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TCP Encapsulation of IKE and IPsec Packets  
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Abstract

This document describes a method to transport IKE and IPsec packets over a TCP connection for traversing network middleboxes that may block IKE negotiation over UDP. This method, referred to as TCP encapsulation, involves sending both IKE packets for Security Association establishment and ESP packets over a TCP connection. This method is intended to be used as a fallback option when IKE cannot be negotiated over UDP.

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## 1. Introduction

IKEv2 [RFC7296] is a protocol for establishing IPsec Security Associations (SAs), using IKE messages over UDP for control traffic, and using Encapsulating Security Payload (ESP) messages for encrypted data traffic. Many network middleboxes that filter traffic on public hotspots block all UDP traffic, including IKE and IPsec, but allow TCP connections through since they appear to be web traffic. Devices on these networks that need to use IPsec (to access private enterprise networks, to route voice-over-IP calls to carrier networks, or because of security policies) are unable to establish IPsec SAs. This document defines a method for encapsulating both the IKE control messages as well as the IPsec data messages within a TCP connection.

Using TCP as a transport for IPsec packets adds a third option to the list of traditional IPsec transports:

1. Direct. Currently, IKE negotiations begin over UDP port 500. If no NAT is detected between the Initiator and the Responder, then subsequent IKE packets are sent over UDP port 500 and IPsec data packets are sent using ESP [RFC4303].
2. UDP Encapsulation [RFC3948]. If a NAT is detected between the Initiator and the Responder, then subsequent IKE packets are sent over UDP port 4500 with four bytes of zero at the start of the UDP payload and ESP packets are sent out over UDP port 4500. Some peers default to using UDP encapsulation even when no NAT are detected on the path as some middleboxes do not support IP protocols other than TCP and UDP.
3. TCP Encapsulation. If both of the other two methods are not available or appropriate, both IKE negotiation packets as well as ESP packets can be sent over a single TCP connection to the peer.

Direct use of ESP or UDP Encapsulation should be preferred by IKE implementations due to performance concerns when using TCP Encapsulation Section 12. Most implementations should use TCP Encapsulation only on networks where negotiation over UDP has been attempted without receiving responses from the peer, or if a network is known to not support UDP.

### 1.1. Prior Work and Motivation

Encapsulating IKE connections within TCP streams is a common approach to solve the problem of UDP packets being blocked by network middleboxes. The goal of this document is to promote

interoperability by providing a standard method of framing IKE and ESP message within streams, and to provide guidelines for how to configure and use TCP encapsulation.

Some previous alternatives include:

Cellular Network Access Interworking Wireless LAN (IWLAN) uses IKEv2 to create secure connections to cellular carrier networks for making voice calls and accessing other network services over Wi-Fi networks. 3GPP has recommended that IKEv2 and ESP packets be sent within a TLS connection to be able to establish connections on restrictive networks.

ISAKMP over TCP Various non-standard extensions to ISAKMP have been deployed that send IPsec traffic over TCP or TCP-like packets.

SSL VPNs Many proprietary VPN solutions use a combination of TLS and IPsec in order to provide reliability. These often run on TCP port 443.

IKEv2 over TCP IKEv2 over TCP as described in [I-D.nir-ipsecme-ike-tcp] is used to avoid UDP fragmentation.

The goal of this specification is to provide a standardized method for using TCP streams to transport IPsec that is compatible with the current IKE standard, and avoids the overhead of other alternatives that always rely on TCP or TLS.

## 1.2. Terminology and Notation

This document distinguishes between the IKE peer that initiates TCP connections to be used for TCP encapsulation and the roles of Initiator and Responder for particular IKE messages. During the course of IKE exchanges, the role of IKE Initiator and Responder may swap for a given SA (as with IKE SA Rekeys), while the initiator of the TCP connection is still responsible for tearing down the TCP connection and re-establishing it if necessary. For this reason, this document will use the term "TCP Originator" to indicate the IKE peer that initiates TCP connections. The peer that receives TCP connections will be referred to as the "TCP Responder". If an IKE SA is rekeyed one or more times, the TCP Originator MUST remain the peer that originally initiated the first IKE SA.

The key words "MUST", "MUST NOT", "REQUIRED", "SHALL", "SHALL NOT", "SHOULD", "SHOULD NOT", "RECOMMENDED", "MAY", and "OPTIONAL" in this document are to be interpreted as described in RFC 2119 [RFC2119].

## 2. Configuration

One of the main reasons to use TCP encapsulation is that UDP traffic may be entirely blocked on a network. Because of this, support for TCP encapsulation is not specifically negotiated in the IKE exchange. Instead, support for TCP encapsulation must be pre-configured on both the TCP Originator and the TCP Responder.

Implementations MUST support TCP encapsulation on TCP port 4500, which is reserved for IPsec NAT Traversal.

Beyond a flag indicating support for TCP encapsulation, the configuration for each peer can include the following optional parameters:

- o Alternate TCP ports on which the specific TCP Responder listens for incoming connections. Note that the TCP Originator may initiate TCP connections to the TCP Responder from any local port.
- o An extra framing protocol to use on top of TCP to further encapsulate the stream of IKE and IPsec packets. See Appendix A for a detailed discussion.

