

AIX Version 7.3

Security

IBM

Note

Before using this information and the product it supports, read the information in [“Notices” on page 437.](#)

This edition applies to AIX Version 7.3 and to all subsequent releases and modifications until otherwise indicated in new editions.

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About this document

This topic collection provides system administrators with complete information on file, system, and network security. This topic collection contains information about how to perform such tasks as hardening a system, changing permissions, setting up authentication methods, and configuring the Common Criteria Security Evaluation features. This topic collection is also available on the documentation CD that is shipped with the operating system.

Highlighting

The following highlighting conventions are used in this document:

Bold	Identifies commands, subroutines, keywords, files, structures, directories, and other items whose names are predefined by the system. Also identifies graphical objects such as buttons, labels, and icons that the user selects.
<i>Italics</i>	Identifies parameters whose actual names or values are to be supplied by the user.
Monospace	Identifies examples of specific data values, examples of text similar to what you might see displayed, examples of portions of program code similar to what you might write as a programmer, messages from the system, or information you should actually type.

Case-sensitivity in AIX

Everything in the AIX operating system is case-sensitive, which means that it distinguishes between uppercase and lowercase letters. For example, you can use the **ls** command to list files. If you type LS, the system responds that the command is not found. Likewise, **FILEA**, **FiLea**, and **filea** are three distinct file names, even if they reside in the same directory. To avoid causing undesirable actions to be performed, always ensure that you use the correct case.

ISO 9000

ISO 9000 registered quality systems were used in the development and manufacturing of this product.

Security

The AIX operating system allows you to perform tasks such as hardening a system, changing permissions, setting up authentication methods, and configuring the Common Criteria Security Evaluation features.

Related information

[Computer Emergency Response Team, at Carnegie Mellon University \(CERT\)](#)

[Forum of Incident Response and Security Teams \(FIRST\)](#)

[Center for Education and Research in Information Assurance and Security \(CERIAS\)](#)

What's new in Security

Read about new or significantly changed information for the Security topic collection.

How to see what's new or changed

To help you see where technical changes have been made, the information center uses:

- The  image to mark where new or changed information begins.
- The  image to mark where new or changed information ends.

December 2025

The following information is a summary of the updates made to this topic collection:

- Updated [Limitations of encrypted PV](#) section in the topic [Encrypted physical volumes](#)
- Added information about new [Configuring AIX to work with AD through LDAP without the SFU plug-in](#) topic.
- Updated the [Microsoft Active Directory](#) section in the [Supported LDAP servers](#) topic.
- Added information about new configure policy **CHKSHOBS** in the [Trusted Signature Database and Security policies configuration](#) page that checks the integrity of the shared objects (.o) file that belongs to the `lib.tsd.dat` file.

July 2025

The following is a summary of the updates that are made to this topic collection:

- Added information about the new [4770 PCIe Cryptographic Coprocessor AIX® CCA Support Program Installation 7.3](#), which is available starting with AIX 7.3 Technology Level 3.

December 2024

The following is a summary of the updates that are made to this topic collection:

- Added information about Diffie Hellman (DH) group 20 and 21 support that is added to IPsec in the [Internet Key Exchange features](#) page.
- Added information about [Auditing in the Live Update environment](#) under the [Auditing overview](#) topic.
- AIX 7.2 and AIX 7.3 no longer supports Trusted Computing Base (TCB).

November 2023

The following is a summary of the updates that are made to this topic collection:

- Added **IPSEC_p1_sa**, **IPSEC_p2_sa**, **IPSEC_ike_ver**, **IPSEC_auth_type**, and **IPSEC_noprack** audit events for Internet Protocol Security (IPsec) operations in the [Audit events](#) page.

November 2022

The following is a summary of the updates that are made to this topic collection:

- Added information about [Using FQDN or user@FQDN with pre-shared key for IKEV2](#) under [Internet protocol security](#).
- Added information about [Configuring endpoints that are behind the NAT device](#) under [Network address translation](#).
- Added information about [Encrypted physical volumes](#) under [Securing the base operating system](#).

Securing the base operating system

Securing the base operating system provides information about how to protect the system regardless of network connectivity.

This section describes how to install your system with security options turned on, and how to secure AIX against nonprivileged users gaining access to the system.

Secure system installation and configuration

Several factors are involved in the secure installation and configuration of AIX.

Trusted Computing Base

AIX 7.2 and AIX 7.3 no longer supports Trusted Computing Base (TCB).

The system administrator must determine how much trust can be given to a particular program. This determination includes considering the value of the information resources on the system in deciding how much trust is required for a program to be installed with privilege.

The Trusted Computing Base (TCB) is the part of the system that is responsible for enforcing system-wide information security policies. By installing and by using the TCB, you can define user access to the trusted communication path, which permits secure communication between users and the TCB. TCB features can be enabled only when the operating system is installed. To install TCB on an already installed machine, you must perform a Preservation installation. Enabling TCB permits you to access the trusted shell, trusted processes, and the Secure Attention Key (SAK).

Checking the TCB

The security of the operating system is jeopardized when the Trusted Computing Base (TCB) files are not correctly protected or when configuration files have unsafe values.

The **tcbck** command audits the security state of the Trusted Computing Base. The **tcbck** command audits this information by reading the `/etc/security/sysck.cfg` file. This file includes a description of all TCB files, configuration files, and trusted commands.

The `/etc/security/sysck.cfg` file is not offline and, could therefore be altered by a hacker. Make sure you create an offline read-only copy after each TCB update. Also, copy this file from the archival media to disk before doing any checks.

Structure of the `sysck.cfg` file

The **tcbck** command reads the `/etc/security/sysck.cfg` file to determine which files to check. Each trusted program on the system is described by a stanza in the `/etc/security/sysck.cfg` file.

Each stanza has the following attributes:

Attribute	Description
acl	Text string representing the access control list for the file. It must be of the same format as the output of the aclget command. If this does not match the actual file ACL (access control list), the sysck command applies this value using the aclput command. Note: The SUID, SGID, and SVTX attributes must match those specified for the mode, if present.
class	Name of a group of files. This attribute permits several files with the same class name to be checked by specifying a single argument to the tcbck command. More than one class can be specified, with each class being separated by a comma.
group	Group ID or name of the file group. If this does not match the file group, the tcbck command sets the group ID of the file to this value.
links	Comma-separated list of path names linked to this file. If any path name in this list is not linked to the file, the tcbck command creates the link. If used without the <i>tree</i> parameter, the tcbck command prints a message that there are extra links but does not determine their names. If used with the <i>tree</i> parameter, the tcbck command also prints any additional path names linked to this file.
mode	Comma-separated list of values. The permissible values are SUID, SGID, SVTX, and TCB. The file permissions must be the last value and can be specified either as an octal value or as a 9-character string. For example, either 755 or rwxr-xr-x are valid file permissions. If this does not match the actual file mode, the tcbck command applies the correct value.
owner	User ID or name of the file owner. If this does not match the file owner, the tcbck command sets the owner ID of the file to this value.
program	Comma-separated list of values. The first value is the path name of a checking program. Additional values are passed as arguments to the program when the program is run. Note: The first argument is always one of <i>-y</i> , <i>-n</i> , <i>-p</i> , or <i>-t</i> , depending on which flag the tcbck command was used with.
source	Name of a file this source file is to be copied from prior to checking. If the value is blank, and this is either a regular file, directory, or a named pipe, a new empty version of this file is created if it does not already exist. For device files, a new special file is created for the same type device.
symlinks	Comma-separated list of path names symbolically linked to this file. If any path name in this list is not a symbolic link to the file, the tcbck command creates the symbolic link. If used with the <i>tree</i> argument, the tcbck command also prints any additional path names that are symbolic links to this file.

If a stanza in the `/etc/security/sysck.cfg` file does not specify an attribute, the corresponding check is not performed.

Using the tcbck command

The **tcbck** command is used to ensure the proper installation of security-relevant file; to ensure the file system tree contains no files that clearly violate system security; and to update, add, or delete trusted files.

The **tcbck** command is normally used for the following tasks:

- Ensure the proper installation of security-relevant files

- Ensure that the file system tree contains no files that clearly violate system security
- Update, add, or delete trusted files

The **tcbck** command can be used in the following ways:

- Normal use
 - Noninteractive at system initialization
 - With the **crion** command
- Interactive use
 - Check out individual files and classes of files
- Paranoid use
 - Store the `sysck.cfg` file offline and restore it periodically to check out the machine

Although not cryptographically secure, the TCB uses the **sum** command for checksums. The TCB database can be set up manually with a different checksum command, for example, the **md5sum** command that is shipped in the textutils RPM Package Manager package with *AIX Toolbox for Linux Applications CD*.

Checking trusted files

Use the **tcbck** command to check and fix all the files in the tcbck database, and fix and produce a log of all errors.

To check all the files in the tcbck database, and fix and report all errors, type:

```
tcbck -y ALL
```

This causes the **tcbck** command to check the installation of each file in the tcbck database described by the `/etc/security/sysck.cfg` file.

To perform this automatically during system initialization, and produce a log of what was in error, add the previous command string to the **/etc/rc** command.

Checking the file system tree

Whenever you suspect the integrity of the system might have been compromised, run the **tcbck** command to check the file system tree.

To check the file system tree, type:

```
tcbck -t tree
```

When the **tcbck** command is used with the `tree` value, all files on the system are checked for correct installation (this could take a long time). If the **tcbck** command discovers any files that are potential threats to system security, you can alter the suspected file to remove the offending attributes. In addition, the following checks are performed on all other files in the file system:

- If the file owner is root and the file has the SetUID bit set, the SetUID bit is cleared.
- If the file group is an administrative group, the file is executable, and the file has the SetGID bit set, the SetGID bit is cleared.
- If the file has the **tcb** attribute set, this attribute is cleared.
- If the file is a device (character or block special file), it is removed.
- If the file is an additional link to a path name described in `/etc/security/sysck.cfg` file, the link is removed.
- If the file is an additional symbolic link to a path name described in `/etc/security/sysck.cfg` file, the symbolic link is removed.

Note: All device entries must have been added to the `/etc/security/sysck.cfg` file prior to execution of the **tcbck** command or the system is rendered unusable. To add trusted devices to the `/etc/security/sysck.cfg` file, use the **-l** flag.



Attention: Do not run the **tcback -y tree** command option. This option deletes and disables devices that are not properly listed in the TCB, and might disable your system.

Adding a trusted program

Use the **tcback** command to add a specific program to the `/etc/security/sysck.cfg` file.

To add a specific program to the `/etc/security/sysck.cfg` file, type:

```
tcback -a PathName [Attribute=Value]
```

Only attributes whose values are not deduced from the current state of the file need be specified on the command line. All attribute names are contained in the `/etc/security/sysck.cfg` file.

For example, the following command registers a new SetUID root program named `/usr/bin/setgroups`, which has a link named `/usr/bin/getgroups`:

```
tcback -a /usr/bin/setgroups links=/usr/bin/getgroups
```

To add `jfh` and `jsl` as administrative users and to add `developers` as an administrative group to be verified during a security audit of the `/usr/bin/abc` file, type:

```
tcback -a /usr/bin/abc setuids=jfh,jsl setgids=developers
```

After installing a program, you might not know which new files are registered in the `/etc/security/sysck.cfg` file. These files can be found and added with the following command:

```
tcback -t tree
```

This command string displays the name of any file that is to be registered in the `/etc/security/sysck.cfg` file.

Deleting a trusted program

If you remove a file from the system that is described in the `/etc/security/sysck.cfg` file, you must also remove the description of this file from the `/etc/security/sysck.cfg` file.

For example, if you have deleted the `/etc/cvid` program, the following command string produces an error message:

```
tcback -t ALL
```

The resulting error message is as follows:

```
3001-020 The file /etc/cvid was not found.
```

The description for this program remains in the `/etc/security/sysck.cfg` file. To remove the description of this program, type the following command:

```
tcback -d /etc/cvid
```

Configuring additional trusted options

You can configure additional options for the Trusted Computing Base (TCB).

Restricting access to a terminal

You can configure the operating system to restrict terminal access.

The **getty** and **shell** commands change the owner and mode of a terminal to prevent untrusted programs from accessing the terminal. The operating system provides a way to configure exclusive terminal access.

Using the Secure Attention Key

A trusted communication path is established by pressing the Secure Attention Key (SAK) reserved key sequence (Ctrl-X, and then Ctrl-R).

Note: Use caution when using SAK because it stops all processes that attempt to access the terminal and any links to it (for example, `/dev/console` can be linked to `/dev/tty0`).

A trusted communication path is established under the following conditions:

- When logging in to the system

After you press the SAK:

- If a new login screen displays, you have a secure path.
 - If the trusted shell prompt displays, the initial login screen was an unauthorized program that might have been trying to steal your password. Determine who is currently using this terminal by using the **who** command and then log off.
- When you want the command you enter to result in a trusted program running. Some examples of this include:
 - Running as root user. Run as root user only after establishing a trusted communication path. This ensures that no untrusted programs are run with root-user authority.
 - Running the **su**, **passwd**, and **newgrp** commands. Run these commands only after establishing a trusted communication path.

Configuring the Secure Attention Key

Configure the Secure Attention Key to create a trusted communication path.

Each terminal can be independently configured so that pressing the Secure Attention Key (SAK) at that terminal creates a trusted communication path. This is specified by the **sak_enabled** attribute in `/etc/security/login.cfg` file. If the value of this attribute is True, the SAK is enabled.

If a port is to be used for communications, (for example, by the **uucp** command), the specific port used has the following line in its stanza of the `/etc/security/login.cfg` file:

```
sak_enabled = false
```

This line (or no entry in that stanza) disables the SAK for that terminal.

To enable the SAK on a terminal, add the following line to the stanza for that terminal:

```
sak_enabled = true
```

Secure boot

The AIX Secure boot feature is used to verify the authenticity of the boot process.

You can use the secure boot technology to verify the integrity of PowerVM firmware, including hostboot, Power hypervisor (PHYP), and partition firmware (PFW) through digital signature in POWER9 systems, or later, and PowerVM systems. The firmware that is run on the POWER9 processor can be trusted when you use the firmware secure boot feature.

The AIX Secure boot feature extends the chain of trust to the AIX logical partition (LPAR) by digitally verifying the following AIX and PFW codes:

- OS boot loader
- Kernel
- Runtime environment
- Device drivers, including boot device drivers
- Kernel extensions
- Applications

- Libraries

The AIX boot image is enhanced to include the digital signatures of the boot loader and the kernel. The boot loader enhancement allows the digital signatures to be validated by the PFW. In addition, PFW validates the digital signature of the boot code included in adapter microcode. If an adapter's boot code does not include a valid digital signature, the adapter cannot be used as a boot device for the trusted LPAR. The boot loader validates the digital signature of the kernel. The AIX Secure boot feature uses Trusted Execution technology that relies on the Trusted Signature Database (TSD). The TSD stores the digital signatures of device drivers, application binaries, and other AIX codes. The AIX Secure boot feature checks the integrity of the boot and initialization codes to the end of the `inittab` file.

The AIX Secure boot feature includes the following enhancements:

1. The AIX Secure boot feature starts validating code integrity before the Trusted Execution feature. When The AIX Secure boot feature is enabled, the TSD is loaded earlier in the boot process. The TSD is loaded before the kernel loads the first application.
2. The AIX Secure boot feature verifies the digital signatures of the codes that must be executed. At run time, the Trusted Execution feature verifies the cryptographic hashes of the boot and initialization codes.

The AIX Secure boot feature is configured by using the management console. The Hardware Management Console (HMC) currently supports The AIX Secure boot feature. The AIX operating system supports the following basic secure boot settings:

0. Secure boot disabled
 1. Enabled (or log only)
 2. Enforce (abort the boot operation if signature verification fails)
 3. Enforce policy 2 and avoid loading programs or libraries that are not found in TSD. Also, disable write access to `/dev/*mem` devices.
 4. Enforce policy 3 and disable the kernel debugger (KDB)

If the integrity of any file fails validation during the boot operation in **Audit** mode, the LPAR continues to boot. However, the system administrator logs the errors in `/var/adm/ras/securebootlog` for inspection after the LPAR boots. When the digital signature verification of files fails during the boot in **Enforce** mode, the boot process is aborted and displays the LPAR status in the HMC with the following LED code:

0x328

You can disable additional debugging capabilities at a higher level of The AIX Secure boot feature policy.

It is recommended to first enable the **Audit** policy. After the system is set up and starts properly, you can switch to an advanced policy. In the current release, only IBM signed objects are supported.

To list the secure boot policy from the LPAR, run the following command:

```
lsattr -E -l sys0 -a secure_boot
```

The AIX Secure boot feature and Trusted Execution features are meant to complement each other. The AIX Secure boot feature handles the boot process while the Trusted Execution handles the runtime. You can maximize the operating system security, by using both the AIX Secure boot and Trusted Execution features.

Troubleshooting a secure boot failure

An LPAR is stopped when it is booted with a secure boot policy option of 2, 3 or 4, and signature verification failed during boot. To troubleshoot the failure in this scenario, you can restart the system with the secure boot policy 1 option and view the secure boot logs in the `/var/adm/ras/securebootlog` directory.

If an LPAR is booted with a secure boot policy option of 3 or 4, any binary signatures that are not available during the boot time are not loaded. Binaries in this scenario, such as RSCT daemons, must be started manually after the boot occurs.

Trusted Execution

Trusted Execution (TE) refers to a collection of features that are used to verify the integrity of the system and implement advance security policies, which together can be used to enhance the trust level of the complete system.

The usual way for a malicious user to harm the system is to get access to the system and then install Trojans, rootkits or tamper some security critical files, resulting in the system becoming vulnerable and exploitable. The central idea behind the set of features under Trusted Execution is prevention of such activities or in worst case be able to identify if any such incident happens to the system. Using the functionality provided by Trusted Execution, the system administrator can decide upon the actual set of executables that are allowed to execute or the set of kernel extensions that are allowed to be loaded. It can also be used to audit the security state of the system and identify files that have changed, thereby increasing the trusted level of the system and making it more difficult for the malicious user to do harm to the system. The set of features under TE can be grouped into the following:

- Managing Trusted Signature Database
- Auditing integrity of the Trusted Signature Database
- Configuring Security Policies
- Trusted Execution Path and Trusted Library Path

Note: A TCB functionality already exists in the AIX operating system. TE is a more powerful and enhanced mechanism that overlaps some of the TCB functionality and provides advance security policies to better control the integrity of the system. While the Trusted Computing Base is still available, Trusted Execution introduces a new and more advanced concept of verifying and guarding the system integrity.

Trusted Signature Database Management

Similar to that of Trusted Computing Base (TCB) there exists a database which is used to store critical security parameters of trusted files present on the system. This database, called Trusted Signature Database (TSD), resides in the `/etc/security/tsd/tsd.dat`.

A *trusted file* is a file that is critical from the security perspective of the system, and if compromised, can jeopardize the security of the entire system. Typically the files that match this description are the following:

- Kernel (operating system)
- All `setuid` root programs
- All `setgid` root programs
- Any program that is exclusively run by the root user or by a member of the system group
- Any program that must be run by the administrator while on the trusted communication path (for example, the `ls` command)
- The configuration files that control system operation
- Any program that is run with the privilege or access rights to alter the kernel or the system configuration files

Every trusted file should ideally have an associated stanza or a file definition stored in the Trusted Signature Database (TSD). A file can be marked as trusted by adding its definition in the TSD using the `trustchk` command. The `trustchk` command can be used to add, delete, or list entries from the TSD.

Trusted Signature Database

The Trusted Signature Database (TSD) is a database that stores critical security parameters of the trusted files present on the system. The TSD is located in the `/etc/security/tsd/tsd.dat` directory.

Every trusted file must have an associated stanza or a file definition that is stored in the TSD. Every trusted file is associated with a unique cryptographic hash and a digital signature. The cryptographic hash of the default set of the trusted files is generated by using the SHA-256 algorithm and the digital signature that is generated by using Rivest-Shamir-Adleman (RSA) algorithm by the AIX build environment and packaged as part of the AIX installation filesets. The cryptographic hash values and the signatures are shipped as part of respective AIX installation images and stored in the TSD (`/etc/security/tsd/tsd.dat`) on the destination machine, in the following sample stanza format:

```
/usr/bin/ps:
  owner      = bin
  group      = system
  mode       = 555
  type       = FILE
  hardlinks  = /usr/sbin/ps
  symlinks   =
  size       = 1024
  cert_tag   = bbe21b795c550ab243
  signature  =
f7167eb9ba3b63478793c635fc991c7e9663365b2c238411d24c2a8a
  hash_value = c550ab2436792256b4846a8d0dc448fc45
  maxslabel  = SLSL
  intlabeled = SHTL
  accessauths = aix.mls.pdir, aix.mls.config
  innateprivs = PV_LEF
  proxyprivs  = PV_DAC
  authprivs   =
aix.security.cmds:PV_DAC,aix.ras.audit:PV_AU_ADMIN
  secflags    = FSF_EPS
```

owner

Owner of the file. The owner value is computed by the **trustchk** command when you add the file to the TSD.

group

Group of the file. This value is computed by the **trustchk** command.

mode

Comma-separated list of values. The values that are permitted are SUID set bit (SUID), SGID set bit (SGID), SVTX set bit (SVTX), and Trusted Computing Base (TCB). The file permissions must be the last value and can be specified as an octal value, for example, a file that is set with uid and has permission bits as `rwrx-rx-x`, the value for mode is `SUID, 755`. The value is computed by the **trustchk** command.

type

Type of the file. This value is computed by the **trustchk** command. The possible values are FILE, DIRECTORY, MPX_DEV, CHAR_DEV, BLK_DEV, and FIFO.

hardlinks

List of hardlinks to the file. This value cannot be computed by the **trustchk** command. The value must be supplied by the user when you add a file to the database.

symlinks

List of symbolic links to the file. This value cannot be computed by the **trustchk** command. The value must be supplied by the user when you add a file to the database.

size

Defines the size of the file. The VOLATILE value means that the file gets changed frequently.

cert_tag

The `cert_tag` field maps the digital signature of the file with the associated certificate that can be used to verify the signature of the file. The `cert_tag` field stores the certificate ID and is computed by the **trustchk** command at the time of addition of the file to the TSD. The certificates are stored in the `/etc/security/certificates` directory.

signature

Digital signature of the file. The VOLATILE value means that the file gets changed frequently. The signature field is computed by the **trustchk** command.

hash_value

Cryptographic hash of the file. The VOLATILE value means that the file gets changed frequently. The hash_value field is computed by the **trustchk** command.

innateprivs

Defines the innate privileges of the file.

proxyprivs

Defines the proxy privileges of the file.

authprivs

Defines the privileges that are assigned to the user after given authorizations.

secflags

Defines the file security flags that are associated with the object.

When you add a new entry to the TSD, if a trusted file has some symbolic links or hard links that points to the TSD, you can add the symbolic links or hard links to the TSD by using the **symlinks** and **hardlinks** attributes at the command line, along with the **trustchk** command. If the file that you added is expected to change frequently, use the VOLATILE keyword at the command line. The **trustchk** command does not calculate the hash_value and the signature fields when the **trustchk** command generates the file definition for addition into the TSD. The hash_value and signature fields are ignored during the integrity verification of this file.

Provide a private key in the ASN.1/DER format during addition of regular file definitions to the TSD. Specify the **-s** flag and digital certificate with the corresponding public key by using the **-v** flag of the **trustchk** command. The private key is used to generate the signature of the file and then discarded. It is up to the user to store this key securely. The certificate is stored into a certificate store in the /etc/security/certificates file for the signatures to be verified whenever you request integrity verification. It is not mandatory to supply the private key and certificate while adding such files to TSD as signature calculation is not possible for nonregular files like directory and device files.

You can supply the pre-computed file definition through a file by using the **-f** flag of the **trustchk** command to be added to the TSD. In this case, the **trustchk** command does not compute any of the values and stores the definitions into a TSD without any verification. The user is responsible for the sanity of the file definitions.

Supporting library verification

To support the library verification, the **tsd.dat** file is added to the /etc/security/tsd/lib/ directory. The name of the database is /etc/security/tsd/lib/lib.tsd.dat and is specifically for libraries that include the stanzas for the .o files of a corresponding trusted library. The stanza for every .o file of a library is in the format as specified in the following example.

For library **libc.a** if the **strcmp.o** file is one of the .o file type, the stanza for the **strcmp.o** file in the /etc/security/tsd/lib/lib.tsd.dat file is similar to the following example:

```
/usr/lib/libc.a/strcmp.o:
    Type = OBJ
    Size = 2345
    Hash value
    Signature =
    Cert_tag =
```

This database has the entries corresponding to the type, size, hash, cert tag, and signature of the .o file. The hash of the library is updated in the /etc/security/tsd/tsd.dat file for the corresponding stanza. The attribute values are dynamically generated during the build, and the values are moved into the /etc/security/tsd/lib/lib.tsd.dat database during installation.

In the /etc/security/tsd/tsd.dat file, the stanzas for the libraries are modified to reflect the type attribute as LIB and the size and signature attributes are empty. The values for the

dynamica attributes size, hash, signature are maintained as a VOLATILE value. Therefore, the library verification is skipped during the system boot. Starting from the AIX 6.1, the size, hash, and the signature of the trusted library stanzas are computed with the .o files of a library. During installation, the tsd.dat database is populated to reflect the computed values and the corresponding .o file stanza for a trusted library is stored in the /etc/security/tsd/lib/lib.tsd.dat database.

Starting from AIX 7.3 technology Level (TL) 4, the trusted execution (TE) policy CHKHSOBJJS is available to be enabled. The CHKHSOBJJS policy controls the runtime verification of shared objects. Enabling the CHKHSOBJJS policy performs the verification of the hash or signature fields for shared object entries from the lib.tsd.dat database for the corresponding shared library (lib<>.a). The CHKHSOBJJS policy and the CHKSHLIBS=ON policy must be set to **ON** to be effective.

Remote TE data base access

Centralized Trusted Signature Database (TSD) policies and Trusted Execution (TE) policies can be implemented in your system environment by storing them in LDAP.

The database that controls the TSD policies and TE policies are stored independently of each system. AIX The centralized TSD policies and TE policies are stored in LDAP so that they can be centrally managed. Using centralized TSD policies and TE policies allow you to verify that the policies in LDAP are the master copy, and that the policies can update the clients whenever the client is reinstalled, updated, or security is breached. Centralized TE policies allow one location to enforce the TE policies without needing to update each client separately. Centralized TSD policies are much easier to manage than TSD policies that are not centralized.

AIX Utilities can be used to export local TSD policies and TE policies data to LDAP, configure clients to use TSD policies and TE policies data in LDAP, control the lookup of TSD policies and TE policies data, and manage the LDAP data from a client system. The following sections provide more information about these features.

Exporting TSD policies and TE policies data to LDAP

To use LDAP as a centralized repository for TSD policies and TE policies, the LDAP server must be populated with the policy data.

The LDAP server must have the TSD policies and the TE policies schema for LDAP installed, before LDAP clients can use the server for policy data. The TSD policies and the TE policies schema for LDAP is available on an AIX system in the /etc/security/ldap/sec.ldif file. The schema for the LDAP server must be updated with this file by using the **ldapmodify** command.

To identify a version the TE databases on the LDAP server and make LDAP clients aware of the particular version, you must set the **databasename** attribute in the /etc/nscontrol.conf file. The **databasename** attribute takes any name as the value, and it is used by the **tetoldif** command while generating the ldif format.

Use the **tetoldif** command to read the data in the local TSD policies and TE policies files, and output the policies in a format that can be used for LDAP. The output generated by the **tetoldif** command can be saved to a file in ldif format, and then used to populate the LDAP server with the data with the **ldapadd** command. The following databases on the local system are used by the **tetoldif** command to generate the TSD policies and TE policies data for LDAP:

- /etc/security/tsd/tsd.dat
- /etc/security/tsd/tepolices.dat

LDAP client configuration for TSD policies and TE policies

A system must be configured as an LDAP client to use TSD policies and TE policies data stored in LDAP.

Use the AIX **/usr/sbin/mksecldap** command to configure a system as an LDAP client. The **mksecldap** command dynamically searches the specified LDAP server to determine the location of the TSD policies and TE policies data, and saves the results to the /etc/security/ldap/ldap.cfg file.

After successfully configuring the system as an LDAP client with the **mksecldap** command, the system must be further configured to enable LDAP as a lookup domain for TSD policies and TE policies data by configuring the secorder of the /etc/nscontrol.conf file.

Once the system has been configured as a LDAP client and as a lookup domain for TSD policies and TE policies data, the `/usr/sbin/secdapclntd` client daemon retrieves the TSD policies and TE policies data from the LDAP server whenever any `trustchk` commands are performed on the LDAP client.

Enabling LDAP with the trustchk command

All of the TSD policies and TE policies database management commands are enabled to use the LDAP TSD policies and TE policies database.

Use the `trustchk` command with the `-R` flag, to perform the initial setup of LDAP database. The initial setup involves the addition of TSD policies, TE policies, base DNs, and the creation of the local database `/etc/security/tsd/ldap/tsd.dat` file and `/etc/security/tsd/ldap/tepolices.dat` file.

If the `trustchk` command is run with the `-R` flag using the LDAP option, the operations are based on the LDAP server data. If the `trustchk` command is run with the `-R` flag using the files option, the operations are based on the local database data. The default for the `-R` flag is to use the files option.

Related information

[mksecdap command](#)

[trustchk command](#)

Auditing the integrity of Trusted Signature Database

The `trustchk` command can be used to audit the integrity state of the file definitions in the Trusted Signature Database (TSD) against the actual files.

If the `trustchk` command identifies an anomaly, then it can be made to automatically correct it or prompt the user before attempting correction. If anomalies like size, signature, cert_tag or hash_value mismatch, the correction is not possible. In such cases, the `trustchk` command would make the file inaccessible, thereby rendering it useless and containing any damage.

Following corrective actions shall be taken for different mismatching attributes:

owner

Owner of the file shall be reset to the value in TSD.

group

Group of the file shall be reset to the value in TSD.

mode

Mode bits of the file be reset to the value in TSD.

hardlinks

If the link points to some other file, it is modified to point to this file. If the link does not exist, a new link is created to point to this file.

symlinks

Same as hardlinks.

type

File is made inaccessible.

size

File is made inaccessible, except in case of **VOLATILE** file.

cert_tag

File is made inaccessible.

signature

File is made inaccessible, except in case of **VOLATILE** file.

hash_value

File is made inaccessible, except in case of **VOLATILE** file.

accessauths

The access authorizations are reset to the value in TSD.

innateprivs

The innate privileges are reset to the value in TSD.

inheritprivs

The inheritable privileges are reset to the value in TSD.

authprivs

The authorized privileges are reset to the value in TSD.

aecflags

The security flags are reset to the value in TSD.

You can also validate file definitions against an alternate database using the **-F** option. The system administrator should avoid storing the TSD on the same system and backup the database to some alternate location. This file integrity can be made to match against this backed up version of TSD using the **-F** option.

Security policies configuration

The trusted execution (TE) feature provides a run-time file integrity verification mechanism. By using run-time mechanism, you can configure the system to check the integrity of the trusted files before every request to access those files, effectively allowing only the trusted files that pass the integrity check to be accessed on the system.

When you mark a file as trusted by adding the file definition to the Trusted Signature Database (TSD), the TE feature monitors its integrity on every access. The TE can continuously monitor the system and can detect tampering of any trusted file by a malicious user or application that is present on the system at run time, for example, at load time. If the file is tampered, the TE takes corrective actions based on the pre-configured policies, such as disallow execution, access to the file, or logging error. If a file is opened or run and has an entry in the TSD, the TE performs the following actions:

- The component responsible for loading the file (system loader) starts the TE subsystem before you load the binary, and calculates the hash value by using the SHA-256 algorithm (configurable) to verify the integrity of the files. If the value of the **SIG_VER** policy is set to **ON**, a signature is used to verify the integrity of files instead of the run-time calculated hash value.
- The run-time calculated hash value or the signature is matched with the stored hash value or the signature in the TSD. If the hash value or the signature match, a permission is granted to open and run the file.
- If the hash value or the signature does not match, it indicates that either the binary is tampered, or somehow compromised. You can decide the next course of action when the hash value or the signature does not match. The TE mechanism provides options to configure their own policies for the actions to be taken if the hash values or the signature do not match.
- Based on the configured policies, a relevant action is taken.

You can configure the following policies:

CHKEXEC

Checks the hash value or the signature of only the trusted executable before you load them to the memory for execution.

CHKSHLIBS

Checks the hash value or the signature of only the trusted shared libraries before you load them to the memory for execution.

CHKSHOBS

Checks the integrity of shared objects (.o) files that belong to the `lib.tsd.dat` before you load the corresponding shared library (`lib<>.a`). Set the **CHKSHOBS** policy to **ON** along with the **CHKSHLIBS=ON** policy to be effective.

CHKSCRIPTS

Checks the hash value or the signature of only the trusted shell scripts before you load them to the memory.

CHKKERNEXT

Checks the hash value or the signature of only the kernel extension before you load them to the memory.

SIG_VER

Enables or disables the **Runtime Signature Verification** policy. If the **Runtime Signature Verification** policy and the **TE** policy are enabled, the signature is used to verify the integrity of files instead of the hash value.

Note: The **SIG_VER** policy is only applicable to the files that belong to AIX system software.

STOP_UNTRUSTD

Stops loading of files that are not trusted. Only the files that belong to the TSD are loaded. The **STOP_UNTRUSTD** policy works only with the **CHK*** policies that are mentioned earlier. For example, if **CHKEXEC=ON** and **STOP_UNTRUSTD=ON**, any executable binary that does not belong to the TSD is blocked from execution.

STOP_ON_CHKFAIL

Stops loading of trusted files that fail the hash value check or the signature check. The **STOP_ON_CHKFAIL** policy works with **CHK*** policies. For example, if **CHKSHLIBS=ON** and **STOP_ON_CHKFAIL=ON**, any shared library that does not belong to the TSD is blocked from being loaded into a memory for use.

TSD_LOCK

Locks the TSD. The TSD is not available for editing.

TSD_FILES_LOCK

Locks the trusted files and does not allow the opening of the trusted files in write mode.

TE

Enables or disables the TE functions. Only when TE function is enabled, all the configuration policies are in effect.

The interaction between the different **CHK*** policies and the **STOP*** policies when enabled are in the following table:

Policy	STOP_UNTRUSTD	STOP_ON_CHKFAIL
CHKEXEC	Stops loading of executable that do not belong to TSD.	Stops loading of executable whose hash values or signatures do not match the TSD values.
CHKSHLIBS	Stops loading of shared libraries that do not belong to TSD.	Stops loading of shared libraries whose hash values or signatures do not match the TSD values.
CHKSHOBS + CHKSHLIBS=ON	Stops loading of shared libraries that do not belong to TSD, or shared objects (.o) files of the shared libraries that do not belong to the lib.tsd.dat file.	Stops loading of shared libraries whose hash values or signatures do not match the TSD values, or each of the (.o) hash values or signatures do not match the lib.tsd.dat values.
CHKSCRIPTS	Stops loading of shell scripts that do not belong to TSD.	Stops loading of shell scripts whose hash values or signatures do not match the TSD values.
CHKKERNEXT	Stops loading of kernel extensions that do not belong to TSD.	Stops loading of kernel extensions whose hash values or signatures do not match the TSD values.

Note: You can enable or disable a policy anytime until the TE is turned on to bring the policies into effect. Disabling the policy that is in effect becomes effective only on the next boot cycle. All the information messages are logged in to the syslog server.

Related information

[TE_verify_reg kernel service](#)

[TE_verify_unreg Kernel Service](#)

Trusted Execution Path and Trusted Library Path

Trusted Execution Path (TEP) defines a list of directories that contain the trusted executables. Once TEP verification is enabled, the system loader allows only binaries in the specified paths to execute. Trusted Library Path (TLP) has the same functionality, except that it is used to define the directories that contain trusted libraries of the system.

Once TLP is enabled, the system loader allows only the libraries from this path to be linked to the binaries. The **trustchk** command can be used to enable or disable the TEP or TLP, as well as set the colon separated path list for both, using TEP and TLP command line attributes of the **trustchk** command.

Trusted Shell and Secure Attention Key

Trusted Shell and Secure Attention Key (SAK) perform similarly to the Trusted Computing Base (TCB), except that if Trusted Execution is enabled on the system instead of TCB, the Trusted Shell executes files belonging only to the Trusted Signature Database.

For more information about TCB and SAK, see [Trusted Computing Base, Using the Secure Attention Key, and Configuring the Secure Attention Key](#).

Trusted Execution (TE) policies Database

The Trusted Execution (TE) policies are stored in the **/etc/security/tsd/tepolicies.dat** file. The path for the TE policies are listed with the TLP directories and TEP directories.

Security Profile Evaluation Assurance Level 4+ and Labeled AIX Security and Evaluation Assurance Level 4+

System administrators can install a system with the Base AIX Security (BAS) and Evaluation Assurance Level 4+ (EAL4+) option or Labeled AIX Security (LAS) and Evaluation Assurance Level 4+ (EAL4+) during a base operating system (BOS) installation. A system with these options has restrictions on the software that is installed during BOS installation, plus network access is restricted.

Note: Evaluations are currently ongoing for AIX Version 7.1. Please refer to the AIX Version 7.1 release notes for the latest information.

Security profile overview

Security profile is a product that specifies security requirements for general-purpose operating systems in networked environments. This profile establishes the requirements necessary to achieve the security objectives of the Target of evaluation (TOE) security function and its environment.

Security profile contains a base package and several extended packages. Products that are related to Security profile base package support are Identification and Authentication, Discretionary Access Control (DAC), Auditing, Cryptographic Services, Management of Security Mechanisms, and Trusted Channel communications. Security profile includes additional, optional packages for Labeled Security, Integrity Verification, Advanced Audit, General Purpose Cryptography, Advanced Management, Extended Identification and Authentication, Trusted Boot, and Virtualization.

Assumptions

- Environment to use for the TOE:

All assumptions in the section refer to Base AIX Security (BAS mode) and Labeled AIX Security (LAS mode) unless otherwise stated. All assumptions related to Virtual input output server (VIOS) are explicitly marked as VIOS only. VIOS does not share assumptions with the AIX operating system.

- Physical:

The IT environment provides the TOE with appropriate physical security that is commensurate with the value of the IT assets protected by the TOE.

Note: VIOS only: The operational environment provides the TOE with appropriate physical security that is commensurate with the value of the IT assets protected by the TOE.

- Administration:
 - The TOE security function is managed by one or more competent individuals. The system administrative personnel are not careless, willfully negligent, or hostile, and they abide by the instructions provided by the guidance documentation.
 - Authorized users can access some information managed by the TOE and are expected to act in a cooperating manner.
 - Users are sufficiently trained and trusted to accomplish some task or group of tasks within a secure IT environment. They must exercise complete control over their user data.
 - VIOS only: The TOE security function is managed by one or more competent individuals. The system administrative personnel are not careless, willfully negligent, or hostile, and they abide by the instructions provided by the guidance documentation.
 - VIOS only: Authorized users possess the necessary authorization to access at least some of the information managed by the TOE and are expected to act in a cooperating manner.
 - VIOS only: Users are sufficiently trained and trusted to accomplish some task or group of tasks within a secure operational environment. They must exercise complete control over their user data.
- Procedural:
 - Any modification or corruption of security-enforcing or security-relevant files of the TOE that the user, or the underlying platform caused either intentionally or accidentally must be detected by an administrative user.
 - All remote trusted IT systems that are trusted by the Target Security Function (TSF) to provide TSF data or services to the TOE, or to support the TSF in the enforcement of security policy decisions, are assumed to be under the same management control and operate under security policy constraints that are compatible with the security policy of the TOE.
 - All remote trusted IT systems that are trusted by the TSF to provide TSF data or services to the TOE, or to support the TSF in the enforcement of security policy decisions, are assumed to correctly implement the functions that are used by the TSF consistent with the assumptions defined for this function.
 - The integrity of the following information is ensured:
 - All TSF code, including the integrity verification function that is loaded and run before starting the integrity verification mechanism
 - All TSF data, including TSF data to perform integrity verification that is used by the TSF code loaded and run before starting the integrity verification mechanism
 - VIOS only: Any modification or corruption of security-enforcing or security-relevant files of the TOE that the user, or the underlying platform caused either intentionally or accidentally must be detected by an administrative user.
- Connectivity: All connections to and from remote trusted IT systems and between physically-separate parts of the TSF not protected by the TSF itself are physically or logically protected within the TOE environment to ensure the integrity and confidentiality of the data transmitted and to ensure the authenticity of the communication end points.

Obtaining the software

To obtain the software, complete the following steps:

1. Download the product.
2. Click on Help from the Entitled software support menu on the left pane. The Common Criteria evaluated configuration requires the product and any updates to be obtained on physical media or using download director.

For information on installing the product, see [Installing a BAS /EAL4+ system](#).

Installing a BAS /EAL4+ system

RBAC is automatically enabled when this option is selected.

To set the BAS/EAL4+ option during a BOS installation, do the following:

1. In the Installation and Settings screen, select **More Options**.
2. Under More Options, select **Yes** for the BAS/EAL4+ option, and if you are using WPAR, select **No** for the TCB option. If you are using a customized `bosinst.data` file for a nonprompted installation, the TCB option can be set to **Yes**.

Disable remote root login for a BAS installation. To disable remote root login, run the following command after installation:

```
/usr/bin/chuser rlogin=false subgroups=SUADMIN root
```

Add administrative users to the **SUADMIN** group so they can **su** to root.

The **Enable BAS and EAL4+ Technology** option is available only under the following conditions:

- The installation method is set to new and complete overwrite installation.
- The English language is selected.
- The 64-bit kernel is enabled.
- The enhanced journaled file system (JFS2) is enabled.

When the **Enable BAS and EAL4+ Technology** option is set to Yes, the **Trusted Computing Base** option is also set to Yes, and the only valid **Desktop** choices are NONE or CDE.

If you are performing a non-prompted installation using a customized `bosinst.data` file, the **INSTALL_TYPE** field must be set to `CC_EVAL` and the following fields must be set as follows:

```
control_flow:
  CONSOLE = ???
  PROMPT = yes
  INSTALL_TYPE = CC_EVAL
  INSTALL_METHOD = overwrite
  TCB = yes
  DESKTOP = NONE or CDE
  ENABLE_64BIT_KERNEL = yes
  CREATE_JFS2_FS = yes
  ALL_DEVICES_KERNELS = no
  HTTP_SERVER_BUNDLE = no
  KERBEROS_5_BUNDLE = no
  SERVER_BUNDLE = no
  ALT_DISK_INSTALL_BUNDLE = no

locale:
  CULTURAL_CONVENTION = en_US or C
  MESSAGES = en_US or C
```

For more information about RBAC, see [Role Based Access Control \(RBAC\)](#).

Network Installation Management environment for BAS/EAL4+

Installation of BAS/EAL4+ technology clients can be performed using the Network Installation Management (NIM) environment.

The NIM master is configured to provide the resources needed to install the appropriate BAS/EAL4+ level of AIX 7.1. NIM clients may then be installed using the resources located on the NIM master. You can perform a non-prompted NIM installation of the client by setting the following fields in the **bosinst_data** resource:

```
control_flow:
  CONSOLE = ???
  PROMPT = no
  INSTALL_TYPE = CC_EVAL
  INSTALL_METHOD = overwrite
  TCB = yes
  DESKTOP = NONE or CDE
  ENABLE_64BIT_KERNEL = yes
  CREATE_JFS2_FS = yes
```

```
ALL_DEVICES_KERNELS = no
HTTP_SERVER_BUNDLE = no
KERBEROS_5_BUNDLE = no
SERVER_BUNDLE = no
ALT_DISK_INSTALL_BUNDLE = no

locale:
  CULTURAL_CONVENTION = en_US or C
  MESSAGES = en_US or C
```

The NIM master cannot be configured as a BAS/EAL4+ system and cannot be connected to the same network with other BAS/EAL4+ systems. When initiating the installation from the NIM master, the **Remain NIM client after install SMIT** menu option must be set to No. After a NIM client is installed as a BAS/EAL4+ system, the NIM client must be removed from the NIM master's network, and additional software installations and updates cannot be performed using the NIM master.

An example situation is to have two network environments; the first network consists of the NIM master and the non-BAS/EAL4+ systems; the second network consists only of BAS/EAL4+ systems. Perform the NIM installation on the NIM client. After the installation has completed, disconnect the newly installed BAS/EAL4+ system from the NIM master's network and connect the system to the evaluated network.

A second example consists of one network. The NIM master is not connected to the network when other systems are operating in the evaluated configuration, and BAS/EAL4+ systems are not connected to the network during NIM installation.

BAS/EAL4+ software bundle

When the **BAS/EAL4+** option is selected, the contents of the `/usr/sys/inst.data/sys_bundles/CC_EVAL.BOS.autoi` installation bundle are installed.

You can optionally select to install the graphics software bundle and the documentation services software bundle with the **BAS/EAL4+** option selected. If you select the **Graphics Software** option with the **BAS/EAL4+** option, the contents of the `/usr/sys/inst.data/sys_bundles/CC_EVAL.Graphics.bnd` software bundle are installed. If you select the Documentation Services Software option with the **BAS/EAL4+** option, the contents of the `/usr/sys/inst.data/sys_bundles/CC_EVAL.DocServices.bnd` software bundle are installed.

After the Licensed Program Products (LPPs) is installed, the system changes the default configuration to comply with the BAS/EAL4+ requirements. The following changes are made to the default configuration:

- Remove `/dev/echo` from the `/etc/pse.conf` file.
- Instantiate streams devices.
- Allow only root to access removable media.
- Remove non-CC entries from the `inetd.conf` file.
- Change various file permissions.
- Register symbolic links in the `sysck.cfg` file.
- Register devices in the `sysck.cfg` file.
- Set default user and port attributes.
- Configure the `doc_search` application for browser use.
- Remove `httpdlite` from the `inittab` file.
- Remove `writesrv` from the `inittab` file.
- Remove `mkatmpvc` from the `inittab` file.
- Remove `atmsvcd` from the `inittab` file.
- Disable `snmpd` in the `/etc/rc.tcpip` file.
- Disable `hostmibd` in the `/etc/rc.tcpip` file.
- Disable `snmpmibd` in the `/etc/rc.tcpip` file.
- Disable `aixmibd` in the `/etc/rc.tcpip` file.
- Disable `muxatmd` in the `/etc/rc.tcpip` file.

- NFS port (2049) is a privileged port.
- Add missing events to the `/etc/security/audit/events` file.
- Ensure that the loopback interface is running.
- Create synonyms for `/dev/console`.
- Enforce default X-server connection permissions.
- Change the `/var/docsearch` directory so that all files are world-readable.
- Add Object Data Manager (ODM) stanzas to set the console permissions.
- Set permissions on BSD-style ptys to 000.
- Disable `.netrc` files.
- Add patch directory processing.

Graphical user interface

The BAS/EAL4+ compliant system includes the X Windows System as a graphical user interface.

X Windows provides a mechanism for displaying graphical clients, such as clocks, calculators, and other graphical applications, as well as multiple terminal sessions using the `aixterm` command. The X Windows System is started with the `xinit` command from the initial command line after a user has logged in at the host's console.

To start an X Windows session, type:

```
xinit
```

This command starts the X Windows server with local access mechanisms enabled for the invoker only. X Windows clients that are set-UID to root will be able to access the X Windows server via the UNIX domain socket using the root override on the access restrictions. X Windows clients that are set-UID to other users or that are started by other users will not be able to access the X Windows server. This restriction prevents other users of a host from gaining unauthorized access to the X Windows server.

Installing a LAS/EAL4+ system

RBAC is automatically enabled when this option is selected.

To set the LAS/EAL4+ option during a BOS installation, do the following:

The installation options are available by typing 3 to change the **Security Model** and typing 4 to view the **More Options** field in the **Installation and Settings** window. These options vary based on installation type (overwrite, preservation, or migration) and security options. For LAS, the installation method is new or complete overwrite. Choose **LAS/EAL4+ configuration install**.

For more information about RBAC, see [Role Based Access Control \(RBAC\)](#).

Network Installation Management environment for the LAS/EAL4+

Installation of LAS/EAL4+ technology clients can be performed using the Network Installation Management (NIM) environment.

The NIM master is configured to provide the resources needed to install the appropriate LAS/EAL4+ level of AIX 7.1. NIM clients may then be installed using the resources located on the NIM master. You can perform a non-prompted NIM installation of the client by setting the following fields in the `bosinst_data` resource:

```
control_flow:
  CONSOLE = ???
  PROMPT = no
  INSTALL_TYPE =
  INSTALL_METHOD = overwrite
  TCB = yes
  DESKTOP = NONE
  ENABLE_64BIT_KERNEL = yes
  CREATE_JFS2_FS = yes
  ALL_DEVICES_KERNELS = no
  HTTP_SERVER_BUNDLE = no
```

```
KERBEROS_5_BUNDLE = no
SERVER_BUNDLE = no
ALT_DISK_INSTALL_BUNDLE = no

locale:
  CULTURAL_CONVENTION = en_US or C
  MESSAGES = en_US or C
```

The NIM master cannot be configured as a LAS/EAL4+ system and cannot be connected to the same network with other LAS/EAL4+ systems. When initiating the installation from the NIM master, the **Remain NIM client after install SMIT** menu option must be set to No. After a NIM client is installed as a LAS/EAL4+ system, the NIM client must be removed from the NIM master's network, and additional software installations and updates cannot be performed using the NIM master.

An example situation is to have two network environments; the first network consists of the NIM master and the non-LAS/EAL4+ systems; the second network consists only of LAS/EAL4+ systems. Perform the NIM installation on the NIM client. After the installation has completed, disconnect the newly installed LAS/EAL4+ system from the NIM master's network and connect the system to the evaluated network.

A second example consists of one network. The NIM master is not connected to the network when other systems are operating in the evaluated configuration, and LAS/EAL4+ systems are not connected to the network during NIM installation.

BAS/EAL4+ and LAS/EAL4+ systems physical environment

The BAS/EAL4+ and LAS/EAL4+ systems have specific requirements for the environment in which they are run.

The requirements are as follows:

- Physical access to the systems must be restricted so that only authorized administrators can use the system consoles.
- The Service Processor is not connected to a modem.
- Physical access to the terminals is restricted to authorized users.
- The physical network is secure against eavesdropping and spoofing programs (also called Trojan horse programs). When communicating over insecure lines, additional security measures, such as encryption, are needed.
- Communication with other systems that are not AIX 7.1 BAS/EAL4+ or LAS/EAL4+ systems, or are not under the same management control, is not permitted.
- Only IPv4 is to be used when communicating with other BAS/EAL4+ and LAS/EAL4+ systems. IPv6 is included in the evaluated configuration, but only the functional capabilities of IPv6 that are also supported by IPv4 are included.
- Users must not be allowed to change the system time.
- Systems in an LPAR environment cannot share PHBs.

BAS/EAL4+ and LAS/EAL4+ systems organizational environment

Certain procedural and organizational requirements must be met for a BAS/EAL4+ and LAS/EAL4+ systems.

The following requirements must be met:

- Administrators must be trustworthy and well trained.
- Only users authorized to work with the information on the systems are granted user IDs on the system.
- Users must use high-quality passwords (as random as possible and not affiliated with the user or the organization). For information about setting up password rules, see [“Passwords” on page 63](#).
- Users must not disclose their passwords to others.
- Administrators must have sufficient knowledge to manage security critical systems.
- Administrators must work in accordance with the guidance provided by the system documentation.

- Administrators must log in with their personal ID and use the **su** command to switch to superuser mode for administration.
- Passwords generated for system users by administrators must be transmitted securely to the users.
- Those who are responsible for the system must establish and implement the necessary procedures for the secure operation of the systems.
- Administrators must ensure that the access to security-critical system resources is protected by appropriate settings of permission bits and ACLs.
- The physical network must be approved by the organization to carry the most sensitive data held by the systems.
- Maintenance procedures must include regular diagnostics of the systems.
- Administrators must have procedures in place that ensure a secure operation and recovery after a system failure.
- The *LIBPATH* environment variable should not be changed, because this might result in a trusted process loading an untrusted library.
- Wiretapping and trace software (tcpdump, trace) must not be used on an operational system.
- Anonymous protocols such as HTTP may only be used for public information (for example, the online documentation).
- Only TCP-based NFS can be used.
- Access to removable media is not to be given to users. The device files are to be protected by appropriate permission bits or ACLs.
- Administrators must not use dynamic partitioning to allocate and deallocate resources. Partition configuration may only be performed while no partitions at all are running.

BAS/EAL4+ and LAS/EAL4+ system operational environment

Certain operational requirements and procedures must be met for a BAS/EAL4+ and LAS/EAL4+ system.

The following requirements and procedures must be met:

- If using a Hardware Management Console (HMC), the HMC is located in a physically controlled environment.
- Only authorized personnel can access to the operational environment and the HMC.
- If using an HMC, the HMC can only be used for the following tasks:
 - Initial configuration of the partitions. A partition cannot be active during the configuration process.
 - Restarting of "hanging" partitions
- The HMC must not be used throughout operation of the configured system.
- The system's "call home" feature must be disabled.
- Remote modem access to the system must be disabled.
- If AIX runs in an LPAR-enabled environment, the administrator should check with the LPAR documentation for requirements on the EAL4+ operation of logical partitions.
- The service authority feature must be disabled on logical partitions.

BAS/EAL4+ system configuration

You can configure the Base AIX Security (BAS) and Evaluation Assurance Level 4+ (EAL4+) system.

The **system**, **sys**, **adm**, **uucp**, **mail**, **security**, **cron**, **printq**, **audit** and **shutdown** groups are considered administrative groups. Only trusted users should be added to this group.

Administration

Administrators must log in with their personal user account and use the **su** command to become the root user for the administration of the system.

To effectively prevent guessing the root account's password, allow only authorized administrators to use the **su** command on the root account. To ensure this, do the following:

1. Add an entry to the **root** stanza of the `/etc/security/user` file as follows:

```
root:
    admin = true
    .
    .
    .
    sugroups = SUADMIN
```

2. Define group in the `/etc/group` file containing only the user IDs of authorized administrators as follows:

```
system::0:root,paul
staff::1:invscout,julie
bin::2:root,bin
.
.
.
SUADMIN::13:paul
```

Administrators must also adhere to the following procedures:

- Establish and implement procedures to ensure that the hardware, software and firmware components that comprise the distributed system are distributed, installed, and configured in a secure manner.
- Ensure that the system is configured so that only an administrator can introduce new trusted software into the system.
- Implement procedures to ensure that users clear the screen before logging off from serial login devices (for example, IBM® 3151 terminals).

User and port configuration

AIX configuration options for users and ports must be set to satisfy the requirements of the evaluation. The actual requirement is that the TSF provides a mechanism of correctly guessing a password that meets the metric quality. The probability of correctly guessing a password that can be obtained from an attacker during the life time of the password must be less than 2^{-20} .

The `/etc/security/user` file shown in the following example uses the `/usr/share/dict/words` dictionary list. The `/usr/share/dict/words` file is contained in the `bos.data` fileset. You must install the `bos.data` fileset prior to configuring the `/etc/security/user` file. The recommended values for the `/etc/security/user` file are the following:

```
default:
    admin = false
    login = true
    su = true
    daemon = true
    rlogin = true
    sugroups = ALL
    admgroups =
    ttys = ALL
    auth1 = SYSTEM
    auth2 = NONE
    tpath = nosak
    umask = 077
    expires = 0
    SYSTEM = "compat"
    logintimes =
    pldwarntime = 5
    account_locked = false
    loginretries = 3
    histexpire = 52
    histsize = 20
    minage = 0
    maxage = 8
```

```

maxexpired = 1
minalpha = 2
minother = 2
minlen = 8
mindiff = 4
maxrepeats = 2
dictionlist = /usr/share/dict/words
pwdchecks =
dce_export = false

root:
  rlogin = false
  login = false

```

The default settings in the `/etc/security/user` file should not be overwritten by specific settings for single users.

Note: Setting `login = false` in the root stanza prevents direct root login. Only user accounts that have **su** privileges for the root account will be able to log in as the root account. If a Denial of Service attack is launched against the system that sends incorrect passwords to the user accounts, it could lock all the user accounts. This attack might prevent any user (including administrative users) from logging into the system. Once a user's account is locked, the user will not be able to log in until the system administrator resets the user's `unsuccessful_login_count` attribute in the `/etc/security/lastlog` file to be less than the value of the `loginretries` user attribute. If all the administrative accounts become locked, you might need to reboot the system into maintenance mode and run the **chsec** command. For more information about using the **chsec** command, see [“User account control” on page 51](#).

The suggested values for the `/etc/security/login.cfg` file are the following:

```

default:
  sak_enabled = false
  logintimes =
  logindisable = 4
  logininterval = 60
  loginreenable = 30
  logindelay = 5

```

List of setuid/setgid programs

A list of trusted applications is created for BAS-enabled AIX systems.

The **suid/sgid** bits are turned off for all non-trusted programs that are owned by root or a trusted group. The only programs on the system after a BAS install that are either **suid** and owned by root or **sgid** and owned by one of these trusted groups are **system**, **sys**, **adm**, **uucp**, **mail**, **security**, **cron**, **printq**, **audit**, and **shutdown**. Only add trusted users to these groups.

The list of trusted applications is created by considering all applications that fall into at least one of the following categories:

- SUID root bit for the corresponding application is enabled
- SGID bit to one of the trusted groups is enabled
- Applications that access any of the trusted databases according to the administrator guidance document

Note: The **setuid** bit for the **ipcs** command should be removed by the system administrator. The system administrator should run the **chmod u-s /usr/bin/ipcs** and **chmod u-s /usr/bin/ipcs64** commands.

Changing the audit filesystem

RBAC is automatically enabled when this option is selected.

The `/audit` filesystem is a `jfs` filesystem. It must be changed to a `jfs2` filesystem. In addition, BAS systems require additional commands. To make the changes to the filesystem, complete these steps:

1. Change the filesystem for BAS systems, enter the command:

```
audit shutdown
lsvg -l rootvg
```

For LAS systems, go to step 3.

2. If the TYPE field contains a question mark (?) symbol, enter the command:

```
syncldvdm -v rootvg
```

3. Remove the jfs filesystem and create a jfs2 filesystem by entering the command:

```
umount/audit
rmfs /audit
crfs -v jfs2 -m /audit -g rootvg -A yes -p rw -a size=100M
```

Updating the trusted signature database (TSD)

this section describes the procedure to update the TSD.

The BAS/LAS configuration changes the system mode bits, TSD integrity errors occurs.

During system reboot, select the **Ignore All** option.

To update the TSD, enter the command:

```
trustchk -u ALL mode
```

Using a LAS system

This section provides guidelines for using the LAS system.

Set the automatic reboot option to **false** after the system is installed as **isso**, by entering the command:

```
chdev -l sys0 -a autorestart=false
```

If TSD continues to generate `intlabeled` errors, delete the errors using **isso** with **PV_ROOT** privilege, by entering the commands:

```
cp /etc/security/tsd/tsd.dat /etc/security/tsd/tsd.dat.org
trustchk -q /usr/sbin/format /usr/sbin/fdformat /usr/sbin/mount /usr/sbin/unmount \
/usr/sbin/umount /usr/sbin/tsm /usr/sbin/getty /usr/sbin/login /usr/sbin/mkvg \
/usr/sbin/extendvg /usr/bin/w /usr/bin/uptime >/tmp/list.dat
grep -p SLTL /tmp/list.dat |sed 's/SLTL/SHTL/' >/tmp/new.dat
trustchk -w -a -f /tmp/new.dat
trustchk -y ALL
```

If error messages related to audit are displayed on the console, with **isso** privilege restart the audit system by entering the commands:

```
# audit shutdown
# audit start
```

After three failed login attempts, the **isso/so** login is blocked by the network. However, the administrator can continue to access these accounts on the local console.

The output of commands executed by `cron/at` are not forwarded to the mail spool of the user.

World-writable directories which have label ranges (for example: `/tmp`) are not partitioned. To prevent the possibility of information flowing between labels, the administrator must partition these directories immediately after the initial configuration.

Updating WPAR

This section describes the procedure for making the workload partitions (WPAR) for AIX compliant to EAL4+.

Create the WPAR on a BAS system, and run the following command in WPAR to make it EAL4+ compliant:

```
/usr/lib/security/CC_EVALify.sh
```

When you run `clogin` on a LAS system for the first time, the firstboot scripts run (that includes `CC_EVALify.sh`).

The firstboot scripts cause `clogin` to run longer than usual when `clogin` calls TSM to login. However WPAR is still in configuration mode, so the login is denied. You must wait approximately for 10 minutes for WPAR to complete the configuration before attempting another `clogin`. For newly created WPAR systems, the default user options must be set to meet the evaluation requirements that includes:

- `root` in BAS mode
- `isso/sa/so` in LAS mode

The `root` and `isso` users have no password or require weak passwords. The passwords must be updated before allowing untrusted users access to the global environment or the respective WPAR.

The evaluation password requirement is that the probability of correctly guessing a password must be at least one in 1,000,000, and the probability of correctly guessing a password during repeated attempts within one minute must be at least one in 100,000. To comply with the requirement, the user parameters in `/etc/security/user` file is changed to:

```
default:
maxage      = 8
maxexpired  = 1
minother    = 2
minlen      = 8
maxrepeats  = 2
loginretries = 3
histexpire  = 52
histsize    = 20
```

Updating EFS

This section describes the procedure to set the security attributes of the EFS that was evaluated as a cryptographic file system.

The evaluation does not include the aspects of root guard mode against the full access to `root`. On enabling EFS, set the security attributes for the **efsmgr** and **egskeymgr** commands by running the command:

```
setsecattr -c accessauths=ALLOW_ALL
innateprivs=PV_DEV_QUERY,PV_DEV_CONFIG,PV_AU_ADD,PV_DAC_R,PV_DAC_W,PV_DAC_X /usr/sbin/efsmgr

setsecattr -c accessauths=ALLOW_ALL
innateprivs=PV_DEV_QUERY,PV_DEV_CONFIG,PV_AU_ADD,PV_DAC_R,PV_DAC_W,PV_DAC_X /usr/sbin/efskeymgr

setkst -t cmd
```

Hard disk erasure

AIX permits hdisks to be erased using the **Format media** service aid in the AIX diagnostic package. The diagnostic package is fully documented in the *Diagnostic Information for Multiple Bus Systems* book, and in your hardware user's guide.

To erase a hard disk, run the following command:

```
diag -T "format"
```

This command starts the **Format media** service aid in a menu driven interface. If prompted, select your terminal.

A resource selection list is displayed. Select the hdisk devices you want to erase from this list and commit your changes according to the instructions on the screen.

After committing your selections, select **Erase Disk** from the menu. You are then asked to confirm your selection. Choose **Yes**.

You are then asked if you want to **Read data from drive** or **Write patterns to drive**. Select **Write patterns to drive**.

You then have the opportunity to modify the disk erasure options. After you specify the options you prefer, select **Commit Your Changes**. The disk is erased.

Note: It can take a long time for this process to complete.

Resource limits

When you set resource limits in the `/etc/security/limits` file, make sure that the limits correspond to the needs of the processes on the system.

In particular, never set the stack size to `unlimited`. An unlimited stack might overwrite other segments of the running process. The `stack_hard` size must also be limited.

Audit subsystem

There are several procedures to help protect the audit subsystem.

- Configure the audit subsystem to record all the relevant security activities of the users. To ensure that the file space needed for auditing is available and is not impaired by other consumers of file system space, set up a dedicated file system for audit data.
- Protect audit records (such as audit trails, bin files, and all other data stored in `/audit`) from non-root users.
- For the BAS/EAL4+ system, **bin** mode auditing must be set up when the audit subsystem is used. For information about how to set up the audit subsystem, refer to [“Setting up auditing” on page 146](#).
- At least 20 percent of the available disk space in a system should be dedicated to the audit trail.
- If auditing is enabled, the `binmode` parameter in the start stanza in the `/etc/security/audit/config` file should be set to `panic`. The `freespace` parameter in the bin stanza should be configured at minimum to a value that equals 25 percent of the disk space dedicated to the storage of the audit trails. The `bytethreshold` and `binsize` parameters should each be set to 65 536 bytes.
- Copy audit records from the system to permanent storage for archival.

Nonshared files in the distributed system

The following files in the `/etc/security` directory are not to be shared in the distributed system, but are to remain host-specific:

`/etc/security/failedlogin`

Log file for failed logins per host

`/etc/security/lastlog`

Per-user information about the last successful and unsuccessful logins on this host

`/etc/security/login.cfg`

Host-specific login characteristics for trusted path, login shells, and other login-related information

`/etc/security/portlog`

Per-port information for locked ports on this host

The automatically generated backup files of the shared files are also nonshared. Backup files have the same name as the original file, but have a lowercase letter `o` prepended.

Using the DACinet feature for user-based and port-based network access control

The DACinet feature can be used to restrict the access of users to TCP ports.

For more information about DACinet, see [“User based TCP port access control with discretionary access control for internet ports” on page 224](#). For example, when using DACinet to restrict access to port TCP/25 inbound to root only with the DACinet feature, only root users from BAS/EAL4+ compliant hosts

can access this port. This situation limits the possibility of regular users spoofing email by using telnet to connect to port TCP/25 on the victim.

To activate the ACLs for TCP connections at boot time, the `/etc/rc.d/acinet` script is run from `/etc/inittab`. It will read the definitions in the `/etc/security/acl` file and load ACLs into the kernel. Ports which should not be protected by ACLs should be listed in the `/etc/security/services` file, which uses the same format as the `/etc/services` file.

Assuming a subnet of 10.1.1.0/24 for all the connected systems, the ACL entries to restrict access to the root user only for X (TCP/6000) in the `/etc/security/acl` file would be as follows:

```
6000    10.1.1.0/24 u:root
```

Installing additional software on a BAS/EAL4+ compliant system

The administrator can install additional software on the BAS/EAL4+ compliant system. If the software is not run by the root user or with root-user privileges, this will not invalidate the BAS/EAL4+ compliance. Typical examples include office applications that are run only by regular users and have no SUID components.

Additionally, installed software that runs with root-user privileges invalidates the BAS/EAL4+ compliance. This means, for example, drivers for the older JFS should not be installed, as they are running in kernel mode. Any applications granted with one or more privileges through the `/etc/security/privcmds` is not acceptable. Additional daemons that are run as root (for example, an SNMP daemon) also invalidates the BAS/EAL4+ compliance. A BAS/EAL4+ enabled system cannot be upgraded (normally).

A BAS/EAL4+ compliant system is rarely used in the evaluated configuration, especially in a commercial environment. Typically, additional services are needed, so that the production system is based on an evaluated system, but does not comply with the exact specification of the evaluated system.

NSF v4 Access Control Lists and contents policy

An NFS v4 Access Control List (ACL) contains the **Type**, **Mask**, and **Flags** fields.

The following is a description of these fields:

- The **Type** field contains one of the following values:
 - ALLOW – Grants the subject, specified in the **Who** field, the permission(s) specified in the **Mask** field.
 - DENY – Denies the subject, specified in the **Who** field, the permission(s) specified in the **Mask** field.
- The Mask field contains one or more of the following fine grained permission values:
 - READ_DATA / LIST_DIRECTORY – Read the data from a non-directory object or list the objects in a directory.
 - WRITE_DATA / ADD_FILE – Write data into a non-directory object or add a non-directory object to a directory.
 - APPEND_DATA / ADD_SUBDIRECTORY – Append data into a non-directory object or add a subdirectory to a directory.
 - READ_NAMED_ATTRS – Read the named attributes of an object.
 - WRITE_NAMED_ATTRS – Write the named attributes of an object.
 - EXECUTE – Execute a file or traverse/search a directory.
 - DELETE_CHILD – Delete a file or directory within a directory.
 - READ_ATTRIBUTES – Read the basic (non-ACL) attributes of a file.
 - WRITE_ATTRIBUTES – Change the times associated with a file or directory.
 - DELETE – Delete a file or directory.
 - READ_ACL – Read the ACL.
 - WRITE_ACL – Write the ACL.
 - WRITE_OWNER – Change the owner and group.

- SYNCHRONIZE – Synchronize access (exists for compatibility with other NFS v4 clients, but has no implemented function).
- **Flags** field – This field defines the inheritance capabilities of directory ACLs and indicates whether the **Who** field contains a group or not. This field contains zero or more of the following flags:
 - **FILE_INHERIT** – Specifies that, in this directory, newly created non-directory objects inherit this entry.
 - **DIRECTORY_INHERIT** – Specifies that, in this directory, newly created subdirectories inherit this entry.
 - **NO_PROPAGATE_INHERIT** – Specifies that, in this directory, newly created subdirectories inherit this entry, but these subdirectories do not pass this entry to their newly created subdirectories.
 - **INHERIT_ONLY** – Specifies that this entry does not apply to this directory, only to the newly created objects that inherit this entry.
 - **IDENTIFIER_GROUP** – Specifies that the **Who** field represents a group; otherwise, the **Who** field represents a user or a special **Who** value.
- **Who** field – This field contains one of the following values:
 - User – Specifies the user to whom this entry applies.
 - Group – Specifies the group to which this entry applies.
 - Special – This attribute can be one of the following values:
 - OWNER@ – Specifies that this entry applies to the owner of the object.
 - GROUP@ – Specifies that this entry applies to the owning group of the object.
 - EVERYONE@ – Specifies that this entry applies to all users of the system including the owner and group.

If the ACL is empty, only a subject with an effective UID of 0 can access the object. The owner of an object implicitly has the following mask values regardless of what the ACL might or might not contain:

- READ_ACL
- WRITE_ACL
- READ_ATTRIBUTES
- WRITE_ATTRIBUTES

The APPEND_DATA value is implemented as WRITE_DATA . Effectively, there's no functional distinction between the WRITE_DATA value and the APPEND_DATA value. Both values must be set or unset in unison.

Object ownership can be modified through the use of the WRITE_OWNER value. When the owner or group is changed, the **setuid** bit is turned off. The inheritance flags only have meaning in a directory's ACL and only apply to objects that are created in the directory after the inheritance flags have been set (for example, existing objects are not affected by inheritance changes to the parent directory's ACL). The entries in an NFS v4 ACL are order dependent. To determine if the requested access is allowed, each entry is processed in order. Only entries that have the following values are considered:

- A **Who** field that matches the effective UID
- A user that is specified in the entry or effective GID
- A group that is specified in the entry of the subject

Each entry is processed until all of the bits of the requester's access have been ALLOWED. After an access type has been ALLOWED by an entry, it is no longer considered in the processing of later entries. If a DENY entry is encountered where the requester's access for that mask value is necessary and undetermined, the request is denied. If the evaluation reaches the end of the ACL, the request is denied.

The maximum supported ACL size is 64 KB. Each entry in an ACL is of variable length and 64 KB is the only limit on an entry.

The WRITE OWNER value

The NFS v4 policy provides control over who can read and write the attributes of an object.

A subject with an effective UID 0 can always override the NFS v4 policy. The object owner can allow others to read and write the attributes of an object using the READ_ATTRIBUTES, WRITE_ATTRIBUTES, READ_NAMED_ATTRS, and WRITE_NAME_ATTRS attributes of the ACL mask. The owner can control who can read and write the ACL using the READ_ACL and WRITE_ACL values of the ACL mask. The object owner always has READ_ATTRIBUTES, WRITE_ATTRIBUTES, READ_ACL, and WRITE_ACL access. The object owner can also allow others to change the owner and group of the object using the WRITE_OWNER attribute. An object owner cannot change the owner or group of the object by default, but the object owner can add a WRITE_OWNER entry to the ACL specifying themselves, or the object can inherit an ACL entry that specifies a WRITE_OWNER entry with a **Who** value of OWNER@. When the owner or group is changed, the **setuid** bit is turned off.

The following are some exceptions to the rules:

- If the object is owned by UID 0, only UID 0 can change the owner, but the group can still be changed by a subject with the WRITE_OWNER attribute.
- Assuming the object has the WRITE_OWNER attribute for the subject, in versions of AIX 5.3 prior to Technology Level 5300-05, if the object has a non-UID 0 owner, the owner can only be changed to another non-UID 0 user. In AIX with 5300-05 and later, if the object has a non-UID 0 owner, the owner can only be changed to the EUID of the subject attempting to change the owner.
- The group can be changed to any group in the subject's concurrent group set with the exception that it can never be changed to GID 0 or GID 7 (system or security), even if these two groups are in the concurrent group set of the subject.

LDAP-based and file-based administrative database supported

The evaluation does not support NFS administrative database. Authentication methods such as DCE and NIS are not supported.

The evaluation supports only the following:

- File-based authentication (default)
- UNIX-style LDAP-based authentication (use LDAP server IBM Tivoli® Directory Server v 6.0)

For more information about file-based authentication, see the [User Authentication](#).

LDAP authentication

LDAP-based I&A is configured in the "UNIX-type" authentication mode. In this mode, the administrative data (including user names, IDs, and passwords) are stored in LDAP where access to the data is limited to the LDAP administrator.

When a user logs into the system, the system binds to the LDAP server using the LDAP administrator account over an SSL connection, retrieves the necessary data for the user (including the password) from LDAP, and then performs authentication using the data retrieved from LDAP. The system maintains an administrative database on an LDAP server. The remaining hosts import the administrative data from the same LDAP server through the same mechanism previously described. The system maintains a consistent administrative database by making all administrative changes on the designated LDAP server. A user ID on any computer refers to the same individual on all other computers. In addition, the password configuration, name-to-UID mappings, and other data are identical on all hosts in the distributed system.

For more information on LDAP authentication setup, see [Light Directory Access Protocol](#). For more information in setting up SSL on LDAP, see [Setting up SSL on the LDAP server](#) and [Setting up SSL on the LDAP client](#).

LDAP server

The **mksecldap -s** command sets up an AIX system as an LDAP server for security authentication and data management.

Perform the following tasks:

- Use the RFC2307AIX schema with the **-S** option.

- Set the server to use Secure Sockets Layer (SSL) by using the **-k** option. This action requires installing the **GSKit V8** fileset and the **idsldap.clt_max_crypto32bit63.rte** fileset for 32-bit systems or the **idsldap.clt_max_crypto64bit63.rte** fileset for 64-bit systems. Use the **ikeyman** utility to generate the key pairs for the directory server.

The LDAP user options must be set to satisfy the requirements of the evaluation. The RFC2370AIX schema defines the user attributes. Use the same values as described in [BAS/EAL4+ system configuration](#). The Tivoli Directory Server administrators are not forced to periodically change their passwords (for example, there is no **MaxAge** value for administrative passwords). Because of this, the LDAP administrative password must be changed as often as an AIX user (**MaxAge** = 8 (in weeks)).

In Tivoli Directory Server 6.3, the authentication failure handling does not apply to Directory Administrator or to the members of the administrative group. Password composition rules also do not apply to administrative accounts. These rules need to be enforced if Tivoli Directory Server 6.3 is used.

If the administrator does not use a common LDAP database back-end for user management, the administrator must ensure that the database that contains users credentials is maintained consistently among the different TCP Offload Engine (TOE) systems part of one network. Examples include the following:

- /etc/group
- /etc/passwd
- /etc/security/.ids
- /etc/security/.profile
- /etc/security/environ
- /etc/security/group
- /etc/security/limits
- /etc/security/passwd
- /etc/security/user

Related information

[IBM Tivoli Directory Server information about Packages, filesets, and prerequisites](#)

LDAP client

The **mksecldap -c** command sets up an AIX system as an LDAP client for security authentication and data management.

Perform the following tasks:

- Using the **mksecldap -c** command, specify **unix_auth** for the **authType** with the **-A** option.
- Set the client to use SSL by using the **-k** option in the **mksecldap -c** command. Specifying the client SSL key requires installing the **GSKit** fileset and **ldap.max_crypto_client** fileset. Use the **gsk7ikm** utility to generate the key pairs for the directory server.

NFS v4 Client/Server and Kerberos

The NFS v4 Client/Server environment includes LDAP for maintaining authentication data and Kerberos for establishing trusted channel between NFS v4 clients and servers. The evaluated configuration supports NAS v1.4 for Kerberos and IBM Tivoli Directory Server v6.0 (LDAP server) for the user database.

NAS v1.4 (Kerberos Version 5 Server) must be configured to use LDAP for its database. Kerberos tickets previously granted by the Kerberos server are valid until they expire.

When you are using Kerberos authentication, the credential used in remote procedure calls initiated by a user are associated with the current Kerberos ticket held by the user and is not influenced by the real or effective UID of the process. When you are accessing an NFS remote file system using Kerberos authentication while running a **setuid** program, the UID seen at the server is based on the Kerberos identity, not the UID that owns the **setuid** program being run.

The evaluated configuration involves setting up NFS to use RPCSEC-GSS security. For more information, see [Network File System](#), [Configuring an NFS server](#), and [Configuring an NFS client](#). When setting up the

server, choose Kerberos authentication and enable enhanced security on the server. You can enable this through SMIT using the **chnfs** command. The **chnfs** command has the option to enable RPCSEC_GSS security. When you are setting up the client, follow the instructions to use Kerberos in [Configuring an NFS client](#). See [Setting up a network for RPCSEC-GSS](#) for the instructions to set up the Kerberos data server with DES3 encryption for security. The evaluated configuration supports only des3 encryption.

Password rules

The evaluated configuration should have these values for password rules when you are using the Kerberos server with LDAP as the database.

For more information about password rules, see "Chapter 9. Managing Network Authentication Service passwords" in the *IBM Network Authentication Service Version 1.4 for AIX, Linux® and Solaris Administrator's and User's Guide*.

The list of the values follow:

mindiff

4

maxrepeats

2

minalpha

2

minother

2

minlen

8

minage

0

histsize

10

To have the AIX NFS v4 client and AIX NFS v4 server securely communicate explicitly using only DES3 entypes, create the "nfs/hostname" server principal with DES3 entype (such as des3-cbc-sha1), along with the corresponding entry in the keytab file (using **kadmin** interface) and have DES3 (such as **des3-cbc-sha1**) as the first entry in the **default_tgs_entypes** section of the /etc/krb5/krb5.conf file on the NFS v4 client machine.

Virtual I/O Server

The Virtual I/O Server (VIOS) resides in a separate LPAR partition and provides basic discretionary access control between VIOS SCSI device drivers acting on behalf of LPAR partitions and SCSI-based logical volumes and physical volumes through mappings.

An LPAR partition (through a VIOS SCSI device driver) may be mapped to 0 or more logical and physical volumes, but a volume can only be mapped to one LPAR partition. This mapping limits an LPAR partition to only the volumes assigned to it. VIOS also controls the mapping of VIOS Ethernet adapter device drivers to VIOS Ethernet device drivers acting on behalf of groups of LPAR partitions sharing a virtual network. In the evaluated configuration, only a one-to-one mapping of an Ethernet adapter device driver to an Ethernet device driver acting on behalf of a group of LPAR partitions is allowed. The one-to-one mapping is configured by the administrator and enforced by the device drivers. Also, the Ethernet packets must not be tagged with a VLAN tag in the evaluated configuration. This mechanism can be used to limit which LPAR partitions see certain Ethernet packets.

The VIOS interface should be protected from access by unprivileged users. The VIOS user options must be set to satisfy the requirements of the evaluation. The actual requirement is that the TSF shall provide a mechanism to verify that secrets meet the following quality metric: the probability that a secret can be obtained by an attacker during the lifetime of the secret is less than 2^{-20} . The following parameters should be changed for the user in the /etc/security/user directory:

maxage

8

maxexpired

1

minother

2

minlen

8

maxrepeats

2

loginretries

3

histexpire

52

histsize

20

To change the defaults, use the following commands:

```
type oem_setup_env  
  
chsec -f /etc/security/user -s default -a maxage=8 -a maxexpired=1 -a minother=2  
-a minlen=8 -a maxrepeats=2 -a loginretries=3 -a histexpire=52 -a histsize=20
```

When the prime administrator (**padmin**) creates a new user, the user attributes must be specified explicitly for that user. For example, to create a user with name *davis*, the **padmin** would use the following command:

```
mkuser maxage=8 maxexpired=1 minother=2 minlen=8 maxrepeats=2 loginretries=3  
histexpire=52 histsize=20 davis
```

The **padmin** should also stop the following daemons and then reboot:

- To remove **writesrv** and **ctrmc** from the `/etc/inittab` file:

```
sshd: stopsrc -s sshd
```

- To prevent the daemon from starting at boot time, remove the `/etc/rc.d/rc2.d/Ksshd` and `/etc/rc.d/rc2.d/Ssshd` files. After reboot stop the RSCT daemons:

```
stopsrc -g rsct_rm stopsrc -g rsct
```

All users, regardless of their roles, are to be considered as administrative users.

The system administrator can run all of the commands except those in the following list that are limited to prime admin (**padmin**):

- **chdate**
- **chuser**
- **cleargcl**
- **de_access**
- **diagmenu**
- **invscout**
- **loginmsg**
- **lsfailedlogin**
- **lsgcl**
- **mirrorios**
- **mkuser**
- **motd**

- `oem_platform_level`
- `oem_setup_env`
- `redefvg`
- `rmuser`
- `shutdown`
- `unmirrorios`

Login control

You can change the login screen defaults for security reasons after a system installation.

Potential hackers can get valuable information from the default AIX login screen, such as the host name and the version of the operating system. This information would allow them to determine which exploitation methods to attempt. For security reasons, you may want to change the login screen defaults as soon as possible after a system installation.

The KDE and GNOME desktops share some of the same security issues. For more information about KDE and GNOME, refer to the *Installation and migration*.

For information about users, groups, and passwords, see [“Users, groups, and passwords”](#) on page 46.

Setting up login controls

You can set up login controls in the `/etc/security/login.cfg` file.

To make it harder to attack a system with password guessing, set up login controls in the `/etc/security/login.cfg` file as follows:

Attribute	Applies to PtYs (Network)	Applies to TTYs	Recommended Value	Comments
sak_enabled	Y	Y	false	The Secure Attention key is rarely needed. See “Using the Secure Attention Key” on page 6.
logintimes	N	Y		Specify allowed login times here.
logindisable	N	Y	4	Disable login on this terminal after 4 consecutive failed attempts.
logininterval	N	Y	60	Terminal will be disabled when the specified invalid attempts have been made within 60 seconds.
loginreenable	N	Y	30	Re-enable the terminal after it was automatically disabled after 30 minutes.
logindelay	Y	Y	5	The time in seconds between login prompts. This will be multiplied with the number of failed attempts; for example, 5,10,15,20 seconds when 5 is the initial value.

These port restrictions work mostly on attached serial terminals, not on pseudo-terminals used by network logins. You can specify explicit terminals in this file, for example:

```
/dev/tty0:
    logintimes = 0600-2200
    logindisable = 5
```

```
logininterval = 80
loginreenable = 20
```

Changing the welcome message on the login screen

To prevent displaying certain information on login screens, edit the *herald* parameter in the `/etc/security/login.cfg` file.

The default *herald* contains the welcome message that displays with your login prompt. To change this parameter, you can either use the **chsec** command or edit the file directly.

The following example uses the **chsec** command to change the default *herald* parameter:

```
# chsec -f /etc/security/login.cfg -s default
-a herald="Unauthorized use of this system is prohibited.\n\nlogin:"
```

To edit the file directly, open the `/etc/security/login.cfg` file and update the *herald* parameter as follows:

```
default:
herald = "Unauthorized use of this system is prohibited\n\nlogin:"
sak_enable = false
logintimes =
logindisable = 0
logininterval = 0
loginreenable = 0
logindelay = 0
```

Note: To make the system more secure, set the *logindisable* and *logindelay* variables to a number greater than 0 (`# > 0`).

Changing the login screen for the common desktop environment

This security issue also affects the Common Desktop Environment (CDE) users. The CDE login screen also displays, by default, the host name and the operating system version. To prevent this information from being displayed, edit the `/usr/dt/config/$LANG/Xresources` file, where **\$LANG** refers to the local language installed on your machine.

In our example, assuming that **\$LANG** is set to **C**, copy this file into the `/etc/dt/config/C/Xresources` directory. Next, open the `/usr/dt/config/C/Xresources` file and edit it to remove welcome messages that include the host name and operating system version.

For more information about CDE security issues, see [“Managing X11 and CDE concerns”](#) on page 38.

Disabling the display of the user name and changing the password prompt

In a secure environment, it might be necessary to hide the display of the login user name or to provide a custom password prompt that differs from the default.

The default message behavior for the login and password prompt is shown below:

```
login: foo
foo's Password:
```

To disable the display of the user name from prompts and system error messages, edit the *usernameecho* parameter in the `/etc/security/login.cfg` file. The default value for *usernameecho* is `true` which results in the user name being displayed. To change this parameter, you can either use the **chsec** command or edit the file directly.

The following example uses the **chsec** command to change the default *usernameecho* parameter to `false`:

```
# chsec -f /etc/security/login.cfg -s default -a usernameecho=false
```

To edit the file directly, open the `/etc/security/login.cfg` file and add or modify the *usernameecho* parameter as follows:

```
default:
usernameecho = false
```

Setting the `usernameecho` parameter to false will result in the user name not being displayed at the login prompt. Instead, the user name is masked out with '*' characters for system prompts and error messages as show below:

```
login:
***'s Password:
```

The password prompt may be separately modified to be a custom string by setting the `pwdprompt` parameter in the `/etc/security/login.cfg` file. The default value is a string "user's Password: " where *user* is replaced with the authenticating user name.

To change this parameter, you can either use the **chsec** command or edit the file directly.

The following example uses the **chsec** command to change the default `pwdprompt` parameter to "Password: ":

```
# chsec -f /etc/security/login.cfg -s default -a pwdprompt="Password: "
```

To edit the file directly, open the `/etc/security/login.cfg` file and add or modify the `pwdprompt` parameter as follows:

```
default:
pwdprompt = "Password: "
```

Setting the `pwdprompt` parameter to "Password: " will result in the specified prompt being displayed by login as well as by other applications that use the system password prompt. The prompt behavior for the login when the a custom prompt has been configured is as follows:

```
login: foo
Password:
```

Setting up system default login parameters

Edit the `/etc/security/login.cfg` file to set up system default login parameters.

To set up base defaults for many login parameters, such as those you might set up for a new user (number of login retries, login re-enable, and login internal), edit the `/etc/security/login.cfg` file.

Securing unattended terminals

Use the **lock** and **xlock** commands to secure your terminal.

All systems are vulnerable if terminals are left logged in and unattended. The most serious problem occurs when a system manager leaves a terminal unattended that has been enabled with root authority. In general, users should log out any time they leave their terminals. Leaving system terminals unsecure poses a potential security hazard. To lock your terminal, use the **lock** command. If your interface is AIXwindows, use the **xlock** command.

Authentication

The **xlock** command is a Pluggable Authentication Module (PAM) enabled X server command that locks the X server until the user enters a password. It supports both local UNIX authentication and PAM authentication for unlocking the X server.

You can set the system-wide configuration to use PAM for authentication by providing root user access and by modifying the value of the `auth_type` attribute to `PAM_AUTH` in the **usw** stanza of the `/etc/security/login.cfg` file.

The authentication mechanisms that are used when PAM is enabled are dependent on the configuration of the login service in the `/etc/pam.conf` file. The **xlock** command requires the `/etc/pam.conf` file entry for the **auth**, **account**, **password**, and **session** module types. The following configuration is recommended for the `/etc/pam.conf` file entry in the **xlock** command:

```
xlock          auth          required      pam_aix
```

xlock	account	required	pam_aix
xlock	password	required	pam_aix
xlock	session	required	pam_aix

Enabling automatic logoff

Enable automatic logoff to prevent an intruder from compromising the security of the system.

Another valid security concern results from users leaving their accounts unattended for a lengthy period of time. This situation allows an intruder to take control of the user's terminal, potentially compromising the security of the system.

To prevent this type of potential security hazard, you can enable automatic logoff on the system. To do this, set the TMOU and TIMEOUT environment variables to the number of seconds of inactivity. After the inactive time is elapsed, you are logged off automatically, as in the following example:

```
TMOU=600; TIMEOUT=600; export TMOU TIMEOUT
```

In the above example, the number 600 is in seconds, which is equal to 10 minutes. This method works solely from the shell application. The variables can be protected from accidental overwriting by making them read only, as follows:

```
readonly TMOU TIMEOUT
```

The TMOU and TIMEOUT environment variables are set in the .profile files of users or in the /etc/security/.profile file. This allows the file to be added in the .profile file of a user when the user is created.

Stack Execution Disable protection

Keeping computer systems secure forms an important aspect of an On Demand business. In today's world of highly networked environments, it has become an extreme challenge to ward off attacks from a variety of sources.

There is increasing likelihood of computer systems falling prey to sophisticated attacks, resulting in disruption to the daily operations of businesses and government agencies. While no security measure can provide foolproof protection against attacks, you should deploy multiple security mechanisms to thwart security attacks. This section covers a security mechanism that is used with AIX to thwart attacks due to buffer overflow based execution.

Security breaches occur in many forms, but one of the most common methods is to monitor the system-provided administrative tools, look for, and exploit buffer overflows. Buffer overflow attacks occur when an internal program buffer is overwritten because data was not properly validated (such as command line, environmental variable, disk or terminal I/O). Attack code is inserted into a running process through the buffer overflow, changing the execution path of the running process. The return address is overwritten and redirected to the inserted-code location. Common causes of breaches include improper or nonexistent bounds checking, or incorrect assumptions about the validity of data sources. For example, a buffer overflow can occur when a data object is large enough to hold 1 KB of data, but the program does not check the bounds of the input and hence can be made to copy more than 1 KB into that data object.

The intruder's goal is to attack a command and/or tool that provides root privileges to a regular user. Control of the program is gained with all the privileges enabled, permitting overflow of the buffers. Attacks are typically focused on a root owned UID set or programs leading to the execution of a shell, thereby gaining root-based shell access to the system.

You can prevent these attacks by blocking execution of attack code entering through the buffer overflow. Disable execution on the memory areas of a process where execution commonly does not take place (stack and heap memory areas).

SED buffer overflow protection mechanism

AIX has enabled the stack execution disable (SED) mechanism to disable the execution of code on a stack and select data areas of a process.

By disabling the execution and then terminating, an infringing program, the attacker is prevented from gaining root user privileges through a buffer overflow attack. While this feature does not stop buffer overflows, it provides protection by disabling the execution of attacks on buffers that have been overflowed.

Beginning with the POWER4 family of processors, you can use a page-level execution enable and/or disable feature for the memory. The AIX SED mechanism uses this underlying hardware support for implementing a no-execution feature on select memory areas. Once this feature is enabled, the operating system checks and flags various files during the executable programs. It then alerts the operating system memory manager and the process managers that the SED is enabled for the process being created. The select memory areas are marked for no-execution. If any execution occurs on these marked areas, the hardware raises an exception flag and the operating system stops the corresponding process. The exception and application termination details are captured through the AIX error log events.

SED is implemented mainly through the **sedmgr** command. The **sedmgr** command permits control of the systemwide SED mode of operation as well as setting the executable file based SED flags.

SED modes and monitoring

The stack execution disable (SED) mechanism in AIX is implemented through systemwide mode flags, as well as individual executable file-based header flags.

While systemwide flags control the systemwide operation of the SED, file level flags indicate how files should be treated in SED. The buffer overflow protection (BOP) mechanism provides for four systemwide modes of operation:

off

The SED mechanism is turned off and no process is marked for SED protection.

select

Only a select set of files are enabled and monitored for SED protection. The select set of files are chosen by reviewing the SED related flags in the executable program binary headers. The executable program header enables SED related flags to request to be included in the **select** mode.

setidfiles

Permits you to enable SED, not only for the files requesting such a mechanism, but all the important **setuid** and **setgid** system files. In this mode, the operating system not only provides SED for the files with the **request** SED flag set, but also enables SED for the executable files with the following characteristics (except the files marked for *exempt* in their file headers):

- SETUID files owned by root
- SETGID files with primary group as **system** or **security**

all

All executable programs loaded on the system are SED protected except for the files requesting an exemption from SED mode. Exemption related flags are part of the executable program headers.

The SED feature on AIX also provides the ability to monitor instead of stopping the process when an exception happens. This systemwide control permits a system administrator to check for breakdowns and issues in the system environment by monitoring it before the SED is deployed in the production systems.

The **sedmgr** command provides an option that permits you to enable SED to monitor files instead of stopping the processes when exceptions occur. The system administrator can evaluate whether an executable program is doing any legitimate stack execution. This setting works in conjunction with the systemwide mode set using the **-c** option. When the **monitor** mode is turned on, the system permits the process to continue operating even if an SED-related exception occurs. Instead of stopping the process, the operating system logs the exception in the AIX error log. If SED monitoring is off, the operating system stops any process that violates and raises an exception per SED facility.

Any changes to the SED mode systemwide flags requires that you restart the system for the changes to take effect. All of these types of events are audited.

SED flags for executables

In AIX, you can use the **sedmgr** command to flag executables from the SE mechanism.

Linker has been enhanced to support two new SED related flags to enable **select** and **exempt** options in the executable's headers. The **select** flag permits an executable to request and be part of SED protection during the **select** mode of systemwide SED operation, whereas the **exempt** flag permits an executable to request for an exemption from the SED mechanism. These executables are not enabled for execution disable on any of the process memory areas.

The exemption flag permits a system administrator to monitor the SED mechanism, and evaluate the situation. The system administrator can enable execution on stack and data areas as necessary for the application, with the associated risks understood.

The following table shows how the systemwide settings and file settings affect the SED mode of operation:

<i>Table 3. Systemwide settings and file settings affecting the SED mode</i>				
	Executable file SED flags			
System SED mode	request	exempt	system	Setuid-root or setgid-system/ security files
off	–	–	–	–
select	enabled	–	–	–
setgidfiles	enabled	–	–	enabled
all	enabled	–	enabled	enabled

SED issues and considerations

By default, AIX SED is shipped in **select** mode. A number of **setuid** and **setgid** programs are **select**-enabled for SED and operate in protected mode by default.

SED enablement might cause older binary files to break if they are not capable of handling the no-execution feature on the stack heap areas. These applications must run on stack data areas. The system administrator can evaluate the situation and flag the file for an exemption using the **bopmgr** command. AIX Java™ 1.3.1 and AIX Java 1.4.2 have Just-In-Time (JIT) compilers that dynamically generate and run native object code while running Java applications (the Java Virtual Machine decides which code to compile based on the execution profile of the application). This object code is stored in data buffers allocated by the JIT. Consequently, if AIX is configured to run in the SED **ALL** mode, the system administrator must set the Java binary file's exemption flag.

When SED-related flags in an executable file are changed, they apply only to a future load and execution of the file. This change does not apply to currently operating processes based on this file. The SED facility controls and monitors both 32- and 64-bit executable programs for the systemwide and file-level settings. The SED facility is available only when the AIX operating system is used with the 64-bit kernel.

Related information

[sedmgr](#) command

AIX [Error-Logging Facility](#)

Managing X11 and CDE concerns

There are potential security vulnerabilities involved with the X11 X server and the Common Desktop Environment (CDE).

Removing the `/etc/rc.dt` file

Remove the `/etc/rc.dt` file on systems that require a high level of security.

Although running the CDE interface is convenient for users, security issues are associated with it. For this reason, do not run CDE on servers that require a high level of security. The best solution is to avoid installing CDE (dt) file sets. If you have installed these file sets on your system, consider uninstalling them, especially the `/etc/rc.dt` script, which starts CDE.

For more information about CDE, see the *Operating system and device management*.

Preventing unauthorized monitoring of remote X server

An important security issue associated with the X11 server is unauthorized silent monitoring of a remote server.

The `xwd` and `xwud` commands can be used to monitor X server activity because they have the ability to capture keystrokes, which can expose passwords and other sensitive data. To solve this problem, remove these executable files unless they are necessary under your configuration, or, as an alternative, change access to these commands to be root only.

The `xwd` and `xwud` commands are located in the `X11.apps.clients` fileset.

If you do need to retain the `xwd` and `xwud` commands, consider using OpenSSH or MIT Magic Cookies. These third-party applications help prevent the risks that are created by running the `xwd` and `xwud` commands.

For more information about OpenSSH and MIT Magic Cookies, refer to each application's respective documentation.

Enabling and disabling access control

The X server permits remote hosts to use the `xhost +` command to connect to your system.

Ensure that you specify a host name with the `xhost +` command, because it disables access control for the X server. This permits you to grant access to specific hosts, which eases monitoring for potential attacks to the X server. To grant access to a specific host, run the `xhost` command as follows:

```
# xhost + hostname
```

If you do not specify a host name, access will be granted to all hosts.

Disabling user permissions to run the `xhost` command

You can prevent the unauthorized execution of the `xhost` command by using the `chmod` command.

Another way to ensure that the `xhost` command is being used appropriately is to restrict execution of this command to root-user authority only. To do this, use the `chmod` command to change the permissions of `/usr/bin/X11/xhost` to 744, as follows:

```
chmod 744/usr/bin/X11/xhost
```

List of setuid/setgid programs

There are various setuid/setgid programs on an AIX system. You can remove these privileges on commands that do not need to be available to regular users.

The following programs are included in a normal AIX installation. In a CC-configured AIX system, this list is pruned and includes fewer programs.

- `/opt/IBMinvscout/bin/invscoutClient_VPD_Survey`
- `/opt/IBMinvscout/bin/invscoutClient_PartitionID`
- `/usr/lpp/diagnostics/bin/diagsetrto`
- `/usr/lpp/diagnostics/bin/Dctrl`
- `/usr/lpp/diagnostics/bin/diagela`

- /usr/lpp/diagnostics/bin/diagela_exec
- /usr/lpp/diagnostics/bin/diagrpt
- /usr/lpp/diagnostics/bin/diagrto
- /usr/lpp/diagnostics/bin/diaggetrto
- /usr/lpp/diagnostics/bin/update_manage_flash
- /usr/lpp/diagnostics/bin/utape
- /usr/lpp/diagnostics/bin/uspchrp
- /usr/lpp/diagnostics/bin/update_flash
- /usr/lpp/diagnostics/bin/uesensor
- /usr/lpp/diagnostics/bin/usysident
- /usr/lpp/diagnostics/bin/usysfault
- /usr/lpp/X11/bin/xlock
- /usr/lpp/X11/bin/aixterm
- /usr/lpp/X11/bin/xterm
- /usr/lpp/X11/bin/msmitpasswd
- /usr/lib/boot/tftp
- /usr/lib/lpd/digest
- /usr/lib/lpd/rembak
- /usr/lib/lpd/pio/etc/piodmgrsu
- /usr/lib/lpd/pio/etc/piomkpq
- /usr/lib/lpd/pio/etc/pioout
- /usr/lib/mh/slocal
- /usr/lib/perf/libperfstat_updt_dictionary
- /usr/lib/sa/sadc
- /usr/lib/semutil
- /usr/lib/trcload
- /usr/sbin/allocp
- /usr/sbin/audit
- /usr/sbin/auditbin
- /usr/sbin/auditcat
- /usr/sbin/auditconv
- /usr/sbin/auditmerge
- /usr/sbin/auditpr
- /usr/sbin/auditselect
- /usr/sbin/auditstream
- /usr/sbin/backbyinode
- /usr/sbin/cfgmgr
- /usr/sbin/chcod
- /usr/sbin/chcons
- /usr/sbin/chdev
- /usr/sbin/chpath
- /usr/sbin/chtcb
- /usr/sbin/cron

- /usr/sbin/acct/accton
- /usr/sbin/arp64
- /usr/sbin/arp
- /usr/sbin/devinstall
- /usr/sbin/diag_exec
- /usr/sbin/entstat
- /usr/sbin/entstat.ethchan
- /usr/sbin/entstat.scent
- /usr/sbin/diskusg
- /usr/sbin/exec_shutdown
- /usr/sbin/fdformat
- /usr/sbin/format
- /usr/sbin/fuser
- /usr/sbin/fuser64
- /usr/sbin/getlvcb
- /usr/sbin/getlvname
- /usr/sbin/getvgname
- /usr/sbin/grpck
- /usr/sbin/getty
- /usr/sbin/extendvg
- /usr/sbin/fastboot
- /usr/sbin/frcactrl64
- /usr/sbin/frcactrl
- /usr/sbin/inetd
- /usr/sbin/invscout
- /usr/sbin/invscoutd
- /usr/sbin/ipl_varyon
- /usr/sbin/keyenvoy
- /usr/sbin/krlogind
- /usr/sbin/krshd
- /usr/sbin/lchangelv
- /usr/sbin/lchangevp
- /usr/sbin/lchangevg
- /usr/sbin/lchlvcopy
- /usr/sbin/lcreatelv
- /usr/sbin/ldeletelv
- /usr/sbin/ldeletepv
- /usr/sbin/lextendlv
- /usr/sbin/lmigratelv
- /usr/sbin/lmigratepp
- /usr/sbin/lparsetres
- /usr/sbin/lpd
- /usr/sbin/lquerylv

- /usr/sbin/lquerypv
- /usr/sbin/lqueryvg
- /usr/sbin/lqueryvgs
- /usr/sbin/lreducelv
- /usr/sbin/lresynclp
- /usr/sbin/lresynclv
- /usr/sbin/lsaudit
- /usr/sbin/lscfg
- /usr/sbin/lscns
- /usr/sbin/lslv
- /usr/sbin/lspath
- /usr/sbin/lspv
- /usr/sbin/lsresource
- /usr/sbin/lsrcset
- /usr/sbin/lsslot
- /usr/sbin/luser
- /usr/sbin/lsvg
- /usr/sbin/lsvgfs
- /usr/sbin/login
- /usr/sbin/lvaryoffvg
- /usr/sbin/lvaryonvg
- /usr/sbin/lvgenmajor
- /usr/sbin/lvgenminor
- /usr/sbin/lvrelmajor
- /usr/sbin/lvrelminor
- /usr/sbin/lsmcode
- /usr/sbin/mailq
- /usr/sbin/mkdev
- /usr/sbin/mklvcopy
- /usr/sbin/mknod
- /usr/sbin/mkpasswd
- /usr/sbin/mkpath
- /usr/sbin/mkvg
- /usr/sbin/mount
- /usr/sbin/netstat64
- /usr/sbin/mtrace
- /usr/sbin/ndp
- /usr/sbin/newaliases
- /usr/sbin/named9
- /usr/sbin/named8
- /usr/sbin/netstat
- /usr/sbin/nfsstat
- /usr/sbin/pdelay

- /usr/sbin/pdisable
- /usr/sbin/penable
- /usr/sbin/perf/diag_tool/getschedparms
- /usr/sbin/perf/diag_tool/getvmparms
- /usr/sbin/phold
- /usr/sbin/portmir
- /usr/sbin/pshare
- /usr/sbin/pstart
- /usr/sbin/putlvcb
- /usr/sbin/putlvodm
- /usr/sbin/qdaemon
- /usr/sbin/quota
- /usr/sbin/reboot
- /usr/sbin/redefinevg
- /usr/sbin/repquota
- /usr/sbin/restbyinode
- /usr/sbin/rmdev
- /usr/sbin/ping
- /usr/sbin/rmgroup
- /usr/sbin/rmpath
- /usr/sbin/rmrole
- /usr/sbin/rmuser
- /opt/rsct/bin/ctstrtcasd
- /usr/sbin/srcd
- /usr/sbin/srcmstr
- /usr/sbin/rmsoc64
- /usr/sbin/sendmail_ssl
- /usr/sbin/sendmail_nonssl
- /usr/sbin/rmsoc
- /usr/sbin/sliplogin
- /usr/sbin/sendmail
- /usr/sbin/rwhod
- /usr/sbin/route
- /usr/sbin/snappd
- /usr/sbin/swap
- /usr/sbin/swapoff
- /usr/sbin/swapon
- /usr/sbin/swcons
- /usr/sbin/switch.prt
- /usr/sbin/synclvdm
- /usr/sbin/tsm
- /usr/sbin/umount
- /usr/sbin/umountall

- /usr/sbin/unmount
- /usr/sbin/varyonvg
- /usr/sbin/watch
- /usr/sbin/talkd
- /usr/sbin/timedc
- /usr/sbin/uucpd
- /usr/bin/bellmail
- /usr/bin/at
- /usr/bin/capture
- /usr/bin/chcore
- /usr/bin/acctras
- /usr/bin/acctctl
- /usr/bin/chgroup
- /usr/bin/chkey
- /usr/bin/chque
- /usr/bin/chquedev
- /usr/bin/chrole
- /usr/bin/chsec
- /usr/bin/chuser
- /usr/bin/confsrc
- /usr/bin/crontab
- /usr/bin/enq
- /usr/bin/filemon
- /usr/bin/errpt
- /usr/bin/fileplace
- /usr/bin/fileplacej2
- /usr/bin/fileplacej2_64
- /usr/bin/ftp
- /usr/bin/getconf
- /usr/bin/ipcs
- /usr/bin/ipcs64
- /usr/bin/iostat
- /usr/bin/logout
- /usr/bin/lscore
- /usr/bin/lssec
- /usr/bin/mesg
- /usr/bin/mkgroup
- /usr/bin/mkque
- /usr/bin/mkquedev
- /usr/bin/mkrole
- /usr/bin/mkuser
- /usr/bin/netpmon
- /usr/bin/newgrp

- /usr/bin/pagdel
- /usr/bin/paginit
- /usr/bin/paglist
- /usr/bin/passwd
- /usr/bin/pwck
- /usr/bin/pwdadm
- /usr/bin/pwdck
- /usr/bin/rm_mlcache_file
- /usr/bin/rdist
- /usr/bin/remsh
- /usr/bin/rlogin
- /usr/bin/rexec
- /usr/bin/rcp
- /usr/bin/rmque
- /usr/bin/rmquedev
- /usr/bin/rsh
- /usr/bin/ruptime
- /usr/bin/rwho
- /usr/bin/script
- /usr/bin/setgroups
- /usr/bin/setsenv
- /usr/bin/shell
- /usr/bin/su
- /usr/bin/sysck
- /usr/bin/tcbck
- /usr/bin/sysck_r
- /usr/bin/telnet
- /usr/bin/tftp
- /usr/bin/traceroute
- /usr/bin/tn
- /usr/bin/tn3270
- /usr/bin/usrck
- /usr/bin/utftp
- /usr/bin/vmstat
- /usr/bin/vmstat64
- /usr/bin/yppasswd
- /sbin/helpers/jfs2/backbyinode
- /sbin/helpers/jfs2/diskusg
- /sbin/helpers/jfs2/restbyinode

AIX trusted installation and update

Starting from IBM AIX 7.2 with Technology Level 4, the software packages, which are delivered in the installp format, are digitally signed. The digital signatures of the associated software package are

stored in a database called Digital Signature Catalog (DSC). These digital signatures are distributed by using the ODM entries of the new `dsc_inventory` class.

