: Energy Information Administration (EIA), public domain.

infrastructure of the power grid is getting older – the average age of a transformer is greater than 50 years old and has already exceeded its expected lifetime. The electric grid faces several problems, including a problem with the oncoming retirement of at least 5% of the workforce and one of the lowest R&D expenditure as compared to other critical infrastructures.

The situation is getting better, however, with increasing interest in national security and acknowledgment of the critical role that the power grid plays in the overall quality of life. In a full circle, localized generation using distributed energy resources (DERs) is making a comeback, with a combination of both AC and DC systems. Today's generation systems are a combination of different types of sources – including fossil fuels, natural gas, renewable resources, and nuclear energy. These generation systems are often located in remote areas for ease of doing business and for environmental reasons.

> The power that is generated at the generating stations is brought to the consumers by a complex network of transmission lines. The North American power grid comprises of four major interconnections as shown in Figure 1.2:

- 1. Western interconnection
- 2. Eastern interconnection
- 3. Quebec interconnection
- 4. Electricity Reliability Council of Texas (ERCOT) interconnection

These interconnections are zones in which the electric utilities are electrically tied together, indicating that the areas are synchronized to the same frequency and power can flow freely in that area. The interconnections operate nearly independently of each other except for some high-voltage direct current (HVDC)

Figure 1.2 Interconnections in the North American Power Grid. Source: North American Energy Reliability Corporation (NERC), public domain.

interconnections between them. DC converter substations enable the synchronized transfer of power across interconnections regardless of the operating frequency as DC power is non-phase dependent.

The flow of electricity is instantaneous, indicating that the power that is being consumed is also being simultaneously generated. Commercially viable mechanisms for storing electricity for longer duration do not exist currently; hence, the power plants and the grid are constantly operating. The structure of the flow of electricity is illustrated in Figure 1.3, which shows the critical nature of the transmission system in bringing electricity from the generating plants to the customer's use.

Power demand constantly fluctuates throughout the day depending on consumer behavior. There are various factors that create this changing behavior, including population density, work schedules, weather, and other activities. In addition, special activities that involve a large number of people also have to be considered, such as big sporting events or an impending weather event over a large area. Figure 1.4 shows a typical daily "load" curve as it is referred to, which shows how the electric load varies across a day depending on the activities