Since TCP encapsulation of IKE and IPsec packets adds overhead and has potential performance trade-offs compared to direct or UDP-encapsulated SAs (as described in Performance Considerations, Section 12), implementations SHOULD prefer ESP direct or UDP encapsulated SAs over TCP encapsulated SAs when possible.

## 3. TCP-Encapsulated Header Formats

Like UDP encapsulation, TCP encapsulation uses the first four bytes of a message to differentiate IKE and ESP messages. TCP encapsulation also adds a length field to define the boundaries of messages within a stream. The message length is sent in a 16-bit field that precedes every message. If the first 32-bits of the message are zeros (a Non-ESP Marker), then the contents comprise an IKE message. Otherwise, the contents comprise an ESP message. Authentication Header (AH) messages are not supported for TCP encapsulation.

Although a TCP stream may be able to send very long messages, implementations SHOULD limit message lengths to typical UDP datagram ESP payload lengths. The maximum message length is used as the effective MTU for connections that are being encrypted using ESP, so the maximum message length will influence characteristics of inner connections, such as the TCP Maximum Segment Size (MSS).

Note that this method of encapsulation will also work for placing IKE and ESP messages within any protocol that presents a stream abstraction, beyond TCP.

3.1. TCP-Encapsulated IKE Header Format

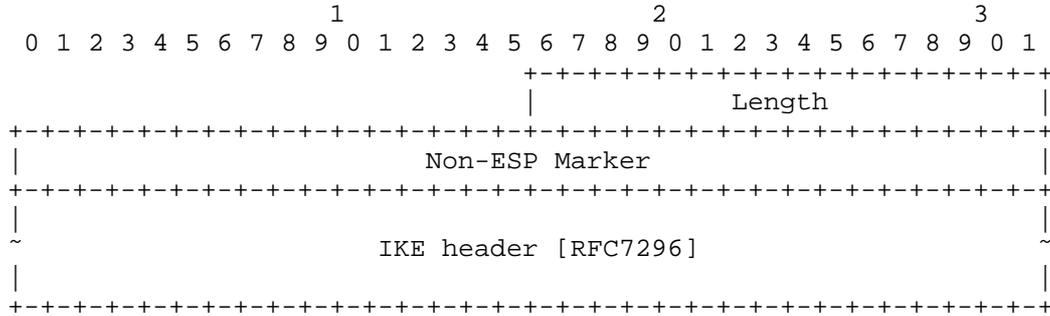


Figure 1

The IKE header is preceded by a 16-bit length field in network byte order that specifies the length of the IKE message (including the Non-ESP marker) within the TCP stream. As with IKE over UDP port 4500, a zeroed 32-bit Non-ESP Marker is inserted before the start of the IKE header in order to differentiate the traffic from ESP traffic between the same addresses and ports.

- o Length (2 octets, unsigned integer) - Length of the IKE packet including the Length Field and Non-ESP Marker.

3.2. TCP-Encapsulated ESP Header Format

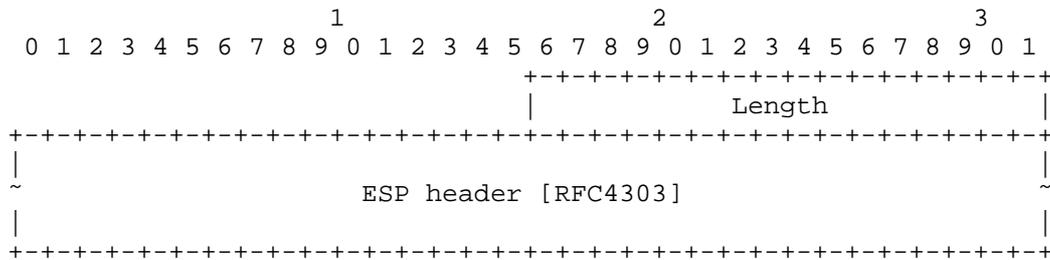


Figure 2

The ESP header is preceded by a 16-bit length field in network byte order that specifies the length of the ESP packet within the TCP stream.

The SPI field in the ESP header MUST NOT be a zero value.

- o Length (2 octets, unsigned integer) - Length of the ESP packet including the Length Field.

#### 4. TCP-Encapsulated Stream Prefix

Each stream of bytes used for IKE and IPsec encapsulation MUST begin with a fixed sequence of six bytes as a magic value, containing the characters "IKETCP" as ASCII values. This value is intended to identify and validate that the TCP connection is being used for TCP encapsulation as defined in this document, to avoid conflicts with the prevalence of previous non-standard protocols that used TCP port 4500. This value is only sent once, by the TCP Originator only, at the beginning of any stream of IKE and ESP messages.

If other framing protocols are used within TCP to further encapsulate or encrypt the stream of IKE and ESP messages, the Stream Prefix must be at the start of the TCP Originator's IKE and ESP message stream within the added protocol layer [Appendix A]. Although some framing protocols do support negotiating inner protocols, the stream prefix should always be used in order for implementations to be as generic as possible and not rely on other framing protocols on top of TCP.