When you install the `installp` formatted software for software package installation or update, the verification program verifies the digital signatures of the software package. The `installp` command performs actions based on the value of the **Digital Signature Policy** option.

For more information about setting a value for the Digital Signature Policy option, see [AIX trusted installation](#). You can also run the `chsignpolicy` command to modify the value of the **Digital Signature Policy** option.

> Starting from IBM AIX 7.3 with Technology Level 1, the digital signature is added as a *signature block* of data in some software packages. Whether the **Digital Signature Policy** option is set or not, the digital signature blocks have no effect on the software installation. |<

Users, groups, and passwords

You can manage AIX users and groups.

Automatic home directory creation at login

The AIX operating system can automatically create a home directory at user login.

This feature is useful for remotely defined users (for example, users defined in an LDAP server) who may not have a home directory in the local system. The AIX operating system provides two mechanisms to automatically create a home directory at user login: a standard AIX mechanism and a PAM mechanism. These mechanisms can be enabled together.

AIX mechanism

The AIX mechanism covers login through the following commands: **getty**, **login**, **rlogin**, **rsh**, **telnet**, and **tsm**. The AIX mechanism supports STD_AUTH authentication and PAM_AUTH authentication using the `pam_aix` module. Enable the AIX mechanism in the `/etc/security/login.cfg` file by setting the `mhomeatlogin` attribute of the `usw` stanza to `true` (see the `/etc/security/login.cfg` file for additional information about the file). Use the `chsec` command to enable or disable the automatic-home-directory-creation-at-login feature. For example, to enable the feature, run the following command:

```
# chsec -f /etc/security/login.cfg -s usw -a mhomeatlogin=true
```

When enabled, the login process checks for the user's home directory after successful authentication. If a user's home directory does not exist, one is created.

Note: The `mhomeatlogin` attribute is only supported on AIX Version 6.1 with the 6100-02 Technology Level or later.

PAM mechanism

AIX also provides a `pam_mkuserhome` module for creating home directories for PAM mechanisms. The `pam_mkuserhome` module can be stacked with other session modules for login services. To enable this PAM module for a service, an entry must be added to that service. For example, to enable home directory creation through the **telnet** command using PAM, add the following entry to the `/etc/pam.cfg` file:

```
telnet session optional pam_mkuserhome
```

Account ID

Each user account has a numeric ID which uniquely identifies the account. The AIX operating system grants authorization according to Account ID.

It is important to understand that accounts with the same ID are virtually the same account. When creating users and groups, the AIX **mkuser** and **mkgroup** commands always check for the target registry to make sure that the account to be created has no ID collision with existing accounts.

The system can also be configured to check all user (group) registries during account creation using the `dist_uniqid` system attribute. The `dist_uniqid` attribute of the `usw` stanza in the `/etc/security/login.cfg` file can be managed using the **chsec** command. To configure the system to always check for id collision against all registries, run:

```
# chsec -f /etc/security/login.cfg -s usw -a dist_uniqid=always
```

There are three valid values for the `dist_uniqid` attribute:

never

This value does not check for ID collision against the non-target registries (default).

always

This value checks for ID collision against all other registries. If collision detected between the target registry and any other registry, the **mkuser** (**mkgroup**) command picks a unique ID which is not used by any registry. It only fails if the ID value is specified from the command line (for example, `mkuser id=234 foo`, and ID 234 is already taken by a user in any of the registries).

uniqbyname

This value checks for ID collision against all other registries. Collision between registries is permitted only if the account to be created has the same name as the existing account for a `mkuser id=123 foo` type of command. If the ID is not specified from the command line, the new account might not have the same ID value as an existing account with the same name in another registry. For example, `acct1` with ID 234 is a local account. When creating an LDAP account `acct1`, `mkuser -R LDAP acct1` might pick a unique ID of 235 for the LDAP account. The result is `acct1` with ID 234 on local, and `acct1` with 235 on LDAP.

Note: ID collision detection in the target registry is always enforced regardless of the `dist_uniqid` attribute.

The **uniqbyname** value works well against two registries. With more than two registries, and when ID collision already exists between two registries, the behavior of **mkuser** (**mkgroup**) is unspecified when creating a new account in a third registry using the colliding ID values. The new account creation might succeed or fail depending the order the registries are checked.

For example: Suppose a system is configured with three registries: local, LDAP and DCE. An `acct1` account exists in LDAP and an `acct2` account in DCE, both with ID 234. When the system administrator runs the `mkuser -R files id=234 acct1(mkgroup -R files id=234 acct1)` command to create the local account with the **uniqbyname** value, the **mkuser** (**mkgroup**) command checks against the LDAP registry first, and finds that ID 234 is taken by LDAP account `acct1`. Since the account to be created has the same account name, the **mkuser** (**mkgroup**) command successfully creates the local account `acct1` with ID 234. If the DCE registry is checked first, the **mkuser** (**mkgroup**) command finds that ID 234 is taken by DCE account `acct2`, and creation of local account `acct1` fails. The check for ID collision enforces ID uniqueness between the local registry and remote registries or between remote registries. There is no guarantee of ID uniqueness between the newly created account on the remote registry and existing local users on other systems which use the same remote registry. The **mkuser** (**mkgroup**) command bypasses the remote registry if it is not reachable at the time the command is run.

Root account

The root account has virtually unlimited access to all programs, files, and resources on a system.

The root account is the special user in the `/etc/passwd` file with the user ID (UID) of 0 and is commonly given the user name, `root`. It is not the user name that makes the root account so special, but the UID

value of 0. This means that any user that has a UID of 0 also has the same privileges as the root user. Also, the root account is always authenticated by means of the local security files.

The root account should always have a password, which should never be shared. The root account should be given a password immediately after the system is installed. Only the system administrator should know the root password. System administrators should only operate as the root user to perform system administration functions that require root privileges. For all other operations, they should return to their normal user account.



Attention: Routinely operating as the root user can result in damage to the system because the root account overrides many safeguards in the system.

Disabling direct root login

A common attack method of potential hackers is to obtain the root password.

To avoid this type of attack, you can disable direct access to your root ID and then require your system administrators to obtain root privileges by using the **su** - command. In addition to permitting you to remove the root user as a point of attack, restricting direct root access permits you to monitor which users gained root access, as well as the time of their action. You can do this by viewing the `/var/adm/sulog` file. Another alternative is to enable system auditing, which will report this type of activity.

To disable remote login access for your root user, edit the `/etc/security/user` file. Specify `False` as the `rlogin` value on the entry for root.

Before you disable the remote root login, examine and plan for situations that would prevent a system administrator from logging in under a non-root user ID. For example, if a user's home file system is full, the user would not be able to log in. If the remote root login were disabled and the user who could use the **su** - command to change to root had a full home file system, root could never take control of the system. This issue can be bypassed by system administrators creating home file systems for themselves that are larger than the average user's file system.

User accounts

There are several security administrative tasks for user accounts.

Recommended user attributes

User administration consists of creating users and groups and defining their attributes.

A major attribute of users is how they are authenticated. Users are the primary agents on the system. Their attributes control their access rights, environment, how they are authenticated, as well as how, when, and where their accounts can be accessed.

Groups are collections of users who can share the same access permissions for protected resources. A group has an ID and is composed of members and administrators. The creator of the group is usually the first administrator.

Many attributes can be set for each user account, including password and login attributes. For a list of configurable attributes, refer to [“Disk quota system overview” on page 75](#). The following attributes are recommended:

- Each user should have a user ID that is not shared with any other user. All of the security safeguards and accountability tools work only if each user has a unique ID.
- Give user names that are meaningful to the users on the system. Actual names are best, because most electronic mail systems use the user ID to label incoming mail.
- Add, change, and delete users using the SMIT interface. Although you can perform all of these tasks from the command line, the SMIT interface helps to reduce small errors.
- Do not give an initial password to a user account until the user is ready to log in to the system. If the password field is defined as an * (asterisk) in the `/etc/passwd` file, account information is kept, but no one can log in to that account.

- Do not change the system-defined user IDs that are needed by the system to function correctly. The system-defined user IDs are listed in the `/etc/passwd` file.
- In general, do not set the `admin` parameter to `true` for any user IDs. Only the root user can change attributes for users with `admin=true` set in the `/etc/security/user` file.

The operating system supports the standard user attributes usually found in the `/etc/passwd` and `/etc/system/group` files, such as:

Authentication Information

Specifies the password

Credentials

Specifies the user identifier, principal group, and the supplementary group ID

Environment

Specifies the home or shell environment.

User and group name length limit

You can configure and retrieve the user and group name length limit.

The user and group name length limit parameter default value is 9 characters. For AIX 5.3 and later, you can increase the user and group name length limit from 9 characters to 256 characters. Because the user and group name length limit parameter includes the terminating NULL character, the actual valid name lengths are from 8 characters to 255 characters.

The user and group name length limit is specified with the `v_max_logname` system configuration parameter for the `sys0` device. You can change or retrieve the `v_max_logname` parameter value from the kernel or ODM database. The parameter value in the kernel is the value the system uses while running. The parameter value in the ODM database is the value the system uses after the next restart.

Note: Unexpected behavior might occur if you decrease the user and group name length limit after increasing it. User and group names that you created with the larger limitation might still exist on the system.

Retrieving the user and group name length limit from the ODM database

You can use commands or subroutines to retrieve the `v_max_logname` parameter.

You can use the `lsattr` command to retrieve the `v_max_logname` parameter in the ODM database. The `lsattr` command displays the `v_max_logname` parameter as the `max_logname` attribute.

The following example shows how to use the `lsattr` command to retrieve the `max_logname` attribute:

```
$ lsattr -El sys0
SW_dist_intr      false      Enable SW distribution of interrupts      True
autorestart      true       Automatically REBOOT system after a crash True
boottype         disk       N/A                                       False
capacity_inc     1.00      Processor capacity increment             False
capped           true       Partition is capped                       False
conslogin        enable     System Console Login                     False
cpuguard         enable     CPU Guard                                 True
dedicated        true       Partition is dedicated                     False
ent_capacity     4.00      Entitled processor capacity               False
frequency        93750000  System Bus Frequency                      False
fullcore         false     Enable full CORE dump                     True
fwversion        IBM,SPH01316 Firmware version and revision levels     False
iostat           false     Continuously maintain DISK I/O history    True
keylock          normal    State of system keylock at boot time     False
max_capacity     4.00      Maximum potential processor capacity      True
max_logname      20        Maximum login name length at boot time    True
maxbuf           20        Maximum number of pages in block I/O BUFFER CACHE True
maxmbuf          0         Maximum Kbytes of real memory allowed for MBUFS True
maxpout          0         HIGH water mark for pending write I/Os per file True
maxuproc         128      Maximum number of PROCESSES allowed per user True
min_capacity     1.00      Minimum potential processor capacity      False
minpout          0         LOW water mark for pending write I/Os per file True
modelname        IBM,7044-270 Machine name                               False
ncargs           6         ARG/ENV list size in 4K byte blocks       True
pre430core       false     Use pre-430 style CORE dump               True
pre520tune       disable   Pre-520 tuning compatibility mode        True
realmem          3145728  Amount of usable physical memory in Kbytes False
rtasversion      1         Open Firmware RTAS version                False
```

sec_flags	0	Security Flags	True
sed_config	select	Stack Execution Disable (SED) Mode	True
systemid	IBM,0110B5F5F	Hardware system identifier	False
variable_weight	0	Variable processor capacity weight	False

\$

Retrieving the user and group name length limit from the kernel

You can use commands and subroutines to retrieve the **v_max_logname** parameter from the kernel.

Using the getconf command

You can use the **getconf** command with the **LOGIN_NAME_MAX** parameter to retrieve the user and group name length limit in the kernel. The **getconf** command output includes the terminating NULL character.

The following example shows how to use **getconf** command to retrieve the current user and group name limit from the kernel:

```
$ getconf LOGIN_NAME_MAX
20
$
```

Using the sysconf subroutine

You can use the **sysconf** subroutine with the **_SC_LOGIN_NAME_MAX** parameter to retrieve the user and group name length limit in the kernel.

The following example shows how to use the **sysconf** subroutine to retrieve the user and group name length limit from the kernel:

```
#include <unistd.h>
main()
{
    long len;

    len = sysconf(_SC_LOGIN_NAME_MAX);

    printf("The name length limit is %d\n", len);
}
```

Using the sys_parm subroutine

You can use the **sys_parm** subroutine with the **SYSP_V_MAX_LOGNAME** parameter to retrieve the current user name length limit in the kernel.

The following example shows how to use the **sys_parm** subroutine to retrieve the user name length limit from the kernel:

```
#include <sys/types.h>
#include <sys/var.h>
#include <errno.h>
main()
{
    int rc;
    struct vario myvar;

    rc = sys_parm (SYSP_GET, SYSP_V_MAX_LOGNAME, &myvar);

    if (!rc)
        printf("Max_login_name = %d\n", myvar.v.v_max_logname.value);
    else
        printf("sys_parm() failed rc = %d, errno = %d\n", rc, errno);
}
```

Changing the user group and name length limit in the ODM database

You can configure the user and group name length limit value in the kernel only during the system boot phase. You can change the value in the ODM database using the **chdev** command. The change takes effect after the next system restart.

The following example shows how to use the **chdev** command to change the **v_max_logname** parameter in the ODM database:

```
$ chdev -l sys0 -a max_logname=30
sys0 changed
$
```

User account control

User accounts have attributes that can be altered.

Each user account has a set of associated attributes. These attributes are created from default values when a user is created by using the **mkuser** command. The attributes can be altered by using the **chuser** command. The following are the user attributes that control login and are not related to password quality:

account_locked

If an account must be explicitly locked, this attribute can be set to True; the default is False.

admin

If set to True, this user can not change the password. Only the administrator can change it.

admgroups

Lists groups for which this user has administrative rights. For those groups, the user can add or delete members.

auth1

The authentication method that is used to grant the user access. Typically, it is set to SYSTEM, which will then use newer methods.

Note: The **auth1** attribute is deprecated and should not be used.

auth2

Method that runs after the user has been authenticated by whatever was specified in **auth1**. It cannot block access to the system. Typically, it is set to NONE.

Note: The **auth2** attribute is deprecated and should not be used.

daemon

This boolean parameter specifies whether the user is allowed to start daemons or subsystems with the **startsrc** command. It also restricts the use of the cron and at facilities.

login

Specifies whether this user is allowed to log in. A successful login resets the **unsuccessful_login_count** attribute to a value of 0 (from the **loginsuccess** subroutine).

logintimes

Restricts when a user can log in. For example, a user might be restricted to accessing the system only during normal business hours.

registry

Specifies the user registry. It can be used to tell the system about alternate registries for user information, such as NIS, LDAP, or Kerberos.

rlogin

Specifies whether the specified user can log in by using the **rlogin** or the **telnet** command. The rlogin attribute only controls remote login. For information about controlling the ability to run individual remote commands, see [rcmds](#).

su

Specifies whether other users can switch to this ID with the **su** command.

sugroups

Specifies which groups are allowed to switch to this user ID.

ttys

Limits certain accounts to physically secure areas.

expires

Manages student or guest accounts; also can be used to turn off accounts temporarily.

loginretries

Specifies the maximum number of consecutive failed login attempts before the user ID is locked by the system. The failed attempts are recorded in the `/etc/security/lastlog` file.

umask

Specifies the initial **umask** for the user.

rcmds

Specifies whether the specified user can run individual commands by using the **rsh** command or the **rexec** command. The value `allow` indicates that you can run commands remotely by using the **rsh** and **rexec** commands. A value `deny` indicates that you cannot run commands remotely. The value `hostlogincontrol` indicates that running remote commands is controlled by the **hostallowedlogin** and **hostsdeniedlogin** attributes. For information about controlling remote login, see the [rlogin](#) attribute.

hostallowedlogin

Specifies the hosts which permit the user to login. This attribute is intended to be used in a networked environment where user attributes are shared by multiple hosts.

hostsdeniedlogin

Specifies the hosts which do not permit the user to login. This attribute is intended to be used in a networked environment where user attributes are shared by multiple hosts.

maxulogs

Specifies the maximum number of logins per user. If the user has reached the maximum number of allowed logins, login will be denied.

The complete set of user attributes is defined in the `/etc/security/user`, `/etc/security/limits`, `/etc/security/audit/config` and `/etc/security/lastlog` files. The default for user creation with the **mkuser** command is specified in the `/usr/lib/security/mkuser.default` file. Only options that override the general defaults in the default stanzas of the `/etc/security/user` and `/etc/security/limits` files, as well as audit classes, must be specified in the `mkuser.default` file. Several of these attributes control how a user can log in, and they can be configured to lock the user account (prevent further logins) automatically under specified conditions.

After the user account has been locked by the system due to the number of unsuccessful login attempts, the user is not able to log in until the system administrator resets the user **unsuccessful_login_count** attribute in the `/etc/security/lastlog` file to be less than the value of login retries. This can be done using the following **chsec** command, as follows:

```
chsec -f /etc/security/lastlog -s username -a
unsuccessful_login_count=0
```

The defaults can be changed by using the **chsec** command to edit the default stanza in the appropriate security file, such as the `/etc/security/user` or `/etc/security/limits` files. Many of the defaults are defined to be the standard behavior. To explicitly specify attributes that are set every time that a new user is created, change the `user` entry in `/usr/lib/security/mkuser.default`.

For information on extended user password attributes, refer to [“Passwords”](#) on page 63.

Login-related commands affected by user attributes

The following table lists the attributes that control login and the affected commands.

User attribute	Commands
account_locked	rexec, rsh, rcp, ssh, scp, rlogin, telnet, ftp, login

User attribute	Commands
login	Only affects login from a console. The value of the login attribute does not affect remote login commands, remote shell commands, or remote copy commands rexec , rsh , rcp , ssh , scp , rlogin , telnet , and ftp .
logintimes	rexec , rsh , rcp , ssh , scp , rlogin , telnet , ftp , login
rlogin	Only affects remote login commands, certain remote shell commands, and certain remote copy commands (ssh , scp , rlogin , and telnet).
loginretries	rexec , rsh , rcp , ssh , scp , rlogin , telnet , ftp , login
/etc/nologin	rexec , rsh , rcp , ssh , scp , rlogin , telnet , ftp , login
rcmds=deny	rexec , rsh , rcp , ssh , scp
rcmds=hostlogincontrol and hostsdeniedlogin=<target_hosts>	rexec , rsh , rcp , ssh , scp , rlogin , telnet , ftp , login
ttys = !REXEC, !RSH	rexec , rsh , rcp , ssh , scp , rlogin , telnet , ftp , login
ttys = !REXEC, !RSH, /dev/pts	rexec , rsh
ttys = !REXEC, !RSH, ALL	rexec , rsh
expires	rexec , rsh , rcp , ssh , scp , rlogin , telnet , ftp , login

Note: **rsh** only disallows execution of remote commands. Remote logins are still permitted.

Related information

[loginsuccess subroutine](#)

[rexec command](#)

[rsh command](#)

[startsrc command](#)

[su command](#)

Login user IDs

The operating system identifies users by their login user ID.

The login user ID allows the system to trace all user actions to their source. After a user logs in to the system but before running the initial user program, the system sets the login ID of the process to the user ID found in the user database. All subsequent processes during the login session are tagged with this ID. These tags provide a trail of all activities performed by the login user ID. The user can reset the effective user ID, real user ID, effective group ID, real group ID, and supplementary group ID during the session, but cannot change the login user ID.

Strengthening user security with Access Control Lists

To achieve an appropriate level of security in your system, develop a consistent security policy to manage user accounts. The most commonly used security mechanism is the access control list (ACL).

For information about ACLs and developing a security policy, see [“Access Control Lists” on page 115](#).

PATH environment variable

The **PATH** environment variable is an important security control. It specifies the directories to be searched to find a command.

The default systemwide **PATH** value is specified in the `/etc/profile` file, and each user normally has a **PATH** value in the user's `$HOME/.profile` file. The **PATH** value in the `.profile` file either overrides the systemwide **PATH** value or adds extra directories to it.

Unauthorized changes to the **PATH** environment variable can enable a user on the system to "spoof" other users (including root users). *Spoofing* programs (also called *Trojan horse* programs) replace system commands and then capture information meant for that command, such as user passwords.

For example, suppose a user changes the **PATH** value so that the system searches the `/tmp` directory first when a command is run. Then the user places in the `/tmp` directory a program called **su** that asks for the root password just like the `su` command. Then the `/tmp/su` program mails the root password to the user and calls the real **su** command before exiting. In this scenario, any root user who used the **su** command would reveal the root password and not even be aware of it.

To prevent any problems with the **PATH** environment variable for system administrators and users, do the following:

- When in doubt, specify full path names. If a full path name is specified, the **PATH** environment variable is ignored.
- Never put the current directory (specified by `.` (period)) in the **PATH** value specified for the root user. Never allow the current directory to be specified in `/etc/profile`.
- The root user should have its own **PATH** specification in his private `.profile` file. Typically, the specification in `/etc/profile` lists the minimal standard for all users, whereas the root user might need more or fewer directories than the default.
- Warn other users not to change their `.profile` files without consulting the system administrator. Otherwise, an unsuspecting user could make changes that allow unintended access. A user `.profile` file should have permissions set to 740.
- System administrators should not use the **su** command to gain root privilege from a user session, because the user's **PATH** value specified in the `.profile` file is in effect. Users can set their own `.profile` files. System administrators should log in to the user's machine as root user or preferably, using their own ID and then use the following command:

```
/usr/bin/su - root
```

This ensures that the root environment is used during the session. If a system administrator does operate as root in another user session, the system administrator should specify full path names throughout the session.

- Protect the input field separator (**IFS**) environment variable from being changed in the `/etc/profile` file. The **IFS** environment variable in the `.profile` file can be used to alter the **PATH** value.

Using the secdapclntd daemon

The **secdapclntd** daemon dynamically manages connections to a LDAP server.

At start up, the **secdapclntd** daemon connects to the servers defined in the `/etc/security/ldap/ldap.cfg` file (one connection per LDAP server). Later, if the **secdapclntd** daemon determines that the LDAP connection is restricting LDAP processing requests, the daemon will automatically establish another connection to the current LDAP server. This process continues until the predefined maximum number of connections is reached. After the maximum number of connections is reached, no new connections are added.

The **secdapclntd** daemon periodically checks all the connections to the current LDAP server. If any connection other than the first connection is idle for a predefined period, the daemon will close that connection.

The `connectionsperserver` variable in the `/etc/security/ldap/ldap.cfg` file is used as the maximum number of connections. However, if the `connectionsperserver` variable is greater than the `numberofthread`

variable, the **secdapclntd** daemon sets the `connectionsperserver` value to `numberofthread` value. The valid values for the `connectionsperserver` variable are 1 to 100. The default value is 10 (`connectionsperserver: 10`).

The `connectionmissratio` variable in the `/etc/security/ldap/ldap.cfg` file sets the criteria for establishing new LDAP connections. The `connectionmissratio` variable is the percentage of operations that failed to obtain LDAP connections (handle-miss) during first attempts. If the number of missed attempts is greater than the `connectionmissratio` variable, the **secdapclntd** daemon enhances the LDAP queries by establishing new LDAP connections (not to exceed the number of connections defined in the `connectionsperserver` variable). The valid values for the `connectionmissratio` variable are 10 to 90. The default value is 50 (`connectionmissratio: 50`).

The `connectiontimeout` variable in the `/etc/security/ldap/ldap.cfg` file is used as the period that connections can remain idle before they are closed by the **secdapclntd** daemon. The valid values for the `connectiontimeout` variable are 5 seconds or more (no maximum limit). The default value is 300 seconds (`connectiontimeout: 300`).

Anonymous FTP with a secure user account setup

You can set up anonymous FTP with a secure user account.

This scenario sets up an anonymous FTP with a secure user account, using the command line interface and a script.

1. Verify that the `bos.net.tcp.client` fileset is installed on your system, by typing the following command:

```
lsipp -L | grep bos.net.tcp.client
```

If you receive no output, the fileset is not installed. For instructions on how to install it, see [Installation and migration](#).

2. With root authority, change to the `/usr/samples/tcpip` directory. For example:

```
cd /usr/samples/tcpip
```

3. To set up the account, run the following script:

```
./anon.ftp
```

4. When prompted with `Are you sure you want to modify /home/ftp?`, type `yes`. Output similar to the following displays:

```
Added user anonymous.  
Made /home/ftp/bin directory.  
Made /home/ftp/etc directory.  
Made /home/ftp/pub directory.  
Made /home/ftp/lib directory.  
Made /home/ftp/dev/null entry.  
Made /home/ftp/usr/lpp/msg/en_US directory.
```

5. Change to the `/home/ftp` directory. For example:

```
cd /home/ftp
```

6. Create a home subdirectory, by typing:

```
mkdir home
```

7. Change the permissions of the `/home/ftp/home` directory to `drwxr-xr-x`, by typing:

```
chmod 755 home
```

8. Change to the `/home/ftp/etc` directory, by typing:

```
cd /home/ftp/etc
```

9. Create the objrepos subdirectory, by typing:

```
mkdir objrepos
```

10. Change the permissions of the /home/ftp/etc/objrepos directory to drwxrwxr-x, by typing:

```
chmod 775 objrepos
```

11. Change the owner and group of the /home/ftp/etc/objrepos directory to the root user and the system group, by typing:

```
chown root:system objrepos
```

12. Create a security subdirectory, by typing

```
mkdir security
```

13. Change the permissions of the /home/ftp/etc/security directory to drwxr-x---, by typing:

```
chmod 750 security
```

14. Change the owner and group of the /home/ftp/etc/security directory to the root user and the security group, by typing:

```
chown root:security security
```

15. Change to the /home/ftp/etc/security directory, by typing:

```
cd security
```

16. Add a user by typing the following SMIT fast path:

```
smit mkuser
```

In this scenario, we are adding a user named test.

17. In the SMIT fields, enter the following values:

```
User NAME [test]
ADMINISTRATIVE USER? true
Primary GROUP [staff]
Group SET [staff]
Another user can SU TO USER? true
HOME directory [/home/test]
```

After you enter your changes, press Enter to create the user. After the SMIT process completes, exit SMIT.

18. Create a password for this user with the following command:

```
passwd test
```

When prompted, enter the desired password. You must enter the new password a second time for confirmation.

19. Change to the /home/ftp/etc directory, by typing

```
cd /home/ftp/etc
```

20. Copy the /etc/passwd file to the /home/ftp/etc/passwd file, using the following command:

```
cp /etc/passwd /home/ftp/etc/passwd
```

21. Using your favorite editor, edit the /home/ftp/etc/passwd file. For example:

```
vi passwd
```

22. Remove all lines from the copied content except those for the root, ftp, and test users. After your edit, the content should look similar to the following:

```
root!:0:0:/:/bin/ksh
ftp*:226:1::/home/ftp:/usr/bin/ksh
test!:228:1::/home/test:/usr/bin/ksh
```

23. Save your changes and exit the editor.

24. Change the permissions of the `/home/ftp/etc/passwd` file to `-rw-r--r--`, by typing:

```
chmod 644 passwd
```

25. Change the owner and group of the `/home/ftp/etc/passwd` file to the root user and the security group, by typing:

```
chown root:security passwd
```

26. Copy the contents of the `/etc/security/passwd` file to the `/home/ftp/etc/security/passwd` file, using the following command:

```
cp /etc/security/passwd /home/ftp/etc/security/passwd
```

27. Using your favorite editor, edit the `/home/ftp/etc/security/passwd` file. For example:

```
vi ./security/passwd
```

28. Remove all stanzas from the copied content except the stanza for the test user.

29. Remove the `flags = ADMCHG` line from the test user stanza. After your edits, the content should look similar to the following:

```
test:
    password = 2HaAYgpDZX3Tw
    lastupdate = 990633278
```

30. Save your changes and exit the editor.

31. Change the permissions of the `/home/ftp/etc/security/passwd` file to `-rw-----`, by typing:

```
chmod 600 ./security/passwd
```

32. Change the owner and group of the `/home/ftp/etc/security/passwd` file to the root user and the security group, by typing:

```
chown root:security ./security/passwd
```

33. Using your favorite editor, create and edit the `/home/ftp/etc/group` file. For example:

```
vi group
```

34. Add the following lines to the file:

```
system*:0:
staff*:1:test
```

35. Save your changes and exit the editor.

36. Change the permissions of the `/home/ftp/etc/group` file to `-rw-r--r--`, by typing:

```
chmod 644 group
```

37. Change the owner and group of the `/home/ftp/etc/group` file to the root user and the security group, by typing:

```
chown root:security group
```

38. Using your favorite editor, create and edit the `/home/ftp/etc/security/group` file. For example:

```
vi ./security/group
```

39. Add the following lines to the file:

```
system:
  admin = true
staff
  admin = false
```

40. Save your changes and exit the editor.

To do this, perform the following steps:

- a. Copy the `/etc/security/user` file to the `/home/ftp/etc/security` directory, by typing:

```
cp /etc/security/user /home/ftp/etc/security
cd /home/ftp/etc/
```

- b. Remove all stanzas from the copied content, except the stanza for the test user, using the editor by typing:

```
vi ./security/user
```

- c. Save and exit the editor.

41. Change the permissions of the `/home/ftp/etc/security/group` file to `-rw-r-----`, by typing:

```
chmod 640 ./security/group
```

42. Change the owner and group of the `/home/ftp/etc/security/group` file to the root user and the security, by typing:

```
chown root:security ./security/group
```

43. Use the following commands to copy the appropriate content into the `/home/ftp/etc/objrepos` directory:

```
cp /etc/objrepos/CuAt ./objrepos
cp /etc/objrepos/CuAt.vc ./objrepos
cp /etc/objrepos/CuDep ./objrepos
cp /etc/objrepos/CuDv ./objrepos
cp /etc/objrepos/CuDvDr ./objrepos
cp /etc/objrepos/CuVPD ./objrepos
cp /etc/objrepos/Pd* ./objrepos
```

44. Change to the `/home/ftp/home` directory, by typing:

```
cd ../home
```

45. Make a new home directory for your user, by typing:

```
mkdir test
```

This will be the home directory for the new ftp user.

46. Change the owner and group of the `/home/ftp/home/test` directory to the test user and the staff group, by typing:

```
chown test:staff test
```

47. Change the permissions of the `/home/ftp/home/test` file to `-rwx-----`, by typing:

```
chmod 700 test
```

48. Disable the remote login and the console login for the test user, by typing:

```
chuser login=false rlogin=false test
```

At this point, you have ftp sublogin set up on your machine. You can test this with the following procedure:

1. Using ftp, connect to the host on which you created the test user. For example:

```
ftp MyHost
```

2. Log in as anonymous. When prompted for a password, press Enter.
3. Switch to the newly created test user, by using the following command:

```
user test
```

When prompted for a password, use the password you created in step “18” on page 56

4. Use the **pwd** command to verify the user's home directory exists. For example:

```
ftp> pwd
/home/test
```

The output shows /home/test as an ftp subdirectory. The full path name on the host is actually /home/ftp/home/test.

Notes:

- You can switch users only with ftp sub users. For example, test is an ftp sub user.
- When you create ftp anonymous users, with the script `anon.users.ftp`, you can assign the user any name by replacing *username* in the script.
- For anonymous users, because the server performs the **chroot** command in the home directory of the user account, any configuration-related file, such as `fileftpaccess.ctl`, should be in the home directory, such as `~/etc/`, of the respective anonymous user. 'Writeonly,' 'readonly,' and 'readwrite,' restrictions in the `/etc/ftpaccess.ctl` file must have a path relative to the chrooted path.

Related information

[TCP/IP Security](#)

[ftp Command](#)

System special user accounts

AIX provides a default set of system special user accounts that prevents the root and system accounts from owning all operating system files and file systems.



Attention: Use caution when removing a system special user account. You can disable a specific account by inserting an asterisk (*) at the beginning of its corresponding line of the `/etc/security/passwd` file. However, be careful not to disable the root user account. If you remove system special user accounts or disable the root account, the operating system will not function.

The following accounts are predefined in the operating system:

adm

The adm user account owns the following basic system functions:

- Diagnostics, the tools for which are stored in the `/usr/sbin/perf/diag_tool` directory.
- Accounting, the tools for which are stored in the following directories:
 - `/usr/sbin/acct`
 - `/usr/lib/acct`
 - `/var/adm`
 - `/var/adm/acct/fiscal`
 - `/var/adm/acct/nite`
 - `/var/adm/acct/sum`

bin

The bin user account typically owns the executable files for most user commands. This account's primary purpose is to help distribute the ownership of important system directories and files so that everything is not owned solely by the root and sys user accounts.

daemon

The daemon user account exists only to own and run system server processes and their associated files. This account guarantees that such processes run with the appropriate file access permissions.

nobody

The nobody user account is used by the Network File System (NFS) to enable remote printing. This account exists so that a program can permit temporary root access to root users. For example, before enabling Secure RPC or Secure NFS, check the `/etc/public` key on the master NIS server to find a user who has not been assigned a public key and a secret key. As root user, you can create an entry in the database for each unassigned user by entering:

```
newkey -u username
```

Or, you can create an entry in the database for the nobody user account, and then any user can run the **chkey** program to create their own entries in the database without logging in as root.

root

The root user account, UID 0, through which you can perform system maintenance tasks and troubleshoot system problems.

sys

The sys user owns the default mounting point for the Distributed File Service (DFS) cache, which must exist before you can install or configure DFS on a client. The `/usr/sys` directory can also store installation images.

system

System group is a system-defined group for system administrators. Users of the system group have the privilege to perform some system maintenance tasks without requiring root authority.

Removing unnecessary default user accounts

During installation of the operating system, a number of default user and group IDs are created. Depending on the applications you are running on your system and where your system is located in the network, some of these user and group IDs can become security weaknesses, vulnerable to exploitation.

The following table lists the most common default user IDs that you might be able to remove:

User ID	Description
uucp, nuucp	Owner of hidden files used by uucp protocol. The uucp user account is used for the UNIX-to-UNIX Copy Program, which is a group of commands, programs, and files, present on most AIX systems, that allows the user to communicate with another AIX system over a dedicated line or a telephone line.
lpd	Owner of files used by printing subsystem
guest	Allows access to users who do not have access to accounts

The following table lists common group IDs that might not be needed:

Group ID	Description
uucp	Group to which uucp and nuucp users belong
printq	Group to which lpd user belongs

Analyze your system to determine which IDs are indeed not needed. There might also be additional user and group IDs that you might not need. Before your system goes into production, perform a thorough evaluation of available IDs.

Note: Instead of removing the `printq` group because of the dependency on printer filesets, disable the `lp` user ID, the **pio** command, and the `qdaemon` program in the `/etc/inittab` entry to minimize the security risks. This prevents the user from running **print** commands.

Accounts created by security components

When security components such as LDAP and OpenSSH are installed or configured, user and group accounts are created.

Security components such as LDAP and OpenSSH create the following user and group accounts:

- Internet Protocol (IP) Security
 - IP Security adds the user *ipsec* and the group *ipsec* during its installation. These IDs are used by the key management service.
- Note:** The group ID in `/usr/lpp/group.id.keymgt` cannot be customized before the installation.
- Kerberos and Public Key Infrastructure (PKI)
 - These components do not create any new user or group accounts.
 - LDAP
 - When the LDAP client or server is installed, the *idsldap* user account is created. The user ID of *idsldap* is not fixed and cannot be changed to a different user. This user ID owns the files that are provided by *idsldap* filesets and packages. You must install the Db2 database before installing the LDAP Server. During the configuration of the LDAP server, the **mksecldap** command creates the *ldapdb2* user account and uses this account to be the LDAP and Db2 instance owner.
 - OpenSSH
 - During the installation of OpenSSH, the user *sshd* and group *sshd* are added to the system. You must not change the corresponding user and group IDs. The privilege separation feature in SSH requires IDs.

Domainless groups

The domainless groups feature allows you to assign users that are defined in one domain to groups that are defined in another domain. This feature supports only Lightweight Database Access Protocol (LDAP) and local domains.

You can create users and groups on the LDAP server by using the LDAP Authentication Load Module (LDAP module). You can also create users and groups on the local system by using the Local Authentication Load Module (local module). When the **domainlessgroups** feature is not enabled, users and user groups that are created on either the LDAP or the Local system cannot be assigned to groups outside of the load domain on which it was created. For example, a user that is created in the LDAP domain cannot be assigned to a group associated with the local domain.

You can overcome this restriction and assign users to both the LDAP and local groups by enabling the **domainlessgroups** system property. The **domainlessgroups** property is defined in the `/etc/secvars.cfg` file. It is only supported for the LDAP and local modules. The possible values for this property follow:

false (default value)

The group attribute is not merged from the LDAP modules and local modules.

true

The group attribute is merged from the LDAP and local modules. For example, the LDAP users can be assigned to the local groups.

To view the value of the **domainlessgroups** property, run the following command:

```
lssec -f /etc/secvars.cfg -s groups -a domainlessgroups
```

To set the **domainlessgroups** property to true, run the following command:

```
chsec -f /etc/secvars.cfg -s groups -a domainlessgroups=true
```

The following table explains how the results of the user and group commands are different, depending on the setting of the **domainlessgroups** property.

Table 6. Results of selected commands that are affected by the **domainlessgroups** property

Command	Results when the domainlessgroups property is set to true
<code>chgroup -R ldap files</code>	Updates the group in the specified domain. You can add the user to either an LDAP or local group.
<code>chuser -R ldap files</code>	Changes the settings for a user in the specified domain. If the groups that are defined in the other domain are specified, those groups are also updated with the user information.
<code>login username</code> or <code>su</code>	Retrieves the user attributes from the user registry, except the group ID attribute. The user attributes for the group ID are merged from both the LDAP and local domains.
<code>lsgroup -R ldap files</code>	Lists all of the group attributes for the specified domain. If it does not find the specified group in the specified domain, the command fails.
<code>lsuser -R ldap files</code>	Lists the attributes of the user after the information is merged from all of the groups in the domain where the user is defined and the other domain. If the primary group of the user is not defined in the domain where the user is defined, it is resolved from the other domain.
<code>mkgroup -R ldap files</code>	Creates a group in the specified domain. After you create the group, you assign the user (whether LDAP or local) to the group in the group database for that domain. You can add the user to either the LDAP or local groups.
<code>mkuser -R ldap files</code>	Creates a user in the specified domain. If the groups that are defined in the other domain are specified, those groups are also updated with the user information.
<code>rmgroup -R ldap files</code>	Deletes the specified group from the specified domain. If the group is assigned as a primary group for any user that is defined in any domain, the command fails.
<code>rmuser -R ldap files</code>	Deletes the specified user from the specified domain. It also removes the user from any groups that are defined in the other domain and has this user as a member.

Related concepts

[LDAP authentication load module](#)

The LDAP exploitation of the security subsystem is implemented as the LDAP authentication load module. It is conceptually similar to the other load modules such as NIS, DCE, and KRB5. Load modules are defined in the `/usr/lib/security/methods.cfg` file.

Related information

[chgroup command](#)

[chuser command](#)

[login command](#)

[lsgroup command](#)

[lsuser command](#)
[mkgroup command](#)
[mkuser command](#)
[rmgroup command](#)
[rmuser command](#)
[su command](#)

Passwords

Guessing passwords is one of the most common attack methods that a system experiences. Therefore, controlling and monitoring your password-restriction policy is essential.

AIX provides mechanisms to help you enforce a stronger password policy, such as establishing values for the following:

- Minimum and maximum number of weeks that can elapse before and after a password can be changed
- Minimum length of a password
- Minimum number of alphabetic characters that can be used when selecting a password

Establishing good passwords

Good passwords are effective first lines of defense against unauthorized entry into a system.

Passwords are effective if they are:

- A mixture of both uppercase and lowercase letters
- A combination of alphabetic, numeric, or punctuation characters. Also, they may have special characters such as `~!@#$$%^&*() -_+[]{}|\;:'",.<>?/<space>`
- Are not written down anywhere
- Are at least 7 to a maximum of `PW_PASSLEN` characters in length, if using the `/etc/security/passwd` file (authentication implementations that use registries, such as LDAP, can have passwords that exceed this maximum length)
- Are not real words that can be found in any dictionary
- Are not patterns of letters on the keyboard, like *qwerty*
- Are not real words or known patterns spelled backwards
- Do not contain any personal information about yourself, family, or friends
- Do not follow the same pattern as a previous password
- Can be typed relatively quickly so someone nearby cannot determine your password

In addition to these mechanisms, you can further enforce stricter rules by restricting passwords so that they cannot include standard UNIX words, which can be guessed. This feature uses the `dictionlist`, which requires that you first have the `bos.data` and `bos.txt` file sets installed.

To implement the previously defined `dictionlist`, edit the following line in the `/etc/security/users` file:

```
dictionlist = /usr/share/dict/words
```

The `/usr/share/dict/words` file uses the `dictionlist` to prevent standard UNIX words from being used as passwords.

Using the /etc/passwd file

Traditionally, the `/etc/passwd` file is used to keep track of every registered user that has access to a system.

The `/etc/passwd` file is a colon-separated file that contains the following information:

- User name

- Encrypted password
- User ID number (UID)
- User's group ID number (GID)
- Full name of the user (GECOS)
- User home directory
- Login shell

The following is an example of an `/etc/passwd` file:

```
root::0:0:/:usr/bin/ksh
daemon!:1:1:/:etc:
bin!:2:2:/:bin:
sys!:3:3:/:usr/sys:
adm!:4:4:/:var/adm:
uucp!:5:5:/:usr/lib/uucp:
guest!:100:100:/:home/guest:
nobody!:4294967294:4294967294:/:
lpd!:9:4294967294:/:
lp:*:11:11:/:var/spool/lp:/bin/false
invscout:*:200:1:/:var/adm/invscout:/usr/bin/ksh
nuucp:*:6:5:uucp login user:/var/spool/uucppublic:/usr/sbin/uucp/uucico
paul!:201:1:/:home/paul:/usr/bin/ksh
jdoe:*:202:1:John Doe:/home/jdoe:/usr/bin/ksh
```

AIX does not store encrypted passwords in the `/etc/passwd` file in the way that UNIX systems do, but in the `/etc/security/passwd` file by default, which is only readable by the root user. The password field in the `/etc/passwd` file is used by AIX to signify whether a password exists or whether the account is blocked.

Note: When the login shell is null, login is successful and the resulting login shell is Bourne shell for ssh. When accessed via `su` the login shell is `sh`, which is a hard link to `ksh`.

The `/etc/passwd` file is owned by the root user and must be readable by all the users, but only the root user has writable permissions, which are shown as `-rw-r--r--`. If a user ID has a password, then the password field will have an `!` (exclamation point). If the user ID does not have a password, then the password field will have an `*` (asterisk). The encrypted passwords are stored in the `/etc/security/passwd` file. The following example contains the last four entries in the `/etc/security/passwd` file based on the entries from the `/etc/passwd` file shown previously.

```
guest:
    password = *

nobody:
    password = *

lpd:
    password = *

paul:
    password = eacVScDKri4s6
    lastupdate = 1026394230
    flags = ADMCHG
```

The user ID `jdoe` does not have an entry in the `/etc/security/passwd` file because it does not have a password set in the `/etc/passwd` file.

The consistency of the `/etc/passwd` file can be checked using the `pwdck` command. The `pwdck` command verifies the correctness of the password information in the user database files by checking the definitions for all of the users or for specified users.

Using the `/etc/passwd` file and network environments

In a traditional networked environment, a user must have had an account on each system to gain access to that system.

That typically meant that the user would have an entry in each of the `/etc/passwd` files on each system. However, in a distributed environment, there is no easy way to ensure that every system had

the same `/etc/passwd` file. To solve this problem, several methods make the information in the `/etc/passwd` file available over the network, including Network Information System (NIS).

Hiding user names and passwords

To achieve a higher level of security, ensure that user IDs and passwords are not visible within the system.

The `.netrc` files contain user IDs and passwords. This file is not protected by encryption or encoding, thus its contents are clearly shown as plain text. To find these files, run the following command:

```
# find `awk -F: '{print $6}' /etc/passwd` -name .netrc -ls
```

After you locate these files, delete them. A more effective way to save passwords is by setting up Kerberos. For more information about Kerberos, see [“Kerberos” on page 312](#).

Setting recommended password options

Proper password management can only be accomplished through user education. To provide some additional security, the operating system provides configurable password restrictions. These allow the administrator to constrain the passwords chosen by users and to force passwords to be changed regularly.

Password options and extended user attributes are located in the `/etc/security/user` file, an ASCII file that contains attribute stanzas for users. These restrictions are enforced whenever a new password is defined for a user. All password restrictions are defined per user. By keeping restrictions in the default stanza of the `/etc/security/user` file, the same restrictions are enforced on all users. To maintain password security, all passwords must be similarly protected.

Administrators can also extend the password restrictions. Using the `pwdchecks` attribute of the `/etc/security/user` file, an administrator can add new subroutines (known as *methods*) to the password restrictions code. Thus, local site policies can be added to and enforced by the operating system. For more information, see [“Extending password restrictions” on page 70](#).

Apply password restrictions sensibly. Attempts to be too restrictive, such as limiting the password space, which makes guessing the password easier, or forcing the user to select passwords that are difficult to remember, which might then be written down, can jeopardize password security. Ultimately, password security rests with the user. Simple password restrictions, coupled with sensible guidelines and an occasional audit to verify that current passwords are unique, are the best policy.

The following table lists recommended values for some security attributes related to user passwords in the `/etc/security/user` file.

Attribute	Description	Recommended Value	Default Value	Maximum Value
dictionlist	Verifies passwords do not include standard UNIX words.	<code>/usr/share/dict/words</code>	Not applicable	Not applicable
histexpire	Number of weeks before password can be reused.	26	52	260*
histsize	Number of password iterations allowed.	20	4	50

Table 7. Recommended security attribute values for user passwords. (continued)

Attribute	Description	Recommended Value	Default Value	Maximum Value
maxage	Maximum number of weeks before password must be changed.	8	13	52
maxexpired	Maximum number of weeks beyond <i>maxage</i> that an expired password can be changed by the user. (Root is exempt.)	2	4	52
maxrepeats	Maximum number of characters that can be repeated in passwords.	2	8	8
minage	Minimum number of weeks before a password can be changed. This should not be set to a nonzero value unless administrators are always easy to reach to reset an accidentally compromised password that was recently changed.	0	4	52
minalpha	Minimum number of alphabetic characters required on passwords.	2	2	PW_PASSLEN**
mindiff	Minimum number of characters in the new password that are distinct from the old password.	0	0	PW_PASSLEN**
minlen	Minimum length of password.	6 (8 for root user)	10	PW_PASSLEN**

Table 7. Recommended security attribute values for user passwords. (continued)

Attribute	Description	Recommended Value	Default Value	Maximum Value
minother	Minimum number of non-alphabetic characters required on passwords.	2	0	PW_PASSLEN**
pwdwarntime	Number of days before the system issues a warning that a password change is required.	5	5	Not applicable
pwdchecks	This entry can be used to augment the passwd command with a custom code that checks the password quality.	For more information, see “ Extending password restrictions ” on page 70.	Not applicable	Not applicable

* A maximum of 50 passwords retained.

** PW_PASSLEN is defined in the `userpw.h` file.

If text processing is installed on the system, the administrator can use the `/usr/share/dict/words` file as a **dictionary** dictionary file. In such a case, the administrator can set the **minother** attribute to 0. Because most words in the dictionary file do not contain characters that fall into the **minother** attribute category, setting the **minother** attribute to 1 or more eliminates the need for the vast majority of words in this dictionary file.

The minimum length of a password on the system is set by the value of the **minlen** attribute or the value of the **minalpha** attribute added to the value of the **minother** attribute, whichever is greater.

The maximum length of a password is the number of characters that is specified by the **PW_PASSLEN** attribute. The number of characters used when generating the stored password value is dependent on the password algorithm in use on the system. Password algorithms are defined in the `/etc/security/pwda1g.cfg` file and the default password algorithm to use can be configured through the **pwd_algorithm** attribute in the `/etc/security/login.cfg` file. The value of the **minalpha** attribute added to the value of the **minother** attribute must never be greater than the **PW_PASSLEN** attribute. If the value of the **minalpha** attribute added to the value of the **minother** attribute is greater than the **PW_PASSLEN** attribute, the value of the **minother** attribute is reduced to the value of the **PW_PASSLEN** attribute less the value of the **minalpha** attribute.

If the values of both the **histexpire** attribute and the **histsize** attribute are set, the system retains the number of passwords required to satisfy both conditions, up to the system limit of 50 passwords per user. Null passwords are not retained.

You can edit the `/etc/security/user` file to include any defaults you want to use to administer user passwords. Alternatively, you can change attribute values by using the **chuser** command.

Other commands that can be used with this file are the **mkuser**, **lsuser**, and **rmuser** commands. The **mkuser** command creates an entry for each new user in the `/etc/security/user` file and initializes its attributes with the attributes defined in the `/usr/lib/security/mkuser.default` file. To display the attributes and their values, use the **lsuser** command. To remove a user, use the **rmuser** command.

Support for passwords with more than 8 characters and Loadable Password Algorithm

Recent advancements in computer hardware make traditional UNIX password encryption vulnerable to brute-force password guessing attacks. A cryptographically weak algorithm can lead to recovery of even strong passwords. AIX supports Loadable Password Algorithm (LPA), which provides secure password hash mechanisms.

Traditional password crypt function

The standard AIX authentication mechanism uses a one-way hash function called **crypt** to authenticate users. The **crypt** function is a modified DES algorithm. It performs a one-way encryption of a fixed data array with the supplied password and a Salt.

The **crypt** function uses only the first eight characters from the password string; the user's password is truncated to eight characters. If the password contains less than eight characters, it is padded with zero bits on the right. The 56-bit DES key is derived by using the 7 bits from each character.

Salt is a two-character string (the 12 bits of the Salt is used to perturb the DES algorithm) chosen from the character set "A-Z", "a-z", "0-9", "." (period) and "/". Salt is used to vary the hashing algorithm, so that the same clear text password can produce 4,096 possible password encryptions. A modification to the DES algorithm, swapping bits *i* and *i*+24 in the DES E-Box output when bit *i* is set in the Salt, achieves this while also making DES encryption hardware useless for password guessing.

The 64-bit all-bits-zero block is encrypted 25 times with the DES key. The final output is the 12-bit salt concatenated with the encrypted 64-bit value. The resulting 76-bit value is recoded into 13 printable ASCII characters in the form of base64.

Password hashing algorithms

Hashing algorithms such as MD5 are harder to break than the **crypt** function. This provides a strong mechanism against brute-force password guessing attacks. Since the whole password is used for generating the hash, there is no password length limitation when password hashing algorithms are used to encrypt the password.

Loadable Password Algorithm

AIX 6.1 and later implemented a Loadable Password Algorithm (LPA) mechanism that can easily deploy new password encryption algorithms.

Each supported password encryption algorithm is implemented as a LPA load module that is loaded at runtime when the algorithm is needed. The supported LPAs and their attributes are defined in the `/etc/security/pwda1g.cfg` system configuration file.

An administrator can set up a system-wide password encryption mechanism that uses a specific LPA to encrypt the passwords. After the system-wide password mechanism is changed, passwords that are encrypted by the previous selected password encryption mechanisms (such as the **crypt** function) are still supported.

Support for passwords longer than eight characters

All of the LPAs implemented for AIX 6.1 and later support passwords longer than eight characters. The password length limitations vary for different LPAs. The supported maximum password length is 255 characters.

LPA configuration file

The LPA configuration file is `/etc/security/pwda1g.cfg`. It is a stanza file that defines the attributes of the supported LPAs.

The following LPA attributes are defined in the config file:

- The path to the LPA module
- The optional flags that is passed to the LPA module at runtime

The LPA attributes defined in the configuration file can be accessed with the **getconfattr** and **setconfattr** interfaces.

The following example stanza in `/etc/security/pwddalg.cfg` defines a LPA named **ssha256**:

```
ssha256:
    lpa_module = /usr/lib/security/ssha
    lpa_options = algorithm=sha256
```

System password algorithm

A system administrator can set a system-wide password algorithm by selecting an LPA as the password hashing algorithm. There can only be one active system password algorithm at a time. The system password algorithm is defined by the **pwd_algorithm** system attribute in the **usw** stanza in the `/etc/security/login.cfg` file.

The valid values for the **pwd_algorithm** attribute in the `/etc/security/login.cfg` file are LPA stanza names that are defined in the `/etc/security/pwddalg.cfg` file. Another valid value for the **pwd_algorithm** attribute is **crypt**, which refers to traditional **crypt** encryption. If the **pwd_algorithm** attribute is omitted from the config file, **crypt** is used as the default value.

The following example of the `/etc/security/login.cfg` file uses **ssha256** LPA as the system-wide password encryption algorithm.

```
... ..
usw:
    shells = /bin/sh,/bin/bsh,/bin/csh,/bin/ksh,/bin/tsh,/bin/ksh93
    maxlogins = 32767
    logintimeout = 60
    maxroles = 8
    auth_type = STD_AUTH
    pwd_algorithm = ssha256
... ..
```

The system password algorithm takes effect only for newly created passwords and changed passwords. After the migration, all subsequent new passwords or password changes use the system password algorithm. The passwords that existed before the system password algorithm is chosen, either generated by the standard **crypt** function or by other supported LPA modules, still work on the system. Therefore, mixed passwords that were generated by different LPAs can coexist on the system.

Setting up the system password algorithm

A system administrator can use the **chsec** command to set up the system password algorithm or use an editor such as **vi** to manually modify the **pwd_algorithm** attribute in the `/etc/security/login.cfg` file.

It is recommended that you use the **chsec** command to set the system password algorithm, as the **chsec** command automatically checks the definition of the specified LPA.

Using the **chsec** command

Run the following command to set the **smd5** LPA as the system-wide password encryption module:

```
chsec -f /etc/security/login.cfg -s usw -a pwd_algorithm=smd5
```

When you use the **chsec** command to modify the **pwd_algorithm** attribute, the **chsec** command checks the `/etc/security/pwddalg.cfg` file to verify the specified LPA. The **chsec** command fails if this check fails.

Using an editor

If you use an editor to manually change the **pwd_algorithm** attribute value in the `/etc/security/login.cfg` file, ensure that the specified value is the name of a stanza that is defined in the `/etc/security/pwddalg.cfg` file.

Extending password restrictions

The rules used by the password program to accept or reject passwords (the password composition restrictions) can be extended by system administrators to provide site-specific restrictions.

Restrictions are extended by adding methods, which are called during a password change. The **pwdchecks** attribute in the `/etc/security/user` file specifies the methods called.

The specified password restriction methods must conform to the **pwdrestrict_method** subroutine interface. To correctly extend the password composition restrictions, the system administrator must program this interface when writing a password-restriction method. Use caution in extending the password-composition restrictions. These extensions directly affect the **login** command, the **passwd** command, the **su** command, and other programs. The security of the system could easily be subverted by malicious or defective code.

User authentication

Identification and authentication are used to establish a user's identity.

Each user is required to log in to the system. The user supplies the user name of an account and a password if the account has one (in a secure system, all accounts must either have passwords or be invalidated). If the password is correct, the user is logged in to that account; the user acquires the access rights and privileges of the account. The `/etc/passwd` and `/etc/security/passwd` files maintain user passwords.

By default users are defined in the Files registry. This means that user account and group information is stored in the flat-ASCII files. With the introduction of plug-in load modules, users can be defined in other registries too. For example, when the LDAP plug-in module is used for user administration, then the user definitions are stored in the LDAP repository. In this case there will be no entry for users in the `/etc/security/user` file (there is an exception to this for the user attributes **SYSTEM** and **registry**). When a compound load module (i.e. load modules with an authentication and database part) is used for user administration, the database half determines how AIX user account information is administrated, and the authentication half describes the authentication and password related administration. The authentication half may also describe authentication-specific user account administration attributes by implementing certain load module interfaces (`newuser`, `getentry`, `putentry` etc).

The method of authentication is controlled by the **SYSTEM** and **registry** attributes that are defined in the `/etc/security/user` file. A system administrator can define the `authcontroldomain` attribute to the `/etc/security/login.cfg` file to force the **SYSTEM** and **registry** attributes to be retrieved from the `authcontroldomain`. For instance, `authcontroldomain=LDAP` forces the system to look for user's **SYSTEM** and **registry** from LDAP to determine the authentication method that was used for the user. There is an exception for locally defined users where the `authcontroldomain` setting is ignored, and the **SYSTEM** and **registry** are always retrieved from `/etc/security/user` file.

The acceptable token for the `authcontroldomain` attribute is files or a stanza name from the `/usr/lib/security/methods.cfg` file.

The value of the **SYSTEM** attribute is defined through a grammar. By using this grammar, the system administrators can combine one or more methods to authenticate a particular user to the system. The well known method tokens are `compat`, `DCE`, `files` and `NONE`.

The system default is `compat`. The default `SYSTEM=compat` tells the system to use the local database for authentication and, if no resolution is found, the Network Information Services (NIS) database is tried. The `files` token specifies that only local files are to be used during authentication, whereas `SYSTEM=DCE` results in a DCE authentication flow.

The `NONE` token turns off method authentication. To turn off all authentication, the `NONE` token must appear in the `SYSTEM` and `auth1` lines of the user's stanza.

You can specify two or more methods and combine them with the logical constructors `AND` and `OR`. For instance `SYSTEM=DCE OR compat` indicates that the user is allowed to login if either DCE or local authentication (`crypt()`) succeeds in this given order.

In a similar fashion a system administrator can use authentication load module names for the **SYSTEM** attribute. For instance when SYSTEM attribute is set to SYSTEM=KRB5files OR compat, the AIX host will first try a Kerberos flow for authentication and if it fails, then it will try standard AIX authentication.

SYSTEM and **registry** attributes are always stored on the local file system in the /etc/security/user file. If an AIX user is defined in LDAP and the **SYSTEM** and **registry** attributes are set accordingly, then the user will have an entry in the /etc/security/user file.

The **SYSTEM** and **registry** attributes of a user can be changed using the **chuser** command.

Acceptable tokens for the **SYSTEM** attribute can be defined in the /usr/lib/security/methods.cfg file.

Note: The root user is always authenticated by means of the local system security file. The **SYSTEM** attribute entry for the root user is specifically set to SYSTEM=compat in the /etc/security/user file.

Alternative methods of authentication are integrated into the system by means of the **SYSTEM** attribute that appears in /etc/security/user. For instance, the Distributed Computing Environment (DCE) requires password authentication but validates these passwords in a manner different from the encryption model used in etc/passwd and /etc/security/passwd. Users who authenticate by means of DCE can have their stanza in /etc/security/user set to SYSTEM=DCE.

Other **SYSTEM** attribute values are **compat**, **files**, and **NONE**. The compat token is used when name resolution (and subsequent authentication) follows the local database, and if no resolution is found, the Network Information Services (NIS) database is tried. The files token specifies that only local files are to be used during authentication. Finally, the NONE token turns off method authentication. To turn off all authentication, the NONE token must appear in the **SYSTEM** and **auth1** lines of the user's stanza.

Other acceptable tokens for the **SYSTEM** attribute can be defined in /usr/lib/security/methods.cfg.

Note: The root user is always authenticated by means of the local system security file. The **SYSTEM** attribute entry for the root user is specifically set to SYSTEM = "compat" in /etc/security/user.

See *Operating system and device management* for more information on protecting passwords.

Login user IDs

All audit events recorded for this user are labeled with this ID and can be examined when you generate audit records. See *Operating system and device management* for more information about login user IDs.

User and Group attributes supported by the Authentication Load Modules

A set of user-related and group-related attributes are used to achieve identification and authentication in AIX.

The following tables list most of these user and group attributes as a list and also indicate the support from the various load modules for these attributes. Each row of the table corresponds to an attribute and each column represents a load module. Attributes supported by a load module are indicated with a Yes in the load module column.

Note: PKI and Kerberos are authentication-only modules and must be combined with a database model (such as LOCAL or LDAP). They support certain additional (extended) attributes other than those provided by LOCAL or LDAP. Markings are shown against only these extended attributes for these modules, even though other attributes could be functionally achieved using LOCAL or LDAP.

User attribute	Local	NIS	LDAP	PKI	Kerberos
account_locked	Yes	No	Yes	No	No
admgroups	Yes	No	Yes	No	No
admin	Yes	No	Yes	No	No

Table 8. User attributes and Authentication Load Module support (continued)

User attribute	Local	NIS	LDAP	PKI	Kerberos
auditclasses	Yes	No	Yes	No	No
auth_cert	No	No	No	Yes	No
auth_domain	Yes	No	Yes	No	No
auth_name	Yes	No	Yes	No	No
auth1 Note: The auth1 attribute is deprecated and should not be used.	Yes	No	Yes	No	No
auth2 Note: The auth2 attribute is deprecated and should not be used.	Yes	No	Yes	No	No
capabilities	Yes	No	Yes	No	No
core	Yes	No	Yes	No	No
core_compress	Yes	No	No	No	No
core_hard	Yes	No	Yes	No	No
core_naming	Yes	No	No	No	No
core_path	Yes	No	No	No	No
core_pathname	Yes	No	No	No	No
cpu	Yes	No	Yes	No	No
daemon	Yes	No	Yes	No	No
data	Yes	No	Yes	No	No
data_hard	Yes	No	Yes	No	No
dce_export	Yes	No	Yes	No	No
dictionlist	Yes	No	Yes	No	No
expires	Yes	No	Yes	No	Yes
flags	Yes	No	Yes	No	Yes
fsize	Yes	No	Yes	No	No
fsize_hard	Yes	No	Yes	No	No
funcmode	Yes	No	Yes	No	No
gecos	Yes	Yes	Yes	No	No
groups	Yes	Yes	Yes	No	No
groupsids	Yes	Yes	Yes	No	No
histexpire	Yes	No	Yes	No	No
home	Yes	Yes	Yes	No	No
host_last_login	Yes	No	Yes	No	No
host_last_unsuccessful_login	Yes	Yes	Yes	No	No

Table 8. User attributes and Authentication Load Module support (continued)

User attribute	Local	NIS	LDAP	PKI	Kerberos
hostsallowedlogin	Yes	No	Yes	No	No
hostsdeniedlogin	Yes	No	Yes	No	No
id	Yes	Yes	Yes	No	No
krb5_attributes	No	No	No	No	Yes
krb5_kvno	No	No	No	No	Yes
krb5_last_pwd_change	No	No	No	No	Yes
krb5_max_renewable_life	No	No	No	No	Yes
krb5_mknvo	No	No	No	No	Yes
krb5_mod_date	No	No	No	No	Yes
krb5_mod_name	No	No	No	No	Yes
krb5_names	No	No	No	No	Yes
krb5_principal	No	No	No	No	Yes
krb5_principal_name	No	No	No	No	Yes
krb5_realm	No	No	No	No	Yes
lastupdate	Yes	Yes	Yes	No	No
login	Yes	No	Yes	No	No
loginretries	Yes	No	Yes	No	No
logintimes	Yes	No	Yes	No	No
maxage	Yes	Yes	Yes	No	Yes
maxexpired	Yes	Yes	Yes	No	No
maxrepeats	Yes	No	Yes	No	No
maxulogs	Yes	No	Yes	No	No
minage	Yes	Yes	Yes	No	No
minalpha	Yes	No	Yes	No	No
mindiff	Yes	No	Yes	No	No
mindigit	Yes	No	Yes	No	No
minlen	Yes	No	Yes	No	No
minloweralpha	Yes	No	Yes	No	No
minother	Yes	No	Yes	No	No
minspecialchar	Yes	No	Yes	No	No
minupperalpha	Yes	No	Yes	No	No
nofiles	Yes	No	Yes	No	No
nofiles_hard	Yes	No	Yes	No	No
password	Yes	Yes	Yes	No	No

Table 8. User attributes and Authentication Load Module support (continued)

User attribute	Local	NIS	LDAP	PKI	Kerberos
pgid	Yes	Yes	No	No	No
pgrp	Yes	Yes	Yes	No	No
projects	Yes	No	Yes	No	No
pwdchecks	Yes	No	Yes	No	No
pwdwarntime	Yes	No	Yes	No	No
rcmds	Yes	No	Yes	No	No
registry	Yes	No	No	No	No
rlogin	Yes	No	Yes	No	No
roles	Yes	No	Yes	No	No
rss	Yes	No	Yes	No	No
rss_hard	Yes	No	Yes	No	No
screens	Yes	No	Yes	No	No
shell	Yes	Yes	Yes	No	No
spassword	Yes	Yes	Yes	No	No
stack	Yes	No	Yes	No	No
stack_hard	Yes	No	Yes	No	No
su	Yes	No	Yes	No	No
sugroups	Yes	No	Yes	No	No
sysenv	Yes	No	Yes	No	No
SYSTEM	Yes	No	No	No	No
time_last_login	Yes	No	Yes	No	No
time_last_unsuccessful_login	Yes	No	Yes	No	No
tpath	Yes	No	Yes	No	No
tty_last_login	Yes	No	Yes	No	No
tty_last_unsuccessful_login	Yes	No	Yes	No	No
ttys	Yes	No	Yes	No	No
umask	Yes	No	Yes	No	No
unsuccessful_login_count	Yes	No	Yes	No	No
unsuccessful_login_times	Yes	No	Yes	No	No
usrenv	Yes	No	Yes	No	No

Table 9. Group attributes and Authentication Load Module support

User attribute	Local	NIS	LDAP	PKI	Kerberos
admin	Yes	No	Yes	No	No
adms	Yes	No	Yes	No	No

Table 9. Group attributes and Authentication Load Module support (continued)

User attribute	Local	NIS	LDAP	PKI	Kerberos
dce_export	Yes	No	Yes	No	No
id	Yes	Yes	Yes	No	No
primary	Yes	No	Yes	No	No
projects	Yes	No	Yes	No	No
screens	Yes	No	Yes	No	No
users	Yes	Yes	Yes	No	No

Disk quota system overview

The disk quota system allows system administrators to control the number of files and data blocks that can be allocated to users or groups.

Disk quota system concept

The disk quota system, based on the Berkeley Disk Quota System, provides an effective way to control the use of disk space. The quota system can be defined for individual users or groups, and is maintained for each journaled file system (JFS and JFS2).

The disk quota system establishes limits based on the following parameters that can be changed with the **edquota** command for JFS file systems and the **j2edlimit** command for JFS2 file systems:

- User's or group's soft limits
- User's or group's hard limits
- Quota grace period

The *soft limit* defines the number of 1 KB disk blocks or files the user or group will be allowed to use during normal operations. The *hard limit* defines the maximum amount of disk blocks or files the user can accumulate under the established disk quotas. The *quota grace period* allows the user to exceed the soft limit for a short period of time (the default value is one week). If the user fails to reduce usage below the soft limit during the specified time, the system will interpret the soft limit as the maximum allocation allowed, and no further storage is allocated to the user. The user can reset this condition by removing enough files to reduce usage below the soft limit.

The disk quota system tracks user and group quotas in the `quota.user` and `quota.group` files that reside in the root directories of file systems enabled with quotas. These files are created with the **quotacheck** and **edquota** commands and are readable with the quota commands.

Recovering from over-quota conditions

You can recover from over-quota conditions by reducing file system usage.

To reduce file system usage when you have exceeded quota limits, you can use the following methods:

- Stop the current process that caused the file system to reach its limit, remove surplus files to bring the limit below quota, and retry the failed program.
- If you are running an editor such as vi, use the shell escape sequence to check your file space, remove surplus files, and return without losing your edited file. Alternatively, if you are using the C or Korn shells, you can suspend the editor with the Ctrl-Z key sequence, issue the file system commands, and then return with the **fg** (foreground) command.
- Temporarily write the file to a file system where quota limits have not been exceeded, delete surplus files, and then return the file to the correct file system.

Setting up the disk quota system

Typically, only those file systems that contain user home directories and files require disk quotas.

Consider implementing the disk quota system under the following conditions:

- Your system has limited disk space.
- You require more file-system security.
- Your disk-usage levels are large, such as at many universities.

If these conditions do not apply to your environment, you might not want to create disk-usage limits by implementing the disk quota system.

The disk quota system can be used only with the journaled file system.

Note: Do not establish disk quotas for the /tmp file system.

To set up the disk quota system, use the following procedure:

1. Log in with root authority.
2. Determine which file systems require quotas.

Note: Because many editors and system utilities create temporary files in the /tmp file system, it must be free of quotas.

3. Use the **chfs** command to include the **userquota** and **groupquota** quota configuration attributes in the /etc/filesystems file. The following example uses the **chfs** command to enable user quotas on the /home file system:

```
chfs -a "quota = userquota" /home
```

To enable both user and group quotas on the /home file system, type:

```
chfs -a "quota = userquota,groupquota" /home
```

The corresponding entry in the /etc/filesystems file is displayed as follows:

```
/home:
dev      = /dev/hd1
vfs      = jfs
log      = /dev/hd8
mount    = true
check    = true
quota    = userquota,groupquota
options  = rw
```

4. Optionally, specify alternate disk quota file names. The quota.user and quota.group file names are the default names located at the root directories of the file systems enabled with quotas. You can specify alternate names or directories for these quota files with the **userquota** and **groupquota** attributes in the /etc/filesystems file.

The following example uses the **chfs** command to establish user and group quotas for the /home file system, and names the myquota.user and myquota.group quota files:

```
chfs -a "userquota = /home/myquota.user" -a "groupquota = /home
/myquota.group" /home
```

The corresponding entry in the /etc/filesystems file is displayed as follows:

```
/home:
dev      = /dev/hd1
vfs      = jfs
log      = /dev/hd8
mount    = true
check    = true
quota    = userquota,groupquota
userquota = /home/myquota.user
groupquota = /home/myquota.group
options  = rw
```

- If they are not previously mounted, mount the specified file systems.
- Set the desired quota limits for each user or group. Use the **edquota** command to create each user or group's soft and hard limits for allowable disk space and maximum number of files.

The following example entry shows quota limits for the *davec* user:

```
Quotas for user davec:
/home: blocks in use: 30, limits (soft = 100, hard = 150)
      inodes in use: 73, limits (soft = 200, hard = 250)
```

This user has used 30 KB of the maximum 100 KB of disk space. Of the maximum 200 files, *davec* has created 73. This user has buffers of 50 KB of disk space and 50 files that can be allocated to temporary storage.

When establishing disk quotas for multiple users, use the **-p** flag with the **edquota** command to duplicate a user's quotas for another user.

To duplicate the quotas established for user *davec* for user *nanc*, type:

```
edquota -p davec nanc
```

- Enable the quota system with the **quotaon** command. The **quotaon** command enables quotas for a specified file system, or for all file systems with quotas (as indicated in the */etc/filesystems* file) when used with the **-a** flag.
- Use the **quotacheck** command to check the consistency of the quota files against actual disk usage.

Note: Do this each time you first enable quotas on a file system and after you reboot the system. The **quotacheck** command takes longer to run on a JFS filesystem than on a JFS2 filesystem of the same size. If quotas are enabled all the time prior to reboot, it is not necessary to run the **quotacheck** command on the filesystem during reboot.

To enable this check and to turn on quotas during system startup, add the following lines at the end of the */etc/rc* file:

```
echo " Enabling filesystem quotas "
/usr/sbin/quotacheck -a
/usr/sbin/quotaon -a
```

Number of Groups allowed

You can configure and retrieve the Number of Groups allowed value for AIX 7.1. It defines the Number of Groups that users can be members of.

The default value for the Number of Groups allowed is 128. It can be tuned in the range of 128 and 2048. The Number of Groups allowed is specified with the *v_ngroups_allowed* system configuration parameter for the *sys0* device. You can change or retrieve the *v_ngroups_allowed* parameter value from the kernel or ODM database. The parameter value in the kernel is used by the system while running. The parameter value in the ODM database is effective after the system is restarted.

Retrieving the Number of Groups allowed value from the ODM database

You must use commands or subroutines to retrieve the *v_ngroups_allowed* parameter. You must use the **lsattr** command to retrieve the *v_ngroups_allowed* parameter in the ODM database.

The **lsattr** command displays the *v_ngroups_allowed* parameter as the *ngroups_allowed* attribute. The following example shows how to use the **lsattr** command to retrieve the *ngroups_allowed* attribute:

```
$lsattr -El sys0
SW_dist_intr    false      Enable SW distribution of interrupts      True
autorestart    true       Automatically REBOOT system after a crash True
boottype        disk      N/A                                       False
capacity_inc    1.00     Processor capacity increment             False
capped          true      Partition is capped                      False
conslogin       enable    System Console Login                    False
```

cpuguard	enable	CPU Guard	True
dedicated	true	Partition is dedicated	False
ent_capacity	4.00	Entitled processor capacity	False
frequency	93750000	System Bus Frequency	False
fullcore	false	Enable full CORE dump	True
fwversion	IBM,SPH01316	Firmware version and revision levels	False
iostat	false	Continuously maintain DISK I/O history	True
keylock	normal	State of system keylock at boot time	False
max_capacity	4.00	Maximum potential processor capacity	False
max_logname	20	Maximum login name length at boot time	True
maxbuf	20	Maximum number of pages in block I/O BUFFER CACHE	True
maxmbuf	0	Maximum Kbytes of real memory allowed for MBUFS	True
maxpout	0	HIGH water mark for pending write I/Os per file	True
maxuproc	128	Maximum number of PROCESSES allowed per user	True
min_capacity	1.00	Minimum potential processor capacity	False
minpout	0	LOW water mark for pending write I/Os per file	True
modelname	IBM,7044-270	Machine name	False
ncargs	6	ARG/ENV list size in 4K byte blocks	True
pre430core	false	Use pre-430 style CORE dump	True
pre520tune	disable	Pre-520 tuning compatibility mode	True
realmem	3145728	Amount of usable physical memory in Kbytes	False
rtasversion	1	Open Firmware RTAS version	False
sec_flags	0	Security Flags	True
sed_config	select	Stack Execution Disable (SED) Mode	True
systemid	IBM,0110B5F5F	Hardware system identifier	False
variable_weight	0	Variable processor capacity weight	False
ngroups_allowed	128	Number of Groups Allowed at boot time	True
\$			

Retrieving the number of groups allowed from the kernel

You must use the `sys_parm` subroutine to retrieve the `v_ngroups_allowed` parameter from the kernel.

```
#include<sys/types.h>
#include<sys/var.h>
#include<errno.h>
main()
{
    int rc;
    struct vario myvar;

    rc = sys_parm (SYSP_GET, SYSP_V_NGROUPS_ALLOWED, &myvar);

    if (!rc)
        printf("Number of Groups Allowed = %d\n",
            myvar.v.v_ngroups_allowed.value);
    else
        printf("sys_parm() failed rc = %d, errno = %d\n", rc, errno);
}
```

Changing the Number of Groups Allowed in the ODM database

You must configure the Number of Groups Allowed value in the kernel during the system boot phase. Use the **chdev** command to change the value in the ODM database. This change takes effect when the system is restarted.

To change the **v_ngroups_allowed** parameter in the ODM database by using the **chdev** command, type:

```
$ chdev -l sys0 -a ngroups_allowed=2048
sys0 changed
$
```

Role-based access control

System administration is an important aspect of daily operations, and security is an inherent part of most system administration functions. Also, in addition to securing the operating environment, it is necessary to closely monitor daily system activities.

Most environments require that different users manage different system administration duties. It is necessary to maintain separation of these duties so that no single system management user can

accidentally or maliciously bypass system security. While traditional UNIX system administration cannot achieve these goals, role-based access control (RBAC) can.

Traditional UNIX administration limitations

RBAC resolves some traditional UNIX system administration issues. These issues include the following:

root administrative account

Traditionally, AIX and other UNIX operating systems have defined a single system administrator account named **root** (normally designated with a UID of 0) that can perform all privileged system administration tasks on the system. Reliance on a single user for all system administration tasks is a problem in regard to the separation of duties. While a single administrative account is acceptable in certain environments, many environments require multiple administrators, with each administrator responsible for different system administration tasks.

In order to share the administration responsibilities with multiple users of the system, the historical practice was to either share the password of the root user or create another user with the same UID as the root user. This method of sharing system administration duties presents security issues, since each administrator has complete system control and there is no method to limit the operations that an administrator can perform. Since the root user is the most privileged user, root users can perform unauthorized operations and can also erase any audits of these activities, making it impossible to track these administrative actions.

Privilege escalation through SUID

Access control in UNIX operating systems has historically been performed by using the UID associated with the process to determine access. However, the root UID of 0 has traditionally been allowed to bypass permission checks. Therefore, a process that is running as the root user can pass any access checks and perform any operation. This is a security issue for the UNIX concept of **setuid** applications.

The **setuid** concept allows a command to run under a different identity than the user who invoked the command. This is necessary when a normal user needs to accomplish a privileged task. An example of this is the AIX **passwd** command. Since a normal user does not have access to the file that stores user passwords, an additional privilege is needed to change the user's password, so the **passwd** command is **setuid** to the root user. When a normal user runs the **passwd** command, it appears to the operating system that the root user is accessing the file and the access is granted.

While this concept does provide the desired functionality, it carries with it an inherent risk. Since the **setuid** program is effectively running in the root context, if an attacker successfully takes over the program before it exits, then the attacker has all of the powers of root and can then bypass all operating system access checks and perform all operations. A better solution is to only assign a subset of the root user privileges to the program so that the [“Least privilege principle” on page 81](#) is followed and the threat is mitigated.

Elements of RBAC

RBAC allows the creation of roles for system administration and the delegation of administrative tasks across a set of trusted system users. In AIX, RBAC provides a mechanism through which the administrative functions typically reserved for the root user can be assigned to regular system users.

RBAC accomplishes this by defining job functions (roles) within an organization and assigning those roles to specific users. RBAC is essentially a framework that allows for system administration through the use of roles. Roles are typically defined with the scope of managing one or more administrative aspects of the environment. Assigning a role to a user effectively confers a set of permissions or privileges and powers to the user. For example, one management role might be to manage the filesystems, while another role might be to enable the creation of user accounts.

RBAC administration has the following advantages as compared to traditional UNIX administration:

- System administration can be performed by multiple users without sharing account access.

- Security isolation through granular administration since each administrator does not need to be granted more power than is required.
- Allows for enforcing a least-privilege security model. Users and applications are only granted necessary privileges when required, thereby reducing the impact a system attacker can have.
- Allows for implementing and enforcing company-wide security policies consistently in regard to system management and access control.
- A role definition can be created once and then assigned to users or removed as needed when users change job functions.

The RBAC framework is centered on the following three core concepts:

- Authorizations
- Roles
- Privileges

Together, these concepts allow an RBAC system to enforce the least-privilege principle.

Authorizations

An authorization is a text string associated with security-related functions or commands. Authorizations provide a mechanism to grant rights to users to perform privileged actions and to provide different levels of functionality to different classes of users.

When a command governed by an authorization is run, access is granted only if the invoking user has the required authorization. An authorization can be thought of as a key that is able to unlock access to one or more commands. Authorizations are not directly assigned to users. Users are assigned roles, which are a collection of authorizations.

Roles

Roles allow a set of management functions in the system to be grouped together. Using the analogy that an authorization is a key, a role can be thought of as a key ring that can hold multiple authorizations. Authorizations may be directly assigned to a role or indirectly assigned through a sub-role. A sub-role is simply another role that a given role inherits the authorizations from.

A role by itself does not grant the user any additional powers, but instead serves as a collection mechanism for authorizations and a facility for assigning authorizations to a user. Defining a role and assigning the role to a user determines the system administration tasks that can be performed by the user. After a role has been defined, the role administrator can assign the role to one or more users to manage the privileged operations that are represented by the role. Additionally, a user can be assigned multiple roles. Once a role has been assigned to a user, the user can use the authorizations assigned to the role to unlock access to administrative commands on the system.

Organizational policies and procedures determine how to allocate roles to users. Do not assign too many authorizations to a role or assign a role to too many users. Most roles should only be assigned to members of the administrative staff. Just as the powers of root have historically only been given to trusted users, roles should only be assigned to trusted users. Grant roles only to users with legitimate needs and only for the duration of the need. This practice reduces the chances that an unauthorized user can acquire or abuse authorizations.

Privileges

A privilege is a process attribute that allows the process to bypass specific system restrictions and limitations.

The privilege mechanism provides trusted applications with capabilities that are not permitted to untrusted applications. For example, privileges can be used to override security constraints, to permit the expanded use of certain system resources such as memory and disk space, and to adjust the performance and priority of a process. A privilege can be thought of as an ability that allows a process to overcome a specific security constraint in the system.

Authorizations and roles are user-level tools that configure a user's ability to access privileged operations. On the other hand, privileges are the restriction mechanism used in the kernel to determine if a process is allowed to perform a particular action.

Privileges are associated with a process and are typically acquired through the invocation of a privileged command. Because of these associated privileges, the process is eligible to perform the related privileged operation. For example, if a user uses a role that has an authorization to run a command, a set of privileges is assigned to the process when the command is run.

Least privilege principle

In an operating system, some operations are privileged and permission to perform these operations is restricted to authorized users. These privileged operations usually include tasks such as rebooting the system, adding and modifying filesystems, adding and deleting users, and modifying the system date and time.

In traditional UNIX systems, a process or user can be in normal mode or privileged mode (also called superuser or root). A process running as root can execute any command and perform any system operation, while a normal user cannot perform privileged operations. A traditional UNIX system has a very coarse all-or-nothing concept of privilege and faces the security threat of the overprivileged administrator.

The traditional UNIX approach where a single privileged mode grants all access to the system is too coarse to meet the requirements of highly secured systems. A system designed to be secure requires that each process be granted the most restrictive set of privileges needed to perform a task. Privileges provide the advantage that only processes that require certain privileges need to be granted these privileges. This restriction of privileges is known as the principle of least privilege and is useful in limiting damage to the system due to careless or malicious administrators and operators.

For example, changing a password requires certain privileges in order to access files that are not typically accessible by a normal user. If users always had these privileges, they could also perform other actions that are undesirable from a security standpoint. Therefore, the required privileges are granted only to the **passwd** command and not to all users.

In an RBAC environment, users themselves do not have any inherent privileges. Users are simply allowed to run certain commands which are then granted privileges. If a user was instead directly granted privileges, they could use the privileges at any time and in any manner wanted. Limiting privileges to individual commands allows the context in which the privileges are applied to be constrained. This leads to enhanced security because if a trusted application is exploited by an attacker, the attacker will have a limited set of privileges instead of the whole powers of root with all privileges.

Trusted applications must be carefully inspected before they are granted privileges. In addition, privileges should be granted when and where necessary for the application. Trusted applications are just like any other program, the only difference being that trusted applications are allowed to perform actions that are denied to untrusted applications.

AIX RBAC

AIX provided a limited RBAC implementation prior to AIX 6.1.

Beginning with AIX 6.1, a new implementation of RBAC provides for a very fine granular mechanism to segment system administration tasks. Since these two RBAC implementations differ greatly in functionality, the following terms are used:

Legacy RBAC Mode

The historic behavior of AIX roles that apply to versions before AIX 6.1

Enhanced RBAC Mode

The new implementation introduced with AIX 6.1

Both modes of operation are supported. However, Enhanced RBAC Mode is the default on a newly installed AIX 6.1 system. The following sections provide a brief discussion of the two modes and their differences, and information on configuring the system to operate in the desired RBAC mode.

Legacy RBAC Mode

Prior to AIX 6.1, AIX provided limited RBAC functionality that allowed non-root users to perform certain system administration tasks.

In this RBAC implementation, when a given administrative command is invoked by a non-root user, the code in the command determines if the user is assigned a role with the required authorization. If a match is found, the command execution continues. If not, the command fails with an error. It is often required that the command being controlled by an authorization be **setuid** to the root user for an authorized invoker to have the necessary privilege to accomplish the operation.

This RBAC implementation also introduced a predefined but user-expandable set of authorizations that can be used to determine access to administrative commands. Additionally, a framework of administrative commands and interfaces to create roles, assign authorizations to roles, and assign roles to users is also provided.

While this implementation provides the ability to partially segment system administration responsibilities, it functions with the following constraints:

1. The framework requires changes to commands and applications to be RBAC-enabled.
2. Predefined authorizations are not granular and the mechanisms to create authorizations are not robust.
3. Membership in a certain group is often required as well as having a role with a given authorization in order to run a command.
4. Separation of duties is difficult to implement. If a user is assigned multiple roles, there is no way to act under a single role. The user always has all of the authorizations for all of their roles.
5. The least privilege principle is not adopted in the operating system. Commands must typically be SUID to the root user.

Legacy RBAC Mode is supported for compatibility, but Enhanced RBAC Mode is the default RBAC mode. Enhanced RBAC Mode is preferred on AIX.

Enhanced RBAC Mode

A more powerful implementation of RBAC is provided with AIX 6.1. Applications that require administrative privileges for certain operations have new integration options with the enhanced AIX RBAC infrastructure.

These integration options center on the use of granular privileges and authorizations and the ability to configure any command on the system as a privileged command. Features of the enhanced RBAC mode will be installed and enabled by default on all installations of AIX beginning with AIX 6.1.

The enhanced RBAC mode provides a configurable set of authorizations, roles, privileged commands, devices and files through the following RBAC databases listed below. With enhanced RBAC, the databases can reside either in the local filesystem or can be managed remotely through LDAP.

- Authorization database
- Role database
- Privileged command database
- Privileged device database
- Privileged file database

Enhanced RBAC mode introduces a new naming convention for authorizations that allows a hierarchy of authorizations to be created. AIX provides a granular set of system-defined authorizations and an administrator is free to create additional user-defined authorizations as necessary.

The behavior of roles has been enhanced to provide separation of duty functionality. Enhanced RBAC introduces the concept of role sessions. A role session is a process with one or more associated roles. A user can create a role session for any roles that they have been assigned, thus activating a single role or several selected roles at a time. By default, a new system process does not have any associated roles. Roles have further been enhanced to support the requirement that the user must authenticate before

activating the role to protect against an attacker taking over a user session since the attacker would then need to authenticate to activate the user's roles.

The introduction of the privileged command database implements the least privilege principle. The granularity of system privileges has been increased, and explicit privileges can be granted to a command and the execution of the command can be governed by an authorization. This provides the functionality to enforce authorization checks for command execution without requiring a code change to the command itself. Use of the privileged command database eliminates the requirement of SUID and SGID applications since the capability of only assigning required privileges is possible.

The privileged device database allows access to devices to be governed by privileges, while the privileged file database allows unprivileged users access to restricted files based on authorizations. These databases increase the granularity of system administrative tasks that can be assigned to users who are otherwise unprivileged.

The information in the RBAC databases is gathered and verified and then sent to an area of the kernel designated as the Kernel Security Tables (KST). It is important to note that the state of the data in the KST determines the security policy for the system. Entries that are modified in the user-level RBAC databases are not used for security decisions until this information has been sent to the KST with the **setkst** command.

Configuring the RBAC mode

The RBAC mode is controlled by a system-wide configuration variable in the kernel. This variable specifies whether Enhanced RBAC Mode is enabled or disabled.

Enhanced RBAC mode is enabled by default on AIX 6.1 and later. You can run the **chdev** command on the **sys0** device and specify a value of **false** for the **enhanced_RBAC** attribute to disable enhanced RBAC mode and revert to legacy RBAC mode. You must reboot the system for the change to the **enhanced_RBAC** attribute to take effect. To enable the enhanced RBAC mode, the **enhanced_RBAC** attribute should be set to **true**. Programmatically, the mode can also be set or queried through the **sys_parm()** system call.

Run the following command on the system to retrieve the current RBAC mode:

```
lsattr -E -l sys0 -a enhanced_RBAC
```

You can disable the enhanced RBAC mode by running the following command and then rebooting the system:

```
chdev -l sys0 -a enhanced_RBAC=false
```

In a WPAR environment, the RBAC mode can only be configured from the global system and will uniformly affect the global as well as all of the WPARs on the system.

Legacy RBAC mode and enhanced RBAC mode comparison

Existing and new interfaces have been modified to check the system configuration and run the new code or follow the old behavior.

In legacy RBAC mode, only authorizations that are checked within the code of the command itself are enforced. The Kernel Security Tables (KST) do not have any affect on command execution or authorization checks. Determination of whether a user has an authorization follows the legacy RBAC mode behavior of retrieving all the user's authorizations and checking for a match. New features such as the **swrole** command and the **default_roles** and **auth_mode** attributes are not available in legacy RBAC mode. However, the new privileges, authorizations, and management commands for authorizations are supported in legacy RBAC mode.

The following table lists some of the differences between the legacy and enhanced RBAC modes.

Table 10. differences between the legacy and enhanced RBAC modes

Feature	Legacy RBAC	Enhanced RBAC
Role activation	All of a user's roles are always active	By default, roles are not active until assumed explicitly via the swrole command
default_roles attribute	Not available	Supported
swrole command	Not available	Supported
Role management commands	Supported	Supported
Authorization management commands	Supported	Supported
Authorization hierarchy	Each authorization is independent. No hierarchy functionality.	Supports concept of authorization hierarchy where authorizations can be parents of other authorizations
Authorization checks	Only enforced if command itself checks for authorization	Enforced through Privileged Command Database and/or by the command itself
Granular Privileges	Supported	Supported
pvi command	Not available	Supported
Kernel Security Tables	Not available	Supported
RBAC Database Location	Local files	Local files or LDAP

Using Enhanced RBAC

System administrators should be knowledgeable in the following areas in order to effectively use Enhanced RBAC.

RBAC Authorizations

Authorizations are an important part of Role Based Access Control (RBAC). The operating system uses authorization strings to determine eligibility before performing a privileged operation. Related checks can be performed from within the code explicitly or can be done by the loader when running protected privileged executables.

The naming of authorization strings indicates the privileged operation that they represent and control. The AIX naming convention for authorizations supports a hierarchical structure that is denoted by the authorization's textual name. AIX authorization strings use a dotted notation format to describe the authorization hierarchy. For example, the authorization to create new file systems is **aix.fs.manage.create**. If this authorization is included in a role, then a user who is assigned this role can create AIX filesystems. If the parent authorization **aix.fs.manage** is included in a role, then a user who is assigned this role can perform other file system management tasks as well as create filesystems.

AIX RBAC differentiates between system-provided authorizations (system-defined authorizations) and authorizations that are created after installation (user-defined authorizations).

System-defined authorizations

AIX provides a predefined and non-modifiable set of authorizations. These are known as System-Defined Authorizations. These authorizations are associated with various privileged AIX operations; the association is specified in the Privileged Command Database.

At the top of the system-defined authorization hierarchy is the **aix** authorization. This authorization is the parent of all other system-defined authorizations. Granting this authorization to a role grants

every system-defined authorization to the role. To display the complete set of AIX system-defined authorizations and a brief description of each authorization, run the following command:

```
lsauth -f -a description ALL_SYS
```

The output of the above command shows that the list of system-defined authorizations is a multi-level hierarchy. For example, the **aix** authorization has several immediate children. Each of those children is then a parent of another hierarchy. The **aix.fs** authorization includes multiple child authorizations, including **aix.fs.manage**, which in turn includes multiple authorizations such as **aix.fs.manage.change**, and **aix.fs.manage.create**.

User-defined authorizations

In addition to system-defined authorizations, AIX RBAC allows system administrators to define their own custom authorizations in the authorization database (/etc/security/authorizations). These are known as user-defined authorizations.

A system administrator can add, modify, or delete user-defined authorizations. For example, a system administrator can allow some users to run a privileged command by creating a user-defined authorization and then associating this authorization with the command and granting the authorization to a role that is assigned to these users.

User-defined authorizations support the same hierarchy concept as system-defined authorizations. However, there are restrictions placed on the naming of AIX user-defined authorizations.

- User-defined authorizations must be defined beneath a new top-level parent. In other words, user-defined authorizations cannot be children of system-defined authorizations (**aix**).
- An authorization name can contain a maximum of 63 printable characters.
- An authorization's parent hierarchy can contain a maximum of eight levels.
- An authorization can have any number of immediate children, but can only have one immediate parent. Two independent authorizations cannot have the same immediate child.

Since the hierarchy does not allow an element to have multiple direct parents, you cannot create a user-defined authorization that is a parent of an existing system-defined authorization. Therefore, an attempt to create an authorization named **aix.custom** will fail and the creation of an authorization named **custom.aix** will result in a brand new authorization and does not function as the parent of the **aix** system-defined authorization.

The following syntax is suggested when creating user-defined authorizations to avoid conflicts between authorization names across multiple software components:

```
vendor_name.product_name.function.function1.function2...
```

vendor_name

Identifies the name of the vendor of the software module.

product_name

High-level product name of the product that is managed with RBAC.

function, function1, function2 ...

These strings represent the functions that are being managed with RBAC. These strings also provide a hierarchical representation of how these functions are organized.

For example, **ibm.db2.manage** could potentially represent the management aspects of the IBM DB2® database suite. As mentioned previously, the *vendor_name* string **aix** is reserved for AIX use and is not allowed for user-defined authorizations.

There are several authorization management commands that system administrators can use to list, create, modify, and remove user-defined authorizations. User-defined authorizations can be created with the **mkauth** command, modified with the **chauth** command, removed by the **rmauth** command, and displayed with the **lsauth** command. To display all of the user-defined system authorizations and a brief description of each, run the following command:

```
lsauth -f -a description ALL_USR
```

Before creating a user-defined authorization, consider the following issues:

- Would it be appropriate to use an existing system-defined authorization instead of creating a new user-defined authorization?
- Does the new authorization belong beneath an existing user-defined authorization hierarchy or is it the first authorization of a new hierarchy?
- If this is a new hierarchy, what is the structure?
- What is the text description of the authorization?
- Is language translation of the authorization description required?
- Is there any reason to specify a certain authorization ID when creating the authorization? It is recommended that the **mkauth** command be used to generate the authorization ID.

After considering these issues, perform the following steps to create the authorization:

1. If language translation is required, create or add the description to a message catalog.
2. Use the **mkauth** command to create all parent authorizations in the hierarchy if these do not already exist.
3. Use the **mkauth** command to create the desired authorization. Specify the **id** attribute with the command if a specific value is required.

Legacy authorization migration

Prior to AIX Version 6.1 the operating system had a limited, predefined set of authorizations that were recognized by the operating system. These authorizations were not defined in any file on the system, but could be readily assigned to roles. To support these legacy authorizations within the new AIX Version 6.1 and later RBAC framework, these legacy authorizations are defined as user-defined authorizations and are provided by default in the authorization database.

Since the AIX operating system is moving to a new authorization naming convention, any checks for old authorization names in the AIX operating system have been modified to additionally check for the new corresponding authorization and allow access if either authorization exists for the process. The following table lists the legacy predefined authorizations and the corresponding new system-defined authorizations.

Existing AIX Authorization	Corresponding New Authorization
Backup	aix.fs.manage.backup
Diagnostics	aix.system.config.diag
DiskQuotaAdmin	aix.fs.manage.quota
GroupAdmin	aix.security.group
ListAuditClasses	aix.security.audit.list
PasswdAdmin	aix.security.passwd
PasswdManage	aix.security.passwd.normal
UserAdmin	aix.security.user
UserAudit	aix.security.user.change
RoleAdmin	aix.security.role
Restore	aix.fs.manage.restore

RBAC roles

Roles are the mechanism used to assign authorizations to a user and to group a set of system administration tasks together. An AIX role is primarily a container for a collection of authorizations.

AIX supports the direct assignment of authorizations to a role or the indirect assignment of authorizations through a sub-role. A sub-role can be specified for a role in the **rolelist** attribute of a role. Configuring a role to have a designated sub-role effectively assigns all of the authorizations in the sub-role to the role.

Assigning a role to a user allows the user to access the role and use the authorizations that are contained in the role. A system administrator can assign a role to multiple users and can assign multiple roles to a user. A user who has been assigned multiple roles can activate more than one role (up to a maximum of eight roles) simultaneously if necessary to perform system management functions.

AIX provides a set of predefined roles for system management. However it is expected that customers will need to create their own custom roles or modify the existing predefined roles. Several role-management commands are available to list, create, modify, and remove AIX roles. Roles can be created with the **mkrole** command, modified with the **chrole** command, removed with the **rmrole** command, and displayed with the **lsrole** command.

When creating a new AIX role, consider the following issues:

- What will be the name of the role?
- The role name is a text string, but should provide some insight into the role's capabilities. Role names can contain a maximum of 63 printable characters.
- What authorizations are required for the role? Consider whether authorizations should be directly assigned to the role or indirectly assigned to the role through a sub-role.
- Should the user be required to authenticate when activating the role?

Activating a role

By default in AIX Version 6.1 and later with enhanced RBAC, when a user authenticates to the system, the user's session does not have any associated roles or authorizations. In order to associate roles to the session, the user must invoke a separate authentication command (the **swrole** command) to switch to the role or roles.

The user can only activate roles that have previously been assigned to the user. By default, a user is required to authenticate as themselves when entering a role session or when adding a role to their session. Roles can optionally be designated to not require authentication with the **auth_mode** role attribute.

Switching to a new role session creates a new shell (session) without inheriting roles from the prior session. This is accomplished by creating a new process shell for the role and assigning the new role ID (RID) to the process. Creation of the new session is similar to using the **su** command except in this case only the role ID of the process is changed and not characteristics such as the UID or GID. The **swrole** command allows the user to create a role session composed of a single role or multiple roles. There is no restriction to prevent a user from switching to a new role session from the current role session. Since the new session is a new process, the new session will not inherit any roles from the prior session. In order to restore the previous session, the user must exit the current role session. The roles assumed in a session (the active role set) can be listed by running the **rolelist** command in the session. An administrator can also use the **rolelist** command to list the active role set for a given system process.

A user can optionally be assigned a default set of roles with the new **default_roles** user attribute. This attribute is intended for situations where processes that are created on behalf of a user always need to be associated with a given set of roles, for example, the **cron** command. The cron facility runs in the background and runs commands as the defined user. It is possible that some of the commands that are run may require authorizations. This requires the ability to designate that a set of roles always be active for a user ID since there is no mechanism for the **cron** command to later acquire these roles. The **default_roles** attribute can be set to include up to eight role names or the special value of **ALL**. Setting **default_roles=ALL** assigns all of the user's roles to the session. If the user has been assigned more than eight roles, then only the first eight roles will be enabled for the session.

Maximum number of roles per session

In enhanced RBAC, a system administrator can configure on a system-wide basis the maximum number of roles that a user can activate in a given role session. By default, a user can activate up to eight roles in a session.

Certain environments may require a greater separation of duties in which a user can only activate a single role at a time. In these environments, the **maxroles** attribute of the **usw** stanza in the `/etc/security/login.cfg` file can be modified to restrict the maximum allowed number of roles per session. The **maxroles** attribute can be set to a value in the range of 1 to 8 to specify the maximum allowable number of roles per session.

To display the current value of the restriction on the number of roles per session, run the following command:

```
lssec -f /etc/security/login.cfg -s usw -a maxroles
```

To modify the system to allow a user to only activate a single role at a time, run the following command:

```
chsec -f /etc/security/login.cfg -s usw -a maxroles=1
```

Modification of the **maxroles** attribute value is effective immediately for any new role sessions that are created and does not require a system reboot. Role sessions that existed prior to the modification of the value are not affected by the change. The enforcement of the maximum number of roles per session is performed at session initiation.

Predefined roles

A predefined set of roles is defined in the local role database (`/etc/security/roles`) on the new AIX Version 6.1 and later installation. This set of roles is intended to group typical administrative responsibilities.

This set of roles serves as a suggested means of dividing administrative duties. Role administrators can modify or remove these roles or create new roles as needed for their environment. The following lists the provided roles and a brief description of each role's abilities.

Role name	Role description
auditadm	Audit Administrator. The auditadm role is responsible for configuring the auditing and logging policies of the system, including system-wide, single-user, and single-role attributes. This role has access to viewing the audit trail.
fsadm	File System Administrator. The fsadm role creates file systems and makes them available to users on the system. Some of the fsadm role responsibilities include: <ul style="list-style-type: none">• Specifying mount policies• Sharing policies• Assigning quotas• Determining the level of compression• Establishing file system formats• Performing backup and restore activities
isso	Information System Security Officer. An ISSO is responsible for creating and assigning roles and is therefore the most powerful role on the system. Some ISSO responsibilities include: <ul style="list-style-type: none">• Establishing and maintaining security policy• Setting passwords for users• Network configuration• Device administration

Role name	Role description
pkgadm	Software Package Administrator. The pkgadm role is responsible for the software that is installed on the system, and has default permissions to install, update, and remove system software.
sa	System Administrator. The SA role provides functionality for daily administration and is responsible for: <ul style="list-style-type: none"> • User administration (except password setting) • File system administration • Software installation update • Network daemon management • Device allocation
secadm	Security Administrator. The secadm role maintains the security settings on the system. The secadm assigns attributes like memberships in groups, roles, authorizations, and clearances to users and assigns roles that are not already specified with their roles. The secadm role also assigns security attributes to system objects, including RBAC settings, access control lists, ownership, and membership. Some of the responsibilities of the secadm role include the following: <ul style="list-style-type: none"> • Assigning passwords for new user accounts • Unlocking locked accounts
so	System Operator. The SO role provides functionality for day to day operations and is responsible for: <ul style="list-style-type: none"> • System shutdown and reboot • File system backup, restore and quotas • System error logging, trace and statistics • Workload administration
svcadm	Service Administrator. The svcadm role enables, configures, and disables system services. This role allows the configuring of networking attributes such as IP addresses, routes, host names, and firewall policies.
sysop	System Operator. The sysop role maintains the overall system with permissions that include running system diagnostics and performing routine system maintenance. Some of the tasks that the sysop is responsible for include: <ul style="list-style-type: none"> • Purging log files and print queues • Stopping and restarting systems
useradm	User Administrator. The useradm role is responsible for the higher level tasks related to user maintenance without managing passwords. The useradm creates, modifies, and deletes user accounts as defined by default security settings. This role also creates additional roles and groups with default security settings.

Role migration

If an AIX system prior to AIX Version 6.1 is being updated to an AIX enhanced RBAC level via a migration install, migration of the `/etc/security/roles` file attempts to update the file for the new functionality while maintaining the current role abilities.

Role definitions in the file are preserved and are simply modified to include a unique role ID to allow the role to function properly in the new framework. Any authorizations in the `/etc/security/roles` file that are not known predefined authorizations are considered user-defined authorizations. During migration, these authorization names are added as entries in the local `/etc/security/authorizations` authorization database. In addition to migration of the old role definitions, the new

predefined roles are appended to the file. After migration, the system administrator must verify that the authorizations and roles are defined as needed for the environment.

RBAC privileges

The enhanced RBAC framework relies heavily on system privileges to allow non-privileged users to perform privileged tasks. A privilege is a mechanism used to grant a process augmented functionality in system calls.

The concept of privileges is primarily a kernel-level construct since the definition and most of the checking occurs in the kernel. However, user-level interfaces are provided to handle the assignment of privileges to commands, devices, and processes.

It is important to note the difference between privileges and authorizations. Both privileges and authorizations are used to control certain allowable exceptions to system security policy. The defining difference between privileges and authorizations is that privileges are associated with specific processes, while authorizations are associated with users through roles. Authorizations reside with a role and the user who has the role, and do not depend on the program that is being run. Privileges reside with the program and provide the mechanism to fine tune the system security policy. Because of these associated privileges, the process is eligible to perform the related privileged operation.

