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OPC UA Message Transmission Method over CoAP  
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Abstract

OPC Unified Architecture (OPC UA) is a data exchange specification that provides interoperability in industrial automation. With the arrival of Industry 4.0, it is of great importance to implement the exchange of semantic information utilizing OPC UA Transmitting in CoAP. This document provides some transmission methods for message of OPC UA over CoAP.

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1. Introduction

Internet of things is one of the attractive applications for CoAP [RFC7252]. Utilizing OPC UA [IEC TR 62541-1] Transmitting over CoAP could meet the demand for industry 4.0 based on the exchange of semantic information [I-D.wang-core-opcua-transmission-requirements]. In resource-constrained scenarios, OPC UA can effectively use energy, improve productivity and shorten the product manufacturing cycle by

building information model and using its cross-platform characteristic. Similar to OPC UA, CoAP message is exchanged in server/client mode. However, both of them have specific clients and servers. Driven by this, to implement OPC UA Transmitting over CoAP, the main problem to be solved is how OPC UA packets are transmitted over CoAP. For the transport layer of OPC UA, the main message transmission method is TCP or HTTP. It is worth noting that the design of CoAP is inspired by HTTP, thus, there are some similarities in transmission method between them. This document provides some transmission methods for message of OPC UA over CoAP, so that the communication between OPC UA client and OPC UA server could be established.

### 1.1. Conventions and Terminology

The keywords "MUST", "MUST NOT", "REQUIRED", "SHALL", "SHALL NOT", "SHOULD", "SHOULD NOT", "RECOMMENDED", "NOT RECOMMENDED", "MAY", and "OPTIONAL" in this document are to be interpreted as described in [RFC2119].

OPC: OLE for Process Control

OPC UA: OPC Unified Architecture

SOAP: Simple Object Access Protocol

REST: Representational State Transfer

HMI: Human Machine Interface

## 2. Overview of OPC UA

OPC Unified Architecture (OPC UA), standardized as IEC 62541, is a client-server communication protocol developed by OPC Foundation for safety, reliable data exchange in industrial automation. It is the evolution product of OPC (OLE for Process Control, where OLE denotes Object Linking and Embedding), the widely used standard process for automation technology, and is of great importance in realizing industry 4.0. By introducing Service-oriented architecture (SOA), OPC UA enables an open, cross-platform communication with the advantages of web services, robust security and integrated data model.

### 2.1. Protocol Stack

OPC UA is an application layer protocol that can be built on existing layers 5, 6 or 7 protocols such as TCP/IP, TLS or HTTP. The

OPC UA application layer consists of four sublayers: UA Application, Serialization Layer, Secure Channel Layer and Transport Layer (see Figure 1).

Serialization Layer includes two kinds of data encoding methods: UA Binary and UA XML. The UA XML, based on SOAP/HTTP or SOAP/HTTPS, is firewall friendly. On the other hand, the UA Binary, with least overhead and resource cost, offers an optimized speed and throughput.

The security layer varies according to the selected encoding format. For the HTTPS-based situation, security is implemented at TLS but Security Channel should still be presented even empty. It is worthwhile noting that the communication based on SOAP/HTTP has been deprecated since 2015, due to the lack of industrial approbation in the WS Secure Conversation.

For the transport layer (not the layer in OSI 7 layer model), options can be UA TCP, HTTPS, SOAP/HTTPS, and SOAP/HTTP. OPC UA defines a UA TCP protocol, which differs from HTTP in two main features: the allowance of responses to be returned in any order and to be returned on a different TCP transport end-point. In addition, UA TCP defines the interaction with the upper security channel.