0	1	2	3	4	5
+	+	+	+	+	+
0x49	0x4b	0x45	0x54	0x43	0x50
+	+	+	+	+	+

Figure 3

#### 5. Applicability

TCP encapsulation is applicable only when it has been configured to be used with specific IKE peers. If a Responder is configured to use TCP encapsulation, it MUST listen on the configured port(s) in case any peers will initiate new IKE sessions. Initiators MAY use TCP encapsulation for any IKE session to a peer that is configured to support TCP encapsulation, although it is recommended that Initiators should only use TCP encapsulation when traffic over UDP is blocked.

Since the support of TCP encapsulation is a configured property, not a negotiated one, it is recommended that if there are multiple IKE endpoints representing a single peer (such as multiple machines with different IP addresses when connecting by Fully-Qualified Domain Name, or endpoints used with IKE redirection), all of the endpoints equally support TCP encapsulation.

If TCP encapsulation is being used for a specific IKE SA, all messages for that IKE SA and its Child SAs MUST be sent over a TCP connection until the SA is deleted or MOBIKE is used to change the SA endpoints and/or encapsulation protocol. See Section 8 for more details on using MOBIKE to transition between encapsulation modes.

#### 5.1. Recommended Fallback from UDP

Since UDP is the preferred method of transport for IKE messages, implementations that use TCP encapsulation should have an algorithm for deciding when to use TCP after determining that UDP is unusable. If an Initiator implementation has no prior knowledge about the network it is on and the status of UDP on that network, it SHOULD always attempt negotiate IKE over UDP first. IKEv2 defines how to use retransmission timers with IKE messages, and IKE\_SA\_INIT messages specifically [RFC7296]. Generally, this means that the implementation will define a frequency of retransmission, and the maximum number of retransmissions allowed before marking the IKE SA as failed. An implementation can attempt negotiation over TCP once it has hit the maximum retransmissions over UDP, or slightly before to reduce connection setup delays. It is recommended that the initial message over UDP is retransmitted at least once before falling back to TCP, unless the Initiator knows beforehand that the network is likely to block UDP.

#### 6. Connection Establishment and Teardown

When the IKE Initiator uses TCP encapsulation, it will initiate a TCP connection to the Responder using the configured TCP port. The first bytes sent on the stream MUST be the stream prefix value [Section 4]. After this prefix, encapsulated IKE messages will negotiate the IKE SA and initial Child SA [RFC7296]. After this point, both encapsulated IKE Figure 1 and ESP Figure 2 messages will be sent over the TCP connection. The TCP Responder MUST wait for the entire stream prefix to be received on the stream before trying to parse out any IKE or ESP messages. The stream prefix is sent only once, and only by the TCP Originator.

In order to close an IKE session, either the Initiator or Responder SHOULD gracefully tear down IKE SAs with DELETE payloads. Once the SA has been deleted, the TCP Originator SHOULD close the TCP connection if it does not intend to use the connection for another IKE session to the TCP Responder. If the connection is left idle, and the TCP Responder needs to clean up resources, the TCP Responder MAY close the TCP connection.

An unexpected FIN or a RST on the TCP connection may indicate either a loss of connectivity, an attack, or some other error. If a DELETE

payload has not been sent, both sides SHOULD maintain the state for their SAs for the standard lifetime or time-out period. The TCP Originator is responsible for re-establishing the TCP connection if it is torn down for any unexpected reason. Since new TCP connections may use different ports due to NAT mappings or local port allocations changing, the TCP Responder MUST allow packets for existing SAs to be received from new source ports.

A peer MUST discard a partially received message due to a broken connection.

Whenever the TCP Originator opens a new TCP connection to be used for an existing IKE SA, it MUST send the stream prefix first, before any IKE or ESP messages. This follows the same behavior as the initial TCP connection.

If a TCP connection is being used to resume a previous IKE session, the TCP Responder can recognize the session using either the IKE SPI from an encapsulated IKE message or the ESP SPI from an encapsulated ESP message. If the session had been fully established previously, it is suggested that the TCP Originator send an UPDATE\_SA\_ADDRESSES message if MOBIKE is supported, or an INFORMATIONAL message (a keepalive) otherwise.

The TCP Responder MUST NOT accept any messages for the existing IKE session on a new incoming connection unless that connection begins with the stream prefix. If either the TCP Originator or TCP Responder detects corruption on a connection that was started with a valid stream prefix, it SHOULD close the TCP connection. The connection can be determined as corrupted if there are too many subsequent messages that cannot be parsed as valid IKE messages or ESP messages with known SPIs, or if the authentication check for an ESP message with a known SPI fails. Implementations SHOULD NOT tear down a connection if only a single ESP message has an unknown SPI, since the SPI databases may be momentarily out of sync. If there is instead a syntax issue within an IKE message, an implementation MUST send the INVALID\_SYNTAX notify payload and tear down the IKE SA as usual, rather than tearing down the TCP connection directly.

An TCP Originator SHOULD only open one TCP connection per IKE SA, over which it sends all of the corresponding IKE and ESP messages. This helps ensure that any firewall or NAT mappings allocated for the TCP connection apply to all of the traffic associated with the IKE SA equally.

Similarly, a TCP Responder SHOULD at any given time send packets for an IKE SA and its Child SAs over only one TCP connection. It SHOULD choose the TCP connection on which it last received a valid and

decryptable IKE or ESP message. In order to be considered valid for choosing a TCP connection, an IKE message must be successfully decrypted and authenticated, not be a retransmission of a previously received message, and be within the expected window for IKE message IDs. Similarly, an ESP message must pass authentication checks and be decrypted, not be a replay of a previous message.