Privileges are defined in the AIX kernel as individual bits of a bit-mask which enforce access control over privileged operations. Over 100 privileges are provided with AIX, providing for a very fine granular control of privileged operations. When determining access in a system call, the kernel determines if the process has the required associated privilege bit and then grants or denies the request.

Privileges are assigned to command invocations through the privileged command database and privileges are used to control access to devices through the privileged device database.

Privilege naming and hierarchy

AIX privileges cannot be created, modified or deleted by a system administrator.

The list of available privileges and a brief description of the privilege can be displayed on a system by running the following command:

```
lspriv -v
```

The privileges provided on AIX are listed in [AIX privileges](#). All AIX privileges have a textual representation of the privilege bit that begins with **PV_**. The naming convention used after the **PV_** prefix denotes the hierarchical relationship between privileges. For example, the auditing privilege **PV_AU_** is the parent of privileges **PV_AU_ADD**, **PV_AU_ADMIN**, **PV_AU_READ**, **PV_AU_WRITE** and **PV_AU_PROC**. When checking for privilege, the system first determines if the process has the lowest privilege needed and then proceeds up the hierarchy, checking for the presence of a more powerful privilege. The **PV_ROOT** privilege is a special privilege that represents the parent of all privileges except **PV_SU_**. A process that is assigned the **PV_ROOT** privilege behaves as if it has been assigned every privilege on the system except **PV_SU_**.

Process privilege sets

Multiple sets of privileges are defined in the kernel to provide varied controls for privileged operations. Multiple privilege sets allow the operating system to enforce dynamic privilege controls and allow applications to manage least-privilege principles.

Privileges are associated with a process through the following privilege sets:

Limiting Privilege Set (LPS)

Defines the hard limit on privileges for a given process. No privilege escalation in the system can raise process privileges beyond this value. This means that a process cannot acquire any more privileges than this value using any of the defined system interfaces. In other words, the process is restricted to these privileges at any point in time. This also means that the rest of the privilege sets will always be subsets of LPS. Even though LPS cannot be expanded, every process will have the right to reduce the LPS. However, once the LPS is reduced, it cannot be expanded back to its original value. The lowering of the LPS allows a process to restrict the boundaries in regard to associated privileges. For example,

a process might reduce the LPS just before running a custom user-provided program. By default, all of the privileges available on the system are set in the LPS for a process.

Maximum Privilege Set (MPS)

The full set of privileges that the process is authorized to use. The MPS can include any privilege in the LPS, but cannot exceed the LPS. The MPS can change during the lifetime of a process for many reasons. The following are some of the reasons:

- When the current process executes another privileged command and then gains related additional privileges
- If the process has the right privilege, then it can expand the MPS programmatically in a dynamic manner

Effective Privilege Set (EPS)

The list of privileges which are currently active for the process. The EPS is always a subset of the process' MPS and is used by the kernel to perform access checks in regard to privileged operations. The EPS can be manipulated by the process and can equal the MPS, but cannot exceed the MPS. Dynamic manipulation of the EPS can be performed by the process to enforce least-privilege principles. For example, user-space code can potentially raise the audit privilege bit in the EPS using the **priv_raise** API before making an audit-related system call or kernel call. The privilege can then be lowered with the **priv_lower** API when the audit call returns.

Inheritable Privilege Set (IPS)

Privileges which are passed from a parent process to its child processes' MPS and EPS. The IPS can include any privilege in the LPS, but cannot exceed the LPS. The IPS can be set in a process in the following ways:

- If the process has the proper privilege, it can expand the IPS programmatically through the **setppriv** system call
- When a privileged command is run, the privileges specified in the **inheritprivs** attribute that is associated with the command are assigned into the IPS.

Used Privilege Set (UPS)

Denotes the privileges that have been used for access checks during the life of the process. The UPS can be used to determine the privileges required by the process. When the kernel checks if a process has a given privilege, it stores a successful check in the UPS for the privilege.

Workload Partition Privilege Set (WPS)

A system WPAR can be restricted to not allow all of the privileged operations that are allowed in a global WPAR. The privileged operations allowed in a system WPAR can be controlled through the WPS. The global root can assign a limited set of privileges to a WPAR using WPS. The WPS can be specified in the `/etc/wpar/secattr` configuration file or during the start of a WPAR using the **usr/sbin/startwpar** command. All processes running in a WPAR have their LPS equal to their WPS.

A system administrator can use administrative commands to list and modify the various privilege sets of a process. The **lssecattr** command can be used to list the LPS, MPS, EPS, IPS, and UPS. The **setsecattr** command can be used to modify the LPS, MPS, EPS, and IPS. The UPS cannot be modified with the **setsecattr** command since the UPS is a read-only attribute.

Privileged command database

Authorizations, roles, and privileges allow granular security controls to be implemented. However, the exploitation of RBAC by various system operations allows an RBAC security policy to be enforced.

While historically some AIX commands directly checked for authorizations, it required that the executable code itself be modified to perform these checks. The enhanced RBAC mode provides a framework to enforce authorization checks and grant associated privileges through the privileged command database without requiring changes to system executables.

The privileged command database grants access and powers to users for commands they would not otherwise be able to run or for which they would not have the proper privilege to perform the task. The database saves the authorization information for a particular command as well as the privileges that are granted to the process if authorization checks succeed. When the database is stored locally, it exists in

the `/etc/security/privcmds` file and contains stanzas of information in the form of command-versus-security attributes. The following are a few of the key attributes in this database (for a full description of all of the attributes, see the `/etc/security/privcmds` file).

accessauths

List of access authorizations that protect the execution of the command. A user with any one of the listed authorizations is allowed to run the command and perform some or all of the privileged operations that are contained in the command.

innateprivs

Innate privileges are privileges assigned to the process if the invoker succeeds the access authorization checks.

authprivs

Authorized privileges are additional privileges assigned to the process if the user has the associated authorization. This attribute allows more granular control of the command to allow a restricted set of users to perform additional privileged operations.

inheritprivs

Inheritable privileges are privileges that the process passes on to child processes.

secflags

List of security flags. `FSF_EPS` is a flag which causes the maximum privilege set (MPS) to be loaded into the effective privilege set (EPS) when the command is run.

When a user on an enhanced RBAC mode system attempts to run a command, the command is first checked in the privileged command database. If the command exists in the database, a check is performed against the authorizations associated with the user's session and the value of the **accessauths** attribute for the command. If the session has one of the authorizations listed, the user can run the command regardless of whether the user passes the DAC execution checks for the command. Upon invocation, the command process has the privileges listed in the **innateprivs** attribute assigned into its maximum privilege set (MPS). Additional authorization checks are performed with the authorization-privilege pairs listed in the **authprivs** attribute. If the session has one of the listed authorizations, the associated privilege(s) are also added to the MPS of the command process. A command entry in the privileged command database that has the **FSF_EPS** value set in the **secflags** attribute assigns all of the privileges in the MPS to the effective privilege set (EPS) upon when the command is invoked.

A command is known as a privileged command when it is included in the privileged command database. While `setuid` programs that are not listed in the database are still technically privileged commands, they are not referred to as privileged commands when describing RBAC behavior. If a command does not have an entry in the privileged commands database, then it is not a privileged command and access to it is enforced by DAC and the command itself. Additionally, if a command is listed in the privileged command database, but the user's session does not have an authorization that allows invocation of the command, the system reverts to checking DAC access and allows the command to be run if these checks succeed.

Several management commands have been created to manipulate and query the privileged command database. Entries in the privileged command database can be created or modified with the **setsecattr** command, displayed with the **lssecattr** command, and removed with the **rmsecattr** command.

Determining the required authorizations for a command

Many system administrative applications require authorizations to run properly. While a set of predefined commands is provided in the privileged command database, system administrators might need to add entries that are specific to their environment. The privileged command database allows entries to be added to the database. Proper authorization must be listed in the **accessauths** attribute in order to gain access to the command.

There are two ways an authorization can be used and checked in the AIX operating system using the enhanced RBAC framework:

- Access Auths (Access Authorization): An attribute specified in the privileged command database and contains a comma-separated list of authorization names. A user whose current session has one of the authorizations in the list is allowed to run the command. This is being checked by the system loader while running protected privileged executables.

- Check Auths (checkauths()): A specific authorization or a list of authorizations can be checked programmatically using the checkauths() API. The specified authorizations are checked against the authorizations present in a role within the current session. Based on the outcome of this check, a program might perform privileged operations.

Prior to adding a command to the privileged command database, authorization sets must be determined to ensure that command execution is allowed. A program or application might perform additional authorization checks internally. It is necessary to determine a list of authorizations used in a process that can be assigned while creating a custom role.

The following is the basic strategy to determine the required authorizations for a command:

1. Assign the **PV_ROOT** privilege to the invoking shell, or assume a role with *aix* authorization.

Important: In a global-WPAR, the **PV_ROOT** privilege must be assigned to an effective and maximum privilege set of an invoking shell process. Within a system-WPAR, this privilege also has to be added to the inherit privilege set of a process.

2. Run the command.
3. Record the authorizations used for the process.
4. Store the authorization reported under *Access Auths* in the **accessauths** attribute of the command in the privileged command database. The authorizations reported under *Check Auths* can be used while creating roles in a system.

These steps should be performed in a controlled environment because the **PV_ROOT** privilege is assigned to a shell, or it is assuming a role with *aix* authorization, and because both of these methods are extremely powerful. In addition, running the command might have some system impact that can affect other users. In practice, this is likely to be a trial-and-error procedure. In order to obtain the full set of authorizations, the command will likely need to be run repeatedly with different flags and options, and possibly for a long period of time for long-running applications. The required authorization set of the process can be easily gathered using one of the following procedures, which can be performed by an administrator with proper authority:

traceauth

Specify an argument that is the command to execute. The **traceauth** command runs the command and records both types of authorizations used during the lifetime of the process. When the command finishes, the **traceauth** command displays the authorizations that were used on **stdout**.

lssecattr

If the command is a long-running process, the **lssecattr** command can be used to display the authorizations used by the process. In order to enable the authorization tracing in a system, run the following command:

setrunmode -c; setsecconf -o traceauth=enable

To display the used authorization for a process, run the **lssecattr** command as follows, substituting the PID of the process that is being monitored:

lssecattr -p -A PID

After the required authorizations have been determined, perform the steps in [rbac_add_priv_cmd_db.dita](#) to add the command to the privileged command database. The command should then be run by an authorized user to verify that it runs properly.

Determining required privileges for a command

Many applications require specific privileges in order to execute properly. While a set of predefined commands is provided in the privileged command database, a system administrator may need to add entries that are specific to their application or environment. The privileged command database allows entries to be added for commands and their associated privileges.

Prior to adding a command to the privileged command database, the minimum set of required privileges must be determined to ensure that command execution is as secure as possible. Any privileges granted beyond those necessary for proper execution violate the least-privilege principle. Therefore, an important step in adding a privileged command to the system is determining the minimum required privileges.

The following is the basic strategy to determine the minimum required privileges for a command:

1. The Information System Security Officer (ISSO) or a user with the `isso` role can assign **PV_ROOT** privilege to the system administrator executing the command to be assigned to the privileged database. The assignment of the **PV_ROOT** privilege to the invoking shell will be done using the `setsecattr` command. For example:

```
setsecattr -p eprivs=PV_ROOT mprivs=PV_ROOT $$
```

2. Run the command to collect the set of privileges.
3. Record the privilege set used for the process.
4. Store the necessary privileges in the **innateprivs** attribute of the command in the privileged command database.

These steps should be performed in a controlled environment since the **PV_ROOT** privilege is assigned to a shell and the **PV_ROOT** privilege is extremely powerful. In addition, running the command may have some system impact that can affect other users. In practice, this is likely to be a trial-and-error procedure. In order to obtain the full set of privileges, the command will likely need to be run repeatedly with different flags and options, and possibly for a long period of time for long-running applications. The required privilege set of the process can be easily gathered using one of the following procedures, which can be performed by an administrator with proper authority:

tracepriv

Takes an argument that is the command to execute. The **tracepriv** command runs the command and records the privileges used during the lifetime of the process. When the command finishes, the **tracepriv** command displays the privileges that were used on **stdout**.

lssecattr

If the command is a long-running process, the **lssecattr** command can be used to display the privileges used by the process. To display the used privilege set for a process, run the command as follows, substituting the PID of the process that is being monitored:

```
lssecattr -p -a uprivs PID
```

After the minimum required privileges have been determined, perform the steps in “[Adding a command to the privileged command database](#)” on page 95 to add the command to the privileged command database. The command should then be run by an authorized user to verify that it runs properly.

Privilege escalation

When a new process is created by the **fork** system call, **fork** grants the process the same privileges as the parent process (the process that called the **fork** system call). When a process does an **exec** system call on an executable file, **exec** recalculates the privileges for the executable file based on the privileges that **exec** currently possesses and the privileges possessed by the executable file.

Escalated privileges are calculated as follows:

1. First, the union (bitwise-OR operation) of inheritable privileges possessed by the old (parent) process and the set of innate privileges possessed by the executable file is calculated.
2. If the user is appropriately authorized, the union (bitwise-OR) of the result from the previous step and the authorized privileges is calculated.
3. If the limiting privileges exist, then the intersection of the result from the previous step and the limiting privileges is calculated. Limiting privileges, if any, are inherited across an **exec** system call.
4. The set of privileges resulting from that union become the set of maximum privileges for the new process.
5. If the inherited privileges exist in the executable file, they are assigned to inheritable privileges set in the new process. Otherwise, the set of inheritable privileges possessed by the old (parent) process is carried forward in the new process’s inheritable privilege set.

If the executable file has its **FSF_EPS** file security flag set, the set of effective privileges for the new process is the same as its set of maximum privileges. Otherwise, the effective privileges for the new process are same as the inheritable privileges possessed by the old (parent) process.

Adding a command to the privileged command database

You should consider carefully before adding a command to the privileged command database to ensure that the proper authorizations and privileges are assigned.

See the `/etc/security/privcmds` file for a full description of the attributes that are valid for a command. The following questions can be used as a guide to determine the entry required for a command:

1. Should an authorization control access to run the command?

YES

If the authorization does not exist, create it with the `mkauth` command. Specify the authorization in the `accessauths` attribute.

NO

If all users should be allowed to run the command, specify the `ALLOW_ALL` authorization in the `accessauths` attribute.

2. Should the owner or group of the command be allowed to run the command even if they do not have the proper authorization?

YES

Add the `ALLOW_OWNER` or `ALLOW_GROUP` authorization to the list of authorizations in the `accessauths` attribute.

3. When the command is executed, does it require an explicit set of privileges?

YES

Run the command with various options as the root user with the `tracepriv` command to determine the required privileges for the `innateprivs` attribute.

4. Should users with a specific authorization be granted additional privileges?

YES

Specify the additional authorization-privilege pairs in the `authprivs` attribute.

5. Does the command need to behave like a SUID or SGID program?

YES

Specify the EUID or EGID as appropriate.

6. Do privileges assigned to the command need to be passed on to child processes?

YES

Specify the privileges in the `inheritprivs` attribute.

7. Should the effective privilege set of the command be equal to the maximum privilege set at the time the command is invoked?

YES

Specify the `FSF_EPS` flag for the `secflags` attribute.

NO

Do not specify the `secflags` attribute. The command code is expected to raise and lower its privileges as required when the `FSF_EPS` flag is not specified.

8. Does the command need to run with the special real user ID 0?

YES

Specify the RUID attribute.

9. Is the command highly critical and requires to be controlled and mandates the presence of more than one person before it can be invoked?

YES

Specify the `authroles` attribute and assign the value with a list of roles. Users of each role will have to be authenticated before the command can be executed.

After answering these questions, run the `setsecattr` command with the appropriate parameters to add the command to the database. If the command is an existing command and is an SUID or SGID

command, then consideration should be given to remove the **SUID** and **SGID** bits from the file so that the least-privilege model is enforced.

Privileged device database

The privileged device database stores the list of privileges that are allowed to read from or write to a device. This database provides a mechanism for an administrator to further control access to a device than can be managed through traditional device access controls.

When this database is stored locally, it is contained in the `/etc/security/privdevs` file. The database stores the privileges required to access a given device for read or write operations in the following attributes:

readprivs

Lists privileges which are allowed to read from the device

writeprivs

Lists privileges which are allowed to write to the device

When a privileged device is requested to be opened in read mode, the open is only allowed if one of the privileges specified in the **readprivs** attribute exists in the effective privilege set (EPS) for the process. Similarly, if the device is opened for write mode, a privilege in the **writeprivs** attribute must exist in the EPS.

The process of adding a device to the privileged device database is normally not a common operation. The **lssecattr** and **setsecattr** commands can be used to list and manipulate the database, but adding or modifying entries in the database requires considerable investigation. Since the read and write permission for a device is controlled through privileges, a thorough investigation of the commands and applications that need to access the device must be performed to ensure that the proper privileges are specified.

Privileged file database

Many system configuration files in traditional UNIX systems are owned by the root user and are not directly modifiable by other users. RBAC allows a user to modify these system configuration files by activating a role and running a command to gain the privileges needed to modify the file.

There are some AIX configuration files that do not have command interfaces to allow modification of the file. In these cases, it is necessary to have a tool that allows an administrator with the appropriate authorization to directly edit and save a file to which they otherwise would not have access.

The privileged file database provides a method to use authorizations to determine access to system configuration files. When the database is stored locally, it is contained in the `/etc/security/privfiles` file. This database maps configuration files to the authorizations required to view or modify these files. Access to a configuration file is controlled in this database with the following attributes:

readauths

List of authorizations allowed to read from the file

writeauths

List of authorizations allowed to write to the file (read authorization is implied in this case)

Entries in the privileged file database can be listed with the **lssecattr** command and can be created or modified with the **setsecattr** command. Files defined in the privileged file database can be accessed by authorized users with the `/usr/bin/pvi` command. The **pvi** command is a privileged and restricted version of the **vi** editor based on the `/usr/bin/tvi` command. The **pvi** command imposes all of the same security precautions as the **tvi** command (for example, no **-r** or **-t** flags, no shell escapes, no user defined macros) and also enforces the following restrictions:

- The system must be in Enhanced RBAC Mode.
- Only files defined in the privileged file database can be opened.
- Only one file can be opened at a time.
- Writing to a different filename than the one specified on the command line is disabled.
- The `/etc/security/privfiles` file cannot be edited with the **pvi** command.

- Attempts to open links will fail. Only regular files can be edited.

The authorization checks are performed prior to opening the file. If the authorization matches, the privilege set of the process is raised to include **PV_DAC_R** or **PV_DAC_W** (depending on whether the file is being opened for reading or writing). If the authorization does not match, an error message is displayed and the user is denied access to the file with the **pvi** command.

Kernel security tables

The information contained in the authorization, role, privileged command, and privileged device databases is not used for security considerations until the data has been loaded into an area of the kernel designated as the kernel security tables (KST). In the enhanced RBAC mode, authorization and privilege checks are performed in the kernel, so the databases must be sent to the kernel before they can be used.

The KST is composed of the following sub-tables:

- Kernel Authorization Table (KAT)
- Kernel Role Table (KRT)
- Kernel Command Table (KCT)
- Kernel Device Table (KDT)

All of the tables or select tables can be sent to the kernel from the user space with the **setkst** command. The KRT and KCT are dependent on the KAT, so if the KAT is selected to be updated, the KRT and KCT are also updated to verify that the tables are in sync. The preferred method for adding updates to the KST is to create or modify all of the necessary databases at the user level (with commands such as **mkauth**, **chauth**, **mkrole**, and **setsecattr**) and then use the **setkst** command to send the tables to the kernel. Once the tables have been loaded in the kernel, the **lskst** command can be used to display the information contained in each table.

A given table in the KST is always sent as a complete table. In other words, the KST does not allow for individual entry modifications; the entire table must be replaced. Prior to sending the tables to the kernel, the **setkst** command validates the tables and the relationships between them. The **setkst** command is also placed in the **inittab** file to ensure that the databases are sent to the KST early in the boot process.

If for some reason the tables cannot be created or cannot be loaded into the kernel and no tables have previously been loaded, the system operates as if there are no authorizations or roles. Commands, APIs, and system calls for authorization and role checking return failure in this scenario since no match is found. System operation in this state is very similar to the legacy RBAC mode, except that no user can access sections of code in commands that enforce authorizations.

Disabling the root user

In enhanced RBAC mode, it is possible to configure the system so that the root user has no associated special powers and is treated by the system as a normal user.

Historically, the root user's ID value of 0 has been treated as a privileged ID by the operating system and is allowed to bypass enforced security checks. Disabling the root user effectively removes the checks in the operating system which allow the user ID of 0 to bypass security checks and instead requires the process to have privileges to pass the security checks. Disabling the root user minimizes the damage an attacker can cause since there is no longer a single all-powerful user identity on the system. After disabling the root user, system administration must be performed by users who have been assigned privileged roles.

The root powers can be disabled with the **/usr/sbin/setsecconf** command. Run the following command and then reboot the system to disable the powers of the root user:

```
setsecconf -o root=disable
```

After running this command the root user account cannot be accessed through remote or local login or through the **su** command. However, since the root user account remains the owner of files on the file system, if the account is acquired, the user would have access to privileged files.

On a system where root has been disabled, processes owned by root are no longer assigned any special powers or privileges. This should be considered if the system has setuid applications owned by root that have not been added to the privileged command database. These setuid applications will probably fail in a root-disabled environment since the process cannot perform privileged operations. In a root-disabled system, any command that needs to perform privileged operations should be added to the privileged command database and assigned the appropriate privileges. Therefore, a careful analysis of the system and the applications used on the system should be performed before disabling the powers of the root user.

Remote RBAC database support

In an enterprise environment, it is desirable to be able to implement and enforce a common security policy across all systems in the environment. If the databases that control the policy are stored independently on each system, management of the security policy becomes a burden for the designated system administrator. AIX enhanced RBAC mode allows the RBAC databases to be stored in LDAP so that the security policy for all systems in the environment can be centrally managed.

Support has been added in AIX for all of the RBAC-relevant databases to be stored in LDAP. The following are the relevant RBAC databases:

- Authorization database
- Role database
- Privileged command database
- Privileged device database
- Privileged file database

Note: The authorization database stored in LDAP contains only the user-defined authorizations. System-defined authorizations cannot be stored in LDAP and remain local to each client system.

AIX provides utilities to easily export local RBAC data to LDAP, to configure the client to use RBAC data in LDAP, to control the lookup of RBAC data, and to manage the LDAP data from a client system. The following sections provide more information on the LDAP features that are provided in enhanced RBAC.

Exporting RBAC data to LDAP

Initial preparation for using LDAP as an RBAC database repository requires populating the LDAP server with the RBAC data.

The LDAP server must have the RBAC schema for LDAP installed on it before LDAP clients can use the server for RBAC data. The RBAC schema for LDAP is available on an AIX system in the `/etc/security/ldap/sec.ldif` file. The schema of the LDAP server should be updated with this file by using the **ldapmodify** command.

The `/usr/sbin/rbactoldif` file can be used to read the data in the local RBAC databases and output them in a format suitable for LDAP. The output generated by the **rbactoldif** command can be saved to a file and then used to populate the LDAP server with the data with the **ldapadd** command. The following databases on the local system are used by the **rbactoldif** command to generate the RBAC data for LDAP:

- `/etc/security/authorizations`
- `/etc/security/privcmds`
- `/etc/security/privdevs`
- `/etc/security/privfiles`
- `/etc/security/roles`

The LDAP storage location for the RBAC data should be given some consideration. It is recommended that the RBAC data in LDAP be placed under the same parent DN as the user and group data. The ACLs on the data should then be adjusted as needed for the chosen security policy.

LDAP client configuration for RBAC

A system must be configured as an LDAP client to use RBAC data stored in LDAP.

You can use the AIX **/usr/sbin/mksecldap** command to configure a system as an LDAP client. The **mksecldap** command dynamically searches the specified LDAP server to determine the location of the authorization, role, privileged command, device, and file data, and saves the results to the `/etc/security/ldap/ldap.cfg` file.

After successfully configuring the system as an LDAP client with the **mksecldap** command, the system must be further configured to enable LDAP as a lookup domain for RBAC data. The `/etc/nscontrol.conf` file must be modified to include LDAP in the **secorder** attribute for databases that are stored in LDAP.

Once the system has been configured as both an LDAP client and as a lookup domain for RBAC data, the **/usr/sbin/secldapclntd** client daemon periodically retrieves the RBAC data from LDAP and sends the data to the Kernel Security Tables (KST) with the **setkst** command. You can configure the time period used by the daemon to retrieve the RBAC data from LDAP with the **rbacinterval** attribute in the `/etc/security/ldap/ldap.cfg` file. The default value of this attribute is 3600, which specifies to retrieve the RBAC data from LDAP and update the KST once every hour. The KST can also be manually updated when an administrator runs the **setkst** command.

Name service control file

The RBAC data can reside strictly in local files, strictly in LDAP, or can be merged in local files and LDAP by configuring a given database in the `/etc/nscontrol.conf` name service control file.

The search order for the authorization, role, privileged command, device, and file databases is specified individually in the `/etc/nscontrol.conf` file. The search order for a database is specified in the file with the **secorder** attribute, which is a comma-separated list of domains. The following is an example of a configuration for the authorization database:

```
authorizations:  
    secorder = LDAP,files
```

This example specifies that queries on authorizations should search in LDAP first and then in the local files if the authorization is not found in LDAP. The collection of authorizations available to the system is the merge of the authorizations provided by LDAP and those provided in the local files. The merge is not a simple combination of the values from the two domains, but rather a union of the values. For the configuration above, all LDAP authorizations are included and then only unique authorizations from local files are added to the result.

Modifications and deletions are attempted on the first domain listed and are only attempted on subsequent domains if the entity is not found in the first domain. In this case, LDAP is attempted first and local files are only attempted if the authorization is not found in LDAP. New entries are always created in the first domain listed in the **secorder** attribute. In the example above, a creation of a new authorization occurs in the LDAP database.

If there is no entry for a database in the `/etc/nscontrol.conf` file or if the file does not exist, queries and modifications on the database are only performed in the local files database. The configuration for a database in the file can be set with the **chsec** command and listed through the **lssec** command. To configure authorization data to be retrieved from LDAP first and then from the local files, run the following command:

```
chsec -f /etc/nscontrol.conf -s authorizations -a secorder=LDAP,files
```

The configuration in the `/etc/nscontrol.conf` file controls both the library and command line interfaces. Applications can retrieve the current value of the **secorder** attribute for a database with the **getsecorder** interface. The value of the **secorder** attribute can be overridden for the process with the **setsecorder** interface.

RBAC command enablement for LDAP

All of the RBAC database management commands are enabled to use the configuration in the `/etc/nscontrol.conf` file and to query, modify, create, or remove the entity in the domain or domains defined for a given database.

By default, the domains are processed as defined in the **secorder** attribute for a database, but this can be overridden by using the **-R** option on the command line. Specifying the **-R** option for a command forces the operation to occur on the specified domain and overrides the configuration in the `/etc/nscontrol.conf` file. The following RBAC database management commands are enabled for remote domain support:

- **mkauth**, **chauth**, **lsauth**, and **rmauth**
- **mkrole**, **chrole**, **lsrole**, and **rmrole**
- **setsecattr**, **lssecattr**, and **rmsecattr**

In addition, the **setkst** command is enabled to use the configuration contained in the `/etc/nscontrol.conf` file. The **setkst** command retrieves a merged copy of the entries for a given database as defined in the file and then loads the resulting data into the Kernel Security Tables.

Cross-domain assignment

When designing an environment where RBAC data is provided by two domains such as local files and LDAP, consideration must be given to the issue of cross-domain assignment of entities. Examples of cross-domain assignment include assigning an LDAP-defined role to a local user or assigning a local-defined role to an LDAP user.

The assignment of a remote entity (LDAP role) to a local entity (local user) is not much of a concern since it has no impact on other systems in the environment. However, assigning a local entity (local role) to a remote entity (LDAP user) should only be done with great care. Since the remote entity (LDAP user) is visible on multiple clients, there is no guarantee that the local entity (local role) assigned to it is defined or has the same definition on each client system. For example, a role may be defined locally on each client but have different associated authorizations. A remote user that is assigned this local role would therefore have different authorizations on each of these clients and this can have undesirable security consequences.

To prevent possible security issues with assigning a local entity to LDAP entity, it is recommended that the LDAP server implement access control to the RBAC databases to prevent each client from modifying entries. Only clients connecting to the LDAP server through a privileged account should be allowed to modify LDAP RBAC entities. Other clients should only have read access to the LDAP RBAC databases.

Size limits in enhanced RBAC

The following table lists the various limits for the RBAC-related elements:

Description	Maximum size
Role name	63 printable characters
Maximum roles per session	8
Maximum authorization name size	63 printable characters
Maximum number of levels in authorization hierarchy	9
Maximum number of access authorizations per command	8
Maximum authorized privileged sets per command	8

Administering enhanced RBAC

This section describes common command line usage scenarios for administering RBAC. These examples illustrate major aspects of the functionality. SMIT interfaces are also provided for RBAC administration. The fastpath to RBAC SMIT menus is `smit rbac`.

Creating a user-defined authorization

You can create user-defined authorizations that can be used to control execution of commands.

You can use the `mkauth` command to create user-defined authorizations. Changes to the authorization database are effective after the changes are downloaded to the kernel with the `setkst` command.

- Run the following command to create a user-defined authorization:

```
mkauth auth_name
```

Creating and modifying roles

You can create a role with the `mkrole` command.

Roles are created with the `mkrole` command. Changes to the roles database are effective after they are downloaded to the kernel with the `setkst` command. You can modify roles with the `chrole` command.

- Run the following command to create a role:

```
mkrole dflt_msg="My Role" role_name
```

- To create a role and inherit the authorizations from existing roles, run the following command:

```
mkrole rolist=child_role1,child_role2 role_name
```

- To modify a role definition, run the following command:

```
chrole rolist=child_role3 role_name
```

Assigning authorizations to roles

You can use the `mkrole` or `chrole` commands to assign authorizations to a role.

- Run the `mkrole` command to assign the `auth_name1` and `auth_name2` authorizations to the `role_name` role:

```
mkrole authorizations=auth_name1,auth_name2 role_name
```

- Run the `chrole` command to assign the `auth_name1` and `auth_name2` authorizations to the `role_name` role:

```
chrole authorizations=auth_name1,auth_name2 role_name
```

Setting the authentication mode for a role

You can control the activation of roles with the role's `auth_mode` attribute.

Valid values for the `auth_mode` attribute are:

NONE

No authentication necessary

INVOKER

Invokers must enter their own password. This is the default.

Enter the following command to force users to authenticate as themselves when assuming a given role:

```
chrole auth_mod=INVOKER role_name
```

Assigning roles to a user

You can use the `chuser` command to assign roles to users.

Run the following command to assign the `role_name1` and `role_name2` roles to the user `user_name`:

```
chuser roles=role_name1,role_name2 user_name
```

Activating roles

By default, a user must activate the role in the session in order to execute privileged commands.

- To activate the **role_name1** and **role_name2** roles, run the following command:

```
swrole role_name1,role_name2
```

- Some of the roles that are assigned to users are classified as default roles. These roles are activated automatically when the user logs in. These roles are active during the entire login session. To assign **role_name1** as a default role for a user, run the following command:

```
chuser roles=role_name1,role_name2 default_roles=role_name1 user_name
```

Listing the active role set

You can use the **rolelist** command with the **-e** option to display information about the effective active role set for a session.

- To display the effective active role set for a session, run the following command:

```
rolelist -e
```

Listing the roles for a user

The **rolelist** command provides role and authorization information about a user's current roles or the roles that have been assigned to them.

By default, the **rolelist** command displays the list of roles that have been assigned to the user. This is basically the same information displayed by the `lsuser -a roles user1` command except that it also includes the text description of the role if one has been provided.

- To list your assigned roles and associated authorizations, run the following command:

```
rolelist -a
```

Auditing session roles

The roles that are active in a login session are audited along with other attributes such as UID and GID. You can list these roles with the **auditpr** command.

To display the roles from the audit trail, run the following command:

```
auditpr -h eli -i /audit/trail
```

Assigning privileges to a running process

You can use the **setsecattr** command to modify the privileges of a running process.

- To update the effective privilege set associated with a process, run the following command:

```
setsecattr -p eprivs=privileges pid
```

- Before adding any privilege to the effective privilege set of a process, you should ensure that the privilege already exists in the maximum privilege set. To modify maximum privilege set, run the following command:

```
setsecattr -p mprivs=privileges pid
```

Administering WPAR privileges

Each WPAR is associated with a set of privileges that determine its powers. This is referred to as WPAR privilege set (WPS).

Processes running within a given WPAR can use only those privileges that are available in the WPS.

- To modify the WPS from the global WPAR, run the following command:

```
chwpar -S privs+=privileges wpar_name
```

Determining the privileges required for a command

Some commands require special privileges to perform privileged operations. Privileges are used in the kernel to bypass security restrictions.

You can use the **tracepriv** command to profile a command to determine the privileges that are required for the command to run successfully. The **tracepriv** command records the privileges that are used by another command when the command is run. The command should be run with the **PV_ROOT** privilege so that any attempts to use privileges will succeed. When the command completes, the set of privileges that have been used are sent to stdout.

- To profile a given command, run the following command:

```
tracepriv -ef command_name
```

Using authorizations to control commands

Authorizations can be used to control the running of commands.

You can use the **setsecattr** command to associate authorizations with a command. The **setsecattr** command adds a stanza to the privileged commands database (`/etc/security/privcmds`). Modifications to this database must be downloaded to the kernel with the **setkst** command.

- To associate authorizations with a command, run the following command:

```
setsecattr -c accessauths=auth_names innateprivs=privileges proxyprivs=privileges  
authprivs=auth_name=privileges command_name
```

Controlling access to devices

RBAC provides a mechanism to further control access to devices. A system administrator can specify the privileges that are required to open a device in read mode or write mode.

For example, write access to a DVD writer can be controlled with the **PV_DEV_CONFIG** privilege so that only processes which have this privilege can create DVDs.

- To add a device to the device database, run the following command:

```
setsecattr -d readprivs=privileges writeprivs=privileges device_name
```

Updating RBAC Kernel Security Tables

The **setkst** command reads the security databases and loads the information from the databases in the Kernel Security Tables (KST).

By default, all of the security databases are sent to the KST. Alternatively, a specific database can be specified with the `-t` option. However, specifying that only the authorization database should be sent to the KST also updates the role and privileged command databases in the KST since the role and privileged command database are dependent on the authorization database.

- To send all the latest RBAC databases to the kernel, run the following command:

```
setkst
```

Using the enhanced RBAC mode switch

A system-wide configuration switch is provided to disable the enhanced RBAC capabilities and revert to legacy RBAC behavior.

A system administrator can disable enhanced RBAC mode by running the **chdev** command on the **sys0** device and specifying the **enhanced_RBAC** attribute with a value of **false** and then rebooting the system. The mode can be switched back to enhanced RBAC mode by setting the **enhanced_RBAC** attribute to **true** and then rebooting the system.

- To revert to legacy RBAC mode, run the following command:

```
chdev -l sys0 -a enhanced_RBAC=false
```

- To list the value of the **enhanced_RBAC** attribute, run the following command:

```
lsattr -E -l sys0 -a enhanced_RBAC
```

In a WPAR environment, the RBAC mode can only be configured from the global system and affects the global as well as all WPARs.

Note: Disabling the enhanced RBAC mode may lower the security threshold of your system, especially in a WPAR.

RBAC-related commands

The following table lists the RBAC-related commands that are provided in the AIX operating system to manage and use the RBAC framework.

Command	Description
<u>chauth</u>	Modify user-defined authorization attributes
<u>chrole</u>	Modify role attributes
<u>ckauth</u>	Check the current process for an authorization
<u>lsauth</u>	Display user- and system-defined authorization attributes
<u>lskst</u>	List the entries in the Kernel Security Tables
<u>lspriv</u>	Display the privileges available on the system
<u>lsrole</u>	Display role attributes
<u>lssecattr</u>	Display security attributes of a command, device, process, or file
<u>mkauth</u>	Create a new user-defined authorization
<u>mkrole</u>	Create a new role
<u>pvi</u>	Privileged file editor
<u>rbacqry</u>	Enables RBAC for applications
<u>rbactoldif</u>	Output RBAC user-level databases in LDAP-compatible format
<u>rmauth</u>	Remove user-defined authorizations
<u>rmrole</u>	Remove a role
<u>rmsecattr</u>	Remove the definition of security attributes for a command, device, or file
<u>rolelist</u>	Display role information for a user or process
<u>setkst</u>	Send the entries in the RBAC user-level databases to the Kernel Security Tables
<u>setsecattr</u>	Set the security attributes of a command, device, process, or file
<u>setsecconf</u>	Modify kernel security flags
<u>swrole</u>	Create a new role session
<u>tracepriv</u>	Trace the privileges needed by a command to successfully run

RBAC-related files

The following table lists the RBAC-related files provided in AIX to configure and store database information.

File	Description
/etc/nscontrol.conf	Name service control file for certain security databases
/etc/security/authorizations	User-defined authorization database
/etc/security/privcmds	Privileged command database
/etc/security/privfiles	Privileged file database
/etc/security/privdevs	Privileged device database
/etc/security/roles	Role database

Using enhanced RBAC in applications

Many applications do not require any modifications to run successfully in the enhanced RBAC environment. Simply defining the application's access authorizations and associated privileges and then assigning the application to the privileged command database may be sufficient.

However, an application can use enhanced RBAC by calling RBAC interfaces to control the application's execution at a granular level and thereby result in a more secure application. Applications that might benefit from integration with enhanced RBAC include the following:

- Applications that restrict use to either the root user or members of a specific group. These applications typically check for effective user identity or group membership and can be modified to check for an authorization instead.
- Applications that utilize **setuid** or **setgid** mode bits to allow unprivileged users to gain privileges during the command invocation. These applications would usually be more secure by using privilege bracketing so that less privilege is used to accomplish their task.

Authorization checking

Applications that currently use the user ID or group ID of the invoking user to determine the ability to perform privileged operations should be modified to check for an authorization instead.

For example, consider an application which performs filesystem configuration tasks and currently allows the root user (UID = 0) to perform some privileged operations:

```
if (getuid() == 0) {
    /* allow privileged operation to continue */
}
```

To enable this application to instead allow users with a specific authorization (**aix.fs.config**) to perform the privileged operation, the code can be modified to use the **checkauths** API to perform the authorization check:

```
if (checkauths("aix.fs.config", CHECK_ALL)) {
    /* allow privileged operation to continue */
}
```

The **checkauths** API is enabled for both the legacy and enhanced RBAC modes and will return a **0** success code if the invoking process has the specified authorization. The **checkauths** API also determines if the root user powers are enabled or disabled and then allows or disallows the root user to bypass authorization checks as appropriate. Prior to AIX Version 6.1, the **MatchAllAuths**, **MatchAnyAuths**, **MatchAllAuthsList**, and **MatchAnyAuthsList** APIs were normally used to perform authorization checks. Applications provided on AIX Version 6.1 and later should use the **checkauths** API instead due to its support for legacy and enhanced RBAC modes and root disablement.

As in the example above, applications that call **getuid**, **getgid**, or a similar function to only allow certain users to perform specific tasks can be modified to use the **checkauths** API to perform an authorization check instead. If the user ID or group ID being checked is not that of the root user, the **sys_parm** system call can be used first to query whether enhanced RBAC is enabled or not. If enhanced RBAC is not enabled, the code can perform the checks that are already in place. Otherwise, if enhanced RBAC is enabled, the code can check for the relevant system or user-defined authorizations.

Privilege bracketing

Once applications have been modified to check for authorizations, they can be further modified to utilize fine-grained privilege bracketing during operation.

Applications can use the **priv_raise** API to raise the privileges required to perform an operation and lower the privilege with the **priv_lower** API. Raising privileges immediately before a privileged operation is attempted and lowering privileges after the operation has completed is known as privileged bracketing and is the preferred method for applications to use privileges. To raise a privilege, the privilege needs to be available in the maximum privilege set of the application in the privileged commands database. Raising a privilege causes the privilege to be placed in the effective privilege set (EPS) of the process. Lowering a privilege removes the privilege from the EPS. The following code sample shows privilege bracketing around the **auditproc** API.

```
priv_raise(PV_AU_ADMIN, -1);    /* raise privilege when needed */
auditproc();                  /* call auditing system call */
priv_lower(PV_AU_ADMIN, -1);    /* lower privilege */
```

RBAC-aware applications

Traditionally, in AIX and on root-enabled enhanced RBAC systems, a root or root-owned **setuid** program (with UID=0) that does not appear in the privileged command database is always granted all privileges in the kernel. Privilege checks in the kernel will therefore always return success even when a requested privilege is not present in the process effective privilege set (EPS).

This behavior is still needed to support existing **setuid** applications, but this can be a security risk because a **setuid** program will have all of the powers of root.

To allow proper privilege bracketing in a process on a root-enabled enhanced RBAC system, a new bit in the process structure has been introduced. If this bit is set, then the process becomes an RBAC-aware process and an effective UID of 0 does not provide any extra privileges. This bit can be set in a program with the **proc_rbac_op** system call. Any **setuid** programs which are not listed in the privileged command database can use this functionality to reduce security vulnerability by lowering the available privileges. Note that programs that are defined in the privileged command database are automatically marked as RBAC-aware processes and are only assigned the privileges listed in the database.

The following code demonstrates how an application can mark itself as RBAC-aware and then perform proper privilege bracketing:

```
#include <userpriv.h>
#include <sys/priv.h>

privg_t effpriv;

int rbac_flags = SEC_RBAC_AWARE;

/* Mark the process as RBAC-aware. */
proc_rbac_op(-1, PROC_RBAC_SET, &rbac_flags);

/* Set the effective privilege set as empty. */
priv_clrall(effpriv);
setppriv(-1, &effpriv, NULL, NULL, NULL);

/* Raise privilege when required. */
priv_raise(PV_AU_ADMIN, -1);
auditproc();

/* Lower privilege when no longer needed. */
priv_lower(PV_AU_ADMIN, -1);
```

RBAC APIs

The RBAC-related APIs available on the system are listed in the following table. Please see the specific APIs for more information.

API	Description
checkauths	Compares the passed in list of authorizations to the authorizations associated with the current process.
GetUserAuths	Retrieves the set of authorizations assigned to the current process.
MatchAllAuths , MatchAllAuthsList , MatchAnyAuths , MatchAnyAuthsList	Compares authorizations. The checkauths API is preferred to these APIs.
getauthattr , putauthattr	Queries or modifies authorizations defined in the authorization database.
getauthattrs	Retrieves multiple authorization attributes from the authorization database.
putauthattrs	Updates multiple authorization attributes in the authorization database.
getcmdattr , putcmdattr	Queries or modifies the command security information in the privileged command database.
getcmdattrs	Retrieves multiple command attributes from the privileged command database.
putcmdattrs	Updates multiple command attributes in the privileged command database.
getdevattr , putdevattr	Queries or modifies the device security information in the privileged device database.
getdevattrs	Retrieves multiple device attributes from the privileged device database.
putdevattrs	Updates multiple device attributes in the privileged device database.
getpfileattr , putpfileattr	Queries or modifies the file security information in the privileged file database
getpfileattrs	Retrieves multiple file attributes from the privileged file database.
putpfileattrs	Updates multiple file attributes in the privileged file database.
getroleattr , putroleattr	Queries or modifies roles defined in the role database.
getroleattrs	Retrieves multiple role attributes from the role database.
putroleattrs	Updates multiple role attributes in the role database.
getsecorder	Retrieves the ordering of domains for certain security databases.
setsecorder	Sets the ordering of domains for certain security databases.

AIX privileges

The privileges that are available in AIX are listed in the following table. A description of each privilege and its related system calls is provided. Some privileges form a hierarchy where one privilege can grant all of the rights that are associated with another privilege.

When checking for privileges, the system first determines if the process has the lowest privilege needed, and then proceeds up the hierarchy checking for the presence of a more powerful privilege. For example,

a process with the **PV_AU_** privilege automatically has the **PV_AU_ADMIN**, **PV_AU_ADD**, **PV_AU_PROC**, **PV_AU_READ**, and **PV_AU_WRITE** privileges, and a process with the **PV_ROOT** privilege automatically has all of the privileges listed below except for the **PV_SU_** privileges.

Privilege	Description	System call reference
PV_ROOT	Grants a process the equivalent of all privileges listed below except PV_SU_ (and the privileges it dominates)	
PV_AU_ADD	Allows a process to record/add an audit record	auditlog
PV_AU_ADMIN	Allows a process to configure and query the audit system	audit, auditbin, auditevents, auditobj
PV_AU_PROC	Allows a process to get or set an audit state of a process	auditproc
PV_AU_READ	Allows a process to read a file marked as an audit file.	
PV_AU_WRITE	Allows a process to write or delete a file marked as an audit file.	
PV_AU_	Equivalent to all above auditing privileges (PV_AU_*) combined	
PV_AZ_ADMIN	Allows a process to modify the kernel security tables	sec_setkst
PV_AZ_READ	Allows a process to retrieve the kernel security tables	sec_getkat, sec_getkpct, sec_getkpdt, sec_getkrt, etc.
PV_AZ_ROOT	Causes a process to pass authorization checks during exec() (used for inheritance purposes)	
PV_AZ_CHECK	Causes a process to pass all authorization checks	sec_checkauth
PV_DAC_R	Allows a process to override DAC read restrictions	access, creat, accessx, open, read, faccessx, mkdir, getea, rename, statx, _sched_getparam, _sched_getscheduler, statea, listea
PV_DAC_W	Allows a process to override DAC write restrictions	Many of the above and setea, write, symlink, _setpri, _sched_setparam, _sched_setscheduler, fsetea, rmdir, removeea
PV_DAC_X	Allows a process to override DAC execute restrictions	Many of the above and execve, symlink, rmdir, chdir, fchdir, ra_execve
PV_DAC_O	Allows a process to override DAC ownership restrictions	chmod, utimes, setacl, revoke, mprotect
PV_DAC_UID	Allows a process to change its user ID	setuid, seteuid, setuidx, setreuid, ptrace64
PV_DAC_GID	Allows a process to set a new or change its group ID	setgid, setgidx, setgroups, ptrace64

Privilege	Description	System call reference
PV_DAC_RID	Allows a process to set a new or change its role ID	setroles, getroles
PV_DAC_	Equivalent to all above DAC privileges (PV_DAC_*) combined	
PV_FS_MOUNT	Allows a process to mount and unmount a filesystem	vmount, umount
PV_FS_MKNOD	Allows a process to create a file of any type or to perform the mknod system call	mknod
PV_FS_CHOWN	Allows a process to change the ownership of a file	chown, chownx, fchownx, lchown
PV_FS_QUOTA	Allows a process to manage disk quotas related operations	quotactl
PV_FS_LINKDIR	Allows a process to make a hard link to a directory	link, unlink, remove
PV_FS_CNTL	Allows a process to perform various control operations except extend and shrink on a filesystem	fscntl
PV_FS_RESIZE	Allows a process to perform extend and shrink type of operations on a filesystem	fscntl
PV_FS_CHROOT	Allows a process to change its root directory	chroot
PV_FS_PDMODE	Allows a process to make or set partitioned type directory	pdmkdir
PV_FS_	Equivalent to all above filesystem privileges (PV_FS_*) combined	
PV_PROC_PRIV	Allows a process to modify or view privilege sets associated with a process	setppriv, getppriv
PV_PROC_PRIO	Allows a process/thread to change priority, policy and other scheduling parameters	_prio_requeue, _setpri, _setpriority, _getpri, _sched_setparam, _sched_setscheduler, _thread_setsched, thread_boostceiling, thread_setmystate, thread_setstate
PV_PROC_CORE	Allows a process to dump core	gencore
PV_PROC_RAC	Allows a process create more processes than the per-user limit	appsetrlimit, setrlimit64, mlock, mlockall, munlock, munlockall, plock, upfget, upfput, restart, brk, sbrk
PV_PROC_RSET	Allow to attach resource set (rset) to a process or thread	bindprocessor, ra_attachrset, ra_detachrset, rs_registername, rs_setnameattr, rs_discardname, rs_setpartition, rs_getassociativity, kra_mmapv

Privilege	Description	System call reference
PV_PROC_ENV	Allows a process to set user information in the user structure	ue_proc_register, ue_proc_unregister, usrinfo
PV_PROC_CKPT	Allows a process to checkpoint or restart another process	setcruid, restart
PV_PROC_CRED	Allows a process to set credential attributes	__pag_setvalue, __pag_setvalue64, __pag_genpagvalue
PV_PROC_SIG	Allows a process to send signal to an unrelated process	_sigqueue, kill, signohup, gencore, thread_post, thread_post_many
PV_PROC_TIMER	Allows a process to submit and use fine-granularity timers	appresabs, appresinc, absinterval, incinterval, _poll, _select_timer_settime
PV_PROC_RTCLK	Allows a process to access the CPU-time clock	_clock_getres, _clock_gettime, _clock_settime, _clock_getcpuclockid
PV_PROC_VARS	Allows a process to retrieve and update process tunable parameters	smttune
PV_PROC_PDMODE	Allows a process to change REAL mode of partitioned directory	setppdmode
PV_PROC_	Equivalent to all above process privileges (PV_PROC_*) combined	
PV_TCB	Allows a process to modify the kernel trusted library path	chpriv, fchpriv
PV_TP	Indicates a process is a trusted path process and allows actions limited to trusted path processes. (note: same as old AIX BYPASS_TPATH privilege)	
PV_WPAR_CKPT	Allows a process to perform checkpoint/restart operation in WPAR	smcr_proc_info, smcr_exec_info, smcr_mapinfo, smcr_net_oper, smcr_procatr, aio_suspend_io, aio_resume_io
PV_KER_ACCT	Allows a process to perform restricted operations pertaining to the accounting subsystem	acct, _acctctl, projctl
PV_KER_DR	Allows a process to invoke dynamic reconfiguration operations	_dr_register, _dr_notify, _dr_unregister, dr_reconfig
PV_KER_TIME	Allows a process to modify the system clock and system time	adjtime, appsettimer, _clock_settime
PV_KER_RAC	Allows a process to use large (non-pageable) pages for the shared memory segments	shmctl, vmgetinfo
PV_KER_WLM	Allows a process to initialize and modify WLM configuration	_wlm_set, _wlm_tune, _wlm_assign
PV_KER_EWLM	Allows a process to initialize or query the eWLM environment	

Privilege	Description	System call reference
PV_KER_VARS	Allows a process to examine or set kernel runtime tunable parameters	sys_parm, getkerninfo, __pag_setname, sysconfig, kunload64
PV_KER_REBOOT	Allows a process to shut down the system	reboot
PV_KER_RAS	Allows a process to configure or write RAS records, error logging, tracing, dumps functions	mtrace_set, mtrace_ctl
PV_KER_LVM	Allows a process to configure the LVM subsystem	
PV_KER_NFS	Allows a process to configure the NFS subsystem	
PV_KER_VMM	Allows a process to modify swap parameters and other VMM tunable parameters in the kernel	swapoff, _swapon_ext, vmgetinfo
PV_KER_WPAR	Allows a process to configure a workload partition	brand, corral_config, corral_delete, corral_modify, wpar_mkdevexport, wpar_rmdevexport, wpar_lsdevexport
PV_KER_CONF	Allows a process to perform various system-configuration operations	sethostname, sethostid, unameu, setdomainname
PV_KER_EXTCONF	Allows a process to perform various configuration tasks in kernel extensions (for kernel extension services)	
PV_KER_IPC	Allows a process to raise the value of IPC message queue buffer and allow shmget with ranges to attach	msgctl, shm_open, shmget, ra_shmget, ra_shmgetv, shmctl
PV_KER_IPC_R	Allows a process to read a IPC message queue, semaphore set, or shared memory segment	msgctl, __msgrcv, _mq_open, semctl, shmat, shm_open, __semop, shmctl, __semtimedop, sem_post, _sem_wait, __msgrcv, __msgxrcv
PV_KER_IPC_W	Allows a process to write a IPC message queue, semaphore set, or shared memory segment	_mq_open, shmat, _sem_open, semctl, shm_open, shmctl, mq_unlink, sem_unlink, shm_unlink, msgctl, __msgsnd
PV_KER_IPC_O	Allows a process to override DAC ownership on all IPC objects	msgctl, semctl, shmctl, fchmod, fchown
PV_KER_SECCONFIG	Allows a process to set kernel security flags	sec_setseccomp, sec_setrunmode, sec_setsyslab, sec_getsyslab
PV_KER_PATCH	Allows a process to patch kernel extensions	
PV_KER_*	Equivalent to all above kernel privileges (PV_KER_*) combined	
PV_DEV_CONFIG	Allows a process to configure kernel extensions and devices in the system	sysconfig

Privilege	Description	System call reference
PV_DEV_LOAD	Allows a process to load and unload kernel extensions and devices in the system	sysconfig
PV_DEV_QUERY	Allows a process to query kernel modules	sysconfig
PV_SU_ROOT	Grants the process all privileges associated with the standard AIX superuser	
PV_SU_EMUL	Grants the process all privileges associated with the standard AIX super user if the UID is 0	
PV_SU_UID	Causes the getuid system call to return 0	getuidx
PV_SU_	Equivalent to all of the above superuser privileges (PV_SU_*) combined	
PV_NET_CNTL	Allows a process to modify network tables	socket, bind, listen, _naccept, econnect, ioctl, rsock, setsockopt
PV_NET_PORT	Allows a process to bind to privileged ports	bind
PV_NET_RAWSOCK	Allows a process to have direct access to the network layer	socket, _send, _sendto, sendmsg, _nsendmsg
PV_NET_CONFIG	Allows a process to configure networking parameters	
PV_NET_	Equivalent to all above networking privileges (PV_NET_*) combined	

Domain RBAC

Role-based access control (RBAC), introduced in AIX 6.1, provides a mechanism to split the various functions of the super user root into roles, which can be delegated to other users on the system. RBAC provides the facility to delegate duties and improves the security of the system because the auditing and tracking of activities on the system is easier. RBAC provide delegation of responsibility to another user (referred as an authorized user), but it does not provide a mechanism to limit the administrative rights of an authorized user to specific resources of the system. For example, a user that has network administrative rights can manage every network interface on the system. You cannot restrict the authorized user to modify a set of interfaces.

The domain feature for RBAC is used to restrict access to authorized users. The users and resources of the system are labeled by attaching tags called domains, and the specific access rules determine access to resources by the users.

Definitions

The following definitions are related to access rules:

subject: A subject is an entity that requests access to an object. An example of a subject is a process.

object: An object is an entity that holds information of value. Examples of objects are files, devices, and network ports.

domain: A domain is defined as a category to which an entity belongs. When an entity belongs to a domain, access control to the entity is governed by the access rules as follows:

Access rules

- A subject can access an object when it has all the domains to which the object belongs. This specifies that the list of domains the subject belongs to is a super set of an object's domains. This is the default behavior.
- A subject can access an object when it has at least one domain of the object. That is, the subject and object have one domain in common. This behaviour depends on the security flags of the object.

- An object can deny access to certain domains. If an object defines a set of domains called conflict sets and if one of the domains of the subject is part of the conflict set, the object can deny access to the subject.

Domains Database

The domains supported by the system must be stored in a configuration file under `/etc/security/domains`. The format of a stanza in the file is as shown:

```
domain-name:
id = <number>
dflmsg = <Message>
msgcat = <Message catalog>
msgset = <Message set in catalog>
msgnum = <Message id in catalog>
```

The database can be manipulated using the **mkdom** and **chdom** commands. Use the **lsdom** command to view the database. To delete the entries use the **rmdom** command.

The entries in the database are not effective until it is downloaded to the kernel by using the **setkst** command.

A maximum of 1024 domains are supported on the system and the highest possible value of the domain identifier (ID attribute) is 1024.

Domain-Assigned Objects

To assign a domain to an object, it must be defined in the Domain-Assigned Objects database. The domains for all the entities on the system are stored in the configuration file under `/etc/security/domobjs`. The format of a stanza in the file is as shown, which is an example to assign a domain to an object.

```
/dev/hvrg:
domains=HR,IT
conflictsets=payroll
objtype=device
secflags=FSF_DOM_ANY
```

domains: Specifies the domains that are allowed to access the object. Examples of the domains are IT, HR, and Payroll.

objtype: Indicates the type of object that gets assigned to a domain. The different kind of objtypes are device, file, netint, and netport.

conflict sets: Indicates that if the subject belongs to any domain listed in this attribute in this set, it is not allowed access to the object.

secflags: This flag specifies the special properties of the object. The flags can be set to **FSF_DOM_ANY** or **FSF_DOM_ALL**. If the flag is set to **FSF_DOM_ANY**, a subject can access the object if it contains any one of the domain specified in the domains attribute listing. If the flag is set to **FSF_DOM_ALL**, all the domains in the listing must be satisfied by the subject to access the object. If no value is specified, the default value of **FSF_DOM_ALL** is used. The **secflag** affects only the behavior of the domains attribute of the object.

Domains can be assigned to the files in the file systems. By default, all domains of the object must be a subset of domains of the process to enable the process to access the object.

1. Devices: All devices (including file systems) can be assigned to a domain. The domain checks are done during management activities, such as configuring the device.

```
/dev/hvrg:
domains=HR,IT
conflictsets=payroll
objtype=device
secflags=FSF_DOM_ANY
```

2. Network interfaces: When network interfaces (for example: en0) are assigned to the domain, the management activities, such as shutting down the interface will require the interface to undergo domain checks.

```
en0:
domains=NETIF,ADMIN
objtype=netint
flags=FSF_DOM_ALL
```

3. Network ports: The TCP and UDP ports can be assigned to the domain. Domain checks are enforced when an application tries to bind to a port.

```
TCP_<port#>:
domains=NETIF,ADMIN
type=netport
flags=FSF_DOM_ALL
```

4. Processes: A process inherits domains of the user on whose behalf the process is running. When a user logs in, the user shell process has the domains of the user. When the domains are set, these domains of the process remain through their lifetime. The domains of a process cannot be changed by any user interface or system call. The only process that can set the domains is the login process. The processes do not have the **conflict set** and **secflags** attributes.

Current Limitations

The following items are limitations with the current domain RBAC facility:

- The domain configuration is currently supported on the local system and on lightweight directory access protocol (LDAP) server.
- RBAC domains are not supported within AIX workload partitions (WPARs).
- You cannot apply RBAC domains to transient files.

Enhanced RBAC Requirement

The domain RBAC is created on Enhanced RBAC and requires Enhanced RBAC to be enabled on the system to be effective.

Kernel Security Tables

The domains and Domain-Assigned Objects as defined in the domain database and Domain-Object database are effective after they are downloaded to the kernel by using the **setkst** command. The two tables are referred as Kernel Domain Table (KDOMT) and Kernel Domain Object Table (KDOT).

For additional details on kernel security tables and **setkst**, see the topic [role based access control \(RBAC\)](#) in AIX Security Guide.

Domain Commands

The following table lists the domain RBAC-related commands that are provided in the AIX operating to manage and use the domain-RBAC framework:

Command	Description
mkdom	Creates a new domain
lsdom	Displays domain attributes
rmdom	Removes the domain
chdom	Changes the domain attributes
setsecattr	Sets the security attributes of a Domain-Object database
lssecattr	Displays the security attributes of a Domain-Object database

Command	Description
<code>rmsecattr</code>	Removes the definition of a Domain-Object database
<code>setkst</code>	Sends the entries in the domain RBAC user-level databases to the Kernel Security Tables

Domain RBAC-related files

The following table lists the RBAC-related files that are provided in the AIX operating system to configure and store the database information:

File	Description
<code>/etc/security/domains</code>	Domain database
<code>/etc/security/domobjs</code>	Domain-Object database

Using Domains

Defining domains: The domains are defined in the Domain database by using the `mkdom` command.

```
mkdom id=24 HR
```

Assigning domains: The domains can be assigned to entities, such as users, files, devices, network ports, and interfaces. All entities other than users support conflict sets and security flags (**secflags**).

Users: Users are assigned to domains by using the `chuser`, and `chsec` commands.

Syntax:

```
chuser domains = <comma-separated list of domains> username
```

Example:

```
chuser domains=INET john
```

During login, the domains assigned to the user are activated. You must login again in case the domains were changed while your session was active, for the new domains to be effective.

Objects: To restrict access to objects through domains, the object must be defined in the Domain-Object database by using the `setsecattr` command.

Syntax:

```
setsecattr -o domains=<comma-separated list of allowed domains>
conflictsets=<comma-separated list of restricted domains>
secflags=<FSF_DOM_ALL or FSF_DOM_ANY>
objtype=<file or device or netint or netport>
object-path
```

Example:

```
setsecattr -o domains=INET,WEB conflictsets=DB secflags=FSF_DOM_ANY objtype=netint en0
```

Access Control Lists

Typically an ACL consists of series of entries called an Access Control Entry (ACE). Each ACE defines the access rights for a user in relationship to the object.

When an access is attempted, the operating system will use the ACL associated with the object to see whether the user has the rights to do so. These ACLs and the related access checks form the core of the Discretionary Access Control (DAC) mechanism supported by AIX.

The operating system supports several types of system objects that allow user processes to store or communicate information. The most important types of access controlled objects are as follows:

- Files and directories
- Named pipes
- IPC objects such as message queues, shared memory segments, and semaphores

All access permission checks for these objects are made at the system call level when the object is first accessed. Because System V Interprocess Communication (SVIPC) objects are accessed statelessly, checks are made for every access. For objects with file system names, it is necessary to be able to resolve the name of the actual object. Names are resolved either relatively (to the process' working directory) or absolutely (to the process' root directory). All name resolution begins by searching one of these directories.

The discretionary access control mechanism allows for effective access control of information resources and provides for separate protection of the confidentiality and integrity of the information. Owner-controlled access control mechanisms are only as effective as users make them. All users must understand how access permissions are granted and denied, and how these are set.

For example, an ACL associated with a file system object (file or directory) could enforce the access rights for various users in regards to access of the object. It is possible that such an ACL could enforce different levels of access rights, such as read or write, for different users.

Typically, each object will have a defined owner and, in some cases, be associated to a primary group . The owner of a specific object controls its discretionary access attributes. The owner's attributes are set to the creating process's effective user ID.

The following list contains direct access control attributes for the different types of objects:

Owner

For System V Interprocess Communication (SVIPC) objects, the creator or owner can change the object's ownership. SVIPC objects have an associated creator that has all the rights of the owner (including access authorization). The creator cannot be changed, even with root authority.

SVIPC objects are initialized to the effective group ID of the creating process. For file system objects, the direct access control attributes are initialized to either the effective group ID of the creating process or the group ID of the parent directory (this is determined by the group inheritance flag of the parent directory).

Group

The owner of an object can change the group. The new group must be either, the effective group ID of the creating process, or the group ID of the parent directory. (As above, SVIPC objects have an associated creating group that cannot be changed, and share the access authorization of the object group.)

Mode

The **chmod** command (in numeric mode with octal notations) can set base permissions and attributes. The **chmod** subroutine that is called by the command, disables extended permissions. The extended permissions are disabled if you use the numeric mode of the **chmod** command on a file that has an ACL. The symbolic mode of the **chmod** command disables extended ACLs for NSF4 ACL type but does not disable extended permissions for AIXC type ACLs. For information about numeric and symbolic mode, see **chmod**.

Many objects in the operating system, such as sockets and file system objects, have ACLs associated for different subjects. Details of ACLs for these object types could vary from one to another.

Traditionally, AIX has supported mode bits for controlling access to the file system objects. It has also supported a unique form of ACL around mode bits. This ACL consisted of base mode bits and also allowed for the definition of multiple ACE entries; each ACE entry defining access rights for a user or group around the mode bits. This classic type of ACL behavior will continue to be supported, and is named AIXC ACL type.

Note that support of an ACL on file system objects depends on the underlying physical file system (PFS). The PFS must understand the ACL data and be able to store, retrieve, and enforce the accesses for various

users. It is possible that some of the physical file systems do not support any ACLs at all (may just support the base mode bits) as compared to a physical file system that supported multiple types of ACLs. Few of the file systems under AIX have been enhanced to support multiple ACL types. JFS2 and GPFS will have the capability to support NFS version 4 protocol based ACL type too. This ACL has been named NFS4 ACL type on AIX. This ACL type adheres to most of the ACL definition in the NFS version 4 protocol specifications. It also supports more granular access controls as compared to the AIXC ACL type and provides for capabilities such as inheritance.

Multiple Access Control List type framework support

Beginning with version 5.3.0, the AIX operating system supports an infrastructure for different Access Control List (ACL) types to exist for different file system objects within the operating system.

This infrastructure allows for uniform methods to manage ACLs irrespective of the ACL type associated with the object. The framework includes the following components:

ACL administration commands

These are commands, such as **aclget**, **aclput**, **acledit**, **aclconvert**, **aclgettypes**. These commands call library interfaces that invoke ACL-type-specific modules.

ACL library interfaces

ACL Library interfaces act as front-ends to the applications that need to access ACLs.

ACL-type-specific dynamically loadable ACL modules

The AIX operating system provides a set of ACL-type-specific modules for AIX Classic ACLs (**AIXC**) and NFS4 ACLs (**nfs4**).

Binary compatibility

There are no compatibility issues for applications that run on the existing JFS2 file systems, with or without the existing AIX ACLs.

However, note that applications might find that access to files might fail if they encounter file system objects with much stricter ACLs (such as NFS4) associated. Simple checks to see whether the file exists will require level of read permission in NFS4 ACL.

Access Control List types supported on the AIX operating system

The AIX operating system currently supports AIXC and NFS4 ACL types.

As mentioned, it also supports an infrastructure for the addition of any other ACL type supported by the underlying physical file system. Note that the JFS2 PFS supports NFS4 ACL natively if the file system instance is created with Extended Attributes Version 2 capability.

AIXC Access Control List

The AIXC Access Control List type represents the behavior of the ACL type supported on AIX releases prior to 5.3.0. AIXC ACLs include base permissions and extended permissions.

The AIXC Access Control List (ACL) type represents the behavior of the ACL type supported on AIX releases prior to 5.3.0. AIXC ACLs include base permissions and extended permissions. The JFS2 file system allows a maximum size of 4 KB for AIXC ACLs.

Setting base permissions for AIXC ACL

Base permissions are the traditional file-access modes assigned to the file owner, file group, and other users. The access modes are: read (r), write (w), and execute/search (x).

In an ACL, base permissions are in the following format, with the *Mode* parameter expressed as rwx (with a hyphen (-) replacing each unspecified permission):

```
base permissions:
  owner(name): Mode
  group(group): Mode
  others: Mode
```

Setting attributes for AIXC ACL

The following attributes can be added to an AIXC ACL:

setuid (SUID)

Set-user-ID mode bit. This attribute sets the effective and saved user IDs of the process to the owner ID of the file at run time.

setgid (SGID)

Set-group-ID mode bit. This attribute sets the effective and saved group IDs of the process to the group ID of the file at run time.

savetext (SVTX)

For directories, indicates that only file owners can link or unlink files in the specified directory.

These attributes are added in the following format:

```
attributes: SUID, SGID, SVTX
```

Setting extended permissions for AIXC Access ACL

Extended permissions allow the owner of a file to more precisely define access to that file. Extended permissions modify the base file permissions (owner, group, others) by permitting, denying, or specifying access modes for specific individuals, groups, or user and group combinations. Permissions are modified through the use of keywords.

The **permit**, **deny**, and **specify** keywords are defined as follows:

permit

Grants the user or group the specified access to the file

deny

Restricts the user or group from using the specified access to the file

specify

Precisely defines the file access for the user or group

If a user is denied a particular access by either a **deny** or a **specify** keyword, no other entry can override that access denial.

The **enabled** keyword must be specified in the ACL for the extended permissions to take effect. The default value is the **disabled** keyword.

In an ACL, extended permissions are in the following format:

```
extended permissions:
  enabled | disabled
  permit  Mode  UserInfo...
  deny    Mode  UserInfo...
  specify Mode  UserInfo...
```

Use a separate line for each **permit**, **deny**, or **specify** entry. The *Mode* parameter is expressed as **rwX** (with a hyphen (-) replacing each unspecified permission). The *UserInfo* parameter is expressed as **u:UserName**, or **g:GroupName**, or a comma-separated combination of **u:UserName** and **g:GroupName**.

Note: Because a process has only one user ID, if more than one user name is specified in an entry, that entry cannot be used in an access control decision.

Textual representation of AIXC ACL

The following stanza shows the textual representation of an AIXC ACL:

```
Attributes: { SUID | SGID | SVTX }
Base Permissions:
  owner(name): Mode
  group(group): Mode
  others: Mode
Extended Permissions:
```

```
enabled | disabled
permit  Mode  UserInfo...
deny    Mode  UserInfo...
specify Mode  UserInfo...
```

Binary format of AIXC ACL

The AIXC ACL binary format is defined in `/usr/include/sys/acl.h` and is implemented in the current AIX release.

AIXC ACL example

The following is an example of an AIXC ACL:

```
attributes: SUID
base permissions:
  owner(frunk): rw-
  group(system): r-x
  others: ---
extended permissions:
  enabled
  permit rw- u:dhs
  deny   r-- u:chas, g:system
  specify r-- u:john, g:gateway, g:mail
  permit rw- g:account, g:finance
```

The ACL entries are described as follows:

- The first line indicates that the **setuid** bit is turned on.
- The next line, which introduces the base permissions, is optional.
- The next three lines specify the base permissions. The owner and group names in parentheses are for information only. Changing these names does not alter the file owner or file group. Only the **chown** command and the **chgrp** command can change these file attributes.
- The next line, which introduces the extended permissions, is optional.
- The next line indicates that the extended permissions that follow are enabled.
- The last four lines are the extended entries. The first extended entry grants user *dhs* read (r) and write (w) permission on the file.
- The second extended entry denies read (r) access to user *chas* only when he is a member of the *system* group.
- The third extended entry specifies that as long as user *john* is a member of both the *gateway* group and the *mail* group, he has read (r) access. If user *john* is not a member of both groups, this extended permission does not apply.
- The last extended entry grants any user in *both* the *account* group and the *finance* group read (r) and write (w) permission.

Note: More than one extended entry can apply to a process that is requesting access to a controlled object, with restrictive entries taking precedence over permissive modes.

Related information

[acledit Command](#)

NFS4 Access Control List

AIX also supports the NFS4 Access Control List (ACL) type.

The NFS4 ACL type implements access control as specified in the *Network File System (NFS) version 4 Protocol RFC 3530*. The JFS2 file system allows a maximum size of 64KB for NFS4 ACLs.

Only NFS V4 client supports NFS V4 ACLs. Both, Cachefs and Proxy do not support NFS V4 ACLs.

Textual representation of NFS4 ACL

A textual NFS V4 ACL is a list of ACEs (Access Control Entries) each ACE per line. An ACE has four elements in the following format.

```
IDENTITY   ACE_TYPE   ACE_MASK   ACE_FLAGS

where:
IDENTITY => Has format of 'IDENTITY_type:(IDENTITY_name or IDENTITY_ID or IDENTITY_who):'
  where:
  IDENTITY_type => One of the following Identity type:
    u : user
    g : group
    s : special who string (IDENTITY_who must be a special who)
        IDENTITY_name => user/group name
        IDENTITY_ID   => user/group ID
        IDENTITY_who  => special who string (e.g. OWNER@, GROUP@, EVERYONE@)
ACE_TYPE => One of the following ACE Type:
  a : allow
  d : deny
  l : alarm
  u : audit
ACE MASK => One or more of the following Mask value Key without separator:
  r : READ_DATA           or LIST_DIRECTORY
  w : WRITE_DATA         or ADD_FILE
  p : APPEND_DATA        or ADD_SUBDIRECTORY
  R : READ_NAMED_ATTRS
  W : WRITE_NAMED_ATTRS
  x : EXECUTE            or SEARCH_DIRECTORY
  D : DELETE_CHILD
  a : READ_ATTRIBUTES
  A : WRITE_ATTRIBUTES
  d : DELETE
  c : READ_ACL
  C : WRITE_ACL
  o : WRITE_OWNER
  s : SYNCHRONIZE
ACE_FLAGS (Optional) => One or more of the following Attribute Key without separator:
  fi : FILE_INHERIT
  di : DIRECTORY_INHERIT
  oi : INHERIT_ONLY
  ni : NO_PROPAGATE_INHERIT
  sf : SUCCESSFUL_ACCESS_ACE_FLAG
  ff : FAILED_ACCESS_ACE_FLAG
```

Note: Concerning the SYNCHRONIZE Ace_Mask value key, s, AIX does not take any action concerning this value key. The AIX operating system stores and preserves the s value key but this value key does not have any meaning to AIX.

When the WRITE_OWNER Ace_Mask is set to Ace_Type allow, users can change ownership of the file to themselves only.

Deleting a file depends on two ACEs, the DELETE entry of the object to be deleted and the DELETE_CHILD entry of its parent directory. The AIX operating system provides the user with two modes of behavior. In the *secure* mode, DELETE behaves similar to AIXC ACLs. In the *compatibility* mode, DELETE behaves like other major implementations of NFS4 ACLs. To turn on the compatibility mode, use the **chdev** command as follows:

```
chdev -l sys0 -a nfs4_acl_compat=compatible
```

You must reboot the system after running the **chdev** command before the configuration change will take place.

If you switch your system back and forth between the two modes, you need to be aware that NFS4 ACLs generated by the AIX operating system in secure mode might not be accepted by other platforms even if the system was changed back to compatibility mode.

```
Example:
u:user1(aa@ibm.com):   a   rwp   fidi
*s:(OWNER@):          d   x    dini           * This line is a comment
g:staff(jj@jj.com):   a   rx   fi
s:(GROUP@):           a   rwp   fioi
u:2:                  d   r    di           * This line shows user bin (uid=2)
g:7:                  a   ac   fi           * This line shows group security (gid=7)
s:(EVERYONE@):        a   rca   ni
```

Binary format for NFS4 ACL

The NFS4 ACL binary format is defined in `/usr/include/sys/acl.h` and is implemented in the current AIX release.

NFS4 ACL example

The following example shows an NFS4 ACL applied on a directory (such as, `/j2eav2/d0`):

```
s:(OWNER@):      a      rwpRwxDdo      difi      * 1st  ACE
s:(OWNER@):      d      D              difi      * 2nd  ACE
s:(GROUP@):      d      x              ni        * 3rd  ACE
s:(GROUP@):      a      rx            difi      * 4th  ACE
s:(EVERYONE@):   a      c              difi      * 5th  ACE
s:(EVERYONE@):   d      C              difi      * 6th  ACE
u:user1:         a      wp              oi        * 7th  ACE
g:grp1:          d      wp              * 8th  ACE
u:101:           a      C              * 9th  ACE
g:100:           d      c              * 10th ACE
```

The ACL entries are described as follows:

- The first ACE indicates that the owner has the following privileges on `/j2eav2/d0` and all its offspring created after this ACL is applied:
 - READ_DATA (= LIST_DIRECTORY)
 - WRITE_DATA (=ADD_FILE)
 - APPEND_DATA (= ADD_SUBDIRECTORY)
 - READ_NAMED_ATTR
 - WRITE_NAMED_ATTR
 - EXECUTE (=SEARCH_DIRECTORY)
 - DELETE_CHILD
 - DELETE
 - WRITE_OWNER
- The second ACE indicates the owner is denied the privilege for DELETE_CHILD (deleting the files or subdirectories created under `/j2eav2`), but owner can still delete them because of the first ACE, which allows owner the privilege for DELETE_CHILD.
- The third ACE indicates all members of the group for the object (`/j2eav2/d0`) are denied the privilege for EXECUTE (=SEARCH_DIRECTORY), but the owner is still allowed that privilege by the first ACE. This ACE can not be propagated to all of its offsprings because the NO_PROPAGATE_INHERIT flag is specified. This ACE is applied only to the directory `/j2eav2/d0` and its immediate child files and subdirectories.
- The fourth ACE indicates that every member of the group of the object (`/j2eav2/d0`) is allowed the privilege for READ_DATA (= LIST_DIRECTORY) and EXECUTE (=SEARCH_DIRECTORY) on `/j2eav2/d0` and all its offsprings. However, because of third ACE group members (except the owner) are not allowed the privilege for EXECUTE (=SEARCH_DIRECTORY) on the `/j2eav2/d0` directory and its immediate child files and subdirectories.
- The fifth ACE indicates that everyone is allowed the privilege for READ_ACL on the `/j2eav2/d0` directory and any offspring that are created after this ACL is applied.
- The sixth ACE indicates that everyone is denied the privilege for WRITE_ACL on the `/j2eav2/d0` directory and any offspring. The owner always has the privilege for WRITE_ACL on files and directories with NFS4 ACLs.
- The seventh ACE indicates that user1 has the privilege for WRITE_DATA (=ADD_FILE) and APPEND_DATA (= ADD_SUBDIRECTORY) on all the offspring of the `/j2eav2/d0` directory but not on the `/j2eav2/d0` directory itself.

- The eighth ACE indicates that all the members of grp1 are denied the privilege for WRITE_DATA (=ADD_FILE) and APPEND_DATA (= ADD_SUBDIRECTORY). This ACE does not apply to the owner even it belongs to grp1 because of the first ACE.
- The ninth ACE indicates that the user with **UID 101** has the privilege for WRITE_ACL, but no one, except the owner has the privilege for WRITE_ACL because of the sixth ACE.
- The tenth ACE indicates that all the members of the group with **GID 100** are denied for READ_ACL, but they will have this privilege because of the fifth ACE.

Access Control List Management

You can use commands to view and set ACLs.

Applications programmers and other subsystem developers can use the ACL library interfaces and ACL conversion routines described in this section.

ACL administration commands

You can use the following commands to work with ACLs for a file system object:

aclget

Writes to standard output the ACL of the file object named *FileObject*, presented in readable format or writes the same to the output file named *outAclFile*.

aclput

Sets the ACL of *FileObject* on the file system using the input specified through standard input or *inAclFile*.

acledit

Opens an editor for editing the ACL of the specified *FileObject*.

aclconvert

Converts an ACL from one type to another type. This command fails if the conversion is not supported.

aclgettypes

Gets ACL types supported by a file system path.

ACL library interfaces

ACL Library interfaces act as front-ends to the applications that need to access ACLs. The applications (including the generic ACL administration commands given above) do not directly invoke the undocumented ACL syscalls; instead, they access the generic syscalls and the type-specific loadable modules via the library interfaces. This will shield the customer application programmers from the complexity of using loadable modules, and reduces the backward binary compatibility issues for future AIX releases.

The following library interfaces call syscalls.

aclx_fget and aclx_get

The **aclx_get** and **aclx_fget** functions retrieve the access control information for a file system object, and put it into the memory region specified by **acl**. The size and type information for the **acl** are stored in ***acl_sz** and ***acl_type**.

aclx_fput and aclx_put

The **aclx_put** and **aclx_fput** functions store the access control information specified in **acl** for the input file object. These functions do not do ACL type conversions; for doing ACL type conversion, the caller has to explicitly call the **aclx_convert** function.

aclx_gettypes

The **aclx_gettypes** function gets the list of ACL types supported on the particular file system. A file system type can support more than one ACL type simultaneously. Each file system object is associated with a unique ACL type belonging to the list of ACL types supported by the file system.

aclx_gettypeinfo

The **aclx_gettypeinfo** function gets the characteristics and capabilities of an ACL type on the file system specified by path. Note that the ACL characteristics will normally be of a data structure type, which is specific for each particular ACL type. The data structures used for AIXC and NFS4 ACLs will be described in a separate document.

aclx_print and aclx_printStr

These two functions convert the ACL given in binary format into textual representation. These functions are called by the **aclget** and **acledit** commands.

aclx_scan and aclx_scanStr

These two functions convert the given textual representation of the ACL into binary format.

aclx_convert

Converts an ACL from one type to another. This function is used for implicit conversion by commands, such as **cp**, **mv**, or **tar**.

ACL conversion

ACL conversion allows you to convert one ACL type to another. Support of multiple ACL types is dependent upon what ACL types are supported on a specific physical file system. All file systems do not support all ACL types. For example, file system one might support only AIXC ACL types, and file system two might support AIXC and NFS4 ACL types. You can copy AIXC ACLs between the two file systems, but you must use ACL conversion to copy the NFS ACLs from file system two to file system one. ACL conversion preserves the access control information as much as possible.

Note: The conversion process is approximate and could result in loss of access control information. You should consider this when planning your ACL conversions.

ACL conversion in the AIX operating system is supported with the following infrastructure:

Library routines

These routines and user level ACL framework enable ACL conversion from one ACL type to another.

aclconvert command

This command converts ACLs.

aclput and acledit commands

These commands are used to modify ACL types.

cp and mv commands

These commands have been enabled to handle multiple ACL types and perform any internal ACL conversion, as necessary.

backup command

This command converts the ACL information to a known type and form (AIXC ACL type), if requested to backup in the legacy format. To retrieve the ACL in its native format, specify the **-U** option. See [backup](#) for more information.

Each ACL type is unique, and refinement of access control masks varies widely from one ACL type to another. The conversion algorithms are approximate and are not equivalent to manually converting an ACL. In some cases, the conversion will not be exact. For example, NFS4 ACLs cannot truly be converted to AIXC ACLs because NFS4 ACLs provides up to 16 access masks and has inheritance features that are not supported in the AIXC ACL type). You should not use the ACL conversion facilities and interfaces if you are concerned about the loss of access control information.

Note: The ACL conversion algorithms are proprietary in nature and are subject to change.

S bits and Access Control Lists

You can use **setuid** and **setgid** programs and applying S bits to ACLs.

Using setuid and setgid programs

The permission bits mechanism allows effective access control for resources in most situations. But for more precise access control, the operating system provides the **setuid** and **setgid** programs.

The AIX operating system defines identity only in terms of uids and gids. ACL types that do not define identity with uids and gids are mapped to the AIX identity model. For example, the NFS4 ACL type defines user identity as strings of the form user@domain, and this string is mapped to numeric UIDs and GIDs.

Most programs run with the user and group access rights of the user who invoked them. Program owners can associate the access rights of the user who invoked them by making the program a **setuid** or **setgid** program; that is, a program with the setuid or setgid bit set in its permissions field. When that program is run by a process, the process acquires the access rights of the owner of the program. A **setuid** program runs with the access rights of its owner, while a **setgid** program has the access rights of its group, and both bits can be set according to the permission mechanism.

Although the process is assigned the additional access rights, these rights are controlled by the program bearing the rights. Thus, the **setuid** and **setgid** programs allow for user-programmed access controls in which access rights are granted indirectly. The program acts as a trusted subsystem, guarding the user's access rights.

Although these programs can be used with great effectiveness, there is a security risk if they are not designed carefully. In particular, the program must never return control to the user while it still has the access rights of its owner, because this would allow a user to make unrestricted use of the owner's rights.

Note: For security reasons, the operating system does not support **setuid** or **setgid** program calls within a shell script.

Applying S bits to ACLs

ACLs such as NFS4 do not directly deal with the S bits. NFS4 ACL does not specify how these bits could be accommodated as part of the ACL. The AIX operating system has approached the problem such that S bits will be used while performing access checks and will compliment any NFS4 ACL related access checks. The **chmod** command that is provided with the AIX operating system can be used to set or reset S bits on file system objects with ACLs such as NFS4.

Administrative access rights

The operating system provides privileged access rights for system administration.

System privilege is based on user and group IDs. Users with effective user or group IDs of 0 are recognized as privileged.

Processes with effective user IDs of 0 are known as root-user processes and can:

- Read or write any object
- Call any system function
- Perform certain subsystem control operations by executing **setuid-root** programs.

You can manage the system using two types of privilege: the **su** command privilege and **setuid-root** program privilege. The **su** command allows all programs you invoke to function as root-user processes. The **su** command is a flexible way to manage the system, but it is not very secure.

Making a program into a **setuid-root** program means the program is a root-user-owned program with the setuid bit set. A **setuid-root** program provides administrative functions that ordinary users can perform without compromising security; the privilege is encapsulated in the program rather than granted directly to the user. It can be difficult to encapsulate all necessary administrative functions in **setuid-root** programs, but it provides more security to system managers.

Access authorization

When a user logs in to an account (using the **login** or **su** commands), the user IDs and group IDs assigned to that account are associated with the user's processes. These IDs determine the access rights of the process.

A process with a user ID of 0 is known as a *root user process*. These processes are generally allowed all access permissions. But if a root user process requests execute permission for a program, access is granted only if execute permission is granted to at least one user.

Access Authorization for AIXC ACLs

The owner of the information resource is responsible for managing access rights. Resources are protected by *permission bits*, which are included in the mode of the object. The permission bits define the access permissions granted to the owner of the object, the group of the object, and for the others default class. The operating system supports three different modes of access (read, write, and execute) that can be granted separately.

For files, directories, named pipes, and devices (special files), access is authorized as follows:

- For each access control entry (ACE) in the ACL, the identifier list is compared to the identifiers of the process. If there is a match, the process receives the permissions and restrictions defined for that entry. The logical unions for both permissions and restrictions are computed for each matching entry in the ACL. If the requesting process does not match any of the entries in the ACL, it receives the permissions and restrictions of the default entry.
- If the requested access mode is permitted (included in the union of the permissions) and is not restricted (included in the union of the restrictions), access is granted. Otherwise, access is denied.

The identifier list of an ACL matches a process if all identifiers in the list match the corresponding type of effective identifier for the requesting process. A USER-type identifier matches if it is equal to the effective user ID of the process, and a GROUP-type identifier matches if it is equal to the effective group ID of the process or to one of the supplementary group IDs. For instance, an ACE with an identifier list such as the following:

```
USER:fred, GROUP:philosophers, GROUP:software_programmer
```

would match a process with an effective user ID of *fred* and a group set of:

```
philosophers, philanthropists, software_programmer, doc_design
```

but would not match for a process with an effective user ID of *fred* and a group set of:

```
philosophers, iconoclasts, hardware_developer, graphic_design
```

Note that an ACE with an identifier list of the following would match for both processes:

```
USER:fred, GROUP:philosophers
```

In other words, the identifier list in the ACE functions is a set of conditions that must hold for the specified access to be granted.

All access permission checks for these objects are made at the system call level when the object is first accessed. Because System V Interprocess Communication (SVIPC) objects are accessed statelessly, checks are made for every access. For objects with file system names, it is necessary to be able to resolve the name of the actual object. Names are resolved either relatively (to the process' working directory) or absolutely (to the process' root directory). All name resolution begins by searching one of these directories.

The discretionary access control mechanism allows for effective access control of information resources and provides for separate protection of the confidentiality and integrity of the information. Owner-controlled access control mechanisms are only as effective as users make them. All users must understand how access permissions are granted and denied, and how these are set.

Access Authorization for NFS4 ACLs

Any user who has the privilege for WRITE_ACL can control the access rights. The owner of the information resource is always has the privilege for WRITE_ACL. For files and directories with NFS4 ACLs, access is authorized as follows:

- The list of ACEs is processed in order and only those ACEs which have a "who" (i.e. Identity) that matches the requester are considered for processing. The credentials of the requester is not checked while processing the ACE with special who EVERYONE@.
- Each ACE is processed until all of the bits of requester's access have been allowed. Once a bit is has been allowed, it is no longer considered in the processing of later ACEs.
- If any bit corresponding to the requester's access is denied, access is denied and the remaining ACEs are not processed.
- If all of the bits of requester's access have not been allowed, and there is no ACE left for processing, access is denied.

If the access requested is denied by the ACEs and the requesting user is superuser or root, access is generally allowed. Note that the object owner is always permitted for READ_ACL, WRITE_ACL, READ_ATTRIBUTES, and WRITE_ATTRIBUTES. For more information on the algorithm for access authorization, see [“NFS4 Access Control List” on page 119](#).

Access Control List Troubleshooting

The following information can be used for troubleshooting the Access Control List (ACL).

NFS4 Access Control List on an object failed application

You can use the return code or the trace facility to troubleshoot problems with setting an NFS4 ACL on an object, such as a file or directory. Both methods use command the **aclput** command and the **acledit** command to find the cause of the problem.

Using the Return Code for troubleshooting

To display the return code, use the echo \$? command after you run the **aclput** command. The following lists shows the return codes and their explanations:

22 (EINVAL, defined in /usr/include/sys/errno.h)

The following are possible causes for this code:

- Invalid textual format in any field of the 4 fields.
- The size of the input NFS4 ACL is more than 64 KB.
- The ACL is applied on a file that already has at least one ACE with ACE mask set to w (WRITE_DATA) but not p (APPEND_DATA) or p (APPEND_DATA) but not w (WRITE_DATA).
- The ACL is applied on a directory that already has at least one ACE with ACE mask set to w (WRITE_DATA) but not p (APPEND_DATA) or p (APPEND_DATA) but not w (WRITE_DATA), and the ACE flag fi (FILE_INHERIT).
- There is at least one ACE with OWNER@ set as a special **who (Identity)** and one or more of the ACE masks c (READ_ACL), C (WRITE_ACL), a (READ_ATTRIBUTE) and A (WRITE_ATTRIBUTE) are being denied by ACE type d.

124 (ENOTSUP, defined in /usr/include/sys/errno.h)

The following are possible causes for this code:

- The special who might not be any one of the three values (OWNER@, GROUP@, or EVERYONE@) in one of the ACEs.
- There is at least one ACE with ACE type u (AUDIT) or l (ALARM).

13 (EACCES, defined in /usr/include/sys/errno.h)

The following are possible causes for this code:

- You are not allowed to read the input file containing NFS4 ACEs.
- You are not allowed to search the parent directory of the target object because you do not have x (EXECUTE) permission on the parent directory of the target object.
- You might not be allowed to write or change the ACL. If the object is already associated with an NFS4 ACL ensure that you are have the privilege for the ACE mask C (WRITE_ACL).

Using the Trace facility for troubleshooting

You can also generate a trace report to find the cause of the problem. The following scenario shows how to use trace to find the cause of the problem applying an NFS4 ACL. If you have a file, `/j2v2/file1` with the following NFS4 ACL:

```
s:(EVERYONE@): a      acC
```

And, the following ACL is contained in the `input_acl_file` input file:

```
s:(EVERYONE@): a      rwxacC
```

Complete the following steps to troubleshoot with the trace facility:

1. Run the trace, **aclput** and **trcrpt** using the following commands:

```
$ trace -j 478 -o trc.raw
$->!aclput -i input_acl_file -t NFS4 /j2v2/file1
$ ->quit
$ trcrpt trc.raw > trc.rpt
```

2. Analyze the trace report. When the ACL is applied on a file or directory, it checks for the access to write or change the ACL, and then applies the ACL. The file contains lines similar to the following:

```
478 xxx   xxx   ACL ENGINE: chk_access entry: type=NFS4 obj_mode=33587200 size=68 ops=16384 uid=100
478 xxx   xxx   ACL ENGINE: chk_access exit: type=NFS4 rc=0 ops=16384 priv=0 against=0
478 xxx   xxx   ACL ENGINE: set_acl entry: type=NFS4 ctl_flg=2 obj_mode=33587200 mode=0 size=48
478 xxx   xxx   ACL ENGINE: validate_acl: type=NFS4 rc=22 ace_cnt=1 acl_len=48 size=12
478 xxx   xxx   ACL ENGINE: set_acl exit: type=NFS4 rc=22 obj_mode=33587200 size=68 cmd=536878912
```

The second line containing, `chk_access exit`, indicates access is allowed (`rc = 0`) to write the ACL. The fourth line, containing `validate_acl`, and the fifth line, containing `set_acl exit`, indicate that the ACL is not applied successfully (`rc=22` indicates **EINVAL**). The fourth line, containing `validate_acl`, indicates there is problem in the first line of the ACE (`ace_cnt=1`). If you refer to the first ACE, `s:(EVERYONE@): a rwxacC`, there is no **p** as the access mask. The **p** is needed in addition to the **w** when applying the ACL.

Troubleshooting access denies

A filesystem operation (for example, read or write) might fail on an object associated with an NFS4 ACL. Usually, an error message is displayed, but that message might not contain enough information to determine the access problem. You can use the trace facility to find the access problem. For example, if you have a file, `/j2v2/file2` with the following NFS4 ACL:

```
s:(EVERYONE@): a      rwpX
```

The following command reports a "Permission denied" error:

```
ls -l /j2v2/file2
```

Complete the following steps to troubleshoot this problem:

1. Run the trace, `ls -l /j2v2/file2` and **trcrpt** using the following commands:

```
$ trace -j 478 -o trc.raw
$->!ls -l /j2v2/file2
```

```
$ ->quit
$ trcript trc.raw > trc.rpt
```

2. Analyze the trace report. The file contains lines similar to the following:

```
478 xxx xxx ACL ENGINE: chk_access entry: type=NFS4 obj_mode=33587711 size=68 ops=1024 uid=100
478 xxx xxx ACL ENGINE: nfs4_chk_access_self: type=NFS4 aceN=1 aceCnt=1 req=128 deny=0
478 xxx xxx ACL ENGINE: nfs4_mask_privcheck: type=NFS4 deny=128 priv=128
478 xxx xxx ACL ENGINE: chk_access exit: type=NFS4 rc=13 ops=1024 priv=0 against=0
```

The third line indicates the access is denied for access mask = 128 (**0x80**) which is only READ_ATTRIBUTES (see the `/usr/include/sys/acl.h` file).

Auditing overview

The auditing subsystem enables the system administrator to record security-relevant information, which can be analyzed to detect potential and actual violations of the system security policy.

Auditing subsystem

The auditing subsystem has detection, collection, and processing functions.

- [“Auditing event detection” on page 128](#)
- [“Event information collection” on page 128](#)
- [“Audit trail information processing” on page 129](#)

The system administrator can configure each of these functions.

Auditing event detection

Event detection is distributed throughout the Trusted Computing Base (TCB), both in the kernel (supervisor state code) and the trusted programs (user state code). An auditable event is any security-relevant occurrence in the system. A security-relevant occurrence is any change to the security state of the system, any attempted or actual violation of the system access control or accountability security policies, or both. The programs and kernel modules that detect auditable events are responsible for reporting these events to the system audit logger, that runs as part of the kernel and can be accessed either with a subroutine (for trusted program auditing) or within a kernel procedure call (for supervisor state auditing). The information reported includes the name of the auditable event, the success or failure of the event, and any additional event-specific information that is relevant to security auditing.

Event detection configuration consists of turning event detection on or off, and specifying which events are to be audited for which users. To activate event detection use the **audit** command to enable or disable the audit subsystem. The `/etc/security/audit/config` file contains the events and users that are processed by the audit subsystem.

Event information collection

Information collection encompasses logging the selected auditable events. This function is performed by the kernel audit logger, which provides both a system call and an intra-kernel procedure call interface that records auditable events.

The audit logger is responsible for constructing the complete audit record, consisting of the audit header, that contains information common to all events (such as the name of the event, the user responsible, the time and return status of the event), and the audit trail, which contains event-specific information. The audit logger appends each successive record to the kernel audit trail, which can be written in either (or both) of two modes:

BIN mode

The trail is written into alternating files, providing for safety and long-term storage.

STREAM mode

The trail is written to a circular buffer that is read synchronously through an audit pseudo-device. STREAM mode offers immediate response.

Information collection can be configured at both the front end (event recording) and at the back end (trail processing). Event recording is selectable on a per-user basis. Each user has a defined set of audit events that are logged in the audit trail when they occur. At the back end, the modes are individually configurable, so that the administrator can employ the back-end processing best suited for a particular environment. In addition, BIN mode auditing can be configured to generate an alert in case the file system space available for the trail is getting too low.

Audit trail information processing

The operating system provides several options for processing the kernel audit trail. The BIN mode trail can be compressed, filtered, or formatted for output, or any reasonable combination of these before archival storage of the audit trail, if any. Compression is done through Huffman encoding. Filtering is done with standard query language (SQL)-like audit record selection (using the **auditselect** command), which provides for both selective viewing and selective retention of the audit trail. Formatting of audit trail records can be used to examine the audit trail, to generate periodic security reports, and to print a paper audit trail.

The STREAM mode audit trail can be monitored in real time, to provide immediate threat-monitoring capability. Configuration of these options is handled by separate programs that can be invoked as daemon processes to filter either BIN or STREAM mode trails, although some of the filter programs are more naturally suited to one mode or the other.

Auditing subsystem configuration

The auditing subsystem has a global state variable that indicates whether the auditing subsystem is on. In addition, each process has a local state variable that indicates whether the auditing subsystem should record information about this process.

Both of these variables determine whether events are detected by the Trusted Computing Base (TCB) modules and programs. Turning TCB auditing off for a specific process allows that process to do its own auditing and not to bypass the system accountability policy. Permitting a trusted program to audit itself allows for more efficient and effective collection of information.

Auditing subsystem information collection

Information collection addresses event selection and kernel audit trail modes. It is done by a kernel routine that provides interfaces to log information, used by the TCB components that detect auditable events, and configuration interfaces, used by the auditing subsystem to control the audit logging routine.

Audit logging

Auditable events are logged by the following interfaces: the user state and supervisor state. The user state portion of the TCB uses the **auditlog** or **auditwrite** subroutine, while the supervisor state portion of the TCB uses a set of kernel procedure calls.

For each record, the audit event logger prefixes an audit header to the event-specific information. This header identifies the user and process for which this event is being audited, as well as the time of the event. The code that detects the event supplies the event type and return code or status and optionally, additional event-specific information (the event tail). Event-specific information consists of object names (for example, files that are refused access or tty used in failed login attempts), subroutine parameters, and other modified information.

Events are defined symbolically, rather than numerically. This lessens the chances of name collisions, without using an event registration scheme. Because subroutines are auditable and the extendable kernel definition has no fixed switched virtual circuit (SVC) numbers, it is difficult to record events by number.

The number mapping would have to be revised and logged every time that the kernel interface was extended or redefined.

Audit record format

The audit records consist of a common header, followed by audit trails specific to the audit event of the record. The structures for the headers are defined in the `/usr/include/sys/audit.h` file. The format of the information in the audit trails is specific to each base event and is shown in the `/etc/security/audit/events` file.

The information in the audit header is generally collected by the logging routine to ensure its accuracy, while the information in the audit trails is supplied by the code that detects the event. The audit logger has no knowledge of the structure or semantics of the audit trails. For example, when the **login** command detects a failed login, it records the specific event with the terminal on which it occurred and writes the record into the audit trail using the **auditlog** subroutine. The audit logger kernel component records the subject-specific information (user IDs, process IDs, time) in a header and appends this to the other information. The caller supplies only the event name and result fields in the header.

Audit logger configuration

The audit logger is responsible for constructing the complete audit record. You must select the audit events that you want to be logged.

Audit events selection

Audit event selection has the following types:

Per-Process Auditing

To select process events efficiently, the system administrator can define audit classes. An audit class is a subset of the base auditing events in the system. Auditing classes provide for convenient logical groupings of the base auditing events.

For each user on the system, the system administrator defines a set of audit classes that determine the base events that could be recorded for that user. Each process run by the user is tagged with its audit classes.

Per-Object Auditing

The operating system provides for the auditing of object accesses by name; that is, the auditing of specific objects (normally files). By-name object auditing prevents having to cover all object accesses to audit the few pertinent objects. In addition, the auditing mode can be specified, so that only accesses of the specified mode (read/write/execute) are recorded.

Kernel audit trail modes

Kernel logging can be set to BIN or STREAM modes to define where the kernel audit trail is to be written. If the BIN mode is used, the kernel audit logger must be given (before audit startup) at least one file descriptor to which records are to be appended.

BIN mode consists of writing the audit records into alternating files. At auditing startup, the kernel is passed two file descriptors and an advisory maximum bin size. It suspends the calling process and starts writing audit records into the first file descriptor. When the size of the first bin reaches the maximum bin size, and if the second file descriptor is valid, it switches to the second bin and reactivates the calling process. The kernel continues writing into the second bin until it is called again with another valid file descriptor. If at that point the second bin is full, it switches back to the first bin, and the calling process returns immediately. Otherwise, the calling process is suspended, and the kernel continues writing records into the second bin until it is full. Processing continues this way until auditing is turned off. See the following figure for an illustration of audit BIN mode:

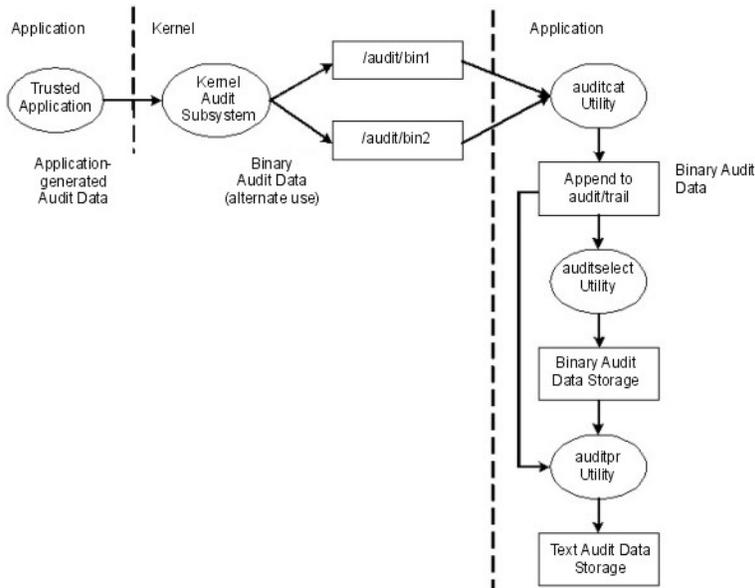


Figure 1. Process of the audit BIN mode.

The alternating bin mechanism is used to ensure that the audit subsystem always has something to write to while the audit records are processed. When the audit subsystem switches to the other bin, it empties the first bin content to the trace file. When time comes to switch the bin again, the first bin is available. It decouples the storage and analysis of the data from the data generation. Typically, the **auditcat** program is used to read the data from the bin that the kernel is not writing to at the moment. To make sure that the system never runs out of space for the audit trail (the output of the **auditcat** program), the *freespace* parameter can be specified in the `/etc/security/audit/config` file. If the system has less than the amount of 512-byte blocks specified here, it generates a syslog message.

If auditing is enabled, the *binmode* parameter in the `start` stanza in `/etc/security/audit/config` should be set to `panic`. The *freespace* parameter in the `bin` stanza should be configured at minimum to a value that equals 25 percent of the disk space dedicated to the storage of the audit trails. The *bytethreshold* and *binsize* parameters should each be set to 65536 bytes.

In the STREAM mode, the kernel writes records into a circular buffer. When the kernel reaches the end of the buffer, it simply wraps to the beginning. Processes read the information through a pseudo-device called `/dev/audit`. When a process opens this device, a channel is created for that process. Optionally, the events to be read on the channel can be specified as a list of audit classes. See the following figure for an illustration of audit STREAM mode:

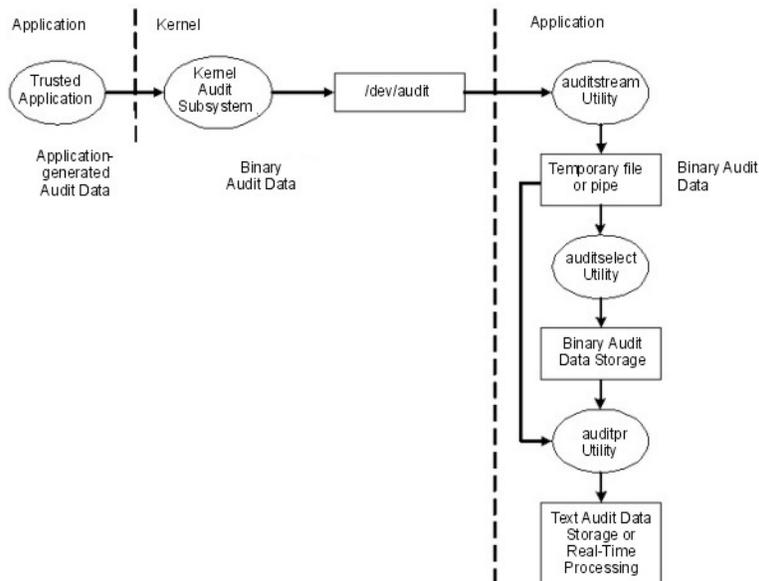


Figure 2. Process of the audit STREAM mode

The main purpose of the STREAM mode is to allow for timely reading of the audit trail, which is desirable for real-time threat monitoring. Another use is to create a trail that is written immediately, preventing any possible tampering with the audit trail, as is possible if the trail is stored on some writable media.

Yet another method to use the STREAM mode is to write the audit stream into a program that stores the audit information on a remote system, which allows central near-time processing, while at the same time protecting the audit information from tampering at the originating host.