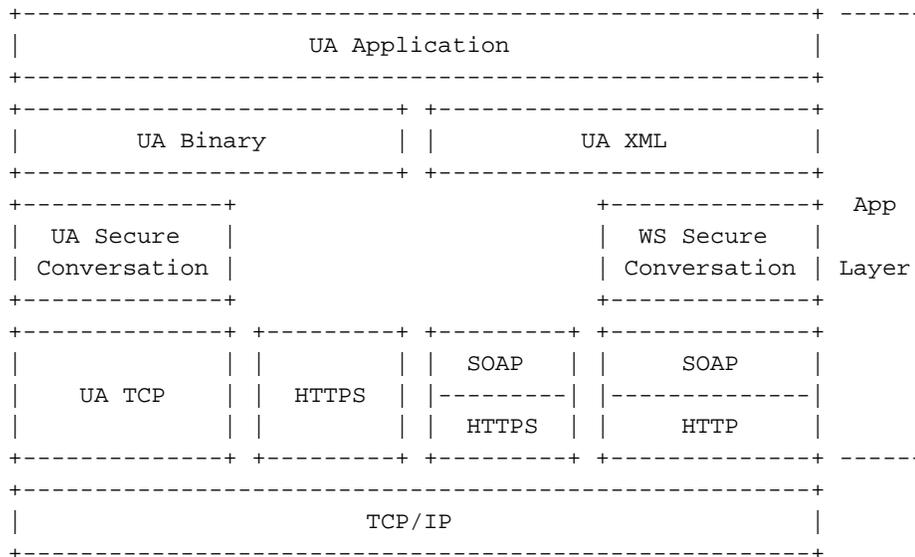


Figure 1: Layering of OPC UA over TCP/IP

2.2. Request/Response Model

The message exchange in UA binary mode is illustrated in Figure 2. After opening the socket, the client starts the connection with the server by using "hello" (HEL) and "acknowledge" (ACK) messages. Afterwards, a pair of messages is needed to open the security channel and define the encryption property. Then another two pairs of messages are exchanged so as to create and activate a session between the client and the server respectively. After these steps, the connection is initiated and the client can send request messages for services. When the request/response process is finished, a reverse process is required for disconnection.

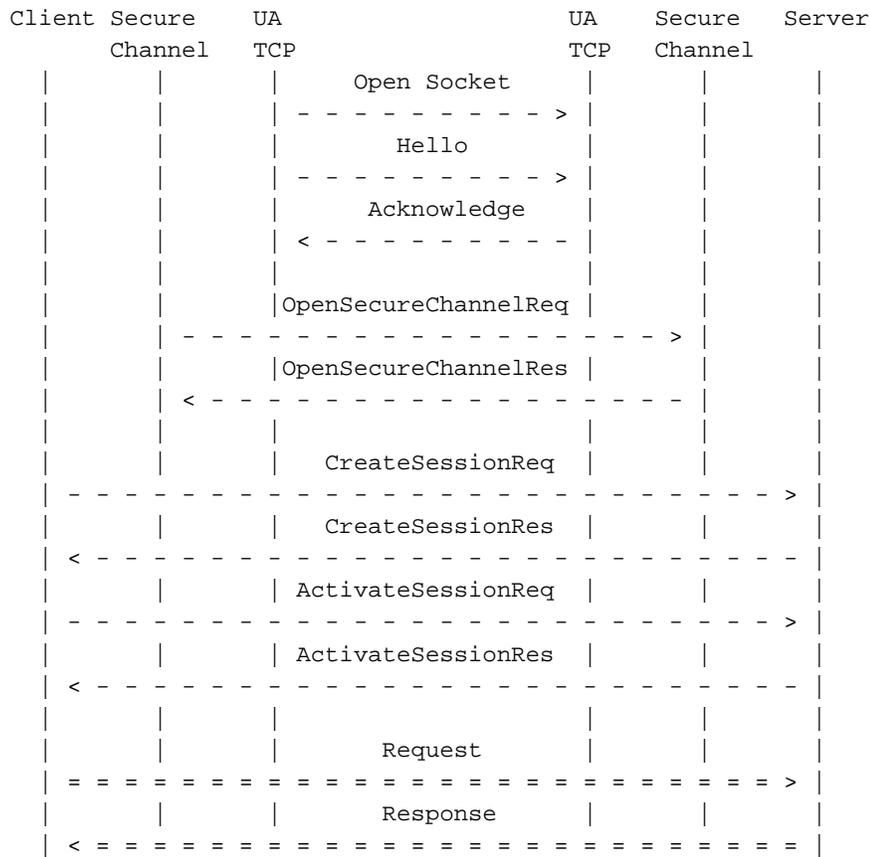


Figure 2: Request/Response Process of UA TCP

### 3. Specification of OPC UA over CoAP

As mentioned in section 2.1, OPC UA communications can be conducted through four options, among which two are related to HTTPS: HTTPS => UA Binary; HTTPS => SOAP => UA XML.

Constrained Application Protocol (CoAP) is an application layer protocol for constrained nodes and networks, which is designed to easily translate to HTTP for integration with the web. Although CoAP is built on the unreliable transport layer UDP, it offers a security mode binding to Datagram Transport Layer Security (DTLS). This document proposes a transmission scheme based on CoAPs (CoAP + DTLS) for constrained scenarios. The transmission based on CoAP over Transport Layer Security (TLS) is available [RFC8323].

The protocol stack of the CoAP based OPC UA is illustrated in Figure 3, including two options at Serialization Layer: UA Binary and UA XML. OPC UA packets are encoded in either binary or xml format, and the option field in the CoAP header can specify parameters that support both formats. Therefore, according to the format specified by the CoAP header, the entire packet of the OPC UA can be encapsulated in the payload of the CoAP message for direct transmission.