Since a connection may be broken and a new connection re-established by the TCP Originator without the TCP Responder being aware, a TCP Responder SHOULD accept receiving IKE and ESP messages on both old and new connections until the old connection is closed by the TCP Originator. A TCP Responder MAY close a TCP connection that it perceives as idle and extraneous (one previously used for IKE and ESP messages that has been replaced by a new connection).

Multiple IKE SAs MUST NOT share a single TCP connection, unless one is a rekey of an existing IKE SA, in which case there will temporarily be two IKE SAs on the same TCP connection.

#### 7. Interaction with NAT Detection Payloads

When negotiating over UDP port 500, IKE\_SA\_INIT packets include NAT\_DETECTION\_SOURCE\_IP and NAT\_DETECTION\_DESTINATION\_IP payloads to determine if UDP encapsulation of IPsec packets should be used. These payloads contain SHA-1 digests of the SPIs, IP addresses, and ports as defined in [RFC7296]. IKE\_SA\_INIT packets sent on a TCP connection SHOULD include these payloads with the same content as when sending over UDP, and SHOULD use the applicable TCP ports when creating and checking the SHA-1 digests.

If a NAT is detected due to the SHA-1 digests not matching the expected values, no change should be made for encapsulation of subsequent IKE or ESP packets, since TCP encapsulation inherently supports NAT traversal. Implementations MAY use the information that a NAT is present to influence keep-alive timer values.

If a NAT is detected, implementations need to handle transport mode TCP and UDP packet checksum fixup as defined for UDP encapsulation in [RFC3948].

#### 8. Using MOBIKE with TCP encapsulation

When an IKE session that has negotiated MOBIKE [RFC4555] is transitioning between networks, the Initiator of the transition may switch between using TCP encapsulation, UDP encapsulation, or no encapsulation. Implementations that implement both MOBIKE and TCP encapsulation MUST support dynamically enabling and disabling TCP encapsulation as interfaces change.

When a MOBIKE-enabled Initiator changes networks, the UPDATE\_SA\_ADDRESSES notification SHOULD be sent out first over UDP before attempting over TCP. If there is a response to the UPDATE\_SA\_ADDRESSES notification sent over UDP, then the ESP packets should be sent directly over IP or over UDP port 4500 (depending on if a NAT was detected), regardless of if a connection on a previous network was using TCP encapsulation. Similarly, if the Responder only responds to the UPDATE\_SA\_ADDRESSES notification over TCP, then the ESP packets should be sent over the TCP connection, regardless of if a connection on a previous network did not use TCP encapsulation.

#### 9. Using IKE Message Fragmentation with TCP encapsulation

IKE Message Fragmentation [RFC7383] is not required when using TCP encapsulation, since a TCP stream already handles the fragmentation of its contents across packets. Since fragmentation is redundant in this case, implementations might choose to not negotiate IKE fragmentation. Even if fragmentation is negotiated, an implementation SHOULD NOT send fragments when going over a TCP connection, although it MUST support receiving fragments.

If an implementation supports both MOBIKE and IKE fragmentation, it SHOULD negotiate IKE fragmentation over a TCP encapsulated session in case the session switches to UDP encapsulation on another network.

#### 10. Considerations for Keep-alives and DPD

Encapsulating IKE and IPsec inside of a TCP connection can impact the strategy that implementations use to detect peer liveness and to maintain middlebox port mappings. Peer liveness should be checked using IKE Informational packets [RFC7296].

In general, TCP port mappings are maintained by NATs longer than UDP port mappings, so IPsec ESP NAT keep-alives [RFC3948] SHOULD NOT be sent when using TCP encapsulation. Any implementation using TCP encapsulation MUST silently drop incoming NAT keep-alive packets, and not treat them as errors. NAT keep-alive packets over a TCP encapsulated IPsec connection will be sent with a length value of 1 byte, whose value is 0xFF Figure 2.

Note that depending on the configuration of TCP and TLS on the connection, TCP keep-alives [RFC1122] and TLS keep-alives [RFC6520] may be used. These MUST NOT be used as indications of IKE peer liveness.

## 11. Middlebox Considerations

Many security networking devices such as Firewalls or Intrusion Prevention Systems, network optimization/acceleration devices and Network Address Translation (NAT) devices keep the state of sessions that traverse through them.

These devices commonly track the transport layer and/or the application layer data to drop traffic that is anomalous or malicious in nature. While many of these devices will be more likely to pass TCP-encapsulated traffic as opposed to UDP-encapsulated traffic, some may still block or interfere with TCP-encapsulated IKE and IPsec.

A network device that monitors the transport layer will track the state of TCP sessions, such as TCP sequence numbers. TCP encapsulation of IKE should therefore use standard TCP behaviors to avoid being dropped by middleboxes.

## 12. Performance Considerations

Several aspects of TCP encapsulation for IKE and IPsec packets may negatively impact the performance of connections within a tunnel-mode IPsec SA. Implementations should be aware of these performance impacts and take these into consideration when determining when to use TCP encapsulation. Implementations SHOULD favor using direct ESP or UDP encapsulation over TCP encapsulation whenever possible.