Audit records processing

The **auditselect**, **auditpr**, and **auditmerge** commands are available to process BIN or STREAM mode audit records. Both utilities operate as filters so that they can be easily used on pipes, which is especially handy for STREAM mode auditing.

auditselect

Can be used to select only specific audit records with SQL-like statements. For example, to select only **exec()** events that were generated by user *afx*, type the following:

```
auditselect -e "login==afx && event==PROC_Execute"
```

auditpr

Used to convert the binary audit records into a human-readable form. The amount of information displayed depends on the flags specified on the command line. To get all the available information, run the **auditpr** command as follows:

```
auditpr -v -hhelrtRpPTc
```

When the **-v** flag is specified, the audit tail which is an event specific string (see the `/etc/security/audit/events` file) is displayed in addition to the standard audit information that the kernel delivers for every event.

auditmerge

Used to merge binary audit trails. This is especially useful if there are audit trails from several systems that need to be combined. The **auditmerge** command takes the names of the trails on the command line and sends the merged binary trail to standard output, so you still need to use the **auditpr** command to make it readable. For example, the **auditmerge** and **auditpr** commands could be run as follows:

```
auditmerge trail.system1 trail.system2 | auditpr -v -hhelrtRtpc
```

Using the audit subsystem for a quick security check

To monitor a single suspicious program without setting up the audit subsystem, the **watch** command can be used. It will record either the requested or all events that are generated by the specified program.

For example, to see all **FILE_Open** events when running **vi /etc/hosts**, type the following:

```
watch -eFILE_Open -o /tmp/vi.watch vi /etc/hosts
```

The `/tmp/vi.watch` file displays all **FILE_Open** events for the editor session.

Event selection

Event selection must maintain a balance between insufficient to too much detail.

The set of auditable events on the system defines which occurrences can actually be audited and the granularity of the auditing provided. The auditable events must cover the security-relevant events on the system, as defined previously. The level of detail you use for auditable event definition must maintain a balance between insufficient detail, which makes it difficult for the administrator to understand the selected information, and too much detail, which leads to excessive information collection. The definition of events takes advantage of similarities in detected events. For the purpose of this discussion, a *detected event* is any single instance of an auditable event; for instance, a given event might be detected in various places. The underlying principle is that detected events with similar security properties are selected as the same auditable event. The following list shows a classification of security policy events:

- Subject Events
 - Process creation
 - Process deletion
 - Setting subject security attributes: user IDs, group IDs
 - Process group, control terminal
- Object Events
 - Object creation
 - Object deletion
 - Object open (including processes as objects)
 - Object close (including processes as objects)
 - Setting object security attributes: owner, group, ACL
- Import/Export Events
 - Importing or exporting an object
- Accountability Events
 - Adding a user, changing user attributes in the password database
 - Adding a group, changing group attributes in the group database
 - User login
 - User logoff
 - Changing user authentication information
 - Trusted path terminal configuration
 - Authentication configuration
 - Auditing administration: selecting events and audit trails, switching on or off, defining user auditing classes
- General System Administration Events
 - Use of privilege
 - File system configuration

- Device definition and configuration
- System configuration parameter definition
- Normal system IPL and shutdown
- RAS configuration
- Other system configuration
- Starting the audit subsystem
- Stopping the audit subsystem
- Querying the audit subsystem
- Resetting the audit subsystem
- Security Violations (potential)
 - Access permission refusals
 - Privilege failures
 - Diagnostically detected faults and system errors
 - Attempted alteration of the TCB

Audit events

An *audit event* is any security-relevant occurrence in the system. A security-relevant occurrence can be a change to the security state of the system, an attempted or actual violation of the system access control or accountability security policies, or both. The programs and kernel modules that detect audit events report these events to the system audit logger that runs as part of the kernel. This audit event report can be accessed either by using a subroutine (for trusted program auditing) or within a kernel procedure call (for supervisor state auditing). The information that is reported in an audit event includes the name of the event, the success or failure of the event, and any additional event-specific information that is related to security auditing.

To audit an activity, you must identify the command or process that initiates the audit event and ensure that the event is listed in the `/etc/security/audit/events` file for your system. You can facilitate the assignment of audit events to users by combining similar events into audit classes. These audit classes are defined in the classes stanza of the `/etc/security/audit/config` file.

The following table lists some of the commonly used audit events that occur in the AIX operation system:

<i>Table 12. Audit events</i>		
User or system call	Audit event	Description
fork	PROC_Create	Specifies that a process is created.
exit	PROC_Delete	Specifies that the calling process ended.
exec	PROC_Execute	Runs a new program.
setuidx	PROC_RealUID	Sets the user ID of the process.
	PROC_AuditID	
	PROC_SetUserIDs	
setgidx	PROC_RealGID	Sets the process group ID.
> setroles <	> PROC_SetRoles <	> Entry point for setting role IDs. <
accessx	FILE_Accessx	Determines the accessibility of a file.

Table 12. Audit events (continued)

User or system call	Audit event	Description
statacl	FILE_StatAcl	Retrieves the access control information of a file.
revoke	FILE_Revoke	Revokes access to a file by all processes.
frevoke	FILE_Frevoke	Revokes access to a file by other processes.
usrinfo	PROC_Environ	Changes a part of user information data.
setrlimit	PROC_Limits	Controls consumption of maximum system resources.
nice	PROC_SetPri	Specifies the use of the nice function.
setpri	PROC_Setpri	Sets fixed priority for processes.
setpriv	PROC_Privilege	Changes one or more privilege vectors for processes.
settimer	PROC_Settimer	Sets current value for a specified system-wide timer.
adjtime	PROC_Adjtime	Changes the system clock.
ptrace	PROC_Debug	Traces the execution of another process.
kill	PROC_Kill	Sends a signal to a process or a group of processes.
setpgid	PROC_setpgid	Sets the process group ID.
ld_loadmodule	PROC_Load	Loads a new object module into the process address space.
	PROC_LoadError	Indicates that the object loading failed.
setgroups	PROC_SetGroups	Changes the process concurrent group set.
sysconfig	PROC_Sysconfig	Captures the action on kernel or system configuration.
audit	AUD_It	Starts and stops the auditing operation. It also queries the audit status.
auditbin	AUD_Bin_Def	Modifies the auditbin system call.
auditevents	AUD_Events	Modifies events.
auditobj	AUD_Objects	Modifies the auditobj system call.
auditproc	AUD_Proc	Gets or sets the audit state of a process.

Table 12. Audit events (continued)

User or system call	Audit event	Description
acct	ACCT_Disable	Disables system accounting.
	ACCT_Enable	Enables system accounting.
open and create	FILE_Open	Calls the open subroutine.
read	FILE_Read	Reads data from the file descriptor.
write	FILE_Write	Writes data to the file descriptor.
close	FILE_Close	Closes the open file descriptor.
link	FILE_Link	Creates new directory entry for a file system object.
unlink	FILE_Unlink	Removes a file system object.
rename	FILE_Rename	Changes the name of a file system object.
chown	FILE_Owner	Changes file ownership.
chmod	FILE_Mode	Changes file mode.
fchmod	FILE_Fchmod	Changes file permission of a file descriptor.
fchown	FILE_Fchown	Changes ownership of a file descriptor.
truncate	FILE_Truncate	Changes the length of regular files or shared memory object.
symlink	FILE_Symlink	Creates a symbolic link.
pipe	FILE_Pipe	Creates an unnamed pipe.
mknod	FILE_Mknod	Creates a device special file or a first-in-first-out (FIFO) special file.
fcntl	FILE_Dupfd	Duplicates the file descriptor.
fscntl	FS_Extend	Extends the file system.
mount	FS_Mount	Connects file system to a named directory.
umount	FS_Umount	Disconnects the mounted file system.
chacl	FILE_Acl	Changes the access control list (ACL) of a file.
fchacl	FILE_Facl	Changes ACL of a file descriptor.
chpriv	FILE_Privilege	Sets the privilege control list (PCL) of a file path name.
	FILE_Chpriv	Changes the PCL.
	FILE_Fchpriv	Changes the PCL of a file descriptor.

Table 12. Audit events (continued)

User or system call	Audit event	Description
chdir	FS_Chdir	Changes the current working directory.
fchdir	FS_Fchdir	Changes the current working directory by using a file descriptor.
chroot	FS_Chroot	Changes meaning of the root directory (/) for the current process.
rmdir	FS_Rmdir	Removes the directory object.
mkdir	FS_Mkdir	Creates a directory.
utimes	FILE_Utimes	Calls the utimes subroutine.
stat	FILE_Stat	Calls the stat subroutine.
msgget	MSG_Create	Creates a message queue.
msgrcv	MSG_Read	Receives message from a message queue.
msgsnd	MSG_Write	Sends message to a message queue.
msgctl	MSG_Delete	Removes a message queue.
	MSG_Owner	Changes ownership and access right of a message queue.
	MSG_Mode	Queries access rights of a message queue.
semget	SEM_Create	Creates a semaphore set.
semop	SEM_Op	Increases or decreases one or more semaphores.
semctl	SEM_Delete	Deletes a semaphore set.
	SEM_Owner	Changes ownership and access rights of a semaphore set.
	SEM_Mode	Queries semaphore set access rights.
shmget	SHM_Create	Creates a new shared memory segment.
shmat	SHM_Open	Calls the shmat subroutine by using the Open option.
shmat	SHM_Detach	Calls the shmat subroutine by using the Detach option.

Table 12. Audit events (continued)

User or system call	Audit event	Description
shmctl	SHM_Close	Closes shared memory segment.
	SHM_Owner	Changes ownership and access rights for shared memory segment.
	SHM_Mode	Queries access rights of shared memory segment.
tcpip user level	TCPIP_connect	Calls the connect subroutine.
	TCPIP_data_out	Data sent.
	TCPIP_data_in	Data received.
	TCPIP_set_time	Logs the attempt to change system time through network.
tcpip kernel level	TCP_ksocket	Specifies that a socket is created.
	TCP_ksocketpair	Specifies that a pair of connected sockets is created.
	TCP_kclose	Specifies that the socket is closed.
	TCP_ksetopt	Specifies that the socket options are set.
	TCP_kbind	Specifies that a name is bound to a socket.
	TCP_klisten	Listens for a socket connection.
	TCP_kconnect	Specifies that a connection between two sockets is created.
	TCP_kaccept	Accepts a new socket and specifies that a connection on a socket is created.
	TCP_kshutdown	Specifies that all send and receive operations of sockets are shut down.
	TCP_ksend	Specifies that messages are sent from a connected socket.
	TCP_kreceive	Specifies that messages are received from a connected socket.
tsm	USER_Login	Logs in the user to the system.
	PORT_Locked	Indicates that the port is locked because of invalid login attempts.
	TERM_Logout	Logs the user out of the system.
rlogind or telnetd	USER_Exit	Indicates that the user is logged out.

Table 12. Audit events (continued)

User or system call	Audit event	Description
usrck	USER_Check	Verifies the accuracy of a user definition.
	USRCK_Error	
	> USER_Locked <	> User is locked after failed login attempts. <
logout	USER_Logout	Stops all processes on a port.
chpass	USER_Chpass	User password changed.
chsec	PORT_Change	Indicates a change in port attribute values.
	> USER_Unlocked <	> User unlocked by administrator. <
	> LPA_Change <	> Password algorithm changed. <
	> SECORDER_Change <	> Change secorder in /etc/nscontrol.conf. <
chuser	USER_Change	Changes user attributes.
rmuser	USER_Remove	Removes a user.
mkuser	USER_Create	Creates a user.
setgroups	USER_SetGroups	Sets the supplementary group ID of the current process.
setsenv	USER_SetEnv	Sets the environment variable.
su	USER_SU	Changes the user ID that is associated with a session.
grpck	GROUP_User	Removes nonexistent users from the group.
	GROUP_Adms	Removes nonexistent administrative users from the group.
chgroup	GROUP_Change	Changes the group attributes.
mkgroup	GROUP_Create	Creates a group.
rmgroup	GROUP_Remove	Removes a group.
passwd	PASSWORD_Change	Changes a user password.
pwdadm	PASSWORD_Flags	Changes an administrator password.
pwdck	PASSWORD_Check	Verifies the accuracy of local authentication information.
	PASWORD_Ckerr	
startsrc	SRC_Start	Starts a system resource controller.

Table 12. Audit events (continued)

User or system call	Audit event	Description
stopsrc	SRC_Stop	Stops a system resource controller.
addssys	SRC_Addssys	Adds the SRCsubsys definition to the subsystem object class.
chssys	SRC_Chssys	Changes a subsystem definition in the subsystem object class.
addserver	SRC_Addserver	Adds a subserver definition to the subserver object class.
chserver	SRC_Chserver	Changes a subserver definition in the subserver object class.
rmsys	SRC_DeIssys	Removes a subsystem definition from the subsystem object class.
rmserver	SRC_DeIserver	Removes a subserver definition from the Subserver type object class.
enq	ENQUE_admin	Queues a file.
qdaemon	ENQUE_exec	Schedules queued jobs.
sendmail	SENDMAIL_Config	Routes the mail for local or network delivery.
	SENDMAIL_ToFile	
at	AT_JobAdd	Removes or adds the commands that are scheduled to be run by using the at command.
	At_JobRemove	
cron	CRON_JobRemove	Removes or adds the commands that are scheduled to be run by using the cron command.
	CRON_JobAdd	
	CRON_Start	Indicates start of a cron job.
	CRON_Finish	Indicates end of a cron job.
nvload	NVRAM_Config	Specifies access to the nonvolatile random-access memory (NVRAM).
cfgmgr	DEV_Configure	Configures devices.
chdev and mkdev	DEV_Change	Specifies a change in device.
mkdev	DEV_Create	Specifies that the device is created.
	DEV_Start	Specifies that the device is started.
installp	INSTALLP_Inst	Installs available software products in a compatible installation package.
	INSTALLP_Exec	

Table 12. Audit events (continued)

User or system call	Audit event	Description
rmdev	DEV_Stop	Specifies that the device is stopped.
	DEV_Unconfigure	Specifies that the device is unconfigured.
	DEV_Remove	Specifies that the device is removed.
lchangeLV, lextendLV, and lreduceLV	LVM_ChangeLV	Specifies that the logical volume is changed.
lchangeVG, ldeleteVG, and linstallpv	LVM_ChangeVG	Specifies that the volume group is changed.
lcreateLV	LVM_CreateLV	Specifies that a logical volume is added to the system.
lcreateVG	LVM_CreateVG	Specifies that a volume group is created in the system.
ldeleteVG	LVM_DeleteVG	Specifies that the volume group is removed from the system.
rmlv	LVM_DeleteLV	Specifies that the logical volume is removed from the system.
lvaryoffvg	LVM_VaryoffVG	Deactivates a volume group.
lvaryonvg	LVM_VaryonVG	Activates a volume group.
Logical volume operations	LVM_AddLV	Adds a logical volume to an existing volume group.
	LVM_KDeleteLV	Removes a logical volume from an existing volume group.
	LVM_ExtendLV	Increases the size of a logical volume by adding deallocated physical partitions from the volume group.
	LVM_ReduceLV	Decreases the size of a logical volume.
	LVM_KChangeLV	Changes existing logical volume.
	LVM_AvoidLV	Does not allow a logical volume to perform specific operations.

Table 12. Audit events (continued)

User or system call	Audit event	Description
Physical volume operations	LVM_MissingPV	Adds a missing physical volume to an existing volume group.
	LVM_AddPV	Adds a physical volume to an existing volume group
	LVM_AddMissPV	Adds a missing physical volume to an existing volume group.
	LVM_DeletePV	Deletes a physical volume from an existing volume group.
	LVM_RemovePV	Removes a physical volume from an existing volume group.
	LVM_AddVGSA	Adds a volume group status area (VGSA) to an existing physical volume.
	LVM_DeleteVGSA	Removes a VGSA from an existing physical volume.
Volume group operations	LVM_SetupVG	Sets up the volume group by defining logical volumes and by specifying information about the VGSA and mirror write consistency cache (MWCC).
	LVM_DefineVG	Defines the volume group to the kernel.
	LVM_KDeleteVG	Deletes a volume group from the kernel.
Backup and restore operations	BACKUP_Export	Captures the progress of the backup operation.
	RESTORE_Import	Captures the progress of the restore operation.
shell	USER_Shell	Captures the user tty information.
reboot	USER_Reboot	Captures the event of system reboot.
	PROC_Reboot	Captures the event of process reboot. The reboot subroutine restarts the system or repeats the initial program load (IPL) operation on the system.
> > /usr/sbin/init	INIT_Start	A process in the init tab is started.<<<
	> INIT_End <	> A process in the init tab is ended.<
> > /usr/sbin/setsecattr	PROC_Change	A process privilege is changed.<<<

Table 12. Audit events (continued)

User or system call	Audit event	Description
>> mkrole	ROLE_Create	A new role is created. <<
>> chrole	Role_Change	The attributes of an existing role are changed. <<
>> rmrole	Role_Remove	A role is removed. <<

Table 12. Audit events (continued)

User or system call	Audit event	Description
> Internet Protocol Security (IPsec) operations <	IPSEC_p1_sa	Lists the attributes that establish the security association for the key tunnel. Key tunnel or control plane tunnel is the tunnel that controls how data is sent from one place to another.
	IPSEC_p2_sa	Lists the attributes that establish the security association for the data tunnel. Data tunnel or data plane tunnel is the tunnel that is used for the actual transport of data.
	IPSEC_ike_ver	Specifies the negotiated version of the Internet Key Exchange (IKE). The valid values are IKEv1 and IKEv2.
	IPSEC_auth_type	Specifies the authentication mechanism that is used to identify the remote endpoints. The valid values are AUTH_PSK (pre-shared key), AUTH_RSA (RSA_signatures), AUTH_KRB (GSSAPI_krb5), and AUTH_ECDSA (ECDSA256_signatures).
	IPSEC_noprack	Notifies about the failure event. The failure notification event is logged only when all proposals are rejected by the remote endpoints and the IKE responder device replies with the NO_PROPOSAL_CHOSEN log message.
	IPSEC_chtun	Specifies that one or more tunnel definitions were changed.
	IPSEC_gentun	Specifies that a tunnel definition was added to the tunnel database.
	IPSEC_imptun	Specifies that one or more tunnel definitions were imported into the tunnel database.
IPSEC_1stun	Specifies that tunnel definitions were queried from the tunnel database.	

Table 12. Audit events (continued)

User or system call	Audit event	Description
> Internet Protocol Security (IPsec) operations continued... <	IPSEC_mktun	Specifies that one or more tunnels were activated.
	IPSEC_rmtun	Specifies that one or more tunnels were deactivated.
	IPSEC_chfilt	Specifies that one or more filter definitions were changed in the filter rules table.
	IPSEC_expfilt	Specifies that one or more filter definitions were exported from the filter rules table to the file system.
	IPSEC_genfilt	Specifies that a filter rule was added to the filter rules table.
	IPSEC_trcbuf	Specifies that the ipsectrdbuf command was used to inspect the resident trace buffer for debugging any functional issues in the IPsec subsystem.
	IPSEC_impfilt	Specifies that one or more filter rules were imported into the filter rule database from one or more text files.
	IPSEC_lsfil	Specifies that a request was made to collect the filter rules along with their status.
	IPSEC_mkfil	Specifies that an activation request was made for toggling filter rule status.

Table 12. Audit events (continued)

User or system call	Audit event	Description
> Internet Protocol Security (IPsec) operations continued... <	IPSEC_mvfilt	Specifies that the order of the filter rule table was altered.
	IPSEC_rmfilt	Specifies that one or more entries were removed from the filter rule table.
	IPSEC_unload	Specifies that a cryptography module was unloaded from the IPsec subsystem.
	IPSEC_stat	Specifies that the IP Security subsystem status was queried by using the ipsecstat command.
	IKE_tnl_creat	Specifies that the phase 1 or phase 2 tunnel was created. The event state notifies the status of the tunnel creation operation.
	IKE_tnl_delet	Specifies that the phase 1 or phase 2 tunnel was deleted. The event state notifies the status of the tunnel deletion operation.
	IKE_activat_cmd	Specifies that the phase 1 or phase 2 tunnel activation was requested. The event state notifies the status of the tunnel activation request.
	IKE_remove_cmd	Specifies that the phase 1 or phase 2 tunnel deletion was requested. The event state notifies the status of the tunnel deletion request.

Setting up auditing

This procedure shows you how to set up an auditing subsystem. For more specific information, refer to the configuration files noted in these steps.

1. Select system activities (events) to audit from the list in the `/etc/security/audit/events` file. If you have added new audit events to applications or kernel extensions, you must edit the file to add the new events.
 - You add an event to this file if you have included code to log that event in an application program (using the **auditwrite** or **auditlog** subroutine) or in a kernel extension (using the **audit_svcstart**, **audit_svcbcopy**, and **audit_svcfinis** kernel services).
 - Ensure that formatting instructions for any new audit events are included in the `/etc/security/audit/events` file. These specifications enable the **auditpr** command to write an audit trail when it formats audit records.
2. Group your selected audit events into sets of similar items called *audit classes*. Define these audit classes in the classes stanza of the `/etc/security/audit/config` file.
3. Assign the audit classes to the individual users and assign audit events to the files (objects) that you want to audit, as follows:

- To assign audit classes to an individual user, add a line to the users stanza of the `/etc/security/audit/config` file. To assign audit classes to a user, you can use the **chuser** command.
- To assign audit events to an object (data or executable file), add a stanza for that file to the `/etc/security/audit/objects` file.
- You can also specify default audit classes for new users by editing the `/usr/lib/security/mkuser.default` file. This file holds user attributes that will be used when generating new user IDs. For example, use the `general` audit class for all new user IDs, as follows:

```
user:
  auditclasses = general
  pgrp = staff
  groups = staff
  shell = /usr/bin/ksh
  home = /home/$USER
```

To get all audit events, specify the `ALL` class. When doing so on even a moderately busy system, a huge amount of data will be generated. It is typically more practical to limit the number of events that are recorded.

4. In the `/etc/security/audit/config` file, configure the type of data collection that you want using `BIN` collection, `STREAM` collection, or both methods. Make sure that audit data does not compete with other data about file space by using a separate file system for audit data. This ensures that there is enough space for the audit data. Configure the type of data collection as follows:
 - To configure `BIN` collection:
 - a. Enable the `BIN` mode collection by setting `binmode = on` in the `start` stanza.
 - b. Edit the `binmode` stanza to configure the bins and trail, and specify the path of the file containing the `BIN` mode back-end processing commands. The default file for back-end commands is the `/etc/security/audit/bincmds` file.
 - c. Make sure that the audit bins are large enough for your needs and set the `freespace` parameter accordingly to get an alert if the file system is filling up.
 - d. Include the shell commands that process the audit bins in an audit pipe in the `/etc/security/audit/bincmds` file.
 - To configure `STREAM` collection:
 - a. Enable the `STREAM` mode collection by setting `streammode = on` in the `start` stanza.
 - b. Edit the `streammode` stanza to specify the path to the file containing the `streammode` processing commands. The default file containing this information is the `/etc/security/audit/streamcmds` file.
 - c. Include the shell commands that process the stream records in an audit pipe in the `/etc/security/audit/streamcmds` file.
5. When you have finished making any necessary changes to the configuration files, you are ready to use the **audit start** command to enable the audit subsystem. This will generate the **AUD_It** event with a value of 1.
6. Use the **audit query** command to see which events and objects are audited. This will generate the **AUD_It** event with a value of 2.
7. Use the **audit shutdown** command to deactivate the audit subsystem again. This will generate the **AUD_It** event with a value of 4.

Generating a generic audit log

The following are examples of generating a generic audit log.

In this example, assume that a system administrator wants to use the audit subsystem to monitor a large multi-user server system. No direct integration into an IDS is performed, all audit records will be inspected manually for irregularities. Only a few essential audit events are recorded, to keep the amount of generated data to a manageable size.

The audit events that are considered for event detection are the following:

FILE_Write

We want to know about file writes to configuration files, so this event will be used with all files in the /etc tree.

PROC_SetUserIDs

All changes of user IDs

AUD_Bin_Def

Audit bin configuration

USER_SU

The **su** command

PASSWORD_Change

passwd command

AUD_Lost_Rec

Notification in case there where lost records

CRON_JobAdd

new cron jobs

AT_JobAdd

new at jobs

USER_Login

All logins

PORT_Locked

All locks on terminals because of too many invalid attempts

The following is an example of how to generate a generic audit log:

1. Set up a list of critical files to be monitored for changes, such as, all files in /etc and configure them for **FILE_Write** events in the objects file as follows:

```
find /etc -type f | awk '{printf("%s:\n\tw = FILE_Write\n\n",$1)}' >> /etc/security/audit/objects
```

2. Use the **auditcat** command to set up BIN mode auditing. The /etc/security/audit/bincmds file is similar to the following:

```
/usr/sbin/auditcat -p -o $trail $bin
```

3. Edit the /etc/security/audit/config file and add a class for the events we have interest. List all existing users and specify the custom class for them.

```
start:
    binmode = on
    streammode = off

bin:
    cmds = /etc/security/audit/bincmds
    trail = /audit/trail
    bin1 = /audit/bin1
    bin2 = /audit/bin2
    binsize = 100000
    freespace = 1000000

classes:
    custom = FILE_Write,PROC_SetUser,AUD_Bin_Def,AUD_Lost_Rec,USER_SU, \
            PASSWORD_Change,CRON_JobAdd,AT_JobAdd,USER_Login,PORT_Locked

users:
    root = custom
    afx = custom
    ...
```

4. Add the custom audit class to the /usr/lib/security/mkuser.default file, so that new IDs will automatically have the correct audit call associated:

```
user:
    auditclasses = custom
```

```
pgroup = staff
groups = staff
shell = /usr/bin/ksh
home = /home/$USER
```

5. Create a new file system named `/audit` by using SMIT or the `crfs` command. The file system should be large enough to hold the two bins and a large audit trail.
6. Run the `audit start` command option and examine the `/audit` file. You should see the two bin files and an empty `trail` file initially. After you have used the system for a while, you should have audit records in the `trail` file that can be read with:

```
auditpr -hhhelpPRtTc -v | more
```

This example uses only a few events. To see all events, you could specify the classname ALL for all users. This action will generate large amounts of data. You might want to add all events related to user changes and privilege changes to your custom class.

Monitoring file access to critical files in real time

These steps can be used to monitor file access to critical files in real time.

Perform these steps:

1. Set up a list of critical files to be monitored for changes, for example all files in `/etc` and configure them for **FILE_Write** events in the `objects` file:

```
find /etc -type f | awk '{printf("%s:\n\tw = FILE_Write\n\n",$1)}' >> /etc/security/audit/objects
```

2. Set up stream auditing to list all file writes. (This example lists all file writes to the console, but in a production environment you might want to have a backend that sends the events into an Intrusion Detection System.) The `/etc/security/audit/streamcmds` file is similar to the following:

```
/usr/sbin/auditstream | /usr/sbin/auditselect -e "event == FILE_Write" |
auditpr -hhhelpPRtTc -v > /dev/console &
```

3. Set up STREAM mode auditing in `/etc/security/audit/config`, add a class for the file write events and configure all users that should be audited with that class:

```
start:
    binmode = off
    streammode = on

stream:
    cmds = /etc/security/audit/streamcmds

classes:
    filemon = FILE_write

users:
    root = filemon
    afx = filemon
    ...
```

4. Now run `audit start`. All **FILE_Write** events are displayed on the console.

Audit events selection

The purpose of an audit is to detect activities that might compromise the security of your system.

When performed by an unauthorized user, the following activities violate system security and are candidates for an audit:

- Engaging in activities in the Trusted Computing Base
- Authenticating users
- Accessing the system
- Changing the configuration of the system
- Circumventing the auditing system

- Initializing the system
- Installing programs
- Modifying accounts
- Transferring information into or out of the system

The audit system does not have a default set of events to be audited. You must select events or event classes according to your needs.

To audit an activity, you must identify the command or process that initiates the audit event and ensure that the event is listed in the `/etc/security/audit/events` file for your system. Then you must add the event either to an appropriate class in the `/etc/security/audit/config` file, or to an object stanza in the `/etc/security/audit/objects` file. See the `/etc/security/audit/events` file on your system for the list of audit events and trail formatting instructions. For a description of how audit event formats are written and used, see the **auditpr** command.

After you have selected the events to audit, you must combine similar events into audit classes. Audit classes are then assigned to users.

Audit classes selection

You can facilitate the assignment of audit events to users by combining similar events into audit classes. These audit classes are defined in the classes stanza of the `/etc/security/audit/config` file.

Some typical audit classes might be as follows:

general

Events that alter the state of the system and change user authentication. Audit attempts to circumvent system access controls.

objects

Write access to security configuration files.

kernel

Events in the kernel class are generated by the process management functions of the kernel.

An example of a stanza in the `/etc/security/audit/config` file is as follows:

```
classes:
  general = USER_SU,PASSWORD_Change,FILE_Unlink,FILE_Link,FILE_Rename
  system = USER_Change,GROUP_Change,USER_Create,GROUP_Create
  init = USER_Login,USER_Logout
```

Audit data-collection method selection

Your selection of a data-collection method depends on how you intend to use the audit data. If you need long-term storage of a large amount of data, select BIN collection. If you want to process the data as it is collected, select STREAM collection. If you need both long-term storage and immediate processing, select both methods. A description of each of these methods follows:

Bin collection

Allows storage of a large audit trail for a long time. Audit records are written to a file that serves as a temporary bin. After the file is filled, the data is processed by the **auditbin** daemon while the audit subsystem writes to the other bin file, and records are written to an audit trail file for storage.

Stream collection

Allows processing of audit data as it is collected. Audit records are written into a circular buffer within the kernel, and are retrieved by reading `/dev/audit`. The audit records can be displayed, printed to provide a paper audit trail, or converted into bin records by the **auditcat** command.

Workload partition auditing

Three types of auditing are available in a WPAR environment: global, system, and auditing from global.

You can enable auditing in a global WPAR, inside a WPAR, or both. The audit configuration for system WPAR and global WPAR is similar to the configuration in a non-wpar environment. You can initiate global WPAR auditing for system and application WPARs.

Note: Auditing for application WPARs cannot be initiated from inside a WPAR, but it can be initiated by using global WPAR auditing.

Global WPAR auditing helps global system administrators audit WPARs from a global system. A global system administrator can control the level of auditing for each WPAR from a single location by specifying the classes to be audited for each WPAR in the global `/etc/security/audit/config` file.

By adding a WPARS stanza to the `/etc/security/audit/config` file, the global-system administrator can provide the list of classes to be audited for a WPAR. For example:

```
WPARS:
<wpar_name> = <auditclass>, ... <auditclass>
```

In the preceding example, `<wpar_name>` must be the WPAR name of a system, and each `auditclass` parameter should be defined in the `classes` stanza.

To configure auditing of the `testwpar` WPAR with the `general`, `tcpip`, and `lvm` classes, add the following stanza to the `/etc/security/audit/config` file:

```
WPARS:
testwpar = general,tcpip,lvm
```

A global-system administrator can start and stop auditing on a WPAR by using the **audit** command and specifying the WPAR name as follows:

```
audit start -@ <wparname1> -@ <wparname2> ...
audit shutdown -@ <wparname1> -@ <wparname2> ...
```

You can audit WPAR objects from the global environment by specifying the absolute paths to the objects that you want to audit. For example, to define the audit events for the `/wpars/wpar1/etc/security/passwd` file, add the following stanza to the `/etc/security/audit/objects` file in the AIX system that is hosting the WPAR:

```
/wpars/wpar1/etc/security/passwd:
r = "WPAR1_PASSWD_RD"
w = "WPAR1_PASSWD_WR"
```

This preceding stanza is parsed at audit start (`-@ <wpar1>`) time to enable object auditing for the `/etc/security/passwd` object of `wpar1`. These attributes generate a `WPAR1_PASSWD_RD` audit event each time the `/wpars/wpar1/etc/security/passwd` file is read. These attributes also generate a `WPAR1_PASSWD_WR` audit event each time the file is opened for writing.

Note: You must enable auditing for the global environment before you enable WPAR auditing from the global environment.

The **auditpr** command can be used to generate an audit report that displays the WPAR name. For example:

```
auditpr -v < /audit/trail
```

Auditing in the NFS environment

The AIX audit subsystem supports the auditing of the mounted file systems. The configuration of the mounted file system on the client is similar to the local file system. The auditing operations on auditable mounted objects are similar to the local objects as described in Auditing overview. The auditing behavior on the client and the server for the mounted file systems are described in the information later in this topic.

Auditing on the NFS client

All operations run on the auditable objects that are on the mounted file systems by the client are logged on the client. This is valid provided there are no operations on the objects by the NFS server, or any other NFS clients or the fullpath auditing must be enabled on the client.

Refer to **audit** command man page for more information. If the fullpath auditing is not enabled and the file is modified by server or by other clients, the consecutive auditing will be unpredictable. This behavior can be rectified by restarting audit on client. If a file system is mounted on multiple clients, it is recommended that you audit the operations on the server to get the exact log of the events or enable the fullpath auditing on the client.

Note: The audit subsystem configuration does not support using the audit log file system as a mounted NFS file system.

Auditing on the NFS server

All of the operations carried on the mounted file system by both the client and the server are logged on the NFS server.

Limitations on the server side

- If any operations carried by the NFS client are not sent to the server, either due to the NFS caching or due to the inherent NFS architecture, that operation will not be audited by the server.

For example: After mounting the file system, only the first read operation performed on a file is audited by the server. Consecutive read operations are not logged on the server. This applies to the read operations on files, links, and directories.

- The operations carried out by the client are logged on the server as **nfsd**, and have **root** user as the user name.

Example

A file system named *File_System* is mounted on the client with the command **mount server:/File_system /mnt**. If the file named *A* in the *File_System* file system needs to be audited on the server, then the */File_system/A* must be configured in audit configuration files.

If you decide to audit the *A* file in the *File_System* file system on the client, then */mnt/A* must be configured to be audited on the client.

If the *A* file is configured to be audited on both the server and the client, then the operations carried by both the server and the client on the *A* file are audited and logged on the server and the operations carried by the client are logged on the client.

Any operation carried by the client on *A* file is logged on the server as the **nfsd** daemon instead of the operation or command name.

> Auditing in the Live Update environment

The AIX audit subsystem supports auditing when the Live Update operation is in progress.

Auditing is supported while the Live Update operation is in progress for both audit BIN and audit STREAM modes. The auditing process on the logical partition (LPAR), which is the original partition where the Live Update operation started, continues until the LPAR is shutdown. The auditing process on the LPAR, which is the surrogate partition for the Live Update operation, starts much before the workload resumes. You might lose records of a few audit events that occur after the workload processes are checkpointed until the audit starts on the surrogate partition.

The use of the **watch** command to observe a program is also supported while the Live Update operation is in progress. You might lose the records of audit events that occur after the **watch** command and the other observed commands resume on the surrogate LPAR until the audit operation is completely enabled on these processes.

Lightweight Directory Access Protocol

The Lightweight Directory Access Protocol (LDAP) defines a standard method for accessing and updating information in a directory (a database) either locally or remotely in a client-server model.

The protocol is optimized for reading, browsing, and searching directories, and was originally developed as a lightweight front-end to the X.500 Directory Access Protocol. The LDAP method is used by a cluster of hosts to allow centralized security authentication as well as access to user and group information. This functionality is intended to be used in a clustering environment to keep authentication, user, and group information common across the cluster.

Objects in LDAP are stored in a hierarchical structure known as a Directory Information Tree (DIT). A good directory starts with the structural design of the DIT. The DIT should be designed carefully before implementing LDAP as a means of authentication.

LDAP authentication load module

The LDAP exploitation of the security subsystem is implemented as the LDAP authentication load module. It is conceptually similar to the other load modules such as NIS, DCE, and KRB5. Load modules are defined in the `/usr/lib/security/methods.cfg` file.

The LDAP loadmodule provides user authentication and centralized user and group management functionality through the LDAP protocol. A user defined on a LDAP server can be configured to log in to an LDAP client even if that user is not defined locally.

The AIX LDAP load module is fully integrated within the AIX operating system. After the LDAP authentication load module is enabled to serve user and group information, high-level APIs, commands, and system-management tools work in their usual manner. An **-R** flag is introduced for most high-level commands to work through different load modules. For example, to create an LDAP user named *joe* from a client machine, use the following command:

```
mkuser -R LDAP joe
```

Note: Even though the LDAP infrastructure can support an unlimited number of users in a group, up to 25 000 users have been created in a single group and various operations tested against that group. Some of the historical POSIX interfaces might not return the complete information for the group. Refer to the individual API's documentation for such limitations.

LDAP based authentication

There are limits on the various entities as part of LDAP based authentication on AIX.

Note that LDAP infrastructure itself does not specify any limits on the database contents. However, this section documents the results based on test configurations as to limits. The following limits have been tested with respect to the LDAP based authentication on the AIX operating system:

Total number of users: Up to 500 000 users have been created on a single system and simultaneous authentication has been tested for hundreds of users.

Total number of groups: Up to 500 groups have been created on a single system and tested.

Maximum number of users per group: Up to 25 000 users have been created in a single group and various operations tested against that group.

Some of the historical POSIX interfaces might not return the complete information for the group. Refer to the individual API's documentation for such limitations. Also, the above values are based on the testing done. They do not preclude the possibility that one can configure systems with much larger users and groups provided necessary resources exist.

Setting up an IBM Security Directory Server

To set up a system as an LDAP security information server that serves authentication, user, and group information through LDAP, you must first install the LDAP server and client packages.

If the Secure Sockets Layer (SSL) or Transport Layer Security (TLS) support is required, you must also install the Global Security Kit Version 8 (GSKitV8) package for the IBM Security Directory Server version 6.4. The system administrator must create a key database by using the GSKit key management command. You can use either the **gsk8capicmd** or **gsk8capicmd_64** command that is available with the GSKitV8 package. For more information about configuring the LDAP server to use SSL, see the [Secure Communication with SSL](#) topic.

You must set up the LDAP server before setting up the client. To install and set up the LDAP server, complete the following steps.

1. Install the GSKit-related filesets as the root user.
 - a. Mount the AIX 7.2 expansion pack DVD.
 - b. Change the directory to the GSKit fileset location.

```
cd <mount_point>/installp/ppc
```

2. Run the **installp** command to install all of the GSKit packages.

- To install the GSKit 64-bit packages, enter the following commands:

```
installp -acXgYd . GSKit8.gskcrypt64.ppc.rte
installp -acXgYd . GSKit8.gskssl64.ppc.rte
```

- To install the GSKit 32-bit packages, enter the following commands:

```
installp -acXgYd . GSKit8.gskcrypt32.ppc.rte
installp -acXgYd . GSKit8.gskssl32.ppc.rte
```

Note: You can also use SMIT or SMITTY to install the GSKit filesets from the DVD.

3. Install the IBM Db2 Database Version 10.5.
 - a. Mount the second volume (volume 2 of 2) of the AIX 7.2 DVD.
 - b. Change the directory to the IBM Db2 Database Version 10.5 location.

```
cd <mount_point>/ismp/ppc/db2_10_05*
```

- c. Open the `setupaix.bin` file to install the Db2 server on the `/opt/IBM/db2/V10.5` folder and add it to the Vital Product Database (VPD). Adding the Db2 server to the VPD allows the **ls1pp** command to list the Db2 server. If you do not have a graphical user interface (GUI), you can use the `db2_install` command to install the Db2 server.

```
./db2_install
Choose either the default installation folder, /opt/IBM/db2/V10.5,
or provide a custom folder on the same system.
Choose SERVER as the Db2 product that needs to be installed.
Choose NO for the Db2 pureScale feature.
```

- d. Apply the IBM Db2 Database Version 10.5 license. You must be in the `<mount_point>/ismp/ppc/db2_10_05*` path and execute the following command:

```
db2_installation_folder>/adm/db2licm -a ./db2/license/db2ese_t.lic
```

4. Install the `idsldap` client and the server filesets as the root user.
 - a. Mount the second volume (volume 2 of 2) of the AIX 7.2 DVD.
 - b. Run the **idsLicense** command.

```
cd <mount_point>/license
./idslicense
```

5. If you agree to accept the terms in the software license agreement, enter the number 1 from the following list of available options:

```
1: To accept the license agreement.
2: To decline the license agreement and exit the installation.
3: To print the license agreement.
4: To read non-IBM terms in the license agreement.
99: To go back to the previous screen.
```

On accepting the terms in the software license agreement, a LAPID file and a license folder are created in the IBM Security Directory Server installation location. The license folder contains the IBM Security Directory Server license files in all of the supported languages.

6. Determine the IBM Security Directory Server *idsldap* client packages that you need to install.

- For non-SSL LDAP client and server functionality, install the following filesets:

- `idsldap.license64`
- `idsldap.cltbase64`
- `idsldap.clt32bit64`
- `idsldap.clt64bit64`
- `idsldap.cltjava64`
- `idsldap.msg64.en_US`
- `idsldap.srvbase64bit64`
- `idsldap.srv64bit64`
- `idsldap.srvproxy64bit64`

- For SSL LDAP client and server functionality, install the following filesets:

- `idsldap.license64`
- `idsldap.cltbase64`
- `idsldap.clt32bit64`
- `idsldap.clt64bit64`
- `idsldap.clt_max_crypto32bit64`
- `idsldap.clt_max_crypto64bit64`
- `idsldap.cltjava64`
- `idsldap.msg64.en_US`
- `idsldap.srvbase64bit64`
- `idsldap.srv64bit64`
- `idsldap.srvproxy64bit64`
- `idsldap.srv_max_cryptobase64bit64`

Note: SSL functionality requires the installation of GSKitv8 filesets.

- To obtain the IBM Security Directory Server Web Administration Tool, install the following filesets:

- `idsldap.webadmin64`
- `idsldap.webadmin_max_crypto64` (SSL enabled)

When you install the IBM Security Directory Server Web Administration Tool, only the `IDSWebApp.war` file in the `/opt/IBM/ldap/V6.4/idstools/` folder. You must have a supported level of the WebSphere Application Server in which you can deploy the WAR file. For more information about deploying the Web Administration Tool, refer to the [Manual deployment of Web Administration Tool](#) topic.

7. Run the following commands to install the IBM Directory Server *idsldap* client packages.

- To install one or more of the IBM Security Directory Server *idsldap* client packages, run the following commands:

```
cd <mount_point>/installp/ppc/  
installp -acXgYd . <package_names>
```

- To install all of the IBM Security Directory Server packages from the current path, run the following command:

```
installp -acXgYd . idsldap
```

8. Verify whether the IBM Security Directory Server installation was successful by using the system generated installation summary.

Note: You can also use SMIT or SMITTY to install the identified filesets and packages from the DVD.

9. To configure the server, run the **mksecldap** command by replacing the values according to your environment:

```
mksecldap -s -a cn=admin -p adminpwd -S rfc2307aix
```

The **mksecldap** command establishes the LDAP server and its back-end database that is named, *ldapdb2*, populates the LDAP server with the user and group information from the local host, and sets the LDAP server administrator distinguished name (DN) and password. Optionally, it can set up SSL for client and server communication. The **mksecldap** command also adds an entry into the */etc/inittab* file to start the LDAP server at every restart. For more information about the **mksecldap** command, see the **mksecldap** topic.

AIX users and groups are stored in the LDAP server by using one of the following schemas:

AIX schema

Includes *aixAccount* and *aixAccessGroup* object class. This schema offers a full set of attributes for AIX users and groups.

RFC 2307 schema

Includes *posixAccount*, *shadowAccount*, and *posixGroup* object class and is used by the directory products of several vendors. The RFC 2307 schema defines only a small subset of attributes that AIX uses.

RFC2307AIX schema

Includes *posixAccount*, *shadowAccount*, and *posixGroup* object classes plus the *aixAuxAccount* and *aixAuxGroup* object classes. The *aixAuxAccount* and *aixAuxGroup* object classes provide the attributes that are used by AIX but not defined by the RFC 2307 schema.

Using the RFC2307AIX schema type for users and groups is highly recommended. The RFC2037AIX schema type is fully compliant to RFC 2307 with extra attributes to support more AIX user management functionality. An IBM Tivoli Directory Server server with RFC2307AIX schema configuration not only supports AIX LDAP clients, but also other RFC 2307 compliant UNIX and Linux LDAP clients.

All of the user and group information is stored under a common AIX tree (suffix). The default suffix is "cn=aixdata". The **mksecldap** command accepts a user-supplied suffix through the *-d* flag. The name for the subtrees to be created for the user, group, ID, and so on, is controlled by the *sectoldif.cfg* configuration file. Refer to the *sectoldif.cfg* file for more information.

The AIX tree is ACL (Access Control List) protected. The default ACL grants administrative privilege only to the entity specified as the administrator with the *-a* command option. Additional privilege can be granted to a proxy identity if the *-x* and *-X* command options are used. Use of these options creates the proxy identity and configure access privilege as defined in the */etc/security/ldap/proxy.ldif.template* file. Creating a proxy identity allows LDAP clients to bind to the server without the use of the administrator identity, which restricts client administrator privileges on the LDAP server.

You can run the **mksecldap** command on an LDAP server that is set up for other purposes; for example, for user ID lookup information. In this example, **mksecldap** adds the AIX tree and populates it with the AIX security information to the existing LDAP server. This tree is ACL-protected independently from other existing trees.

Note: You should back up the existing LDAP server before you run the **mksecldap** command and expand the server to an AIX security information server.

After the LDAP security information server is successfully set up, you can set up the same host as a client to manage the LDAP users and groups and allow LDAP users to log on to this server.

If the LDAP security information server setup is not successful, you can undo the setup by running the **mksecldap** command with the **-U** flag. This restores the `ibmslapd.conf`, `slapd.conf` or `slapd32.conf` file to its pre-setup state. Run the **mksecldap** command with the **-U** flag after any unsuccessful setup attempt before trying to run the **mksecldap** command again. Otherwise, residual setup information might remain in the configuration file and cause a subsequent setup to fail. As a safety precaution, the undo option does not do anything to the database or to its data, because the database could have existed before the **mksecldap** command was run. Remove any database manually if it was created by the **mksecldap** command. If the **mksecldap** command has added data to a pre-existing database, decide what steps to take to recover from a failed setup attempt.

Setting up an LDAP client

To set up a client to use LDAP for authentication and user and group information, make sure that each client has the LDAP client package installed. For information specific to LDAP client package installation, refer to steps “3” on page 158 through “7” on page 159. If the Secure Sockets Layer (SSL) or Transport Layer Security (TLS) support is required, the GSKit must be installed, a key must be created, and the LDAP server SSL key certificate must be added to this key. See steps “1” on page 158 through “2” on page 158.

Similar to LDAP server setup, client setup can be done using the **mksecldap** command. To have this client contact the LDAP security information server, the server name must be supplied during setup. The bind DN and password of the server are also needed for client access to the AIX tree on the server. The **mksecldap** command saves the server bind DN, password, server name, AIX tree DN on the server, the SSL key path and password, and other configuration attributes to the `/etc/security/ldap/ldap.cfg` file.

The **mksecldap** command saves the bind password and SSL key password (if you are configuring SSL) to the `/etc/security/ldap/ldap.cfg` file in encrypted format. The encrypted passwords are system specific, and can only be used by the **secldapclntd** daemon on the system where they are generated. The **secldapclntd** daemon can make use of clear text or encrypted password from the `/etc/security/ldap/ldap.cfg` file.

Multiple servers can be supplied to the **mksecldap** command during client setup. In this case, the client contacts the servers in the supplied order and establishes connection to the first server that the client can successfully bind to. If a connection error occurs between the client and the server, a reconnection request is tried using the same logic. The Security LDAP exploitation model does not support referral. It is important that the replicate servers are kept synchronized.

The client communicates to the LDAP security information server through a client side daemon (**secldapclntd**). If the LDAP load module is enabled on the client, high-level commands are routed to the daemon through the library APIs for users defined in LDAP. The daemon maintains a cache of requested LDAP entries. If a request is not satisfied from the cache, the daemon queries the server, updates the cache, and returns the information back to the caller.

Other fine-tuning options can be supplied to the **mksecldap** command during client setup, such as settings for the number of threads used by the daemon, the cache entry size, and the cache expiration timeout. These options are for experienced users only. For most environments, the default values are sufficient.

In the final steps of the client setup, the **mksecldap** command starts the client-side daemon and adds an entry in the `/etc/inittab` file so the daemon starts at every reboot. You can check whether the setup is successful by checking the **secldapclntd** daemon process through the **ls-secldapclntd** command. Provided that the LDAP security information server is setup and running, this daemon will be running if the setup was successful.

The LDAP security information server must be set up before setting up the client. Client setup depends on the migrated data being on the server. Follow these steps to install and set up the client:

1. Install GSKit related filesets as the root user.
 - a. Mount the AIX 7.2 expansion pack DVD.
 - b. Change the directory to the GSKit fileset location.

```
cd <mount_point>/installp/ppc
```

2. Run the **installp** command to install the GSKit packages.

- To install GSKit 64-bit packages, run the following commands:

```
installp -acXgYd . GSKit8.gskcrypt64.ppc.rte  
installp -acXgYd . GSKit8.gskssl64.ppc.rte
```

- To install GSKit 32-bit packages, run the following commands:

```
installp -acXgYd . GSKit8.gskcrypt32.ppc.rte  
installp -acXgYd . GSKit8.gskssl32.ppc.rte
```

Note: You can also use SMIT or SMITTY to install the GSKit filesets from the DVD.

3. Install the *idsldap* clients as the root user.
 - a. Mount the second volume (volume 2 of 2) of the AIX 7.2 DVD.
 - b. Run the **idsLicense** command.

```
cd <mount_point>/license  
./idslicense
```

4. If you agree to accept the terms in the software license agreement, enter the number 1 from the following list of available options:

```
1: To accept the license agreement.  
2: To decline the license agreement and exit the installation.  
3: To print the license agreement.  
4: To read non-IBM terms in the license agreement.  
99: To go back to the previous screen.
```

On accepting the terms in the software license agreement, a LAPID file and a license folder are created in the IBM Security Directory Server installation location. The license folder contains the IBM Security Directory Server license files in all of the supported languages.

5. Determine the IBM Security Directory Server *idsldap* client packages you want to install.

- For non-SSL LDAP client functionality, install the following filesets:

- *idsldap.license64*
- *idsldap.cltbody64*
- *idsldap.clt32bit64*
- *idsldap.clt64bit64*

- For SSL LDAP client functionality, install the following filesets:

- *idsldap.license64*
- *idsldap.cltbody64*
- *idsldap.clt32bit64*
- *idsldap.clt64bit64*
- *idsldap.clt_max_crypto32bit64*
- *idsldap.clt_max_crypto64bit64*

Note: SSL functionality requires the installation of GSKitv8 filesets.

6. Install the IBM Security Directory Server *idsldap* client packages.

- To install one or more of the IBM Security Directory Server *idsldap* client packages, run the following commands:

```
cd <mount_point>/installp/ppc/
installp -acXgYd . <package_names>
```

Note: You can also use SMIT or SMITTY to install the identified filesets and packages from the DVD.

7. Verify whether the IBM Security Directory Server installation was successful by using the system generated installation summary.
8. To configure the LDAP client, run the following command by replacing the values according to your environment:

```
# mksecldap -c -h server1.ibm.com -a cn=admin -p adminpwd -d cn=basedn
```

Related information

[mksecldap command](#)

[secldapclntd command](#)

[ldapgetusrattr command](#)

Client enablement for LDAP netgroups

You can use netgroups as part of NIS-LDAP (the name-resolution method).

Perform the following steps for client enablement for LDAP netgroups:

1. Install and set up LDAP based user group management as detailed in [ldap_client_setup.dita](#).

If the netgroup setup is not completed, any LDAP-defined user will be listed by the system. For example, if *nguser* is a netgroup user belonging to netgroup *mygroup* already defined in the LDAP server, `lsuser -R LDAP nguser` will list the user.

2. To enable the netgroup function, the module definition for LDAP in the `/usr/lib/security/methods.cfg` file needs to include an options attribute with a netgroup value. Edit the `/usr/lib/security/methods.cfg` file and add the line `options = netgroup` to the LDAP stanza. This marks the LDAP load module as a netgroup-capable load module. For example:

```
LDAP:
program = /usr/lib/security/LDAP
program_64 = /usr/lib/security/LDAP64
options = netgroup
```

Now the commands `lsuser -R LDAP nguser`, `lsuser nguser` or `lsuser -R LDAP -a ALL` do not list any users. LDAP is now considered a netgroup-only database from this client and no netgroups have been enabled for access to this client yet.

3. Edit the `/etc/passwd` file, and append a line for the netgroup that should have access to the system. For example if *mygroup* is a netgroup on the LDAP server that contains the desired user, append the following:

```
+@mygroup
```

4. Edit the `/etc/group` file and append a `+:` line to enable NIS lookups for groups:

```
+:
```

Running the command `lsuser nguser` now returns the user because *nguser* is in the netgroup *mygroup*.

The `lsuser -R LDAP nguser` command does not find the user, but the command `lsuser -R compat nguser` does because the user is considered a **compat** user now.

5. In order for netgroup users to authenticate to the system, the AIX authentication mechanism must know the method to use. If the default stanza in the `/etc/security/user` file includes `SYSTEM = compat`, then all netgroup users in the netgroup added to the `/etc/passwd` file can authenticate.

Another option would be to individually configure users by manually adding stanzas to the `/etc/security/user` file for the desired users. An example stanza for `nguser` is:

```
nguser:
    SYSTEM = compat
    registry = compat
```

Netgroup users in the allowed netgroups can now authenticate to the system.

Enabling the netgroup feature also activates the following conditions:

- Users defined in the `/etc/security/user` file as members of the LDAP registry (having `registry=LDAP` and `SYSTEM="LDAP"`) cannot authenticate as LDAP users. These users are now **nis_ldap** users and require native NIS netgroup membership.
- The meaning of `registry compat` is expanded to include modules that use netgroup. For example, if LDAP module is netgroup enabled, `compat` includes the files, NIS, and LDAP registries. Users retrieved from those modules have a `registry` value of `compat`.

Related information

- The [exports File for NFS document](#)
- The [.rhosts File Format for TCP/IP document](#)
- The [hosts.equiv File Format for TCP/IP document](#)

Supported LDAP servers

AIX Lightweight Directory Access Protocol (LDAP)-based user and group management supports IBM Tivoli Directory Servers, non-IBM servers with RFC 2307 compliant schema, and Microsoft active directory servers.

IBM Tivoli Directory Server

Configure AIX user or group management by using the IBM Tivoli Directory Servers. For more information about setting up an IBM Tivoli Directory Server for user and group management, see [Setting up an IBM Tivoli Directory Server security information server](#).

Non-IBM Directory Servers

AIX supports various directory servers whose users and groups are defined by using the RFC 2307 schema. When configured as an LDAP client to directory servers, AIX uses the servers in the same way as an IBM Tivoli Directory Server with RFC 2037 schema. These servers must support the LDAP Version 3 protocol.

The RFC 2307 schema defines only a subset of user and group attributes that AIX can use. Therefore, some functions of AIX user and group management might not be done if AIX is configured to use such an LDAP server. For example, user password reset enforcement, password history, per-user resource limit, login control to certain systems through the AIX `hostsallowedlogin` and `hostsdeniedlogin` attributes, capability, and more.

AIX does not support non-RFC 2307 compliant directory servers. However, AIX might be made to work with such servers that are not RFC 2307 compliant, but whose users and groups are defined with all the required UNIX attributes. The minimal set of user and group attributes that the AIX requires is the set that is defined in RFC 2307. Support for such directory servers requires manual configuration. AIX provides a schema-mapping mechanism for this purpose. For more information about schema file format and schema file usage, see [LDAP Attribute Mapping File Format](#).

Microsoft Active Directory

AIX supports Microsoft Active Directory (AD) as an LDAP server for user and group management. The AD server must contain the installed UNIX supporting schema. The UNIX support schema of AD is from the Microsoft Service For UNIX (SFU) package. The user and group schema definitions of each SFU version is

slightly different from the previous version. AIX supports AD that runs on Windows 2000 and 2003 with SFU schema Version 3.0 and 3.5 and Windows 2003 R2 with built-in UNIX schema.

If the AD server does not support the UNIX schema, you must configure the AIX client with ID-generation feature enabled. The ID-generation feature generates the UNIX IDs on the AIX client side, which remains the same across clients for the same user or group on the AD server. The AD domain name maintains the uniqueness of the generated IDs across the domains. For more information on the ID-generation feature, see [Configuring AIX to work with AD through LDAP without the SFU plug-in](#).

Not all AIX commands work on LDAP users if the server is AD as the user and group management between the UNIX systems and Windows systems differs. The **mkuser** and **mkgroup** commands do not work on the LDAP users where the server is AD. Most of the user and group management commands works on the LDAP users where the server is AD, which depends on the access rights that are given to the identity with which AIX binds to AD. For example, **lsuser**, **chuser**, **rmuser**, **lsgroup**, **chgroup**, **rmgroup**, **id**, **groups**, **passwd**, and **chpasswd** commands.

AIX supports two user authentication mechanisms against Windows servers: LDAP authentication and Kerberos authentication. With either mechanism, AIX supports user identification through LDAP protocol against AD, with no requirement for a corresponding user account on AIX.

Configuring the AIX operating system to work with Active Directory through LDAP

AIX supports Microsoft Active Directory (AD) as an LDAP server for user and group management. It is required that the AD server has the UNIX supporting schema installed.

An administrator can use the **mksecldap** command to configure AIX on the AD server in the same manner as an IBM Tivoli Directory Server. The **mksecldap** command hides all the details of configuration to simplify the process. Before running the **mksecldap** command to configure AIX on the AD server:

1. The AD server must have the UNIX support schema installed.
2. The AD server must contain users which are UNIX enabled.

For more information about installing UNIX schema to AD and enabling AD users with UNIX support, see the related Microsoft documentation.

The AD schema often has multiple attribute definitions for the same UNIX attribute (for example, there are multiple user password and group member definitions). Although AIX supports most of them, consideration and planning should be done carefully when selecting the definitions to use. It is recommended that AIX systems and other non-AIX systems sharing the same AD use the same definition to avoid conflicts.

Configuring AIX to work with AD through LDAP without the SFU plug-in

Starting with AIX 7.3 Technology Level 3 (TL3), you can configure the AIX to work with Active Directory (AD) through Lightweight Directory Access Protocol (LDAP) without Services for UNIX (SFU) plug-in. AIX supports Microsoft AD as an LDAP server for user and group management. Microsoft deprecated the support for Identity Management for UNIX plug-in, which was a part of SFU from Windows Server 2012R2.

An administrator must use the **mksecldap** command to configure AIX on the AD server similar to an IBM Security Verify Directory.

The **mksecldap** command hides the configuration details to simplify the process. The AD server does not require any UNIX schema or configured UNIX users as the SFU plug-in is not available. The configured UNIX users and groups in AIX 7.3 TL2 and earlier, function as it is. The newly created users, groups, UID, or GID are generated by using Windows *ObjectSID* that are assigned to the user or group by the Windows AD server. The user or group attributes that are retrieved from the AD server are mapped to the username, ID, and pgrp. The remaining attributes that are mapped as part of the earlier SFU versions 2 and 3 are not supported.

For more details on the new flags introduced for the ID-generation feature, see **mksecldap** command.

The if ID-generation feature generates the UID or GID. The generated ID is in the format of **9DDUUUUUU**, where DD is the *domainID* and **UUUUUU** is the RID extracted from the *ObjectSID*.

For example, if the *SID* is *S-1-5-21-1323837253-3915333835-810855996-1164* and the value of the *domainID* that is configured is **19**. According to **9DDUUUUUU**, the **DD** and **UUUUUU** values are moved to the relevant digit position, keeping the other digits **0** to allow the computation easier. The **secldapclntd** command generates the following UID or GID internally:

```
900000000 + Configured domainID + RID from SID
900000000 + 19 + 1164
900000000 + 019000000 + 000001164 ---- Adjust the digit position as per 9DDUUUUUU
900000000 + 019000000 + 000001164 = 919001164
```

The UID or GID that is generated is **919001164**.

AIX client supports a single domain at a time. However, it is possible to reconfigure the client with a different domain. In that case, **mksecldap** command provides the **-I** flag to specify the *domainID* that must be used, which takes care of the uniqueness of the generated IDs across domains. The same *domainID* must be used for the particular AD domain on multiple AIX clients. If the users or groups exist with UNIX attributes such as *uid*, *uidNumber*, *gidNumber*, and *primaryGroupID* set on AD, the IDs are used as it is. The ID-generation feature is used only for new users and groups. The user or group attributes that are retrieved from AD server is mapped to only *username*, *ID*, and *pgrip* attributes. The attributes that are mapped in the SFU versions 2 and 3 are not supported.

Note: The generated ID considers a maximum of 6-digits from RID value of the Security Identifier. Therefore, the maximum limit of RID value that the ID-generation feature uses to generate the UID or GID is **9,99,999**.

Active Directory password attribute selection

AIX supports two authentication mechanisms, **unix_auth** and **ldap_auth**.

With **unix_auth**, the password in Microsoft Active Directory (AD) is required to be in encrypted format. During authentication, the encrypted password is retrieved from AD and compared to the encrypted format of the user-entered password. Authentication is successful if they match. In **ldap_auth** mode, AIX authenticates a user by an LDAP bind operation to the server with the user's identity and the supplied password. The user is authenticated if the bind operation is successful. AD supports multiple user password attributes. A different AIX authentication mode requires a different AD user password attribute.

unix_auth mode

The following AD password attributes can be used for **unix_auth** mode:

- **userPassword**
- **unixUserPassword**
- **msSFU30Password**

Password management on AIX can be difficult due to AD's multiple password attributes. Knowing which password management attributes should be used by the UNIX clients can be confusing. AIX LDAP attribute mapping capability enables you to customize the password management according to your needs.

By default, AIX uses the **msSFU30Password** attribute for AD running on Windows 2000 and 2003, and the **userPassword** attribute on Windows 2003 R2. If a different password is used, you need to modify the */etc/security/ldap/sfu30user.map* file (or the */etc/security/ldap/sfu2user.map* file if AD is running on Windows 2003 R2). Find the line that starts with the word **spassword** and change the third field of the line to the desired AD password attribute name. For more information, see [LDAP Attribute Mapping File Format](#). Run the **mksecldap** command to configure the AIX LDAP client after the change. If the AIX LDAP client is already configured, run the **restart-secldapclntd** command to restart the **secldapclntd** daemon to absorb the change.

In **unix_auth** mode, the password might be out of sync between Windows and UNIX, resulting in a different password for each system. This occurs when you change a password from AIX to Windows, because Windows uses the **unicodepwd** password attribute. The AIX **passwd** command can reset the

UNIX password to be the same as a Windows password, but AIX does not support automatically changing the Window's password when you change your UNIX password from AIX.

ldap_auth mode

Active Directory also has the **unicodepwd** password attribute. This password attribute is used by Windows systems to authenticate Windows users. In a bind operation to AD, the **unicodePwd** password must be used. None of the passwords mentioned under **unix_auth** mode works for a bind operation. If the **ldap_auth** option is specified from the command line, the **mksecldap** command maps the password attribute to AD's **unicodePwd** attribute at client configuration with no manual step required.

By mapping AIX passwords with the **unicodePwd** attribute, users defined in AD can login to Windows and AIX systems using the same password. A password reset from either a AIX or Windows system is in effect for both AIX and Windows systems.

Active Directory group member attribute selection

Microsoft's Service for UNIX defines the **memberUid**, **msSFU30MemberUid**, and **msSFU30PosixMember** group member attributes.

The **memberUid** and **msSFU30MemberUid** attributes accept user account names, while the **msSFU30PosixMember** accepts only full DN. For example, for a user account *foo* (with last name *bar*) defined in AD:

- **memberUid: foo**
- **msSFU30MemberUid: foo**
- **msSFU30PosixMember: CN=foo bar,CN=Users,DC=austin,DC=ibm,DC=com**

The AIX operating system supports all of these attributes. Consult with your AD administrator to determine which attribute to use. By default, the **mksecldap** command configures the AIX operating system to use the **msSFU30PosixMember** attribute against AD running on Windows 2000 and 2003, and the **uidMember** attribute against AD running on Windows 2003 R2. Such selection is due to the AD behavior as AD selects that attribute when adding a user to a group from Windows. Your business strategy might require the use of a non-default group member attribute for supporting multiple platforms.

If a different group member attribute is needed, you can change the mapping by editing the group mapping file. The group mapping file for AD is `/etc/security/ldap/sfu30group.map` running on Windows 2000 and 2003, and `/etc/security/ldap/sfu2group.map` for Windows 2003 R2. Find the line that starts with the word **users**, and replace the third field with the desired attribute name for group members. For more information, see [LDAP Attribute Mapping File Format](#). Run the **mksecldap** command to configure the AIX LDAP client after the change, or if the AIX client is already configured, run the **restart-secldapclntd** command to restart the **secldapclntd** daemon to absorb the change.

Multiple organizational units

Your AD server might have multiple organizational units defined, with each containing a set of users.

Most Windows AD users are defined in the **cn=users,...** subtree, but some may be defined elsewhere. The AIX multiple base DN feature can be used for such an AD server. For more information, see [Multiple base DN support](#).

Kerberos authentication for Windows servers

In addition to the LDAP authentication mechanisms, the AIX operating system also supports user authentication through the Kerberos protocol for Windows servers.

The AIX operating system supports Kerberos authentication for Windows KDC and LDAP identification for Windows Active Directory by creating a KRB5ALDAP compound loadmodule. Because user identification information is pulled from Microsoft Active Directory, you do not need to create the corresponding user accounts on the AIX operating system.

LDAP user management

You can manage users and groups on an LDAP security information server from any LDAP client by using high-level commands.

You can manage users and groups on an LDAP security information server by using LDAP and other authentication load modules such as DCE, NIS, and KRB5 by using high-level commands and the *-R* flag. For more information about the *-R* flag, refer to each of the user or group management commands.

To enable a user to authenticate through LDAP, run the **chuser** command to change the user's *SYSTEM* attribute value to LDAP. By setting the *SYSTEM* attribute value according to the defined syntax, a user can be authenticated through more than one load module such as compat and LDAP. For more information on setting users' authentication methods, see the “User authentication” on page 70 topic and the *SYSTEM* attribute syntax that is defined in the `/etc/security/user` file.

A user can become an LDAP user at client setup time by running the **mksecldap** command with the *-u* flag as shown in one of the following forms:

- `mksecldap -c -u user1,user2,...`

Where the *user1, user2,...* parameter is a list of users. The users in this list can be either locally defined or remote LDAP-defined users. The *SYSTEM* attribute is set to LDAP in each of the users' stanzas in the `/etc/security/user` file. Such users can only be authenticated through LDAP. The users in this list must exist on the LDAP security information server; otherwise, they cannot log in from this host. Run the **chuser** command to modify the *SYSTEM* attribute and allow authentication through multiple methods such as local and LDAP.

- `mksecldap -c -u ALL`

This command sets the *SYSTEM* attribute to LDAP in each user's stanza in the `/etc/security/user` file for all locally defined users. All such users only authenticate through LDAP. The locally defined users must exist on the LDAP security information server; otherwise they can not log in from this host. A user that is defined on the LDAP server but not defined locally cannot log in from this host. To allow a remote LDAP-defined user to log in from this host, run the **chuser** command to set the *SYSTEM* attribute to LDAP for that user.

Alternatively, you can enable all LDAP users, whether they are defined locally or not, to authenticate through LDAP on a local host by modifying the "default" stanza of the `/etc/security/user` file to use "LDAP" as its value. All users that do not have a value defined for their *SYSTEM* attribute must use the value defined in the default stanza. For example, if the default stanza has "SYSTEM = "compat"", changing it to "SYSTEM = "compat OR LDAP"" allows authentication of all LDAP users either through AIX or LDAP. Changing the default stanza to "SYSTEM = "LDAP"" enables these users to authenticate exclusively through LDAP. Users who have a *SYSTEM* attribute value defined are not affected by the default stanza.

Multiple base DN support

AIX supports multiple base DNs. Up to 10 base DNs for each entity can be specified in the `/etc/security/ldap/ldap.cfg` file.

The base DNs are prioritized in the order they appear in the `/etc/security/ldap/ldap.cfg` file. An operation by AIX commands in case of multiple base DNs is done according to the base DN priority with the following behavior:

- A query operation (for example, by the **lsuser** command), is done to the base DNs according to their priority until a matching account is found, or failure is returned if all of the base DNs are searched without finding a match. Querying for ALL results in all of the accounts from every base DN being returned.
- A modification operation (for example, by the **chuser** command), is done to the first matching account.
- A delete operation (for example, by the **rmuser** command), is done to the first matching account.
- A creation operation (for example, the **mkuser** command), is done only to the first base DN. AIX does not support creating accounts to other base DNs.

It is the directory server administrator's responsibility to maintain a collision-free account database. If there are multiple definitions of the same account, each under a different subtree, only the first account is visible to AIX. A search operation returns only the first matching account. Similarly, a modification or a delete operation is done only to the first matching account.

The **mksecldap** command, when used to configure a LDAP client, will find the base DN for each entity and save it to the `/etc/security/ldap/ldap.cfg` file. When multiple base DN's are available on the LDAP server for an entity, the **mksecldap** command randomly uses any one of them. To have AIX work with multiple base DN's, you need to edit the `/etc/security/ldap/ldap.cfg` file after the **mksecldap** command has completed successfully. Find the appropriate base DN definition and add additional base DN's needed. AIX supports up to 10 base DN's for each entity, any additional base DN's are ignored.

AIX also supports user defined filter and search scope for each base DN. A base DN can have its own filter and scope that might be different from its peer base DN's. Filters can be used to define the set of accounts that are visible to AIX.

Only those accounts that satisfy the filter are visible to AIX.

Setting up SSL on the LDAP server

To set up Secure Sockets Layer (SSL) on the LDAP server, install the LDAP crypto filesets and **GSKit** filesets to enable server encryption support. These file sets can be found on the AIX expansion pack.

Follow these steps to enable SSL support for the IBM Directory server authentication.

1. Install the GSKitv8 for the IBM Security Directory Server Version 6.4. For more information about installing the GSKitv8 for the IBM Security Directory Server Version 6.4, refer to the [Setting up an IBM Security Directory Server](#) topic.
2. Generate the IBM Directory server private key and server certificate using the correct GSKit key management utility. You must use the **gsk8capicmd** or **gsk8capicmd_64** command for the IBM Security Directory Server version 6.4, or later.

Note: A commercial Certification Authority (CA), such as VeriSign, might sign the server's certificate. Alternatively, the GSKit key management tool might self-sign the server's certificate. The public certificate or the self-signed certificate of the CA must be distributed to the key database file of the client application.

3. Store the key database file of the server and its associated password stash file on the server. The default path for the key database, `/usr/ldap/etc`, is a typical location.
4. Run the following command to set up the server, where `mykey.kdb` is the key database and `keypwd` is the password to the key database:

```
# mksecldap -s -a cn=admin -p pwd -S rfc2307aix -k /usr/ldap/etc/mykey.kdb -w keypwd
```

Setting up SSL on the LDAP client

To use SSL on an LDAP client, install the `idsldap.clt_max_crypto32bit64` and `idsldap.clt_max_crypto64bit64` filesets from the second volume of the AIX DVD along with the Global Security Kit (GSKit) filesets from the AIX® expansion pack DVD.

Follow these steps after setting up SSL on the LDAP server.

1. Run the **gsk8capicmd** or **gsk8capicmd_64** command to generate the key database on each client. For more information about generating the key database on each client, refer to the [On the C-based LDAP client system](#) section in the [The gskcapicmd tool](#) topic.
2. Copy the server certificate to each of the clients. If the server SSL uses a self-signed certificate, you must extract the certificate first.
3. On each client system, run the **gsk8capicmd** or **gsk8capicmd_64** command to add the server certificate to the key database.
4. To enable SSL for each client, run the following command:

```
# mksecldap -c -h servername -a adminDN -p pwd -k /usr/ldap/etc/mykey.kdb -p keypwd
```

The full path to the key database is `/usr/ldap/etc/mykey.kdb` and the password to the key is `keypwd`. If the key password is not entered from the command line, the system uses a stashed password file from the same directory. The stashed password file must have the same name as the key database with an extension of `.sth` such as `mykey.sth`).

LDAP host access control

AIX provides user-level host access (login) control for a system. Administrators can configure LDAP users to log in to an AIX system by setting their **SYSTEM** attribute to LDAP.

The **SYSTEM** attribute is in the `/etc/security/user` file. The **chuser** command can be used to set its value, similar to the following:

```
# chuser -R LDAP SYSTEM=LDAP registry=LDAP foo
```

Note: With this type of control, do not set the default **SYSTEM** attribute to LDAP, which allows all LDAP users to login to the system.

This sets the LDAP attribute to allow user `foo` to log in to this system. It also sets the registry to LDAP, which allows the login process to log `foo`'s login attempts to LDAP, and also allows any user management tasks done on LDAP.

The administrator needs to run such setup on each of the client systems to enable login by certain users.

AIX has a feature to limit a LDAP user only to log in to certain LDAP client systems. This feature allows centralized host access control management. Administrators can specify two host access control lists for a user account: an allow list and a deny list. These two user attributes are stored in the LDAP server with the user account. A user is allowed access to systems or networks that are specified in the allow list, while he is denied access to systems or networks in the deny list. If a system is specified in both the allow list and the deny list, the user is denied access to the system. There are two ways to specify the access lists for a user: with the **mkuser** command when the user is created or with the **chuser** command for an existing user. For backward compatibility, if both the allow list and deny list do not exist for a user, the user is allowed to login to any LDAP client systems by default.

Examples of setting allow and deny permission lists for users are the following:

```
# mkuser -R LDAP hostsallowedlogin=host1,host2 foo
```

This creates a user `foo`, and user `foo` is only allowed to log in to `host1` and `host2`.

```
# mkuser -R LDAP hostsdeniedlogin=host2 foo
```

This create user `foo`, and user `foo` can log in to any LDAP client systems except `host2`.

```
# chuser -R LDAP hostsallowedlogin=192.9.200.1 foo
```

This sets user `foo` with permission to log in to the client system at address `192.9.200.1`.

```
# chuser -R LDAP hostsallowedlogin=192.9.200/24 hostsdeniedlogin=192.9.200.1 foo
```

This sets user `foo` with permission to log in to any client system within the `192.9.200/24` subnet, except the client system at address `192.9.200.1`.

For more information, see the [chuser](#) command.

Secure communication with SSL

Depending on the authentication type being used between the LDAP client and server, passwords are sent in either encrypted format (`unix_auth`) or in clear text (`ldap_auth`). Use Secure Socket Layer (SSL) to protect against security exposure when you send even encrypted passwords over the network, or, in some cases, the Internet. AIX provides packages for SSL that can provide secure communication between directory servers and clients.

For more information, see:

- [“Setting up SSL on the LDAP client” on page 165](#)
- [“Setting up SSL on the LDAP server” on page 165](#)

Using LDAPA authentication-only mode

The LDAP module is a full-function module that supports both user authentication and user identification. The LDAPA module provides authentication-only mode. The LDAPA module is like the LDAP module, but you can specify to use the authentication-only mode.

In authentication-only mode, the LDAPA module must be combined with another database module to form a compound module rather than a stand-alone module. The LDAPA module performs user authentication while the second module performs identification. This combined module is called a compound module. You must define users in both the LDAP server and the database server for this compound module.

With the LDAPA module, the group information comes from the database server. For example, in the case of the LDAPA files, the group information comes from the local `/etc/group` file. If some of your LDAP users belong only to LDAP groups, you must create corresponding LDAP groups on the database server before you configure the LDAPA files module. By creating this corresponding group, you can avoid the case where an LDAPA files user cannot resolve its group setting because the group setting does not exist on the database server.

Note: The LDAPA module does not support creating and removing users. To create an LDAPA files user, the system administrator must create an LDAP user using the LDAP module and then create the same user locally. Then make the user an LDAPA files user by setting the user's SYSTEM and registry to LDAPAfiles using the **chuser** command.

To configure LDAP in authentication-only mode using the LDAPA module, use the **mksecldap** command with the `-i <databaseModule>` option. This command creates an LDAPA module with options = authonly set and an LDAPA <databaseModule> compound load module.

For example, to configure LDAP in authentication-only mode and to use local files for the database module, use the following example:

```
mksecldap -c -h <ldap server> -a <binddn> -p <bind password> -i files
```

The `/usr/lib/security/methods.cfg` file is updated with the following:

```
LDAPA:
    program = /usr/lib/security/LDAP
    program_64 = /usr/lib/security/LDAP64
    options = authonly

LDAP:
    program = /usr/lib/security/LDAP
    program_64 = /usr/lib/security/LDAP64

LDAPAfiles:
    options = db=BUILTIN,auth=LDAPA
```

In the LDAPA stanza, the options = authonly setting indicates to set the LDAPA module to authentication-only mode. The LDAPAfiles stanza defines the compound load module.

The LDAP module is retained for resolving non-user/group data, like RBAC. The LDAP module can still be used as a stand-alone authentication module independent of the LDAPA module.

Related information

mksecldap command

LDAPA supported attributes

The LDAPA module in authentication-only mode supports a limited number of AIX password policy attributes. The rest of the AIX attributes are satisfied by the database module.

The authentication-only LDAPA module supports the following attributes:

- maxage

- minage
- minlen
- lastupdate
- flags
- maxrepeats
- minalpha
- mindiff
- minother
- pwdwarntime
- pwdchecks
- histsize
- histexpire
- time_last_login
- time_last_unsuccessful_login
- tty_last_login
- tty_last_unsuccessful_login
- host_last_login
- host_last_unsuccessful_login
- unsuccessful_login_count
- account_locked
- loginretries
- logintimes

Not all LDAP servers support these attributes. When an LDAP server does not support all the listed attributes, the supported attributes are only the attributes that are common in both this list and in the user-attribute mapping file. The mapping file is in the `/etc/security/ldap` directory.

For an RFC2307 compliant server without AIX schema support, the following AIX attributes are supported:

- maxage
- minage
- lastupdate
- pwdwarntime
- lastupdate

Kerberos bind

In addition to a simple bind using a bind DN and a bind password, the **secdapclntd** daemon also supports a bind using Kerberos V credentials.

The keys of the bind principal are stored in a keytab file and need to be made available to the **secdapclntd** daemon in order to use Kerberos bind. With Kerberos bind enabled, the **secdapclntd** daemon does Kerberos authentication to the LDAP server using the principal name and keytab specified in the `/etc/security/ldap/ldap.cfg` client configuration file. Using Kerberos bind makes the **secdapclntd** daemon ignore the bind DN and the bind password specified in `/etc/security/ldap/ldap.cfg` file.

When Kerberos authentication is successful, the **secdapclntd** daemon saves the bind credentials to the `/etc/security/ldap/krb5cc_secdapclntd` directory. The saved credentials are used for a later rebind. If credentials are more than one hour old at the time that the **secdapclntd** daemon tries to rebind to a LDAP server, the **secdapclntd** daemon will reinitialize to renew credentials.

To configure the LDAP client system to use Kerberos bind, you must configure the client using the **mksecldap** command using a bind DN and a bind password. If the configuration is successful, edit the `/etc/security/ldap/ldap.cfg` file with the correct values for Kerberos related attributes. The **secldapclntd** daemon uses the Kerberos bind at restart. After successful configuration, the bind DN and the bind password are not used any more. They can be safely removed or commented out of the `/etc/security/ldap/ldap.cfg` file.

Creating a Kerberos principal

You need to create at least two principals on the Key Distribution Center (KDC) for use by the IDS server and client in order to support Kerberos bind. The first principal is the LDAP server principal and the second one is the principal used by client systems to bind to the server.

Each of the principal keys need to be placed in a keytab file so that they can be used to start the server process or the client daemon process.

The following example is based on the IBM Network Authentication Service. If you install Kerberos software from other sources, the actual commands may be different than what is shown here.

- Start the `kadmin` tool on the KDC server as the root user.

```
#/usr/krb5/sbin/kadmin.local
kadmin.local:
```

- Create the `ldap/hostname` principal for the LDAP server. The `hostname` is the fully qualified DNS host that will run the LDAP server.

```
kadmin.local: addprinc ldap/plankton.austin.ibm.com
WARNING: no policy specified for "ldap/plankton.austin.ibm.com@ud3a.austin.ibm.com":
Re-enter password for principal "ldap/plankton.austin.ibm.com@ud3a.austin.ibm.com":
Principal "ldap/plankton.austin.ibm.com@ud3a.austin.ibm.com" created.
kadmin.local:
```

- Create a keytab for the created server principal. This key will be used by the LDAP server during server startup. To create a keytab called `slapd_krb5.keytab`:

```
kadmin.local: ktadd -k /etc/security/slapd_krb5.keytab ldap/plankton.austin.ibm.com
Entry for principal ldap/plankton.austin.ibm.com with kvno 2,
encryption type Triple DES cbc mode with HMAC/sha1 added to keytab
WRFILE:/etc/security/slapd_krb5.keytab.
Entry for principal ldap/plankton.austin.ibm.com with kvno 2,
encryption type ArcFour with HMAC/md5 added to keytab WRFILE:/etc/security/slapd_krb5.keytab.
Entry for principal ldap/plankton.austin.ibm.com with kvno 2,
encryption type AES-256 CTS mode with 96-bit SHA-1 HMAC added to keytab
WRFILE:/etc/security/slapd_krb5.keytab.
Entry for principal ldap/plankton.austin.ibm.com with kvno 2,
encryption type DES cbc mode with RSA-MD5 added to keytab WRFILE:/etc/security/
slapd_krb5.keytab.
kadmin.local:
```

- Create a principal named `ldapadmin` for the IDS administrator.

```
kadmin.local: addprinc ldapadmin
WARNING: no policy specified for ldapadmin@ud3a.austin.ibm.com; defaulting to no policy.
Note that policy may be overridden by ACL restrictions.
Enter password for principal "ldapadmin@ud3a.austin.ibm.com":
Re-enter password for principal "ldapadmin@ud3a.austin.ibm.com":
Principal "ldapadmin@ud3a.austin.ibm.com" created.
kadmin.local:
```

- Create a keytab for the bind principal `ldapadmin.keytab`. This key can be used by the **secldapclntd** client daemon.

```
kadmin.local: ktadd -k /etc/security/ldapadmin.keytab ldapadmin
Entry for principal ldapadmin with kvno 2, encryption type
Triple DES cbc mode with HMCA/sha1 added to keytab WRFILE:/etc/security/ldapadmin.keytab.
Entry for principal ldapadmin with kvno 2, encryption type
ArcFour with HMAC/md5 added to keytab WRFILE:/etc/security/ldapadmin.keytab.
Entry for principal ldapadmin with kvno 2, encryption type
AES-256 CTS mode with 96-bit SHA-1 HMAC added to keytab WRFILE:/etc/security/ldapadmin.keytab.
Entry for principal ldapadmin with kvno 2, encryption type
```

```
DES cbc mode with RSA-MD5 added to keytab WRFIELD:/etc/security/ldapadmin.keytab.  
kadmin.local
```

- Create a principal named `ldaproxy` for clients to bind to the LDAP server.

```
kadmin.local: addprinc ldaproxy  
WARNING: no policy specified for ldaproxy @ud3a.austin.ibm.com; defaulting to no policy.  
Note that policy may be overridden by ACL restriction  
Enter password for principal "ldaproxy@ud3a.austin.ibm.com":  
Re-enter password for principal "ldaproxy@ud3a.austin.ibm.com":  
Principal "ldaproxy@ud3a.austin.ibm.com" created.  
kadmin.local:
```

- Create a keytab called `ldaproxy.keytab` for the bind principal **ldaproxy**. This key can be used by the **secldapclntd** client daemon.

```
kadmin.local: ktadd -k /etc/security/ldaproxy.keytab ldaproxy  
Entry for principal ldaproxy with kvno 2, encryption type  
Triple DES cbc mode with HMAC/sh1 added to keytab WRFIELD:/etc/security/ldaproxy.keytab.  
Entry for principal ldaproxy with kvno 2, encryption type  
ArcFour with HMAC/md5 added to keytab WRFIELD:/etc/security/ldaproxy.keytab  
Entry for principal ldaproxy with kvno 2, encryption type  
AES-256 CTS mode with 96-bit SHA-1 HMAC added to keytab WRFIELD:/etc/security/ldaproxy.keytab  
Entry for principal ldaproxy with kvno 2,  
encryption type DES cbc mode with RSA-MD5 added to keytab WRFIELD:/etc/security/  
ldaproxy.keytab.  
kadmin.local:
```

Enabling the IDS server Kerberos bind

The following procedure enables the IDS server for Kerberos bind.

The following example shows how to configure an IDS server for Kerberos bind.

This example was tested using IDS v5.1:

1. Install the `krb5.client` fileset.
2. Make sure the `/etc/krb5/krb5.conf` file exists and is configured properly. If you need to configure it, you can run the `/usr/sbin/config.krb5` command.

```
# config.krb5 -r ud3a.austin.ibm.com -d austin.ibm.com -c KDC -s alyssa.austin.ibm.com  
Initializing configuration...  
Creating /etc/krb5/krb5_cfg_type...  
Creating /etc/krb5/krb5.conf...  
The command completed successfully.  
# cat /etc/krb5/krb5.conf  
[libdefaults]  
    default_realm = ud3a.austin.ibm.com  
    default_keytab_name = FILE:/etc/krb5/krb5.keytab  
    default_tkt_enctypes = des3-cbc-sha1 arcfour-hmac aes256-cts des-cbc-md5 des-cbc-crc  
    default_tgs_enctypes = des3-cbc-sha1 arcfour-hmac aes256-cts des-cbc-md5 des-cbc-crc  
[realms]  
    ud3a.austin.ibm.com = {  
        kdc = alyssa.austin.ibm.com:88  
        admin_server = alyssa.austin.ibm.com:749  
        default_domain = austin.ibm.com  
    }  
[domain_realm]  
    .austin.ibm.com = ud3a.austin.ibm.com  
    alyssa.austin.ibm.com = ud3a.austin.ibm.com  
[logging]  
    kdc = FILE:/var/krb5/log/krb5  
    admin_server = FILE:/var/krb5/log/kadmin.log  
    default = FILE:/var/krb5/log/krb5lib.log
```

3. Get the keytab file of the `ldap:/serverhostname` principal, and place it in the `/usr/ldap/etc` directory. For example: `/usr/ldap/etc/slapd_krb5.keytab`.
4. Set the permission to allow the server process to access the file.

```
# chown ldap:ldap /usr/ldap/etc/slapd_krb5.keytab  
#
```

5. To enable the IDS server for Kerberos bind, edit the `/etc/ibmslapd.conf` file and append the following entry:

```
dn: cn=Kerberos, cn-Configuration
cn: Kerberos
ibm-slapdKrbAdminDN: ldapadmin
ibm-slapdKrbEnable: true
ibm-slapdKrbIdentityMap: true
ibm-slapdKrbKeyTab: /usr/ldap/etc/slapd_krb5.keytab
ibm-slapdKrbRealm: ud3a.austin.ibm.com
objectclass: ibm-slapdKerberos
objectclass: ibm-slapdconfigEntry
objectclass: top
```

6. Map the `ldaproxy` principal to a bind DN named `cn-proxyuser,cn=aixdata`.
 - a) If the bind DN entry exists in the IDS server, create a file named `ldaproxy.ldif` with the following content:

```
dn: cn=proxyuser,cn=aixdata
changetype: modify
add: objectclass
objectclass: ibm-securityidentities
-
add: altsecurityidentities
altsecurityidentities: Kerberos:ldaproxy@ud3a.austin.ibm.com
```

OR

- b) If the bind DN entry is not yet added to the server, create a file named `proxyuser.ldif` with the following content:

Note: You will need to replace `proxyuserpwd` with your password.

```
dn: cn=proxyuser,cn=mytest
cn: proxyuser
sn: proxyuser
userpassword: proxyuserpwd
objectclass: person
objectclass: top
objectclass: ibm-securityidentities
altsecurityidentities: Kerberos:ldaproxy@ud3a.austin.ibm.com
```

Add the bind DN entry that is created to the IDS server using the **ldapmodify** command.

```
# ldapmodify -D cn-admin -w adminPwd -f /tmp/proxyuser.ldif modifying entry
cn=proxyuser,cn=mytest
#
```

7. Restart the IDS server.

Enabling the AIX LDAP client Kerberos bind

You can configure an AIX LDAP client system to use Kerberos in its initial bind to an LDAP server.

The IDS server must be configured in this manner for the server host to be a client to itself.

This example was tested using IDS v 5.1:

1. Install the `krb5.client` files.
2. Make sure the `/etc/krb.conf` file exists and is configured properly. If it is not properly configured, you can run the **`/usr/sbin/config.krb5`** command to configure it.
3. Get the keytab file of the bind principal, and place it in the `/etc/security/ldap` directory.
4. Set the permission to 600.
5. Configure the client using the **`mksecldap`** command using the bind DN and the bind password. Make sure that AIX commands work on LDAP users.
6. Edit the `/etc/security/ldap/ldap.cfg` file to set the Kerberos related attributes. In the following example, the bind principal is `ldaproxy` and the keytab file is `ldaproxy.keytab`. If you want IDS server administrator privileges, replace the `ldaproxy` with `ldapadmin` and replace the `ldaproxy.keytab` with `ldapadmin.keytab`.

```
useKRB5:yes
krbprincipal:ldaproxy
krbkeypath:/etc/security/ldap/ldaproxy.keytab
krbcmddir:/usr/krb5/bin/
```

Now the bind DN and bind password can be removed or commented out of the `ldap.cfg` file because the **secdapclntd** daemon now uses Kerberos bind.

7. Restart the **secdapclntd** daemon.

8. The `/etc/security/ldap/ldap.cfg` file can now be propagated to other client systems.

LDAP security information server auditing

SecureWay Directory version 3.2 (and later) provides a default server audit logging function. Once enabled, this default audit plug-in logs LDAP server activities to a log file. See the LDAP documentation in *Packaging Guide for LPP Installation* for more information on this default audit plug-in.

The LDAP security information server auditing function that is provided with the AIX operating system is called the *LDAP security audit plug-in*. It is independent of the SecureWay Directory default auditing service, so that either one or both of these auditing subsystems can be enabled. The AIX audit plug-in records only those events that update or query the AIX security information about an LDAP server. It works within the framework of AIX system auditing.

To accommodate LDAP, the following audit events are contained in the `/etc/security/audit/event` file:

- LDAP_Bind
- LDAP_Unbind
- LDAP_Add
- LDAP_Delete
- LDAP_Modify
- LDAP_Modifydn
- LDAP_Search

An `ldapserver` audit class definition is also created in the `/etc/security/audit/config` file that contains all of the above events.

To audit the LDAP security information server, add the following line to each user's stanza in the `/etc/security/audit/config` file:

```
ldap = ldapserver
```

Because the LDAP security information server audit plug-in is implemented within the frame of the AIX system auditing, it is part of the AIX system auditing subsystem. Enable or disable the LDAP security information server audit by using system audit commands, such as **audit start** or **audit shutdown**. All audit records are added to the system audit trails, which can be reviewed with the **auditpr** command. For more information, see [“Auditing overview”](#) on page 128.

LDAP commands

There are several LDAP commands.

lsldap command

The **lsldap** command can be used to display naming service entities from the configured LDAP server. These entities are aliases, automount, bootparams, ethers, groups, hosts, netgroups, networks, passwd, protocols, rpc and services.

mksecdap command

The **mksecdap** command can be used to set up IBM SecureWay Directory servers and clients for security authentication and data management. This command must be run on the server and all clients.

secdapclntd daemon

The **secdapclntd** daemon accepts requests from the LDAP load module, forwards the request to the LDAP Security Information Server, and passes the result from the server back to the LDAP load module.

LDAP management commands

Several commands are used for LDAP management.

start-secdapclntd command

The **start-secdapclntd** command starts the **secdapclntd** daemon if it is not running.

stop-secdapclntd command

The **stop-secdapclntd** command terminates the running **secdapclntd** daemon process.

restart-secdapclntd command

The **restart-secdapclntd** script stops the **secdapclntd** daemon if it is running, and then restarts it. If the **secdapclntd** daemon is not running, it simply starts it.

ls-secdapclntd command

The **ls-secdapclntd** command lists the **secdapclntd** daemon status.

flush-secdapclntd command

The **flush-secdapclntd** command clears the cache for the **secdapclntd** daemon process.

sectoldif command

The **sectoldif** command reads users and groups defined locally, and prints the result to standard output in **ldif** format.

Mapping file format for LDAP attributes

These map files are used by the `/usr/lib/security/LDAP` module and the **secdapclntd** daemon for translation between AIX attribute names to LDAP attribute names.

Each entry in a mapping file represents a translation for an attribute. An entry has four space-separated fields:

```
AIX_Attribute_Name AIX_Attribute_Type LDAP_Attribute_Name LDAP_Value_Type
```

The descriptions for these fields follow:

AIX_Attribute_Name

Specifies the AIX attribute name.

AIX_Attribute_Type

Specifies the AIX attribute type. Values are SEC_CHAR, SEC_INT, SEC_LIST, and SEC_BOOL.

LDAP_Attribute_Name

Specifies the LDAP attribute name.

LDAP_Value_Type

Specifies the LDAP value type. Values are **s** for single value and **m** for multi-value.

LDAP and KRB5LDAP in a single client

If LDAP is part of a compound module, such as KRB5LDAP, then only read operations are possible, not write operations. However, with the below configuration changes in the `/usr/lib/security/methods.cfg`

file, both LDAP and compound load modules such as KRB5LDAP are accommodated in a single file by completing the following steps:

1. Configure the LDAP client and the KRB5LDAP clients as usual.
2. Edit the `/usr/lib/security/methods.cfg` file as follows:

```
LXAP:    program = /usr/lib/security/LDAP
        program_64 = /usr/lib/security/
LDAP64

LDAP:    program = /usr/lib/security/LDAP
        program_64 = /usr/lib/security/
LDAP64

NIS:     program = /usr/lib/security/NIS
        program_64 = /usr/lib/security/
NIS_64

DCE:     program = /usr/lib/
        security/DCE

KRB5:    program = /usr/lib/security/KRB5

KRB5LXAP: options = db=LXAP,auth=KRB5
```

3. Edit the `/etc/security/user` file for the default stanza as follows:

```
SYSTEM = "KRB5LXAP OR LDAP OR compat"
```

LDAP users can be processed as usual. The following examples show the processing of KRB5LDAP users:

```
mkuser -R KRB5LXAP <user_name>
rmuser -R KRB5LXAP <user_name>
lsuser -R KRB5LXAP <user_name>
passwd -R KRB5LXAP <user_name>
```

EFS Encrypted File System

The Encrypted Files System enables individual users on the system to encrypt their data on J2 file system through their individual key stores.

A key is associated to each user. These keys are stored in cryptographically protected key store and upon successful login, the user's keys are loaded into the kernel and associated with the processes credentials. Later on, when the process needs to open an EFS-protected file, these credentials are tested and if a key matching the file protection is found, the process is able to decrypt the file key and therefore the file content. Group based key management are supported too.

Note: EFS is part of an overall security strategy. It is designed to work in conjunction with sound computer security practices and controls.

Encrypted File System usability

Encrypted File System (EFS) key management, file encryption, and file decryption are transparent to users in normal operations.

EFS is part of the base AIX operating system. To enable EFS, root (or any user with the RBAC **aix.security.efs** authorization, see [EFS actors](#) for more information) must use the **efsenable** command to activate EFS and create the EFS environment. This is a one time system enablement. After EFS is enabled, when the user logs in, its key and keystore are silently created and protected or encrypted with the user login password. The users keys are then used silently by the J2 file system when encrypting or decrypting EFS files. Every EFS file is protected with its own unique file key, and this file key is in turn protected or encrypted with the file owner or group key depending on the file permissions.

By default, a J2 File System is not EFS-enabled. When it is EFS-enabled, the J2 File System transparently manages encryption and decryption in the kernel for read and write requests. Users and groups

administration commands (such as **mkggroup**, **chuser**, and **chgroup**) transparently manage the users' and groups' keystores.

The following EFS commands are provided to allow users to manage their keys and file encryption:

efskeymgr

Manages and administers the keys

efsmgr

Manages the encryption of files/directories/file system

Encrypted File System actors

There are three types of users who can manage and use EFS keys:

Full or restricted access as root

The root access to the keys can be unlimited or limited. In either mode, it is not possible for root to simply **su** to a user and gain access to the user's encrypted file or keystore.

In one mode, root can reset the user's keystore password, and might gain access to the user's keys within this keystore. This mode provides greater system administration flexibility.

In the other mode, root can reset the user's logon password, cannot reset the user's keystore password. It is not possible for root to substitute user (with the **su** command) and inherit an open keystore. While root can create and delete users and groups, along with their associated keystores, cannot gain access to the keys within these keystores. This mode provides a greater degree of protection against an attack from malicious root.

There are two modes for managing and using keystores, Root Admin and Root Guard. An EFS administration key is also provided.

The EFS administration key enables access to reset the password to all keystores in Root Admin mode. This key is located in the **efs_admin** special keystore. Access to the **efs_admin** special keystore is granted only to authorized users (root user and security group at installation, or the RBAC **aix.security.efs** authorization).

When a keystore is in Root Guard mode, the keys contained in this keystore cannot be retrieved without the correct keystore password. This provides strong security against a malicious root, but can also cause problems if a user forgets their password, as there is no way to regenerate the password without losing the keys in the keystore, and the user can no longer access their data as a result. In this keystore mode, some operations cannot be treated immediately and are scheduled as pending operations. These pending operations are generated in cases such as adding or suppressing a group access key in a user keystore or regenerating a private key. These are managed by the keystore owner.

efs_admin administration key

The **efs_admin** keystore contains a special key which can open any user or group keystore in root admin mode (the default mode).

The password to open this special keystore is stored in root user and security group keystores when EFS is activated. This password can be given to other groups and users or removed with the **efskeymgr** command. This key, in conjunction with the RBAC **aix.security.efs** authorization, allows an user to administrate EFS (that is,, access keystores in root admin mode).

efs_admin RBAC considerations

On systems with Role Based Access Control enabled, the **efs_admin** command is protected with the **aix.security.efs** authorization.

User keystore

The user keystore is managed automatically for most common operations. The **efskeymgr** command is used for maintenance tasks and advanced EFS use. Users can create encrypted files and directories with the **efsmgr** command. Key store management is integrated into most user admin commands. If a user is added to a group, then the user will automatically have access to the group keystore.

A file owner with EFS access to the file use the **efsmgr** command to grant EFS access to other users and groups (similar to the control that file owners have with ACLs in UNIX). Users can change their passwords without effecting separate processes running under the same UID with an open keystore.

Encrypted File System keystore

Keystores are protected with a password. Users can choose an alternate keystore password other than their login password. In this case, the keystore is not opened and available during the user's standard login. Instead, the user must manually load the keystore by using the **efskey** command to provide the keystore password.

The keystore format is **PKCS # 12**. The keystores are stored in the following files:

user keystore

`/var/efs/users//keystore`

group keystore

`/var/efs/groups//keystore`

efsadmin keystore

`/var/efs/efs_admin/keystore`

If a user sets their logon password and their keystore password to the same password, their keystore is opened and enabled when they log in.

A user can use the EFS **efskeymgr** command to select the type of encryption algorithm and the key length.

Access to the keystore is inherited by any child process.

Group- based key management is also supported. Only group members can add or remove group keys to member's keystores if the group keystore is in guard mode. A user keystore contains the user's private key and also the password to open the user's groups keystores, which contain the group's private keys.

Note: The EFS keystore is opened automatically as part of the standard AIX login only when the user's keystore password matches their login password. This is set up by default during the initial creation of the user's keystore. Login methods other than the standard AIX login, such as loadable authentication modules and pluggable authentication modules may not automatically open the keystore.

Encryption and inheritance

EFS is a feature of J2. The filesystem's **efs** option must be set to **yes** (see the **mkfs** and **chfs** commands).

J2 EFS automatically encrypts and decrypts user data. However, if a user has read access to an EFS-activated file but does not have the right key, then the user cannot read the file in the normal manner; if the user does not have a valid key, it is impossible to decrypt the data.

All cryptographic functions come from the CLiC kernel services and CLiC user libraries.

By default, a J2 File System is not EFS-enabled. A J2 File System must be EFS-enabled before File System EFS inheritance can be activated or any EFS encryption of user data can take place. A file is created as an encrypted file either explicitly with the **efsmgr** command or implicitly via EFS inheritance. EFS inheritance can be activated either at the File System level, at a Directory level, or both.

The **ls** command lists entries of an encrypted file with a preceeding **e**.

The **cp** and **mv** commands can handle metadata and encrypted data seamlessly across EFS-to-EFS and EFS-to-non-EFS scenarios.

The **backup**, **restore**, and **tar** commands and related commands can back up and restore encrypted data, including EFS meta-data used for encryption and decryption.

Backup and restore

It is important to properly manage the archiving or backup of the keystores associated with the archived EFS files. You must also manage and maintain the keystore passwords associated with the archived or backup keystores. Failure to do either of these tasks may result in data loss.

When backing up EFS encrypted files, you can use the `-Z` option with the **backup** command to back up the encrypted form of the file, along with the file's cryptographic meta-data. Both the file data and meta-data are protected with strong encryption. This has the security advantage of protecting the backed-up file through strong encryption. It is necessary to back up the keystore of the file owner and group associated with the file that is being backed up. These key stores are located in the following files:

users keystores

`/var/efs/users/user_login/*`

group keystore

`/var/efs/groups//keystore`

efsadmin keystore

`/var/efs/efs_admin/keystore`

Use the **restore** command to restore an EFS backup (made with the **backup** command and `-Z` option). The restore command ensures that the crypto-meta data is also restored. During the restore process, it is not necessary to restore the backed-up keystores if the user has not changed the keys in their individual keystore. When a user changes their password to open their keystore, their keystore internal key is not changed. Use the **efskeymgr** command to change the keystore internal keys.

If the user's internal, keystore key remains the same, the user can immediately open and decrypt the restored file using their current keystore. However, if the key internal to the user's keystore has changed, the user must open the keystore that was backed up in association with the backed-up file. This keystore can be opened with the **efskeymgr -o** command. The **efskeymgr** command prompts the user for a password to open the keystore. This password is the one used in association with the keystore at time of the backup.

For example, assume that the user Bob's keystore was protected with the password **foo** (the password 'foo' is not a secure password and only used in this example for simplicities sake) and a backup of Bob's encrypted files was performed in January along with Bob's keystore. In this example, Bob also uses **foo** for his AIX login password. In February, Bob changed his password to **bar**, which also had the effect of changing his keystore access password to **bar**. If, in March, Bob's EFS files were restored, then Bob would be able to open and view these files with his current key store and password, because he did not change the keystore's internal key.

If however, it was necessary to change Bob's keystore's internal key (with the **efskeymgr** command), then by default the old keystore internal key is deprecated and left in Bob's keystore. When the user accesses the file, EFS will automatically recognize that the restored file used the old internal key, and EFS will then use the deprecated key to decrypt it. During this same access instance, EFS will convert the file over to using the new internal key. There is not a significant performance impact in the process, because it is all handled via the key store and file's crypto meta-data, and does not require that the file data is re-encrypted.

If the deprecated internal key is removed through **efskeymgr**, then the old keystore containing the old internal key must be restored and used in conjunction with the files encrypted with this internal key.

This raises the question of how to securely maintain and archive old passwords. There are methods and tools to archive passwords. Generally, these methods involve having a file which contains a list of all old passwords, and then encrypting this file and protecting it with the current keystore, which in turn is protected by the current passwords. However, IT environments and security policies vary from organization to organization, and consideration and thought should be given to the specific security needs of your organization to develop security policy and practices that are best suited to your environment.

J2 EFS internal mechanism

Each J2 EFS-activated file is associated with a special extended attribute which contains EFS meta-data used to validate crypto authority and information used to encrypt and decrypt files (keys, crypto algorithm, etc).

The EA content is opaque for J2. Both user credentials and EFS meta-data are required to determine a crypto authority (access control) for any given EFS-activated file.

Note: Special attention should be given to situations where a file or data may be lost (for example, removal of the file's EA).

EFS Protection Inheritance

After a directory is EFS-activated, any newly created immediate children are automatically EFS-activated if not manually overridden. The EFS attributes of the parent directory take precedence over the EFS attributes of the file system.

The scope of the inheritance of a directory is exactly one level. Any newly created child also inherits the EFS attributes of its parent if its parent directory is EFS-activated. Existing children maintain their current encrypted or non-encrypted state. The logical inheritance chain is broken if the parent changes its EFS attributes. These changes do not propagate down to the existing children of the directory and must be applied to those directories separately.

Workload Partition considerations

Before enabling or using Encrypted File System within a Workload Partition, EFS must first be enabled on the global system with the **efsenable** command. This enablement only needs to be performed once. Additionally, all filesystems, including EFS-enabled filesystems, must be created from the global system.