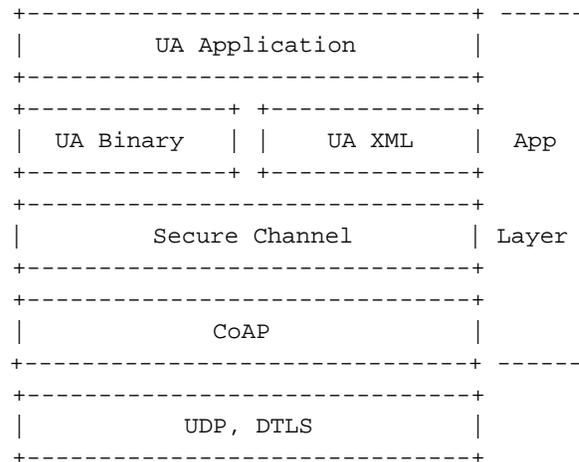


Figure 3: Layering of OPC UA over UDP

Both binary and XML encoding modes are based on the CoAP with an empty UA secure channel in between. For the XML encoding mode, since CoAP layer supports XML encoding format, the SOAP layer in the original stack is not needed.

4. Transmission scheme

4.1. Direct transmission

The transmission of OPC UA supports TCP protocol and HTTP protocol. CoAP is seen as a simplified HTTP protocol so that it can be applied to resource-constrained network. Therefore, this document considers the use of CoAP to directly transfer OPC UA messages. OPC UA packets are encoded in either binary or xml format, and the optional fields in the CoAP header specify parameters to support these two formats. Therefore, according to the format specified by the CoAP header, the entire packet of the OPC UA can be encapsulated in the payload of the CoAP message for direct transmission, as shown in Figure 4. According to CoAP, noted that this method of transmission needs to be modified on the server side and the client side of the OPC UA according to CoAP.

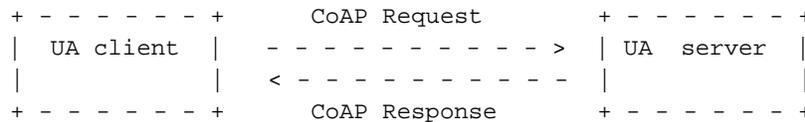


Figure 4: Direct transmission OPC UA based on CoAP

For supporting HTTP, a CoAP proxy can be established between OPC UA client and OPC UA server.

As shown in Figure 5, assuming all OPC UA servers are based on CoAP, and all OPC UA-CoAP servers can be considered to form a constrained network, then introducing a UA-to-CoAP proxy at the boundary of the network. When a traditional OPC UA client initiates an HTTP request to the UA-CoAP servers which is in the constrained network mentioned above, the UA-to-CoAP proxy maps the http request to the corresponding CoAP request and sends it to the UA-CoAP server in the network. After receiving the request, the UA-CoAP server sends a response to the UA-CoAP proxy. The proxy maps the CoAP response to the HTTP response and returns it to the UA client. For the UA client, the network proxy and conversion are transparent, in this way, the transfer of OPC UA in CoAP does not need to make any changes to the UA Client.