### 12.1. TCP-in-TCP

If the outer connection between IKE peers is over TCP, inner TCP connections may suffer effects from using TCP within TCP. Running TCP within TCP is discouraged, since the TCP algorithms generally assume that they are running over an unreliable datagram layer.

If the outer (tunnel) TCP connection experiences packet loss, this loss will be hidden from any inner TCP connections, since the outer connection will retransmit to account for the losses. Since the outer TCP connection will deliver the inner messages in order, any messages after a lost packet may have to wait until the loss is recovered. This means that loss on the outer connection will be interpreted only as delay by inner connections. The burstiness of inner traffic can increase, since a large number of inner packets may be delivered across the tunnel at once. The inner TCP connection may interpret a long period of delay as a transmission problem, triggering a retransmission timeout, which will cause spurious retransmissions. The sending rate of the inner connection may be unnecessarily reduced if the retransmissions are not detected as spurious in time.

The inner TCP connection's round-trip-time estimation will be affected by the burstiness of the outer TCP connection if there are long delays when packets are retransmitted by the outer TCP connection. This will make the congestion control loop of the inner TCP traffic less reactive, potentially permanently leading to a lower sending rate than the outer TCP would allow for.

TCP-in-TCP can also lead to increased buffering, or bufferbloat. This can occur when the window size of the outer TCP connection is reduced, and becomes smaller than the window sizes of the inner TCP connections. This can lead to packets backing up in the outer TCP connection's send buffers. In order to limit this effect, the outer TCP connection should have limits on its send buffer size, and on the rate at which it reduces its window size.

Note that any negative effects will be shared between all flows going through the outer TCP connection. This is of particular concern for any latency-sensitive or real-time applications using the tunnel. If such traffic is using a TCP encapsulated IPsec connection, it is recommended that the number of inner connections sharing the tunnel be limited as much as possible.

#### 12.2. Added Reliability for Unreliable Protocols

Since ESP is an unreliable protocol, transmitting ESP packets over a TCP connection will change the fundamental behavior of the packets. Some application-level protocols that prefer packet loss to delay (such as Voice over IP or other real-time protocols) may be negatively impacted if their packets are retransmitted by the TCP connection due to packet loss.

#### 12.3. Quality of Service Markings

Quality of Service (QoS) markings, such as DSCP and Traffic Class, should be used with care on TCP connections used for encapsulation. Individual packets SHOULD NOT use different markings than the rest of the connection, since packets with different priorities may be routed differently and cause unnecessary delays in the connection.

#### 12.4. Maximum Segment Size

A TCP connection used for IKE encapsulation SHOULD negotiate its maximum segment size (MSS) in order to avoid unnecessary fragmentation of packets.

### 12.5. Tunnelling ECN in TCP

Since there is not a one-to-one relationship between outer IP packets and inner ESP/IP messages when using TCP encapsulation, the markings for Explicit Congestion Notification (ECN) [RFC3168] cannot be simply mapped. However, any ECN Congestion Experienced (CE) marking on inner messages should be preserved through the tunnel.

Implementations SHOULD follow the ECN compatibility mode as described in [RFC6040]. In compatibility mode, the outer TCP connection SHOULD mark its packets as not ECN-capable, and MUST NOT clear any ECN markings on inner packets. Note that outer packets may be ECN marked even though the outer connection did not negotiate support for ECN. If an implementation receives such an outer packet, it MAY propagate the markings as described in the Default Tunnel Egress Behaviour [RFC6040] for any inner packet contained within a single outer TCP packet, or simply apply the rules as if the outer packet were Not-ECT if the inner packet spans multiple outer packets.

### 13. Security Considerations

IKE Responders that support TCP encapsulation may become vulnerable to new Denial-of-Service (DoS) attacks that are specific to TCP, such as SYN-flooding attacks. TCP Responders should be aware of this additional attack-surface.

TCP Responders should be careful to ensure that the stream prefix "IKETCP" uniquely identifies incoming streams as ones that use the TCP encapsulation protocol, and they are not running any other protocols on the same listening port that could conflict with this.

Attackers may be able to disrupt the TCP connection by sending spurious RST packets. Due to this, implementations SHOULD make sure that IKE session state persists even if the underlying TCP connection is torn down.

If MOBIKE is being used, all of the security considerations outlined for MOBIKE apply [RFC4555].

Similarly to MOBIKE, TCP encapsulation requires a TCP Responder to handle changing of source address and port due to network or connection disruption. The successful delivery of valid IKE or ESP messages over a new TCP connection is used by the TCP Responder to determine where to send subsequent responses. If an attacker is able to send packets on a new TCP connection that pass the validation checks of the TCP Responder, it can influence which path future packets take. For this reason, the validation of messages on the TCP Responder must include decryption, authentication, and replay checks.

Since TCP provides a reliable, in-order delivery of ESP messages, the ESP Anti-Replay Window size SHOULD be set to 1. See [RFC4303] for a complete description of the ESP Anti-Replay Window. This increases the protection of implementations against replay attacks.

#### 14. IANA Considerations

TCP port 4500 is already allocated to IPsec for NAT Traversal. This port SHOULD be used for TCP encapsulated IKE and ESP as described in this document.