Setting up the Encrypted File System

You need to do this first.

The stage needs to be set just so.

1. Install the **clirc.rte** fileset. This fileset contains the cryptographic libraries and kernel extension required by EFS. The **clirc.rte** fileset can be found on the AIX Expansion Pack.
2. Enable EFS on the system with the **efsenable** command (for example `>efsenable -a`). When prompted for a password, it is reasonable to use the root password. Users keystores are created automatically, then the user logs in, or re-logs in, after the **efsenable** command has been run. Once **efsenable -a** has been run on a system, then the system is EFS-enabled and the **efsenable** command does not need to be run again.
3. Create an EFS-enabled filesystem with the `-a efs=yes` option. For example, `crfs -v jfs2 -m /foo -A yes -a efs=yes -g rootvg -a size=20000`
4. After mounting the filesystem, turn on the cryptographic inheritance on the EFS-enabled filesystem. This can be done with the **efsmgr** command. To continue the previous example where the filesystem `/foo` was created, run the following command: `efsmgr -s -E /foo`. This allows every file created and used in this filesystem to be an encrypted file.

From this point forward, when a user or process with an open keystore creates a file on this filesystem, the file will be encrypted. When the user or file reads the file, the file is automatically decrypted for users who are authorized to access the file.

See the following for more information:

- **chfs, chgroup, chuser, cp, efsenable, efskeymgr, efsmgr, lsuser, ls, mkgroup, mkuser, and mv** commands
- `/etc/security/group` and `/etc/security/user` files

Remote access to Encrypted File System keystores

In an enterprise environment, you can centralize your Encrypted File System (EFS) keystores. When you store the databases that control the keystores on each system independently, it can be difficult to manage the keystores. AIX Centralized EFS Keystore allows you to store the user and group keystore databases in Lightweight Directory Access Protocol (LDAP) so that you can centrally manage the EFS keystore.

Related concepts

[Lightweight Directory Access Protocol](#)

The Lightweight Directory Access Protocol (LDAP) defines a standard method for accessing and updating information in a directory (a database) either locally or remotely in a client-server model.

Overview of remote access to Encrypted File System keystores

Learn about the Encrypted File System (EFS) databases, LDAP enablement for EFS commands, and unique keystore access.

You can store all of the AIX EFS keystore databases in LDAP, which includes the following EFS databases:

- User Keystore
- Group Keystore
- Admin Keystore
- Cookies

The AIX operating system provides utilities to help you perform the following management tasks:

- Export local keystore data to an LDAP server
- Configure the client to use EFS keystore data in LDAP
- Control access to EFS keystore data
- Manage LDAP data from a client system

All of the EFS keystore database management commands are enabled to use the LDAP keystore database. If the system-wide search order is not specified in the `/etc/nscontrol.conf` file, keystore operations are dependent on the user and group `efs_keystore_access` attribute. If you set the `efs_keystore_access` to `ldap`, the EFS commands perform keystore operations on the LDAP keystore.

The following table describes changes to EFS commands for LDAP.

Command	LDAP information
Any EFS command	When you set the <code>efs_keystore_access</code> attribute to <code>ldap</code> , you do not need to use the special option <code>-L domain</code> with any command in order to perform keystore operations on LDAP.
efskeymgr	Includes the <code>-L load_module</code> option so that you can perform explicit keystore operations on LDAP.
efsenable	Includes the <code>-d Basedn</code> option so that you can perform the initial setup on LDAP for accommodating the EFS keystore. The initial setup includes adding base distinguished names (DNs) for the EFS keystore and creating the local directory structure (<code>/var/efs/</code>).

Table 13. EFS command enablement for LDAP (continued)

Command	LDAP information
efskstoldif	<p>Generates the EFS keystore data for LDAP from the following databases on the local system:</p> <ul style="list-style-type: none"> • /var/efs/users/username/keystore • /var/efs/groups/groupname/keystore • /var/efs/efs_admin/keystore • Cookies, if they exist, for all the keystores

All of the keystore entries must be unique. Each keystore entry directly corresponds to the DN of the entry that contains the user and group name. The system queries the user IDs (uidNumber), group IDs (gidNumber), and the DNs. The query succeeds when the user and group names match the corresponding DNs. Before you create or migrate EFS keystore entries on LDAP, ensure that the user and group names and IDs on the system are unique.

Related tasks

Exporting Encrypted File System keystore data to LDAP

You must populate the LDAP server with the keystore data to use LDAP as a centralized repository for the Encrypted File System (EFS) keystore.

Configuring an LDAP client for Encrypted File System keystore

To use Encrypted File System (EFS) keystore data that is stored in LDAP, you must configure a system as an LDAP client.

Exporting Encrypted File System keystore data to LDAP

You must populate the LDAP server with the keystore data to use LDAP as a centralized repository for the Encrypted File System (EFS) keystore.

Before you create or migrate EFS keystore entries on LDAP, ensure that the user and group names and IDs on the system are unique.

To populate the LDAP server with the EFS keystore data, complete the following steps:

1. Install the EFS keystore schema for LDAP on to the LDAP server:
 - a) Retrieve the EFS keystore schema for LDAP from the /etc/security/ldap/sec.ldif file on the AIX system.
 - b) Run the **ldapmodify** command to update the schema of the LDAP server with the EFS keystore schema for LDAP.
2. Run the **efskstoldif** command to read the data in the local EFS keystore files and output the data in a format that is suitable for LDAP.

To maintain unique keystore access, consider placing the EFS keystore data that resides in LDAP under the same parent distinguished name (DN) as the user and group data.
3. Save the data to a file.
4. Run the **ldapadd -b** command to populate the LDAP server with the keystore data.

Related concepts

Overview of remote access to Encrypted File System keystores

Learn about the Encrypted File System (EFS) databases, LDAP enablement for EFS commands, and unique keystore access.

Configuring an LDAP client for Encrypted File System keystore

To use Encrypted File System (EFS) keystore data that is stored in LDAP, you must configure a system as an LDAP client.

To configure an LDAP client for EFS keystore, complete the following steps:

1. Run the `/usr/sbin/mksecldap` command to configure a system as an LDAP client.

The `mksecldap` command dynamically searches the specified LDAP server to determine the location of the EFS keystore data. Then, it saves the results to the `/etc/security/ldap/ldap.cfg` file. The `mksecldap` command determines the location for user, group, admin, and `efscookies` keystore data.

2. Complete one of the following steps to enable LDAP as a lookup domain for EFS keystore data:

- Set the user and group `efs_keystore_access` attribute to `file` or `ldap`.
- Define the search order for the keystore at the system level by using the `/etc/nscontrol.conf` file. The following table shows an example.

Attribute	Description	Search order (secorder)
<code>efsusrkeystore</code>	This search order is common for all users.	LDAP, files
<code>efsgrpkeystore</code>	This search order is common for all groups.	files, LDAP
<code>efsadmkeystore</code>	This search order locates the admin keystore for any target keystore.	LDAP, files



Attention: The configuration defined in the `/etc/nscontrol.conf` file overrides any values set for the user and group `efs_keystore_access` attribute. The same is true for the user `efs_adminks_access` attribute.

After you configure a system as an LDAP client and enable LDAP as a lookup domain for EFS keystore data, the `/usr/sbin/secldapclntd` client daemon retrieves the EFS keystore data from the LDAP server whenever you perform LDAP keystore operations.

Related concepts

[Overview of remote access to Encrypted File System keystores](#)

Learn about the Encrypted File System (EFS) databases, LDAP enablement for EFS commands, and unique keystore access.

Public Key Cryptography Standards #11

The Public Key Cryptography Standards #11 (PKCS #11) subsystem provides applications with a method for accessing hardware devices (tokens) regardless of the type of device.

The content in this section conforms to Version 2.20 of the PKCS #11 standard.

The PKCS #11 subsystem uses the following components:

- An API shared object (`/usr/lib/pkcs11/ibm_pks11.so`) is provided as a generic interface to a device driver that supports the PKCS #11 standard. This tiered design enables new PKCS #11 devices when they are available without recompiling existing applications.
- A PKCS #11 device driver that provides capabilities to applications that are similar to the capabilities provided to other kernel components, such as Encrypted File System (EFS) or IP Security (IPSec).
- When the platform supports the cryptography coprocessor facility, the PKCS #11 device driver uses the hardware acceleration that is available with Advanced Encryption Standard (AES), Secure Hash Algorithm (SHA), and hash message authentication code (HMAC) operations. For improved performance, you can enable network memory affinity.

Related information

[AIX memory affinity support](#)

IBM 4758 Model 2 Cryptographic Coprocessor

The IBM 4758 Model 2 Cryptographic Coprocessor provides a secure computing environment.

Before attempting to configure the PKCS #11 subsystem, verify that the adapter has been properly configured with a supported microcode.

IBM 4960 Cryptographic Accelerator

The IBM 4960 Cryptographic Accelerator provides a means of offloading cryptographic transactions. Before attempting to configure the PKCS #11 subsystem, verify that the adapter has been properly configured.

Verifying the IBM 4758 Model 2 Cryptographic Coprocessor for use with the Public Key Cryptography Standards #11 subsystem

The PKCS #11 subsystem is designed to automatically detect adapters capable of supporting PKCS #11 calls during installation and at reboot. For this reason, any IBM 4758 Model 2 Cryptographic Coprocessor that is not properly configured will not be accessible from the PKCS #11 interface and calls sent to the adapter will fail.

To verify that your adapter is set up correctly, complete the following:

1. Ensure that the software for the adapter is properly installed by typing the following command:

```
lsdev -Cc adapter | grep crypt
```

If the IBM 4758 Model 2 Cryptographic Coprocessor is not included in the resulting list, check that the card is seated properly and that the supporting software is correctly installed.

2. Determine that the proper firmware has been loaded onto the card by typing the following:

```
csufclu /tmp/1 ST device_number_minor
```

Verify that the Segment 3 Image has the PKCS #11 application loaded. If it is not loaded refer to the adapter specific documentation to obtain the latest microcode and installation instructions.

Note: If this utility is not available, then the supporting software has not been installed.

Verifying the IBM 4960 Model 2 Cryptographic Accelerator for use with the Public Key Cryptography Standards #11 subsystem

The PKCS #11 subsystem is designed to automatically detect adapters capable of supporting PKCS #11 calls during installation and at reboot. For this reason, any IBM 4960 Cryptographic Accelerator that is not properly configured will not be accessible from the PKCS #11 interface and calls sent to the adapter will fail.

To ensure that the software for the adapter is properly installed, type the following command:

```
lsdev -Cc adapter | grep ica
```

If the IBM 4960 Cryptographic Accelerator is not included in the resulting list, check that the card is seated properly and that the supporting device driver is correctly installed.

Public Key Cryptography Standards #11 subsystem configuration

The PKCS#11 subsystem automatically detects devices supporting PKCS#11. However, for some applications to use these devices, some initial setup is necessary.

You have three ways to perform these tasks:

- Through the API by writing a PKCS#11 application
- By using the SMIT option

You access the PKCS#11 SMIT options through **Manage the AIX Cryptographic Framework** subsystem from the main SMIT menu (**smit acf** fast path) and selecting the **Launch PCKS#11 Administration Tool**.

- By running the PKCS#11AIX administration tool

You access the PKCS#11 administration tool directly by running the **/usr/sbin/p11admin** command.

Initializing the token

You must initialize each adapter or PKCS#11 token before you can use it successfully.

This initialization procedure involves setting a unique label to the token so that applications can identify the token. Therefore, the labels must not be repeated. However, the API does not verify that labels are not reused. You can initialize a token through a PKCS#11 application or by the system administrator using SMIT. If your token has a Security Officer PIN, the default value is set to 87654321. To ensure the security of the PKCS#11 subsystem, change this value after initialization.

To initialize the token, complete the following steps:

1. Enter the token management screen by typing **/usr/sbin/p11admin**.
2. Select **Source PKCS#11 Slot/Token** and select a PKCS#11 token.
3. Select **Manage PKCS#11 Tokens**.
4. Select **Initialize Source Token**.

Note: For previously initialized tokens, this action erases all the objects and token information.

5. To specify a token label for the PKCS#11 token and to reset the default security officer PIN (SO PIN), complete the following steps:
 - a. Enter a unique label for the PKCS#11 token.
 - b. Enter the new SO PIN.
 - c. Enter the SO PIN again.
 - d. Press Enter.

If the correct PIN is entered, the adapter is initialized or reinitialized after the command runs.

Setting the security officer PIN

Follow these steps to change a security officer (SO) PIN from its default value.

You must change the SO PIN from its default value after you initialize a token.

1. Enter the PKCS#11 Administration screen by typing **/usr/sbin/p11admin**.
2. Select **Source PKCS#11 Slot/Token** and select a token.
3. Select **Manage PKCS#11 Tokens**.
4. Select **Change Security Officer Password**.
5. Enter the current PIN and a new PIN.
6. Enter the new PIN again and press Enter.

Initializing the user PIN

After the token is initialized, it might be necessary to set the user PIN to allow applications to access token objects.

Refer to your device-specific documentation to determine whether the device requires a user to log in before accessing objects.

To initialize the user PIN, use the following steps.

1. Open the token management screen by typing **smit pkcs11**.
2. Select **Source PKCS#11 Slot/Token** and select a token.
3. Select **Manage PKCS#11 Tokens**.
4. Select **Security Officer Login** and type the SO PIN.

5. Select **Reset User Password**.
6. Enter a user PIN.
7. Enter the user PIN again.

Note: You can now also use the `/usr/bin/p11km` user tool to reset the user PIN.

Adding or removing PKCS#11 slots and tokens

If you don't want to share a PKCS#11 token password with multiple users, you can create more PKCS#11 slots.

After you create a new PKCS#11 slot, it automatically creates and maps a new PKCS#11 token. You can then set each new PKCS#11 token with a unique user password.

A PKCS#11 token with a user password can protect one or multiple private objects. A PKCS#11 token without a user password can save, erase, export, and otherwise manage only public objects.

Creating a PKCS#11 slot and token

To create a PKCS#11 slot and token, complete the following steps:

1. Enter the slot management script by typing `smit acf_p11admin`.
2. Select **Manage PKCS#11 Slots**.
3. Select **Create PKCS# Slot**.
4. Enter a unique slot ID. PKCS#11 slot IDs are positive integer numbers.
5. Enter a name for the PKCS#11 slot.
6. Select **Create New Slot** and press Enter.

Deleting an existing PKCS#11 slot and token

Note: If you delete a PKCS#11 slot, the PKCS#11 token that is associated with the PKCS#11 slot will also be deleted. If the token has objects, such as keys or self-signed certificates, or if other applications are accessing the PKCS#11 token, the delete operation will fail. Ensure that the application does not use the token or references objects in the PKCS#11 token before deleting the PKCS#11 token.

To delete an existing PKCS#11 slot and token, complete the following steps:

1. Enter the slot management script by typing `smit acf_p11admin`.
2. Select **Manage PKCS#11 Slots**.
3. Select **Delete Existing Slot**.
4. Enter the slot ID.
5. Select **Delete Slot** and press Enter.

Public Key Cryptography Standards #11 usage

For an application to use the PKCS #11 subsystem, the subsystem's slot manager daemon must be running and the application must load in the API's shared object.

The slot manager is normally started at boot time by **initab** calling the `/etc/rc.pkcs11` script. This script verifies the adapters in the system before starting the slot manager daemon. As a result, the slot manager daemon is not available before the user logs on to the system. After the daemon starts, the subsystem incorporates any changes to the number and types of supported adapters without intervention from the systems administrator.

The API can be loaded either by linking in the object at runtime or by using deferred symbol resolution. For example, an application can get the PKCS #11 function list in the following manner:

```
d CK_RV (*pf_init());
void *d;
CK_FUNCTION_LIST *functs;
```

```

d = dlopen(e, RTLD_NOW);
if ( d == NULL ) {
    return FALSE;
}

pfoo = (CK_RV (*)( ))dlsym(d, "C_GetFunctionList");
if (pfoo == NULL) {
    return FALSE;
}

rc = pf_init(&functs);

```

Public Key Cryptography Standards #11 tools

Two tools are available for managing cryptographic systems within the AIX operating system: the PKCS #11 Key Management tool, and the PKCS #11 Administration tool. You can access these tools by using either the Curses-based GUI or command line interface.

Note: Accessibility for the AIX cryptographic framework tools requires the use of the batch processing capabilities. For detailed information about using the batch processing capabilities for Accessibility, see [“Batch processing”](#) on page 186.

The PKCS #11 Key Management tool is the centralized tool for managing keys, certificates, and PKCS #11 data on the AIX operating system. The objects managed by this tool are stored either within supported PKCS #11 providers, such as the IBM family of cryptographic adapters (for example, IBM 4758, 4960, and 4764), or the AIX Cryptographic Framework. You can perform various operations by using the PKCS #11 Key Management tool. These operations include creating a PKCS #10 Certificate Signing Request (CSR) or generating self-signed certificates. In addition, you can use this tool to search, view, delete, import, export, and backup PKCS #11 object data as well as transport PKCS #11 object data between PKCS #11 tokens. You can start the GUI version of the tool by running the **p11km** command. The tool loads all of the available PKCS #11 tokens. You can view details about these tokens by using the arrow keys to scroll up and down the list of tokens. To select a token, use the arrow keys to highlight the token and press the Enter key. You can start the command line version of the tool by running the following command:

```
p11km -b <batchfile>
```

The PKCS #11 Administration tool is the centralized tool for managing the AIX PKCS #11 Cryptographic Framework. This tool allows an administrator or security officer to manage the tokens controlled by the AIX Cryptographic Framework. You can use this tool to initialize, create, and destroy PKCS #11 tokens, manage slots, reset user passwords, confirm object deletions, specify object trust, and perform AIX Cryptographic Framework tuning for performance and general administration. You can start the GUI version of the tool by running the **p11admin** command. The tool loads all of the available PKCS #11 tokens. You can view details about these tokens by using the arrow keys to scroll up and down the list of tokens. To select a token, use the arrow keys to highlight the token and press the Enter key. You can start the command line version of the tool by running the following command:

```
p11admin -b <batchfile>
```

Command Profiles

The AIX Cryptographic Framework tools use the OpenSSL library to parse configuration files that are used to create custom profiles. You can use these profiles to set tool attributes such as the GUI colors for the **p11km** command and the **p11admin** command.

By using the file format that is specified in [“Batch processing”](#) on page 186, you can create and edit the following profile files to customize the GUI.

Note: After you create your profile files, name them and store them in your home directory as follows:

```

$HOME/.p11km
$HOME/.p11admin

```

The following GUI color attributes are supported:

```
action_name = "GUI_COLORS"
gui_fg_color = "<color name>" ## Foreground Color
gui_bg_color = "<color name>" ## Background Color
gui_vc_color = "<color name>" ## View Content Color
```

Where <color name> is one of the following values:

- LIGHT GRAY
- WHITE
- BLACK
- DARK GRAY
- RED
- LIGHT RED
- YELLOW
- ORANGE or BROWN
- GREEN
- LIGHT GREEN
- BLUE
- LIGHT BLUE
- CYAN
- LIGHT CYAN
- MAGENTA
- LIGHT MAGENTA

Example: p11km profile (\$HOME/.p11km)

```
[p11km_cmd]
gui_fg_color = "RED"
gui_bg_color = "BLACK"
gui_vc_color = "WHITE"
```

Example: p11admin Profile (\$HOME/.p11admin)

```
[p11admin_cmd]
gui_fg_color = "BLUE"
gui_bg_color = "LIGHT GRAY"
gui_vc_color = "BLACK"
```

Batch processing

You can run the batch processing commands from the command line to perform the same tasks that are available in the GUI versions of the PKCS #11 tools.

The command format for the PKCS #11 Key Management tool (p11km) is as follows:

```
p11km -b <batchfile>
```

The command format for the PKCS #11 Key Administration tool (p11admin) is as follows:

```
p11admin -b <batchfile>
```

Because these tools use the OpenSSL library to parse the batch files, the format of the batch files follows the typical OpenSSL configuration file format. Each section is a separate command, and the attribute value pairs provide the information that is required for processing. Each section command is batch processed in order from top to bottom. If an individual batch command fails, an error is printed and batch processing terminates without processing the subsequent section commands.

The following is an example of the OpenSSL configuration file format.

```
[section1]
attribute1 = "value1"
attribute2 = "value2"
...
attributeN = "valueN"
```

```
[section2]
attribute1 = "value1"
attribute2 = "value2"
...
attributeN = "valueN"
...
...
[sectionN]
attribute1 = "value1"
attribute2 = "value2"
...
attributeN = "valueN"
```

To ensure that the PKCS #11 tool command sections coexist with the OpenSSL configuration file sections, use the following prefixes for the PKCS #11 sections:

p11km tool

p11km_cmd

p11admin tool

p11admin_cmd

Each p11km_cmd or p11admin_cmd section must contain only one action_name attribute with a string value that identifies a specific command associated with the section. The simplest example is a file that contains one command section that describes a command that does not have additional parameters. The following is an example of how to use the p11km tool to run a batch command that lists available PKCS #11 tokens on a system:

```
[p11km_cmd_list_my_tokens]
action_name="LIST_TOKENS"
```

Each batch command supports an optional boolean attribute:

```
start_gui="<boolean>"
```

If you run a batch command that contains the boolean attribute with a value of TRUE, the batch processing terminates after that command completes, and the GUI starts.

Note: If a batch file contains a command that includes the optional **start_gui** attribute, none of the batch commands that are listed after it are processed.

Batch commands

Batch commands provide command line access to the PKCS #11 tools.

The following batch commands are available in the PKCS #11 Key Management tool (p11km).

Note: To use the batch commands, do the following:

1. Create and edit a batch file as described in [“Batch processing” on page 186](#).
2. Create new p11km_cmd sections that contain the attributes for the batch commands that you want to use.

List available PKCS #11 tokens

Generates a report and displays token and slot information for the available PKCS #11 tokens.

Required attributes

```
action_name = "LIST_TOKENS"
```

Optional attributes

```
start_gui = "<boolean>"
```

Where <boolean> is either TRUE or FALSE

Example

```
[p11km_cmd_list_tokens]
action_name = "LIST_TOKENS"
```

List available PKCS#11 mechanisms

Generates a report and displays available PKCS #11 mechanisms that are supported by a specific PKCS #11 token (matched by specifying the driver and slot attribute values).

Required attributes

```
action_name = "LIST_MECHANISMS"
p11_driver = "<driver name>"
p11_slot = "<slot number>"
```

Where *<slot number>* is a positive integer value, and *<driver name>* is one of the following values:

Value	Description
AIX	AIX OS Cryptographic Framework
IBM_4758_4960	IBM 4758/4960 Cryptographic Hardware Adapters
IBM_4764	IBM 4764 Cryptographic Hardware Adapter
Other	If you specify OTHER, you must also specifying the p11_driver_path attribute.

Optional attributes

```
start_gui = "<boolean>"
```

Supplemental attributes

```
p11_driver_path = "<path to PKCS#11 driver>"
```

Where *<path to PKCS#11 driver>* is the full UNIX path and filename of the PKCS #11 library that is used for the command. This attribute can be specified only when the **p11_driver** attribute is set to OTHER.

Example

```
[p11km_cmd_list_4764_slot_0_mechs]
action_name = "LIST_MECHANISMS"
p11_driver = "IBM_4764"
p11_slot = "0"
start_gui = "TRUE"
```

List available PKCS #11 objects

Generates a report and displays available PKCS #11 objects that are supported by a PKCS #11 token (matched by specifying the driver and slot attribute values).

Required attributes

```
action_name = "LIST_OBJECTS"
p11_driver = "<driver name>"
p11_slot = "<slot number>"
```

Optional attributes

```
p11_login = "<boolean>"
p11_label = "<string>"
p11_class = "<PKCS#11 Object Class>"
p11_private = "<boolean>"
p11_trusted = "<boolean>"
p11_sensitive = "<boolean>"
start_gui = "<boolean>"
```

Where <PKCS#11 Object Class> is one of the following values as defined in the PKCS #11 specification from RSA:

```
CKO_DATA
CKO_CERTIFICATE
CKO_PUBLIC_KEY
CKO_PRIVATE_KEY
CKO_SECRET_KEY
CKO_HW_FEATURE
CKO_DOMAIN_PARAMETERS
CKO_MECHANISM
CKO_VENDOR_DEFINED
```

Example

```
[p11km_cmd_list_private_objs]
action_name = "LIST_OBJECTS"
p11_login = "TRUE"
p11_private = "TRUE"
p11_driver = "AIX"
p11_slot = "5"
```

Change PKCS #11 token user's PIN:

Changes a PKCS #11 token user's PIN that is used when logging into the token.

Required attributes

```
action_name = "CHANGE_USER_PIN"
p11_driver = "<driver name>"
p11_slot = "<slot number>"
```

Optional attributes

```
start_gui = "<boolean>"
```

Example

```
[p11km_cmd_change_my_pin]
action_name = "CHANGE_USER_PIN"
p11_slot = "1337"
p11_driver = "IBM_4764"
```

Delete PKCS #11 Objects

Deletes PKCS #11 objects. Objects are deleted based on the numbered list of the objects that result from running a **LIST_OBJECTS** command and using the same template with the following attributes:

```
p11_label = "<string>"
p11_class = "<PKCS#11 Object Class>"
p11_private = "<boolean>"
p11_trusted = "<boolean>"
p11_sensitive = "<boolean>"
p11_login = "<boolean>"
```



Attention: Because the token state and consistency are not maintained between batch processes, objects can be inadvertently deleted. The listed order of the objects changes if objects are added or deleted by other processes that are running against the same token between the time that an object is originally listed and the time that it is deleted.

Required attributes

```
action_name = "DELETE_OBJECTS"
p11_driver = "<driver name>"
p11_slot = "<slot number>"
p11_objects = "<CSV>"
```

Where <CSV> is either the word ALL (all of the token objects) or a comma-separated list of positive integer values that corresponds to the objects in numbered order of appearance by using the following optional attributes.

Optional attributes

```
p11_label = "<string>"
p11_class = "<PKCS#11 Object Class>"
p11_private = "<boolean>"
p11_trusted = "<boolean>"
p11_sensitive = "<boolean>"
p11_login = "<boolean>"
start_gui = "<boolean>"
```

Example

```
[p11km_cmd_delete_seven_objects]
action_name = "DELETE_OBJECTS"
p11_slot = "0"
p11_driver = "AIX"
p11_objects = "1,5,10,11,12,27,33"
p11_login = "TRUE"
```

Move PKCS #11 objects:

Moves PKCS #11 objects. Objects are moved based on the numbered list of the objects that result from running a **LIST_OBJECTS** command and using the same template.



Attention: Because the token state and consistency are not maintained between batch processes, objects can be inadvertently moved. The listed order of the objects changes if objects are added or deleted by other processes that are running against the same token between the time that an object is originally listed and the time that it is moved.

Required attributes

```
action_name = "MOVE_OBJECTS"
#####
##### Source Token Identification: #####
p11_driver = "<driver name>"
p11_slot = "<slot number>"
#####
##### Target Token Identification: #####
p11_driver_target = "<driver name>"
p11_slot_target = "<slot number>"
#####
##### Objects being moved to target: #####
p11_objects = "<CSV>"
```

Optional attributes

```
p11_label = "<string>"
p11_class = "<PKCS#11 Object Class>"
p11_private = "<boolean>"
p11_trusted = "<boolean>"
p11_sensitive = "<boolean>"
p11_login = "<boolean>"
start_gui = "<boolean>"
```

Example

```
[p11km_cmd_move_three_objects]
action_name = "MOVE_OBJECTS"
p11_slot = "0"
p11_slot_target = "1"
p11_driver = "AIX"
p11_driver_target = "AIX"
p11_objects = "15,20,60"
p11_login = "FALSE"
```

Copy PKCS #11 objects

Copies PKCS #11 objects. Objects are copied based on the numbered list of the objects that result from running a **LIST_OBJECTS** command and using the same template.



Attention: Because the token state and consistency are not maintained between batch processes, objects can be inadvertently copied. The listed order of the objects changes if objects are added or deleted by other processes that are running against the same token between the time that an object is originally listed and the time that it is copied.

Required attributes

```
action_name = "COPY_OBJECTS"  
p11_driver = "<driver name>"  
p11_slot = "<slot number>"  
p11_driver_target = "<driver name>"  
p11_slot_target = "<slot number>"  
p11_objects = "<CSV>"
```

Optional attributes

```
p11_label = "<string>"  
p11_class = "<PKCS#11 Object Class>"  
p11_private = "<boolean>"  
p11_trusted = "<boolean>"  
p11_sensitive = "<boolean>"  
p11_login = "<boolean>"  
start_gui = "<boolean>"
```

Example

```
[p11km_cmd_copy_one_private_object]  
action_name = "COPY_OBJECTS"  
p11_slot = "0"  
p11_slot_target = "1"  
p11_driver = "AIX"  
p11_driver_target = "AIX"  
p11_objects = "3"  
p11_login = "TRUE" ## REQUIRED FOR PRIVATE OBJECT MGT.
```

Export and backup PKCS #11 objects to a file

Exports and backs up PKCS #11 objects. Objects are exported and backed up based on the numbered list of the objects that result from running a **LIST_OBJECTS** command and using the same template.



Attention: Because the token state and consistency are not maintained between batch processes, objects can be inadvertently exported. The listed order of the objects changes if objects are added or deleted by other processes that are running against the same token between the time that an object is originally listed and the time that it is exported.

Required attributes

```
action_name = "EXPORT_OBJECTS"  
p11_driver = "<driver name>"  
p11_slot = "<slot number>"  
p11_object_file = "<file name>"  
p11_objects = "<CSV>"
```

Optional attributes

```
p11_label = "<string>"  
p11_class = "<PKCS#11 Object Class>"  
p11_private = "<boolean>"  
p11_trusted = "<boolean>"  
p11_sensitive = "<boolean>"  
p11_login = "<boolean>"  
start_gui = "<boolean>"
```

Example

```
[p11km_cmd_backup_objects]  
action_name = "EXPORT_OBJECTS"  
p11_slot = "0"  
p11_driver = "AIX"  
p11_objects = "ALL"  
p11_login = "TRUE"  
p11_object_file = "/home/user1/p11km.backup"
```

Import PKCS #11 objects from a file

Imports the PKCS #11 objects that were created from a PKCS #11 export file.

Required attributes

```
action_name = "IMPORT_OBJECTS"  
p11_driver = "<driver name>"  
p11_slot = "<slot number>"  
p11_object_file = "<file name>"
```

Optional attributes

```
p11_login = "<boolean>" # REQUIRED TO IMPORT ANY PRIVATE OBJECTS  
start_gui = "<boolean>"
```

Example

```
[p11km_cmd_import_my_backed_up_objects]  
action_name = "IMPORT_OBJECTS"  
p11_slot = "0"  
p11_driver = "AIX"  
p11_login = "TRUE"  
p11_object_file = "/home/user1/p11km.backup"
```

Create a self-signed certificate

Creates a self-signed X.509 certificate and the associated PKCS #11 objects on a PKCS #11 token.

Required attributes

```
action_name = "CREATE_SSC"  
p11_driver = "<driver name>"  
p11_slot = "<slot number>"  
p11_login = "TRUE"  
p11_ssc_label = "<string>"  
p11_ssc_config = "<openssl configuration file>"
```

Where *<openssl configuration file>* is the full UNIX path and filename of an OpenSSL configuration file that is populated with values that are used in creating the self-signed certificate.

Optional attributes

```
start_gui = "<boolean>"
```

Example

```
[p11km_cmd_self_signed_certificate]  
action_name = "CREATE_SSC"  
p11_slot = "0"  
p11_driver = "AIX"  
p11_login = "TRUE"  
p11_ssc_label = "Lab RADIUS Server"  
p11_ssc_config = "/etc/radius/EAP-TLS/openssl.cnf"
```

Create a PKCS #10 certificate signing request

Creates a PKCS #10 certification request or certificate signing request (CSR).

Required attributes

```
action_name = "CREATE_CSR"  
p11_driver = "<driver name>"  
p11_slot = "<slot number>"  
p11_login = "TRUE"  
p11_csr_label = "<string>"  
p11_csr_file = "<path to CSR output file>"  
p11_csr_type = "<DER or Base64>"  
p11_csr_config = "<openssl configuration file>"
```

Where *<DER or Base64>* either generates an ASN.1 (DER) encoded CSR output file or a Base64-encoded CSR output file and *<path to CSR output file>* refers to the full UNIX path and filename to the CSR output.

Optional attributes

```
start_gui = "<boolean>"
```

Example

```
[p11km_cmd_my_pkcs10_base64]
action_name = "CREATE_SSC"
p11_slot = "0"
p11_driver = "AIX"
p11_login = "TRUE"
p11_csr_label = "Lab RADIUS Server"
p11_csr_type = "Base64"
p11_csr_file = "/etc/radius/EAP-TLS/certreq.b64"
p11_csr_config = "/etc/radius/EAP-TLS/openssl.cnf"
```

The following batch commands are available in the PKCS #11 Administration tool (p11admin).

Note: To use the batch commands, do the following:

1. Create and edit a batch file as described in ["Batch processing"](#) on page 186.
2. Create new p11km_cmd sections that contain the attributes for the batch commands that you want to use.

List available PKCS #11 tokens

Generates a report and displays the token and slot information for the available PKCS #11 tokens.

Required attributes

```
action_name = "ADM_LIST_TOKENS"
```

Optional attributes

```
start_gui = "<boolean>"
```

Where *<boolean>* is either TRUE or FALSE

Example

```
[p11admin_cmd_list_tokens]
action_name = "ADM_LIST_TOKENS"
```

List available PKCS #11 mechanisms

Generates a report and displays the available PKCS #11 mechanisms that are supported by a PKCS #11 token (matched by specifying the driver and slot attribute values).

Required attributes

```
action_name = "ADM_LIST_MECHANISMS"
p11_driver = "<driver name>"
p11_slot = "<slot number>"
```

Where *<slot number>* is a positive integer value, and *<driver name>* is one of the following values:

Value	Description
AIX	AIX OS Cryptographic Framework
IBM_4758_4960	IBM 4758/4960 Cryptographic Hardware Adapters
IBM_4764	IBM 4764 Cryptographic Hardware Adapter
Other	If you specify OTHER, you must also specifying the p11_driver_path attribute.

Optional attributes

```
start_gui = "<boolean>"
```

Supplemental attributes

```
p11_driver_path = "<path to PKCS#11 driver>"
```

Where *<path to PKCS#11 driver>* is the full UNIX path and filename of the PKCS #11 library that is used for the command. This attribute can be specified only when the **p11_driver** attribute is set to OTHER.

Example

```
[p11admin_cmd_list_4764_slot_0_mechs]
action_name = "ADM_LIST_MECHANISMS"
p11_driver = "IBM_4764"
p11_slot = "0"
start_gui = "TRUE"
```

Display information for a PKCS #11 token

Displays the PKCS #11 token and slot information for a PKCS #11 token.

Required attributes

```
action_name = "ADM_SHOW_TOKEN_INFO"
p11_driver = "<driver name>"
p11_slot = "<slot number>"
```

Optional attributes

```
start_gui = "<boolean>"
```

Example

```
[p11admin_cmd]
action_name = "ADM_SHOW_TOKEN_INFO"
p11_slot = "411"
p11_driver = "IBM_4764"
```

Initialize a PKCS #11 token:

Initializes a PKCS #11 token. Initialization resets the token, erases all of the stored PKCS#11 objects and data, and allows the token to be relabeled.



Attention: Because all of the PKCS #11 objects and data are erased during the initialization process, ensure that you do not need the objects and data before you initialize a PKCS #11 token.

Required attributes

```
action_name = "ADM_INIT_TOKEN"
p11_driver = "<driver name>"
p11_slot = "<slot number>" ### SAME AS 'p11_init_slot'
p11_init_slot = "<slot number>" ### SAME AS 'p11_slot'
p11_init_label = "<string>" ### NEW TOKEN LABEL
```

Optional attributes

```
start_gui = "<boolean>"
```

Example

```
[p11admin_cmd]
action_name = "ADM_INIT_TOKEN"
p11_slot = "1"
p11_driver = "IBM_4764"
p11_init_slot = "1"
p11_init_label = "ABC Token"
```

View the clock for a PKCS #11 token

Displays the hardware clock for a PKCS #11 token if that token has a clock.

Required attributes

```
action_name = "ADM_CLOCK_VIEW"
p11_driver = "<driver name>"
p11_slot = "<slot number>"
```

Optional attributes

```
start_gui = "<boolean>"
```

Example

```
[p11admin_cmd]
action_name = "ADM_CLOCK_VIEW"
p11_slot = "1"
p11_driver = "IBM_4764"
```

Set the clock for a PKCS #11 token

Sets the hardware clock for a PKCS #11 token if that token has a clock.

Required attributes

```
action_name = "ADM_CLOCK_SET"
p11_driver = "<driver name>"
p11_slot = "<slot number>"
p11_clock_set = "<clock data>"
```

Where *<clock data>* is the current UTC date and time with the following format: HH:MM:SS mm-dd-YYYY.

Optional attributes

```
start_gui = "<boolean>"
```

Example

```
[p11admin_cmd]
action_name = "ADM_CLOCK_SET"
p11_slot = "1"
p11_driver = "IBM_4764"
p11_clock_set = "23:59:59 12-31-1999"
```

Reset the PIN for a PKCS #11 token user

Resets the PIN for a PKCS #11 token user.

Required attributes

```
action_name = "ADM_RESET_USER_PIN"
p11_driver = "<driver name>"
p11_slot = "<slot number>"
```

Optional attributes

```
start_gui = "<boolean>"
```

Example

```
[p11admin_cmd_change_so_pin]
action_name = "ADM_RESET_USER_PIN"
p11_driver = "AIX"
p11_slot = "0"
```

Change the PIN for PKCS #11 token security officer

Changes the PIN for a PKCS #11 token security officer. This PIN is used when token administration is performed.

Required attributes

```
action_name = "ADM_CHANGE_SO_PIN"
p11_driver = "<driver name>"
p11_slot = "<slot number>"
```

Optional attributes

```
start_gui = "<boolean>"
```

Example

```
[p11admin_cmd_change_so_pin]
action_name = "ADM_CHANGE_SO_PIN"
p11_slot = "888"
p11_driver = "IBM_4764"
```

Pluggable Authentication Modules

The pluggable authentication module (PAM) framework provides system administrators with the ability to incorporate multiple authentication mechanisms into an existing system through the use of pluggable modules.

Applications enabled to make use of PAM can be *plugged-in* to new technologies without modifying the existing applications. This flexibility allows administrators to do the following:

- Select any authentication service on the system for an application
- Use multiple authentication mechanisms for a given service
- Add new authentication service modules without modifying existing applications
- Use a previously entered password for authentication with multiple modules

The PAM framework consists of a library, pluggable modules, and a configuration file. The PAM library implements the PAM application programming interface (API) and serves to manage PAM transactions and invoke the PAM service programming interface (SPI) defined in the pluggable modules. Pluggable modules are dynamically loaded by the library based on the invoking service and its entry in the configuration file. Success is determined not only by the pluggable module but also by the behavior defined for the service. Through the concept of *stacking*, a service can be configured to authenticate through multiple authentication methods. If supported, modules can also be configured to use a previously submitted password rather than prompting for additional input.

The system administrator can configure an AIX system to use PAM through modification of the **auth_type** attribute in the usw stanza of the `/etc/security/login.cfg` file. Setting `auth_type = PAM_AUTH` configures PAM-enabled commands to invoke the PAM API directly for authentication rather than use the historic AIX authentication routines. This configuration is a run-time decision and does not require a reboot of the system to take affect. For further information about the **auth_type** attribute, see the `/etc/security/login.cfg` file reference. The following native AIX commands and applications have been modified to recognize the **auth_type** attribute and enabled for PAM authentication:

- **login**
- **passwd**
- **su**
- **ftp**
- **telnet**
- **rlogin**
- **rexec**
- **rsh**
- **snappd**
- **imapd**
- **dtaction**
- **dtlogin**
- **dtsession**

The following illustration shows the interaction between PAM-enabled applications, PAM library, configuration file, and PAM modules on a system that has been configured to use PAM. PAM enabled applications invoke the PAM API in the PAM library. The library determines the appropriate module to load based on the application entry in the configuration file and calls the PAM SPI in the module.

Communication occurs between the PAM module and the application through the use of a conversation function implemented in the application. Success or failure from the module and the behavior defined in the configuration file then determine if another module needs to be loaded. If so, the process continues; otherwise, the result is passed back to the application.

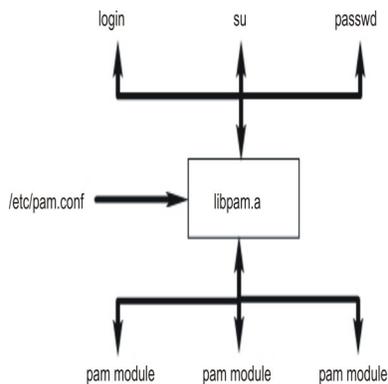


Figure 3. PAM Framework and Entities

PAM library

The PAM library, `/usr/lib/libpam.a`, contains the PAM API that serves as a common interface to all PAM applications and also controls module loading.

Modules are loaded by the PAM library based on the stacking behavior defined in the `/etc/pam.conf` file.

The following PAM API functions invoke the corresponding PAM SPI provided by a PAM module. For example, the `pam_authenticate` API invokes the `pam_sm_authenticate` SPI in a PAM module.

- [`pam_authenticate`](#)
- [`pam_setcred`](#)
- [`pam_acct_mgmt`](#)
- [`pam_open_session`](#)
- [`pam_close_session`](#)
- [`pam_chauthtok`](#)

The PAM library also includes several framework APIs that enable an application to invoke PAM modules and pass information to PAM modules. The following table shows the PAM framework APIs that are implemented in AIX and their functions:

PAM framework API	Function
<code>pam_start</code>	Establish a PAM session
<code>pam_end</code>	Terminate a PAM session
<code>pam_get_data</code>	Retrieve module-specific data
<code>pam_set_data</code>	Set module-specific data
<code>pam_getenv</code>	Retrieve the value of a defined PAM environment variable
<code>pam_getenvlist</code>	Retrieve a list of all of the defined PAM environment variables and their values
<code>pam_putenv</code>	Set a PAM environment variable
<code>pam_get_item</code>	Retrieve common PAM information
<code>pam_set_item</code>	Set common PAM information

PAM framework API

[pam_get_user](#)

[pam_strerror](#)

Function

Retrieve user name

Get PAM standard error message

PAM modules

PAM modules allow multiple authentication mechanisms to be used collectively or independently on a system.

A given PAM module must implement at least one of four module types. The module types are described as follows, along with the corresponding PAM SPIs that are required to conform to the module type.

Authentication Modules

Authenticate users and set, refresh, or destroy credentials. These modules identify user based on their authentication and credentials.

Authentication module functions:

- [pam_sm_authenticate](#)
- [pam_sm_setcred](#)

Account Management Modules

Determine validity of the user account and subsequent access after identification from authentication module. Checks performed by these modules typically include account expiration and password restrictions.

Account management module function:

- [pam_sm_acct_mgmt](#)

Session Management Modules

Initiate and terminate user sessions. Additionally, support for session auditing may be provided.

Session management module functions:

- [pam_sm_open_session](#)
- [pam_sm_close_session](#)

Password Management Modules

Perform password modification and related attribute management.

Password management module functions:

- [pam_sm_chauthtok](#)

PAM configuration file

The `/etc/pam.conf` configuration file consists of service entries for each PAM module type and serves to route services through a defined module path.

Entries in the file are composed of the following whitespace-delimited fields:

```
service_name module_type control_flag module_path module_options
```

The descriptions of these fields follow:

service_name

Specifies the name of the service. The keyword OTHER is used to define the default module to use for applications that are not specified in an entry.

module_type

Specifies the module type for the service. Valid module types are auth, account, session, or password. A given module will provide support for one or more module types.

control_flag

Specifies the stacking behavior for the module. Supported control flags are required, requisite, sufficient, or optional.

module_path

Specifies the module to load for the service. Valid values for *module_path* can be specified as either the full path to the module or just the module name. If the full path to the module is specified, the PAM library uses that *module_path* to load for 32-bit services or uses 64 subdirectory for 64-bit services. If the full path to the module is not specified, the PAM library adds the prefix `/usr/lib/security` (for 32-bit services) or `/usr/lib/security/64` (for 64-bit services) to the module name.

module_options

Specifies a space-delimited list of options that can be passed to the service modules. Values for this field are dependent on the options supported by the module defined in the *module_path* field. This field is optional.

Malformed entries or entries with incorrect values for the **module_type** or **control_flag** fields are ignored by the PAM library. Entries beginning with a number sign (#) character at the beginning of the line are also ignored because this denotes a comment.

PAM supports a concept typically referred to as "stacking", allowing multiple mechanisms to be used for each service. Stacking is implemented in the configuration file by creating multiple entries for a service with the same **module_type** field. The modules are invoked in the order in which they are listed in the file for a given service, with the final result determined by the **control_flag** field specified for each entry. Valid values for the **control_flag** field and the corresponding behavior in the stack are as follows:

Value for the control_flag field

Behavior

required	All required modules in a stack must pass for a successful result. If one or more of the required modules fail, all of the required modules in the stack will be attempted, but the error from the first failed required module is returned.
requisite	Similar to required except that if a requisite module fails, no further modules in the stack are processed and it immediately returns the first failure code from a required or requisite module.
sufficient	If a module flagged as sufficient succeeds and no previous required or sufficient modules have failed, all remaining modules in the stack are ignored and success is returned.
optional	If none of the modules in the stack are required and no sufficient modules have succeeded, then at least one optional module for the service must succeed. If another module in the stack is successful, a failure in an optional module is ignored.

The following `/etc/pam.conf` subset is an example of stacking in the `auth` module type for the `login` service.

```
#
# PAM configuration file /etc/pam.conf
#

# Authentication Management
login  auth    required    /usr/lib/security/pam_ckfile    file=/etc/nologin
login  auth    required    /usr/lib/security/pam_aix
login  auth    optional   /usr/lib/security/pam_test     use_first_pass
OTHER  auth    required    /usr/lib/security/pam_prohibit
```

The example of configuration file contains three entries for the `login` service. Having specified both `pam_ckfile` and `pam_aix` as required, both modules will be run and both must be successful for the overall result to be successful. The third entry for the fictitious `pam_test` module is optional and its

success or failure will not affect whether the user is able to login. The option `use_first_pass` to the `pam_test` module requires that a previously entered password be used instead of prompting for a new one.

Use of the `OTHER` keyword as a service name enables a default to be set for any other services that are not explicitly declared in the configuration file. Setting up a default ensures that all cases for a given module type will be covered by at least one module. In the case of this example, all services other than login will always fail since the `pam_prohibit` module returns a PAM failure for all invocations.

pam_aix module

The `pam_aix` module is a PAM module that provides PAM-enabled applications access to AIX security services by providing interfaces that call the equivalent AIX services where they exist.

These services are in turn performed by a loadable authentication module or the AIX built-in function based on the user's definition and the corresponding setup in the `methods.cfg` file. Any error codes generated during execution of an AIX service are mapped to the corresponding PAM error code.

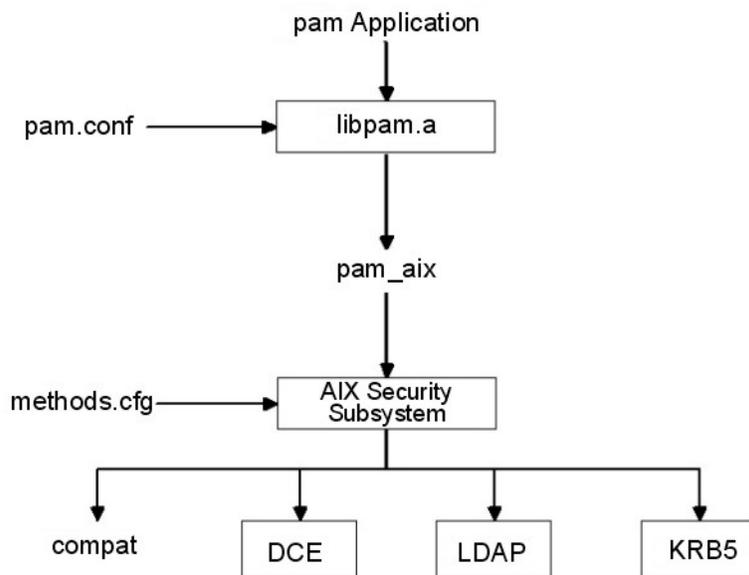


Figure 4. PAM Application to AIX Security Subsystem Path

This illustration shows the path that a PAM application API call will follow if the `/etc/pam.conf` file is configured to make use of the `pam_aix` module. As shown in the diagram, the integration allows users to be authenticated by any of the loadable authentication modules (DCE, LDAP, or KRB5) or in AIX files (`compat`).

The `pam_aix` module is installed in the `/usr/lib/security` directory. Integration of the `pam_aix` module requires that the `/etc/pam.conf` file be configured to make use of the module. Stacking is still available but is not shown in the following example of the `/etc/pam.conf` file:

```

#
# Authentication management
#
OTHER auth required /usr/lib/security/pam_aix

#
# Account management
#
OTHER account required /usr/lib/security/pam_aix

#
# Session management
#
OTHER session required /usr/lib/security/pam_aix

#
# Password management

```

```
#
OTHER password required /usr/lib/security/pam_aix
```

The pam_aix module has implementations for the pam_sm_authenticate, pam_sm_chauthok and pam_sm_acct_mgmt SPI functions. The pam_sm_setcred, pam_sm_open_session, and pam_sm_close_session SPI are also implemented in the pam_aix module, but these SPI functions return PAM_SUCCESS invocations.

The following is an approximate mapping of PAM SPI calls to the AIX security subsystem:

PAM SPI	AIX
=====	=====
pam_sm_authenticate	--> authenticate
pam_sm_chauthtok	--> passwdexpired, chpass Note: passwdexpired is only checked if the PAM_CHANGE_EXPIRED_AUTHOK flag is passed in.
pam_sm_acct_mgmt	--> loginrestrictions, passwdexpired
pam_sm_setcred	--> No comparable mapping exists, PAM_SUCCESS returned
pam_sm_open_session	--> No comparable mapping exists, PAM_SUCCESS returned
pam_sm_close_session	--> No comparable mapping exists, PAM_SUCCESS returned

Data intended to be passed to the AIX security subsystem can be set using either the pam_set_item function prior to module use, or the pam_aix module for data if it does not already exist.

PAM loadable authentication module

AIX security services can be configured to call PAM modules through the use of the existing AIX loadable authentication module framework.

Note: Before AIX 5.3, the PAM loadable authentication module was used to provide PAM authentication to native AIX applications. Due to differences in the behavior between this solution and a true PAM solution, the PAM loadable authentication module is no longer the recommended means to provide PAM authentication to native AIX applications. Instead, the auth_type attribute in the usw stanza of /etc/security/login.cfg should be set to PAM_AUTH to enable PAM authentication in AIX. For more information on the auth_type attribute, see /etc/security/login.cfg. Use of the PAM loadable authentication module is still supported, but it is deprecated. You should use the auth_type attribute to enable PAM authentication.

When the /usr/lib/security/methods.cfg file is set up correctly, the PAM load module routes AIX security services (passwd, login, and so on) to the PAM library. The PAM library checks the /etc/pam.conf file to determine which PAM module to use and then makes the corresponding PAM SPI call. Return values from PAM are mapped to AIX error codes and returned to the calling program.

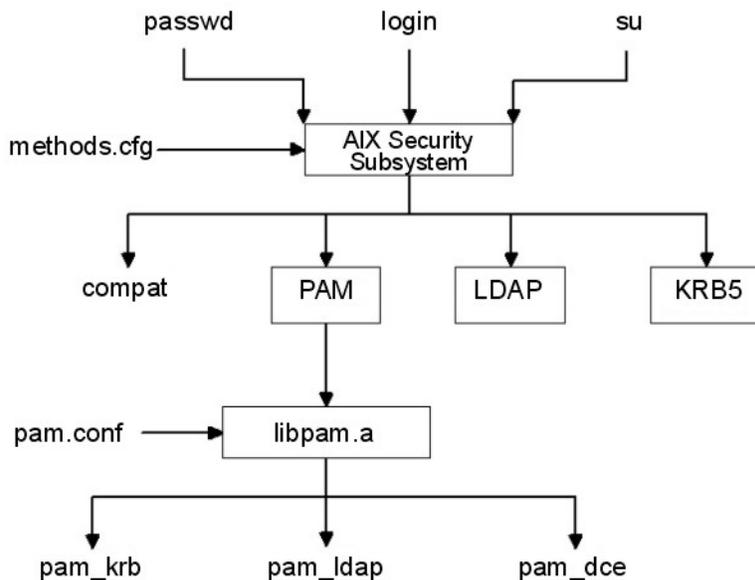


Figure 5. AIX Security Service to PAM Module Path

This illustration shows the path that an AIX security service call takes when PAM is configured correctly. The PAM modules shown (pam_krb, pam_ldap, and pam_dce) are listed as examples of third-party solutions.

The PAM load module is installed in the `/usr/lib/security` directory and is an authentication-only module. The PAM module must be combined with a database to form a compound load module. The following example shows the stanzas that could be added to the `methods.cfg` file to form a compound PAM module with a database called `files`. The `BUILTIN` keyword for the `db` attribute designates the database as UNIX files.

```
PAM:
    program = /usr/lib/security/PAM

PAMfiles:
    options = auth=PAM,db=BUILTIN
```

Creating and modifying users is then performed by using the `-R` option with the administration commands and by setting the `SYSTEM` attribute when a user is created. For example:

```
mkuser -R PAMfiles SYSTEM=PAMfiles registry=PAMfiles pamuser
```

This action informs further calls to AIX security services (login, passwd, and so on) to use the PAM load module for authentication. While the **files** database was used for the compound module in this example, other databases, such as LDAP, can also be used if they are installed. Creating users as previously described will result in the following mapping of AIX security to PAM API calls:

AIX		PAM API
=====		=====
authenticate	-->	pam_authenticate
chpasswd	-->	pam_chauthtok
passwdexpired	-->	pam_acct_mgmt
passwdrestrictions	-->	No comparable mapping exists, success returned

Customizing the `/etc/pam.conf` file allows the PAM API calls to be directed to the desired PAM module for authentication. To further refine the authentication mechanism, stacking can be implemented.

Data prompted for by an AIX security service is passed to PAM through the `pam_set_item` function because it is not possible to accommodate user dialog from PAM. PAM modules written for integration with the PAM module should retrieve all data with `pam_get_item` calls and should not attempt to prompt the user to input data because this is handled by the security service.

Loop detection is provided to catch possible configuration errors in which an AIX security service is routed to PAM and then a PAM module in turn attempts to call the AIX security service to perform the operation. Detection of this loop event will result in an immediate failure of the intended operation.

Note: The `/etc/pam.conf` file should *not* be written to make use of the `pam_aix` module when using PAM integration from an AIX security service to a PAM module because this will result in a loop condition.

Adding a PAM module

You can add a PAM module to enable multiple authentication mechanisms.

1. Place the 32-bit version of the module in the `/usr/lib/security` directory and the 64-bit version of the module in `/usr/lib/security/64` directory.
2. Set file ownership to `root` and permissions to `555`.
The PAM library does not load any module not owned by the root user.
3. Update the `/etc/pam.conf` configuration file to include the module in entries for the desired service names.
4. Test the affected services to ensure their functionality.
Do not log off the system until a login test has been performed.

Changing the /etc/pam.conf file

There are a few things you should consider before changing the /etc/pam.conf file.

When changing the /etc/pam.conf configuration file, consider the following requirements:

- The file should always be owned by the root user and group security. Permission on the file needs to be 644 to allow everyone read access but only allow root to modify.
- For greater security, consider explicitly configuring each PAM-enabled service and then using the `pam_prohibit` module for the OTHER service keyword.
- Read any documentation supplied for a chosen module, and determine which control flags and options are supported and what their impact will be.
- Select the ordering of modules and control flags carefully, keeping in mind the behavior of required, requisite, sufficient, and optional control flags in stacked modules.

Note: Incorrect configuration of the PAM configuration file can result in a system that cannot be logged in to since the configuration applies to all users including root. After making changes to the file, always test the affected applications before logging out of the system. A system that cannot be logged in to can be recovered by booting the system in maintenance mode and correcting the /etc/pam.conf configuration file.

Enabling PAM debug

The Pluggable Authentication Modules (PAM) library can provide debug information during execution. After enabling the system to collect debug output, the information gathered can be used to track PAM API calls and determine failure points in the current PAM setup.

To enable PAM debug output, complete the following steps:

1. Create an empty file named `pam_debug` in the /etc directory by using the **touch /etc/pam_debug** command, if the file does not exist. The PAM library checks for the /etc/pam_debug file and enables syslog output if it is found.
2. Edit the /etc/syslog.conf file to identify a file where it will log the auth syslog messages at the priority level you want. For example, to send PAM debug-level messages to the /var/log/auth.log file, add the following text as a new line in the syslog.conf file:

```
*.debug /var/log/auth.log
```

3. Create the output file that was referred to in step 2, /var/log/auth.log, by using the **touch** command, if it does not exist.
4. To restart the syslogd daemon so that configuration changes are recognized, complete the following steps:
 - a. Stop the syslog daemon by entering the following command:

```
stopsysrc -s syslogd
```

- b. Start the syslog daemon by entering the following command:

```
startsysrc -s syslogd
```

When the PAM application is restarted, debug messages are collected in the output file that is defined in the /etc/syslog.conf configuration file.

OpenSSH and Kerberos Version 5 support

Kerberos is an authentication mechanism that provides a secure means of authentication for network users. It prevents transmission of clear text passwords over the network by encrypting authentication

messages between clients and servers. In addition, Kerberos provides a system for authorization in the form of administering tokens, or credentials.

To authenticate a user using Kerberos, the user runs the **init** command to gain initial credentials from a central Kerberos server known as the KDC (Key Distribution Center). The KDC verifies the user and passes back to the user his initial credentials, known as a TGT (Ticket-Granting Ticket). The user can then start a remote login session using a service such as a Kerberos-enabled Telnet or OpenSSH, and Kerberos authenticates the user by gaining user credentials from the KDC. Kerberos performs this authentication without any need for user interaction, therefore users do not need to enter passwords to login. IBM's version of Kerberos is known as Network Authentication Service (NAS). NAS can be installed from the AIX Expansion Pack CDs. It is available in the `krb5.client.rte` and `krb5.server.rte` packages. Beginning in the July 2003 release of OpenSSH 3.6, OpenSSH supports Kerberos 5 authentication and authorization through NAS version 1.3.

OpenSSH version 3.8 and later supports Kerberos 5 authentication and authorization through NAS Version 1.4. Any migration from previous versions of NAS (Kerberos) needs to happen before updating OpenSSH. OpenSSH version 3.8.x will only work with NAS version 1.4 or later.

AIX has created OpenSSH with Kerberos authentication as an optional method. If the Kerberos libraries are not installed on the system, when OpenSSH runs Kerberos authentication is skipped and OpenSSH tries the next configured authentication method (such as AIX authentication).

After you install Kerberos, it is recommended that you read the Kerberos documentation before configuring the Kerberos servers. For more information about how to install and administer Kerberos, refer to the *IBM Network Authentication Service Version 1.3 for AIX : Administrator's and User's Guide* located in the `/usr/lpp/krb5/doc/html/lang/ADMININGD.htm` path.

Related information

[OpenSSH](#)

OpenSSH images

Use the following steps to install the OpenSSH images:

1. Go to the [AIX Web Download Pack Programs](#) website.

Note: The OpenSSH image is shipped as part of the AIX base media but the image is not installed by default.

2. Click **Downloads** in the Additional information section.
3. Log in by using your ID and password to access the available packages.
4. Select **OpenSSH** and click **Continue**.
5. Accept the license agreement to download the package.
6. Extract the image package using the **uncompress** *packagename* command. For example:

```
uncompress OpenSSH_6.0.0.6203.tar.Z
```

7. Untar the package with the **tar -xvf** *packagename* command. For example:

```
tar -xvf OpenSSH_6.0.0.6203.tar
```

8. Run the **inutoc** command.
9. Run the **smitty install** command.
10. Select **Install and Update Software**.
11. Select **Update Installed Software to Latest Level (Update All)**.
12. Type a dot (.) in the field for **INPUT device / directory for software** and press Enter.
13. Scroll down to **ACCEPT new license agreements** and press the Tab key to change the field to **Yes**.
14. Press the Enter key twice to start the installation.

The OpenSSH images are base level images, not Program Temporary Fixes (PTFs). Upon installation, all of the previous code of the previous version is overwritten with the images of the new version.

Configuration of OpenSSH compilation

The following information discusses how the OpenSSH code is compiled for AIX.

When configuring OpenSSH for AIX Version 6.1 the output is similar to the following:

```
OpenSSH has been configured with the following options:
  User binaries: /usr/bin
  System binaries: /usr/sbin
  Configuration files: /etc/ssh
  Askpass program: /usr/sbin/ssh-askpass
  Manual pages: /usr/man
  PID file: /etc/ssh
Privilege separation chroot path: /var/empty
  sshd default user PATH: /usr/bin:/bin:/usr/sbin:/sbin:/usr/
  local/bin

  Manpage format: man
  PAM support: yes
  OSF SIA support: no
  KerberosV support: yes
  Smartcard support: no
  SELinux support: no
  S/KEY support: no
  TCP Wrappers support: yes
  MD5 password support: no
  libedit support: no
Solaris process contract support: no
  Solaris project support: no
  IP address in $DISPLAY hack: no
  Translate v4 in v6 hack: no
  BSD Auth support: no
  Random number source: OpenSSL internal ONLY

  Host: powerpc-ibm-aix6.1.0.0
  Compiler: cc
  Compiler flags: -bloadmap:file -qnostdinc -qnoilm -qolist -qsource -qattr=full
  Preprocessor flags: -I/gsa/ausgsa/projects/o/openssh/freeware5/openssl-0.9.8r/
  include -I/gsa/ausgsa/projects/o/openssh/zlib -I/usr/include

  Linker flags: -L/gsa/ausgsa/projects/o/openssh/freeware5/
  lib -L/gsa/ausgsa/projects/o/openssh/zlib -L/usr/include
  -Wl,-bllibpath:/usr/lib:/lib
  Libraries: -lcrypto -lz -lc -lcrypt -lefs -lwrap -lpam -ldl
```

Note: The compilation option for AIX Version 6.1 and AIX Version 7.1 are similar because the binary for both the versions are the same.

Using OpenSSH with Kerberos

Some initial setup is required to use OpenSSH with Kerberos.

The following steps provide information on the initial setup that is required in order to use OpenSSH with Kerberos:

1. On your OpenSSH clients and servers, the `/etc/krb5.conf` file must exist. This file tells Kerberos which KDC to use, how long of a lifetime to give each ticket, and so on. The following is an example `krb5.conf` file:

```
[libdefaults]
ticket_lifetime = 600
default_realm = OPENSSSH.AUSTIN.XYZ.COM
default_tkt_enctypes = des3-hmac-sha1 des-cbc-crc
default_tgs_enctypes = des3-hmac-sha1 des-cbc-crc

[realms]
OPENSSSH.AUSTIN.xyz.COM = {
  kdc = kerberos.austin.xyz.com:88
  kdc = kerberos-1.austin.xyz.com:88
  kdc = kerberos-2.austin.xyz.com:88
  admin_server = kerberos.austin.xyz.com:749
  default_domain = austin.xyz.com
}
```

```
[domain_realm]
.austin.xyz.com = OPENSsh.AUSTIN.XYZ.COM
kdc.austin.xyz.com = OPENSsh.AUSTIN.XYZ.COM
```

2. Also, you must add the following Kerberos services to each client machine's `/etc/services` file:

```
kerberos      88/udp      kdc      # Kerberos V5 KDC
kerberos      88/tcp      kdc      # Kerberos V5 KDC
kerberos-adm  749/tcp    # Kerberos 5 admin/changepw
kerberos-adm  749/udp    # Kerberos 5 admin/changepw
krb5_prop     754/tcp    # Kerberos worker
              # propagation
```

3. If your KDC is using LDAP as the registry to store user information, read [“LDAP authentication load module” on page 153](#), and the Kerberos publications. Furthermore, make sure the following actions are performed:

- KDC is running the LDAP client. You can start the LDAP client daemon with the **secldapclntd** command.
- LDAP server is running the `slapd` LDAP server daemon.

4. On the OpenSSH server, edit the `/etc/ssh/sshd_config` file to contain the lines:

```
KerberosAuthentication yes
KerberosTicketCleanup yes
GSSAPIAuthentication yes
GSSAPICleanupCredentials yes
UseDNS yes
```

If `UseDNS` is set to **Yes**, the ssh server does a reverse host lookup to find the name of the connecting client. This is necessary when host-based authentication is used or when you want last login information to display host names rather than IP addresses.

Note: Some ssh sessions stall when performing reverse name lookups because the DNS servers are unreachable. If this happens, you can skip the DNS lookups by setting `UseDNS` to `no`. If `UseDNS` is not explicitly set in the `/etc/ssh/sshd_config` file, the default value is `UseDNS yes`.

5. On the SSH server, run the **startsrc -g ssh** command to start the ssh server daemon.
6. On the SSH client machine, run the **kinit** command to gain initial credentials (a TGT). You can verify that you received a TGT by running the **klist** command. This shows all credentials belonging to you.
7. Connect to the server by running the **ssh username@servername** command.
8. If Kerberos is properly configured to authenticate the user, a prompt for a password will not display, and the user will be automatically logged into the SSH server.

Encrypted logical volumes

To protect business and personal data, starting with IBM AIX 7.2 with Technology Level 5, the Logical Volume Manager (LVM) supports the data encryption at the logical volume (LV) level. By using this feature, you can encrypt the data at rest to protect data exposure due to lost or stolen hard disk drives or inappropriately decommissioned computers. The term data at rest refers to inactive data that is stored physically in any digital form.

Each LV is encrypted with a unique key. The logical volume data is encrypted before the data is written to the physical volume. This data is decrypted when it is read from the physical volume. By default, data encryption is not enabled in logical volumes. The data encryption option must be enabled at the volume group level before you enable the data encryption option at the logical volume level.

The LV encryption creates one data encryption key for each logical volume. The data encryption key is protected by storing the keys separately in other data storage devices. The following types of key protection methods are supported:

- Paraphrase
- Key file
- Cryptographic key server

- Platform keystore (PKS) (available in IBM PowerVM® firmware of the IBM Power® System FW950)

The following sections describe the LV encryption feature in detail:

- [“Advantages of LV encryption” on page 207](#)
- [“LV encryption commands” on page 208](#)
- [“Prerequisites for using LV encryption” on page 209](#)
- [“Creating and authenticating an encrypted logical volume” on page 209](#)
- [“Adding the platform keystore \(PKS\) authentication method” on page 211](#)
- [“Adding the key server authentication method” on page 212](#)
- [“Adding key file authentication method” on page 213](#)
- [“Adding passphrase authentication method” on page 214](#)
- [“Migrating the PKS to another LPAR before the volume group is migrated” on page 214](#)
- [“Changing the encryption policy of the volume group” on page 215](#)
- [“Changing the encryption policy of the logical volume” on page 215](#)
- [“Best practices” on page 216](#)
- [“Limitations of LV encryption” on page 216](#)
- [“File system consideration for LV encryption” on page 216](#)

Advantages of LV encryption

Encrypted file system (EFS) provides data encryption at a file system level. The EFS manages the data encryption key at a file level and protects the data encryption key for each user. If you want to avoid the complexity of fine granular control of file system encryption and selective file encryption, you can choose logical volume encryption of data that has the following advantages:

- The data owner controls the encryption keys.
- The data that is transmitted over the network (Fibre Channel or Ethernet) are encrypted and protected. These characteristics are important for virtual servers that are hosted in the cloud environment.

For more information about the LV encryption architecture, see the blog: [AIX 72 TL5: Logical Volume Encryption](#)

LV encryption enhancements

Starting from AIX 7.3, the following enhancements are added to the LV encryption function:

- You can encrypt LVs in the root volume group (rootvg) that are used in the boot process. The LV encryption option must be selected during the installation of the base operating system. For more information, see [BOS installation options](#).
- After you install the base operating system, you can use the **hdcryptmgr** conversion commands to change the encryption setting of an LV. However, the conversion of an LV in the rootvg is different from the conversion of an LV in a user volume group. When you run the **hdcryptmgr** conversion command to change the encryption status of an LV in a rootvg, the **hdcryptmgr** command creates an LV to store the conversion recovery data. When you run the **hdcryptmgr** conversion command to change the encryption status of an LV in a user volume group, the **hdcryptmgr** command stores the conversion recovery data in a file that is in the `/var/hdcrypt` directory. Therefore, the rootvg must have at least one free logical partition for successful conversion. When the conversion status of the encryption is successful, the LV that contains the conversion recovery data is deleted.
- When the rootvg is varied on, the network is not available. Hence, the platform keystore (PKS) authentication method must be available for LVs that are used in the boot process. If the PKS authentication method is not available for an encrypted LV in the rootvg, the LV remains locked and thus not accessible until it is explicitly unlocked later. Also, you cannot delete a valid PKS authentication method from an LV in the rootvg that is used in the boot process. If you convert an unencrypted LV, which is used in the boot process, to an encrypted LV, the PKS authentication method is automatically added to the LV. If the PKS authentication method is not available or is

corrupted for an encrypted LV that is used in the boot process, you must boot the operating system in maintenance mode and repair the PKS authentication method before you can resume the normal boot operation.

- The following commands are enhanced to support LV encryption: **cplv**, **splitvg**, **splitlvcopy**, **chlvcopy**, **snapshot**, **savevg**, and **restvg**.
- You can encrypt an LV in concurrent mode. If you change the encryption status of an LV in a node that is in concurrent mode, you cannot access the other nodes until the encryption conversion is complete.
- AIX 7.3 TL1 supports Hyper Protect Crypto Services (HPCS) for AIX logical volume encryption. To use HPCS with AIX, you must provision Power Systems Virtual Server. The **keysvrmgr** command provides options to manage the integration.

LV encryption commands

You can use the following commands to manage encryption keys and key server information:

hdcryptmgr command

The **hdcryptmgr** utility manages the encrypted LVs that includes the tasks such as displaying logical volume and volume encryption information, controlling authentication, and many other functions. The utility and its help messages are built in a hierarchical and self-explanatory manner. The following snippet shows a summary of the command usage. For a detailed manual page, see **hdcryptmgr** command.

```
# hdcryptmgr -h
Usage: hdcryptmgr <action> <..options..>

Display :
showlv      : Displays LV encryption status
showvg      : Displays VG encryption capability
showpv      : Displays PV encryption capability
showmd      : Displays encryption metadata related to device
showconv    : Displays status of all active and stopped conversions

Authentication control :
authinit    : Initializes master key for data encryption
authunlock  : Authenticates to unlock master key of the device
authadd     : Adds additional authentication methods
authcheck   : Checks validity of an authentication method
authdelete  : Removes an authentication method
authsetrvgpwd : Adds "initpwd" passphrase method to all rootvg's LVs

PKS management :
pklexport   : Import the PKS keys
pksexport   : Export the PKS keys
pksclean    : Removes a PKS key
pksshow     : Displays PKS keys status

Conversion :
plain2crypt : Converts a LV to encrypted
crypt2plain : Converts a LV to not encrypted

PV encryption management :
pvenable    : Enables the Physical Volume Encryption
pvdisable   : Disables the Physical Volume Encryption
pvsavemd    : Save encrypted physical volume metadata to a file
pvrecovmd   : Recover encrypted physical volume metadata from a file
```

keysvrmgr command

For the key server method, you can use the **keysvrmgr** utility to manage Object Data Manager (ODM) entries that are associated with the key server information such as the key server hostname or IP address, the connection port, and certification location. The following snippet shows a summary of the command usage. For a detailed manual page, see **keysvrmgr** command.

```
# keysvrmgr -h
Usage: keysvrmgr <action> [-h] -t <server_type> <options> server_name
Manage ODM data for key server and HPCS.
```

```

<action> is one of the following:
add      : Add a new key server or HPCS to ODM.
modify   : Modify a key server or HPCS ODM record.
remove   : Remove a keyserver or HPCS ODM record.
show     : Display key server or HPCS ODM records.
verify   : Verify a HPCS ODM record (HPCS only).
rekey    : Generate a new API key for a HPCS ODM record (HPCS only).

<server_type> is one of the following:
keyserv  : For (KMIP compliant) key management server.
hpcs     : For IBM Cloud Hyper Protect Crypto Services.

For more details on <options> run : keysvmgr <action> -h

```

Prerequisites for using LV encryption

- Use AIX 7.2.5 or later to encrypt a logical volume.
- The following fileset must be installed to encrypt the LV data. These filesets are included in the base operating system.
 - bos.hdcrypt
 - bos.kmip_client
 - bos.rte.lvm
 - security.acf
 - openssl.base
 - oss.lib.libcurl
 - oss.lib.libjson-c

Notes:

1. The bos.hdcrypt and bos.kmip_client filesets are not installed automatically when you run the **smit update_all** command or during an operating system migration operation. You must install it separately from your software source such as a DVD or an ISO image.
2. The security.acf fileset is a dependency for some filesets. The previous levels of the security.acf fileset shipped security.acf.pre_d script and the script runs when you execute an uninstallation process or preview the uninstallation process. The security.acf.pre_d script stops the **ssh** daemon during the preview of uninstallation. If the /usr/lpp/security.acf/deinstl/security.acf.pre_d script exists on the system, it is recommended to manually remove the script from the system before performing the uninstall preview.

Creating and authenticating an encrypted logical volume

To create an encrypted logical volume, complete the following procedures:

1. Create an encryption-enabled volume group.
2. Create an encryption-enabled logical volume.
3. Authenticate the primary encryption key of the logical volume.

Create an encryption-enabled volume group

To create an encryption-enabled volume group, complete the following steps:

1. Create a volume group in which the data encryption option is enabled by running the following command:

```
mkvg -f -y testvg -k y hdisk2
```

where **testvg** is the name of the new volume group, **hdisk2** is the physical volume that is used for the volume group.

2. Check the details of the new volume group by running the following command:

```
# lsvg testvg

VOLUME GROUP:      testvg          VG IDENTIFIER: 00fb294400004c00000000176437c6663
VG STATE:          active
VG PERMISSION:    read/write
MAX LVs:          256
LVs:              0
OPEN LVs:         0
TOTAL PVs:        1
STALE PVs:        0
ACTIVE PVs:       1
MAX PPs per VG:   32512
MAX PPs per PV:   1016
LTG size (Dynamic): 512 kilobyte(s)
HOT SPARE:         no
PV RESTRICTION:   none
DISK BLOCK SIZE:  512
FS SYNC OPTION:   no
ENCRYPTION:       yes

PP SIZE:          8 megabyte(s)
TOTAL PPs:        637 (5096 megabytes)
FREE PPs:         637 (5096 megabytes)
USED PPs:         0 (0 megabytes)
QUORUM:           2 (Enabled)
VG DESCRIPTORS:   2
STALE PPs:        0
AUTO ON:          yes

MAX PVs:          32
AUTO SYNC:        no
BB POLICY:        relocatable
INFINITE RETRY:   no
CRITICAL VG:      no
CRITICAL PVs:     no
```

3. Check the encryption state of varied on volume groups by running the following command:

```
# hdcryptmgr showvg

VG NAME / ID      ENCRYPTION ENABLED
testvg           yes
rootvg            no
```

4. Check the volume group encryption metadata by running the following command:

```
# hdcryptmgr showmd testvg

.....
..... Mon Dec 7 21:19:00 2020
..... Device type : VG
..... Device name : testvg
.....
===== B: VG HEADER =====
Version           : 0
Timestamp         : Mon Dec 7 21:16:04 2020
Default data crypto algorithm: AES_XTS
Default MasterKey size : 16 bytes
Auto-auth (during varyonvg) : Enabled
===== E: VG HEADER =====
===== B: VG TRAILER =====
Timestamp         : Mon Dec 7 21:16:04 2020
===== E: VG TRAILER =====
```

Create an encryption-enabled logical volume

To create an encryption-enabled logical volume, complete the following steps:

1. Create a logical volume in which the data encryption option is enabled by running the following command:

```
# mklv -k y -y testlv testvg 10
testlv
mklv: Please run :
hdcryptmgr authinit lvname [...] to define LV encryption options.
```

2. Check the details of the new volume group by running the following command:

```
# lslv testlv

LOGICAL VOLUME:      testlv          VOLUME GROUP:      testvg
LV IDENTIFIER:      00fb294400004c00000000176437c6663.1 PERMISSION:         read/write
VG STATE:           active/complete LV STATE:          closed/syncd
TYPE:              jfs
MAX LPs:           512
COPIES:            1
LPs:               10
STALE PPs:         0
INTER-POLICY:      minimum
INTRA-POLICY:      middle
MOUNT POINT:       N/A
MIRROR WRITE CONSISTENCY: on/ACTIVE
EACH LP COPY ON A SEPARATE PV ?: yes
Serialize IO ?:    NO

WRITE VERIFY:       off
PP SIZE:            8 megabyte(s)
SCHD POLICY:        parallel
PPs:               10
BB POLICY:          relocatable
RELOCATABLE:        yes
UPPER BOUND:        32
LABEL:              None
```

```
INFINITE RETRY:    no
ENCRYPTION:    yes
PREFERRED READ: 0
```

3. Check the authentication state of the logical volume by running the following command:

```
# hdcryptmgr showlv testlv
LV NAME    CRYPTO ENABLED  AUTHENTICATED  ENCRYPTION (%)  CONVERSION
testlv     yes             no              100             done
```

Authenticate the primary encryption key of the logical volume

To authenticate the primary encryption key of the logical volume, complete the following steps:

1. Initialize the primary key for an encrypted logical volume by running the following command. The logical volume is not accessible until the first passphrase method is initialized.

```
# hdcryptmgr authinit testlv
Enter Passphrase:
Confirm Passphrase:
Passphrase authentication method with name "initpwd" added successfully.
```

2. Check the authentication status and authentication methods for the logical volume by running the following command:

```
# hdcryptmgr showlv testlv -v
LV NAME    CRYPTO ENABLED  AUTHENTICATED  ENCRYPTION (%)  CONVERSION
testlv     yes             yes            100             done

-- Authentication methods -----
INDEX      TYPE            NAME
#0         Passphrase     initpwd
```

3. Vary off and vary on the volume group by running the following commands:

```
# varyoffvg testvg
# varyonvg testvg
```

4. Check the authentication status of the logical volume by running the following command:

```
# hdcryptmgr showlv testlv
LV NAME    CRYPTO ENABLED  AUTHENTICATED  ENCRYPTION (%)  CONVERSION
testlv     yes             no              100             done
```

The output shows that the logical volume **testlv** is not authenticated.

5. Unlock the authentication of the logical volume by running the following command:

```
# hdcryptmgr authunlock testlv
Enter Passphrase:
Passphrase authentication succeeded.
```

6. Check the authentication state of the logical volume by running the following command:

```
# hdcryptmgr showlv testlv
LV NAME    CRYPTO ENABLED  AUTHENTICATED  ENCRYPTION (%)  CONVERSION
testlv     yes             yes            100             done
```

Adding the platform keystore (PKS) authentication method

To add the Platform keystore (PKS) authentication method, complete the following steps:

1. Check the LPAR PKS status by running the following command:

```
# hdcryptmgr pksshow
3020-0349 PKS is not supported or PKS is not activated.
3020-0218 hdcrypt driver service error. QUERY_PKS service failed with error 124: An attempt
was made to set an attribute to an unsupported value.
```

The output in this example shows that the PKS is not activated. The keystore size of a logical partition is set to 0 by default.

2. Shut down the LPAR and increase the keystore size in the associated HMC. The keystore size is in the range 4 KB – 64 KB. You cannot change the value of the keystore size when the LPAR is active.
3. Check the LPAR PKS status again by running the following command:

```
# hdcryptmgr pksshow
PKS uses 32 bytes on a maximum of 4096 bytes.
PKS_Label (LVid)          Status
PKS_Label (objects)
```

4. Add the PKS authentication method to the logical volume by running the following command:

```
# hdcryptmgr authadd -t pks -n pks1 testlv
PKS authentication method with name "pks1" added successfully.
```

5. Check the encryption status of the logical volume by running the following command:

```
# hdcryptmgr showlv testlv -v
LV NAME          CRYPTO ENABLED  AUTHENTICATED  ENCRYPTION (%)  CONVERSION
testlv           yes              yes            100             done
-- Authentication methods -----
INDEX           TYPE              NAME
#0              Passphrase        initpwd
#1              PKS                pks1
```

6. Check the PKS status by running the following command:

```
# hdcryptmgr pksshow
PKS uses 116 bytes on a maximum of 4096 bytes.
PKS_Label (LVid)          Status
00fb294400004c0000000176437c6663.1  VALID KEY
PKS_Label (objects)
```

PKS is an automatic authentication method that means the **varyonvg** command automatically unlocks the authentication of the logical volume.

7. Vary off the volume group by running the following command:

```
# varyoffvg testvg
```

8. Check the PKS status by running the following command:

```
# hdcryptmgr pksshow
PKS uses 116 bytes on a maximum of 4096 bytes.
PKS_Label (LVid)          Status
00fb294400004c0000000176437c6663.1  UNKNOWN
PKS_Label (objects)
```

9. Vary on the volume group by running the following command:

```
# varyonvg testvg
```

10. Check the encryption status of the logical volume by running the following command:

```
# hdcryptmgr showlv testlv
LV NAME          CRYPTO ENABLED  AUTHENTICATED  ENCRYPTION (%)  CONVERSION
testlv           yes              yes            100             done
```

Adding the key server authentication method

You can use any Key Management Interoperability Protocol (KMIP) compliant key management server to use this type of authentication method. In this example, the AIX logical partition is installed and configured with the IBM Security Key Lifecycle Manager (SKLM) V4.0 for AIX. The Security Key Lifecycle Manager key is used as an encryption key server.

To add the key server authentication method, complete the following steps:

1. Check the key servers in the LPAR by running the following command:

```
# keysvrmgr show
3020-0279 No key server in database
```

2. Add an encryption key server with the name **keyserver1** by running the following command:

```
# keysvrmgr add -i 9.X.X.X -s /tmp/sklm_cert.cer -c /tmp/ssl_client_cer.p12 keyserver1
Key server keyserver1 successfully added
```

3. Check the key servers in the LPAR again by running the following command:

```
# keysvrmgr
show
List of key servers:
ID          PWD          IP:PORT
keyserver1  N           9.X.X.X:5696
```

4. Check the encryption key server information that is saved in the ODM KeySvr object class by running the following command:

```
# odmget KeySvr
KeySvr:
  keysvr_id = "keyserver1"
  ip_addr = "9.X.X.X"
  port = 5696
  svr_cert_path = "/tmp/sklm_cert.cer"
  cli_cert_path = /tmp/ssl_client_cer.p12 "
  flags = 0
```

5. Add the key server authentication method to the logical volume by running the following command:

```
# hdcryptmgr authadd -t keyserv -n key1_testlv -m keyserver1 testlv
Keyserver authentication method with name "key1_testlv" added successfully.
```

6. Check the encryption status of the logical volume by running the following command:

```
#hdcryptmgr showlv -v testlv
LV NAME          CRYPTO ENABLED  AUTHENTICATED  ENCRYPTION (%)  CONVERSION
testlv          yes              yes             100              done
-- Authentication methods -----
INDEX           TYPE              NAME
#0              Passphrase        initpwd
#1              PKS               pks1
#2              Keyserver         key1_testlv
```

Adding key file authentication method

To add a key file authentication method, complete the following steps:

1. Create a file named `testfile` that contains the passphrase text by running the following command:

```
# cat /testfile
Adding Key file authentication meth0d
```

2. Add the key file authentication method to the logical volume by running the following command:

```
# hdcryptmgr authadd -t keyfile -n key1_file -m /testfile testlv
Keyfile authentication method with name "key1_file" added successfully.
```

3. Check the contents of the `testfile` file by running the following command:

```
# cat /testfile
Adding Key file authentication meth0d
00fb294400004c0000000176437c6663.1 xdxKj1JvZU+f9lFTgSM63kGoIoKW6Yxc+bKrk5GgCzc=
```

4. Check the encryption status of the logical volume by running the following command:

```
# hdcryptmgr showlv testlv -v
LV NAME          CRYPTO ENABLED  AUTHENTICATED  ENCRYPTION (%)  CONVERSION
testlv          yes              yes             100              done
-- Authentication methods -----
INDEX           TYPE              NAME
```

#0	Passphrase	initpwd
#1	PKS	pk1
#2	Keyserver	key1_testlv
#3	Keyfile	key1_file

Adding passphrase authentication method

To add the passphrase authentication method, complete the following steps:

1. Add the passphrase authentication method to the logical volume by running the following command:

```
# hdcryptmgr authadd -t pwd -n test_pwd testlv
Enter Passphrase:
Confirm Passphrase:
Passphrase authentication method with name "test_pwd" added successfully.
```

2. Check the encryption status of the logical volume by running the following command:

```
# hdcryptmgr showlv testlv -v
LV NAME          CRYPTO ENABLED AUTHENTICATED ENCRYPTION (%) CONVERSION
testlv           yes      yes          100           done
-- Authentication methods -----
INDEX           TYPE          NAME
#0              Passphrase   initpwd
#1              PKS          pk1
#2              Keyserver    key1_testlv
#3              Keyfile      key1_file
#4              Passphrase   test_pwd
```

Migrating the PKS to another LPAR before the volume group is migrated

To migrate the platform keystore (PKS) to another LPAR, complete the following steps:

1. Export the PKS keys into another file by running the following command:

```
# hdcryptmgr pksexport -p /tmp/pksexp testvg
Enter Passphrase:
Confirm Passphrase:
1 PKS keys exported.
```

2. Import the volume group to another LPAR by running the following command:

```
# importvg -y testvg hdisk2
```

3. Check the encryption status of the logical volume by running the following command:

```
# hdcryptmgr showlv testlv -v
LV NAME          CRYPTO ENABLED AUTHENTICATED ENCRYPTION (%) CONVERSION
testlv           yes      yes          100           done
-- Authentication methods -----
INDEX           TYPE          NAME
#0              Passphrase   initpwd
#1              PKS          pk1
#2              Keyserver    key1_testlv
#3              Keyfile      key1_file
#4              Passphrase   test_pwd
```

4. Check whether the authentication method is valid and accessible by running the following command:

```
# hdcryptmgr authcheck -n pk1 testlv
3020-0199 Key does not exist in PKS storage.
3020-0127 hdcryptmgr authcheck failed for LV testlv.
```

5. Move the PKS key file to a new LPAR and run the following command:

```
# hdcryptmgr pksimport -p /tmp/pksexp testvg
Enter Passphrase:
3020-0341 Key having LVid 00fb294400004c0000000176437c6663.1 is successfully imported in LV
testlv.
1 PKS keys imported.
```

6. Check whether the authentication method is valid and accessible by running the following command:

```
# hdcryptmgr authcheck -n pks1 testlv
PKS authentication check succeeded.
```

Changing the encryption policy of the volume group

Encryption metadata is saved at the end of each disk in the volume group. Enabling the volume group encryption requires free physical partitions on each disk in the volume group.

1. Change the data encryption option of the volume group by running the following command:

```
# chvg -k y testvg
0516-1216 chvg: Physical partitions are being migrated for volume group
descriptor area expansion. Please wait.
```

2. Check the details of the volume group by running the following command:

```
# lsvg testvg
VOLUME GROUP:          testvg          VG IDENTIFIER: 00fb294400004c000000017648ff8d32
VG STATE:              active          PP SIZE:      8 megabyte(s)
VG PERMISSION:        read/write    TOTAL PPs:   636 (5088 megabytes)
MAX LVs:              256         FREE PPs:    506 (4048 megabytes)
LVs:                  1           USED PPs:    130 (1040 megabytes)
OPEN LVs:             0           QUORUM:      2 (Enabled)
TOTAL PVs:            1           VG DESCRIPTORS: 2
STALE PVs:            0           STALE PPs:   0
ACTIVE PVs:           1           AUTO ON:     yes
MAX PPs per VG:      32512
MAX PPs per PV:      1016
MTG size (Dynamic):  512 kilobyte(s)
HOT SPARE:            no
PV RESTRICTION:      none
DISK BLOCK SIZE:     512
FS SYNC OPTION:      no
ENCRYPTION:          yes
MAX PVs:              32
AUTO SYNC:            no
BB POLICY:            relocatable
INFINITE RETRY:      no
CRITICAL VG:         no
CRITICAL PVs:        no
```

Changing the encryption policy of the logical volume

To change the encryption policy, complete the following steps:

Note: This capability is for experimental use only.

1. Enable the logical volume encryption by running the following command:

```
# hdcryptmgr plain2crypt testlv
Enter Passphrase:
Confirm Passphrase:
Passphrase authentication method with name "initpwd" added successfully.
Created recovery file : /var/hdcrypt/conv.004200021607542921
In case of error or if the conversion is canceled, this file may be
necessary to be able to recover the LV. If the conversion is fully
successful, then the file will be removed automatically
Successfully converted LV testlv to an encrypted LV.
```

This command performs the following operations:

- Enables the encryption policy of the logical volume
- Initializes the master-key and encryption metadata for an encrypted logical volume
- Encrypts the data in the logical volume

2. Check the details of the logical volume by running the following command:

```
# lslv testlv
LOGICAL VOLUME:          testlv          VOLUME GROUP:  testvg
LV IDENTIFIER:          00fb294400004c000000017648ff8d32.2  PERMISSION:    read/write
VG STATE:               active/complete  LV STATE:      closed/syncd
TYPE:                   jfs           WRITE VERIFY:  off
MAX LPs:                512           PP SIZE:       8 megabyte(s)
COPIES:                 1           SCHED POLICY: parallel
LPs:                   10          PPs:          10
```

```

STALE PPs:          0
INTER-POLICY:      minimum
INTRA-POLICY:      middle
MOUNT POINT:       N/A
MIRROR WRITE CONSISTENCY: on/ACTIVE
EACH LP COPY ON A SEPARATE PV ?: yes
Serialize IO ?:    NO
INFINITE RETRY:    no
ENCRYPTION:        yes
BB POLICY:         relocatable
RELOCATABLE:      yes
UPPER BOUND:      32
LABEL:            None
PREFERRED READ:   0

```

3. Check the encryption status of the logical volume by running the following command:

```

# hdcryptmgr showlv testlv -v
LV NAME          CRYPTO ENABLED  AUTHENTICATED  ENCRYPTION (%)  CONVERSION
testlv           yes             yes            100             done
-- Authentication methods -----
INDEX           TYPE            NAME
#0              Passphrase     initpwd

```

Best practices

- Use an inline log device for the file system that is created from encrypted logical volume.
- If the file system is created with an external log device and the log device is shared across multiple file systems, unlock the authentication (**hdcryptmgr authunlock**) for all encrypted logical volumes before you mount the file system.
- Use a non-PKS authentication method to unlock the authentication of the snapshot volume group.
- To copy an encrypted logical volume by using the **cp1v** command, create a logical volume in which encryption is enabled and use the logical volume as a destination logical volume to copy the source logical volume.

Limitations of LV encryption

If an LV is encrypted, the following LV commands or functions are not supported:

AIX Live Update

The Live Update operation is not supported if the LV encryption is enabled.

I/O serialization

The I/O serialization is not guaranteed while the LV encryption conversion is in progress.

File system consideration for LV encryption

Consider the following items when you create or modify file systems that are associated with an encrypted LV:

- When you create or mount a file system on to an encrypted LV, ensure that the encrypted LV is unlocked and activated.
- If an encrypted LV, which is hosting a file system by using the Network File System (NFS) `/etc/exports` file, is not unlocked during system boot, the mount operation of the file system fails and the table of physical file systems in the `/etc/exports` file is not updated. After the encrypted LV is unlocked and the file system is mounted, you can run the **exportfs -a** command to update the `/etc/exports` file.
- In the Enhanced Journaled File System (JFS2), you can use a single log device across multiple file systems. If the log device is shared across multiple file systems and if the LV that is used by file systems is encrypted, the LV must be unlocked before mounting the file systems.

Encrypted physical volumes

Physical volume (PV) encryption protects user data by encrypting data that is written to the physical volume. The base operating system performs physical volume data encryption and decryption during I/O operations. The data is encrypted before it is sent to an external storage area network (SAN) device to protect data on the SAN. Physical volume encryption also protects data exposure because of lost or

stolen hard disk drives or because of inappropriately decommissioned computers or storage devices. Applications that perform I/O operations can use the protected data without any modifications. The encrypted physical volumes can be used in the same way as unencrypted physical volumes. However, the rootvg volume group cannot contain any encrypted physical volumes.

You must install the following filesets to encrypt the physical volume data. These filesets are included in the base operating system.

- `bos.hdcrypt`
- `bos.kmip_client`
- `security.acf`
- `openssl.base`

Configuring PV encryption

Starting from IBM AIX 7.3 with Technology Level 1, you can manage physical volume encryption operations by using the **`hdcryptmgr`** command.

The size of the encrypted physical volume is smaller than the size of the physical volume before encryption because the encryption feature reserves some space on the physical volume for the encryption process. When encryption is enabled for a physical volume, any data that is stored on that physical volume is deleted and new data that is written to that physical volume is encrypted. For read operations, data from the encrypted physical volume is first decrypted. To encrypt existing data, you can allocate a new physical volume, enable encryption on the new physical volume, and then copy the existing data to the new physical volume.

Encrypted physical volume supports the same methods of key storage and retrieval as encrypted logical volume (LV). The key can be a typed passphrase, can be obtained from platform keystore (PKS), or can be obtained from a network key manager. When the key is stored in a PKS or in a network key manager, the physical volume is unlocked automatically during the boot process. The **`authunlock`** action parameter of the **`hdcryptmgr`** command can be used to manually unlock an encrypted physical volume. Any attempts to perform I/O operation on a locked encrypted physical volume fails with a `permission denied` error until that physical volume is unlocked.

Limitations of encrypted PV

The encrypted physical volumes have the following restrictions:

- The rootvg volume group must not contain any encrypted physical volume. If rootvg contains one or more encrypted physical volumes, the AIX boot process fails. The **`mkvg`** and **`extendvg`** commands prevent using encrypted physical volumes with rootvg.
- The existing physical volumes cannot be converted from unencrypted physical volumes to encrypted physical volumes, or vice versa. Enabling encryption on a physical volume deletes all the existing data on that disk.
- Physical volume encryption requires additional disk attributes that are provided by the AIX operating system. If a disk is defined by using object data manager (ODM) definitions from another storage vendor, new ODM definitions from that vendor must be acquired to support physical volume encryption.
- Encrypted physical volumes can be shared with other AIX logical partitions that are running AIX 7.3 Technology Level 1, or later. Sharing an encrypted physical volume with an older level of AIX corrupts data because the older level of AIX does not recognize that the physical volume is encrypted.
- Physical volumes that are encrypted with PKS authentication can be used as a traditional dump device if it does not belong to the rootvg volume group.
- Encrypted physical volumes cannot be used as the destination disk when you use the **`alt_disk_copy`** and **`alt_disk_mksysb`** commands because the rootvg volume group does not support the encrypted physical volumes.
- Only SCSI physical volumes can be encrypted. You cannot encrypt NVMe, vPMEM or even virtual SCSI (vSCSI) disks.

- The same AIX operating system image cannot use geographical logical volume manager (GLVM) or AIX storage data caching (**cache_mgt** command) with other SCSI disks while using encrypted physical volumes. GLVM or storage data caching can be used with NVMe disks or with vPMEM disks.

Disk backup considerations for encrypted PV

The various methods of backing up data on the physical disk have different characteristics when encrypted physical volumes are used.

If the data backup operation is running in the operating system instance, the operating system reads data and decrypts that data before sending it to the backup software. The backup media contains the decrypted user data. The metadata related to encryption is not stored in the backup media. If this backup data is restored to another physical volume, data is encrypted only if encryption is enabled for that physical volume. If encryption is not enabled for the destination physical volume, the restored data is not encrypted and can be used directly even by older levels of AIX.

If data is backed up by using a storage device such as snapshot or FlashCopy®, data that is backed up is encrypted. The backup data in the storage device includes both the encryption metadata and the encrypted user data. The storage-based backup is a block-for-block copy of the encrypted data and the storage cannot determine that the data is encrypted by the operating system.

Securing the network

The following sections describe how to install and configure IP Security; how to identify necessary and unnecessary network services; and auditing and monitoring network security.

TCP/IP security

If you installed the Transmission Control Protocol/Internet Protocol (TCP/IP) and Network File System (NFS) software, you can configure your system to communicate over a network.

This guide does not describe the basic concepts of TCP/IP, but rather describes security-related concerns of TCP/IP. For information on installing and the initial configuration of TCP/IP, refer to the [Transmission Control Protocol/Internet Protocol](#) section in *Networks and communication management*.

For any number of reasons, the person who administers your system might have to meet a certain level of security. For instance, the security level might be a matter of corporate policy. Or a system might need access to government systems and thus be required to communicate at a certain security level. These security standards might be applied to the network, the operating system, application software, even programs written by the person who administers your system.

This section describes the security features provided with TCP/IP, both in standard mode and as a secure system, and discusses some security considerations that are appropriate in a network environment.

After you install TCP/IP and NFS software, use the System Management Interface Tool (SMIT) **tcPIP** fast path to configure your system.

Operating system-specific security

Many of the security features, such as network access control and network auditing, available for TCP/IP are based on those available through the operating system.

The following sections outline TCP/IP security.

Network access control

The security policy for networking is an extension of the security policy for the operating system and consists of user authentication, connection authentication, and data security.

It consists of the following major components:

- User authentication is provided at the remote host by a user name and password in the same way as when a user logs in to the local system. Trusted TCP/IP commands, such as **ftp**, **rexec**, and **telnet**,

have the same requirements and undergo the same verification process as trusted commands in the operating system.

- Connection authentication is provided to ensure that the remote host has the expected Internet Protocol (IP) address and name. This prevents a remote host from masquerading as another remote host.
- Data import and export security permits data at a specified security level to flow to and from network interface adapters at the same security and authority levels. For example, top-secret data can flow only between adapters that are set to the top-secret security level.

Network auditing

Network auditing is provided by TCP/IP, using the audit subsystem to audit application programs.

The purpose of auditing is to record those actions that affect the security of the system and the user responsible for those actions.

The following application events are audited:

- Access the network
- Connection
- Export data
- Import data

Creation and deletion of objects are audited by the operating system. Application audit records suspend and resume auditing to avoid redundant auditing by the kernel.

Trusted path, trusted shell, and Secure Attention Key

The operating system provides the *trusted path* to prevent unauthorized programs from reading data from a user terminal. This path is used when a secure communication path with the system is required, such as when you are changing passwords or logging in to the system.

The operating system also provides the *trusted shell (tsh)*, which runs only trusted programs that have been tested and verified as secure. TCP/IP supports both of these features, along with the *secure attention key (SAK)*, which establishes the environment necessary for secure communication between you and the system. The local SAK is available whenever you are using TCP/IP. A remote SAK is available through the **telnet** command.

The local SAK has the same function in **telnet** that it has in other operating system application programs: it ends the **telnet** process and all other processes associated with the terminal in which **telnet** was running. Inside the telnet program, however, you can send a request for a trusted path to the remote system using the **telnet send sak** command (while in **telnet** command mode). You can also define a single key to initiate the SAK request using the **telnet set sak** command.

For more information about the Trusted Computing Base, see [“Trusted Computing Base” on page 2](#).

TCP/IP command security

Some commands in TCP/IP provide a secure environment during operation. These commands are **ftp**, **rexec**, and **telnet**.

The **ftp** function provides security during file transfer. The **rexec** command provides a secure environment for running commands on a foreign host. The **telnet** function provides security for login to a foreign host.

The **ftp**, **rexec**, and **telnet** commands provide security during their operation only. That is, they do not set up a secure environment for use with other commands. For securing your system for other operations, use the **securetcpip** command. This command gives you the ability to secure your system by disabling the nontrusted daemons and applications, and by giving you the option of securing your IP layer network protocol as well.

The **ftp**, **rexec**, **securetcpip**, and **telnet** commands provide the following forms of system and data security:

ftp

The **ftp** command provides a secure environment for transferring files. When a user invokes the **ftp** command to a foreign host, the user is prompted for a login ID. A default login ID is shown: the user's current login ID on the local host. The user is prompted for a password for the remote host.

The automatic login process searches the local user's \$HOME/.netrc file for the user's ID and password to use at the foreign host. For security, the permissions on the \$HOME/.netrc file must be set to 600 (read and write by owner only). Otherwise, automatic login fails.

Note: Because use of the .netrc file requires storage of passwords in a nonencrypted file, the automatic login feature of the **ftp** command is not available when your system has been configured with the **securetcip** command. This feature can be reenabled by removing the **ftp** command from the tcip stanza in the /etc/security/config file.

To use the file transfer function, the **ftp** command requires two TCP/IP connections, one for the File Transfer Protocol (FTP) and one for data transfer. The protocol connection is primary and is secure because it is established on reliable communicating ports. The secondary connection is needed for the actual transfer of data, and both the local and remote host verify that the other end of this connection is established with the same host as the primary connection. If the primary and secondary connections are not established with the same host, the **ftp** command first displays an error message stating that the data connection was not authenticated, and then it exits. This verification of the secondary connection prevents a third host from intercepting data intended for another host.

rexec

The **rexec** command provides a secure environment for executing commands on a foreign host. The user is prompted for both a login ID and a password.

An automatic login feature causes the **rexec** command to search the local user's \$HOME/.netrc file for the user's ID and password on a foreign host. For security, the permissions on the \$HOME/.netrc file must be set to 600 (read and write by owner only). Otherwise, automatic login fails.

Note: Because use of the .netrc file requires storage of passwords in a nonencrypted file, the automatic login feature of **rexec** command is not available when your system is operating in secure. This feature can be reenabled by removing the entry from the tcip stanza in the /etc/security/config file.

securetcip

The **securetcip** command enables TCP/IP security features. Access to commands that are not trusted is removed from the system when this command is issued. Each of the following commands is removed by running the **securetcip** command:

- **rlogin** and **rlogind**
- **rcp**, **rsh**, and **rshd**
- **tftp** and **tftpd**
- **trpt**

The **securetcip** command is used to convert a system from the standard level of security to a higher security level. After your system has been converted, you need not issue the **securetcip** command again unless you reinstall TCP/IP.

telnet or tn

The **telnet** (TELNET) command provides a secure environment for login to a foreign host. The user is prompted for both a login ID and a password. The user's terminal is treated just like a terminal connected directly to the host. That is, access to the terminal is controlled by permission bits. Other users (group and other) do not have read access to the terminal, but they can write messages to it if the owner gives them write permission. The **telnet** command also provides access to a trusted shell on the remote system through the SAK. This key sequence differs from the sequence that invokes the local trusted path and can be defined within the **telnet** command.

Remote command execution access

Users on the hosts listed in the `/etc/hosts.equiv` file can run certain commands on your system without supplying a password.

The following table provides information about how to list, add, and remove remote hosts using the SMIT interface or the command line interface.

Task	SMIT fast path	Command or file
List Remote Hosts That Have Command Execution Access	smit lshostsequiv	view <code>/etc/hosts.equiv</code> file
Add a Remote Host for Command Execution Access	smit mkhostsequiv	edit <code>/etc/hosts.equiv</code> file ^{note}
Remove a Remote Host from Command Execution Access	smit rmhostsequiv	edit <code>/etc/hosts.equiv</code> file ^{note}

Note: For more information about these file procedures, see the "[hosts.equiv File Format for TCP/IP](#)" in the *Files Reference*.

Restricted file transfer program users

Users listed in the `/etc/ftpusers` file are protected from remote FTP access. For example, suppose that user A is logged into a remote system, and he knows the password of user B on your system. If user B is listed in the `/etc/ftpusers` file, user A cannot FTP files to or from user B's account, even though user A knows user B's password.

The following table provides information about how to list, add, and remove restricted users using SMIT or the command line.

Remote FTP user tasks		
Task	SMIT fast path	Command or file
List Restricted FTP Users	smit lsftpusers	view <code>/etc/ftpusers</code> file
Add a Restricted User	smit mkftpusers	edit <code>/etc/ftpusers</code> file
Remove a Restricted User	smit rmftpusers	edit <code>/etc/ftpusers</code> file

Trusted processes

A trusted program, or trusted process, is a shell script, a daemon, or a program that meets a particular standard of security. These security standards are set and maintained by the U.S. Department of Defense, which also certifies some trusted programs.