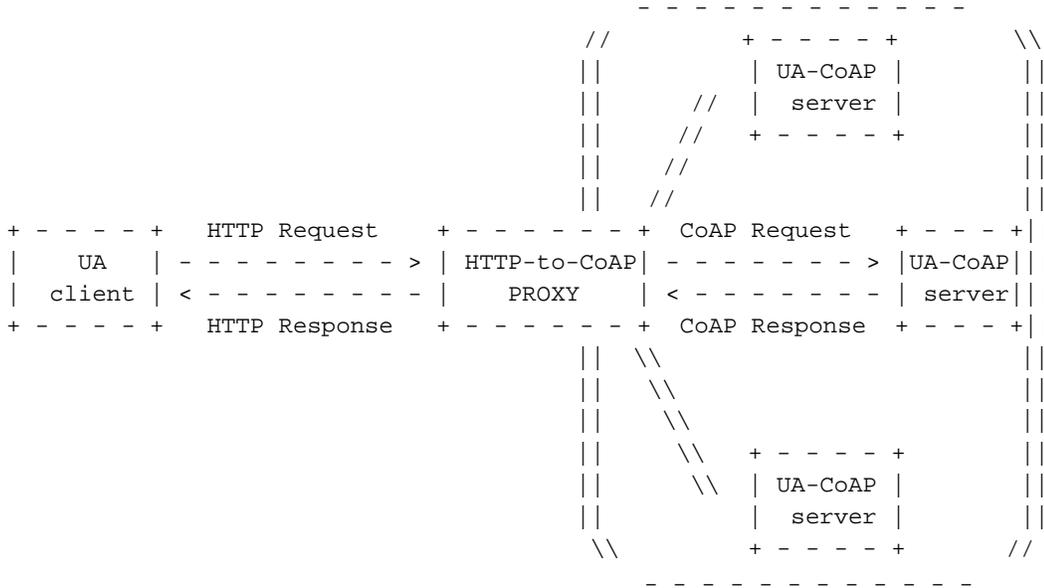


Figure 5: Proxy for OPC UA to CoAP

#### 4.2. REST transmission for OPC UA

OPC UA is a set of data which exchange specifications for industrial communication, the core of the OPC UA protocol are information modeling and transmission, which marks each node in the address space with a unique identifier. A series of state interactions are needed before performing normal reading and writing, including message handshaking, opening a secure channel, creating a session, activating a session, etc. Besides, some states also need to be maintained during read and write operations.

In OPC UA, each node has an independent identifier in the address space, and different types of nodes can establish contact with each other by referencing. OPC UA defines a variety of services, and these services are fixed, because of this, the users cannot modify OPC UA services according to their own ideas. In general, services in OPC UA cannot be considered stateless, but many of them which are also commonly used are inherently stateless, e.g. *FindServers*, *Read*, *Write* [RICO]. The above features are in line with the REST architecture, due to CoAP is based on the REST architecture. Therefore, it is possible to simplify the interaction before the OPC UA performs the normal communication, and carry the OPC UA message by using the communication mode of the CoAP. Communication process is shown in Figure 6.



burden on the factory. CoAP is a HTTP-like communication protocol designed specifically for resource-constrained environments so that can be used in the factory because the sensor nodes in the factory mostly are resource-constrained. CoAP can easily transform to HTTP and OPC UA can consolidate the different protocols in the plant by building a unified information model.

Goal: PC and mobile devices can check and monitor the data by visiting WEB pages after CoAP is converted to HTTP. Avoiding large-scale software upgrades caused by system upgrades, while also reducing the development of mobile software, thereby reducing factory costs.

Requirements: the OPC UA information model should be encapsulated into CoAP data load. Because of the capacity limitation of UDP packet (MTU is 1472 bytes), in some cases, it is needed to compress, fragment, and reassemble packets.

## 6.2. Offline/Online diagnostic system for resource-constrained factories

Description: There are two modes existing in the factory's self-diagnosis system, the offline mode and the online mode. In the offline mode, the self-diagnostic device could use getHistorical, a service from OPC UA, to get historical Data. In the online mode, Both OPC UA and CoAP support pub/sub so that the monitoring system can obtain the data from a specific device in a short reaction time to determine its operating status. CoAP, as a resource-constrained factory transmission protocol, can easily access many web services APIs, add functionality that the factory can implement and let the system have a certain degree of expansibility. OPC UA could create a unified information model that realizes factory interoperability and protocol uniformity.

At same time, the controller node can diagnose and regulate other nodes by receiving their data rather than transferring them to HMI (The M2M Communication). Generally, using UDP is the best choice, however, CoAP's UDP not only has excellent stability but also has relatively few packet loss rates. The unified model of OPC UA enables all nodes to communicate without obstacles.

Goal: Using OPC UA over CoAP to enable factory offline history data diagnostics, online real-time monitoring, publish subscriptions and Achieving network nodes M2M communication.

Requirements: OPC UA uses SOA architecture, while CoAP uses REST architecture, it is necessary to design a reasonable architecture for OPC UA over CoAP.

### 6.3. Factory data analysis based on cloud

Description: Currently, there are many clouds (AWS, Windows Azure, etc.) which have different kinds of APIs. These clouds could achieve machine learning, data-flow analysis and so on for factory's data. Using CoAP can effectively access these interfaces and fully take advantage of clouds capabilities. At present, many factories have begun to use the cloud to improve production status, So the biggest benefit to use CoAP in factories is that CoAP could let devices to use cloud's applications in resource-constrained factories so that to achieve intelligent control. OPC UA can consolidate the different protocols in the plant by building a unified information model. Based on the content mentioned above, the field devices in the factories can transfer their data directly and immediately to the cloud without sending them to border routers or HMI.

Goal: Using OPC UA over CoAP to transfer field devices' data to the cloud.

Requirements: Using OPC UA to modeling the different types of data in the plant and then using CoAP to directly transfer the factory's data to the cloud.

## 7. Security Considerations

This document does not add any new security considerations beyond what the referenced technologies already have.

## 8. IANA Considerations

This memo includes no request to IANA.

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