This document updates the reference for TCP port 4500:

Keyword	Decimal	Description	Reference
-----	-----	-----	-----
ipsec-nat-t	4500/tcp	IPsec NAT-Traversal	[RFC-this-rfc]

Figure 4

#### 15. Acknowledgments

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## Appendix A. Using TCP encapsulation with TLS

This section provides recommendations on how to use TLS in addition to TCP encapsulation.

When using TCP encapsulation, implementations may choose to use TLS [RFC5246] on the TCP connection to be able to traverse middle-boxes, which may otherwise block the traffic.

If a web proxy is applied to the ports used for the TCP connection, and TLS is being used, the TCP Originator can send an HTTP CONNECT message to establish an SA through the proxy [RFC2817].

The use of TLS should be configurable on the peers, and may be used as the default when using TCP encapsulation, or else be a fallback when basic TCP encapsulation fails. The TCP Responder may expect to read encapsulated IKE and ESP packets directly from the TCP connection, or it may expect to read them from a stream of TLS data packets. The TCP Originator should be pre-configured to use TLS or not when communicating with a given port on the TCP Responder.

When new TCP connections are re-established due to a broken connection, TLS must be re-negotiated. TLS Session Resumption is recommended to improve efficiency in this case.

The security of the IKE session is entirely derived from the IKE negotiation and key establishment and not from the TLS session (which in this context is only used for encapsulation purposes), therefore when TLS is used on the TCP connection, both the TCP Originator and TCP Responder SHOULD allow the NULL cipher to be selected for performance reasons.

Implementations should be aware that the use of TLS introduces another layer of overhead requiring more bytes to transmit a given IKE and IPsec packet. For this reason, direct ESP, UDP encapsulation, or TCP encapsulation without TLS should be preferred in situations in which TLS is not required in order to traverse middle-boxes.

## Appendix B. Example exchanges of TCP Encapsulation with TLS

## B.1. Establishing an IKE session

```

                Client                               Server
                -----                               -----
1) ----- TCP Connection -----
   (IP_I:Port_I -> IP_R:Port_R)
   TcpSyn                                     ----->

```

```

                                <-----
                                ----->
    TcpAck
2) ----- TLS Session -----
    ClientHello
                                ----->
                                ServerHello
                                Certificate*
                                ServerKeyExchange*
                                ServerHelloDone
    ClientKeyExchange
    CertificateVerify*
    [ChangeCipherSpec]
    Finished
                                <-----
                                [ChangeCipherSpec]
                                ----->
                                Finished
3) ----- Stream Prefix -----
    "IKETCP"
                                ----->
4) ----- IKE Session -----
    Length + Non-ESP Marker
    IKE_SA_INIT
    HDR, SAi1, KEi, Ni,
    [N(NAT_DETECTION*_IP)]
                                <----- Length + Non-ESP Marker
                                IKE_SA_INIT
                                HDR, SAR1, KEr, Nr,
                                [N(NAT_DETECTION*_IP)]
                                ----->
    Length + Non-ESP Marker
    first IKE_AUTH
    HDR, SK {IDi, [CERTREQ]
    CP(CFG_REQUEST), IDr,
    SAi2, TSi, TSr, ...}
                                <----- Length + Non-ESP Marker
                                first IKE_AUTH
                                HDR, SK {IDr, [CERT], AUTH,
                                EAP, SAR2, TSi, TSr}
                                ----->
    Length + Non-ESP Marker
    IKE_AUTH + EAP
    repeat 1..N times
                                <----- Length + Non-ESP Marker
                                IKE_AUTH + EAP
                                ----->
    Length + Non-ESP Marker
    final IKE_AUTH
    HDR, SK {AUTH}
                                <----- Length + Non-ESP Marker
                                final IKE_AUTH
                                HDR, SK {AUTH, CP(CFG_REPLY),
                                SA, TSi, TSr, ...}
                                ----->

```

```

----- IKE and IPsec SAs Established -----
Length + ESP frame          ----->
    
```

Figure 5

1. Client establishes a TCP connection with the server on port 4500, or an alternate pre-configured port that the server is listening on.
2. If configured to use TLS, the client initiates a TLS handshake. During the TLS handshake, the server SHOULD NOT request the client's certificate, since authentication is handled as part of IKE negotiation.
3. Client send the Stream Prefix for TCP encapsulated IKE Section 4 traffic to signal the beginning of IKE negotiation.
4. Client and server establish an IKE connection. This example shows EAP-based authentication, although any authentication type may be used.