Trusted programs are trusted at different levels. Security levels include A1, B1, B2, B3, C1, C2, and D, with level A1 providing the highest security level. Each security level must meet certain requirements. For example, the C2 level of security incorporates the following standards:

program integrity

Ensures that the process performs exactly as intended.

modularity

Process source code is separated into modules that cannot be directly affected or accessed by other modules.

principle of least privilege

States that at all times a user is operating at the lowest level of privilege authorized. That is, if a user has access only to view a certain file, then the user does not inadvertently also have access to alter that file.

limitation of object reuse

Keeps a user from, for example, accidentally finding a section of memory that has been flagged for overwriting but not yet cleared, and which might contain sensitive material.

TCP/IP contains several trusted daemons and many nontrusted daemons.

Examples of trusted daemons are as follows:

- [ftpd](#)
- [rexecd](#)
- [telnetd](#)

Examples of nontrusted daemons are as follows:

- [rshd](#)
- [rlogind](#)
- [tftpd](#)

For a system to be trusted, it must operate with a trusted computing base; that is, for a single host, the machine must be secure. For a network, all file servers, gateways, and other hosts must be secure.

Network Trusted Computing Base

The Network Trusted Computing Base (NTCB) consists of hardware and software for ensuring network security. This section defines the components of the NTCB as they relate to TCP/IP.

The hardware security features for the network are provided by the network adapters used with TCP/IP. These adapters control incoming data by receiving only data destined for the local system and broadcast data receivable by all systems.

The software component of the NTCB consists of only those programs that are considered as trusted. The programs and associated files that are part of a secure system are listed in the following tables on a directory-by-directory basis.

/etc directory				
Name	Owner	Group	Mode	Permissions
gated.conf	root	system	0664	rw-rw-r—
gateways	root	system	0664	rw-rw-r—
hosts	root	system	0664	rw-rw-r—
hosts.equiv	root	system	0664	rw-rw-r—
inetd.conf	root	system	0644	rw-r—r—
named.conf	root	system	0644	rw-r—r—
named.data	root	system	0664	rw-rw-r—
networks	root	system	0664	rw-rw-r—
protocols	root	system	0644	rw-r—r—
rc.tcpip	root	system	0774	rw-rwxr—
resolv.conf	root	system	0644	rw-rw-r—
services	root	system	0644	rw-r—r—

<i>/etc directory (continued)</i>				
Name	Owner	Group	Mode	Permissions
3270.keys	root	system	0664	rw-rw-r--
3270keys.rt	root	system	0664	rw-rw-r--

<i>/usr/bin directory</i>				
Name	Owner	Group	Mode	Permissions
host	root	system	4555	r-sr-xr-x
hostid	bin	bin	0555	r-xr-xr-x
hostname	bin	bin	0555	r-xr-xr-x
finger	root	system	0755	rwXr-xr-x
ftp	root	system	4555	r-sr-xr-x
netstat	root	bin	4555	r-sr-xr-x
rexec	root	bin	4555	r-sr-xr-x
ruptime	root	system	4555	r-sr-xr-x
rwho	root	system	4555	r-sr-xr-x
talk	bin	bin	0555	r-xr-xr-x
telnet	root	system	4555	r-sr-xr-x

<i>/usr/sbin directory</i>				
Name	Owner	Group	Mode	Permissions
arp	root	system	4555	r-sr-xr-x
fingerd	root	system	0554	r-xr-xr--
ftpd	root	system	4554	r-sr-xr--
gated	root	system	4554	r-sr-xr--
ifconfig	bin	bin	0555	r-xr-xr-x
inetd	root	system	4554	r-sr-xr--
named	root	system	4554	r-sr-xr--
ping	root	system	4555	r-sr-xr-x
rexecd	root	system	4554	r-sr-xr--
route	root	system	4554	r-sr-xr--
routed	root	system	0554	r-xr-xr--
rwhod	root	system	4554	r-sr-xr--
securetcpip	root	system	0554	r-xr-xr--
setclock	root	system	4555	r-sr-xr-x
syslogd	root	system	0554	r-xr-xr--
talkd	root	system	4554	r-sr-xr--

<i>/usr/sbin directory (continued)</i>				
Name	Owner	Group	Mode	Permissions
telnetd	root	system	4554	r-sr-xr-

<i>/usr/ucb directory</i>				
Name	Owner	Group	Mode	Permissions
tn	root	system	4555	r-sr-xr-x

<i>/var/spool/rwho directory</i>				
Name	Owner	Group	Mode	Permissions
rwho (directory)	root	system	0755	drwxr-xr-x

Data security and information protection

The security feature for TCP/IP does not encrypt user data transmitted through the network.

Identify any risk in communication that could result in the disclosure of passwords and other sensitive information, and based on that risk, apply appropriate countermeasures.

Using the TCP/IP security feature in a Department of Defense (DOD) environment might require adherence to DOD 5200.5 and NCSD-11 for communications security.

User based TCP port access control with discretionary access control for internet ports

Discretionary Access Control for Internet Ports (DACinet) features user-based access control for TCP ports for communication between AIX hosts.

AIX can use an additional TCP header to transport user and group information between systems. The DACinet feature allows the administrator on the destination system to control access based on the destination port, the originating user id and host.

In addition, the DACinet feature allows the administrator to restrict local ports for root only usage. UNIX systems like AIX treat ports below 1024 as privileged ports which can only be opened by root. AIX allows you to specify additional ports above 1024 which can be opened only by root, therefore preventing users from running servers on well known ports.

Depending on the settings a non-DACinet system may or may not be able to connect to a DACinet system. Access is denied in the initial state of the DACinet feature. Once DACinet has been enabled, there is no way to disable DACinet.

The **dacinet** command accepts addresses which are specified as hostnames, dotted decimal host addresses, or network addresses followed by the length of the network prefix.

The following example specifies a single host which is known by the fully qualified host name *host.domain.org*:

```
host.domain.org
```

The following example specifies a single host which is known by the IP address 10.0.0.1:

```
10.0.0.1
```

The following example specifies the entire network which has the first 24 bits (the length of the network prefix) with a value of 10.0.0.0:

```
10.0.0.0/24
```

This network includes all IP addresses between 10.0.0.1 and 10.0.0.254.

Access control for TCP based services

DACinet uses the `/etc/rc.dacinet` startup file, and the configuration files it uses are `/etc/security/priv`, `/etc/security/services`, and `/etc/security/acl`.

Ports listed in `/etc/security/services` are considered exempt from the ACL checks. The file has the same format as `/etc/services`. The easiest way to initialize it is to copy the file from `/etc` to `/etc/security` and then delete all the ports for which ACLs should be applied. The ACLs are stored in two places. The currently active ACLs are stored in the kernel and can be read by running `dacinet aclls`. ACLs that will be reactivated at the next system boot by `/etc/rc.tcpip` are stored in `/etc/security/acl`. The following format is used:

```
service host/prefix-length [user|group]
```

Where the service can be specified either numerically or as listed in `/etc/services`, the host can be given either as a host name or a network address with a subnet mask specification and the user or group is specified with the `u:` or `g:` prefix. When no user or group is specified, then the ACL takes only the sending host into account. Prefixing the service with a `-` will disable access explicitly. ACLs are evaluated according to the first match. So you could specify access for a group of users, but explicitly deny it for a user in the group by placing the rule for this user in front of the group rule.

The `/etc/services` file includes two entries with port number values which are not supported in AIX. The system administrator must remove both lines from that file prior to executing the `mkCCadmin` command. Remove the following lines from the `/etc/services` file:

```
sco_printer    70000/tcp    sco_spooler   # For System V print IPC
sco_s5_port    70001/tcp    lpNet_s5_port # For future use
```

DACinet usage examples

For example, when using DACinet to restrict access to port TCP/25 inbound to root only with the DACinet feature, then only root users from other AIX hosts can access this port, therefore limiting the possibilities of regular users to spoof e-mail by just telneting to port TCP/25 on the victim.

The following example shows how to configure the X protocol (X11) for root only access. Make sure that the X11 entry in `/etc/security/services` is removed, so that the ACLs will apply for this service.

Assuming a subnet of 10.1.1.0/24 for all the connected systems, the ACL entries to restrict access to the root user only for X (TCP/6000) in `/etc/security/acl` would be as follows:

```
6000    10.1.1.0/24 u:root
```

When limiting Telnet service to users in the group friends, no matter from which system they are coming from, use the following ACL entry after having removed the telnet entry from `/etc/security/services`:

```
telnet    0.0.0.0/0    g:friends
```

Disallow user fred access to the web server, but allow everyone else access:

```
-80     0.0.0.0/0 u:fred
80      0.0.0.0/0
```

Privileged ports for running local services

To prevent regular users from running servers at specific ports, these ports can be designated as privileged.

Normally any user can open any port above 1024. For example, a user could place a server at port 8080, which is quite often used to run Web proxies or at 1080 where one typically finds a SOCKS server. The `dacinet setpriv` command can be used to add privileged ports to the running system. Ports that are to be designated as privileged when the system starts have to be listed in `/etc/security/priv`.

Ports can be listed in this file either with their symbolic name as defined in `/etc/services` or by specifying the port number. The following entries would disallow non-root users to run SOCKS servers or Lotus Notes servers on their usual ports:

```
1080
lotusnote
```

Note: This feature does not prevent the user from running the programs. It will only prevent the user from running the services at the well known ports where those services are typically expected.

Network services

Information about identifying and securing network services with open communication ports is shown.

Ports usage

The following table describes known port usage on the AIX operating system.

Note: This list has been established by reviewing multiple AIX systems with different configurations of software installed.

The following list might not include port usage for all software existing on the AIX operating system:

Port/Protocol	ServiceName	Aliases
13/tcp	daytime	Daytime (RFC 867)
13/udp	daytime	Daytime (RFC 867)
21/tcp	ftp	File Transfer [Control]
21/udp	ftp	File Transfer [Control]
23/udp	telnet	Telnet
23/udp	telnet	Telnet
25/tcp	smtp	Simple Mail Transfer
25/udp	smtp	Simple Mail Transfer
37/tcp	time	Time
37/udp	time	Time
111/tcp	sunrpc	SUN Remote Procedure Call
111/udp	sunrpc	SUN Remote Procedure Call
161/tcp	snmp	SNMP
161/udp	snmp	SNMP
199/tcp	smux	SMUX
199/udp	smux	SMUX
512/tcp	exec	remote process execution;
513/tcp	login	remote login a la telnet;
514/tcp	shell	cmd
514/udp	syslog	Syslog
518/tcp	ntalk	Talk
518/udp	ntalk	Talk

Port/Protocol	ServiceName	Aliases
657/tcp	rmc	RMC
657/udp	rmc	RMC
1334/tcp	writesrv	writesrv
1334/udp	writesrv	writesrv
2279/tcp	xmquery	xmquery
2279/udp	xmquery	xmquery
32768/tcp	filenet-tms	FileNet® TMS
32768/udp	filenet-tms	FileNet TMS
32769/tcp	filenet-rpc	FileNet RPC
32769/udp	filenet-rpc	FileNet RPC
32770/tcp	filenet-nch	FileNet NCH
32770/udp	filenet-nch	FileNet NCH
32771/tcp	filenet-rmi	FileNet RMI
32771/udp	filenet-rmi	FileNet RMI
32772/tcp	filenet-pa	FileNet Process Analyzer
32772/udp	filenet-pa	FileNet Process Analyzer
32773/tcp	filenet-cm	FileNet Component Manager
32773/udp	filenet-cm	FileNet Component Manager
32774/tcp	filenet-re	FileNet Rules Engine
32774/udp	filenet-re FileNET Rules Engine	FileNet Rules Engine
32775/tcp	filenet-pch	Performance Clearinghouse
32775/udp	filenet-pch	Performance Clearinghouse
32776/tcp	filenet-peior	FileNet BPM IOR
32776/udp	filenet-peior	FileNet BPM IOR
32777/tcp	filenet-obrok	FileNet BPM CORBA
32777/udp	filenet-obrok	FileNet BPM CORBA

Identifying network services with open communication ports

Client-server applications open communication ports on the server, allowing the applications to listen to incoming client requests.

Because open ports are vulnerable to potential security attacks, identify which applications have open ports and close those ports that are open unnecessarily. This practice is useful because it allows you to understand what systems are being made available to anyone who has access to the Internet.

To determine which ports are open, follow these steps:

1. Identify the services by using the **netstat** command as follows:

```
# netstat -af inet
```

The following is an example of this command output. The last column of the **netstat** command output indicates the state of each service. Services that are waiting for incoming connections are in the LISTEN state.

This is an example of the command output when running the **netstat** command.

Active Internet connection (including servers)

Proto	Recv-Q	Send-Q	Local Address	Foreign Address	(state)
tcp4	0	0	*.echo	*.*	LISTEN
tcp4	0	0	*.discard	*.*	LISTEN
tcp4	0	0	*.daytime	*.*	LISTEN
tcp	0	0	*.chargen	*.*	LISTEN
tcp	0	0	*.ftp	*.*	LISTEN
tcp4	0	0	*.telnet	*.*	LISTEN
tcp4	0	0	*.smtp	*.*	LISTEN
tcp4	0	0	*.time	*.*	LISTEN
tcp4	0	0	*.www	*.*	LISTEN
tcp4	0	0	*.sunrpc	*.*	LISTEN
tcp	0	0	*.smux	*.*	LISTEN
tcp	0	0	*.exec	*.*	LISTEN
tcp	0	0	*.login	*.*	LISTEN
tcp4	0	0	*.shell	*.*	LISTEN
tcp4	0	0	*.klogin	*.*	LISTEN
udp4	0	0	*.kshell	*.*	LISTEN
udp4	0	0	*.echo	*.*	
udp4	0	0	*.discard	*.*	
udp4	0	0	*.daytime	*.*	

This is an example of the command output when running the **netstat** command. (continued)

Active Internet connection (including servers)

Proto	Recv-Q	Send-Q	Local Address	Foreign Address	(state)
udp4	0	0	*.chargen	*.*	
udp4	0	0	*.time	*.*	
udp4	0	0	*.bootpc	*.*	
udp4	0	0	*.sunrpc	*.*	
udp4	0	0	255.255.255.255.ntp	*.*	
udp4	0	0	1.23.123.234.ntp	*.*	
udp4	0	0	localhost.domain.ntp	*.*	
udp4	0	0	name.domain..ntp	*.*	

.....

2. Open the `/etc/services` file and check the Internet Assigned Numbers Authority (IANA) services to map the service to port numbers within the operating system.

The following is a sample fragment of the `/etc/services` file:

```
tcpmux 1/tcp # TCP Port Service Multiplexer
tcpmux 1/tcp # TCP Port Service Multiplexer
Compressnet 2/tcp # Management Utility
Compressnet 2/udp # Management Utility
Compressnet 3/tcp # Compression Process
Compressnet 3/udp Compression Process
Echo 7/tcp
Echo 7/udp
discard 9/tcp sink null
discard 9/udp sink null
.....
rfe 5002/tcp # Radio Free Ethernet
rfe 5002/udp # Radio Free Ethernet
rmonitor_secure 5145/tcp
rmonitor_secure 5145/udp
pad12sim 5236/tcp
pad12sim 5236/udp
sub-process 6111/tcp # HP SoftBench Sub-Process Cntl.
sub-process 6111/udp # HP SoftBench Sub-Process Cntl.
xdsxdm 6558/ucp
xdsxdm 6558/tcp
afs3-fileserver 7000/tcp # File Server Itself
afs3-fileserver 7000/udp # File Server Itself
af3-callback 7001/tcp # Callbacks to Cache Managers
af3-callback 7001/udp # Callbacks to Cache Managers
```

3. Close the unnecessary ports by removing the running services.

Note: Port 657 is used by Resource Monitoring and Control (RMC) for communication between nodes. You cannot block or otherwise restrict this port.

Identifying TCP and UDP sockets

Use the **lsof** command, a variant of the **netstat -af** command to identify TCP sockets that are in the LISTEN state and idle UDP sockets that are waiting for data to arrive.

For example, to display the TCP sockets in the LISTEN state and the UDP sockets in the IDLE state, run the **lsof** command as follows:

```
# lsof -i | egrep "COMMAND|LISTEN|UDP"
```

The output produced is similar to the following:

Command	PID	USE	F	TYP	DEVICE	SIZE/OFF	NOD	NAME
		R	D	E			E	
dtlogin	21 22	ro ot	5 u	IP v4	0x70053c00	0t0	UD P	*:xdmcp
dtlogin	21 22	ro ot	6 u	IP v4	0x70054adc	0t0	TC P	*:32768(LISTEN)
syslogd	27 30	ro ot	4 u	IP v4	0x70053600	0t0	UD P	*:syslog
X	28 80	ro ot	6 u	IP v4	0x70054adc	0t0	TC P	*:32768(LISTEN)
X	28 80	ro ot	8 u	IP v4	0x700546dc	0t0	TC P	*:6000(LISTEN)
dtlogin	38 82	ro ot	6 u	IP v4	0x70054adc	0t0	TC P	*:32768(LISTEN)
dtgreet	46 56	ro ot	6 u	IP v4	0x70054adc	0t0	TC P	*:32768(LISTEN)

After identifying the process ID, you can obtain more information about the program by running the following command:

```
" # ps -fp PID#"
```

The output contains the path to the command name, which you can use to access the program's man page.

Internet Protocol security

IP Security enables secure communications over the Internet and within company networks by securing data traffic at the IP layer.

IP security overview

IP security allows individual users or organizations to secure traffic for all applications, without having to make any modifications to the applications. Therefore, the transmission of any data, such as e-mail or application-specific company data, can be made secure.

IP security and the operating system

The operating system uses IP Security (IPsec), which is an open, standard security technology developed by the Internet Engineering Task Force (IETF).

IPsec provides cryptography-based protection of all data at the IP layer of the communications stack. No changes are needed for existing applications. IPsec is the industry-standard network-security framework chosen by the IETF for both the IP Version 4 and 6 environments.

IPsec protects your data traffic using the following cryptographic techniques:

Authentication

Process by which the identity of a host or end point is verified

Integrity Checking

Process of ensuring that no modifications were made to the data while in transit across the network

Encryption

Process of ensuring privacy by "hiding" data and private IP addresses while in transit across the network

Authentication algorithms prove the identity of the sender and data integrity by using a cryptographic hash function to process a packet of data (with the fixed IP header fields included) using a secret key to produce a unique digest. On the receiver side, the data is processed using the same function and key. If either the data has been altered or the sender key is not valid, the datagram is discarded.

Encryption uses a cryptographic algorithm to modify and randomize the data using a certain algorithm and key to produce encrypted data known as *cyphertext*. Encryption makes the data unreadable while in transit. After it is received, the data is recovered using the same algorithm and key (with symmetric encryption algorithms). Encryption must occur with authentication to verify the data integrity of the encrypted data.

These basic services are implemented in IPsec by the use of the Encapsulating Security Payload (ESP) and the Authentication Header (AH). ESP provides confidentiality by encrypting the original IP packet, building an ESP header, and putting the cyphertext in the ESP payload.

The AH can be used alone for authentication and integrity-checking if confidentiality is not an issue. With AH, the static fields of the IP header and the data have a hash algorithm applied to compute a keyed digest. The receiver uses its key to compute and compare the digest to make sure the packet is unaltered and the sender's identity is authenticated.

IP security features

The following are features of IP Security.

The following features are available with Internet Key Exchange for the AIX operating system:

- Supports AES 128-bit, 192-bit, and 256-bit algorithms.
- Hardware acceleration with the 10/100 Mbps Ethernet PCI Adapter II.
- AH support by using RFC 2402, and ESP support by using RFC 2406.
- Manual tunnels can be configured to provide interoperability with other systems that do not support the automatic IKE key refreshment method, and for use of IP Version 6 tunnels.
- Tunnel mode and transport mode of encapsulation for host or gateway tunnels.

- Authentication algorithms of HMAC (Hashed Message Authentication Code) MD5 (Message Digest 5) and HMAC SHA (Secure Hash Algorithm).
- Encryption algorithms include 56-bit Data Encryption Standard (DES) Cipher Block Chaining (CBC) with 64-bit initial vector (IV), Triple DES, DES CBC 4 (32-bit IV), and AES CBC.
- Dual IP Stack Support (IP version 4 and IP version 6).
- Both IP Version 4 and IP Version 6 traffic can be encapsulated and filtered. Because the IP stacks are separate, the IP Security function for each stack can be configured independently.
- Filtering of secure and nonsecure traffic by various IP characteristics such as source and destination IP addresses, interface, protocol, port numbers, and more.
- Automatic filter-rule creation and deletion with most tunnel types.
- Use of host names for the destination address when you define tunnels and filter rules. The host names are converted to IP addresses automatically (when DNS is available).
- Logging of IP Security events to **syslog**.
- Use of system traces and statistics for problem determination.
- User-defined default action allows the user to specify whether traffic that does not match defined tunnels is allowed.

The following additional features are available with Internet Key Exchange for AIX 6.1 TL 05, or later:

- IPsec support by using RFC 4301, AH support by using RFC 4302, and ESP support by using RFC 4303
- Authentication algorithms of Cipher-based Message Authentication Code (CMAC) AES XCBC
- Encryption algorithms include AES 128-bit, 192-bit, 256-bit GCM (16-bit IV), AES-128-GMAC, AES-192-GMAC, and AES-256-GMAC
- Port range support for filter rules
- Extended Sequence Numbers

Internet Key Exchange features

The following are features that are available with Internet Key Exchange for AIX.

- Starting with AIX 7.3, Technology Level 3, the Internet Key Exchange has Authentication Header (AH) support for HMAC SHA2 256-bit hash and HMAC SHA2 512-bit hash.
- Starting with AIX 7.3, Technology Level 3, the Encapsulating Security Payload (ESP) encryption supports the following algorithms:
 - GCM AES 128-bit
 - GCM AES 192-bit
 - GCM AES 256-bit with (16-bit IV)
 - GMAC AES 128-bit
 - GMAC AES 192-bit
 - GMAC AES 256-bit
- Starting with AIX 7.3, Technology Level 3, the ESP authentication supports HMAC MD5, HMAC SHA1, and HMAC SHA2 512-bit hash for Internet Protocol Security (IPsec). The ESP authentication supports HMAC SHA2 512-bit hash only for Internet Key Exchange Version 2 (IKEv2) protocol.
- Starting with AIX 6.1, Technology Level 2, IKEv1 (RFC2409) and IKEv2 (RFC4306) protocols are supported. The **isakmpd** daemon supports the IKEv1 protocol and the **ikev2d** daemon supports the IKEv2 protocol. The IKEv1 and IKEv2 protocol tunnels can co-exist.
- Starting with AIX 7.3, Technology Level 3, integrity algorithms CMAC_AES_XCBC, HMAC_SHA2_256, and HMAC_SHA2_512 are supported for IPsec. The integrity algorithm HMAC_SHA2_512 is supported only for IKEv2 protocol.
- Starting with AIX 7.3, Technology Level 3, Pseudo-Random Function (PRF) algorithms PRF_SHA2_256 and PRF_SHA2_512 are supported for IPsec. The PRF algorithm PRF_SHA2_512 is supported only for IKEv2 protocol.

- Starting with AIX 6.1, Technology Level 4, Diffie Hellman (DH) groups 14, 19 and 24 are supported.
- >| Starting with AIX 7.3, Technology Level 3, DH groups 20 and 21 are also supported along with the DH groups 14, 19 and 24 for IKEv2 protocol. |<

Security associations

The building block on which secure communications is built is a concept known as a *security association*. Security associations relate a specific set of security parameters to a type of traffic.

With data protected by IP Security, a separate security association exists for each direction and for each header type, AH or ESP. The information contained in the security association includes the IP addresses of the communicating parties, a unique identifier known as the Security Parameters Index (SPI), the algorithms selected for authentication or encryption, the authentication and encryption keys, and the key lifetimes. The following figure shows the security associations between Host A and Host B.

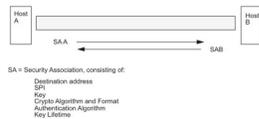


Figure 6. Establishment of a Secure Tunnel Between Hosts A and B

This illustration shows a virtual tunnel running between Host A and Host B. Security association A is an arrow directed from Host A to Host B. Security association B is an arrow directed from Host B to Host A. A Security association consists of the Destination Address, SPI, Key, Crypto Algorithm and Format, Authentication Algorithm, and Key Lifetime.

The goal of key management is to negotiate and compute the security associations that protect IP traffic.

Tunnels and key management

Use a tunnel to negotiate and manage the security associations that are required to set up secure communication between two hosts.

The following types of tunnels are supported, each using a different key management technique:

- IKE tunnels (dynamically changing keys, IETF standard)
- Manual tunnels (static, persistent keys, IETF standard)

Internet Key Exchange tunnel support

IKE Tunnels are based on the Internet Security Association and Key Management Protocol (ISAKMP)/Oakley standards developed by the IETF. With this protocol, security parameters are negotiated and refreshed, and keys are exchanged securely.

The following types of authentication are supported:

- Preshared key.
- X.509v3 digital certificate signatures.
- On AIX 6.1 TL 04, or later, IKEv2 supports ECDSA-256 digital certificate signatures as part of the X509v3 authentication method that is based on digital certificates.

The negotiation uses a two-phase approach. Phase 1 authenticates the communicating parties, and specifies the algorithms to be used for securely communicating in phase 2. During phase 2, IP Security parameters to be used during data transfer are negotiated, and security associations and keys are created and exchanged.

The following table shows the authentication algorithms that can be used with the AH and ESP security protocols for IKE tunnel support.

Table 16. Authentication algorithms for IKE tunnel support

Algorithm	AH IP Version 4 & 6	ESP IP Version 4 & 6
HMAC MD5	X	X
HMAC SHA1	X	X
DES CBC 8		X
Triple DES CBC		X
AES CBC (128, 192, 256)		X
ESP Null		X
AES-XCBC-MAC-96	X	X
AES GCM (128, 192, 256)		X
AES GMAC (128, 192, 256)	X	
ESP_ENCR_NULL_AUTH_AES_GMAC		X

Manual tunnel support

Manual tunnels provide backward compatibility, and they interoperate with machines that do not support IKE key management protocols. The disadvantage of manual tunnels is that the key values are static. The encryption and authentication keys are the same for the life of the tunnel and must be manually updated.

The following table shows the authentication algorithms that can be used with the AH and ESP security protocols for manual tunnel support.

Algorithm	AH IP Version 4	AH IP Version 6	ESP IP Version 4	ESP IP Version 6
HMAC MD5	X	X	X	X
HMAC SHA1	X	X	X	X
AES CBC (128, 192, 256)			X	X
Triple DES CBC			X	X
DES CBC 8			X	X
DES CBC 4			X	X

Because IKE tunnels offer more effective security, IKE is the preferred key management method.

Native filtering capability

Filtering is a basic function in which incoming and outgoing packets can be accepted or denied based on a variety of characteristics. This allows a user or system administrator to configure the host to control the traffic between this host and other hosts.

Filtering is done on a variety of packet properties, such as source and destination addresses, IP version (4 or 6), subnet masks, protocol, port, routing characteristics, fragmentation, interface, and tunnel definition.

Rules, known as *filter rules*, are used to associate certain kinds of traffic with a particular tunnel. In a basic configuration for manual tunnels, when a user defines a host-to-host tunnel, filter rules are autogenerated to direct all traffic from that host through the secure tunnel. If more specific types of traffic are desired (for instance, subnet to subnet), the filter rules can be edited or replaced to allow precise control of the traffic using a particular tunnel.

For IKE tunnels, the filter rules are also automatically generated and inserted in the filter table once the tunnel is activated.

Similarly, when the tunnel is modified or deleted, the filter rules for that tunnel are automatically deleted, which simplifies IP Security configuration and helps reduce human error. Tunnel definitions can be propagated and shared among machines and firewalls using import and export utilities, which is helpful in the administration of a large number of machines.

Filter rules associate particular types of traffic with a tunnel, but data being filtered does not necessarily need to travel in a tunnel. This aspect of filter rules lets the operating system provide basic firewall functionality to those who want to restrict traffic to or from their machine in an intranet or in a network that does not have the protection of a true firewall. In this scenario, filter rules provide a second barrier of protection around a group of machines.

After the filter rules are generated, they are stored in a table and loaded into the kernel. When packets are ready to be sent or received from the network, the filter rules are checked in the list from top to bottom to determine whether the packet should be permitted, denied, or sent through a tunnel. The criteria of the rule is compared to the packet characteristics until a match is found or the default rule is reached.

The IP Security function also implements filtering of non-secure packets based on very granular, user-defined criteria, which allows the control of IP traffic between networks and machines that do not require the authentication or encryption properties of IP Security.

Digital certificate support

IP Security supports the use of X.509 Version 3 digital certificates.

The Key Manager tool manages certificate requests, maintains the key database, and performs other administrative functions.

Digital certificates are described in [Digital Certificate Configuration](#). The Key Manager and its functions are described in [Using the IBM Key Manager Tool](#)

Virtual private networks and IP security

A virtual private network (VPN) securely extends a private intranet across a public network such as the Internet.

VPNs convey information across what is essentially a private tunnel through the Internet to and from remote users, branch offices, and business partners/suppliers. Companies can opt for Internet access through Internet service providers (ISPs) using direct lines or local telephone numbers and eliminate more expensive leased lines, long-distance calls, and toll-free telephone numbers. A VPN solution can use the IPsec security standard because IPsec is the IETF-chosen industry standard network security framework for both the IP Version 4 and 6 environments, and no changes are needed for existing applications.

Installing the IP security feature

The IP Security feature in AIX is separately installable and loadable.

The file sets that must be installed are as follows:

- `bos.net.ipsec.rte` (The runtime environment for the kernel IP Security environment and commands)
- `bos.msg.LANG.net.ipsec` (where *LANG* is the specified language, such as `en_US`)
- `bos.net.ipsec.keymgt`
- `cllc.rte` (CryptoLite for C, fileset for DES, triple DES and AES encryption)

For IKE digital signature support, you must also install the latest GSKit package from the Expansion Pack.

Note: When creating a new keystore database for IKE digital signature support with GSKit8 version 8.0.50.69 or later, create the stash by using the `-v1 stash` flag. The following example shows the usage of the `gsk8capicmd` with the `-v1 stash` flag:

```
gsk8capicmd -keydb -create -db <Keydb_name> -pw <password_for_kdb> -type cms -stash -v1 stash
```

After it is installed, IP Security can be separately loaded for IP Version 4 and IP Version 6, either by using the recommended procedure that is provided in [“Loading IP security” on page 236](#) or by using the `mkdev` command.

Loading IP security

Use SMIT to automatically load the IP security modules when IP Security is started. Also, SMIT ensures that the kernel extensions and IKE daemons are loaded in the correct order.

Note: Loading IP Security enables the filtering function. Before loading, it is important to ensure the correct filter rules are created. Otherwise, all outside communication might be blocked.

If the loading completes successfully, the `lsdev` command shows the IP Security devices as Available.

```
lsdev -C -c ipsec

ipsec_v4 Available IP Version 4 Security Extension
ipsec_v6 Available IP Version 6 Security Extension
```

After the IP Security kernel extension has been loaded, tunnels and filters are ready to be configured.

Planning IP security configuration

To configure IP Security, plan to configure the tunnels and filters first.

When a simple tunnel is defined for all traffic to use, the filter rules can be automatically generated. If more complex filtering is desired, filter rules can be configured separately.

You can configure IP Security using the Virtual Private Network plug-in or the System Management Interface Tool (SMIT). If using SMIT, the following fast paths are available:

smit ips4_basic

Basic configuration for IP version 4

smit ips6_basic

Basic configuration for IP version 6

Before configuring IP Security for your site, you must decide what method you intend to use; for example, whether you prefer to use tunnels or filters (or both), which type of tunnel best suits your needs, and so on. The following sections provide information you must understand before making these decisions:

Hardware acceleration

The 10/100 Mbps Ethernet PCI Adapter II (Feature code 4962) offers standards-based IP Security and is designed to offload IP Security functions from the AIX operating system.

When the 10/100 Mbps Ethernet PCI Adapter II is present in the AIX system, the IP Security stack uses the following capabilities of the adapter:

- Encryption and decryption using DES or Triple DES algorithms
- Authentication using the MD5 or SHA-1 algorithms
- Storage of the security-association information

The functions on the adapter are used instead of the software algorithms. The 10/100 Mbps Ethernet PCI Adapter II is available for manual and IKE tunnels.

The IP Security hardware acceleration feature is available in the 5.1.0.25 or later level of the `bos.net.ipsec.rte` and `devices.pci.1410ff01.rte` file sets.

There is a limit on the number of security associations that can be offloaded to the network adapter on the receive side (inbound traffic). On the transmit side (outbound traffic), all packets that use a supported configuration are offloaded to the adapter. Some tunnel configurations can not be offloaded to the adapter.

The 10/100 Mbps Ethernet PCI Adapter II supports the following features:

- DES, 3DES, or NULL encryption through ESP
- HMAC-MD5 or HMAC-SHA-1 authentication through ESP or AH, but not both. (If ESP and AH both used, ESP must be performed first. This is always true for IKE tunnels, but the user can select the order for manual tunnels.)
- Transport and Tunnel mode
- Offload of IPV4 packets

Note: The 10/100 Mbps Ethernet PCI Adapter II cannot handle packets with IP options.

To enable the 10/100 Mbps Ethernet PCI Adapter II for IP Security, you may have to detach the network interface and then enable the IPsec Offload feature.

To detach the network interface, perform the following steps using the SMIT interface:

To enable the IPsec Offload feature, do the following using the SMIT interface:

1. Login as the **root** user.
2. Type `smitty eadap` at the command line and press Enter.
3. Select the **Change / Show Characteristics of an Ethernet Adapter** option and press Enter.
4. Select the 10/100 Mbps Ethernet PCI Adapter II and press Enter.
5. Change the IPsec Offload field to yes and press Enter.

To detach the network interface, from the command line, type the following:

```
# ifconfig enX detach
```

To enable the IPsec offload attribute, from the command line, type the following:

```
# chdev -l entX -a ipsec_offload=yes
```

To verify that the IPsec offload attribute has been enabled, from the command line, type the following:

```
# lsattr -El entX detach
```

To disable the IPsec offload attribute, from the command line, type the following:

```
# chdev -l entX -a ipsec_offload=no
```

Use the **entstat** command to ensure that your tunnel configuration is taking advantage of the IPsec offload attribute. The **entstat** command shows all the statistics of transmit and receive IPsec packets when the IPsec offload attribute is enabled. For example, if the Ethernet interface is **ent1**, type the following:

```
# entstat -d ent1
```

The output will be similar to the following example:

```
.  
. .  
10/100 Mbps Ethernet PCI Adapter II (1410ff01) Specific Statistics:  
-----  
. .  
. .  
Transmit IPsec packets: 3  
Transmit IPsec packets dropped: 0
```

Receive IPsec packets: 2
Receive IPsec packets dropped: 0

Network tunable parameter

Depending on the number of tunnels in your configuration, you can increase the maximum buffer size for a socket.

If a large number of tunnels are running in your environment and the **sb_max** tunable parameter remains at the default value, the IKE daemon process and the Tunnel Manager daemon process might stop responding because of the heavy load in the network.

You might want to use the following values for the **sb_max** tunable parameter:

- 10 MB for 500 tunnels
- 20 MB for 1000 tunnels

Related information

[The sb_max tunable](#)

Tunnels versus filters

Two distinct parts of IP Security are *tunnels* and *filters*. Tunnels require filters, but filters do not require tunnels.

Filtering is a function in which incoming and outgoing packets can be accepted or denied based on a variety of characteristics called *rules*. This function allows a system administrator to configure the host to control the traffic between this host and other hosts. Filtering is done on a variety of packet properties, such as source and destination addresses, IP Version (4 or 6), subnet masks, protocol, port, routing characteristics, fragmentation, interface, and tunnel definition. This filtering is done at the IP layer, so no changes are required to the applications.

Tunnels define a security association between two hosts. These security associations involve specific security parameters that are shared between end points of the tunnel.

The following illustration indicates how a packet comes in from the network adapter to the IP stack. From there, the filter module is called to determine if the packet is permitted or denied. If a tunnel ID is specified, the packet is checked against the existing tunnel definitions. If the decapsulation from the tunnel is successful, the packet is passed to the upper-layer protocol. This function occurs in reverse order for outgoing packets. The tunnel relies on a filter rule to associate the packet with a particular tunnel, but the filtering function can occur without passing the packet to the tunnel.

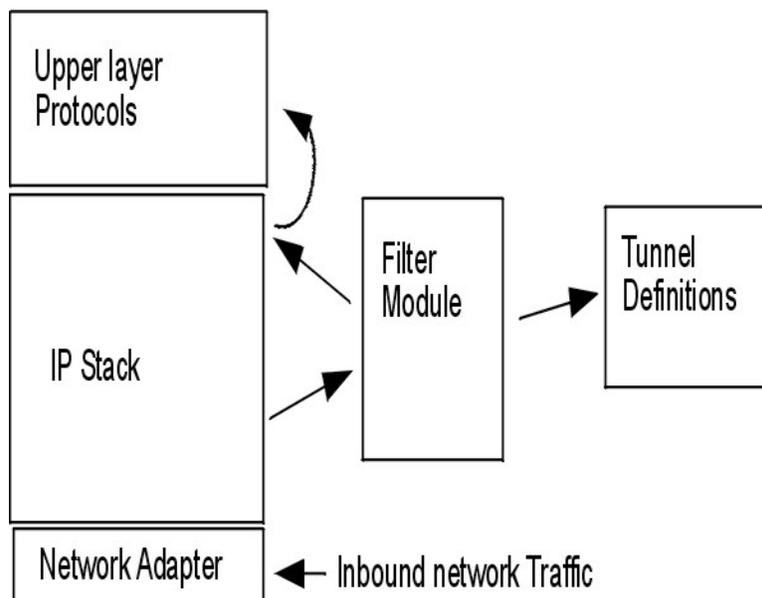


Figure 7. Network Packet Routing

The illustration shows the route a network packet takes. Inbound from the network, the packet enters the network adapter. From there it goes to the IP stack where it is sent to the filter module. From the filter module, the packet is either sent to tunnel definitions or it is returned to the IP stack where it is forwarded to the upper-layer protocols.

Tunnels and security associations

Tunnels are used whenever you need to have data authenticated, or authenticated and encrypted. Tunnels are defined by specifying a security association between two hosts. The security association defines the parameters for the encryption and authentication algorithms and characteristics of the tunnel.

The following illustration shows a virtual tunnel between Host A and Host B.

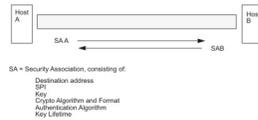


Figure 8. Establishment of a Secure Tunnel Between Hosts A and B

The illustration shows a virtual tunnel running between Host A and Host B. Security association A is an arrow directed from Host A to Host B. Security association B is an arrow directed from Host B to Host A. A security association consists of the Destination Address, SPI, Key, Crypto Algorithm and Format, Authentication Algorithm, and Key Lifetime.

The Security Parameter Index (SPI) and the destination address identify a unique security association. These parameters are required for uniquely specifying a tunnel. Other parameters such as cryptographic algorithm, authentication algorithm, keys, and lifetime can be specified or defaults can be used.

Tunnel considerations

You should consider several things before deciding which type of tunnel to use for IP security.

IKE tunnels differ from manual tunnels because the configuration of security policies is a separate process from defining tunnel endpoints.

In IKE, there is a two-step negotiation process. Each step of the negotiation process is called a *phase*, and each phase can have separate security policies.

When the Internet Key negotiation starts, it must set up a secure channel for the negotiations. This is known as the *key management* phase or *phase 1*. During this phase, each party uses preshared keys or digital certificates to authenticate the other and pass ID information. This phase sets up a security association during which the two parties determine how they plan to communicate securely and then which protections are to be used to communicate during the second phase. The result of this phase is an *IKE* or *phase 1* tunnel.

The second phase is known as the *data management* phase or *phase 2* and uses the IKE tunnel to create the security associations for AH and ESP that actually protect traffic. The second phase also determines the data that will be using the IP Security tunnel. For example, it can specify the following:

- A subnet mask
- An address range
- A protocol and port number combination

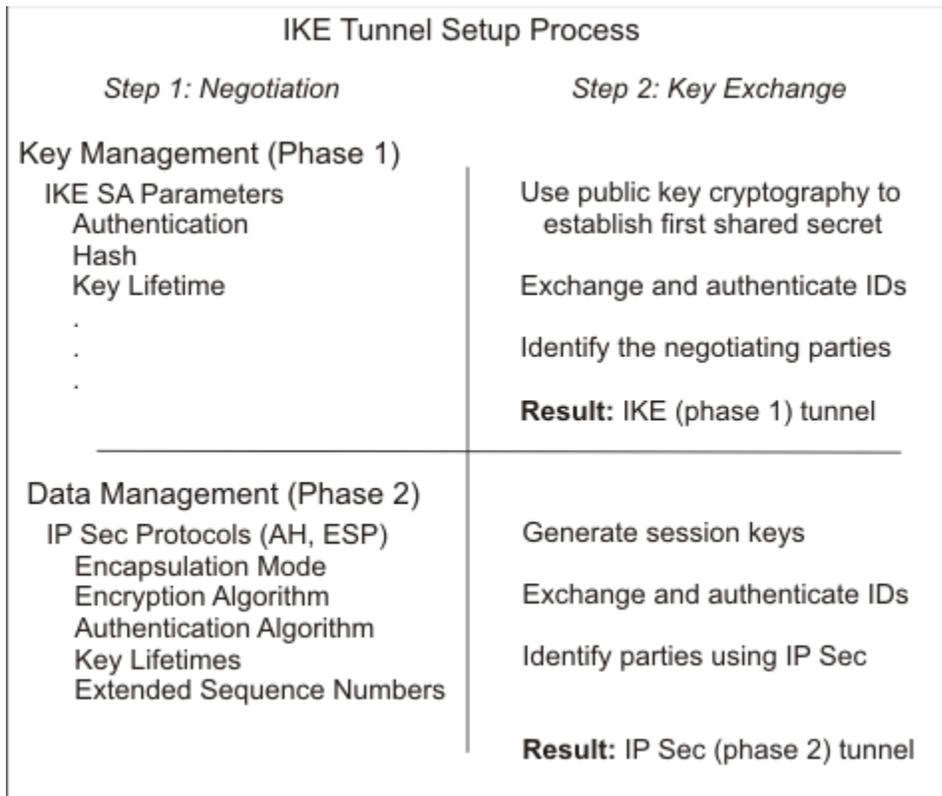


Figure 9. IKE Tunnel Setup Process

This illustration shows the two-step, two-phase process for setting up an IKE tunnel.

Note: IKEv2 also has two phases. The first phase is known as the *IKE SA* phase or *phase 1*. The second phase is known as the *CHILD SA* phase or *phase 2*. Unlike the way tunnels are established in IKEv1, when a phase 1 tunnel is established in IKEv2, a phase 2 tunnel is automatically activated. The configuration of IKEv2 tunnels is similar to configuration of IKEv1 tunnels.

In many cases, the endpoints of the key management (IKE) tunnel will be the same as the endpoints of the data management (IP Security) tunnel. The IKE tunnel endpoints are the IDs of the machines carrying out the negotiation. The IP Security tunnel endpoints describe the type of traffic that will use the IP Security tunnel. For simple host-to-host tunnels, in which all traffic between two tunnels is protected with the same tunnel, the phase 1 and phase 2 tunnel endpoints are the same. When negotiating parties are two gateways, the IKE tunnel endpoints are the two gateways, and the IP Security tunnel endpoints are the machines or subnets (behind the gateways) or the range of addresses (behind the gateways) of the tunnel users.

Key management parameters and policy

You can customize key-management policy by specifying the parameters to be used during IKE negotiation. For example, there are key-management policies for pre-shared key or signature mode authentication. For Phase 1, the user must determine certain key-management security properties with which to carry out the exchange.

Phase 1 (the key management phase) sets the following parameters of an IKE tunnel configuration:

Key Management (Phase 1) Tunnel

Name of this IKE tunnel. For each tunnel, the endpoints of the negotiation must be specified. These are the two machines that plan to send and validate IKE messages. The name of the tunnel may describe the tunnel endpoints such as VPN Boston or VPN Acme.

Host Identity Type

ID type that will be used in the IKE exchange. The ID type and value must match the value for the preshared key to ensure that proper key lookup is performed. If a separate ID is used to search a

preshared key value, the *host ID* is the key's ID and its *type* is KEY_ID. The KEY_ID type is useful if a single host has more than one preshared key value.

Host Identity

Value of the host ID represented as an IP address, a fully qualified domain name (FQDN), or a user at the fully qualified domain name (*user@FQDN*). For example, *jdoe@studentmail.ut.edu*.

IP Address

IP address of the remote host. This value is required when the host ID type is KEY_ID or whenever the host ID type cannot be resolved to an IP address. For example, if the user name cannot be resolved with a local name server, the IP address for the remote side must be entered.

Data management parameters and policy

The data management proposal parameters are set during phase 1 of an IKE tunnel configuration. They are the same IP Security parameters used in manual tunnels and describe the type of protection to be used for protecting data traffic in the tunnel. You can start more than one phase 2 tunnel under the same phase 1 tunnel.

The following endpoint ID types describe the type of data that uses the IP Security Data tunnel:

Host, Subnet, or Range

Describes whether the data traffic traveling in the tunnel will be for a particular host, subnet, or address range.

Host/Subnet ID

Contains the host or subnet identity of the local and remote systems passing traffic over this tunnel. Determines the IDs sent in the phase 2 negotiation and the filter rules that will be built if the negotiation is successful.

Subnet mask

Describes all IP addresses within the subnet (for example, host 9.53.250.96 and mask 255.255.255.0).

Starting IP Address Range

Provides the starting IP address for the range of addresses that will be using the tunnel (for example, 9.53.250.96 of 9.53.250.96 to 9.53.250.93).

Ending IP Address Range

Provides the ending IP address for the range of addresses that will be using the tunnel (for example, 9.53.250.93 of 9.53.250.96 to 9.53.250.93).

Port

Describes data using a specific port number (for example, 21 or 23).

Protocol

Describes data being transported with a specific protocol (for example, TCP or UDP). Determines the protocol sent in the phase 2 negotiation and the filter rules that will be built if the negotiation is successful. The protocol for the local endpoint must match the protocol for the remote endpoint.

End Port

Describes the end port for the data transmission (for example, 100 or 500). By default, 65355 is the end port.

Restriction: For IKEv2, only use IPv4 or IPv6 address ranges as traffic selectors. End Port is applicable only for IKEv2 and AIX 6.1 TL 04, or later.

Choosing a tunnel type

The decision to use manual tunnels or IKE tunnels depends on the tunnel support of the remote end and the type of key management desired.

When available, use IKE tunnels because they offer industry-standard secure key negotiation and key refreshment. They also take advantage of the IETF ESP and AH header types and support anti-replay protection. You can optionally configure signature mode to allow digital certificates.

If the remote end uses one of the algorithms requiring manual tunnels, manual tunnels should be used. Manual tunnels ensure interoperability with a large number of hosts. Because the keys are static and

difficult to change and might be cumbersome to update, they are not as secure. Manual tunnels can be used between a host running this operating system and any other machine running IP Security and having a common set of cryptographic and authentication algorithms. Most vendors offer Keyed MD5 with DES, or HMAC MD5 with DES. This subset works with almost all implementations of IP Security.

The procedure used in setting up manual tunnels, depends on whether you are setting up the first host of the tunnel or setting up the second host, which must have parameters matching the first host setup. When setting up the first host, the keys can be autogenerated, and the algorithms can be defaulted. When setting up the second host, import the tunnel information from the remote end, if possible.

Another important consideration is determining whether the remote system is behind a firewall. If it is, the setup must include information about the intervening firewall.

Using IKE with DHCP or dynamically assigned addresses

One common scenario for using IP Security with an operating system is when remote systems are initiating IKE sessions with a server, and their identity cannot be tied to a particular IP address.

This case can occur in a Local Area Network (LAN) environment such as using IP Security to connect to a server on a LAN and wanting to encrypt the data. Other common uses involve remote clients dialing into a server and using either a fully qualified domain name (FQDN), or e-mail address (user@FQDN) to identify the remote ID.

In the Key Management phase (Phase 1), an RSA Signature is the only authentication mode supported if you use main mode with non-IP address IDs. In another words, if you want use pre-shared key authentication, you must use aggressive mode or main mode with IP addresses as IDs. In fact, when the number of DHCP clients with whom you want establish IPsec tunnels is large, it becomes impractical to define unique, pre-shared keys for each DHCP client, so it is recommend you use RSA Signature authentication in this scenario. You also can use Group ID as a remote ID in tunnel definition so that you only define the tunnel once with all DHCP clients (see tunnel definition sample file `/usr/samples/ipsec/group_aix_responder.xml`). Group ID is a unique feature of AIX IPsec. You can define a group ID to include any IKE IDs (like a single IP address), FQDN, User FQDN, a range or set of IP addresses, and so on, and then use this Group ID as the phase 1 or phase 2 remote ID in your tunnel definitions.

Note: When Group ID is used, tunnel should be defined as Responder role only. That means you must activate this tunnel from the DHCP client side.

For the Data Management phase (Phase 2), when the IP Security associations are being created to encrypt TCP or UDP traffic, a generic data management tunnel can be configured. Therefore, any request that was authenticated during phase 1, will use the generic tunnel for defined Data Management phase if the IP address is not explicitly configured in the database. This allows any address to match the generic tunnel and can be used as long as the rigorous public key-based security validation was successful in phase 1.

Using XML to define a generic data management tunnel

You can define a generic Data Management tunnel using the XML format understood by **ikedb**.

See the section entitled [“Command-line interface for IKE tunnel configuration”](#) on page 244 for more information on the IKE XML interface and the **ikedb** command. Generic Data Management tunnels are used with DHCP. The XML format uses the tag name `IPSecTunnel`. This is also referred to as a *phase 2 tunnel* in other contexts. A *generic Data Management tunnel* is not a true tunnel, but an `IPSecProtection` that is used if an incoming Data Management message (under a specific Key Management tunnel) does not match any Data Management tunnel defined for that Key Management tunnel. It is only used in the case where the AIX system is the responder. Specifying a generic Data Management tunnel `IPSecProtection` is optional.

The generic Data Management tunnel is defined in the `IKEProtection` element. There are two XML attributes, called `IKE_IPSecDefaultProtectionRef` and `IKE_IPSecDefaultAllowedTypes`, that are used for this.

First, you need to define an `IPSecProtection` that you would like to use as the default if no `IPSecTunnels` (Data Management tunnels) match. An `IPSecProtection` that is to be used as a default must have an `IPSec_ProtectionName` that begins with `_defIPsprot_`.

Now go to the IKEProtection that you would like to use this default IPSecProtection. Specify an **IKE_IPSecDefaultProtectionRef** attribute that contains the name of the default IPSec_Protection.

You must also specify a value for the **IKE_IPSecDefaultAllowedTypes** attribute in this IKEProtection. It can have one or more of the following values (if multiple values, they should be space-separated):

```
Local_IPV4_Address
Local_IPV6_Address
Local_IPV4_Subnet
Local_IPV6_Subnet
Local_IPV4_Address_Range
Local_IPV6_Address_Range
Remote_IPV4_Address
Remote_IPV6_Address
Remote_IPV4_Subnet
Remote_IPV6_Subnet
Remote_IPV4_Address_Range
Remote_IPV6_Address_Range
```

These values correspond to the ID types specified by the initiator. In the IKE negotiation, the actual IDs are ignored. The specified IPSecProtection is used if the **IKE_IPSecDefaultAllowedTypes** attribute contains a string beginning with Local_ that corresponds to the initiator's local ID type, and contains a string beginning with Remote_ that corresponds to the initiator's remote ID type. In other words, you must have at least one Local_ value and at least one Remote_ value in any **IKE_IPSecDefaultAllowedTypes** attribute in order for the corresponding IPSec_Protection to be used.

General data management tunnel example

A Data Management tunnel can be used to send a message to the system.

An initiator sends the following to the AIX system in a phase 2 (Data Management) message:

```
local ID type:   IPV4_Address
local ID:       192.168.100.104

remote ID type:  IPV4_Subnet
remote ID:      10.10.10.2
remote netmask: 255.255.255.192
```

The AIX system does not have a Data Management tunnel matching these IDs. But it does have an IPSecProtection with the following attributes defined:

```
IKE_IPSecDefaultProtectionRef="_defIPSProt_protection4"
IKE_IPSecDefaultAllowedTypes="Local_IPV4_Address
Remote_IPV4_Address
Remote_IPV4_Subnet
Remote_IPV4_Address_Range"
```

The local ID type of the incoming message, IPV4_Address, matches one of the Local_ values of the allowed types, Local_IPV4_Address. Also, the remote ID of the message, IPV4_Subnet, matches the value Remote_IPV4_Subnet. Therefore the Data Management tunnel negotiation will proceed with _defIPSProt_protection4 as the IPSecProtection.

The /usr/samples/ipsec/default_p2_policy.xml file is a full XML file defining a generic IPSecProtection that can be used as an example.

> **IKE (IKE_AUTH) message fragmentation**

The AIX operating system supports fragmentation of IKE (IKE_AUTH) messages with Version 2 (IKEv2).

Note: The AIX operating system does not support IKE (IKE_AUTH) message fragmentation on IKExxx Version 1 (IKEv1).

IKEv2 uses User Datagram Protocol (UDP) traffic to exchange IKE messages. Most IKE (IKE_AUTH) messages are small in size. If you use IKE certificates, the size of the IKE_AUTH message might be large. As a result, the size of the maximum transmission unit (MTU) exceeds beyond the allowed limit at the IP layer, which causes fragmentation of large messages. Few routers block IP fragments and remove them from the queue, which prevents the creation of IP Security (IPsec) tunnels.

In AIX operating system, the IPsec tunnel fragments large IKE(IKE_AUTH) messages by using the **IKE_FRAGMENTATION** parameter that is enabled in the `/etc/isakmpd.conf` file. IKEv2 fragmentation is implemented by using [RFC7383](#).

To enable IKE (IKE_AUTH) message fragmentation, set the `IKE_FRAGMENTATION` parameter in the `/etc/isakmpd.conf` file.

```
IKE_FRAGMENTATION = YES or NO (default NO)
```

If you set to the `IKE_FRAGMENTATION` parameter to **YES** on the local and remote nodes, the IKE messages are fragmented. If you set the `IKE_FRAGMENTATION` parameter to **NO** on any one node (local or remote), the AIX operating system does not fragment IKE (IKE_AUTH) messages and does not send or receive the fragmented IKE (IKE_AUTH) message.

Note: For IPv4, if you set the `IKE_FRAGMENTATION` parameter to **YES**, the size of the fragmented IKE_AUTH message fragment is less than or equal to 576. For IPv6, if you set the `IKE_FRAGMENTATION` parameter to **YES**, the size of the fragmented IKE (IKE_AUTH) message is less than or equal to 1280.



Configuring Internet key exchange tunnels

You can configure Internet Key Exchange (IKE) tunnels using the System Management Interface Tool (SMIT) or the command line.

Using the SMIT interface for IKE tunnel configuration

You can use the SMIT interface to configure IKE tunnels and perform basic IKE database functions.

SMIT uses underlying XML command functions to perform additions, deletions, and modifications to the IKE tunnel definitions. IKE SMIT is used in configuring IKE tunnels quickly and provides examples of the XML syntax used to create IKE tunnel definitions. The IKE SMIT menus also allow you to back up, restore, and initialize the IKE database.

To configure an IPv4 IKE tunnel, use the **smitty ike4** fast path. To configure an IPv6 IKE tunnel, use the **smitty ike6** fast path. The IKE database functions can be found in the Advanced IP Security Configuration menu.

Command-line interface for IKE tunnel configuration

The **ikedb** command allows a user to retrieve, update, delete, import, and export information in the IKE database using an XML interface.

The **ikedb** command allows the user to write to (put) or read from (get) the IKE database. The input and output format is an Extensible Markup Language (XML) file. The format of an XML file is specified by its Document Type Definition (DTD). The **ikedb** command allows the user to see the DTD that is used to validate the XML file when doing a put. While entity declarations can be added to the DTD using the **-e** flag, this is the only modification to the DTD that can be made. Any external DOCTYPE declaration in the input XML file will be ignored and any internal DOCTYPE declaration might result in an error. The rules followed to parse the XML file using the DTD are specified in the XML standard. The `/usr/samples/ipsec` file has a sample of a typical XML file that defines common tunnel scenarios.

You can use the **ike** command to start, stop, and monitor IKE tunnels. The **ike** command can also be used to activate, remove, or list IKE and IP Security tunnels.

The following examples show how to use **ike**, **ikedb**, and several other commands to configure and check the status of your IKE tunnel:

1. To start a tunnel negotiation (*activate* a tunnel) or to allow the incoming system to act as a responder (depending on the role that is specified), use the **ike** command with a tunnel number, as follows:

```
# ike cmd=activate numlist=1
```

You can also use remote id or IP addresses, as shown in the following examples:

```
# ike cmd=activate remid=9.3.97.256
# ike cmd=activate ipaddr=9.3.97.100, 9.3.97.256
```

Because it might take several seconds for the commands to complete, the command returns after the negotiation is started.

2. To display the tunnel status, use the **ike** command, as follows:

```
# ike cmd=list
```

The output looks similar to the following:

```
Phase 1 Tunnel ID      [1]
Phase 2 Tunnel ID      [1]
```

The output shows phase 1 and phase 2 tunnels that are currently active.

3. To get a verbose listing of the tunnel, use the **ike** command, as follows:

```
# ike cmd=list verbose
```

The output looks similar to the following:

```
Phase 1 Tunnel ID      1
Local ID Type:         Fully_Qualified_Domain_Name
Local ID:               bee.austin.ibm.com
Remote ID Type:         Fully_Qualified_Domain_Name
Remote ID:              ipsec.austin.ibm.com
Mode:                   Aggressive
Security Policy:        BOTH_AGGR_3DES_MD5
Role:                   Initiator
Encryption Alg:         3DES-CBC
Auth Alg:                Preshared Key
Hash Alg:                MD5
Key Lifetime:           28800 Seconds
Key Lifesize:           0 Kbytes
Key Rem Lifetime:       28737 Seconds
Key Rem Lifesize:       0 Kbytes
Key Refresh Overlap:    5%
Tunnel Lifetime:        2592000 Seconds
Tunnel Lifesize:        0 Kbytes
Tun Rem Lifetime:       2591937 Seconds
Status:                  Active

Phase 2 Tunnel ID      1
Local ID Type:         IPv4_Address
Local ID:               10.10.10.1
Local Subnet Mask:      N/A
Local Port:             any
Local Protocol:         all
Remote ID Type:         IPv4_Address
Remote ID:              10.10.10.4
Remote Subnet Mask:     N/A
Remote Port:            any
Remote Portocol:        all
Mode:                   Oakley_quick
Security Policy:        ESP_3DES_MD5_SHA_TUNNEL_NO_PFS
Role:                   Initiator
Encryption Alg:         ESP_3DES
AH Transform:           N/A
Auth Alg:                HMAC-MD5
PFS:                    No
SA Lifetime:            600 Seconds
SA Lifesize:            0 Kbytes
SA Rem Lifetime:        562 Seconds
SA Rem Lifesize:        0 Kbytes
Key Refresh Overlap:    15%
Tunnel Lifetime:        2592000 Seconds
Tunnel Lifesize:        0 Kbytes
Tun Rem Lifetime:       2591962 Seconds
Assoc P1 Tunnel:        0
Encap Mode:             ESP_tunnel
Status:                  Active
```

4. To display the filter rules in the dynamic filter table for the newly activated IKE tunnel, use the **lsfilt** command as follows:

```
# lsfilt -d
```

The output looks similar to the following example:

```
1 permit 0.0.0.0 0.0.0.0 0.0.0.0 0.0.0.0 no udp eq 4001 eq 4001 both both no all
  packets 0 all
2 *** Dynamic filter placement rule *** no
0 permit 0.0.0.0 0.0.0.0 0.0.0.0 0.0.0.0 yes all any 0 any 0 both both no all
  packets 0 all

*** Dynamic table ***

0 permit 0.0.0.0 0.0.0.0 0.0.0.0 0.0.0.0 no udp eq 500 eq 500 local both no all
  packets 0
0 permit 0.0.0.0 0.0.0.0 0.0.0.0 0.0.0.0 no ah any 0 any 0 both inbound no all
  packets 0
0 permit 0.0.0.0 0.0.0.0 0.0.0.0 0.0.0.0 no esp any 0 any 0 both inbound no all
  packets 0
1 permit 10.10.10.1 255.255.255.255 10.10.10.4 255.255.255.255 no all any 0 any
  0 both outbound yes all packets 1
1 permit 10.10.10.4 255.255.255.255 10.10.10.1 255.255.255.255 no all any 0 any
  0 both inbound yes all packets 1
```

This example shows a machine that has one IKE tunnel and no other tunnels. The dynamic filter placement rule (rule #2 in this example output of the static table) can be moved by the user to control placement relative to all other user-defined rules. The rules in the dynamic table are constructed automatically as tunnels are negotiated and corresponding rules are inserted into the filter table. These rules can be displayed, but not edited.

5. To turn on logging of the dynamic filter rules, set the logging option for rule #2 to Yes, use the **chfilt** command, as shown in the following example:

```
# chfilt -v 4 -n 2 -l y
```

For more details on logging IKE traffic, see [“Logging facilities” on page 282](#).

6. To deactivate the tunnel, use the **ike** command as follows:

```
# ike cmd=remove numlist=1
```

7. To view tunnel definitions, use the **ikedb** command as follows:

```
# ikedb -g
```

8. To put definitions to the IKE database from an XML file that has been generated on a peer machine and overwrite any existing objects in the database with the same name, use the **ikedb** command as follows:

```
# ikedb -pFs peer_tunnel_conf.xml
```

The `peer_tunnel_conf.xml` is the XML file generated on a peer machine.

9. To get the definition of the phase 1 tunnel named `tunnel_sys1_and_sys2` and all dependent phase 2 tunnels with respective proposals and protections, use the **ikedb** command, as follows:

```
# ikedb -gr -t IKETunnel -n tunnel_sys1_and_sys2
```

10. To delete all preshared keys from the database, use the **ikedb** command, as follows:

```
# ikedb -d -t IKEPresharedKey
```

For general information on IKE tunnel group support, see [“Group support” on page 247](#). You can use the **ikedb** command to define groups from the command line.

AIX IKE and Linux affinity

It is possible to configure an AIX IKE tunnel using Linux configuration files.

To configure an AIX IKE tunnel using Linux configuration files, use the **ikedb** command with the **-c** flag (conversion option), which lets you use the `/etc/ipsec.conf` and `/etc/ipsec.secrets` Linux configuration files as IKE tunnel definitions. The **ikedb** command parses the Linux configuration files, creates an XML file, and optionally adds the XML tunnel definitions to the IKE database. You can then view the tunnel definitions by using the **ikedb -g** command.

Group support

IP security supports grouping IKE IDs in a tunnel definition to associate multiple IDs with a single security policy without having to create separate tunnel definitions.

Grouping is especially useful when setting up connections to several remote hosts, because you can avoid setting up or managing multiple tunnel definitions. Also, if changes must be made to a security policy, you do not need to change multiple tunnel definitions.

A group must be defined before using that group name in a tunnel definition. The group's size is limited to 1 KB. On the initiator's side of the negotiation, you can use groups as a remote ID in data management tunnel definitions only. On the responders side of the negotiation, you can use groups as a remote ID in key management and data management tunnel definitions.

A group is composed of a group name and a list of IKE IDs and ID types. IDs can be the same type or a mix of the following:

- IPv4 addresses
- IPv6 addresses
- FQDN
- user@FQDN
- X500 DN types

During a Security Association negotiation, the IDs in a group are searched linearly for the first match.

Refer to [“Command-line interface for IKE tunnel configuration” on page 244](#) for information about defining groups from the command line.

IKE tunnel configuration scenarios

The following scenarios describe the type of situations most customers encounter when trying to set up tunnels. These scenarios can be described as the branch office, business partner, and remote access cases.

- In the branch office case, the customer has two trusted networks that they want to connect together—the engineering group of one location to the engineering group of another. In this example, there are gateways that connect to each other and all the traffic passing between the gateways use the same tunnel. The traffic at either end of the tunnel is decapsulated and passes in the clear within the company intranet.

In the first phase of the IKE negotiation, the IKE security association is created between the two gateways. The traffic that passes in the IP Security tunnel is the traffic between the two subnets, and the subnet IDs are used in the phase 2 negotiation. After the security policy and tunnel parameters are entered for the tunnel, a tunnel number is created. Use the **ike** command to start the tunnel.

- In the business partner scenario, the networks are not trusted, and the network administrator may want to restrict access to a smaller number of hosts behind the security gateway. In this case, the tunnel between the hosts carries traffic protected by IP Security for use between two particular hosts. The protocol of the phase 2 tunnel is AH or ESP. This host-to-host tunnel is secured within a gateway-to-gateway tunnel.
- In the remote access case, the tunnels are set up on demand and a high level of security is applied. The IP addresses may not be meaningful, therefore, fully qualified domain names or `user@` fully qualified domain names are preferred. Optionally, you can use `KEYID` to relate a key to a host ID.

> | **Configuring multiple IKEv2 tunnels by using the same digital certificate**

You can use the same digital certificate over multiple Internet Key Exchange Version 2 (IKEv2) tunnels.

Starting with AIX Version 7.2 Technology Level 5, you can use the same digital certificates at a specific endpoint to configure multiple IKEv2 tunnels, when you use RSA digital signatures in Phase1 configuration for IKEv2. The following figure illustrates such an IKEv2 IPsec tunnel configuration:

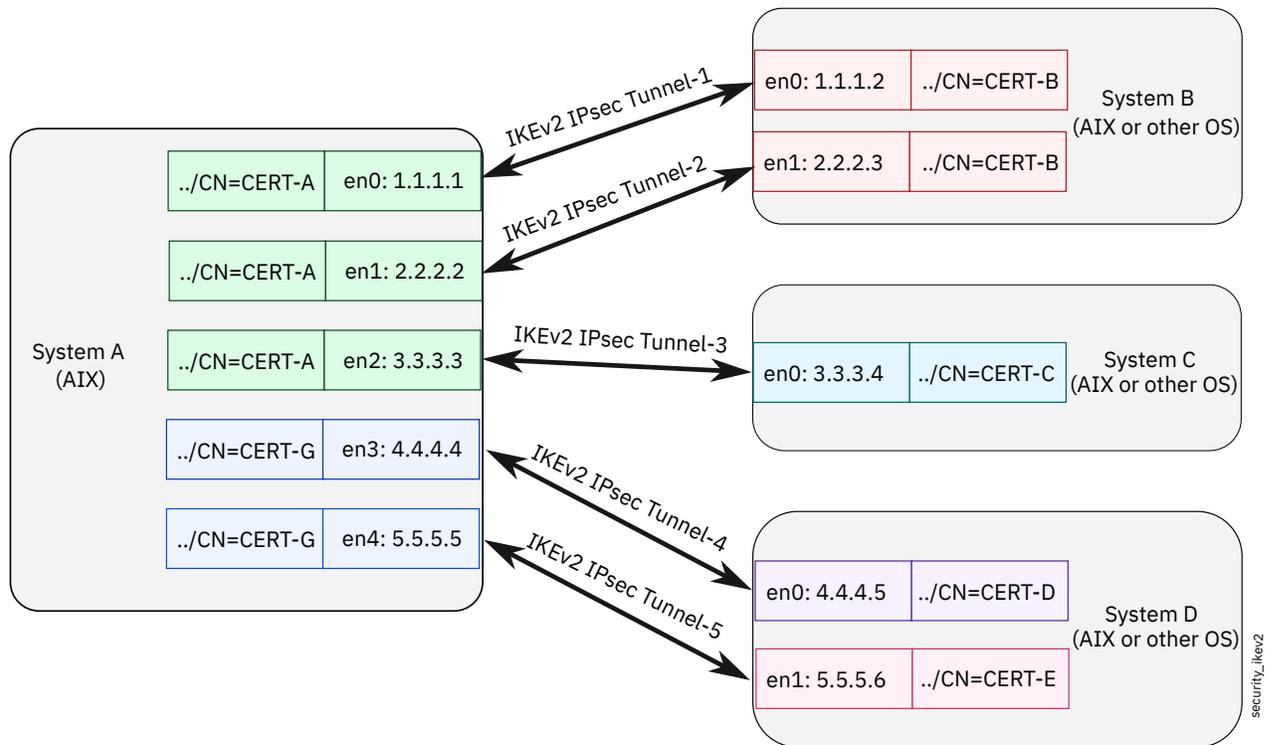


Figure 10. IKEv2 IP security tunnel configuration example

In this example configuration, System A uses the /CN=CERT-A certificate for three IKEv2 IPsec tunnels, Tunnel-1, Tunnel-2, and Tunnel-3. Two IKEv2 IPsec tunnels from System A are associated with System B, and one IKEv2 IPsec tunnel is associated with System C. Thus, System A is using the same /CN=CERT-A certificate for both System B and System C. System A has another certificate, /CN=CERT-G, which is used for two IKEv2 IPsec tunnels, Tunnel-4 and Tunnel-5 that are associated with System D.

To use the same IKEv2 certificate over multiple IKEv2 IPsec tunnels as shown in the [Figure 1](#), consider the following guidelines:

- This type of IKEv2 IPsec tunnel configuration is supported only for IKEv2 protocol on the AIX operating system. This tunnel configuration does not support the IKEv1 protocol. Therefore, you cannot use IKEv1 IPsec tunnels for this configuration. To use this type of IKEv2 IPsec tunnel configuration, start the `ikev2` daemons by using the following commands:

```
startsrc -s tmd; startsrc -s ikev2d; startsrc -s cpsd
```

- This type of IKEv2 IPsec tunnel configuration supports Rivest-Shamir-Adleman algorithm (RSA) digital signatures that are configured only with the `ASN1_DN` elements in the tunnel definition of Phase1 configuration. For more information, see [Creating IKE tunnels using digital certificates](#). A combination of fully qualified domain name (FQDN) and a pre-shared key (PSK) are not supported. Also, the `ASN1_DN` elements in the tunnel definition within the IKE group is not supported in this configuration setup.
- This type of IKEv2 IPsec tunnel configuration does not support the `remid` option with the `activate` subcommand of the `ike` command. For example, the following command is not supported:

```
ike cmd=activate phase=1 remid=/c=IN/o=IBM/ou=ISL/cn=CERT-B
```

Alternatively, use the following command with IKEv2 certificates to activate the required tunnel:

```
ike cmd=activate numlist=2
```

The following snippet is an example of key management security association (also known as Phase1 configuration) on System A that defines IKEv2 IPsec tunnels, in which the same IKEv2 certificate is used for multiple IKEv2 IPsec tunnels:

```
<IKETunnel
  IKE_TunnelName="Phase1Tunnel1"
  IKE_ProtectionRef="Phase1Tunnel1Pol"
  IKE_Flags_AutoStart="No"
  IKE_Flags_MakeRuleWithOptionalIP="Yes">
  <IKELocalIdentity>
    <ASN1_DN
      Value="/c=IN/st=KA/l=BA/o=IBM/ou=ISL/cn=CERT-A">
    <IPV4_Address
      Value="1.1.1.1"/>
    </ASN1_DN>
  </IKELocalIdentity>
  <IKERemoteIdentity>
    <ASN1_DN
      Value="/c=IN/st=KA/l=BA/o=IBM/ou=ISL/cn=CERT-B">
    <IPV4_Address
      Value="1.1.1.2"/>
    </ASN1_DN>
  </IKERemoteIdentity>
</IKETunnel>
```

```
<IKETunnel
  IKE_TunnelName="Phase1Tunnel2"
  IKE_ProtectionRef="Phase1Tunnel2Pol"
  IKE_Flags_AutoStart="No"
  IKE_Flags_MakeRuleWithOptionalIP="Yes">
  <IKELocalIdentity>
    <ASN1_DN
      Value="/c=IN/st=KA/l=BA/o=IBM/ou=ISL/cn=CERT-A">
    <IPV4_Address
      Value="2.2.2.2"/>
    </ASN1_DN>
  </IKELocalIdentity>
  <IKERemoteIdentity>
    <ASN1_DN
      Value="/c=IN/st=KA/l=BA/o=IBM/ou=ISL/cn=CERT-B">
    <IPV4_Address
      Value="2.2.2.3"/>
    </ASN1_DN>
  </IKERemoteIdentity>
</IKETunnel>
```

```
<IKETunnel
  IKE_TunnelName="Phase1Tunnel3"
  IKE_ProtectionRef="Phase1Tunnel3Pol"
  IKE_Flags_AutoStart="No"
  IKE_Flags_MakeRuleWithOptionalIP="Yes">
  <IKELocalIdentity>
    <ASN1_DN
      Value="/c=IN/st=KA/l=BA/o=IBM/ou=ISL/cn=CERT-A">
    <IPV4_Address
      Value="3.3.3.3"/>
    </ASN1_DN>
  </IKELocalIdentity>
  <IKERemoteIdentity>
    <ASN1_DN
      Value="/c=IN/st=KA/l=BA/o=IBM/ou=ISL/cn=CERT-C">
    <IPV4_Address
      Value="3.3.3.4"/>
    </ASN1_DN>
  </IKERemoteIdentity>
</IKETunnel>
```

```

<IKETunnel
  IKE_TunnelName="Phase1Tunnel4"
  IKE_ProtectionRef="Phase1Tunnel4Pol"
  IKE_Flags_AutoStart="No"
  IKE_Flags_MakeRuleWithOptionalIP="Yes">
  <IKELocalIdentity>
    <ASN1_DN
      Value="/c=IN/st=KA/l=BA/o=IBM/ou=ISL/cn=CERT-G">
      <IPV4_Address
        Value="4.4.4.4"/>
    </ASN1_DN>
  </IKELocalIdentity>
  <IKERemoteIdentity>
    <ASN1_DN
      Value="/c=IN/st=KA/l=BA/o=IBM/ou=ISL/cn=CERT-D">
      <IPV4_Address
        Value="4.4.4.5"/>
    </ASN1_DN>
  </IKERemoteIdentity>
</IKETunnel>

```

```

<IKETunnel
  IKE_TunnelName="Phase1Tunnel5"
  IKE_ProtectionRef="Phase1Tunnel5Pol"
  IKE_Flags_AutoStart="No"
  IKE_Flags_MakeRuleWithOptionalIP="Yes">
  <IKELocalIdentity>
    <ASN1_DN
      Value="/c=IN/st=KA/l=BA/o=IBM/ou=ISL/cn=CERT-G">
      <IPV4_Address
        Value="5.5.5.5"/>
    </ASN1_DN>
  </IKELocalIdentity>
  <IKERemoteIdentity>
    <ASN1_DN
      Value="/c=IN/st=KA/l=BA/o=IBM/ou=ISL/cn=CERT-E">
      <IPV4_Address
        Value="5.5.5.6"/>
    </ASN1_DN>
  </IKERemoteIdentity>
</IKETunnel>

```

Each IKEv2 IPsec tunnel in the example snippet can be uploaded to the IKE database in the following ways:

- Each <IKETunnel> XML element is defined in a separate XML file, along with the corresponding Phase2 configuration. You can upload this type of IKEv2 tunnel definition by using the following command for each XML file:

```
ikedb -p file.xml
```

- All <IKETunnel> XML elements are defined in a single XML file, along with the corresponding Phase2 configuration and other required configuration settings. You can upload this type of IKEv2 tunnel definition by using the following command:

```
ikedb -p single_combined_file.xml
```

In the IKEv2 IP security tunnel configuration example in [Figure 1](#), if you run the **ike cmd=list** command in System A, the output might be similar to the following sample:

```
ike cmd=list
Phase Tun Id Status Local Id Remote Id
1 1 Active /c=IN/st=KA/l=BA/o=IBM/ou=ISL/cn=CERT-A /c=IN/st=KA/l=BA/o=IBM/ou=ISL/
cn=CERT-B
2 1 Active 1.1.1.1-1.1.1.1 1.1.1.2-1.1.1.2

Phase Tun Id Status Local Id Remote Id
1 2 Active /c=IN/st=KA/l=BA/o=IBM/ou=ISL/cn=CERT-A /c=IN/st=KA/l=BA/o=IBM/ou=ISL/
cn=CERT-B
2 2 Active 2.2.2.2-2.2.2.2 2.2.2.3-2.2.2.3

Phase Tun Id Status Local Id Remote Id
1 3 Active /c=IN/st=KA/l=BA/o=IBM/ou=ISL/cn=CERT-A /c=IN/st=KA/l=BA/o=IBM/ou=ISL/
cn=CERT-C
2 3 Active 3.3.3.3-3.3.3.3 3.3.3.4-3.3.3.4

Phase Tun Id Status Local Id Remote Id
1 3 Active /c=IN/st=KA/l=BA/o=IBM/ou=ISL/cn=CERT-G /c=IN/st=KA/l=BA/o=IBM/ou=ISL/
cn=CERT-D
2 3 Active 4.4.4.4-4.4.4.4 4.4.4.5-4.4.4.5

Phase Tun Id Status Local Id Remote Id
1 3 Active /c=IN/st=KA/l=BA/o=IBM/ou=ISL/cn=CERT-G /c=IN/st=KA/l=BA/o=IBM/ou=ISL/
cn=CERT-E
2 3 Active 5.5.5.5-5.5.5.5 5.5.5.6-5.5.5.6
```



Maintaining the IP security configuration

You can change the network environment without changing the IP security Internet Key Exchange (IKE) tunnel configuration.

When the IKE daemons, such as `isakmpd` (IKEv1), `ikev2d` (IKEv2), and `iked` (broker) are started, the daemons can accept packets from all the available interfaces and IPs. If new alias IPs or new interfaces with IPs are configured after the daemons are started, these daemons do not accept the IKE negotiation packets that are sent to new IPs. The new IP addresses and interfaces over which the daemons must start accepting the IKE negotiation packets must be communicated to the daemons by refreshing the daemons.

If you remove an alias or an interface that has an IP that was being used by the IKE daemons and then run a refresh operation, the interface is not available to the IKE daemons.

Refreshing individual subsystems

When you start the `isakmpd` or `ikev2d` daemons by using the `startsrc -s` command in isolation, refresh only the corresponding subsystems that are used by the daemon that was started, by using the following command:

```
refresh -s isakmpd
OR
refresh -s ikev2d
```

Refreshing the IKE group

When you start the IKE group (a set of IKE daemons) by using the `startsrc -g ike` command, refresh the IKE group and not corresponding subsystems that are used by the IKE daemon, by using the following command:

```
refresh -g ike
```

Notes:

- You must run the refresh operation only after you start the daemons. A refresh operation on an inactive IKE group or subsystem does not activate the daemons.

- You can start the `isakmpd` or `ikev2d` daemons by running the following commands:

```
"startsrc -s tmd ; startsrc -s isakmpd "  
or  
"startsrc -s tmd; startsrc -s ikev2d"
```

If you want to start the `isakmpd` or `ikev2d` daemons individually, the `tmd` daemon must be started before starting other daemons. When you start the IKE group by using the `startsrc -g` command, the `tmd` daemon is started before starting the `isakmpd` and `ikev2d` daemons. However, individual refresh operations of the `isakmpd` or `ikev2d` daemons can be preceded or followed by a refresh operation of the `tmd` daemon.

- If you start only the IKEv1 or IKEv2 set of daemons by using the `startsrc -s` command, you must not run a group refresh operation by using the `refresh -g ike` command. If all the IKE daemons were started by using the `startsrc -g` command, you must not attempt to refresh the IKE daemons individually by using the `refresh -s <daemon>` command. If you use the wrong refresh mechanism, first check whether the refreshed daemons became inoperative by using the `lssrc -s <daemon>` command or the `lssrc -g <group>` command. If any of the active IKE daemons have become inoperative after the wrong refresh mechanism was used, you can use `stopsrc` and `startsrc` commands to stop and start the IKE daemons.
- If you refresh the IKE daemons, a new inventory of available IP addresses and interfaces is created on which the daemons listen, read the `/etc/isakmpd.conf` file, and refresh the `syslogd` subsystem.

Related concepts

Logging facilities

As hosts communicate with each other, the transferred packets may be logged to the system log daemon, `syslogd`. Other important messages about IP Security also display.

Digital certificates and the key manager concepts

Digital certificates bind an identity to a public key, through which you can verify the sender or the recipient of an encrypted transfer.

IP Security uses digital certificates to enable *public-key cryptography*, also known as *asymmetric cryptography*, which encrypts data using a private key known only to the user and decrypts it using an associated public (shared) key from a given public-private key pair. *Key pairs* are long strings of data that act as keys to a user's encryption scheme.

In public-key cryptography, the public key is given to anyone with whom the user wants to communicate. The sender digitally signs all secure communications with the corresponding private key for their assigned key pair. The recipient uses the public key to verify the sender's signature. If the message is successfully decrypted with the public key, the receiver can verify that the sender was authenticated.

Public-key cryptography relies on trusted, third parties, known as a *certification authorities (CAs)*, to issue reliable digital certificates. The recipient specifies which issuing organizations or authorities are deemed trusted. A certificate is issued for a specific amount of time; when its expiration date has passed, it must be replaced.

AIX provides the Key Manager tool, which manages digital certificates. The following sections provide conceptual information about the certificates themselves.

Format of digital certificates

The digital certificate contains specific pieces of information about the identity of the certificate owner and about the certification authority. See the following figure for an illustration of a digital certificate.



Figure 11. Contents of a Digital Certificate

This illustration shows the four entities of a digital certificate. From the top they are, Owner's Distinguished Name, Owners Public Key, Issuer's (CA) Distinguished Name, and Issuer's Signature.

The following list further describes the contents of the digital certificate:

Owner's Distinguished Name

Combination of the owner's common name and context (position) in the directory tree. In the following figure of a simple directory tree, for example, Prasad is the owner's common name and the context is country=US, organization=ABC, lower organization=SERV; therefore, the distinguished name is:

```
/C=US/O=ABC/OU=SERV/CN=prasad.austin.ibm.com
```

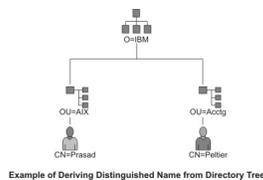


Figure 12. Example of Deriving Distinguished Name from Directory Tree

This illustration is a directory tree with O=ABC at the top level and branching to two entities on the second level. Level two contains OU=AIX and OU=Acctg on separate branches; each has a branch leading to a single entity on the last level. The last level contains CN=Prasad and CN=Peltier respectively.

Owner's Public Key

Used by the recipients to decrypt data.

Subject Alternate Name

Can be an identifier such as an IP address, e-mail address, fully qualified domain name, and so on.

Issue Date

Date the digital certificate was issued.

Expiration Date

Date the digital certificate expires.

Issuer's Distinguished Name

Distinguished name of the Certification Authority.

Issuer's Digital Signature

Digital signature used to validate a certificate.

Security considerations for digital certificates

A digital certificate alone cannot prove identity.

The digital certificate only allows you to verify the identity of the digital certificate owner by providing the public key that is needed to check the owner's digital signature. You can safely send your public key to another because your data cannot be decrypted without the other part of the key pair, your private key. Therefore, the owner must protect the private key that belongs to the public key in the digital certificate.

All communications of the owner of a digital certificate can be deciphered, if the private key is known. Without the private key, a digital certificate cannot be misused.

Certification authorities and trust hierarchies

A digital certificate is only as trustworthy as the certification authority (CA) that issued it.

As part of this trust, the policies under which certificates are issued should be understood. Each organization or user must determine which certification authorities can be accepted as trustworthy.

The Key Manager tool also allows organizations to create self-signed certificates, which can be useful for testing or in environments with a small number of users or machines.

As a user of a security service, you need to know its public key to obtain and validate any digital certificates. Also, simply receiving a digital certificate does not assure its authenticity. To verify its authenticity, you need the public key of the certification authority that issued that digital certificate. If you do not already hold an assured copy of the CA's public key, then you might need an additional digital certificate to obtain the CA's public key.

Certificate revocation lists

A digital certificate is expected to be used for its entire validity period. If needed, however, a certificate can be invalidated before its actual date of expiration.

Invalidating the certificate might be necessary, for example, if an employee leaves the company or if the certificate's private key has been compromised. To invalidate a certificate, you must notify the appropriate Certificate Authority (CA) of the circumstances. When a CA revokes a certificate, it adds the invalid certificate serial number to a Certificate Revocation List (CRL).

CRLs are signed data structures that are issued periodically and made available in a public repository. CRLs can be retrieved from HTTP or LDAP servers. Each CRL contains a current time stamp and a nextUpdate time stamp. Each revoked certificate in the list is identified by its certificate serial number.

When configuring an IKE tunnel and using digital certificates as your authentication method, you can confirm the certificate has not been revoked by selecting RSA Signature with CRL Checking. If CRL Checking is enabled, the list is located and checked during the negotiation process to establish the key management tunnel.

Note: To use this feature of IP Security, your system must be configured to use a SOCKS server (version 4 for HTTP servers), an LDAP server, or both. If you know which SOCKS or LDAP server you are using to obtain CRLs, you can add them to the `/etc/isakmpd.conf` file

Uses for digital certificates in Internet applications

Internet applications that use public-key cryptography systems must use digital certificates to obtain the public keys.

There are many applications that use public-key cryptography, including the following ones:

Virtual Private Networks (VPN)

Virtual Private Networks, also called *secure tunnels*, can be set up between systems such as firewalls to enable protected connections between secure networks over unsecured communication links. All traffic destined to these networks is encrypted between the participating systems.

The protocols used in tunneling follow the IP Security and IKE standards, which allow for a secure, encrypted connection between a remote client (for example, an employee working from home) and a secure host or network.

Secure Sockets Layer (SSL)

SSL is a protocol that provides privacy and integrity for communications. It is used by Web servers for secure connections between Web servers and Web browsers, by the Lightweight Directory Access Protocol (LDAP) for secure connections between LDAP clients and LDAP servers, and by Host-on-Demand V.2 for connections between the client and the host system. SSL uses digital certificates for key exchange, server authentication, and, optionally, client authentication.

Secure Electronic Mail

Many electronic mail systems, using standards such as PEM or S/MIME for secure electronic mail, use digital certificates for digital signatures and for the exchange of keys to encrypt and decrypt mail messages.

Digital certificates and certificate requests

A *certificate request* must be created and sent to a CA to request a digital certificate.

A signed digital certificate contains fields for the owner's distinguished name, the owner's public key, the CA's distinguished name and the CA's signature. A self-signed digital certificate contains its owner's distinguished name, public key, and signature.

The certificate request contains fields for the requester's distinguished name, public key, and signature. The CA verifies the requester's signature with the public key in the digital certificate to ensure that:

- The certificate request was not modified in transit between the requester and the CA.
- The requester possesses the corresponding private key for the public key that is in the certificate request.

The CA is also responsible for verifying to some level the identity of the requester. Requirements for this verification can range from very little proof to absolute assurance of the owner's identity.

Key Manager tool

The Key Manager tool manages digital certificates, and is located in the `gskkm.rte` file set on the expansion pack.

To set up digital certificates and signature support, at minimum you must do tasks 1, 2, 3, 4, 6, and 7. Then create an IKE tunnel and associate a policy with the tunnel that uses RSA Signature as the authentication method.

You can create and configure a key database by using the `certmgr` command to open the Key Manager tool from the command line.

This section describes how to use Key Manager to do the following tasks:

Creating a key database

A key database enables VPN endpoints to connect using valid digital certificates. The key database (*.kdb) format is used with IP Security VPNs.

The following types of CA digital certificates are provided with Key Manager:

- RSA Secure Server Certification Authority
- Thawte Personal Premium Certification Authority
- Thawte Personal Freemail Certification Authority
- Thawte Personal Basic Certification Authority
- Thawte Personal Server Certification Authority
- Thawte Server Certification Authority
- Verisign Class 1 Public Primary Certification Authority
- Verisign Class 2 Public Primary Certification Authority
- Verisign Class 3 Public Primary Certification Authority
- Verisign Class 4 Public Primary Certification Authority

These signature digital certificates enable clients to attach to servers that have valid digital certificates from these signers. After you create a key database, you can use it as created to attach to a server that has a valid digital certificate from one of the signers.

To use a signature digital certificate that is not on this list, you must request it from the CA and add it to your key database. See [“Adding a CA root digital certificate” on page 256](#).

To create a key database using the `certmgr` command, use the following procedure:

1. Start the Key Manager tool by typing:

```
# certmgr
```

2. Select **New** from the Key Database File list.
3. Accept the default value, CMS key database file, for the **Key database type** field.
4. Enter the following file name in the **File Name** field:

```
ikekey.kdb
```

5. Enter the following location of the database in the **Location** field:

```
/etc/security
```

Note: The key database must be named `ikekey.kdb` and it must be placed in the `/etc/security` directory. Otherwise, IP Security cannot function correctly.

6. Click **OK**. The **Password Prompt** screen is displayed.
7. Enter a password in the **Password** field, and enter it again in the **Confirm Password** field.
8. If you want to change the number of days until the password expires, enter the desired number of days in the **Set expiration time?** field. The default value for this field is 60 days. If you do not want the password to expire, clear the **Set expiration time?** field.
9. To save an encrypted version of the password in a stash file, select the **Stash the password to a file?** field and enter Yes.

Note: You must stash the password to enable the use of digital certificates with IP Security.

10. Click **OK**. A confirmation screen displays, verifying that you have created a key database.
11. Click **OK** again and you return to the IBM Key Management screen. You can either perform other tasks or exit the tool.

Adding a CA root digital certificate

After you have requested and received a root digital certificate from a CA, you can add it to your database.

Most root digital certificates are of the form `*.arm`, such as the following example:

```
cert.arm
```

To add a CA root digital certificate to a database, use the following procedure:

1. Unless you are already using Key Manager, start the tool by typing:

```
# certmgr
```

2. From the main screen, select **Open** from the Key Database File list.
3. Highlight the key database file to which you want to add a CA root digital certificate and click **Open**.
4. Enter the password and click **OK**. When your password is accepted, you are returned to the IBM Key Management screen. The title bar now shows the name of the key database file you selected, indicating that the file is now open and ready to be worked with.
5. Select **Signer Certificates** from the **Personal/Signer Certificates** list.
6. Click **Add**.
7. Select a data type from the **Data type** list, such as:

```
Base64-encoded ASCII data
```

8. Enter a certificate file name and location for the CA root digital certificate, or click **Browse** to select the name and location.
9. Click **OK**.
10. Enter a label for the CA root digital certificate, such as `Test CA Root Certificate`, and click **OK**. You are returned to the **Key Management** screen. The **Signer Certificates** field now shows the label of the CA root digital certificate you just added. You can either perform more tasks or exit the tool.

Establishing trust settings

Installed CA certificates are set to trusted by default. You can change the trust setting if needed.

To change the trust setting, do the following steps:

1. Unless you are already using Key Manager, start the tool by typing:

```
# certmgr
```

2. From the main screen, select **Open** from the **Key Database File** list.
3. Highlight the key database file in which you want to change the default digital certificate and click **Open**.
4. Enter the password and click **OK**. After your password is accepted, you are returned to the **IBM Key Management** screen. The title bar shows the name of the key database file you selected, indicating that the file is now open.
5. Select **Signer Certificates** from the **Personal/Signer Certificates** list.
6. Highlight the certificate you want to change and click **View/Edit**, or double-click on the entry. The **Key Information** screen is displayed for the certificate entry.
7. To make this certificate a trusted root certificate, select the check box next to **Set the certificate as a trusted root** and click **OK**. If the certificate is not trusted, clear the check box instead and click **OK**.
8. Click **OK** from the **Signer Certificates** screen. You are returned to the **IBM Key Management** screen. You can either perform other tasks or exit the tool.

Deleting a CA root digital certificate

If you no longer want to use one of the CAs in your signature digital certificate list, you must delete the CA root digital certificate.

Note: Before deleting a CA root digital certificate, create a backup copy in case you later want to recreate the CA root.

To delete a CA root digital certificate from a database, use the following procedure:

1. Unless you are already using Key Manager, start the tool by typing:

```
# certmgr
```

2. From the main screen, select **Open** from the **Key Database File** list.
3. Highlight the key database file from which you want to delete a CA root digital certificate and click **Open**.
4. Enter the password and click **OK**. After your password is accepted, you are returned to the **Key Management** screen. The title bar shows the name of the key database file you selected, indicating that the file is now open and ready to be edited.
5. Select **Signer Certificates** from the **Personal/Signer Certificates** list.
6. Highlight the certificate you want to delete and click **Delete**. The **Confirm** screen is displayed.
7. Click **Yes**. You are returned to the **IBM Key Management** screen. The label of the CA root digital certificate no longer appears in the **Signer Certificates** field. You can either perform other tasks or exit the tool.

Requesting a digital certificate

To acquire a digital certificate, generate a request using Key Manager and submit the request to a CA. The request file you generate is in the PKCS#10 format. The CA then verifies your identity and sends you a digital certificate.

To request a digital certificate, use the following procedure:

1. Unless you are already using Key Manager, start the tool by typing:

```
# certmgr
```

2. From the main screen, select **Open** from the **Key Database File** list.

3. Highlight the `/etc/security/ikekey.kdb` key database file from which you want to generate the request and click **Open**.
4. Enter the password and click **OK**. After your password is accepted, you are returned to the **IBM Key Management** screen. The title bar shows the name of the key database file you selected, indicating that the file is now open and ready to be edited.
5. Select **Create > New Certificate Request**.
6. Click **New**.
7. From the following screen, enter a Key Label for the self-signed digital certificate, such as:

```
keytest
```

8. Enter a common name (the default is the host name) and organization, and then select a country. For the remaining fields, either accept the default values, or choose new values.
9. Define the subject alternate name. The optional fields associated with subject alternate are e-mail address, IP address, and DNS name. For a tunnel type of IP address, type the same IP address that is configured in the IKE tunnel into the IP address field. For a tunnel ID type of *user@FQDN*, complete the e-mail address field. For a tunnel ID type of FQDN, type a fully qualified domain name (for example, *hostname.companyname.com*) in the DNS name field.
10. At the bottom of the screen, enter a name for the file, such as:

```
certreq.arm
```

11. Click **OK**. A confirmation screen is displayed, verifying that you have created a request for a new digital certificate.
12. Click **OK**. You are returned to the **IBM Key Management** screen. The **Personal Certificate Requests** field now shows the key label of the new digital certificate request (PKCS#10) created.
13. Send the file to a CA to request a new digital certificate. You can either perform other tasks or exit the tool.

Adding (Receiving) a new digital certificate

After you receive a new digital certificate from a CA, you must add it to the key database from which you generated the request.

To add (receive) a new digital certificate, use the following procedure:

1. Unless you are already using Key Manager, start the tool by typing:

```
# certmgr
```

2. From the main screen, select **Open** from the **Key Database File** list.
3. Highlight the key database file from which you generated the certificate request and click **Open**.
4. Enter the password and click **OK**. After your password is accepted, you are returned to the IBM Key Management screen. The title bar shows the name of the key database file you selected, indicating that the file is now open and ready to be edited.
5. Select **Personal Certificate Requests** from the **Personal/Signer Certificates** list.
6. Click **Receive** to add the newly received digital certificate to your database.
7. Select the data type of the new digital certificate from the **Data type** list. The default is **Base64-encoded ASCII data**.
8. Enter the certificate file name and location for the new digital certificate, or click **Browse** to select the name and location.
9. Click **OK**.
10. Enter a descriptive label for the new digital certificate, such as:

```
VPN Branch Certificate
```

11. Click **OK**. You are returned to the **IBM Key Management** screen. The **Personal Certificates** field now shows the label of the new digital certificate you just added. You can either perform other tasks or exit the tool.

If there is an error loading the certificate, check that the certificate file begins with the text `-----BEGIN CERTIFICATE-----` and ends with the text `-----END CERTIFICATE-----`.

For example:

```
-----BEGIN CERTIFICATE-----
ajdkfjaldfwwwwwwwwwwadafdw
kajf;kdsajkfllasasfkjafdaff
akdjf;lDasjkf;safdfdasfdas
kaj;fdljk98dafdas43adfadfa
-----END CERTIFICATE-----
```

If the text does not match, edit the certificate file so that it starts and ends appropriately.

Deleting a digital certificate

At times it will be necessary to delete a digital certificate.

Note: Before deleting a digital certificate, create a backup copy in case you later want to re-create it.

To delete a digital certificate from your database, use the following procedure:

1. Unless you are already using Key Manager, start the tool by typing:

```
# certmgr
```

2. From the main screen, select **Open** from the **Key Database File** list.
3. Highlight the key database file from which you want to delete the digital certificate and click **Open**.
4. Enter the password and click **OK**. After your password is accepted, you are returned to the **IBM Key Management** screen. The title bar shows the name of the key database file you selected, indicating that the file is now open and ready to be edited.
5. Select **Personal Certificate Requests** from the **Personal/Signer Certificates** list.
6. Highlight the digital certificate you want to delete and click **Delete**. The **Confirm** screen is displayed.
7. Click **Yes**. You are returned to the **IBM Key Management** screen. The label of the digital certificate you just deleted no longer appears in the **Personal Certificates** field. You can either perform other tasks or exit the tool.

Changing a database password

At times it will be necessary to change a database password.

To change the key database, use the following procedure:

1. Unless you are already using Key Manager, start the tool by typing:

```
# certmgr
```

2. From the main screen, select **Change Password** from the **Key Database File** list.
3. Enter a new password in the **Password** field, and enter it again in the **Confirm Password** field.
4. If you want to change the number of days until the password expires, enter the desired number of days in the **Set expiration time?** field. The default value for this field is 60 days. If you do not want the password to expire, clear the **Set expiration time?** field.
5. To save an encrypted version of the password in a stash file, select the **Stash the password to a file?** field and enter Yes.

Note: You must stash the password to enable the use of digital certificates with IP Security.

6. Click **OK**. A message in the status bar indicates that the request completed successfully.
7. Click **OK** again and you return to the **IBM Key Management** screen. You can either perform other tasks or exit the tool.

Creating IKE tunnels using digital certificates

To create IKE tunnels that use digital certificates, you must specify RSA signatures as the authentication mode in the IKE tunnel transform policy file.

The following example shows an example of the XML policy file that specifies RSA signatures:

```
<!-- define the policy for IKE tunnel -->
<IKEProtection
  IKE ProtectionName="ike_3des_sha">
  <IKETTransform
    IKE AuthenticationMethod="RSA_signatures"
    IKE Encryption="3DES-CBC"
    IKE Hash="SHA"
    IKE DHGroup="1"/>
  </IKETTransform>
</IKEProtection>
```

IP Security supports the following IKE tunnel host identity types:

- IP address
- Fully Qualified Domain Name (FQDN)
- *user@FQDN*
- X.500 Distinguished Name
- Key identifier

When the IKE tunnel uses the RSA signature mode, the X.500 Distinguished Names are typically used in the IKE tunnel definition. For example, if the local and remote hosts of your tunnel are identified as **/C=US/O=ABC/OU=SERV/CN=localname.austin.ibm.com** and **/C=US/O=ABC/OU=SERV/CN=remotename.austin.ibm.com**, the IKE tunnel definition in the XML file reads like the following sample contents:

```
<IKETunnel>
  IKE TunnelName="Key_Tunnel"
  IKE ProtectionRef="ike_3des_sha">
<IKELocalIdentity>
  <ASN1_DN Value="/C=US/O=ABC/OU=SERV/CN=localname.austin.ibm.com">
  </ASN1_DN>
</IKELocalIdentity>
<IKERemoteIdentity>
  <ASN1_DN Value="/C=US/O=ABC/OU=SERV/CN=remotename.austin.ibm.com">
  </ASN1_DN>
</IKERemoteIdentity>
</IKETunnel>
```

To obtain the required certificate from the certificate authority (CA), use the Key Manager tool to generate the certificate request. For example, if you use **/C=US/O=ABC/OU=SERV/CN=name.austin.ibm.com** as the Subject Distinguished Name in your certificate, you must enter the following values in the Key Manager tool when you create a digital certificate request:

Common name

name.austin.ibm.com

Organization

ABC

Organizational unit

SERV

Country

US

The X.500 Distinguished Name that is entered is the name that is typically set up by your system or LDAP administrator. The organizational unit value is optional.

IP Security also supports entering other identity types as Subject Alternate Names in a digital certificate. For example, if you use IP address 10.10.10.1 as the alternate host identity, the following values must be entered in the digital certificate request:

Common name

name.austin.ibm.com

Organization

ABC

Organizational unit

SERV

Country

US

Subject alternate IP address field

10.10.10.1

After you create the digital certificate request with this information, the CA uses this information to create the personal digital certificate.

When requesting a personal digital certificate, the CA needs the following information:

- You are requesting an X.509 certificate.
- The signature format is MD5 with RSA encryption.
- Whether you are specifying Subject Alternate Name. Alternate name types are provided in the following list:
 - IP address
 - Fully qualified domain name (FQDN)
 - *user@FQDN*

The following subject alternate-name information is included in the certificate request file.

- Your planned key use (the digital signature bit must be selected).
- The Key Manager digital certificate request file (in PKCS#10 format).

For specific steps that explain how to use the Key Manager tool to create a certificate request, see [“Requesting a digital certificate” on page 257](#).

Before you activate the IKE tunnel, you must add the personal digital certificate that you received from the CA into the Key Manager database, `ikekey.kdb`. For more information, see [“Adding \(Receiving\) a new digital certificate” on page 258](#).

IP Security supports the following types of personal digital certificates:

Subject DN

The Subject Distinguished Name must be in the following format and order:

```
/C=US/O=ABC/OU=SERV/CN=name.austin.ibm.com
```

The Key Manager tool allows only one **OU** value.

Subject DN and Subject Alternate Name as an IP address

The Subject Distinguished Name and Subject Alternate Name can be designated as an IP address, as shown in the following:

```
/C=US/O=ABC/OU=SERV/CN=name.austin.ibm.com and 10.10.10.1
```

Subject DN and Subject Alternate Name as FQDN

The Subject Distinguished Name and Subject Alternate Name can be designated as a fully qualified domain name, as shown in the following:

```
/C=US/O=ABC/OU=SERV/CN=name.austin.ibm.com and bell.austin.ibm.com.
```

Subject DN and Subject Alternate Name as *user@FQDN*

The Subject Distinguished Name and Subject Alternate Name can be designated as a user address (*user_ID@fully_qualified_domain_name*), as shown in the following:

```
/C=US/O=ABC/OU=SERV/CN=name.austin.ibm.com and name@austin.ibm.com.
```

Subject DN and multiple Subject Alternate Names

The Subject Distinguished Name can be associated with multiple Subject Alternate Names, as shown in the following:

```
/C=US/O=ABC/OU=SERV/CN=name.austin.ibm.com and bell.austin.ibm.com, 10.10.10.1, and user@name.austin.ibm.com.
```

>Using FQDN or user@FQDN with pre-shared key for IKEV2

You can use a fully qualified domain name (FQDN) or email address (user@FQDN) as the local and remote identifier to establish IKE tunnels between two endpoints when a pre-shared key (PSK) authentication method is used for authentication.

When the PSK authentication method is used, the KEYID can also be used as the identifier in the local and remote identities to establish IKE tunnels between two endpoints.

You must set the IKE_Flags_MakeRuleWithOptionalIP attribute to Yes in the XML configuration file at the endpoints if FQDN or user@FQDN with PSK is used in the Network Address Translation (NAT) configuration. You must also specify the IP address of the NAT device with the IKERemoteIdentity tag in the XML configuration file at the endpoints as shown in the following example.

```
IKE_Flags_MakeRuleWithOptionalIP="Yes"

<IKERemoteIdentity>
  <FQDN
    Value="www.example.ibm.com">
    <IPv4_Address
      Value="11.11.11.1"/>
    </FQDN>
  </IKERemoteIdentity>
```

You must include the IP address of the local entity in the /etc/hosts file for the Domain Name Server (DNS) to use the correct IP address to map with the FQDN. You must also specify the remote FQDN value with the PK_FQDN tag or the user@FQDN value with the PK_UFQDN tag and the PSK value with the IKEPresharedKey tag.

```
<IKEPresharedKey
  Value="12345678910abcdef">
  <IKEPresharedRemoteID>
    <PK_FQDN
      Value="www.example.ibm.com"/>
    </IKEPresharedRemoteID>
  </IKEPresharedKey>
```



Network address translation

IP Security can use devices whose addresses undergo network address translation (NAT).

NAT is widely used as part of firewall technology for Internet-connection sharing, and it is a standard feature on routers and edge devices. The IP Security protocol depends on identifying remote endpoints and their policy based on the remote IP address. When intermediate devices such as routers and firewalls translate a private address to a public address, the required authentication processing in IP Security might fail because the address in the IP packet has been modified after the authentication digest was calculated. With the new IP Security NAT support, devices that are configured behind a node that performs network address translation are able to establish an IP Security Tunnel. The IP Security code is able to detect when a remote address has been translated. Using the new IP Security implementation with support for NAT allows a VPN client to connect from home or on the road to the office through an internet connection with NAT enabled.

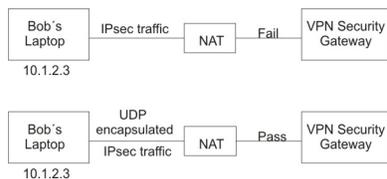


Figure 13. NAT-enabled IP Security

This diagram shows the difference between a NAT-enabled IP Security implementation, with UDP encapsulated traffic and an implementation that is not NAT-enabled.

Configuring IP security to work with NAT

In order to use NAT in IP Security, you must set the `ENABLE_IPSEC_NAT_TRAVERSAL` variable in the `/etc/isakmpd.conf` file. When this variable is set, filter rules are added to send and receive traffic on port 4500.

The following example shows the filter rules when the `ENABLE_IPSEC_NAT_TRAVERSAL` variable is set.

```
Dynamic rule 2:
Rule action      : permit
Source Address   : 0.0.0.0 (any)
Source Mask      : 0.0.0.0 (any)
Destination Address : 0.0.0.0 (any)
Destination Mask : 0.0.0.0 (any)
Source Routing   : no
Protocol         : udp
Source Port      : 0 (any)
Destination Port : 4500
Scope           : local
Direction       : inbound
Fragment control : all packets
Tunnel ID number : 0

Dynamic rule 3:
Rule action      : permit
Source Address   : 0.0.0.0 (any)
Source Mask      : 0.0.0.0 (any)
Destination Address : 0.0.0.0 (any)
Destination Mask : 0.0.0.0 (any)
Source Routing   : no
Protocol         : udp
Source Port      : 4500
Destination Port : 0 (any)
Scope           : local
Direction       : outbound
Fragment control : all packets
Tunnel ID number : 0
```

Setting the `ENABLE_IPSEC_NAT_TRAVERSAL` variable also adds some additional filter rules in the filter table. Special IPSEC NAT messages use UDP encapsulation and filter rules must be added to allow this traffic to flow. In addition, in phase 1 signature mode is required. If IP Address is used as the identifier in the certificate, it should contain the private ip address.

IP Security also needs to send NAT keep alive messages to maintain the mapping of the original IP Address and the NAT address. The interval is specified by the `NAT_KEEPALIVE_INTERVAL` variable in `/etc/isakmpd.conf` file. This variable specifies how frequently NAT keepalive packets are sent in seconds. If you do not specify a value for `NAT_KEEPALIVE_INTERVAL`, a default value of 20 seconds is used.

Limitations when using NAT exchanges

Endpoints behind NAT devices must protect their traffic using the ESP protocol.

ESP is the predominate header selected for IP Security, and will be usable for most customer applications. ESP includes hashing of the user data, but not of the IP Header. The integrity checking in the AH header incorporates the IP source and destination addresses in the keyed message integrity check. NAT or reverse NAT devices that make changes to the address fields invalidate the message integrity

check. Therefore, if only the AH protocol is defined in the phase 2 policy for a tunnel, and NAT is detected in a phase 1 exchange, a Notify Payload saying NO_PROPOSAL_CHOSEN is sent.

Additionally, a connection using NAT must select tunnel mode so that the original IP address is encapsulated in the packet. Transport mode and addresses with NAT are not compatible. If a NAT is detected and only transport mode is proposed in phase 2, a Notify Payload saying NO_PROPOSAL_CHOSEN is sent.

Configuring IP security (IKEv2) to work with NAT

Starting with AIX 7.3, AIX IP Security (IPsec) supports the Network Address Translation Traversal (NAT-T) function with Internet Key Exchange Version 2 (IKEv2).

AIX IP Security version IKEv2 can detect the presence of NAT device during the Internet Key Exchange (IKE) Phase1 negotiation. Use the **ENABLE_IPSEC_NAT_TRAVERSAL_IKEV2** and **NAT_KEEPALIVE_INTERVAL** variables in the `/etc/isakmp.conf` file to enable IPsec to detect and traverse through a NAT device.

You must enable the NAT traversal support, since, by default, the NAT traversal support on AIX is unavailable.

You can set the following variables to support the NAT-T function:

ENABLE_IPSEC_NAT_TRAVERSAL_IKEV2

To detect whether a network address translation (NAT) device is present between the IP Security (IPsec) endpoints, you must set the **ENABLE_IPSEC_NAT_TRAVERSAL_IKEV2** variable in the `/etc/isakmp.conf` file. This configuration also determines the location of the NAT device. IPsec endpoint as an initiator node can be behind a NAT device or as a responder node can be behind a NAT device, or both initiator and responder node can be behind a NAT device. IPsec endpoint, which is behind a NAT device must generate NAT keepalive messages to keep the NAT mappings alive. When you set the **ENABLE_IPSEC_NAT_TRAVERSAL_IKEV2** variable, filter rules are added to the traffic that is sent or received on the port 4500. If a NAT device is detected in the network, traffic from both the IKE and the Encapsulating Security Payload (ESP) use the User Datagram Protocol (UDP) encapsulation function.

The following example shows the filter rules when the **ENABLE_IPSEC_NAT_TRAVERSAL_IKEV2** variable is set.

```
Dynamic rule 2:
Rule action      : permit
Source Address   : 0.0.0.0 (any)
Source Mask      : 0.0.0.0 (any)
Destination Address : 0.0.0.0 (any)
Destination Mask  : 0.0.0.0 (any)
Source Routing   : no
Protocol         : udp
Source Port      : 0 (any)
Destination Port  : 4500
Scope            : local
Direction       : inbound
Fragment control : all packets
Tunnel ID number : 0

Dynamic rule 3:
Rule action      : permit
Source Address   : 0.0.0.0 (any)
Source Mask      : 0.0.0.0 (any)
Destination Address : 0.0.0.0 (any)
Destination Mask  : 0.0.0.0 (any)
Source Routing   : no
Protocol         : udp
Source Port      : 4500
Destination Port  : 0 (any)
Scope            : local
Direction       : outbound
Fragment control : all packets
Tunnel ID number : 0
```

If you set the **ENABLE_IPSEC_NAT_TRAVERSAL** variable, some additional filter rules are added in the filter table. Special IPsec NAT messages use UDP encapsulation and filter rules must be added to allow this traffic to flow.

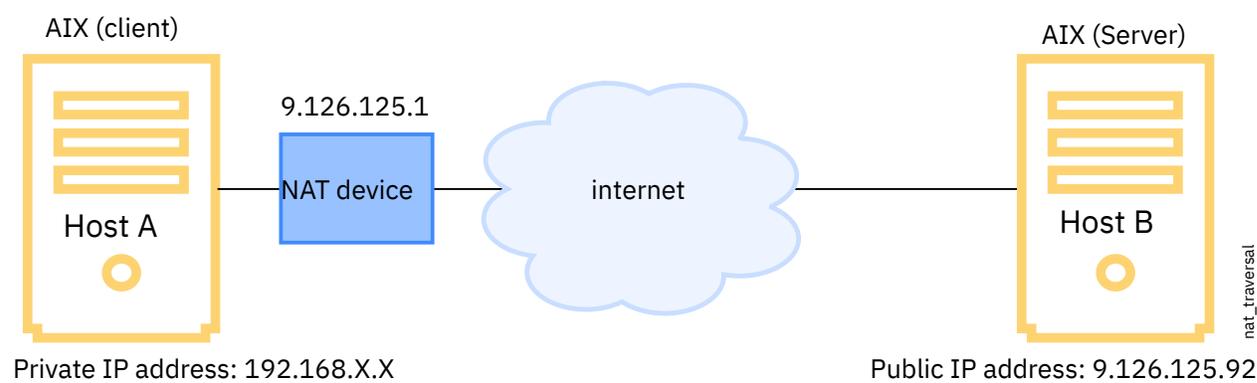
There are no configuration options to enable or disable NAT traversal for a Phase 2 IPsec security association. The state of NAT traversal for an IPsec security association is determined by the phase 1 security association that is used when negotiating the IPsec security association.

NAT_KEEPLIVE_INTERVAL

IPsec also sends NAT keep alive messages to maintain the mapping of the original IP address and the NAT address. The interval is specified by the **NAT_KEEPLIVE_INTERVAL** variable in the `/etc/isakmpd.conf` file. This variable specifies how frequently the NAT keepalive packets are sent, in seconds. If you do not specify a value for the **NAT_KEEPLIVE_INTERVAL** variable, a default value of 20 seconds is used.

Example of NAT device configuration with IKEv2 NAT-T function

Figure 14.



In this example, the client (Host A) uses private IP address to connect to a server (Host B) that has a public IP address. Any remote endpoints are unknown to the server (Host B). Therefore, the server does not initiate any security association with the client (Host A). When you use a NAT device, you must configure the NAT device with static IP mapping, such that multiple internal IP addresses are mapped to a single public address. The NAT device can differentiate the hosts by using unique port numbers. After you configure the NAT device, at the server (Host B), AIX Phase 1 IP address is a NAT IP address and AIX Phase 2 IP address must be configured in an IP address range 1.0.0.1 to 223.255.254.254 (IPv4) to allow multiple IPsec connection requests from different clients. If you use this range of IP address, the server can accept connections from all the IP addresses that fall in class A, class B, and class C addresses. In this example, the AIX server (Host B) can accept connection request from a client (Host A) which is behind a NAT device.

The NAT-T function, as defined by the Internet Engineering Task Force (IETF), transmits internal IP addresses to the AIX IPsec NAT peer devices. These internal addresses are not exposed on the external network. However, the internal addresses are available for display at the remote security endpoint. If you want to use the NAT-T function, evaluate whether transmitting internal IP addresses to the AIX NAT IPsec peer devices is acceptable from a security perspective.

Note: Sample configuration XML files of the AIX IPsec NAT-T function are available at the `/usr/samples/ipsec` location.

Limitations when using the NAT-T function with IKEv2

Endpoints behind network address conversion (NAT) devices must protect their traffic that uses the Encapsulating Security Payload (ESP) protocol.

The ESP protocol is the main header that is selected by AIX IP Security (IPsec), and the ESP protocol is used by most of the applications. The ESP protocol includes hashing of the user data, but does not include hashing of the IP header. The integrity checking in the Authentication Header (AH) protocol incorporates the IP source and destination addresses in the message integrity check that uses a key. The NAT devices

change the IP address fields of the packets that are sent by the initiator node or responder node and invalidates the message integrity check. Therefore, if only the AH protocol is defined in the Phase 2 exchange for a tunnel, and the NAT device is detected in a Phase 1 exchange, a Notify payload packet that states NO_PROPOSAL_CHOSEN is sent to the responder node.

AIX IP Security (IPsec) can support signature mode authentication only in the Phase 1 exchange. You must not define a pre-shared key for the tunnel that is behind a NAT device.

The AIX device can be an initiator node only if the AIX device is behind a NAT device. If the AIX device is a responder node, it can detect the presence of a NAT device along the path of the tunnel and can send or receive UDP encapsulated packets. An AIX device can be an initiator node or a responder node. However, the responder node must be on a public static IP address.

Additionally, a connection using a NAT device must select tunnel mode so that the original IP address is encapsulated in the packet. Transport mode and corresponding addresses are not compatible with the NAT traversal. If a NAT device is detected and only transport mode is proposed in phase 2, a Notify Payload saying NO_PROPOSAL_CHOSEN is sent.

Note: AIX does not support NAT traversal for an IPv6 traffic.

Avoiding tunnel mode conflicts

Remote peers might negotiate entries that overlap in a gateway. This overlap causes a tunnel mode conflict.

The following figure shows a tunnel mode conflict.

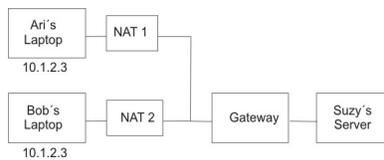


Figure 15. Tunnel Mode Conflict

The gateway has two possible Security Associations (SAs) for the 10.1.2.3 IP address. These duplicate remote addresses cause confusion over where to send packets coming from the server. When a tunnel is configured between Suzy's server and Ari's laptop, the IP address is used, and Suzy cannot configure a tunnel with Bob with the same IP address. To avoid a tunnel mode conflict, you should not define a tunnel with the same IP address. Because the remote address is not under the control of the remote user, other ID types should be used to identify the remote host such as fully qualified domain name or user at fully qualified domain name.

>|Configuring endpoints that are behind the NAT device

RFC 5996 states that the private IP address of the responder node must be known to the initiator node when the responder node is behind the Network Address Translation (NAT) device in the tunnel mode.

Two IP headers are sent in the IPsec tunnel configuration as shown in the following example:

```

AFTER APPLYING ESP/UDP
-----
IPv4 |new hdr.| UDP | ESP |orig IP hdr|   |   |   | ESP | ESP|
    |(opts)| Hdr | Hdr |(any options)| TCP | Data | Trailer |Auth|
-----
      |<----- encrypted ----->|

```

Internal IP address of the final endpoint must be the private IP address of the responder node that is behind a connection that uses NAT in a Phase 2 tunnel. The following snippet is an example of the XML configuration file at the initiator node in a Phase 2 tunnel. In this example, the private IP address of the responder node is 192.168.1.2 and the IP address of the NAT device is 9.10.10.1.

```

<IPSecRemoteIdentity
  EndPort="65535"
  Port="0"
  Protocol="0">
<IPV4_Address_Range

```

```
From_IPAddr="192.168.1.2"  
To_IPAddr="192.168.1.2"/>  
</IPSecRemoteIdentity>
```

The **IKERemoteIdentity** attribute must contain the IP address of the NAT device in a Phase 1 tunnel. For the preceding example, the XML configuration file for the NAT device in a phase 1 tunnel must be as follows:

```
<IKERemoteIdentity>  
  <ASN1_DN  
    Value="/c=IN/st=KA/l=BA/o=IBM/ou=ISL/cn=CERT-B">  
  <IPV4_Address  
    Value="9.10.10.1"/>  
  </ASN1_DN>  
</IKERemoteIdentity>
```

Limitations of configuring endpoints that are behind the NAT device

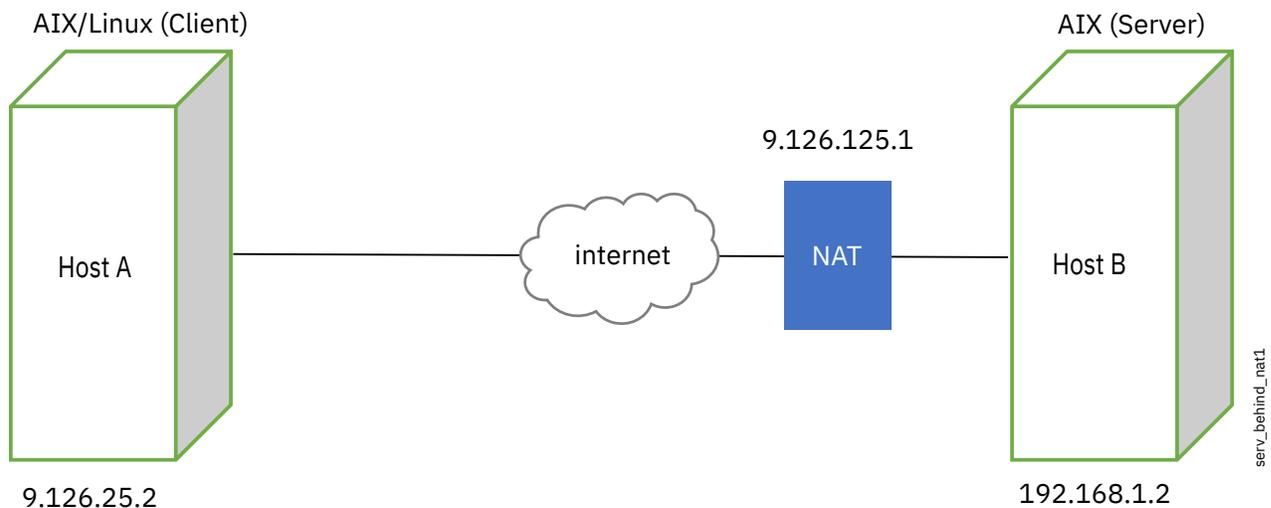
The source subnet and the destination subnet must be distinct and must not overlap. Consider the following limitations in a branch office scenario. For more information about a branch office scenario, view [IKE tunnel configuration scenarios](#).

- If different network branches have the same subnet that cannot be routed and the local network and remote network have the same IP address, IPsec fails.
- If different network branches have different IP address but with the same subnet and the local subnet and remote subnet have the same IP address, IPsec fails.

Review the following configuration examples when the server is behind a NAT device and when both the client and server are behind a NAT device.

Configuration requirements when the AIX server is behind the NAT device

This example describes the configuration considerations and requirements when network address translation (NAT) is used to traverse NAT device in an environment where the server is behind the NAT device. In this example, the AIX/Linux client (Host A) uses public IP address of the NAT device, that is 9.126.125.1 to connect to an AIX server (Host B) with a static private IP address (192.168.1.2) that is behind the NAT device. The remote endpoint IP address is known to the AIX/Linux client before the IPsec connection is established.



The local IP address of the AIX client (Host A) in Phase 1 and Phase 2 must be its own public IP address. The remote IP address in Phase 1 must be of the NAT device, that is 9.126.125.1, and in Phase 2, the remote IP address must be the private IP address of the AIX server (Host B), that is 192.168.1.2.

The IP addresses of the AIX server (Host B) in phase 1 must be the private IP address of the AIX server (local) and the public IP address of the remote client. IP addresses of the AIX server (Host B) in Phase 2 must be configured with the private IP address of the AIX server and the public IP address of the AIX/Linux client.

Review the following examples of XML configuration files for AIX/Linux client (Host A) and AIX server (Host B):

AIX client (Host A) XML configuration file

```
<?xml version="1.0"?>
<AIX_VPN
  Version="2.1">
  <IKEProtection
    IKE_Flags_UseCRL="No"
    IKE_KeyOverlap="10"
    IKE_ProtectionName="P1Pol"
    IKE_ResponderKeyRefreshMaxKB="200"
    IKE_ResponderKeyRefreshMaxMinutes="480"
    IKE_ResponderKeyRefreshMinKB="1"
    IKE_ResponderKeyRefreshMinMinutes="1"
    IKE_Role="Both"
    IKE_Version="2"
    IKE_XCHGMode="Main">
  <IKETransform
    IKE_Encryption="AES-CBC-128"/>
  <IKETransform
    IKE_PRF="PRF_AES_XCBC"/>
  <IKETransform
    IKE_Hash="AES_XCBC"/>
  <IKETransform
    IKE_DHGroup="5"/>
  <IKETransform
    IKE_AuthenticationMethod="RSA_signatures"/>
  </IKEProtection>
  <IKETunnel
    IKE_Flags_AutoStart="Yes"
    IKE_Flags_MakeRuleWithOptionalIP="Yes"
    IKE_ProtectionRef="P1Pol"
    IKE_TunnelName="P1">
  <IKELocalIdentity>
  <ASN1_DN
    Value="/C=US/ST=Texas/L=Austin/O=IBM/OU=Systems/CN=haapp01">
  <IPV4_Address
    Value="9.126.25.2"/>
  </ASN1_DN>
  </IKELocalIdentity>
  <IKERemoteIdentity>
  <ASN1_DN
    Value="/C=US/ST=Texas/L=Austin/O=IBM/OU=Systems/CN=haapp03">
  <IPV4_Address
    Value="9.126.25.1"/>
  </ASN1_DN>
  </IKERemoteIdentity>
  </IKETunnel>
  <IPSecProposal
    IPSec_ProposalName="P2Prop">
  <IPSecESPProtocol
    ESP_Authentication="CMAC-AES-XCBC"
    ESP_EncapsulationMode="Tunnel"
    ESP_Encryption="ESP_AES256_GMAC"
    ESP_ExtendedSeqNum="0"
    ESP_KeyRefreshKB="0"
    ESP_KeyRefreshMinutes="10"/>
  </IPSecProposal>
  <IPSecProtection
    IPSec_Flags_UseCommitBit="No"
    IPSec_Flags_UseLifeSize="No"
    IPSec_InitiatorDHGroup="2"
    IPSec_KeyOverlap="10"
    IPSec_ProposalRefs="P2Prop "
    IPSec_ProtectionName="P2Pol"
    IPSec_ResponderDHGroup="GROUP_2"
    IPSec_ResponderKeyRefreshMaxKB="200"
    IPSec_ResponderKeyRefreshMaxMinutes="220"
    IPSec_ResponderKeyRefreshMinKB="1"
    IPSec_ResponderKeyRefreshMinMinutes="1"
    IPSec_Role="Both"/>
  <IPSecTunnel
```

```

    IKE_TunnelName="P1"
    IPSec_Flags_AutoStart="Yes"
    IPSec_Flags_OnDemand="No"
    IPSec_ProtectionRef="P2Pol"
    IPSec_TunnelName="P3">
  <IPSecLocalIdentity
    EndPort="65535"
    Port="0"
    Protocol="0">
    <IPV4_Address_Range
      From_IPAddr="9.126.25.2"
      To_IPAddr="9.126.25.2"/>
  </IPSecLocalIdentity>
  <IPSecRemoteIdentity
    EndPort="65535"
    Port="0"
    Protocol="0">
    <IPV4_Address_Range
      From_IPAddr="192.168.1.2"
      To_IPAddr="192.168.1.2"/>
  </IPSecRemoteIdentity>
</IPSecTunnel>

```

AIX server (Host B) XML configuration file

```

<?xml version="1.0"?>
<AIX_VPN
  Version="2.1">
  <IKEProtection
    IKE_Flags_UseCRL="No"
    IKE_KeyOverlap="10"
    IKE_ProtectionName="P1Pol"
    IKE_ResponderKeyRefreshMaxKB="200"
    IKE_ResponderKeyRefreshMaxMinutes="480"
    IKE_ResponderKeyRefreshMinKB="1"
    IKE_ResponderKeyRefreshMinMinutes="1"
    IKE_Role="Both"
    IKE_Version="2"
    IKE_XCHGMode="Main">
  <IKETransform
    IKE_Encryption="AES-CBC-128"/>
  <IKETransform
    IKE_PRf="PRF_AES_XCBC"/>
  <IKETransform
    IKE_Hash="AES_XCBC"/>
  <IKETransform
    IKE_DHGroup="5"/>
  <IKETransform
    IKE_AuthenticationMethod="RSA_signatures"/>
  </IKEProtection>
  <IKETunnel
    IKE_Flags_AutoStart="Yes"
    IKE_Flags_MakeRuleWithOptionalIP="Yes"
    IKE_ProtectionRef="P1Pol"
    IKE_TunnelName="P1">
  <IKELocalIdentity>
    <ASN1_DN
      Value="/C=US/ST=Texas/L=Austin/O=IBM/OU=Systems/CN=haapp03">
    <IPV4_Address
      Value="192.168.1.2"/>
    </ASN1_DN>
  </IKELocalIdentity>
  <IKERemoteIdentity>
    <ASN1_DN
      Value="/C=US/ST=Texas/L=Austin/O=IBM/OU=Systems/CN=haapp01">
    <IPV4_Address
      Value="9.126.25.2"/>
    </ASN1_DN>
  </IKERemoteIdentity>
  </IKETunnel>
  <IPSecProposal
    IPSec_ProposalName="P2Prop">
  <IPSecESPProtocol
    ESP_Authentication="CMAC-AES-XCBC"
    ESP_EncapsulationMode="Tunnel"
    ESP_Encryption="ESP_AES256_GMAC"
    ESP_ExtendedSeqNum="0"
    ESP_KeyRefreshKB="0"
    ESP_KeyRefreshMinutes="240"/>
  </IPSecProposal>
</IPSecProtection

```

```

IPSec_Flags_UseCommitBit="No"
IPSec_Flags_UseLifeSize="No"
IPSec_InitiatorDHGroup="2"
IPSec_KeyOverlap="10"
IPSec_ProposalRefs="P2Prop "
IPSec_ProtectionName="P2Pol"
IPSec_ResponderDHGroup="GROUP_2"
IPSec_ResponderKeyRefreshMaxKB="200"
IPSec_ResponderKeyRefreshMaxMinutes="220"
IPSec_ResponderKeyRefreshMinKB="1"
IPSec_ResponderKeyRefreshMinMinutes="1"
IPSec_Role="Both"/>
<IPSecTunnel
  IKE_TunnelName="P1"
  IPSec_Flags_AutoStart="Yes"
  IPSec_Flags_OnDemand="No"
  IPSec_ProtectionRef="P2Pol"
  IPSec_TunnelName="P2">
  <IPSecLocalIdentity
    EndPort="65535"
    Port="0"
    Protocol="0">
    <IPV4_Address_Range
      From_IPAddr="192.168.1.2"
      To_IPAddr="192.168.1.2"/>
  </IPSecLocalIdentity>
  <IPSecRemoteIdentity
    EndPort="65535"
    Port="0"
    Protocol="0">
    <IPV4_Address_Range
      From_IPAddr="9.126.25.2"
      To_IPAddr="9.126.25.2"/>
  </IPSecRemoteIdentity>
</IPSecTunnel>
</AIX_VPN>

```

Configuring the NAT device

A host that has Red Hat® Enterprise Linux (RHEL) operating system is used as the NAT device in this example. The RHEL host also works as a forwarder or the gateway device. The NAT device has two interfaces: eth1 and eth2. Complete the following steps to configure the NAT device:

1. Configure eth1 with IP address 9.126.25.1 and eth2 with IP address 192.168.1.1.
2. Enable IP forwarding in the RHEL host by entering the following command:

```
sysctl -w net.ipv4.ip_forward=1
```

3. Configure the NAT entry in the IP address table by entering the following commands:

```
iptables -t nat -A POSTROUTING -o eth1 -j SNAT --to 9.126.25.1
iptables -t nat -A PREROUTING -i eth1 -j DNAT --to 192.168.1.2
```

Verifying the connection between the AIX/Linux client and the AIX server

To verify the connection between the AIX/Linux client and the AIX server, enter the following command in the client system:

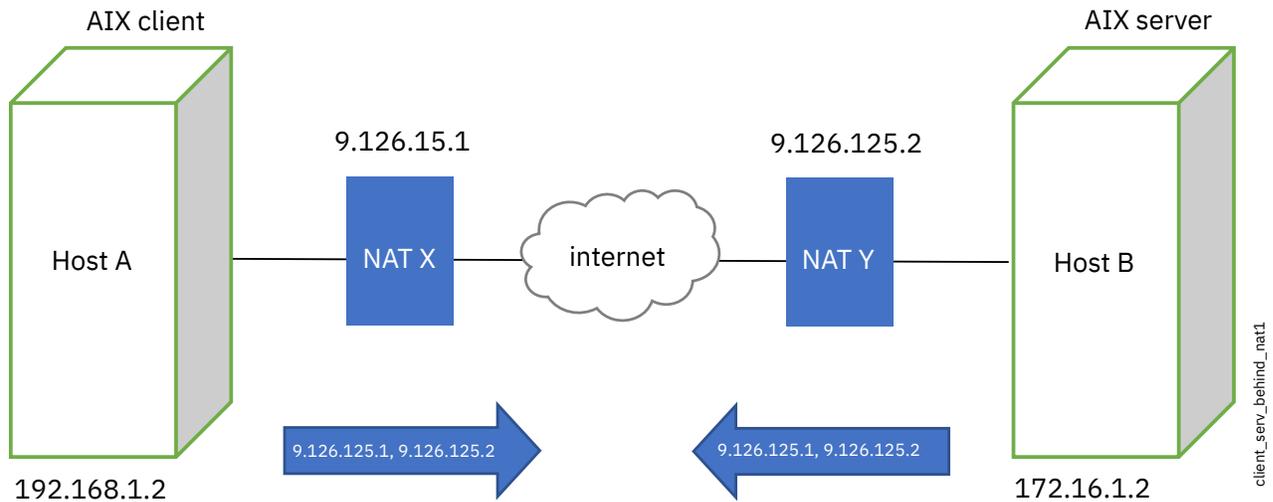
```
ping -S 9.126.25.2 -c 1 192.168.1.2
```

Note: The -S flag is required because no default routes exist between the AIX/Linux client and the AIX server. In the preceding example 9.126.25.2 is the IP address of the AIX/Linux client and 192.168.1.2 is the IP address of the AIX server.

Configuration requirements when the AIX client and the AIX server are behind the NAT device

This example describes the configuration considerations and requirements when network address translation (NAT) is used to traverse NAT devices in an environment where both the AIX client and the AIX server are behind the NAT device. In this configuration, both the AIX client (Host A) and the AIX server (Host B) must have different subnets. The AIX client (Host A) uses the public IP address of the NAT Y

device in Phase 1, that is 9.126.125.2 and a private IP address of the server (Host B), that is 172.16.1.2 to connect to the AIX server (Host B) with the static private IP addresses (9.126.15.1 and 9.126.125.2) that are behind the NAT device. The remote endpoint IP address is known to the AIX client before the IPsec connection is established.



At the AIX client (Host A), private IP address of the AIX client, that is 192.168.1.2 and public IP address of the NAT Y device in Phase 1 are connected to the AIX server (Host B). The Phase 2 IP addresses are local IP address of the AIX client (Host A) and remote IP address of the AIX server (Host B), 192.168.1.2 and 172.16.1.2 respectively.

At AIX server (Host B), the IP addresses must be private IP address of the AIX server (local), that is 172.16.1.2 and public IP address of NAT device on the AIX client side in Phase 1, that is 192.168.1.1. The Phase 2 IP addresses must be configured with the private IP address of the AIX server (172.16.1.2) and the private IP address of the AIX client (192.168.1.2).

Review the following examples of XML configuration files for both the AIX client (Host A) and the AIX server (Host B):

AIX client (Host A) XML configuration file

```
<?xml version="1.0"?>
<AIX_VPN
  Version="2.1">
  <IKEProtection
    IKE_Flags_UseCRL="No"
    IKE_KeyOverlap="10"
    IKE_ProtectionName="P1Pol"
    IKE_ResponderKeyRefreshMaxKB="200"
    IKE_ResponderKeyRefreshMaxMinutes="480"
    IKE_ResponderKeyRefreshMinKB="1"
    IKE_ResponderKeyRefreshMinMinutes="1"
    IKE_Role="Both"
    IKE_Version="2"
    IKE_XCHGMode="Main">
  <IKETransform
    IKE_Encryption="AES-CBC-128"/>
  <IKETransform
    IKE_PRF="PRF_AES_XCBC"/>
  <IKETransform
    IKE_Hash="AES_XCBC"/>
  <IKETransform
    IKE_DHGroup="5"/>
  <IKETransform
    IKE_AuthenticationMethod="RSA_signatures"/>
  </IKEProtection>
  <IKETunnel
    IKE_Flags_AutoStart="Yes"
    IKE_Flags_MakeRuleWithOptionalIP="Yes"
    IKE_ProtectionRef="P1Pol"
    IKE_TunnelName="P1">
  <IKELocalIdentity>
```

```

    <ASN1_DN
      Value="/C=US/ST=Texas/L=Austin/O=IBM/OU=Systems/CN=haapp01">
      <IPV4_Address
        Value="192.168.1.2"/>
    </ASN1_DN>
  </IKELocalIdentity>
  <IKERemoteIdentity>
    <ASN1_DN
      Value="/C=US/ST=Texas/L=Austin/O=IBM/OU=Systems/CN=haapp03">
      <IPV4_Address
        Value="9.126.125.2"/>
    </ASN1_DN>
  </IKERemoteIdentity>
</IKETunnel>
<IPSecProposal
  IPSec_ProposalName="P2Prop">
  <IPSecESPProtocol
    ESP_Authentication="CMAC-AES-XCBC"
    ESP_EncapsulationMode="Tunnel"
    ESP_Encryption="ESP_AES256_GMAC"
    ESP_ExtendedSeqNum="0"
    ESP_KeyRefreshKB="0"
    ESP_KeyRefreshMinutes="10"/>
</IPSecProposal>
<IPSecProtection
  IPSec_Flags_UseCommitBit="No"
  IPSec_Flags_UseLifeSize="No"
  IPSec_InitiatorDHGroup="2"
  IPSec_KeyOverlap="10"
  IPSec_ProposalRefs="P2Prop"
  IPSec_ProtectionName="P2Pol"
  IPSec_ResponderDHGroup="GROUP_2"
  IPSec_ResponderKeyRefreshMaxKB="200"
  IPSec_ResponderKeyRefreshMaxMinutes="220"
  IPSec_ResponderKeyRefreshMinKB="1"
  IPSec_ResponderKeyRefreshMinMinutes="1"
  IPSec_Role="Both"/>
<IPSecTunnel
  IKE_TunnelName="P1"
  IPSec_Flags_AutoStart="Yes"
  IPSec_Flags_OnDemand="No"
  IPSec_ProtectionRef="P2Pol"
  IPSec_TunnelName="P3">
  <IPSecLocalIdentity
    EndPort="65535"
    Port="0"
    Protocol="0">
    <IPV4_Address_Range
      From_IPAddr="192.168.1.2"
      To_IPAddr="192.168.1.2"/>
  </IPSecLocalIdentity>
  <IPSecRemoteIdentity
    EndPort="65535"
    Port="0"
    Protocol="0">
    <IPV4_Address_Range
      From_IPAddr="172.16.1.2"
      To_IPAddr="172.16.1.2"/>
  </IPSecRemoteIdentity>
</IPSecTunnel>

```

AIX server (Host B) XML configuration file

```

<?xml version="1.0"?>
<AIX_VPN
  Version="2.1">
  <IKEProtection
    IKE_Flags_UseCRL="No"
    IKE_KeyOverlap="10"
    IKE_ProtectionName="P1Pol"
    IKE_ResponderKeyRefreshMaxKB="200"
    IKE_ResponderKeyRefreshMaxMinutes="480"
    IKE_ResponderKeyRefreshMinKB="1"
    IKE_ResponderKeyRefreshMinMinutes="1"
    IKE_Role="Both"
    IKE_Version="2"
    IKE_XCHGMode="Main">
  <IKETransform
    IKE_Encryption="AES-CBC-128"/>
  <IKETransform
    IKE_PRf="PRF_AES_XCBC"/>

```

```

<IKETransform
  IKE_Hash="AES_XCBC" />
<IKETransform
  IKE_DHGroup="5" />
<IKETransform
  IKE_AuthenticationMethod="RSA_signatures" />
</IKEProtection>
<IKETunnel
  IKE_Flags_AutoStart="Yes"
  IKE_Flags_MakeRuleWithOptionalIP="Yes"
  IKE_ProtectionRef="P1Pol"
  IKE_TunnelName="P1">
  <IKELocalIdentity>
    <ASN1_DN
      Value="/C=US/ST=Texas/L=Austin/O=IBM/OU=Systems/CN=haapp03">
      <IPV4_Address
        Value="172.16.1.2" />
      </ASN1_DN>
    </IKELocalIdentity>
    <IKERemoteIdentity>
      <ASN1_DN
        Value="/C=US/ST=Texas/L=Austin/O=IBM/OU=Systems/CN=haapp01">
      <IPV4_Address
        Value="9.126.15.1" />
      </ASN1_DN>
    </IKERemoteIdentity>
  </IKETunnel>
<IPSecProposal
  IPSec_ProposalName="P2Prop">
  <IPSecESPProtocol
    ESP_Authentication="CMAC-AES-XCBC"
    ESP_EncapsulationMode="Tunnel"
    ESP_Encryption="ESP_AES256_GMAC"
    ESP_ExtendedSeqNum="0"
    ESP_KeyRefreshKB="0"
    ESP_KeyRefreshMinutes="240" />
  </IPSecProposal>
<IPSecProtection
  IPSec_Flags_UseCommitBit="No"
  IPSec_Flags_UseLifeSize="No"
  IPSec_InitiatorDHGroup="2"
  IPSec_KeyOverlap="10"
  IPSec_ProposalRefs="P2Prop"
  IPSec_ProtectionName="P2Pol"
  IPSec_ResponderDHGroup="GROUP_2"
  IPSec_ResponderKeyRefreshMaxKB="200"
  IPSec_ResponderKeyRefreshMaxMinutes="220"
  IPSec_ResponderKeyRefreshMinKB="1"
  IPSec_ResponderKeyRefreshMinMinutes="1"
  IPSec_Role="Both" />
<IPSecTunnel
  IKE_TunnelName="P1"
  IPSec_Flags_AutoStart="Yes"
  IPSec_Flags_OnDemand="No"
  IPSec_ProtectionRef="P2Pol"
  IPSec_TunnelName="P2">
  <IPSecLocalIdentity
    EndPort="65535"
    Port="0"
    Protocol="0">
    <IPV4_Address_Range
      From_IPAddr="172.16.1.2"
      To_IPAddr="172.16.1.2" />
    </IPSecLocalIdentity>
  <IPSecRemoteIdentity
    EndPort="65535"
    Port="0"
    Protocol="0">
    <IPV4_Address_Range
      From_IPAddr="192.168.1.2"
      To_IPAddr="192.168.1.2" />
    </IPSecRemoteIdentity>
  </IPSecTunnel>
</AIX_VPN>

```

Configuring the NAT X device

A host that has Red Hat Enterprise Linux (RHEL) operating system is used as the NAT X device in this example. The RHEL host also works as a forwarder or the gateway device. The NAT device has two interfaces: eth1 and eth2. Complete the following steps to configure the NAT device:

1. Configure eth1 with IP address 9.126.15.1 and eth2 with IP address 192.168.1.1.
2. Enable IP forwarding in the RHEL host by entering the following command:

```
sysctl -w net.ipv4.ip_forward=1
```

3. Configure the NAT entry in the IP address table by entering the following commands:

```
iptables -t nat -A POSTROUTING -o eth1 -j SNAT --to 9.126.15.1
iptables -t nat -A PREROUTING -i eth1 -j DNAT --to 192.168.1.2
```

Configuring the NAT Y device

A host that has Red Hat Enterprise Linux (RHEL) operating system is used as the NAT Y device in this example. The RHEL host also works as a forwarder or the gateway device. The NAT device has two interfaces: eth1 and eth2. Complete the following steps to configure the NAT device:

1. Configure eth1 with IP address 172.16.1.1 and eth2 with IP address 9.126.125.2.
2. Enable IP forwarding in the RHEL host by entering the following command:

```
sysctl -w net.ipv4.ip_forward=1
```

3. Configure the NAT entry in the IP address table by entering the following commands:

```
iptables -t nat -A POSTROUTING -o eth2 -j SNAT --to 9.126.125.2
iptables -t nat -A PREROUTING -i eth2 -j DNAT --to 172.16.1.2
```

Verifying the connection between the AIX client and the AIX server

To verify the connection between the AIX client and the AIX server, enter the following command in the client system:

```
ping -S 192.168.1.2 -c 1 172.16.1.2
```

Note: The -S flag is required because no default routes exist between the AIX client and the AIX server. In the preceding example 192.168.1.2 is the IP address of the AIX client and 172.16.1.2 is the IP address of the AIX server.



Configuring manual tunnels

You can configure IP Security manual tunnels if the devices do not support an automatic keying method.

Manual tunnels and filters

The process of setting up a tunnel is to define the tunnel on one end, import the definition on the other end, and activate the tunnel and filter rules on both ends. The tunnel is then ready to use.

To set up a manual tunnel, it is not necessary to separately configure the filter rules. As long as all traffic between two hosts goes through the tunnel, the necessary filter rules are automatically generated.

Information about the tunnel must be made to match on both sides if it is not explicitly supplied. For instance, the encryption and authentication algorithms specified for the source will be used for the destination if the destination values are not specified.

Creating a manual tunnel on the first host

You can configure a tunnel using the SMITips4_basic fast path (for IP Version 4), the SMIT ips6_basic fast path (for IP version 6) or you can create the tunnel manually using the following procedure.

The following is a sample of the **gentun** command used to create a manual tunnel:

```
gentun -v 4 -t manual -s 5.5.5.19 -d 5.5.5.8 \
-a HMAC_MD5 -e DES_CBC_8 -N 23567
```

You can use the **lstun -v 4** command to list the characteristics of the manual tunnel created by the previous example. The output looks similar to the following example:

```
Tunnel ID      : 1
IP Version     : IP Version 4
Source         : 5.5.5.19
Destination    : 5.5.5.8
Policy         : auth/encr
Tunnel Mode    : Tunnel
Send AH Algo   : HMAC_MD5
Send ESP Algo  : DES_CBC_8
Receive AH Algo : HMAC_MD5
Receive ESP Algo : DES_CBC_8
Source AH SPI  : 300
Source ESP SPI : 300
Dest AH SPI    : 23576
Dest ESP SPI   : 23576
Tunnel Life Time : 480
Status         : Inactive
Target         : -
Target Mask    : -
Replay         : No
New Header     : Yes
Snd ENC-MAC Algo : -
Rcv ENC-MAC Algo : -
```

To activate the tunnel, type the following code:

```
mktun -v 4 -t1
```

The filter rules associated with the tunnel are automatically generated.

To view the filter rules, use the **lsfilt -v 4** command. The output looks similar to the following example:

```
Rule 4:
Rule action      : permit
Source Address   : 5.5.5.19
Source Mask      : 255.255.255.255
Destination Address : 5.5.5.8
Destination Mask : 255.255.255.255
Source Routing   : yes
Protocol         : all
Source Port      : any 0
Destination Port : any 0
Scope            : both
Direction        : outbound
Logging control  : no
Fragment control : all packets
Tunnel ID number : 1
Interface        : all
Auto-Generated   : yes

Rule 5:
Rule action      : permit
Source Address   : 5.5.5.8
Source Mask      : 255.255.255.255
Destination Address : 5.5.5.19
Destination Mask : 255.255.255.255
Source Routing   : yes
Protocol         : all
Source Port      : any 0
Destination Port : any 0
Scope            : both
Direction        : inbound
Logging control  : no
Fragment control : all packets
Tunnel ID number : 1
Interface        : all
Auto-Generated   : yes
```

To activate the filter rules, including the default filter rules, use the **mktun -v 4 -t 1** command.

To set up the other side (when it is another machine using this operating system), the tunnel definition can be exported on host A and then imported to host B.

The following command exports the tunnel definition into a file named **ipsec_tun_manu.exp** and any associated filter rules to the file **ipsec_fltr_rule.exp** in the directory indicated by the **-f** flag:

```
exptun -v 4 -t 1 -f /tmp
```

Creating a manual tunnel on the second host

To create the matching end of the tunnel, the export files are copied and imported into the remote machine.

Use the following command to create the matching end of the tunnel:

```
imptun -v 4 -t 1 -f /tmp
```

where

1

Is the tunnel to be imported

/tmp

Is the directory where the import files reside

The tunnel number is generated by the system. You can obtain it from the output of the **gentun** command or by using the **lstun** command to list the tunnels and determine the correct tunnel number to import. If there is only one tunnel in the import file, or if all the tunnels are to be imported, the **-t** option is not needed.

If the remote machine is not running this operating system, the export file can be used as a reference for setting up the algorithm, keys, and security parameters index (SPI) values for the other end of the tunnel.

Export files from a firewall product can be imported to create tunnels. To do this, use the **-n** option when importing the file, as follows:

```
imptun -v 4 -f /tmp -n
```

Removing filters

To completely remove filters and stop IP security, use the **rmdev** command.

The default filter rule is still active even if filtering is turned off with the **mkfilt -d** command. This command allows you to suspend or remove all filters rules and load new rules while the protection of the default rule remains. The default filter rule is *DENY*. If you deactivate filtering with the **mkfilt -d** command, reports from the **lsfilt** command will show that filtering is turned off, but no packets being allowed in or out. If you want to stop IP security entirely, use the **rmdev** command.

IP security filter configuration

Filtering can be set up to be simple, using mostly auto-generated filter rules, or can be customized by defining very specific filter functions based on the properties of the IP packets.

Each line in a filter table is known as a *rule*. A collection of rules determine what packets are accepted in and out of the machine and how they are directed. Matches to filter rules on incoming packets are done by comparing the source address and SPI value to those listed in the filter table. Therefore, this pair must be unique. Filter rules can control many aspects of communications, including source and destination addresses and masks, protocol, port number, direction, fragment control, source routing, tunnel, and interface type.

The types of filter rules are as follows:

- Static filter rules are created in the filter table to be used for the general filtering of traffic or for associating with manual tunnels. They can be added, deleted, modified, and moved. An optional description text field can be added to identify a specific rule.
- Autogenerated filter rules and user-specified filter rules (also called *autogenerated* filter rules) are a specific set of rules created for use of IKE tunnels. Both static and dynamic filter rules are created based on data management tunnel information and on data management tunnel negotiation.

- Predefined filter rules are generic filter rules that cannot be modified, moved, or deleted, such as the `all traffic` rule, the `ah` rule, and the `esp` rule. They pertain to all traffic.

The direction flag (**-w**) of the **genfilt** command is used to specify when the specified rule should be used either during input packet processing or output packet processing. When the **both** value for this flag is used, it specifies that this rule is used during both input and output processing. In AIX IPsec, when filtering is turned on, at least one rule determines the fate of any network packet (be it incoming or outgoing). If you want a rule to be used only during processing of an incoming packet (or outgoing packet), you can choose to do so by using the **-w** switch of the **genfilt** command. For example, when a packet is sent out from host A to host B, the outgoing IP packet has the source address of A and the destination address of B. On host A, this packet is processed by the IPsec filter during the outbound processing and during the inbound processing on host B. Assume there is a gateway G between host A and host B. On gateway G, this same packet (all the immutable fields having the same value) is processed twice: once for the inbound processing and once for the outbound processing (if the **ipforwarding** option is set). For the packet to travel from host A to host B through gateway G, you need a permit rule with:

- On host A – **src addr** set to A, **dest addr** to B, direction to outbound
- On host B – **src addr** set to A, **dest addr** to B, direction to inbound

But on the gateway G, you will be requiring two rules:

1. **src addr** set to A, **dest addr** to B, direction to outbound
2. **src addr** set to A, **dest addr** to B, direction to inbound

The above rules can be replaced by: **src addr** set to A, **dest addr** to B and direction to both. Therefore, the value of **both** for direction is typically used in gateways that have the **ipforwarding** option set to no. The above configuration is only for the packets travelling from host A to host B through the gateway G. If you want the packets to travel in the reverse direction (from host B to host A through the gateway G), then you need another rule for that.

Note: Direction **both** implies that the associated rule is used for both incoming and outgoing packets. However, it doesn't mean that the rule is applied when the source and destination addresses are reversed. For instance, if server A has a rule with A as source address and B as destination address and the direction is set to **both**, then A as incoming packet with B as source address and A as destination does not match this rule. Typically the **both** option is used in gateways that forward the packets.

Associated with these filter rules are Subnet masks, which group IDs that are associated with a filter rule, and the `host-firewall-host` configuration option. The following sections describe the different types of filter rules and their associated features.

Static filter rules

Each static filter rule contains space-separated fields.

The following list provides the name of each field in a static filter rule followed by an example from rule 1 in parentheses:

- Rule_number (1)
- Action (permit)
- Source_addr (0.0.0.0)
- Source_mask (0.0.0.0)
- Dest_addr (0.0.0.0)
- Dest_mask (0.0.0.0)
- Source_routing (no)
- Protocol (udp)
- Src_prt_operator (eq)
- Src_prt_value (4001)
- Dst_prt_operator (eq)
- Dst_prt_value (4001)

- Scope (both)
- Direction (both)
- Logging (no)
- Fragment (all packets)
- Tunnel (0)
- Interface (all).

Example of static filter rules

```

1 permit 0.0.0.0 0.0.0.0 0.0.0.0 0.0.0.0 no udp eq 4001 eq 4001 both both no all
   packets 0 all
2 permit 0.0.0.0 0.0.0.0 0.0.0.0 0.0.0.0 no ah any 0 any 0 both both no all packets
   0 all
3 permit 0.0.0.0 0.0.0.0 0.0.0.0 0.0.0.0 no esp any 0 any 0 both both no all packets
   0 all
4 permit 10.0.0.1 255.255.255.255 10.0.0.2 255.255.255.255 no all any 0 any 0 both
   outbound no all packets 1 all outbound traffic
5 permit 10.0.0.2 255.255.255.255 10.0.0.1 255.255.255.255 no all any 0 any 0 both
   inbound no all packets 1 all
6 permit 10.0.0.1 255.255.255.255 10.0.0.3 255.255.255.255 no tcp lt 1024 eq 514 local
   outbound yes all packets 2 all
7 permit 10.0.0.3 255.255.255.255 10.0.0.1 255.255.255.255 no tcp/ack eq 514 lt 1024
   local inbound yes all packets 2 all
8 permit 10.0.0.1 255.255.255.255 10.0.0.3 255.255.255.255 no tcp/ack lt 1024 lt 1024
   local outbound yes all packets 2 all
9 permit 10.0.0.3 255.255.255.255 10.0.0.1 255.255.255.255 no tcp lt 1024 lt 1024 local
   inbound yes all packets 2 all
10 permit 10.0.0.1 255.255.255.255 10.0.0.4 255.255.255.255 no icmp any 0 any 0 local
   outbound yes all packets 3 all
11 permit 10.0.0.4 255.255.255.255 10.0.0.1 255.255.255.255 no icmp any 0 any 0 local
   inbound yes all packets 3 all
12 permit 10.0.0.1 255.255.255.255 10.0.0.5 255.255.255.255 no tcp gt 1023 eq 21 local
   outbound yes all packets 4 all
13 permit 10.0.0.5 255.255.255.255 10.0.0.1 255.255.255.255 no tcp/ack eq 21 gt 1023 local
   inbound yes all packets 4 all
14 permit 10.0.0.5 255.255.255.255 10.0.0.1 255.255.255.255 no tcp eq 20 gt 1023 local
   inbound yes all packets 4 all
15 permit 10.0.0.1 255.255.255.255 10.0.0.5 255.255.255.255 no tcp/ack gt 1023 eq 20 local
   outbound yes all packets 4 all
16 permit 10.0.0.1 255.255.255.255 10.0.0.5 255.255.255.255 no tcp gt 1023 gt 1023 local
   outbound yes all packets 4 all
17 permit 10.0.0.5 255.255.255.255 10.0.0.1 255.255.255.255 no tcp/ack gt 1023 gt 1023 local
   inbound yes all packets 4 all
18 permit 0.0.0.0 0.0.0.0 0.0.0.0 0.0.0.0 no all any 0 any 0 both both yes all
   packets

```

Each rule in the previous example is described as follows:

Rule 1

For the **Session Key** daemon. This rule only appears in IP Version 4 filter tables. It uses port number 4001 to control packets for refreshing the session key. Rule 1 an example of how the port number can be used for a specific purpose.

Note: Do not modify this filter rule, except for logging purposes.

Rules 2 and 3

Allow processing of authentication headers (AH) and encapsulating security payload (ESP) headers.

Note: Do not modify Rules 2 and 3, except for logging purposes.

Rules 4 and 5

Set of autogenerated rules that filter traffic between addresses 10.0.0.1 and 10.0.0.2 through tunnel 1. Rule 4 is for outbound traffic, and rule 5 is for inbound traffic.

Note: Rule 4 has a user-defined description of *outbound traffic*.

Rules 6 through 9

Set of user-defined rules that filter outbound rsh, rcp, rdump, rrestore, and rdist services between addresses 10.0.0.1 and 10.0.0.3 through tunnel 2. In this example, logging is set to Yes, so that the administrator can monitor this type of traffic.

Rules 10 and 11

Set of user-defined rules that filter both inbound and outbound icmp services of any type between addresses 10.0.0.1 and 10.0.0.4 through tunnel 3.

Rules 12 through 17

User-defined filter rules that filter outbound file transfer protocol (FTP) service from 10.0.0.1 and 10.0.0.5 through tunnel 4.

Rule 18

Autogenerated rule always placed at the end of the table. In this example, it permits all packets that do not match the other filter rules. It can be set to deny all traffic not matching the other filter rules.

Each rule can be viewed separately (using **lsfilt**) to list each field with its value. For example:

```
Rule 1:
Rule action      : permit
Source Address   : 0.0.0.0
Source Mask      : 0.0.0.0
Destination Address : 0.0.0.0
Destination Mask : 0.0.0.0
Source Routing   : yes
Protocol         : udp
Source Port      : eq 4001
Destination Port : eq 4001
Scope            : both
Direction       : both
Logging control  : no
Fragment control : all packets
Tunnel ID number : 0
Interface        : all
Auto-Generated  : yes
```

The following list contains all the parameters that can be specified in a filter rule:

-v

IP Version: 4 or 6.

-a

Action:

d

Deny

p

Permit

- s** Source address. Can be an IP address or hostname.
- m** Source subnet mask.
- d** Destination address. Can be an IP address or hostname.
- M** Destination subnet mask.
- g** Source routing control: y or n.
- c** Protocol. Values can be udp, icmp, tcp, tcp/ack, ospf, pip, esp, ah and all.
- o** Source port or ICMP type operation.
- p** Source port or ICMP type value.
- O** Destination port or ICMP code operation.
- P** Destination port or ICMP code value.
- r** Routing:
 - r** Forwarded packets.
 - l** Local destined/originated packets.
 - b** Both.
- l** Log control.
 - y** Include in log.
 - n** Do not include in log.
- f** Fragmentation.
 - y** Applies to fragments headers, fragments, and non-fragments.
 - o** Applies only to fragments and fragment headers.
 - n** Applies only to non-fragments.
 - h** Applies only to non-fragments and fragment headers.
- t** Tunnel ID.
- i** Interface, such as tr0 or en0.

For more information, see the [genfilt](#) and [chfilt](#) command descriptions.

Autogenerated filter rules and user-specified filter rules

Certain rules are autogenerated for the use of the IP Security filter and tunnel code.

Autogenerated rules include the following rule sets:

- Rules for the session key daemon that refresh the IP version 4 keys in IKE
- Rules for the processing of AH and ESP packets.

Filter rules are also autogenerated when you define tunnels. For manual tunnels, autogenerated rules specify the source and destination addresses and the mask values, as well as the tunnel ID. All traffic between those addresses flow through the tunnel.

For IKE tunnels, autogenerated filter rules determine protocol and port numbers during IKE negotiation. The IKE filter rules are kept in a separate table, which is searched after the static filter rules and before the autogenerated rules. IKE filter rules are inserted in a default position within the static filter table, but they can be moved by the user.

Autogenerated rules permit all traffic over the tunnel. User-defined rules can place restrictions on certain types of traffic. Place these user-defined rules before the autogenerated rules, because IP Security uses the first rule it finds that applies to the packet. The following is an example of user-defined filter rules that filter traffic based on ICMP operation.

```
1 permit 10.0.0.1 255.255.255.255 10.0.0.4 255.255.255.255 no icmp any 8 any 0
   local outbound no all packets 3 all
2 permit 10.0.0.4 255.255.255.255 10.0.0.1 255.255.255.255 no icmp any 0 any 0 local
   inbound no all packets 3 all
3 permit 10.0.0.4 255.255.255.255 10.0.0.1 255.255.255.255 no icmp any 8 any 0 local
   inbound no all packets 3 all
4 permit 10.0.0.1 255.255.255.255 10.0.0.4 255.255.255.255 no icmp any 0 any 0 local
   outbound no all packets 3 all
```

To simplify the configuration of a single tunnel, filter rules are autogenerated when tunnels are defined. This function can be suppressed by specifying the **-g** flag in the **gentun**. You can find a sample filter file with **genfilt** commands to generate filter rules for different TCP/IP services in `/usr/samples/ipsec/filter.sample`.

Predefined filter rules

Several predefined filter rules are autogenerated with certain events.

When the `ipsec_v4` or `ipsec_v6` device is loaded, a predefined rule is inserted into the filter table and then activated. By default, this predefined rule is to permit all packets, but it is user-configurable and you can set it to deny all packets.

Note: When configuring remotely, ensure that the deny rule is not enabled before the configuration is complete, to prevent your session from getting locked out of the machine. The situation can be avoided either by setting the default action to permit or by configuring a tunnel to the remote machine before activating IP Security.

Both IP Version 4 and IP Version 6 filter tables have a predefined rule. Either may be independently changed to deny all. This will keep traffic from passing unless that traffic is specifically defined by additional filter rules. The only other option to change on the predefined rules is **chfilt** with the **-l** option, which allows packets matching that rule to be logged.

To support IKE tunnels, a dynamic filter rule is placed in the IP Version 4 filter table. This is the position at which dynamic filter rules are inserted into the filter table. This position can be controlled by the user by moving its position up and down the filter table. After the tunnel manager daemon and **isakmpd** daemon are initialized to allow IKE tunnels to be negotiated, rules are automatically created in the dynamic filter table to handle IKE messages as well as AH and ESP packets.

Subnet masks

Subnet masks are used to group a set of IDs that are associated with a filter rule. The mask value is ANDed with the ID in the filter rules and compared to the ID specified in the packet.

For example, a filter rule with a source IP address of 10.10.10.4 and a subnet mask of 255.255.255.255 specified that an exact match must occur of the decimal IP address, as shown in the following:

	Binary	Decimal
Source IP address	1010.1010.1010.0100	10.10.10.4
Subnet mask	11111111.11111111.11111111.11111111 11	255.255.255.255

A 10.10.10.x subnet is specified as 11111111.11111111.11111111.0 or 255.255.255.0. An incoming address would have the subnet mask applied to it, then the combination would be compared to the ID in the filter rule. For example, an address of 10.10.10.100 becomes 10.10.10.0 after the subnet mask is applied, which matches the filter rule.

A subnet mask of 255.255.255.240 allows any value for the last four bits in the address.

Host-firewall-host configuration

The host-firewall-host configuration option for tunnels allows you to create a tunnel between your host and a firewall, then automatically generate the necessary filter rules for correct communication between your host and a host behind the firewall.

The autogenerated filter rules permit all rules between the two non-firewall hosts over the tunnel specified. The default rules—for user datagram protocol (UDP), Authentication Headers (AH), and Encapsulating Security Payload (ESP) headers—should already handle the host to firewall communication. The firewall will have to be configured appropriately to complete the setup. You should use the export file from the tunnel you created to enter the SPI values and keys that the firewall needs.



Figure 16. Host-Firewall-Host

This illustration shows a Host-Firewall-Host configuration. Host A has a tunnel running through a local firewall and out to the internet. Then it goes to Remote Firewall B, and then on to Remote Host C.

Logging facilities

As hosts communicate with each other, the transferred packets may be logged to the system log daemon, syslogd. Other important messages about IP Security also display.

An administrator may choose to monitor this logging information for traffic analysis and debugging assistance. The following are the steps for setting up the logging facilities.

1. Edit the `/etc/syslog.conf` file to add the following entry:

```
local14.debug var/adm/ipsec.log
```

Use the `local14` facility to record traffic and IP Security events. Standard operating system priority levels apply. You should set the priority level of debug until traffic through IP Security tunnels and filters show stability and proper movement.

Note: The logging of filter events can create significant activity at the IP Security host and can consume large amounts of storage.

2. Save the `/etc/syslog.conf` file.
3. Go to the directory you specified for the log file and create an empty file with the same name. In the case above, you would change to `/var/adm` directory and issue the command:

```
touch ipsec.log
```

4. Issue a **refresh** command to the syslogd subsystem:

```
refresh -s syslogd
```

Refreshing the IKE daemons, internally refreshes the syslogd subsystem.

5. If you are using IKE tunnels, ensure the `/etc/isakmpd.conf` file specifies the desired **isakmpd** logging level. (See [“Internet Protocol security problem diagnosis”](#) on page 289 for more information on IKE logging.)
6. While creating filter rules for your host, if you would like packets matching a specific rule to be logged, set the `-l` parameter for the rule to **Y** (Yes) using the **genfilt** or the **chfilt** commands.
7. Turn on packet logging and start the **ipsec_logd** daemon using the command:

```
mkfilt -g start
```

You can stop packet logging by issuing the following command:

```
mkfilt -g stop
```

The following sample log file contains traffic entries and other IP Security log entries:

```
1. Aug 27 08:08:40 host1 : Filter logging daemon ipsec_logd (level 2.20)
   initialized at 08:08:40 on 08/27/97A
2. Aug 27 08:08:46 host1 : mkfilt: Status of packet logging set to Start
   at 08:08:46 on 08/27/97
3. Aug 27 08:08:47 host1 : mktun: Manual tunnel 2 for IPv4, 9.3.97.244, 9.3.97.130
   activated.
4. Aug 27 08:08:47 host1 : mkfilt: #:1 permit 0.0.0.0 0.0.0.0 0.0.0.0 0.0.0.0
   udp eq 4001 eq 4001 both both l=n f=y t=0 e= a=
5. Aug 27 08:08:47 host1 : mkfilt: #:2 permit 0.0.0.0 0.0.0.0 0.0.0.0 0.0.0.0
   ah any 0 any 0 both both l=n f=y t=0 e= a=
6. Aug 27 08:08:47 host1 : mkfilt: #:3 permit 0.0.0.0 0.0.0.0 0.0.0.0 0.0.0.0
   esp any 0 any 0 both both l=n f=y t=0 e= a=
7. Aug 27 08:08:47 host1 : mkfilt: #:4 permit 10.0.0.1 255.255.255.255 10.0.0.2
   255.255.255.255 icmp any 0 any 0 local outbound l=y f=y t=1 e= a=
8. Aug 27 08:08:47 host1 : mkfilt: #:4 permit 10.0.0.2 255.255.255.255 10.0.0.1
   255.255.255.255 icmp any 0 any 0 local inbound l=y f=y t=1 e= a=
9. Aug 27 08:08:47 host1 : mkfilt: #:6 permit 0.0.0.0 0.0.0.0 0.0.0.0 0.0.0.0
   all any 0 any 0 both both l=y f=y t=0 e= a=
10. Aug 27 08:08:47 host1 : mkfilt: Filter support (level 1.00) initialized at
   08:08:47 on 08/27/97
11. Aug 27 08:08:48 host1 : #:6 R:p o:10.0.0.1 s:10.0.0.1 d:10.0.0.20 p:udp
   sp:3327 dp:53 r:l a:n f:n T:0 e:n l:67
12. Aug 27 08:08:48 host1 : #:6 R:p i:10.0.0.1 s:10.0.0.20 d:10.0.0.1 p:udp
   sp:53 dp:3327 r:l a:n f:n T:0 e:n l:133
13. Aug 27 08:08:48 host1 : #:6 R:p i:10.0.0.1 s:10.0.0.15 d:10.0.0.1 p:tcp
   sp:4649 dp:23 r:l a:n f:n T:0 e:n l:43
14. Aug 27 08:08:48 host1 : #:6 R:p o:10.0.0.1 s:10.0.0.1 d:10.0.0.15 p:tcp
   sp:23 dp:4649 r:l a:n f:n T:0 e:n l:41
15. Aug 27 08:08:48 host1 : #:6 R:p i:10.0.0.1 s:10.0.0.15 d:10.0.0.1 p:tcp
   sp:4649 dp:23 r:l a:n f:n T:0 e:n l:40
16. Aug 27 08:08:51 host1 : #:4 R:p o:10.0.0.1 s:10.0.0.1 d:10.0.0.2 p:icmp
   t:8 c:0 r:l a:n f:n T:1 e:n l:84
17. Aug 27 08:08:51 host1 : #:5 R:p i:10.0.0.1 s:10.0.0.2 d:10.0.0.1 p:icmp
   t:0 c:0 r:l a:n f:n T:1 e:n l:84
18. Aug 27 08:08:52 host1 : #:4 R:p o:10.0.0.1 s:10.0.0.1 d:10.0.0.2 p:icmp
   t:8 c:0 r:l a:n f:n T:1 e:n l:84
19. Aug 27 08:08:52 host1 : #:5 R:p i:10.0.0.1 s:10.0.0.2 d:10.0.0.1 p:icmp
   t:0 c:0 r:l a:n f:n T:1 e:n l:84
20. Aug 27 08:32:27 host1 : Filter logging daemon terminating at 08:32:27 on
   08/27/971
```

The following paragraphs explain the log entries.

1

Filter logging daemon activated.

2

Filter packet logging set to on with the **mkfilt -g start** command.

3

Tunnel activation, showing tunnel ID, source address, destination address, and time stamp.

4-9

Filters have been activated. Logging shows all loaded filter rules.

10

Message showing activation of filters.

11-12

These entries show a DNS lookup for a host.

13-15

These entries show a partial Telnet connection (the other entries have been removed from this example for space reasons).

16-19

These entries show two pings.

20

Filter logging daemon shutting down.

The following example shows two hosts negotiating a phase 1 and a phase 2 tunnel from the initiating host's point of view. (The **isakmpd** logging level has been specified as **isakmp_events**.)

```
1. Dec 6 14:34:42 host1 Tunnel Manager: 0: TM is processing a
   Connection_request_msg
2. Dec 6 14:34:42 host1 Tunnel Manager: 1: Creating new P1 tunnel object (tid)
3. Dec 6 14:34:42 host1 isakmpd: 192.168.100.103 >>> 192.168.100.104 ( SA PROPOSAL
   TRANSFORM )
4. Dec 6 14:34:42 host1 isakmpd: ::ffff:192.168.100.103 <<< 192.168.100.104 ( SA
   PROPOSAL TRANSFORM )
5. Dec 6 14:34:42 host1 isakmpd: Phase I SA Negotiated
6. Dec 6 14:34:42 host1 isakmpd: 192.168.100.103 >>> 192.168.100.104 ( KE NONCE )
7. Dec 6 14:34:42 host1 isakmpd: ::ffff:192.168.100.103 <<< 192.168.100.104 ( KE
   NONCE )
8. Dec 6 14:34:42 host1 isakmpd: Encrypting the following msg to send: ( ID HASH
   )
9. Dec 6 14:34:42 host1 isakmpd: 192.168.100.103 >>> 192.168.100.104 ( Encrypted
   Payloads )
10. Dec 6 14:34:42 host1 isakmpd: ::ffff:192.168.100.103 <<< 192.168.100.104 (
   Encrypted Payloads )
11. Dec 6 14:34:42 host1 Tunnel Manager: 1: TM is processing a P1_sa_created_msg
   (tid)
12. Dec 6 14:34:42 host1 Tunnel Manager: 1: Received good P1 SA, updating P1
   tunnel (tid)
13. Dec 6 14:34:42 host1 Tunnel Manager: 0: Checking to see if any P2 tunnels need
   to start
14. Dec 6 14:34:42 host1 isakmpd: Decrypted the following received msg: ( ID HASH
   )
15. Dec 6 14:34:42 host1 isakmpd: Phase I Done !!!
16. Dec 6 14:34:42 host1 isakmpd: Phase I negotiation authenticated
17. Dec 6 14:34:44 host1 Tunnel Manager: 0: TM is processing a
   Connection_request_msg
18. Dec 6 14:34:44 host1 Tunnel Manager: 0: Received a connection object for an
   active P1 tunnel
19. Dec 6 14:34:44 host1 Tunnel Manager: 1: Created blank P2 tunnel (tid)
20. Dec 6 14:34:44 host1 Tunnel Manager: 0: Checking to see if any P2 tunnels need
   to start
21. Dec 6 14:34:44 host1 Tunnel Manager: 1: Starting negotiations for P2 (P2 tid)
22. Dec 6 14:34:45 host1 isakmpd: Encrypting the following msg to send: ( HASH SA
   PROPOSAL TRANSFORM NONCE ID ID )
23. Dec 6 14:34:45 host1 isakmpd: 192.168.100.103 >>> 192.168.100.104 ( Encrypted
   Payloads )
24. Dec 6 14:34:45 host1 isakmpd: ::ffff:192.168.100.103 <<< 192.168.100.104 (
   Encrypted Payloads )
25. Dec 6 14:34:45 host1 isakmpd: Decrypted the following received msg: ( HASH SA
   PROPOSAL TRANSFORM NONCE ID ID )
26. Dec 6 14:34:45 host1 isakmpd: Encrypting the following msg to send: ( HASH )
27. Dec 6 14:34:45 host1 isakmpd: 192.168.100.103 >>> 192.168.100.104 ( Encrypted
   Payloads )
28. Dec 6 14:34:45 host1 isakmpd: Phase II SA Negotiated
29. Dec 6 14:34:45 host1 isakmpd: PhaseII negotiation complete.
30. Dec 6 14:34:45 host1 Tunnel Manager: 0: TM is processing a P2_sa_created_msg
31. Dec 6 14:34:45 host1 Tunnel Manager: 1: received p2_sa_created for an existing
   tunnel as initiator (tid)
32. Dec 6 14:34:45 host1 Tunnel Manager: 1: Filter::AddFilterRules: Created filter
```

```
rules for tunnel
33. Dec 6 14:34:45 host1 Tunnel Manager: 0: TM is processing a List_tunnels_msg
```

The following paragraphs explain the log entries.

1-2

The **ike cmd=activate phase=1** command initiates a connection.

3-10

The **isakmpd** daemon negotiates a phase 1 tunnel.

11-12

The Tunnel Manager receives a valid phase 1 security association from the responder.

13

The Tunnel Manager checks whether **ike cmd=activate** has a phase 2 value for more work. It does not.

14-16

The **isakmpd** daemon finishes the phase 1 negotiation.

17-21

The **ike cmd=activate phase=2** command initiates a phase 2 tunnel.

22-29

The **isakmpd** daemon negotiates a phase 2 tunnel.

30-31

The Tunnel Manager receives a valid phase 2 security association from responder.

32

The Tunnel Manager writes the dynamic filter rules.

33

The **ike cmd=list** command views the IKE tunnels.

Related concepts

Maintaining the IP security configuration

You can change the network environment without changing the IP security Internet Key Exchange (IKE) tunnel configuration.

Labels in field entries

The fields in the log entries are abbreviated to reduce DASD space requirements.

Field Meaning

The rule number that caused this packet to be logged.

R Rule Type

p Permit

d Deny

i/o Direction the packet was traveling when it was intercepted by the filter support code. Identifies IP address of the adapter associated with the packet:

- For inbound (i) packets, this is the adapter that the packet arrived on.
- For outbound (o) packets, this is the adapter that the IP layer has determined should handle the transmission of the packet.

s Specifies the IP address of the sender of the packet (extracted from the IP header).

d Specifies the IP address of the intended recipient of the packet (extracted from the IP header).

Field Meaning

- p** Specifies the high-level protocol that was used to create the message in the data portion of the packet. May be a number or name, for example: `udp`, `icmp`, `tcp`, `tcp/ack`, `ospf`, `pip`, `esp`, `ah`, or `all`.
- sp/t** Specifies the protocol port number associated with the sender of the packet (extracted from the TCP/UDP header). When the protocol is ICMP or OSPF, this field is replaced with **t**, which specifies the IP type.
- dp/c** Specifies the protocol port number associated with the intended recipient of the packet (extracted from the TCP/UDP header). When the protocol is ICMP, this field is replaced with **c**, which specifies the IP code.
- Specifies that no information is available
- r** Indicates whether the packet had any local affiliation.
 - f** Forwarded packets
 - l** Local packets
 - o** Outgoing
 - b** Both
- l** Specifies the length of a particular packet in bytes.
- f** Identifies if the packet is a fragment.
- T** Indicates the tunnel ID.
- i** Specifies what interface the packet came in on.

Internet Key-Exchange logging

You can enable logging of Internet Key-Exchange events to the SYSLOG facility with the **isakmpd** daemon.

For the **isakmpd** daemon, you enable logging using the **ike cmd=log** command. You can set the logging level in the `/etc/isakmpd.conf` configuration file with the **log_level** parameter. Depending on the amount of information that you want to log, you can set the level to *none*, *errors*, *isakmp_events*, or *information*.

For example, to specify that you want to log protocol information and implementation information, specify the following parameter:

```
log_level=INFORMATION
```

The **isakmpd** daemon starts one of two processes: it sends a proposal, or it evaluates a proposal. If the proposal is accepted, a security association is created and the tunnel is set up. If the proposal is not accepted or the connection ends before the negotiation completes, the **isakmpd** daemon indicates an error. The entries in the SYSLOG facility from **tmd** indicate whether the negotiation succeeded. A failure caused by a certificate that was not valid is logged to the SYSLOG facility. To determine the exact cause of a failed negotiation, review the data in the logging file that is specified in `/etc/syslog.conf`.

The SYSLOG facility adds a prefix to each line of the log, noting the date and time, the machine, and the program. The following example uses `googly` as the machine name and `isakmpd` as the program name:

```
Nov 20 09:53:50 googly isakmpd: ISAKMP_MSG_HEADER
Nov 20 09:53:50 googly isakmpd: Icookie : 0xef06a77488f25315, Rcookie : 0x0000000000000000
Nov 20 09:53:51 googly isakmpd: Next Payload : 1(SA), Maj Ver : 1, Min Ver : 0
Nov 20 09:53:51 googly isakmpd: Xchg Type : 2 (ID protected), Flag= 0, Encr : No, COMMIT : No
Nov 20 09:53:51 googly isakmpd: Msg ID : 0x00000000
```

To improve clarity, use the **grep** command to extract log lines of interest (such as all **isakmpd** logging) and the **cut** command to remove the prefix from each line.

The /etc/isakmpd.conf file

You can configure options for the **isakmpd** daemon in the `/etc/isakmpd.conf` file.

The following options are available in the `/etc/isakmpd.conf` file.

Log configuration

Syntax: none | error | isakmp_events | information

This option determines the amount of information that you want to log. Then set the level. The IKE daemons use this option to specify the level of logging, where the level has the following meaning:

none

No logging. This is the default.

error

Log protocol errors or application programming interface (API) errors.

isakmp_events

Log IKE protocol events or errors. Use this level when debugging a problem.

information

Log protocol information and implementation information.

Unrecognized IP address negotiation

Syntax: MAIN_MODE_REQUIRES_IP= YES | NO

You can set this option to YES or NO. When you set this option to YES, the local IKE database must contain an IP address for both phase-1 tunnel endpoints. You must specify YES for the host to accept an incoming main-mode tunnel. The IP address can be the primary ID or an optional IP address that is associated with some other ID type.

Set this option to NO to accept an incoming main-mode connection. When you set the option to NO, the host might accept the connection even when the IKE database does not specify IP addresses for the phase 1 endpoints. However, in order for the host to accept the connection, you must use certificate-based authentication. This allows a host with a dynamically assigned IP address to initiate a main mode tunnel to the machine.

If you do not specify this parameter, the default is NO.

SOCKS4 server configuration

Syntax: *mnemonic = value*

The SOCKS4_PORTNUM option is optional. If you do not specify it, the default SOCKS-server port value of 1080 is used. The port value is used when the SOCKS server communicates with the HTTP server.

The *mnemonic* and *value* parameters can be the following values:

SOCKS4_SERVER= specifies the server name

SOCKS4_PORTNUM= specifies the SOCKS-server port number

SOCKS4_USERID= user ID

LDAP server configuration

Syntax: *mnemonic = value*

where *mnemonic* and *value* can be the following values:

LDAP_SERVER= specifies the LDAP server name

LDAP_VERSION= the version of the LDAP server (can be 2 or 3)

LDAP_SERVERPORT= the LDAP-server port number

LDAP_SEARCHTIME=client-search timeout value

CRL fetch order

Syntax: CRL_FETCH_ORDER= *protocol#, protocol#*

where *protocol#* can be HTTP or LDAP.

This option defines whether the HTTP or LDAP server is queried first, when both servers are configured. The `CRL_FETCH_ORDER` option is optional. The default fetch order is HTTP first, then LDAP, depending on whether both HTTP and LDAP servers are configured.

IKEv1 and IKEv2 port specification

Syntax: `v1=port-natport,v2=port-natport`

This string specifies the ports used by the **isakmpd** daemon (IKEv1) and the **ikev2d** daemon (IKEv2). The **iked** daemon (the IKE message broker daemon) looks up this entry and starts the **isakmpd** daemon and the **ikev2d** daemon on their respective ports.

> Liveness or dead peer detection (DPD) configuration

Syntax: `LIVENESS_CHK_INTERVAL=number_of_seconds`

You can specify a value, in seconds, in the **LIVENESS_CHK_INTERVAL** option for the IKEv2 IPsec configuration. The liveness interval, also known as dead peer detection (DPD), is used to monitor the health of the end-points or peer nodes by sending keepalive messages regularly. The liveness interval is the time duration between each keepalive message. This option is disabled by default.

When you set a value for the **LIVENESS_CHK_INTERVAL** option, the **ikev2d** daemon uses this option to determine when the keepalive messages must be transmitted or exchanged with the peer nodes to confirm the availability of the peer nodes. When you configure liveness for a node, the liveness is effective only when the node acts as the initiator of a new IKE security association (SA). If the initiator node does not receive any responses to the keepalive messages that were sent to the peer node, the initiator node transmits the keepalive message again at the time interval of 8, 16, 32, 64, 128, and 256 seconds. If the initiator node does not receive any response even after several attempts, the peer node is declared as dead.

Syntax: `LIVENESS_CHK_RETRIES=1|2|3|4|5|6`

Optionally, you can also specify the number of retries in the **LIVENESS_CHK_RETRIES** option for the IKEv2 IPsec configuration. The initiator node sends the keepalive messages for the specified number of times before the initiator node receives a response from a peer node. The duration of resending the keepalive messages starts with 8 seconds and is increased exponentially through 256 seconds. You can specify the **LIVENESS_CHK_RETRIES** option in the range 1-6. A default value of 6 is set if this option is missing in the `/etc/isakmpd.conf` file.

|<

> Security association (SA) idle timeout configuration

Syntax: `SA_IDLE_TIMEOUT=number_of_seconds`

In AIX IPsec configuration, when a security association (SA) is created between two peer nodes, system resources are used to maintain the state of the SA and to monitor the SA health. If a peer node that is associated with an SA is idle for a long time, which means no inbound or outbound data traffic is passed through the IPsec tunnel, the system resources are also idle for a long time.

The **SA_IDLE_TIMEOUT** option identifies the SAs that are idle. If the SAs are idle for a specified duration, the SAs are deleted to reclaim the system resource. The **SA_IDLE_TIMEOUT** option is applicable only for the IKEv2 configuration. When you set an SA idle timeout interval by using the **SA_IDLE_TIMEOUT** option, in seconds, a timer is created for a specific SA to monitor the SA activities and to monitor the data traffic that is sent or received through this SA. If no data traffic is sent or received through the SA during the specified timeout interval, the SA is deleted and an information message (delete payload) is sent to the associated peer node to request deletion of the SA from the peer node. This option is disabled by default.

|<

> Retransmission attempt configuration

Syntax: `RETRANSMISSION_ATTEMPT=1|2|3|4|5|6|7`

Optionally, you can specify the number of retries in the **RETRANSMISSION_ATTEMPT** option for an initiating or responding node to send a cached request or response message before the node discards the request or message. When you specify this option, the message or request is retransmitted at the interval of 2, 4, 8, 16, 32, 64, and 64 seconds, based on the number of retries you specify. If you do not specify this option, or if you specify an invalid value, a default value of 8 is set, and the default retransmission interval of 16, 32, 64, 128, 128, 256, 512, and 512 seconds is used.



Internet Protocol security problem diagnosis

The following are some hints and tips that might assist you when you encounter a problem.

Set up logging when IPsec is first configured. Logs are very useful in determining what occurs with the filters and tunnels. (For detailed log information, see [“Logging facilities”](#) on page 282.)

To determine which IP security daemons are running, enter the following command:

```
ps -ef
```

The following daemons are associated with IP security: **tmd,iked, isakmpd, ikev2d, cpsd**.

Note: If both IKEv1 and IKEv2 are configured, the **iked** daemon runs. Otherwise, either the **isakmpd** daemon runs or the **ikev2d** daemon runs. This configuration is in the **/etc/isakmpd.conf** file.

Troubleshooting manual tunnel errors

The following are descriptions of several possible tunnel errors, along with their solutions.

Error	Possible problem and solution
Issuing mktun command results in the following error: <pre>insert_tun_man4(): write failed : The requested resource is busy.</pre>	Problem: The tunnel you requested to activate is already active or you have colliding SPI values. To fix: Issue the zmtun command to deactivate, then issue the mktun command to activate. Check to see if the SPI values for the failing tunnel match any other active tunnel. Each tunnel should have its own unique SPI values.
Issuing mktun command results in the following error: <pre>Device ipsec_v4 is in Defined status.</pre> Tunnel activation for IP Version 4 not performed.	Problem: You have not made the IP Security device available. To fix: Issue the following command: <pre>mkdev -l ipsec -t 4</pre> You might have to change -t option to 6 if you are getting the same error for IP Version 6 tunnel activation. The devices must be in available state. To check the IP Security device state, issue the following command: <pre>lsdev -Cc ipsec</pre>
Issuing a gentun command results in the following error: <pre>Invalid Source IP address</pre>	Problem: You have not entered a valid IP address for the source address. To fix: For IP Version 4 tunnels, check to see that you have entered an available IP Version 4 address for the local machine. You cannot use host names for the source when generating tunnels, you might only use host names for the destination. For IP Version 6 tunnels, check to see that you entered an available IP Version 6 address. If you type <code>netstat -in</code> and no IP Version 6 addresses exist, run <code>/usr/sbin/autoconf6 (interface)</code> for a link local autogenerated address (using MAC address) or use the ifconfig command to manually assign an address.

Error	Possible problem and solution
Issuing a gentun command results in the following error: Invalid Source IP address	Problem: You have not entered a valid IP address for the source address. To fix: For IP Version 4 tunnels, check to see that you have entered an available IP Version 4 address for the local machine. You cannot use host names for the source when generating tunnels, you may only use host names for the destination. For IP Version 6 tunnels, check to see that you entered an available IP Version 6 address. If you type <code>netstat -in</code> and no IP Version 6 addresses exist, run <code>/usr/sbin/autoconf6 (interface)</code> for a link local auto-generated address (using MAC address) or use ifconfig to manually assign an address.
Issuing mktun command results in the following error: <pre>insert_tun_man4(): write failed : A system call received a parameter that is not valid.</pre>	Problem: Tunnel generation occurred with invalid ESP and AH combination or without the use of the new header format when necessary. To fix: Check to see which authentication algorithms are in use by the particular tunnel in question. Remember that the HMAC_MD5 and HMAC_SHA algorithms require the new header format. The new header format can be changed using the SMIT fast path ips4_basic or the <code>-z</code> parameter with the chtun command. Also, remember that DES_CBC_4 cannot be used with the new header format.
Trying to use IP Security results in the following error: The installed <code>bos.crypto</code> is back level and must be updated.	Problem: The <code>bos.net.ipsec.*</code> files have been updated to a newer version, but the corresponding <code>bos.crypto.*</code> files have not. To fix: Update the <code>bos.crypto.*</code> files to the version that corresponds with the updated <code>bos.net.ipsec.*</code> files.

Troubleshooting Internet Key Exchange tunnel errors

The following sections describe errors that can occur when using Internet Key Exchange (IKE) tunnels.

Internet Key Exchange tunnel process flow

This section describes the process flow for the internet key exchange tunnel.

The IKE tunnels are set up by the communication of the **ike** command with the following daemons:

tmd

Tunnel Manager daemon

iked

IKE broker daemon (active only when both IKEv1 and IKEv2 daemons are configured on a system)

isakmpd

IKEv1 daemon

ikev2d

IKEv2 daemon

cpsd

Certificate proxy daemon

For IKE tunnels to be correctly set up, the **tmd** and **isakmpd** daemons must be running. If IP Security is set to start at reboot, these daemons start automatically. Otherwise, they must be started by entering the following command:

```
startsrc -g ike
```

The Tunnel Manager gives requests to the **isakmpd** command to start a tunnel. If the tunnel already exists or is not valid (for instance, has an invalid remote address), it reports an error. If negotiation has started, it may take some time, depending on network latency, for the negotiation to complete. The **ike cmd=list** command can list the state of the tunnel to determine if the negotiation was successful. Also, the Tunnel Manager logs events to syslog to the levels of debug, event, and information, which can be used to monitor the progress of the negotiation.

The sequence is as follows:

1. Use the **ike** command to initiate a tunnel.
2. The **tmd** daemon gives the **isakmpd** daemon a connection request for key management (phase 1).
3. The **isakmpd** daemon responds with SA created or an error message.
4. The **tmd** daemon gives the **isakmpd** daemon a connection request for a data management tunnel (phase 2).
5. The **isakmpd** daemon responds with SA created or an error message.
6. Tunnel parameters are inserted into the kernel tunnel cache.
7. Filter rules are added to the kernel dynamic filter table.

When the machine is acting as a responder, the **isakmpd** daemon notifies the Tunnel Manager **tmd** daemon that a tunnel has been negotiated successfully and a new tunnel is inserted into the kernel. In such cases, the process starts with step 3 and continues until step 7, without the **tmd** daemon issuing connection requests.

Parse payload logging function

The security association (SA) between two end points is established by exchanging IKE messages. The Parse Payload function parses the messages in a human-readable format.

Parse payload logging can be enabled by editing the `/etc/isakmpd.conf` file. The logging entry in the `/etc/isakmpd.conf` file looks similar to the following:

```
information
```

The type of IKE payloads that Parse Payload logs depends on the content of the IKE message. Examples include SA Payload, Key Exchange Payload, Certificate Request Payload, Certificate Payload, and Signature Payload. The following is an example of a Parse Payload log in which an ISAKMP_MSG_HEADER is followed by five payloads:

```
ISAKMP_MSG_HEADER
  Icookie : 0x9e539a6fd4540990, Rcookie : 0x0000000000000000
  Next Payload : 1(SA), Maj Ver : 1, Min Ver : 0
  Xchg Type : 4 (Aggressive), Flag= 0, Encr : No, COMMIT : No
  Msg ID : 0x00000000
  len : 0x10e(270)
SA Payload:
  Next Payload : 4(Key Exchange), Payload len : 0x34(52)
  DOI : 0x1(INTERNET)
  bitmask : 1(SIT_IDENTITY_ONLY)
Proposal Payload:
  Next Payload : 0(NONE), Payload len : 0x28(40)
  Proposal # : 0x1(1), Protocol-ID : 1(ISAKMP)
  SPI size : 0x0(0), # of Trans : 0x1(1)
Transform Payload:
  Next Payload : 0(NONE), Payload len : 0x20(32)
  Trans # : 0x1(1), Trans.ID : 1(KEY_IKE)
  Attr : 1(Encr.Alg ), len=0x2(2)
  Value=0x1(1), (DES-cbc)
  Attr : 2(Hash Alg ), len=0x2(2)
  Value=0x1(1), (MD5)
  Attr : 3(Auth Method ), len=0x2(2)
  Value=0x3(3), (RSA Signature)
  Attr : 4(Group Desc ), len=0x2(2)
  Value=0x1(1), (default 768-bit MODP group)
  Attr : 11(Life Type ), len=0x2(2)
  Value=0x1(1), (seconds)
  Attr : 12(Life Duration), len=0x2(2)
  Value=0x7080(28800)
Key Payload:
```

```

Next Payload : 10(Nonce), Payload len : 0x64(100)

Key Data :
33 17 68 10 91 1f ea da 38 a0 22 2d 84 a3 5d 5d
a0 e1 1f 42 c2 10 aa 8d 9d 14 0f 58 3e c4 ec a3
9f 13 62 aa 27 d8 e5 52 8d 5c c3 cf d5 45 1a 79
8a 59 97 1f 3b 1c 08 3e 2a 55 9b 3c 50 cc 82 2c
d9 8b 39 d1 cb 39 c2 a4 05 8d 2d a1 98 74 7d 95
ab d3 5a 39 7d 67 5b a6 2e 37 d3 07 e6 98 1a 6b

Nonce Payload:
Next Payload : 5(ID), Payload len : 0xc(12)

Nonce Data:
6d 21 73 1d dc 60 49 93
ID Payload:
Next Payload : 7(Cert Req), Payload len : 0x49(73)
ID type      : 9(DER_DN), Protocol : 0, Port = 0x0(0)
Certificate Request Payload:
Next Payload : 0(NONE), Payload len : 0x5(5)
Certificate Encoding Type: 4(X.509 Certificate - Signature)

```

Within each payload, a **Next Payload** field points to the payload following the current payload. If the current payload is the last one in the IKE message, the **Next Payload** field has the value of zero (None).

Each Payload in the example has information pertaining to the negotiations that are going on. For example, the SA payload has the Proposal and Transform Payloads, which in turn show the encryption algorithm, authentication mode, hash algorithm, SA life type, and SA duration that the initiator is proposing to the responder.

Also, the SA Payload consists of one or more Proposal Payloads and one or more Transform Payloads. The **Next Payload** field for Proposal Payload has a value of either 0 if it is the only Proposal Payload or a value of 2 if it is followed by one more Proposal Payloads. Similarly, the **Next Payload** field for a Transform Payload has a value of 0 if it is the only Transform Payload, or a value of 3 if it is followed by one more Transform Payloads, as shown in the following example:

```

ISAKMP_MSG_HEADER
  Icookie : 0xa764fab442b463c6, Rcookie : 0x0000000000000000
  Next Payload : 1(SA), Maj Ver : 1, Min Ver : 0
  Xchg Type : 2 (ID protected), Flag= 0, Encr : No, COMMIT : No
  Msg ID : 0x00000000
  len : 0x70(112)
SA Payload:
  Next Payload : 0(NONE), Payload len : 0x54(84)
  DOI : 0x1(INTERNET)
  bitmask : 1(SIT_IDENTITY_ONLY)
Proposal Payload:
  Next Payload : 0(NONE), Payload len : 0x48(72)
  Proposal # : 0x1(1), Protocol-ID : 1(ISAKMP)
  SPI size : 0x0(0), # of Trans : 0x2(2)
Transform Payload:
  Next Payload : 3(Transform), Payload len : 0x20(32)
  Trans # : 0x1(1), Trans.ID : 1(KEY_IKE)
  Attr : 1(Encr.Alg ), len=0x2(2)
  Value=0x5(5), (3DES-cbc)
  Attr : 2(Hash Alg ), len=0x2(2)
  Value=0x1(1), (MD5)
  Attr : 3(Auth Method ), len=0x2(2)
  Value=0x1(1), (Pre-shared Key)
  Attr : 4(Group Desc ), len=0x2(2)
  Value=0x1(1), (default 768-bit MODP group)
  Attr : 11(Life Type ), len=0x2(2)
  Value=0x1(1), (seconds)
  Attr : 12(Life Duration), len=0x2(2)
  Value=0x7080(28800)
Transform Payload:
  Next Payload : 0(NONE), Payload len : 0x20(32)
  Trans # : 0x2(2), Trans.ID : 1(KEY_IKE)
  Attr : 1(Encr.Alg ), len=0x2(2)
  Value=0x1(1), (DES-cbc)
  Attr : 2(Hash Alg ), len=0x2(2)
  Value=0x1(1), (MD5)
  Attr : 3(Auth Method ), len=0x2(2)
  Value=0x1(1), (Pre-shared Key)
  Attr : 4(Group Desc ), len=0x2(2)
  Value=0x1(1), (default 768-bit MODP group)
  Attr : 11(Life Type ), len=0x2(2)

```

```
Value=0x1(1),(seconds)
Attr : 12(Life Duration), len=0x2(2)
Value=0x7080(28800)
```

The IKE message header of a Parse Payload log shows the exchange type (Main Mode or Aggressive Mode), the length of the entire message, the message identifier, and so on.

The Certificate Request Payload requests a certificate from the responder. The responder sends the certificate in a separate message. The following example shows the Certificate Payload and Signature Payload that are sent to a peer as a part of an SA negotiation. The certificate data and the signature data are printed in hex format.

```
ISAKMP_MSG_HEADER
  Icookie : 0x9e539a6fd4540990, Rcookie : 0xc7e0a8d937a8f13e
  Next Payload : 6(Certificate), Maj Ver : 1, Min Ver : 0
  Xchg Type : 4 (Aggressive), Flag= 0, Encr : No, COMMIT : No
  Msg ID : 0x00000000
  len : 0x2cd(717)
Certificate Payload:
  Next Payload : 9(Signature), Payload len : 0x22d(557)
  Certificate Encoding Type: 4(X.509 Certificate - Signature)
  Certificate: (len 0x227(551) in bytes
82 02 24 30 82 01 8d a0 03 02 01 02 02 05 05 8e
fb 3e ce 30 0d 06 09 2a 86 48 86 f7 0d 01 01 04
05 00 30 5c 31 0b 30 09 06 03 55 04 06 13 02 46
49 31 24 30 22 06 03 55 04 0a 13 1b 53 53 48 20
43 6f 6d 6d 75 6e 69 63 61 74 69 6f 6e 73 20 53
65 63 75 72 69 74 79 31 11 30 0f 06 03 55 04 0b
13 08 57 65 62 20 74 65 73 74 31 14 30 12 06 03
55 04 03 13 0b 54 65 73 74 20 52 53 41 20 43 41
30 1e 17 0d 39 39 30 39 32 31 30 30 30 30 30 30
5a 17 0d 39 39 31 30 32 31 32 33 35 39 35 39 5a
30 3f 31 0b 30 09 06 03 55 04 06 13 02 55 53 31
10 30 0e 06 03 55 04 0a 13 07 49 42 4d 2f 41 49
58 31 1e 30 1c 06 03 55 04 03 13 15 62 61 72 6e
65 79 2e 61 75 73 74 69 6e 2e 69 62 6d 2e 63 6f
6d 30 81 9f 30 0d 06 09 2a 86 48 86 f7 0d 01 01
01 05 00 03 81 8d 00 30 81 89 02 81 81 00 b2 ef
48 16 86 04 7e ed ba 4c 14 d7 83 cb 18 40 0a 3f
55 e9 ad 8f 0f be c5 b6 6d 19 ec de 9b f5 01 a6
b9 dd 64 52 34 ad 3d cd 0d 8e 82 6a 85 a3 a8 1c
37 e4 00 59 ce aa 62 24 b5 a2 ea 8d 82 a3 0c 6f
b4 07 ad 8a 02 3b 19 92 51 88 fb 2c 44 29 da 72
41 ef 35 72 79 d3 e9 67 02 b2 71 fa 1b 78 13 be
f3 05 6d 10 4a c7 d5 fc fe f4 c0 b8 b8 fb 23 70
a6 4e 16 5f d4 b1 9e 21 18 82 64 6d 17 3b 02 03
01 00 01 a3 0f 30 0d 30 0b 06 03 55 1d 0f 04 04
03 02 07 80 30 0d 06 09 2a 86 48 86 f7 0d 01 01
04 05 00 03 81 81 00 75 a4 ee 9c 3a 18 f2 de 5d
67 d4 1c e4 04 b4 e5 b8 5e 9f 56 e4 ea f0 76 4a
d0 e4 ee 20 42 3f 20 19 d4 25 57 25 70 0a ea 41
81 3b 0b 50 79 b5 fd 1e b6 0f bc 2f 3f 73 7d dd
90 d4 08 17 85 d6 da e7 c5 a4 d6 9a 2e 8a e8 51
7e 59 68 21 55 4c 96 4d 5a 70 7a 50 c1 68 b0 cf
5f 1f 85 d0 12 a4 c2 d3 97 bf a5 42 59 37 be fe
9e 75 23 84 19 14 28 ae c4 c0 63 22 89 47 b1 b6
f4 c7 5d 79 9d ca d0
Signature Payload:
  Next Payload : 0(NONE), Payload len : 0x84(132)
  Signature: len 0x80(128) in bytes
9d 1b 0d 90 be aa dc 43 95 ba 65 09 b9 00 6d 67
b4 ca a2 85 0f 15 9e 3e 8d 5f e1 f0 43 98 69 d8
5c b6 9c e2 a5 64 f4 ef 0b 31 c3 cb 48 7c d8 30
e3 a2 87 f4 7c 9d 20 49 b2 39 00 fa 8e bf d9 b0
7d b4 8c 4e 19 3a b8 70 90 88 2c cf 89 69 5d 07
f0 5a 81 58 2e 15 40 37 b7 c8 d6 8c 5c e2 50 c3
4d 19 7e e0 e7 c7 c2 93 42 89 46 6b 5f f8 8b 7d
5b cb 07 ea 36 e5 82 9d 70 79 9a fe bd 6c 86 36
```

Digital certificate and signature mode problems

The following are solutions to possible digital certificate and signature mode problems you can encounter:

Error	Possible problem and solution
<p>Error: The cpsd (Certificate Proxy Server daemon) does not start. An entry similar to the following appears in the log file:</p> <pre>Sep 21 6:02:00 ripple CPS[19950]: Init():LoadCaCerts() failed, rc =-12</pre>	<p>Problem: The certificate database has not opened or has not been found.</p> <p>To Fix: Ensure that the Key Manager certificate databases are present in /etc/security. The following files make up the database: ikekey.crl, ikekey.kdb, ikekey.rdb, ikekey.sth.</p> <p>If only the ikekey.sth file is missing, the stash password option was not selected when the Key Manager database was created. The password must be stashed to enable using digital certificates with IP Security. (See Creating a Key Database for more information.)</p>
<p>Error: Key Manager gives the following error when receiving a certificate:</p> <p>Invalid Base64-encoded data was found</p>	<p>Problem: Superfluous data has been found in the certificate file or else data was lost or corrupted.</p> <p>To Fix: The 'DER' Encoded Certificate should be contained within the following strings (shown below). No other characters should precede or follow other than the BEGIN and END CERTIFICATE strings.</p> <pre>-----BEGIN CERTIFICATE----- MIICMTCCAZqgAwIBAgIFFFKZtANowDQYJKoZIhvcNAQEFBQAwXDELMAkGA1UEBhMC RkxxJDAiBgNVBAoTG1NTSCBDb21tdW5pY2F0aW9ucyBTZW51cm10eTERMA8GA1UE CxMIIV2ViIHRlc3QxZDASBgNVBAMTC1Rlc3QgU1NBIENBMB4XDk5MDkyMTAwMDAw MFOxDTk5MTAyMTIzNTk1OVowOzELMAkGA1UEBhMCMVVMxDDAKBgNVBAoTA01CTTEe MBwGA1UEAxMVcm1wcGx1LmF1c3Rpb5pYm0uY29tMIGfMA0GCSqGSIb3DQEBAQUA A4GNADCBiQKBgQC5EZqo6n7tZrpAL6X4L7mf4yXQSm+m/NsJLhp6afbFpPvXgYWC wq4pv0tvxgum+FHrE0gysNjbKkE4Y6ixC9PGGAKHnhM3vrmvFjn1G6KtyEz58Lz BWW39Q56NJ1LqqP1nT+y3+Xzvfv8Eonqzno8mg1CWMX09SguLmWoU1PcZQIDAQAB oyAwHjALBgNVHQ8EBAMCBAwDwYDVR0RBAGwBocECQNhzhANBgkqhkiG9w0BAQUF A0BgQA6bgp4Zay34/fyAlYcKNNAYJRrN3Vc4NHN7IGjUziN6jK5UyB5zL37FERW hT9ArPLzK7yEZs+MDNvB0bosyGWEDYPZr7EZHHYcoBP4/cd0V5rBFmA8Y2gUthPi Ioxpi4+KZGHYyLqTIm+8Is/DVJaQmCGRPynHK35xjT6WuQtiiYg== -----END CERTIFICATE-----</pre> <p>The following options can help you diagnose and solve this problem.</p> <ul style="list-style-type: none"> • If data was lost or corrupted, recreate the Certificate • Use an ASN.1 parser (available on the Internet World Wide Web) to check whether the certificate is valid by parsing the certificate successfully.
<p>Error: Key Manager gives the following error when receiving a personal certificate:</p> <p>No request key was found for the certificate</p>	<p>Problem: A Personal Certificate Request does not exist for the personal certificate being received.</p> <p>To Fix: Create the Personal Certificate Request again and request a new certificate.</p>
<p>Error: An IKE negotiation fails and an entry similar to the following appears in the log file:</p> <pre>inet_cert_service:: channelOpen(): clientInitIPC():error,rc =2 (No such file or directory)</pre>	<p>Problem: The cpsd is not running or has stopped.</p> <p>To Fix: Start IP Security, which starts the appropriate daemons.</p>

Error	Possible problem and solution
<p>Error: An IKE negotiation fails and an entry similar to the following appears in the log file:</p> <pre>CertRepo::GetCertObj: DN Does Not Match: ("/C=US/O=IBM/CN= ripple.austin.ibm.com")</pre>	<p>Problem: The X.500 Distinguished Name (DN) entered while defining the IKE tunnel does not match the X.500 DN in the personal certificate.</p> <p>To Fix: Change the IKE tunnel definition to match the distinguished name in the certificate.</p>

Tracing facilities

Tracing is a debugging facility for tracing kernel events. Traces can be used to get more specific information about events or errors occurring in the kernel filter and tunnel code.

The SMIT IP Security trace facility is available through the Advanced IP Security Configuration menu. The information captured by this trace facility includes information about Error, Filter, Filter Information, Tunnel, Tunnel Information, Capsulation/Decapsulation, Capsulation Information, Crypto, and Crypto Information. By design, the error trace hook provides the most critical information. The info trace hook can generate critical information and may have an impact on system performance. This tracing provides clues about the problem and is also required when explaining the problem to a service technician.

To enable tracing, configure the IPsec devices and set the trace level of each IPsec subcomponent to a trace level of 7 to generate useful kernel trace data. If IPsec devices are not configured, then the component trace control command does not list the IPsec related entries. To start IPsec tracing, use the SMIT fast path **smit ips4_start** (for IP Version 4) or **smit ips6_start** (for IP Version 6).

Note: If IPsec component tracing is not set correctly, the captured traces will be empty.

To capture kernel trace data, follow these steps:

1. Query all the components to view the current trace level settings:

```
# ctctrl -q
```

2. Check the IPsec component and subcomponents. The components initially appear as follows with the default trace level 3. To view the initial default trace level of the components, enter:

```
# ctctrl -q -c ipsec -r
```

Component Name	Have Alias	Memory Trace/ Level	System Track/ Level	Buffer Size/ Allocated
ipsec	NO	ON/3	ON/3	40960/YES
.capsulate	NO	ON/3	ON/3	10240/YES
.filter	NO	ON/3	ON/3	10240/YES
.tunnel	NO	ON/3	ON/3	10240/YES

3. Increase the trace level of IPsec and the subcomponents to 7 to support kernel tracing, enter:

```
# ctctrl systracelevel=7 -c ipsec -r
```

4. Query to confirm that the trace levels for IPsec and its subcomponents are changed, enter:

```
# ctctrl -q -c ipsec -r
```

Component Name	Have Alias	Memory Trace/ Level	System Track/ Level	Buffer Size/ Allocated
ipsec	NO	ON/3	ON/7	40960/YES
.capsulate	NO	ON/3	ON/7	10240/YES
.filter	NO	ON/3	ON/7	10240/YES
.tunnel	NO	ON/3	ON/7	10240/YES

To access the tracing facility, use the SMIT fast path **smit ips4_tracing** (for IP Version 4) or **smit ips6_tracing** (for IP Version 6). Kernel traces taken through **smit ips4_tracing**, **smit ips6_tracing**, or through the command-line trace facility generates valid IPsec trace data.

ipsecstat command

You can use the **ipsecstat** command to list the status of IP Security devices, IP Security crypto algorithms, and statistics of IP Security packets.

Issuing the **ipsecstat** command will generate the following sample report, which shows that the IP Security devices are in the available state, that there are three authentication algorithms installed, three encryption algorithms installed, and that there is a current report of packet activity. This information could be useful to you in determining where a problem exists if you are troubleshooting your IP Security traffic.

```
IP Security Devices:
ipsec_v4 Available
ipsec_v6 Available

Authentication Algorithm:
HMAC_MD5 -- Hashed MAC MD5 Authentication Module
HMAC_SHA -- Hashed MAC SHA Hash Authentication Module
KEYED_MD5 -- Keyed MD5 Hash Authentication Module

Encryption Algorithm:
CDMF -- CDMF Encryption Module
DES_CBC_4 -- DES CBC 4 Encryption Module
DES_CBC_8 -- DES CBC 8 Encryption Module
3DES_CBC -- Triple DES CBC Encryption Module

IP Security Statistics -
Total incoming packets: 1106
Incoming AH packets:326
Incoming ESP packets: 326
Srcrte packets allowed: 0
Total outgoing packets:844
Outgoing AH packets:527
Outgoing ESP packets: 527
Total incoming packets dropped: 12
  Filter denies on input: 12
  AH did not compute: 0
  ESP did not compute:0
  AH replay violation:0
  ESP replay violation: 0
Total outgoing packets dropped:0
  Filter denies on input:0
Tunnel cache entries added: 7
Tunnel cache entries expired: 0
Tunnel cache entries deleted: 6
```

Note: There is no need to use CDMF because DES is now available worldwide. Reconfigure any tunnels that use CDMF to use DES or Triple DES.

IP security reference

There are commands and methods for IP security. You can also migrate IKE tunnels, filters, and pre-shared keys.

List of commands

The following table provides a list of commands.