B.2. Deleting an IKE session

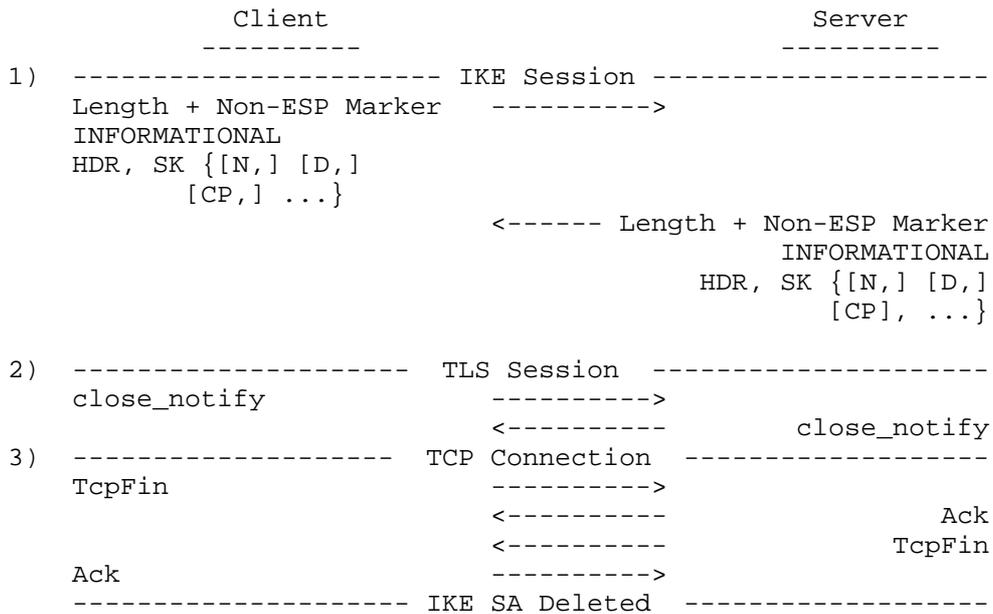


Figure 6

1. Client and server exchange INFORMATIONAL messages to notify IKE SA deletion.
2. Client and server negotiate TLS session deletion using TLS CLOSE\_NOTIFY.
3. The TCP connection is torn down.

The deletion of the IKE SA should lead to the disposal of the underlying TLS and TCP state.

### B.3. Re-establishing an IKE session

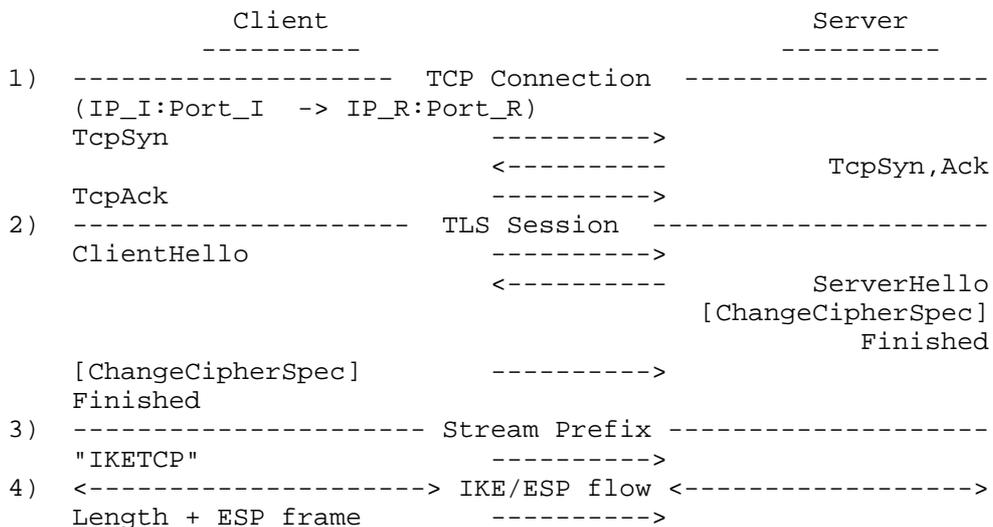
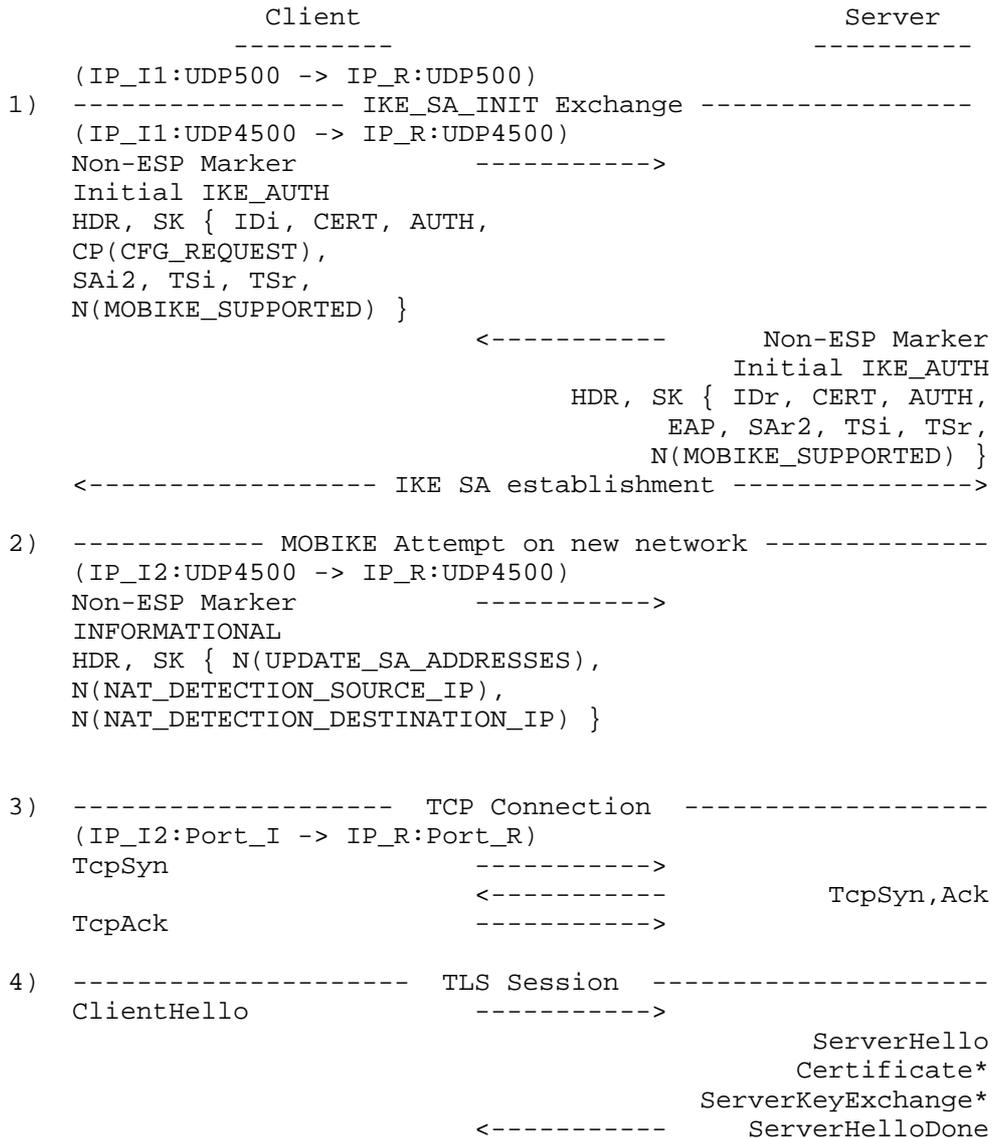


Figure 7

1. If a previous TCP connection was broken (for example, due to a RST), the client is responsible for re-initiating the TCP connection. The TCP Originator's address and port (IP\_I and Port\_I) may be different from the previous connection's address and port.
2. In ClientHello TLS message, the client SHOULD send the Session ID it received in the previous TLS handshake if available. It is up to the server to perform either an abbreviated handshake or full handshake based on the session ID match.

3. After TCP and TLS are complete, the client sends the Stream Prefix for TCP encapsulated IKE traffic Section 4.
4. The IKE and ESP packet flow can resume. If MOBIKE is being used, the Initiator SHOULD send UPDATE\_SA\_ADDRESSES.

B.4. Using MOBIKE between UDP and TCP Encapsulation



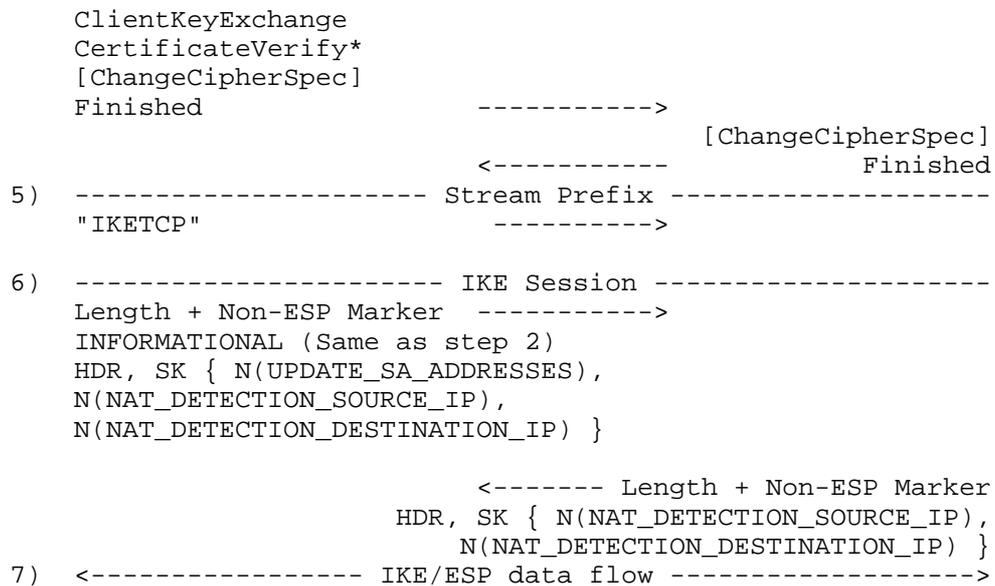


Figure 8

1. During the IKE\_SA\_INIT exchange, the client and server exchange MOBIKE\_SUPPORTED notify payloads to indicate support for MOBIKE.
2. The client changes its point of attachment to the network, and receives a new IP address. The client attempts to re-establish the IKE session using the UPDATE\_SA\_ADDRESSES notify payload, but the server does not respond because the network blocks UDP traffic.
3. The client brings up a TCP connection to the server in order to use TCP encapsulation.
4. The client initiates and TLS handshake with the server.
5. The client sends the Stream Prefix for TCP encapsulated IKE traffic Section 4.
6. The client sends the UPDATE\_SA\_ADDRESSES notify payload on the TCP encapsulated connection. Note that this IKE message is the same as the one sent over UDP in step 2, and should have the same message ID and contents.
7. The IKE and ESP packet flow can resume.

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