Command	Purpose
<u>ike cmd=activate</u>	Starts an Internet Key Exchange (IKE) negotiation.
<u>ike cmd=remove</u>	Deactivates IKE tunnels
<u>ike cmd=list</u>	Lists IKE tunnels
<u>ikedb</u>	Provides the interface to the IKE tunnel database
<u>gentun</u>	Creates a tunnel definition
<u>mktun</u>	Activates tunnel definition(s)
<u>chtun</u>	Changes a tunnel definition
<u>rmtun</u>	Removes a tunnel definition
<u>lstun</u>	Lists tunnel definition(s)
<u>exptun</u>	Exports tunnel definition(s)
<u>imptun</u>	Imports tunnel definition(s)
<u>genfilt</u>	Creates a filter definition
<u>mkfilt</u>	Activates filter definition(s)
<u>mvfilt</u>	Moves a filter rule
<u>chfilt</u>	Changes a filter definition
<u>rmfilt</u>	Removes a filter definition
<u>lsfilt</u>	Lists filter definition(s)
<u>expfilt</u>	Exports filter definition(s)
<u>impfilt</u>	Imports filter definition(s)
<u>ipsec_convert</u>	Lists status of IP security
<u>ipsecstat</u>	Lists status of IP security
<u>ipsectrbuf</u>	Lists the contents of IP security tracing buffer
<u>unloadipsec</u>	Unloads a crypto module

List of methods

The following provides a list of methods.

defipsec

Defines an instance of IP Security for IP Version 4 or IP Version 6

cfgipsec

Configures and loads **ipsec_v4** or **ipsec_v6**

ucfgipsec

Unconfigures **ipsec_v4** or **ipsec_v6**

IP security migration

You can migrate your IKE tunnels, filters and pre-shared keys from earlier versions of the AIX operating system.

Migrating IKE tunnels

To migrate your tunnels, complete the following steps:

- 1.

Run the `bos.net.ipsec.keymgt.pre_rm.sh` script. When you run this script, the following files are created in the `/tmp` directory:

- a. `p2proposal.bos.net.ipsec.keymgt`
- b. `p1proposal.bos.net.ipsec.keymgt`
- c. `p1policy.bos.net.ipsec.keymgt`
- d. `p2policy.bos.net.ipsec.keymgt`
- e. `p1tunnel.bos.net.ipsec.keymgt`
- f. `p2tunnel.bos.net.ipsec.keymgt`



Attention: Run this script only once. If you update the database and run the script again, you will lose all of the files, and you can not retrieve them. Read the script in “The `bos.net.ipsec.keymgt.pre_rm.sh` script” on page 299 before you migrate your tunnels.

2. Save the files created by the script and the `/tmp/lpplevel` file to some external media, such as a CD or floppy disk.

Migrating pre-shared keys

Perform the following steps to update the pre-shared key format.

The IKE tunnel pre-shared key database is also corrupted during migration. To update the pre-shared key format, complete the following steps on the system that has been migrated:

1. Save the output of the `ikedb -g` command by running the following command:

```
ikedb -g > out.keys
```

2. Edit the `out.keys` file to replace `FORMAT=ASCII` with `FORMAT=HEX` for the pre-shared key format.
3. Input the XML file by running the following command:

```
ikedb -pF out.keys
```

Migrating filters

Perform the following steps to migrate filters.

1. Export the filter rules files to the `/tmp` directory using SMIT by completing the following steps:
 - a. Run the `smitty ipsec4` command.
 - b. Select `Advanced IP Security Configuration`→`Configure IP Security Filter Rules`→`Export IP Security filter rules`.
 - c. Enter `/tmp` for the directory name.
 - d. Under the `Filter Rules` option press `F4` and select **all** from the list.
 - e. Press `enter` to save the filter rules in the `/tmp/ipsec_fltr_rule.exp` file on the external media.

Complete this process for all of the systems you are migrating from prior versions of the AIX operating system.

2. Copy the six tunnel files created by the script, the `/tmp/lpplevel` file, and the `/tmp/ipsec_fltr_rule.exp` file to the `/tmp` directory on the migrated system.
3. Run the `bos.net.ipsec.keymgt.post_i.sh` script to repopulate the tunnel configurations into the database.
4. Run the `ikedb -g` command to verify that the tunnels are in the database.

Note: If you do not see the tunnel information in the database, run the script again, but rename all the `*`.loaded files in `/tmp` directory to their original names.

On a system that has been migrated, the filter database is corrupted after migration. If you run the **lsfilt** command on the migrated system, you will get the following error:

```
Cannot get ipv4 default filter rule
```

To update the filter database, complete the following steps:

1. Replace the `ipsec_filter` file and the `ipsec_filter.vc` file in the `/etc/security` directory with the uncorrupted files from a newly migrated system. If you do not have these files, you can request them from IBM Service.
2. Import the filter rules files to the `/tmp` directory using SMIT by completing the following steps:
 - a. Run the **smitty ipsec4** command.
 - b. Select Advanced IP Security Configuration→Configure IP Security Filter Rules→Import IP Security filter rules.
 - c. Enter `/tmp` for the directory name.
 - d. Under the **Filter Rules** option press **F4** and select **all** from the list.
 - e. Press Enter to recreate the filter rules. You can list the filter rules through SMIT or with the **lsfilt** command.

The bos.net.ipsec.keymgt.pre_rm.sh script

The `bos.net.ipsec.keymgt.pre_rm.sh` script saves the contents of the tunnel database on a system running the AIX operating system.

```
#!/usr/bin/ksh
keymgt_installed=`lspp -Lqc bos.net.ipsec.keymgt 2>/dev/null | awk -F: '{print $6}' | head -1`

if [ ! "$keymgt_installed" ]
then
    exit 0
fi

# Copy the database to a save directory in case changes fail
if [ -d /etc/ipsec/inet/DB ]
then
    cp -R /etc/ipsec/inet/DB /etc/ipsec/inet/DB.sav || exit $?
fi

# Remember the level you are migrating from
VRM=$(LANG=C lspp -Lqc bos.net.ipsec.keymgt 2>/dev/null | awk -F: '{print $3}' | \
awk -F. '{print $1"."$2"."$3}')
VR=${VRM%.*}
echo $VRM > /tmp/lpplevel

IKEDB=$(which ikedb) || IKEDB=/usr/sbin/ikedb

XMLFILE=/tmp/full_ike_database.bos.net.ipsec.keymgt
PSKXMLFILE=/tmp/psk_ike_database.bos.net.ipsec.keymgt

# See if ikedb exists.
if [ -f $IKEDB ]
then

    # If either of the ikedb calls below fails, that's OK. Just remove the
    # resulting file (which may contain garbage) and continue. The post_i
    # script will simply not import the file if it doesn't exist, which will
    # mean part or all of the IKE database is lost, but this is preferable
    # to exiting the script with an error code, which causes the entire
    # migration to fail.

    $IKEDB -g > $XMLFILE
    if [ $? -ne 0 ]
    then
        rm -f $XMLFILE || exit $?
    fi

    if [[ $VR = "5.1" ]]; then
        # This is a special case. The 5.1 version of ikedb is the only
        # one that does not include preshared keys in the full database
        # output. So we have to retrieve those separately.
```

```

    $IKEDB -g -t IKEPresharedKey > $PSKXMLFILE
    if [ $? -ne 0 ]
    then
        rm -f $PSKXMLFILE || exit $?
    fi
fi

# Make sure ikegui command is installed
elif [ -f /usr/sbin/ikegui ]
then

    # Get database information and save to /tmp
    /usr/sbin/ikegui 0 1 0 0 > /tmp/p1proposal.bos.net.ipsec.keymgt 2>/dev/null
    RC=$?
    if [[ $RC -ne 0 ]]
    then
        rm -f /tmp/p1proposal.bos.net.ipsec.keymgt || exit $?
    fi

    /usr/sbin/ikegui 0 1 1 0 > /tmp/p1policy.bos.net.ipsec.keymgt 2>/dev/null
    RC=$?
    if [[ $RC -ne 0 ]]
    then
        rm -f /tmp/p1policy.bos.net.ipsec.keymgt || exit $?
    fi

    /usr/sbin/ikegui 0 2 0 0 > /tmp/p2proposal.bos.net.ipsec.keymgt 2>/dev/null
    RC=$?
    if [[ $RC -ne 0 ]]
    then
        rm -f /tmp/p2proposal.bos.net.ipsec.keymgt || exit $?
    fi

    /usr/sbin/ikegui 0 2 1 0 > /tmp/p2policy.bos.net.ipsec.keymgt 2>/dev/null
    RC=$?
    if [[ $RC -ne 0 ]]
    then
        rm -f /tmp/p2policy.bos.net.ipsec.keymgt || exit $?
    fi

    /usr/sbin/ikegui 0 1 2 0 > /tmp/p1tunnel.bos.net.ipsec.keymgt 2>/dev/null
    RC=$?
    if [[ $RC -ne 0 ]]
    then
        rm -f /tmp/p1tunnel.bos.net.ipsec.keymgt || exit $?
    fi

    /usr/sbin/ikegui 0 2 2 0 > /tmp/p2tunnel.bos.net.ipsec.keymgt 2>/dev/null
    RC=$?
    if [[ $RC -ne 0 ]]
    then
        rm -f /tmp/p2tunnel.bos.net.ipsec.keymgt || exit $?
    fi

fi

```

The bos.net.ipsec.keymgt.post_i.sh script

The `bos.net.ipsec.keymgt.post_i.sh` script loads the contents of the tunnel database on to a migrated system running the AIX operating system.

```

#!/usr/bin/ksh

function PrintDot {
    echo "echo \c"
    echo "\".\c"
    echo "\\|\c\c"
    echo "\"\c"
    echo
}

function P1PropRestore {
    while :
    do
        read NAME
        read MODE
        if [[ $? = 0 ]]; then
            echo "ikegui 1 1 0 $NAME $MODE \c"
            MORE=1
            while [[ $MORE = 1 ]];

```

```

        do
            read AUTH
            read HASH
            read ENCRYPT
            read GROUP
            read TIME
            read SIZE
            read MORE
            echo "$AUTH $HASH $ENCRYPT $GROUP $TIME $SIZE $MORE \c"
        done
        echo " > /dev/null 2>&1"
        PrintDot
    else
        return 0
    fi
done
}

function P2PropRestore {
    while :
    do
        read NAME
        FIRST=yes
        MORE=1
        while [[ $MORE = 1 ]];
        do
            read PROT
            if [[ $? = 0 ]]; then
                read AH_AUTH
                read ESP_ENCR
                read ESP_AUTH
                read ENCAP
                read TIME
                read SIZE
                read MORE
                if [[ $FIRST = "yes" ]]; then
                    echo "ikegui 1 2 0 $NAME $MODE \c"
                fi
                echo "$PROT $AH_AUTH $ESP_ENCR $ESP_AUTH $ENCAP $TIME $SIZE $MORE \c"
                FIRST=no
            else
                return 0
            fi
        done
        echo " > /dev/null 2>&1"
        PrintDot
    done
}

function P1PolRestore {
    while :
    do
        read NAME
        read ROLE
        if [[ $? = 0 ]]; then
            read TIME
            read SIZE
            read OVERLAP
            read TTIME
            read TSIZE
            read MIN
            read MAX
            read PROPOSAL
            echo "ikegui 1 1 1 $NAME $ROLE $OVERLAP $TTIME $TSIZE $MIN $MAX 1 0 0 $PROPOSAL > \
/dev/null 2>&1"
            PrintDot
        else
            return 0
        fi
    done
}

function P2PolRestore {
    while :
    do
        read NAME
        read ROLE
        if [[ $? = 0 ]]; then
            read IPFS
            read RPFS
            read TIME
            read SIZE

```

```

        read OVERLAP
        read TTIME
        read TSIZE
        read MIN
        read MAX
        echo "ikegui 1 2 1 $NAME $ROLE $IPFS $RPFPS $OVERLAP $TTIME $TSIZE $MIN $MAX 1 0 0
\c"

        MORE=1
        while [[ $MORE = 1 ]];
        do
            read PROPOSAL
            read MORE
            echo "$PROPOSAL $MORE \c"
            FIRST=no
        done
    else
        return 0
    fi
    echo " > /dev/null 2>&1"
    PrintDot
done
}

function P1TunRestore {
    while :
    do
        read TUNID
        read NAME
        if [[ $? = 0 ]]; then
            read LID_TYPE
            read LID
            if [[ $LPPLEVEL = "4.3.3" ]]; then
                read LIP
            fi
            read RID_TYPE
            read RID
            read RIP
            read POLICY
            read KEY
            read AUTOSTART
            echo "ikegui 1 1 2 0 $NAME $LID_TYPE \"$LID\" $LIP $RID_TYPE \"$RID\" \
$RIP $POLICY $KEY $AUTOSTART > /dev/null 2>&1"
            PrintDot
        else
            return 0
        fi
    done
}

function P2TunRestore {
    while :
    do
        read TUNID
        read NAME
        if [[ $? = 0 ]]; then
            read P1TUN
            read LTYPE
            read LID
            read LMASK
            read LPROT
            read LPORT
            read RTYPE
            read RID
            read RMASK
            read RPROT
            read RPORT
            read POLICY
            read AUTOSTART
            echo "ikegui 1 2 2 0 $NAME $P1TUN $LTYPE $LID $LMASK $LPROT $LPORT $RTYPE
\ $RID $RMASK $RPROT $RPORT $POLICY $AUTOSTART > /dev/null 2>&1"
            PrintDot
        else
            return 0
        fi
    done
}

function allRestoreWithIkedb {
    ERRORS=/tmp/ikedb_msgs.bos.net.ipsec.keymgt
    echo > $ERRORS
    $IKEDB -p $XMLFILE 2>> $ERRORS
}

```

```

if [ -f $PSKXMLFILE ]
then
    $IKEDB -p $PSKXMLFILE 2>> $ERRORS
fi

}

P1PROPFIL=/tmp/p1proposal.bos.net.ipsec.keymgt
P2PROPFIL=/tmp/p2proposal.bos.net.ipsec.keymgt
P1POLFIL=/tmp/p1policy.bos.net.ipsec.keymgt
P2POLFIL=/tmp/p2policy.bos.net.ipsec.keymgt
P1TUNFIL=/tmp/p1tunnel.bos.net.ipsec.keymgt
P2TUNFIL=/tmp/p2tunnel.bos.net.ipsec.keymgt
XMLFIL=/tmp/full_ike_database.bos.net.ipsec.keymgt
PSKXMLFIL=/tmp/psk_ike_database.bos.net.ipsec.keymgt
CMD_FILE=/tmp/commands
IKEDB=$(which ikedb) || IKEDB=/usr/sbin/ikedb

echo "building ISAKMP database \n"
$IKEDB -x || exit $?

if [ -f $XMLFILE ]; then
    echo "\nRestoring database entries\c"
    allRestoreWithIkedb
    echo "\ndone\n"
elif [ -f /tmp/*.bos.net.ipsec.keymgt ]; then
    echo "\nRestoring database entries\c"

    LPPLEVEL=`cat /tmp/lpplevel`

    echo > $CMD_FILE
    touch $P1PROPFIL; P1PropRestore < $P1PROPFIL >> $CMD_FILE
    touch $P2PROPFIL; P2PropRestore < $P2PROPFIL >> $CMD_FILE
    touch $P1POLFIL; P1PolRestore < $P1POLFIL >> $CMD_FILE
    touch $P2POLFIL; P2PolRestore < $P2POLFIL >> $CMD_FILE
    touch $P1TUNFIL; P1TunRestore < $P1TUNFIL >> $CMD_FILE
    touch $P2TUNFIL; P2TunRestore < $P2TUNFIL >> $CMD_FILE

    mv $P1PROPFIL ${P1PROPFIL}.loaded
    mv $P2PROPFIL ${P2PROPFIL}.loaded
    mv $P1POLFIL ${P1POLFIL}.loaded
    mv $P2POLFIL ${P2POLFIL}.loaded
    mv $P1TUNFIL ${P1TUNFIL}.loaded
    mv $P2TUNFIL ${P2TUNFIL}.loaded

    ksh $CMD_FILE

    echo "done\n"
fi

```

Network File System security

The Network File System (NFS) is a widely available technology that allows data to be shared between various hosts on a network.

NFS also supports the use of Kerberos 5 authentication in addition to DES. Kerberos 5 security is provided under a protocol mechanism called RPCSEC_GSS.

In addition to the standard UNIX authentication system, NFS provides a means to authenticate users and machines in networks on a message-by-message basis. This additional authentication system uses Data Encryption Standard (DES) encryption and public key cryptography.

NFS also supports the use of Kerberos 5 authentication in addition to DES. Kerberos 5 security is provided under a protocol mechanism called RPCSEC_GSS. For a description of how to administer and use Kerberos authentication with NFS, see the *NFS Administration Guide*.

General guidelines for securing Network File System

There are several guidelines that help you secure the Network File System (NFS).

- Ensure that the latest software patches are installed. Patches that address security issues should be considered especially important. All software in a given infrastructure should be maintained. For example, installing patches in an operating system but failing to install patches on a Web server may

provide an attacker with a way to attach your environment that could have been avoided if the Web server been updated as well. To subscribe to IBM System p Security Alerts for information about the latest available security information, visit the following Web address: <http://www14.software.ibm.com/webapp/set2/subscriptions/pqvcמיד>.

- Configure the NFS server to export file systems with the least amount of privileges necessary. If users only need to read from a file system, they should not be able to write to the file system. This can mitigate an attempt to overwrite important data, modify configuration files, or write malicious executable code to an exported file system. Specify privileges using SMIT or by directly editing the `/etc/exports` file.
- Configure the NFS server to export file systems explicitly for the users who should have access to it. Most implementations of NFS will allow you to specify which NFS clients should have access to a given file system. This will mitigate attempts by unauthorized users to access file systems. In particular, do not configure an NFS server to export a file system to itself.
- Exported file systems should be in their own partitions. An attacker could cause system degradation by writing to an exported file system until it is full. This may make the file system unavailable to other applications or users that needed it.
- Do not allow NFS clients to access the file system with root user credentials or unknown user credentials. Most implementations of NFS can be configured to map requests from a privileged or unknown user to an unprivileged user. This will avert scenarios where an attacker tries to access files and perform file operations as a privileged user.
- Do not allow NFS clients to run `suid` and `sgid` programs on exported file systems. This will prevent NFS clients from executing malicious code with privileges. If the attacker is able to make the executable owned by a privileged owner or group, significant harm can be done to the NFS server. This can be done by specifying the `mknfsmnt -y` command option.
- Use Secure NFS. Secure NFS uses DES encryption to authenticate hosts involved in RPC transactions. RPC is a protocol used by NFS to communicate requests between hosts. Secure NFS will mitigate attempts by an attacker to spoof RPC requests by encrypting the time stamp in the RPC requests. A receiver successfully decrypting the time stamp and confirm that it is correct serves as confirmation that the RPC request came from a trusted host.
- If NFS is not needed, turn it off. This will reduce the number of possible attack vectors available to an intruder.

NFS also supports the use of the AES encryption type with Kerberos 5 authentication in addition to Triple DES and Single DES. For a description of how to configure Kerberos 5 to use the AES encryption type, see the NFS System Management guide.

Related information

[Checklist for configuring NFS](#)

[Start the NFS daemons at system startup](#)

[Configuring an NFS server](#)

[Configuring an NFS client](#)

[Identity mapping](#)

[Exporting an NFS file system](#)

[Setting up a network for RPCSEC-GSS](#)

[Unexporting an NFS file system](#)

[Changing an exported file system](#)

[Root user access to an exported file system](#)

[Mounting an NFS file system explicitly](#)

[Automount subsystem](#)

[Establishing predefined NFS mounts](#)

[Removing predefined NFS mounts](#)

[exports file for NFS](#)

[mknfsmnt commnad](#)

Network File System authentication

NFS uses the DES algorithm for different purposes. NFS uses DES to encrypt a time stamp in the remote procedure call (RPC) messages sent between NFS servers and clients. This encrypted time stamp authenticates machines just as the token authenticates the sender.

Because NFS can authenticate every RPC message exchanged between NFS clients and servers, this provides an additional, optional level of security for each file system. By default, file systems are exported with the standard UNIX authentication. To take advantage of this additional level of security, you can specify the secure option when you export a file system.

Public key cryptography for secure Network File System

Both the public key and the secret key of the user are stored and indexed by the net name in the `publickey.byname` map.

The secret key is DES-encrypted with the user login password. The `keylogin` command uses the encrypted secret key, decrypts it with the login password, then gives it to a secure local key server to save for use in future RPC transactions. Users are not aware of their public and secret keys because the `yppasswd` command, in addition to changing the login password, generates the public and secret keys automatically.

The `keyerv` daemon is an RPC service that runs on each NIS machine. Within NIS, `keyerv` runs the following public key subroutines:

- `key_setsecret` subroutine
- `key_encryptsession` subroutine
- `key_decryptsession` subroutine

The `key_setsecret` subroutine tells the key server to store the secret key of the user (SK_A) for future use; it is normally called by the `keylogin` command. The client program calls the `key_encryptsession` subroutine to generate the encrypted conversation key, which is passed in the first RPC transaction to a server. The key server looks up the server public key and combines it with the secret key of the client (set up by a previous `key_setsecret` subroutine) to generate the common key. The server asks the key server to decrypt the conversation key by calling the `key_decryptsession` subroutine.

Implicit in these subroutine calls is the name of the caller, which must be authenticated in some manner. The key server cannot use DES authentication to do this, because it would create a deadlock. The key server solves this problem by storing the secret keys by the user ID (UID) and only granting requests to local root processes. The client process then runs a root-user-owned `setuid` subroutine that makes the request on the part of the client, telling the key server the real UID of the client.

Network File System authentication requirements

Secure NFS authentication is based on the ability of a sender to encrypt the current time, which the receiver can then decrypt and check against its own clock.

This process has the following requirements:

- The two agents must agree on the current time.
- The sender and receiver must be using the same DES encryption key.

Agreeing on the current time

If the network uses time synchronization, the timed daemon keeps the client and server clocks synchronized. If not, the client computes the proper time stamps based on the server clock.

To do this, the client determines the server time before starting the RPC session, and then computes the time difference between its own clock and that of the server. The client then adjusts its time stamp accordingly. If, during the course of an RPC session, the client and server clocks become unsynchronized to the point where the server begins rejecting the client requests, the client will redetermine the server time.

Using the same DES key

The client and server compute the same DES encryption key by using public key cryptography.

For any client A and server B, a key called the *common key* can only be deduced by A and B. This key is . The client derives the common key by computing the following formula:

$$K_{AB} = PK_B^{SK_A}$$

where K is the common Key, PK is the Public Key, and SK is the Secret Key, and each of these keys is a 128-bit number. The server derives the same common key by computing the following formula:

$$K_{AB} = PK_A^{SK_B}$$

Only the server and client can calculate this common key since doing so requires knowing one secret key or the other. Because the common key has 128 bits, and DES uses a 56-bit key, the client and server extract 56 bits from the common key to form the DES key.

Network File System authentication process

When a client wants to talk to a server, it randomly generates a key used for encrypting the time stamps. This key is known as the *conversation key* (CK).

The client encrypts the conversation key using the DES common key (described in [Authentication Requirements](#)) and sends it to the server in the first RPC transaction. This process is illustrated in the following figure.

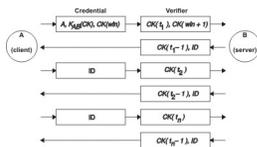


Figure 17. Authentication Process

This figure shows client A connecting to server B. The term $K(CK)$ means CK is encrypted with the DES common key K . In its first request, the client RPC credential contains the client name (A), the conversation key (CK), and the variable called *win* (window) encrypted with CK . (The default window size is 30 minutes.) The client verifier in the first request contains the encrypted time stamp and an encrypted verifier of the specified window, $win + 1$. The window verifier makes guessing the right credential much more difficult, and increases security.

After authenticating the client, the server stores the following items in a credential table:

- Client name, A
- Conversation key, CK
- Window
- Time stamp

The server only accepts time stamps that are chronologically greater than the last one seen, so any replayed transactions are guaranteed to be rejected. The server returns to the client in the verifier an index ID into the credential table, plus the client time stamp minus 1, encrypted by CK . The client knows that only the server could have sent such a verifier, because only the server knows what time stamp the client sent. The reason for subtracting 1 from the time stamp is to ensure that it is not valid and cannot be reused as a client verifier. After the first RPC transaction, the client sends just its ID and an encrypted time stamp to the server, and the server sends back the client time stamp minus 1, encrypted by CK .

Naming network entities for DES authentication

DES authentication does its naming by using net names.

A *net name* is a string of printable characters to authenticate. The public and secret keys are stored on a per-net-name rather than a per-user-name basis. The `netid.byname` NIS map maps the net name into a local UID and group-access list.

User names are unique within each domain. Net names are assigned by concatenating the operating system and user ID with the NIS and Internet domain names. A good convention for naming domains is to append the Internet domain name (com, edu, gov, mil) to the local domain name.

Network names are assigned to machines as well as to users. A net name of a machine is formed much like that of a user. For example, a machine named hal in the eng.xyz.com domain has the net name unix.hal@eng.xyz.com. Correct authentication of machines is important for diskless machines that need full access to their home directories over the network.

To authenticate users from any remote domain, make entries for them in two NIS databases. One is an entry for their public and secret keys; the other is for their local UID and group-access list mapping. Users in the remote domain can then access all of the local network services, such as the NFS and remote logins.

The /etc/publickey file

The /etc/publickey file contains names and public keys, which NIS uses to create the publickey map.

The publickey map is used for secure networking. Each entry in the file consists of a network user name (which refers to either a user or a host name), followed by the user public key (in hexadecimal notation), a colon, and the user-encrypted secret key (also in hexadecimal notation). By default, the only user in the /etc/publickey file is the user nobody.

Do not use a text editor to alter the /etc/publickey file because the file contains encryption keys. To alter the /etc/publickey file, use either the chkey or newkey commands.

Public key systems booting considerations

When restarting a machine after a power failure, all of the stored secret keys are lost, and no process can access secure network services, such as mounting an NFS. Root processes could continue if there were someone to enter the password that decrypts the secret key of the root user. The solution is to store the root-user decrypted secret key in a file that the key server can read.

Not all **setuid** subroutine calls operate correctly. For example, if a **setuid** subroutine is called by owner A, and owner A has not logged into the machine since it started, the subroutine cannot access any secure network services as A. However, most **setuid** subroutine calls are owned by the root user, and the root user secret key is always stored at startup time.

Secure Network File System performance considerations

There are several ways that secure NFS affects system performance.

- Both the client and server must compute the common key. The time it takes to compute the common key is about one second. As a result, it takes about two seconds to establish the initial RPC connection, because both client and server have to perform this operation. After the initial RPC connection, the key server caches the results of previous computations, and so it does not have to recompute the common key every time.
- Each RPC transaction requires the following DES encryption operations:
 1. The client encrypts the request time stamp.
 2. The server decrypts it.
 3. The server encrypts the reply time stamp.
 4. The client decrypts it.

Because system performance can be reduced by secure NFS, weigh the benefits of increased security against system-performance requirements.

Secure Network File System checklist

This checklist helps ensure that secure NFS operates correctly.

- When mounting a file system with the **-secure** option on a client, the server name must match the server host name in the `/etc/hosts` file. If a name server is being used for host-name resolution, make sure the host information returned by the name server matches the entry in the `/etc/hosts` file. Authentication errors result if these names do not match because the net names for machines are based on the primary entries in the `/etc/hosts` file and keys in the **publickey** map are accessed by net name.
- Do not mix secure and nonsecure exports and mounts. Otherwise, file access might be determined incorrectly. For example, if a client machine mounts a secure file system without the **-secure** option or mounts a nonsecure system with the **-secure** option, users have access as nobody, rather than as themselves. This condition also occurs if a user unknown to NIS and that user attempts to create or modify files on a secure file system.
- Because NIS must propagate a new map after each use of the **chkey** and **newkey** commands, use these commands only when the network is lightly loaded.
- Do not delete the `/etc/keystore` file or the `/etc/.rootkey` file. If you reinstall, move, or upgrade a machine, save the `/etc/keystore` and `/etc/.rootkey` files.
- Instruct users to use the **yppasswd** command rather than the **passwd** command to change passwords. Doing so keeps passwords and private keys synchronized.
- Because the **login** command does not retrieve keys out of the publickey map for the **keyserv** daemon, the user must run the **keylogin** command. You may want to place the **keylogin** command in each user profile file to run the command automatically during login. The **keylogin** command requires users to enter their password again.
- When you generate keys for the root user at each host with either the **newkey -h** or **chkey** command, you must run the **keylogin** command to pass the new keys to the **keyserv** daemon. The keys are stored in the `/etc/.rootkey` file, which is read by the **keyserv** daemon each time the daemon is started.
- Periodically verify that the **yppasswdd** and **ypupdated** daemons are running on the NIS master server. These daemons are necessary for maintaining the publickey map.
- Periodically verify that the **keyserv** daemon is running on all machines using secure NFS.

Configuring secure Network File System

To configure secure NFS on NIS master and worker servers, complete the following procedure.

1. On the NIS master server, create an entry for each user in the NIS `/etc/publickey` file by using the **newkey** command as follows:
 - For a regular user, type:

```
smit newkey
```
 - OR
 - ```
newkey -u username
```
- For a root user on a host machine, type:

```
newkey -h hostname
```
- Alternatively, users can establish their own public keys by using the **chkey** or **newkey** commands.
2. Create the NIS publickey map. The corresponding NIS `publickey.byname` map resides only on the NIS servers.
3. Uncomment the following stanzas in the `/etc/rc.nfs` file:

```

#if [-x /usr/sbin/keyserd]; then
startsrvc -s keyserd
#fi
#if [-x /usr/lib/netsvc/yp/rpc.yppupdated -a -d /etc/yp/`domainname`]; then
startsrvc -s yppupdated
#fi
#DIR=/etc/passwd
#if [-x /usr/lib/netsvc/yp/rpc.yppasswdd -a -f $DIR/passwd]; then
startsrvc -s yppasswdd
#fi

```

4. Start the **keyserd**, **yppupdated**, and **yppasswdd** daemons by using the **startsrvc** command.

To configure secure NFS on NIS clients, start the **keyserd** daemon by using the **startsrvc** command.

## Exporting a file system using Secure Network File System

You can export a secure NFS by using one of the following procedures.

- To export a secure NFS file system using SMIT, perform the following steps:
  1. Verify that NFS is already running by running the **lssrvc -g nfs** command. The output indicates that the **nfsd** and the **rpc.mountd** daemons are active.
  2. Verify that the publickey map exists and that the **keyserd** daemon is running. For more information, see [“Configuring secure Network File System”](#) on page 308.
  3. Run the **smit mknfsexp** fast path.
  4. Specify the appropriate values for the **PATHNAME** of directory to export, **MODE** to export directory, and **EXPORT** directory now, system restart or both fields. Specify yes for the Use **SECURE** option field.
  5. Specify any other optional characteristics, or accept the default values.
  6. Exit SMIT. If the **/etc/exports** file does not exist, it will be created.
  7. Repeat steps 3 through 6 for each directory you want to export.
- To export a secure NFS file system by using a text editor, perform the following steps:
  1. Open the **/etc/exports** file with your favorite text editor.
  2. Create an entry for each directory to be exported, using the full path name of the directory. List each directory to be exported starting in the left margin. No directory should include any other directory that is already exported. See the [/etc/exports](#) file documentation for a description of the full syntax for entries in the **/etc/exports** file, including how to specify the secure option.
  3. Save and close the **/etc/exports** file.
  4. If NFS is currently running, type:

```
/usr/sbin/exportfs -a
```

Using the **-a** option with the **exportfs** command sends all information in the **/etc/exports** file to the kernel.

- To export an NFS file system temporarily (that is, without changing the **/etc/exports** file), type:

```
exportfs -i -o secure /dirname
```

where **dirname** is the name of the file system you want to export. The **exportfs -i** command specifies that the **/etc/exports** file is not to be checked for the specified directory, and all options are taken directly from the command line.

## Mounting a file system using Secure Network File system

You can explicitly mount a secure NFS directory.

To mount a secure NFS directory explicitly, perform the following steps:

1. Verify that the NFS server has exported the directory by running the command:

```
showmount -e ServerName
```

where `ServerName` is the name of the NFS server. This command displays the names of the directories currently exported from the NFS server. If the directory you want to mount is not listed, export the directory from the server.

2. Establish the local mount point by using the **mkdir** command. For NFS to complete a mount successfully, a directory that acts as the mount point (or placeholder) of an NFS mount must be present. This directory should be empty. This mount point can be created like any other directory, and no special attributes are needed.
3. Verify that the `publickey` map exists and that the `keyerv` daemon is running. For more information, see [“Configuring secure Network File System” on page 308](#).
4. Type

```
mount -o secure ServerName:/remote/directory /local/directory
```

where `ServerName` is the name of the NFS server, `/remote/directory` is the directory on the NFS server you want to mount, and `/local/directory` is the mount point on the NFS client.

**Note:** Only the root user can mount a secure NFS.

## Enterprise identity mapping

Today's network environments are made up of a complex group of systems and applications, resulting in the need to manage multiple user registries. Dealing with multiple user registries quickly grows into a large administrative problem that affects users, administrators, and application developers. Enterprise Identity Mapping (EIM) allows administrators and application developers to address this problem.

This section describes the problems, outlines current industry approaches, and explains the EIM approach.

### Managing multiple user registries

Many administrators manage networks that include different systems and servers, each with a unique way of managing users through various user registries.

In these complex networks, administrators are responsible for managing each user's identities and passwords across multiple systems. Additionally, administrators often must synchronize these identities and passwords. Users are burdened with remembering multiple identities and passwords and with keeping them synchronized. Because user and administrator overhead in this environment is expensive, administrators often spend valuable time troubleshooting failed login attempts and resetting forgotten passwords instead of managing the enterprise.

The problem of managing multiple user registries also affects application developers who want to provide multiple-tier or heterogeneous applications. Customers have important business data spread across many different types of systems, with each system possessing its own user registries. Consequently, developers must create proprietary user registries and associated security semantics for their applications. Although this solves the problem for the application developer, it increases the overhead for users and administrators.

### Current approaches to enterprise identity mapping

Several current industry approaches for solving the problem of managing multiple user registries are available, but they all provide incomplete solutions. For example, Lightweight Directory Access Protocol (LDAP) provides a distributed user registry solution. However, to use solutions such as LDAP, administrators must manage yet another user registry and security semantics or replace existing applications that are built to use those registries.

Using this type of solution, administrators must manage multiple security mechanisms for individual resources, thereby increasing administrative overhead and potentially increasing the likelihood of security exposures. When multiple mechanisms support a single resource, the chances of changing the authority

through one mechanism and forgetting to change the authority for one or more of the other mechanisms is much higher. For example, a security exposure can result when a user is appropriately denied access through one interface, but allowed access through one or more other interfaces.

After completing this work, administrators find that they have not completely solved the problem. Generally, enterprises have invested too much money in current user registries and in their associated security semantics to make using this type of solution practical. Creating another user registry and associated security semantics solves the problem for the application provider, but not the problems for users or administrators.

Another solution is to use a single sign-on approach. Several products are available that allow administrators to manage files that contain all of a user's identities and passwords. However, this approach has several weaknesses:

- It addresses only one of the problems that users face. Although it allows users to sign on to multiple systems by supplying one identity and password, the user is still required to have passwords on other systems, or the need to manage these passwords.
- It introduces a new problem by creating a security exposure because clear-text or decryptable passwords are stored in these files. Passwords should never be stored in clear-text files or be easily accessible by anyone, including administrators.
- It does not solve the problems of third-party application developers that provide heterogeneous, multiple-tier applications. They must still provide proprietary user registries for their applications.

Despite these weaknesses, some enterprises use these solutions because they provide some relief for the multiple user registry problems.

## **Enterprise identity mapping usage**

The EIM architecture describes the relationships between individuals or entities (such as file servers and print servers) in the enterprise and the many identities that represent them within an enterprise. In addition, EIM provides a set of APIs that allow applications to ask questions about these relationships.

For example, given a person's user identity in one user registry, you can determine which identity in another user registry represents that same person. If the user has authenticated with one identity and you can map that identity to the appropriate identity in another user registry, the user does not need to provide credentials for authentication again. You need only know which identity represents that user in another user registry. Therefore, EIM provides a generalized identity-mapping function for the enterprise.

The ability to map between a user's identities in different registries provides many benefits. Primarily, applications can have the flexibility of using one registry for authentication while using an entirely different registry for authorization. For example, an administrator could map an SAP identity to access SAP resources.

Identity mapping requires that administrators perform the following steps:

1. Create EIM identifiers that represent people or entities in their enterprise.
2. Create EIM registry definitions that describe the existing user registries in their enterprise.
3. Define the relationship between the user identities in those registries to the EIM identifiers that they created.

No code changes are required to existing registries. Mappings are not required for all identities in a user registry. EIM allows one-to-many mappings (in other words, a single user with more than one identity in a single user registry). EIM also allows many-to-one mappings (in other words, multiple users sharing a single identity in a single user registry, which although supported is not advised for security reasons). An administrator can represent any user registry of any type in EIM.

EIM does not require copying existing data to a new repository and trying to keep both copies synchronized. The only new data that EIM introduces is the relationship information. Administrators manage this data in an LDAP directory, which provides the flexibility of managing the data in one place and having replicas wherever the information is used.

## Kerberos

Kerberos is a network authentication service that provides a means of verifying the identities of principals on physically insecure networks. Kerberos provides mutual authentication, data integrity, and privacy under the assumption that network traffic is vulnerable to capture, examination, and substitution.

A Kerberos principal is a unique identity that uses Kerberos authentication services. Kerberos verifies identities without relying on authentication by the host operating system, basing trust on host addresses or requiring physical security of all the hosts on the network.

Kerberos tickets are credentials that verify your identity. There are two types of tickets: a *ticket-granting ticket* and a *service ticket*. The ticket-granting ticket is for your initial identity request. When logging into a host system, you need something that verifies your identity, such as a password or a token. After you have the ticket-granting ticket, you can then use your ticket-granting ticket to request service tickets for specific services. This two-ticket method is called the *trusted third-party* of Kerberos. Your ticket-granting ticket authenticates you to the Kerberos server, and your service ticket is your secure introduction to the service.

The trusted third-party or intermediary in Kerberos is called the *Key Distribution Center* (KDC). The KDC issues all of the Kerberos tickets to the clients.

### Secure remote commands overview

The following information provides details about secure remote commands.

#### Notes:

1. Beginning with Distributed Computing Environment (DCE) version 2.2, the DCE security server can return Kerberos Version 5 tickets.
2. All of the secure remote commands (rcmds) use the Kerberos Version 5 library provided by IBM Network Authentication Service (NAS) that is available on the Expansion Pack DVD. You must install the `krb5.client.rte` fileset, which is also available on the Expansion Pack DVD.
3. If you are migrating your AIX operating system by using DVD media and Kerberos is already installed, the installation scripts prompt you to install `krb5.client.rte` from the Expansion Pack DVD.
4. If you are migrating your AIX operating system by using NIM resources and Kerberos is already installed, add `krb5` to your `lpp_source` directory.

The secure remote commands (rcmds) are **rlogin**, **rcp**, **rsh**, **telnet**, and **ftp**. These commands are known collectively as the standard AIX authentication method. The additional methods provided are Kerberos.

When using the Kerberos Version 5 authentication method, the client gets a Kerberos Version 5 ticket from the DCE security server or Kerberos server. The ticket is a portion of the user's current DCE or local credentials encrypted for the TCP/IP server with which they want to connect. The daemon on the TCP/IP server decrypts the ticket. This action allows the TCP/IP server to absolutely identify the user. If the DCE or local principal described in the ticket is allowed access to the operating system user's account, the connection proceeds. The secure rcmds support Kerberos clients and servers from both Kerberos Version 5 and DCE.

In addition to authenticating the client, Kerberos Version 5 forwards the current user's credentials to the TCP/IP server. If the credentials are marked as forwardable, the client sends them to the server as a Kerberos ticket-granting ticket. On the TCP/IP server side, if a user is communicating with a DCE security server, the daemon upgrades the ticket-granting ticket to full DCE credentials using the **k5dcecreds** command.

The **ftp** command uses a different authentication method than the other secure rcmds. It uses the GSSAPI security mechanism to pass the authentication between the **ftp** command and the **ftpd** daemon. Using the **clear**, **safe**, and **private** subcommands, the ftp client supports data encryption.

Between operating system clients and servers, the **ftp** command allows multiple byte transfers for encrypted data connections. The standards define only single byte transfers for encrypted data

connections. When connected to third-party machines and using data encryption, the **ftp** command follows the single byte transfer limit.

### **System configuration**

For all of the secure rcmds, a system-level configuration mechanism determines which authentication methods are allowed for that system. The configuration controls both outgoing and incoming connections.

The authentication configuration consists of the `libauthm.a` library and the **lsauthent** and **chauthent** commands, that provide command line access to the **get\_auth\_methods** and **set\_auth\_methods** library routines.

The authentication method defines which method is used to authenticate a user across a network. The system supports the following authentication methods:

- Kerberos Version 5 is the most common method, as it is the basis for DCE.
- Kerberos Version 4 is used only by the `rlogin`, `rsh`, and `rcp` secure rcmds. It is provided to support compatibility with earlier versions only on SP systems. A Kerberos Version 4 ticket is not upgraded to DCE credentials.

If more than one authentication method is configured and the first method fails to connect, the client attempts to authenticate using the next authentication method configured.

Authentication methods can be configured in any order. The only exception is that standard AIX must be the final authentication method configured, because there is no fallback option. If standard AIX is not a configured authentication method, password authentication is not attempted and any connection attempt using this method is rejected.

You can also configure the system without any authentication methods. In this case, the system refuses all connections from and to any system using secure rcmds. Also, because Kerberos Version 4 is only supported with the **rlogin**, **rsh**, and **rcp** commands, a system configured to use only Kerberos Version 4 does not allow connections using telnet or FTP.

### **Kerberos Version 5 user validation**

The Kerberos Version 5 authentication method can be used to validate a user.

When using the Kerberos Version 5 authentication method, the TCP/IP client gets a service ticket encrypted for the TCP/IP server. When the server decrypts the ticket, it has a secure method of identifying the user (by DCE or local principal). However, the server must determine if this DCE or local principal is allowed access to the local account. Mapping the DCE or local principal to the local operating system account is handled by a shared library, `libvaliduser.a`, which has a single subroutine, called `kvalid_user`. If a different method of mapping is preferred, the system administrator must provide an alternative for the `libvaliduser.a` library.

### **DCE configuration**

To use the secure rcmds, two DCE principals must exist for every network interface to which they can be connected.

The two DCE principals are:

```
host/FullInterfaceName
ftp/FullInterfaceName
```

where *FullInterfaceName* is the interface name and domain name

### **Local configuration**

To use the secure rcmds, two local principals must exist for every network interface to which they can be connected.

The two local principals are:

```
host/FullInterfaceName@Realmname
ftp/FullInterfaceName@Realmname
```

where *FullInterfaceName* is the interface name and domain name and *RealmName* is the name of the local Kerberos Version 5 realm.

### Related information

[get\\_auth\\_method Subroutine](#)

[set\\_auth\\_method Subroutine](#)

[chauthent Command](#)

[lsauthent Command](#)

## Authenticating to the AIX operating system using the Network Authentication Service or non-AIX services

Prior to AIX 6.1, the KRB5 load module handled the Kerberos authentication against the Network Authentication Service (NAS) environment and the KRB5A load module handled the Kerberos authentication against non-AIX systems environment. Starting with AIX 6.1, the KRB5 load module handles the Kerberos authentication of both the Network Authentication Service (NAS) environment and the non-AIX systems environment. The **is\_kadmind\_compat** attribute in the `/etc/security/methods.cfg` file specifies either the KRB5 environment or the KRB5A environment. From AIX 7.1 onwards, the KRB5A load module is not available. Therefore, **is\_kadmind\_compat** attribute must be used in the `/etc/security/methods.cfg` file to specify either the KRB5 environment or the KRB5A environment.

When the Kerberos client is configured to authenticate against NAS, the KRB5 load module performs Kerberos authentication and Kerberos principal management. The module enables a system administrator to manage Kerberos principals by using AIX user-administration commands. To use principal management, the Kerberos server must support the kadmin administration protocol. NAS provides this support through the **kadmind** daemon (the Kerberos server that runs on the AIX operating system).

**Note:** When you configure the Kerberos client, you must specify that authentication is against NAS; otherwise, the client is configured to authenticate against non-AIX services and principal management is unavailable.

When you use Kerberos against a non-AIX system, Kerberos principals are stored on a non-AIX system and cannot be managed from the AIX operating system by using the kadmin Kerberos database interface. In this case, principal management must be performed separately by using the Kerberos principal-management tools. These tools might be part of a Kerberos product, or they might be integrated into an OS (for example, Windows 2000). The original goal of using Kerberos against non-AIX systems was to provide authentication against Windows 2000 Active Directory servers where Kerberos principal management is performed using the Active Directory account management tools and APIs. However, Kerberos against non-AIX systems can be used against other compliant KDCs where the Kerberos administration interface is not supported.

### ***Installing and configuring the system for Kerberos integrated login using IBM NAS***

The IBM Kerberos implementation of Network Authentication Services (NAS) is shipped on the expansion pack.

To install the Kerberos Version 5 server package, install the `krb5.server.rte` files by running the following command:

```
installp -aqYgd . krb5.server
```

If the machine being configured as a Kerberos server will also be used as a Kerberos client, install the entire Kerberos KRB5 package.

DCE also has a set of Kerberos client utilities with the same names as the Kerberos utilities. To avoid namespace collisions between DCE and Kerberos commands (that is, between the **klist**, **kinit**, and **kdestroy** commands), the Kerberos commands are installed in the `/usr/krb5/bin` and the `/usr/krb5/sbin` directories.

To run the Kerberos commands, you must specify fully qualified command path names unless you add the Kerberos directories to your PATH definition as follows:

```
export PATH=$PATH:/usr/krb5/sbin:/usr/krb5/bin
```

**Note:** The Java14 SDK also installs a **kinit** command, and it may precede other **kinit** commands in the PATH environment variable. If Network Authentication Service commands are needed instead of the Java14 **kinit** program, move the Java14 **kinit** program to another location in your PATH definition.

Network Authentication Services documentation is provided in the `krb5.doc.lang.pdf|html` package, where *lang* represents the supported language.

The AIX operating system has two database modules available to form a compound load module: LDAP and BUILTIN. The LDAP module is used to access information stored on an LDAP registry (directory) and the BUILTIN module is used to access information stored on a files registry (local file system). The compound load module that is created is typically named KRB5files or KRB5LDAP. These names indicate that KRB5 is used either for authentication and local files or for LDAP.

Network Authentication Service also supports storing Kerberos information in either a local file system (Kerberos Legacy database) or LDAP. There are four possible configurations:

- KRB5files with Kerberos server information stored in Kerberos Legacy database
- KRB5files with Kerberos server information stored in Kerberos LDAP database
- KRB5LDAP with Kerberos server information stored in Kerberos Legacy database
- KRB5LDAP with Kerberos server information stored in Kerberos LDAP database

When LDAP is the storage mechanism for storing Kerberos principals or AIX user and group information, configure LDAP before you invoke the Kerberos configuration commands. After you configure LDAP, use the **mkkrb5srv** command to configure the Kerberos servers.

#### *Configuring the Network Authentication Service server with legacy database storage*

You can set up Network Authentication Service KDC and administration servers with a legacy Kerberos database and configure Network Authentication Service servers using the **mkkrb5srv** command.

For additional information about using the **mkkrb5srv** command, see the **mkkrb5srv** command.

**Note:** Do not install both DCE and Kerberos server software on the same physical system. If you must do so, the default operational internet port numbers must be changed for either the DCE clients and server, or for the Kerberos clients and server. In either case, such a change can affect interoperability with existing DCE and Kerberos deployments in your environment. For information about coexistence of DCE and Kerberos, refer to Network Authentication Services documentation.

Kerberos Version 5 is set up to reject ticket requests from any host whose clock is not within the specified maximum clock skew of the KDC. The default value for maximum clock skew is 300 seconds (five minutes). Kerberos requires that some form of time synchronization is configured between the servers and the clients. It is recommended that you use the **xntpd** or **timed** daemons for time synchronization. To use the **timed** daemon, do the following:

1. Set up the KDC server as a time server by starting the **timed** daemon, as follows:

```
timed -M
```

2. Start the **timed** daemon on each Kerberos client as follows:

```
timed -t
```

3. To configure the Kerberos KDC and kadmin servers, run the **mkkrb5srv** command. For example, to configure Kerberos for the MYREALM realm, the `sundial.xyz.com` server, and the `xyz.com` domain, run the following command:

```
mkkrb5srv -r MYREALM -s sundial.xyz.com -d xyz.com -a admin/admin
```

Wait a few minutes for the **kadmind** and **krb5kdc** commands to start from the `/etc/inittab` file.

Network Authentication Service uses space in the **/var** filesystem to store information. This information includes database, log, and credential cache files of the authenticated users. The size of these files can increase over time. Ensure that the **/var** filesystem has sufficient free space to hold this information by regularly monitoring the amount of free space.

The following is a typical **mkkrb5srv** command:

```
mkkrb5srv -r Realm_Name -s KDC_Server -d Domain_Name -a Admin_Name
```

The variable values in Table 17 on page 316 are used in the following example of how to configure Network Authentication Service servers with legacy database.

| Table 17. The <b>mkkrb5srv</b> command variable names |                       |
|-------------------------------------------------------|-----------------------|
| Variable Name                                         | Variable Value        |
| Realm Name                                            | MYREALM               |
| KDC Server                                            | kdcsrv.austin.ibm.com |
| Domain Name                                           | austin.ibm.com        |
| Administrator Name                                    | admin/admin           |

If there is an existing Kerberos server configuration, you can remove it by using either the **mkkrb5srv -U** or **unconfig.krb5** command.



**Attention:** If you need to keep an existing Kerberos server configuration, do not perform the following steps.

The following procedure is an example of how to configure Network Authentication Service servers with legacy database.

1. Enter the following command:

```
mkkrb5srv -r MYREALM -s kdcsrv.austin.ibm.com -d austin.ibm.com -a admin/admin
```

After entering this command, you are prompted for a master database password.

Because Network Authentication Service does not support configurations where KDC and the administrative server are on different hosts, the local host is used for both the KDC and administrative server. Ignore the following error message if it is displayed: The **-s** option is not supported.

2. Enter the master database password when you are prompted.
3. Enter the administrative-principal password when you are prompted.

After you enter the administrative-principal password, the **mkkrb5srv** command starts the **kadmind** and **krb5kdc** daemons from the **/etc/inittab** file path. This process can last several minutes.

4. Verify the entries in the **/etc/inittab** file by running the following commands:

```
lsitab krb5kdc
lsitab kadm
```

5. Verify that the KDC and kadmind servers have started by entering the following command:

```
ps -ef | grep -v grep | grep krb5
```

The **mkkrb5srv** command creates the master KDC and the kadmind administrative servers for the Kerberos realm (MYREALM). It also creates the configuration files, initializes the principal database, and starts the KDC and kadmind servers.

Running the **mkkrb5srv** command results in the following actions:

1. Creates the **/etc/krb5/krb5.conf** file. Values for realm name, Kerberos admin server, and domain name are set as specified on the command line. The **/etc/krb5/krb5.conf** file also sets the paths for the default\_keytab\_name, kdc, and admin\_server log files.

2. Creates the `/var/krb5/krb5kdc/kdc.conf` file. The `/var/krb5/krb5kdc/kdc.conf` file sets the values for the `kdc_ports`, `kadmin_port`, `max_life`, `max_renewable_life`, `master_key_type`, and `supported_enctypes` variables. This file also sets the paths for the `database_name`, `admin_keytab`, `acl_file`, `dict_file`, and `key_stash_file` variables.
3. Creates the `/var/krb5/krb5kdc/kadm5.ac1` file. Sets up the access control for admin, root, and host principals.
4. Creates the database and one admin principal. You are asked to set a Kerberos master key and to name and set the password for a Kerberos administrative principal identity. For disaster-recovery purposes, it is critical that the master key and administrative principal identity and password are securely stored.

For more information, see [“Sample runs”](#) on page 320 and [“Error messages and recovery actions”](#) on page 319.

#### *Configuring the Kerberos server with LDAP storage*

You can setup Network Authentication Service kadmin and KDC servers for Kerberos integrated login using the **mkkrb5srv** command.

The variable values in [Table 18](#) on page 317 are used in the following example of how to configure Network Authentication Service server components with LDAP storage by using the **mkkrb5srv** command.

| <i>Table 18. The <b>mkkrb5srv</b> command variable names</i> |                       |
|--------------------------------------------------------------|-----------------------|
| <b>Variable Name</b>                                         | <b>Variable Value</b> |
| Realm_Name                                                   | MYREALM               |
| KDC_Server                                                   | kdcsrv.austin.ibm.com |
| Domain_Name                                                  | austin.ibm.com        |
| Admin_Name                                                   | admin/admin           |
| LDAP server                                                  | kdcsrv.austin.ibm.com |
| LDAP administrator name                                      | cn=root               |
| LDAP administrator password                                  | secret                |

The following procedure is an example of how to configure Network Authentication Service server components with LDAP storage by using the **mkkrb5srv** command.

1. Run the following command:

```
mkkrb5srv -r MYREALM -s kdcsrv.austin.ibm.com -d austin.ibm.com\
-a admin/admin -l kdcsrv.austin.ibm.com -u cn=root -p secret
```

2. Verify that the KDC and kadmin servers have started by running the following command:

```
ps -ef | grep -v grep | grep krb5
```

Running the **mkkrb5srv** command with LDAP produces results that are similar to running the command with the legacy database configuration. However, when LDAP is used, databases are not created on the local file system. Instead, a `.kdc_ldap_data` file is created in the `/var/krb5/krb5kdc` file to hold information about LDAP.

For additional information about usage, see the [mkkrb5srv](#) command.

### Configuring the Kerberos integrated login

After Kerberos installation is complete, you must configure the system to use Kerberos as the primary means of user authentication.

To configure systems to use Kerberos as the primary means of user authentication, run the **mkkrb5clnt** command with the following parameters:

```
mkkrb5clnt -c KDC -r realm -a admin -s server -d domain -A -i database -K -T
```

The variable values in Table 19 on page 318 are used in the following example of how to configure a system for Kerberos integrated login with a local file system as the AIX user/group repository.

| Variable Name           | Variable Value        |
|-------------------------|-----------------------|
| Realm Name              | MYREALM               |
| KDC Server              | kdcsrv.austin.ibm.com |
| Domain Name             | austin.ibm.com        |
| Administration Server   | kdcsrv.austin.ibm.com |
| Administrator Name      | admin/admin           |
| AIX User/Group Database | files                 |

The following command is an example of how to configure a system for Kerberos integrated login with a local file system as the AIX user/group repository.

Run the following command:

```
mkkrb5clnt -r MYREALM -c kdcsrv.austin.ibm.com -s kdcsrv.austin.ibm.com\
-a admin/admin -d austin.ibm.com -A -i files -K -T
```

The previous example results in the following actions:

1. The command creates the `/etc/krb5/krb5.conf` file. Values for realm name, Kerberos administration server, and domain name are set as specified on the command line. The paths for `default_keytab_name`, `kdc`, and `kadmin` log files are also updated.
2. The **-i** flag configures a fully integrated login. The database entered is the location where AIX user identification information is stored. This is different than the Kerberos principal storage. The storage where Kerberos principals are stored is set during the Kerberos configuration.
3. The **-K** flag configures Kerberos as the default authentication scheme. This allows the users to become authenticated with Kerberos at login time.
4. The **-A** flag adds an entry in the Kerberos Database to make root an admin user for Kerberos.
5. The **-T** flag acquires the server admin ticket-granting ticket.

**Note:** Do not use the **-D** option in the **mkkrb5clnt** command to configure the Kerberos client environment for authentication against the IBM Network Authentication Service (NAS). If you do not specify the **-D** option in the **mkkrb5clnt** command, the **is\_kadmind\_compat** attribute is not included in the `/usr/lib/security/methods.cfg` file and the Kerberos client environment is configured for authentication against the IBM NAS.

Verify the configuration by examining the `/etc/krb5/krb5.conf` file. The following is an example of a `/etc/krb5/krb5.conf` file on a client machine:

```
[libdefaults]
 default_realm = MYREALM
 default_keytab_name = FILE:/etc/krb5/krb5.keytab
 default_tkt_enctypes = des3-cbc-sha1 arcfour-hmac aes256-cts des-cbc-md5 des-cbc-crc
 default_tgs_enctypes = des3-cbc-sha1 arcfour-hmac aes256-cts des-cbc-md5 des-cbc-crc
[realms]
 MYREALM = {
```

```

kdc = kdcsvr.austin.ibm.com:88
admin_server = kdcsvr.austin.ibm.com:749
default_domain = austin.ibm.com
}
[domain_realm]
.austin.ibm.com = MYREALM
kdcsvr.austin.ibm.com = MYREALM
[logging]
kdc = FILE:/var/krb5/log/krb5kdc.log
admin_server = FILE:/var/krb5/log/kadmin.log
default = FILE:/var/krb5/log/krb5lib.log

```

**Note:** If LDAP is used for Kerberos principal storage, then the `krb5.conf` file will contain the following line under the `[realms]` stanza:

```
vdb_plugin_lib = /usr/lib/libkrb5ldplug.a
```

If a system is installed that is located in a different DNS domain than the KDC, the following additional actions must be performed:

1. Edit the `/etc/krb5/krb5.conf` file and add another entry after `[domain realm]`.
2. Map the different domain to your realm.

For example, if you want to include a client that is in the `abc.xyz.com` domain into your MYREALM realm, modify the `/etc/krb5/krb5.conf` file as follows:

```

[domain realm]
.austin.ibm.com = MYREALM
.raleigh.ibm.com = MYREALM

```

When the Network Authentication Service configuration is complete, the login process to the operating system remains unchanged. After a successful login, users will have Kerberos ticket-granting tickets associated with their running processes. The user's `$KRB5CCNAME` environment variable points to that ticket-granting ticket. To verify that the login is successful and the user has a ticket-granting ticket, use the **`klist`** command.

**Note:** When you run the **`mkkrb5clnt`** command, the following stanza is added to the `methods.cfg` file.

```

KRB5:
 program = /usr/lib/security/KRB5
 program_64 = /usr/lib/security/KRB5_64
 options = is_kadmind_compat=yes

KRB5files:
 options = db=BUILTIN,auth=KRB5

```

For additional information about:

- the **`mkkrb5clnt`** command, see the **`mkkrb5clnt`** command.
- the `methods.cfg` file, see the **`methods.cfg`** file.

#### *Error messages and recovery actions*

Errors that can occur when using the **`mkkrb5srv`** command include the following:

- If the `krb5.conf`, `kdc.conf`, or `kadm5.ac1` files already exist, the **`mkkrb5srv`** command does not modify the values. You will receive a message that the file already exists. Any of the configuration values can be changed by editing the `krb5.conf`, `kdc.conf`, or `kadm5.ac1` files.
- If you mistype something and no database is created, remove the configuration files that are created and run the command again.
- If there is inconsistency between the database and configuration values, remove the database from the `/var/krb5/krb5kdc/*` directory and rerun the command.
- Make sure the **`kadmind`** and the **`krb5kdc`** daemons are started on your machine. Use the **`ps`** command to verify that the daemons are running. If these daemons have not started, check the log file.

Errors that can occur when using the **`mkkrb5clnt`** command include the following:

- Incorrect values for `krb5.conf` can be fixed by editing the `/etc/krb5/krb5.conf` file.
- Incorrect values for the `-i` flag can be fixed by editing the `/usr/lib/security/methods.cfg` file.

#### *Eliminating Dependency on kadmind Daemon during non-KRB5 Authentication*

The KRB5 load module causes delay when the kadmind daemon is unavailable and when using a non-KRB5 authentication mechanism, for example, single sign-on (SSO). This dependency is eliminated by setting the `kadmind_timeout` parameter in the **methods.cfg** file.

Possible values are `kadmind_timeout=<seconds>`, where `seconds` must be greater than 0.

When the KRB5 load module attempts to connect to a kadmind server that is down, a transmission control protocol (TCP) timeout occurs. The `kadmind_timeout` parameter prevents further delay after the initial TCP timeout. The `kadmind_timeout` parameter specifies the time window for the KRB5 load module to attempt another kadmind connection after the initial tcp timeout. When the kadmind server is running, the default behavior is still in effect.

By default, `kadmind_timeout` is disabled. To enable the `kadmind_timeout` parameter, change the `methods.cfg` file as follows:

```
KRB5:
 program = /usr/lib/security/KRB5
 options = kadmind_timeout=300
KRB5files:
 options = db=BUILTIN,auth=KRB5
```

#### *Files created*

The **mkkrb5srv** command creates the following files:

- `/etc/krb5/krb5.conf`
- `/var/krb5/krb5kdc/kadm5.ac1`
- `/var/krb5/krb5kdc/kdc.conf`

The **mkkrb5clnt** command creates the following file:

- `/etc/krb5/krb5.conf`

The **mkkrb5clnt -i** files option adds the following stanza to the `/usr/lib/security/methods.cfg` file:

```
KRB5:
 program =
 options =
KRB5files:
 options =
```

#### *Sample runs*

This section provides examples from sample runs.

The following is an example of the **mkkrb5srv** command:

```
mkkrb5srv -r MYREALM -s sundial.xyz.com -d xyz.com -a admin/admin
```

Output similar to the following displays:

| Fileset                                    | Level   | State     | Description                           |
|--------------------------------------------|---------|-----------|---------------------------------------|
| Path: /usr/lib/objrepos<br>krb5.server.rte | 1.3.0.0 | COMMITTED | Network Authentication Service Server |
| Path: /etc/objrepos<br>krb5.server.rte     | 1.3.0.0 | COMMITTED | Network Authentication Service Server |

```

The -s option is not supported.
The administration server will be the local host.
Initializing configuration...
Creating /etc/krb5/krb5.conf...
Creating /var/krb5/krb5kdc/kdc.conf...
Creating database files...
Initializing database '/var/krb5/krb5kdc/principal' for realm 'MYREALM'
master key name 'K/M@MYREALM'
You will be prompted for the database Master Password.
It is important that you NOT FORGET this password.
Enter database Master Password:
Re-enter database Master Password to verify:
WARNING: no policy specified for admin/admin@MYREALM;
 defaulting to no policy. Note that policy may be overridden by
 ACL restrictions.
Enter password for principal "admin/admin@MYREALM":
Re-enter password for principal "admin/admin@MYREALM":
Principal "admin/admin@MYREALM" created.
Creating keytable...
Creating /var/krb5/krb5kdc/kadm5.acl...
Starting krb5kdc...
krb5kdc was started successfully.
Starting kadmind...
kadmind was started successfully.
The command completed successfully.
Restarting kadmind and krb5kdc

```

The following is an example of the **mkkrb5c1nt** command:

```

mkkrb5c1nt -r MYREALM -c sundial.xyz.com -s sundial.xyz.com \
-a admin/admin -d xyz.com -i files -K -T -A

```

Output similar to the following displays:

```

Initializing configuration...
Creating /etc/krb5/krb5.conf...
The command completed successfully.
Password for admin/admin@MYREALM:
Configuring fully integrated login
Authenticating as principal admin/admin with existing credentials.
WARNING: no policy specified for host/diana.xyz.com@MYREALM;
 defaulting to no policy. Note that policy may be overridden by
 ACL restrictions.
Principal "host/diana.xyz.com@MYREALM" created.

Administration credentials NOT DESTROYED.
Authenticating as principal admin/admin with existing credentials.

Administration credentials NOT DESTROYED.
Authenticating as principal admin/admin with existing credentials.
Principal "kadmind/admin@MYREALM" modified.

Administration credentials NOT DESTROYED.
Configuring Kerberos as the default authentication scheme
Making root a Kerberos administrator
Authenticating as principal admin/admin with existing credentials.
WARNING: no policy specified for root/diana.xyz.com@MYREALM;
 defaulting to no policy. Note that policy may be overridden by
 ACL restrictions.
Enter password for principal "root/diana.xyz.com@MYREALM":
Re-enter password for principal "root/diana.xyz.com@MYREALM":
Principal "root/diana.xyz.com@MYREALM" created.

Administration credentials NOT DESTROYED.
Cleaning administrator credentials and exiting.

```

### ***Eliminating the dependency on the kadmind daemon during authentication***

The KRB5 load module may fail authentication when the **kadmind** daemon is not available. This dependency can be eliminated by setting the *kadmind* parameter in the *methods.cfg* file.

The possible values are *kadmind=no* or *kadmind=false* for disabling the **kadmind** lookups and *kadmind=yes* or *kadmind=true* for enabling **kadmind** lookups (the default value is yes). When this option is set to no, the **kadmind** daemon is not contacted during authentication. Therefore, users can log into the system regardless of the status of the **kadmind** daemon provided that the user enters the

correct password when the system prompts for one. However, AIX user administration commands such as **mkuser**, **chuser**, or **rmuser** will not work to administrate Kerberos integrated users if the daemon is not available (for example, either the daemon is down or the machine is not accessible).

The default value for the *kadmind* parameter is *yes*. This means that **kadmind** lookups are performed during authentication. In the default case, if the daemon is not available, the authentication might take longer.

To disable the checking of the **kadmind** daemon during authentication, modify the stanzas in the *methods.cfg* file as follows:

```
KRB5:
 program = /usr/lib/security/KRB5
 options = kadmind=no
```

```
KRB5files:
 options = db=BUILTIN,auth=KRB5
```

When the **kadmind** daemon is not available, the root user will not be able to change user passwords. In a situation such as a forgotten password, you must make the **kadmind** daemon available. Also, if a user chooses to enter a Kerberos principal name at the login prompt, the primary name of the principal name will be truncated according to the AIX user name length limitation. This truncated name will be used for AIX user identification information retrieval (for example, to retrieve your home directory value).

If the **kadmind** daemon is not available (the daemon is down or not reachable), the **mkuser** command gives the following error:

```
3004-694 Error adding "krb5user": You do not have permission.
```

If the *kadmind* parameter is set to *no* or the **kadmind** daemon is not accessible, the system cannot validate the principal's existence in the Kerberos database, so it will not retrieve Kerberos related attributes. This situation causes incomplete or inaccurate results. For example, the **lsuser** command might not report any users for the ALL query.

Additionally, the **chuser** command will manage only AIX-related attributes and not Kerberos-related attributes. The **rmuser** command will not delete the Kerberos principal, and the **passwd** command will fail for Kerberos authenticated users.

If the network where the **kadmind** daemon resides is not accessible, response time is delayed. Setting the *kadmind* option to *no* in the *methods.cfg* file eliminates the delays during authentication when the machine is not accessible.

When the **kadmind** daemon is down, users who have expired passwords cannot log in or change their passwords.

When you set *kadmind=no* but the **kadmind** daemon is running, you can run the following commands: **login**, **su**, **passwd**, **mkuser**, **chuser**, and **rmuser**.

### ***Kerberos against Network Authentication Service: troubleshooting information***

This provides troubleshooting information about Kerberos clients which are using a Kerberos server on the AIX operating system.

The LDAP module writes error and debug information to the *syslog* subsystem.

The IBM Network Authentication Service uses its own log files to log requests made to the KDC and **kadmind** daemons. The log files are specified in the *[logging]* stanza of the *krb5.conf* file. The default locations of these files are the */var/krb5/log/krb5kdc.log* file and the */var/krb5/log/kadmind.log* file.

If a problem is related to the IBM Tivoli Directory Server, check the log files generated by IBM Tivoli Directory Server. By default, the log files are located in the */var/ldap/ibmslapd.log* file and the */var/ldap/db2cli.log* file.

- ***How do I create AIX Kerberos authenticated users?***

The root user must obtain Kerberos credentials that grant the required privilege to perform administrative tasks. Administrative tasks are performed on the following KDC server: `kdcsrv.austin.ibm.com`.

Create an AIX user account (foo) and Kerberos principal (foo@MYREALM) on the Kerberos database by entering the following commands:

```
kinit root/kdcsrv.austin.ibm.com
mkuser -R KRB5files SYSTEM=KRB5files registry=KRB5files foo
```

These commands also authenticate the user to the KRB5files files.

If you configured LDAP by using the `mksecldap` command, you can create AIX Kerberos authenticated users by entering the following command:

```
mkuser -R KRB5LDAP SYSTEM=KRB5LDAP registry=KRB5LDAP foo
```

- **How do I remove a Kerberos authenticated user?**

To remove a Kerberos authenticated user, enter the following command :

```
rmuser -R KRB5files foo
```

If you configured LDAP by using the `mksecldap` command, you can remove a Kerberos authenticated user by entering the following command:

```
rmuser -R KRB5LDAP foo
```

- **How do I change the password of a Kerberos authenticated user?**

To change the password of a Kerberos authenticated user, enter the following command:

```
passwd -R KRB5files foo
```

- **What are AIX Kerberos extended attributes?**

Kerberos principal information is manipulated by using AIX extended attributes through the AIX `lsuser` and `chuser` commands. Only attributes that have the GET access mode can be displayed. Attributes that have the SET access mode can be assigned values by a privileged user (root on the AIX operating system). An AIX Kerberos authenticated user can display his own Kerberos extended attributes and other allowed AIX attributes such as `id`, `pgrp`, `groups`, `gecos`, `home`, and `shell`.

Table 20 on page 323 lists the AIX Kerberos extended attributes and their access modes.

| <i>Table 20. AIX Kerberos extended attributes and access modes</i> |                                                                     |                    |
|--------------------------------------------------------------------|---------------------------------------------------------------------|--------------------|
| <b>Extended attribute name</b>                                     | <b>Description</b>                                                  | <b>Access mode</b> |
| krb5_principal_name                                                | The principal name associated with the AIX user name.               | GET                |
| krb5_principal                                                     | The same as the <code>krb5_principal_name</code> attribute.         | GET                |
| krb5_realm                                                         | The Kerberos realm name that the principal belongs to.              | GET                |
| krb5_last_pwd_change                                               | The time when the password for the principal was last changed.      | GET                |
| krb5_attributes                                                    | The set of attributes used by the KDC.                              | GET/SET            |
| krb5_mod_name                                                      | The name of the principal who most recently modified the principal. | GET                |

Table 20. AIX Kerberos extended attributes and access modes (continued)

| Extended attribute name | Description                                                                                                             | Access mode |
|-------------------------|-------------------------------------------------------------------------------------------------------------------------|-------------|
| krb5_mod_date           | The time that the principal was last modified.                                                                          | GET         |
| krb5_kvno               | The version of the principal's current key (password).                                                                  | GET/SET     |
| krb5_mkvno              | The database master key version number. This is provided for compatibility with other implementations. This field is 0. | GET         |
| krb5_max_renewable_life | The maximum renewable lifetime of any ticket issued for the principal.                                                  | GET/SET     |
| krb5_names              | A list of name:hostname pairs. This field is for future use. Do not modify this attribute.                              | GET/SET     |

The `krb5_attributes` extended attribute, represents the set of Kerberos principal attributes available for use by the KDC. A privileged user can use the **chuser** command to modify these Kerberos attributes.

```
chuser -R KRB5files krb5_attributes=+requires_preauth krb5user
```

To set a flag, add a plus (+) in front of the flag. To reset a flag, add a minus (-) in front of the flag. For example:

`+attribute_name` sets the flag

`-attribute_name` resets the flag

**Note:** When a user is created, all of the attributes except for the following are set: `requires_hwauth`, `needchange`, `password_changing_service`, and `support_desmd5`

The following list contains the attributes for the `krb5_attributes` extended attribute:

**allow\_postdated**

If set, postdated tickets can be issued for the principal.

**allow\_forwardable**

If set, forwardable tickets can be issued for the principal.

**allow\_tgs\_req**

If set, service tickets for the principal are issued using a ticket-granting ticket.

**allow\_renewable**

If set, renewable tickets can be issued for the principal.

**allow\_proxiable**

If set, proxiable tickets can be issued for the principal.

**allow\_dup\_skey**

If set, user-to-user authentication is enabled for the principal.

**allow\_tix**

If set, tickets are issued for the principal.

**requires\_preauth**

If set, software preauthentication is required before a ticket is issued.

**requires\_hwauth**

If set, hardware preauthentication by the software is required before a ticket is issued for the principal.

**needchange**

If set, the key (password) for the principal must be changed before tickets are issued.

**Note:** If the needchange flag is set, the user is prompted to change the password during the next login attempt. In this case, the user is authenticated (using Kerberos) but does not have a ticket-granting ticket. To get a ticket-granting ticket, the user must invoke the **kinit** command. The needchange flag applies only to Kerberos that is using the Network Authentication Services module.

**allow\_svr**

If set, service tickets can be issued for the principal.

**password\_changing\_service**

If set, the principal is the special principal for the password changing service

**support\_desmd5**

If set, the KDC might issue tickets that use the RSA MD5 checksum algorithm.

**Note:** Setting this attribute might cause interoperability problems.

- **How do I list the AIX Kerberos extended attributes?**

To list the AIX Kerberos extended attributes, run the following command:

```
lsuser -R KRB5files foo
```

You can also list specific extended attributes by using the `-a` option. For example:

```
lsuser -R KRB5files -f -a krb5_principal krb5_principal_name krb5_realm
```

- **How do I modify the AIX Kerberos extended attributes?**

Only a privileged user can modify the following extended attributes with a SET access mode: `krb5_kvno`, `krb5_max_renewable_life`, `krb5_attributes` and `krb5_names`.

- To change the maximum renewable lifetime to five days for any ticket issued to `foo`, enter the following command:

```
chuser -R KRB5files krb5_max_renewable_life=432000 foo
```

- To change the key (password) version number of the principal associated with `foo`, enter the following command:

```
chuser -R KRB5files krb5_kvno=4 foo
```

- To set all of the Kerberos principal attributes listed in [Table 20 on page 323](#), enter the following commands:

```
chuser -R KRB5files krb5_attributes=+allow_postdated,+allow_forwardable,\
+allow_tgs_req,+allow_renewable,+allow_proxiabile,+allow_dup_skey,+allow_tix,\
+requires_preauth,+requires_hwath,+needchange,+allow_svr,\
+password_changing_service,+support_desmd5 foo
```

```
lsuser -R KRB5files -a krb5_attributes foo
```

- To reset all of the Kerberos principal attributes listed in [Table 20 on page 323](#), enter the following commands:

```
chuser -R KRB5files krb5_attributes=-allow_postdated,-allow_forwardable,\
-allow_tgs_req,-allow_renewable,-allow_proxiabile,-allow_dup_skey,\
-allow_tix,-requires_preauth,-requires_hwauth,-needchange,-allow_svr,\
-password_changing_service,-support_desmd5 foo
```

```
lsuser -R KRB5files -a krb5_attributes foo
```

- To change the krb5\_names and add an AIX user name/host name pair, enter the following commands:

```
lsuser -R KRB5files -a krb5_names foo
```

```
chuser -R KRB5files krb5_names=bar:greenjeans.austin.ibm.com foo
```

```
lsuser -R KRB5files -a krb5_names foo
```

- **How do I list all of the users that are defined in KRB5files?**

To list all of the Kerberos authenticated users, enter the following command:

```
lsuser -R KRB5files -a registry ALL
```

- **How do I convert an AIX user to a Kerberos authenticated user?**

Use the **mkseckrb5** command to convert an AIX user to a Kerberos authenticated user. The **mkseckrb5** command converts non-administrative users (users with user IDs that are greater than 201) to Kerberos authenticated users. When you invoke the **mkseckrb5** command, you are prompted for the Network Authentication Service administrative-principal name and password. If you do not use the randomize option, you are also prompted for the password of each user that you are converting.

**Note:** The **mkseckrb5** command converts only local users. The users in remote domains, such as LDAP, cannot be converted using this command.

The following example *does not* use the randomize option during the conversion of an AIX user to a Kerberos authenticated user.

1. Enter the following command:

```
mkseckrb5 foo
```

2. Before you log in a user with Kerberos, set the user's SYSTEM and registry attributes as follows:

```
chuser -R KRB5files SYSTEM=KRB5files registry=KRB5files foo
```

The following example uses the randomize option during the conversion of an AIX user to a Kerberos authenticated user.

1. Enter the following command:

```
mkseckrb5 -r user1
```

2. After the conversion completes, set the user's SYSTEM, registry attributes, and password as follows:

```
chuser -R KRB5files SYSTEM=KRB5files registry=KRB5files user1
```

```
passwd -R KRB5files user1
```

- **How do I change the password for a Kerberos principal?**

A root user can set the password of a Kerberos principal by entering the following **passwd** command:

```
passwd -R KRB5files foo
```

The following messages display after you enter the **passwd** command:

```
Changing password for "foo"
foo's Old password:
foo's New password:
Enter the new password again:
```

When you enter the **passwd** command as a root user, the old password is ignored. You can disable the prompt for the old password, by using the `rootpwdrequired` option in the `methods.cfg` file. To disable the prompt for the old password, edit the `/usr/lib/security/methods.cfg` file as follows:

```
KRB5files:
options = db=BUILTIN,auth=KRB5,rootrequiresopw=false
```

- **How do I get a ticket-granting ticket after a successful login when the needchange attribute is set?**

To get a ticket-granting ticket after a successful login when the `needchange` flag is set, invoke the **kinit** command. For more information about this subject, see the [needchange](#) attribute.

- **Why is my password not accepted by the AIX operating system?**

If your password is not accepted, do the following:

- Verify that the KDC and `kadmind` servers are running.
- Verify that the password meets the requirements of both the AIX operating system and the Network Authentication Service.

- **How do I change the password rules?**

You can change the password rules on the AIX operating system by modifying the `password-policy` attributes. You can use the Network Authentication Server `kadmin` tool to change the password policy on the Kerberos database.

- **Can a Kerberos-authenticated user become authenticated by using only Standard AIX authentication?**

A Kerberos-authenticated user (`foo`) can become authenticated by using AIX **crypt()** authentication as follows:

1. Set the AIX password of user `foo` (`/etc/security/passwd`) using the **passwd** command.
2. Choose a different password for testing purposes. For example:

```
passwd -R files foo
```

3. Change the `SYSTEM` attribute of the user, as follows:

```
chuser -R KRB5files SYSTEM=compat foo
```

Changing the `SYSTEM` attribute changes the method of authentication from Kerberos to **crypt()**.

**Note:** Because the user in this example logged in using local authentication, the `AUTHSTATE` value is `compat` and no ticket-granting ticket is issued. If you want to use **crypt()** authentication as a backup mechanism, go to step “4” on page 327.

4. To use **crypt()** authentication as a backup mechanism, change the `SYSTEM` attribute as follows:

```
chuser -R KRB5files SYSTEM="KRB5files or compat" foo
```

- **How do I change the client `kadmind` port?**

The **kadmind** daemon is used to perform Kerberos principal management on Kerberos authenticated systems that are using NAS. The following example illustrates how to change the client **kadmind** port. In this example, the **kadmind** daemon runs on the `kdcsvr.austin.ibm.com` server and uses port 812.

1. Use the **config.krb5** command to configure the client:

```
config.krb5 -C -r MYREALM -c kdcsvr.austin.ibm.com -s \
kdcsvr.austin.ibm.com -d austin.ibm.com
```

2. Edit the `krb5.conf` file and change the port number:

```
admin_server = kdcsvr.austin.ibm.com:812
```

- **How do I remove Kerberos credentials?**

Each time a user logs in, the previous Kerberos credentials are overwritten. However, when a user logs out, these credentials are not removed. To remove these credentials, enter the following NAS **kdestroy** command:

```
/usr/krb5/bin/kdestroy
```

- **How do I change the ticket-life time on KDC?**

To change the ticket-life time on KDC, do the following:

1. Change the `max_life` attribute in the `kdc.conf` file. For example:

```
max_life = 8h 0m 0s
```

2. Stop and then start the **krb5kdc** and **kadmind** daemons.
3. Change the `max_life` value of the `krbtgt/MYREALM` and `kadmin/admin` principals to the value that you entered in step “1” on page 328. For example:

```
kadmin.local
kadmin.local: modify_principal -maxlife "8 hours" krbtgt/MYREALM
```

- **What happens if the kadmind daemon is not available?**

If the `kadmind` daemon is not available, authentication might take longer or fail. The authentication might fail if the part of the network where the `kadmind` daemon is located is not accessible or the system that is hosting the `kadmind` server is down. When the system is not accessible, setting the `kadmind` option in the `methods.cfg` file to `no` eliminates delays during authentication.

When the `kadmind` daemon is down, users cannot log in if their passwords are expired. If the `kadmind` daemon is not available (the daemon is down or not reachable) and a user enters the **mkuser** command, the following error is displayed:

```
3004-694 Error adding "krb5user": You do not have permission
```

In addition, the **chuser** and **lsuser** commands manage only AIX-related attributes, not Kerberos-related attributes. The **rmuser** command does not delete the Kerberos principal and the **passwd** command fails for Kerberos authenticated users.

When the `kadmind` daemon is not available, the root user cannot change user passwords. In a situation such as a forgotten password, you must make the `kadmind` daemon available. Also, if a user chooses to enter a Kerberos principal name at the login prompt, the primary name of the principal name is truncated (according to the AIX user name length limitation). This truncated name is used for AIX user-identification information retrieval (for example, to retrieve your home directory value).

- **How do I configure the AIX operating system for Kerberos integrated login with LDAP AIX user/group management?**

If you plan to use LDAP to store AIX user/group information, use the **mksecldap** command to configure the LDAP server and client before you run the **mkkrb5srv** and **mkkrb5clnt** commands. To configure the Kerberos servers, use the **mkkrb5srv** command. To configure the Kerberos client, use the **mkkrb5clnt** command with the `-i` LDAP option. For example:

```
mkkrb5clnt -r MYREALM -c kdcsvr.ustin.ibm.com\
-s kdcsvr.austin.ibm.com -a admin/admin -d austin.ibm.com -A -i LDAP -K -T
```

- **How do I use Kerberos-enabled remote commands after a successful login?**

When an AIX user authenticates to a system by using Kerberos, the ticket-granting ticket can be used for Kerberos-enabled remote commands.

In the following example, the NAS server is configured on `kdcsvr.austin.ibm.com` by using the **mkkrb5srv** command. This system is also configured for Kerberos-based logins by using the **mkkrb5clnt** command. A second system, `tx3d.austin.ibm.com`, is configured as a client by using the **mkkrb5clnt** command.

1. Save the keys for the host principal, host/tx3d.austin.ibm.com, to the /etc/krb5/krb5.keytab file on the tx3d system.
2. Because you used the **mkkrb5c1nt** to configure the client machine, these keys were extracted to the /var/krb5/security/keytab/tx3d.austin.ibm.com.keytab file. Link this file to the /etc/krb5/krb5.keytab file as follows:

```
ln -s /var/krb5/security/keytab/tx3d.austin.ibm.com.keytab /etc/krb5/krb5.keytab
```

3. If the tx3d.austin.ibm.com system is configured with a non-AIX Kerberos server, then explicitly create a host principal and extract the keys. For example:

```
kadmin -p admin/admin
kadmin: addprinc -randkey host/tx3d.austin.ibm.com
kadmin: ktadd -k /etc/krb5/krb5.keytab host/tx3d.austin.ibm.com
kadmin:
```

Because the kadmin tool is invoked from the tx3d.austin.ibm.com system, the keys are extracted to the /etc/krb5/krb5.keytab file on the tx3d.austin.ibm.com system. You can also do this step on the machine that hosts the Kerberos admin server (for example, kdcsrv). After you extract the keys into a keytab file, the file is transferred and merged with the /etc/krb5/krb5.keytab file on tx3d.

4. Enable remote commands to use Kerberos Version 5 authentication on the tx3d.austin.ibm.com system:

```
lsauthent
Standard Aix
chauthent -k5 -std
lsauthent
Kerberos 5
Standard Aix
```

5. Enable remote commands to use Kerberos Version 5 authentication on the kdcsrv.austin.ibm.com system:

```
chauthent -k5 -std
lsauthent
Kerberos 5
Standard Aix
```

6. Create a Kerberos authenticated user (foo) on kdcsrv, and set the password.

```
mkuser -R KRB5files SYSTEM=KRB5files registry=KRB5files foo
passwd -R KRB5files foo
```

7. Create user foo on tx3d:

```
mkuser -R files foo
```

8. Telnet to the kdcsrv.austin.ibm.com system using Kerberos authentication.
9. To ensure that a ticket-granting ticket was issued, enter the **klist** command.

```
/usr/krb5/bin/klist
```

The following are examples of Kerberos-enabled remote commands.

**Note:** Before you run the commands in the following examples, remove the .klogin, .rhost or hosts.equiv files.

- Enter the **date** command on the remote tx3d.austin.ibm.com host system with the **rsh** command:

```
rsh tx3d date
```

- Log in to the remote tx3d.austin.ibm.com system with the **rlogin** command:

```
hostname
kdcsrv.austin.ibm.com
```

```
rlogin tx3d -l foo

* Welcome to AIX Version 6.1! *

hostname
tx3d.austin.ibm.com
id
uid=234(foo) gid=1(staff)
```

- Transfer a file to the remote tx3d.austin.ibm.com system with the **rcp** command:

```
rsh tx3d "ls -l /home/foo"
total 0
echo "Testing Kerberize-d rcp" >> xfile
rcp xfile tx3d:/home/foo
rsh tx3d "ls -l /home/foo"
total 0
-rw-r--r-- 1 foo staff 0 Apr 28 14:30 xfile
rsh tx3d "more /home/foo/xfile"
Testing Kerberize-d rcp
```

- Telnet to the remote tx3d.austin.ibm.com system with Kerberos credentials:

```
telnet tx3d
Trying...
Connected to tx3d.austin.ibm.com.
Escape character is '^]'.
[Kerberos V5 accepts you as "foo@MYREALM"]
```

- Telnet to the tx3d.austin.ibm.com system, and then enter the host name and ID when prompted:

```
hostname
tx3d.austin.ibm.com
id
uid=234(foo) gid=1(staff)
```

- Before you can use the Kerberos-enabled **ftp** command, you must use the **kadmin** command (from tx3d.austin.ibm.com) to create the FTP service principal ftp/tx3d.austin.ibm.com, and extract it into the /etc/krb5/krb5.keytab file:

```
kadmin: addprinc -randkey ftp/tx3d.austin.ibm.com@MYREALM
kadmin: ktadd -k /etc/krb5/krb5.keytab ftp/tx3d.austin.ibm.com@MYREALM
kadmin:
```

The following is an example of how FTP to the tx3d.austin.ibm.com remote system with Kerberos credentials.

```
ftp tx3d
Name (tx3d:foo): foo
232 GSSAPI user foo@MYREALM is authorized as foo
230-Last login: Thu May 19 17:58:57 CDT 2005 on ftp from kdcsrv.austin.ibm.com
230 User foo logged in.
ftp> ftp> ls -la
```

### **Configuring a Kerberos client against a Kerberos sever on a non-AIX system**

An AIX Kerberos client can be configured against a Kerberos server on the following non-AIX systems: Windows Active Directory, Solaris, and HP.

#### *Configuring Kerberos against Windows Server Kerberos Service*

Several methods are available for configuring Kerberos against Windows Server Kerberos Service.

The Kerberos authentication-only module in KRB5 can be used in the authentication part of a compound-load module. During configuration, the user specifies the Kerberos environment for the load module. The KRB5 load module enables Kerberos as an alternative method for authenticating against Windows 2000 or Windows 2003 Server Kerberos Service. The AIX BUILTIN pseudo-load module provides access to the security library functions. The BUILTIN load module can be combined with authentication-only load modules to provide the database part of a compound-load module. It also provides legacy-user-and-

group storage and file-system access. The LDAP load module can also be used as the database part of a compound-load module.

Unlike the other Kerberos environment against NAS on an AIX system, this environment does not provide Kerberos principal management. The KRB5 load module can be used in an environment where Kerberos principals are stored on a non-AIX system and cannot be managed from the AIX operating system by using the **kadmin** Kerberos-database interface. The Kerberos principal management is performed separately with Kerberos principal-management tools. These tools might be part of a Kerberos product developed by software vendors or integrated into an OS like Windows 2000.

#### *Configuring Windows Server 2000 Kerberos Service*

The Windows Server 2000 Kerberos Service and NAS client are interoperable at the Kerberos protocol level (RFC1510). Because Windows Server 2000 does not support the **kadmin** interface, include the **-D** flag in the **mkkrb5clnt** command during configuration of AIX clients. Use Windows tools to manage principals on Windows systems.

Use the following procedure to configure an AIX client for Kerberos-based authentication against Windows Server 2000 Kerberos Service.

1. Set up Windows Server 2000. Refer to the Microsoft documentation for configuring a Microsoft Active Directory Server.
2. If the NAS client is not installed on the AIX client, install the `krb5.client.rte` file set from the AIX Expansion Pack.
3. Use the **mkkrb5clnt** command with the following configuration information to configure an AIX Kerberos client:

**realm**

Windows Active Directory Domain name

**domain**

Domain name of the machine that hosts the Active Directory server

**KDC**

Host name of the Windows server

**server**

Host name of the Windows server

The following is an example of the **mkkrb5clnt** command:

```
mkkrb5clnt -r MYREALM -d austin.ibm.com -c w2k.austin.ibm.com -s w2k.austin.ibm.com -D
```

The **-D** option in the **mkkrb5clnt** command creates the **is\_kadmind\_compat=no** option in the `/etc/methods.cfg` file and configures the Kerberos client environment for authentication against non-AIX systems. Do not use the **-D** option in the **mkkrb5clnt** command to configure the Kerberos client environment for authentication against the IBM Network Authentication Service (NAS).

**Note:** When you run the **mkkrb5clnt** command, the following stanza is added to the `methods.cfg` file.

```
KRB5:
 program = /usr/lib/security/KRB5
 program_64 = /usr/lib/security/KRB5_64
 options = authonly,is_kadmind_compat=no

KRB5files:
 options = db=BUILTIN,auth=KRB5
```

For more information about:

- the **mkkrb5clnt** command and allowable flags, see the **mkkrb5clnt** command.
- the `methods.cfg` file, see the [methods.cfg](#) file.

4. Because Windows supports DES-CBC-MD5 and DES-CBC-CRC encryption types, change the `krb5.conf` file information to be similar to the following:

```
[libdefaults]
 default_realm = MYREALM
 default_keytab_name = FILE:/etc/krb5/krb5.keytab
 default_tkt_enctypes = des-cbc-md5 des-cbc-crc
 default_tgs_enctypes = des-cbc-md5 des-cbc-crc
```

5. Create a host principal.

Because Windows account names do not have multiple parts like NAS principal names, you cannot directly create an account by using the fully qualified host name (`host/<fully_qualified_host_name>`). Instead, a principal instance is created through service-principal-name mapping. In this case, an account is created that corresponds to the host principal, and principal-name mapping is added.

On the Active Directory server, use the Active Directory Management tool to create a new user account that corresponds to the `tx3d.austin.ibm.com` AIX client as follows:

- a. Select the User folder.
  - b. Right-click to select New.
  - c. Select User.
  - d. Enter `tx3d` in the First name field, and then click Next.
  - e. Create a password, and then click Next.
  - f. Click Finish to create a host principal.
6. On the Windows Server 2000 machine, enter the **Ktpass** command from the command line to create a `tx3d.keytab` file and set up an AIX host account as follows:

```
Ktpass -princ host/tx3d.austin.ibm.com@MYREALM -mapuser tx3d -pass password -out tx3d.keytab
```

7. Copy the `tx3d.keytab` file to the AIX host system.
8. Merge the `tx3d.keytab` file into the `/etc/krb5/krb5.keytab` file on the AIX system as follows:

```
ktutil
rkt tx3d.keytab
wkt /etc/krb5/krb5.keytab
q
```

9. Create Windows domain accounts using the Active Directory user management tools.
10. To create AIX accounts that correspond to the Windows-domain accounts and use Kerberos authentication, run the following command:

```
mkuser registry=KRB5files SYSTEM=KRB5files foo
```

11. To log into the AIX system and verify the configuration, run the **telnet** command.

The following is an example of a Kerberos integrated login session that uses KRB5 against the Windows Active Directory:

```
telnet tx3d

Trying...
Connected to tx3d.austin.ibm.com.
Escape character is '^]'.

telnet (tx3d.austin.ibm.com)
login: foo
foo's Password:

* Welcome to AIX Version 6.1! *

echo $AUTHSTATE
KRB5files

/usr/krb5/bin/klist
```

```
Ticket cache: FILE:/var/krb5/security/creds/krb5cc_foo@AUSTIN.IBM.COM_203
Default principal: foo@AUSTIN.IBM.COM

Valid starting Expires Service principal
04/29/05 14:37:28 04/30/05 00:39:22 krbtgt/AUSTIN.IBM.COM@AUSTIN.IBM.COM
 Renew until 04/30/05 14:37:28

04/29/05 14:39:22 04/30/05 00:39:22 host/tx3d.austin.ibm.com@AUSTIN.IBM.COM
```

### *Configuring Windows Server 2003 Kerberos Service*

A Kerberos client can be configured against Windows Server 2003 Kerberos Service.

To configure an AIX client against Windows Server 2003 Kerberos Service, use the steps in [“Configuring Windows Server 2000 Kerberos Service”](#) on page 331.

**Note:** The NAS **kpasswd** client utility cannot change the password of a Kerberos principal on Windows Server 2003 Kerberos Service. Therefore, after successfully logging into an AIX system that is using Kerberos, the user cannot change the password on the Windows Server 2003.

### *Configuring Kerberos against Sun Solaris and HP-UX Kerberos Domain Controllers*

A Kerberos client can be configured against Sun Solaris and HP-UX Kerberos Domain Controllers.

Unlike the Kerberos environment against NAS on an AIX system, this environment does not provide Kerberos principal management. The KRB5 load module can be used in an environment where Kerberos principals are stored on a non-AIX system and cannot be managed from the AIX operating system by using the **kadmin** Kerberos database interface. The Kerberos principal management is performed separately by using Kerberos principal-management tools. These tools might be part of a Kerberos product developed by software vendors or integrated into an OS.

### *Configuring Sun Solaris*

A Kerberos client can be configured against Sun Solaris.

The Sun Enterprise Authentication Mechanism (SEAM) and AIX NAS client are interoperable at the Kerberos protocol level (RFC1510). Because the Solaris **kadmin** daemon interface is not compatible with the AIX NAS client **kadmin** interface, include the `-D` flag in the **mkkrb5clnt** command when you configure AIX clients. Use Solaris tools to do principal management on Solaris systems. Because the protocol for changing passwords is different between SEAM Kerberos servers and AIX NAS clients, changing the password of a principal causes the configuration to fail.

Solaris is used in the following example.

Use the following procedure to configure an AIX client for Kerberos-based authentication against SEAM.

1. Configure SEAM by using the Sun documentation.
2. If the NAS client is not installed on the AIX client, install the `krb5.client.rte` file set from the AIX Expansion Pack.
3. To configure an AIX Kerberos client, use the **mkkrb5clnt** command with the following configuration information:

**realm**

Solaris Kerberos realm name: AUSTIN.IBM.COM

**domain**

Domain name of the machine that hosts the Kerberos servers: Austin.ibm.com

**KDC**

Host name of the Solaris system that hosts the KDC: sunsys.austin.ibm.com

**server**

Host name of the Solaris system that hosts the **kadmin** daemon (usually the same as KDC): sunsys.austin.ibm.com

**Note:** Because the Solaris and AIX NAS client **kadmin** interfaces are different, the server name is not used by the NAS clients, and you must use the `-D` flag with the **mkkrb5clnt** command.

The following is an example of the **mkkrb5clnt** command:

```
mkkrb5clnt -r AUSTIN.IBM.COM -d austin.ibm.com\
-c sunsys.austin.ibm.com -s sunsys.austin.ibm.com -D
```

The **-D** option in the **mkkrb5clnt** command creates the **is\_kadmind\_compat=no** option in the `/etc/security/methods.cfg` file and configures the Kerberos client environment for authentication against non-AIX systems. Do not use the **-D** option in the **mkkrb5clnt** command to configure the Kerberos client environment for authentication against the IBM Network Authentication Service (NAS).

**Note:** When you run the **mkkrb5clnt** command, the following stanza is added to the `methods.cfg` file.

```
KRB5:
 program = /usr/lib/security/KRB5
 program_64 = /usr/lib/security/KRB5_64
 options = authonly,is_kadmind_compat=no

KRB5files:
 options = db=BUILTIN,auth=KRB5
```

For more information about:

- the **mkkrb5clnt** command and allowable flags, see the **mkkrb5clnt** command.
  - the `methods.cfg` file, see the `methods.cfg` file.
4. Use the Solaris **kadmin** tool to create a `host/tx3d.austin.ibm.com@MYREALM` host principal and save it to a file, similar to the following:

```
kadmin: add_principal -randkey host/tx3d.austin.ibm.com
Principal "host/tx3d.austin.ibm.com@AUSTIN.IBM.COM" created.

kadmin:ktadd -k /tmp/tx3d.keytab host/tx3d.austin.ibm.com
Entry for principal host/tx3d.austin.ibm.com with kvno 3,
 encryption type DES-CBC-CRC added to keytab WRFILE:/tmp/tx3d.keytab.

kadmin: quit
```

5. Copy the `tx3d.keytab` file to the AIX host system.
6. Merge the `tx3d.keytab` file into the `/etc/krb5/krb5.keytab` file on the AIX system as follows:

```
ktutil
rkt tx3d.keytab
l
slot KVNO Principal
wkt /etc/krb5/krb5.keytab
q
```

7. To create a Kerberos principal, use the Solaris **kadmin** tool .

```
add_principal sunuser
```

8. To create AIX accounts that correspond to the Solaris Kerberos principal and use Kerberos authentication, enter the following command:

```
mkuser registry=KRB5files SYSTEM=KRB5files sunuser
```

9. Use the **telnet** command to log into the AIX system with the `sunuser` user name and password, and verify the configuration.

The following is an example of a Kerberos integrated login session that uses KRB5 against the Solaris KDC:

```
telnet tx3d

echo $AUTHSTATE
KRB5files

echo $KRB5CCNAME
FILE:/var/krb5/security/creds/krb5cc_sunuser@AUSTIN.IBM.COM_207
```

```
View credentials:
/usr/krb5/bin/krlist
```

### Configuring HP-UX

A Kerberos client can be configured against HP-UX.

The steps to authenticate against HP-UX 11i are similar to the steps in “Configuring Sun Solaris” on page 333. The HP-UX KDC and AIX NAS client are interoperable at the Kerberos protocol level (RFC1510). Password change protocol is also compatible. Because the HP-UX **kadmind** daemon interface is not compatible with the AIX NAS client **kadmin** interface, you must include the **-D** flag with the **mkkrb5clnt** command when you configure AIX clients.

Use the following procedure to configure an AIX client for Kerberos-based authentication against HP-UX 11i Kerberos Version 2.1.

1. Configure HP-UX 11i Kerberos Version 2.1 using the HP documentation.
2. If the NAS client is not installed on the AIX client, install the `krb5.client.rte` file set from the AIX Expansion Pack.
3. Use the **mkkrb5clnt** command with the following configuration information to configure an AIX Kerberos client:

#### realm

HP Kerberos realm name: HPSYS.AUSTIN.IBM.COM

#### domain

Domain name of the machine that hosts the HP-UX Kerberos servers: austin.ibm.com

#### KDC

Host name of the HP-UX system that hosts the KDC: hpsys.austin.ibm.com

#### server

Host name of the HP-UX server: hpsys.austin.ibm.com

**Note:** Because the HP-UX and AIX NAS client **kadmin** interfaces are different, the server name is not used by the NAS clients, and the **-D** flag must be used in the **mkkrb5clnt** command.

The following is an example of the **mkkrb5clnt** command:

```
mkkrb5clnt -r AUSTIN.IBM.COM -d austin.ibm.com\
-c hpsys.austin.ibm.com -s hpsys.austin.ibm.com -D
```

The **-D** option in the **mkkrb5clnt** command creates the **is\_kadmind\_compat=no** option in the `/etc/security/methods.cfg` file and configures the Kerberos client environment for authentication against non-AIX systems. Do not use the **-D** option in the **mkkrb5clnt** command to configure the Kerberos client environment for authentication against the IBM Network Authentication Service (NAS).

**Note:** When you run the **mkkrb5clnt** command, the following stanza is added to the `methods.cfg` file.

```
KRB5:
 program = /usr/lib/security/KRB5
 program_64 = /usr/lib/security/KRB5_64
 options = authonly,is_kadmind_compat=no

KRB5files:
 options = db=BUILTIN,auth=KRB5
```

For more information about:

- the **mkkrb5clnt** command and allowable flags, see the **mkkrb5clnt** command.
- the `methods.cfg` file, see the `methods.cfg` file.

4. Modify the `krb5.conf` file so that the encryption type matches the value used during the HP-UX Kerberos setup (**krbsetup**). If a DES-CRC value is used, edit the `[libdefaults]` stanza in `krb5.conf` file on the AIX client as follows:

```
default_tkt_enctypes = des-cbc-crc
default_tgs_enctypes = des-cbc-crc
```

5. Use the HP-UX **kadmin\_ui** tool to create a `host/tx3d.austin.ibm.com` host principal.
6. Extract the key and save it to a file. From the Edit menu in `Principal Information` window, select `Extract Service Key` to extract the keys.
7. Copy the `tx3d.keytab` file to the AIX host system.
8. Merge the `tx3d.keytab` file into the `/etc/krb5/krb5.keytab` file on the AIX system as follows:

```
ktutil
rkt tx3d.keytab
l
slot KVNO Principal
wkt /etc/krb5/krb5.keytab
q
```

9. Use the HP-UX **kadmin\_ui** tool to create an `hpuser` Kerberos principal, then click the `Edit/Attribute` tab to clear the `pw_require` flag.
10. Create an AIX account that corresponds to the Kerberos principal on HP-UX, as follows:

```
mkuser registry=KRB5files SYSTEM=KRB5files hpuser
```

11. Use the **telnet** command to log into the AIX system with the `hpuser` user name and password, and verify the configuration.

The following is an example of a Kerberos integrated login session that uses KRB5 against HP-UX:

```
telnet tx3d

echo $AUTHSTATE
KRB5files

View credentials:
/usr/krb5/bin/klist
```

12. Use the **passwd** command to change the password.

**Note:** The HP-UX password policy is enforced while changing the password. Refer to HP-UX documentation to determine how to set the password policy.

#### *Kerberos against non-AIX systems: questions and troubleshooting information*

This provides answers to questions about Kerberos clients that are using a Kerberos server on non-AIX systems.

**Note:** The Microsoft Active Directory Server is used in the following examples. However, these examples can also be applied to Solaris and HP systems.

As a first step in troubleshooting, make sure all of the servers and daemons are running.

Kerberos against non-AIX systems uses the `syslog` subsystem to write information about errors and debugging. To learn more about `syslog` logging, see the **syslogd** daemon.

#### • **How do I create an AIX user?**

Create an AIX user account (`foo`) by running the following command:

```
mkuser registry=KRB5files SYSTEM=KRB5files foo
```

The **mkuser** command creates a user on AIX. You must also create an account for the user on Windows Server Active Directory that corresponds to the AIX account. Creating a user account on Windows Server Active Directory implicitly creates the principals.

- **How do I remove a Kerberos authenticated user?**

To remove a Kerberos authenticated user, run the following command:

```
rmuser -R KRB5files foo
```

The **rmuser** command removes a user from AIX. You must also remove the user from the Windows Server Active Directory by using the Windows Server user management tools.

- **How do I change the password of a Kerberos authenticated user?**

To change the password of a Kerberos authenticated user, run the following command:

```
passwd -R KRB5files foo
```

If the KDC supports the **kpasswd** command, the **passwd** command changes the password of the Kerberos principal `foo@MYREALM` on the Kerberos Server.

- **How do I allow users to change expired passwords on the client?**

To allow users to change expired passwords on the client, add the `allow_expired_pwd=yes` option to the `methods.cfg` file. When this option is set to yes, users with expired passwords are prompted to change their expired passwords. If the option is set to no or not present, the users cannot be authenticated.

```
KRB5:
 program = /usr/lib/security/KRB5
 options = authonly,allow_expired_pwd=yes
```

- **How do I convert an AIX user to a Kerberos authenticated user?**

To convert an AIX user to a Kerberos authenticated user, do the following:

1. Verify that the user has an account on the Windows Server Active Directory by running the following command:

```
chuser registry=KRB5files SYSTEM=KRB5files foo
```

2. If the user does not have an account on Active Directory, create an account on Active Directory and set the `SYSTEM` and `registry` attributes by using the **chuser** command. The Active Directory account might not have the same user name as the AIX user name. If a different name is used for the AIX user name, use the `auth_name` attribute to map it to the Active Directory name.

```
chuser registry=KRB5files SYSTEM=KRB5files auth_name=Christopher chris
```

- **What do I do if the Password is forgotten?**

If the password is forgotten, it must be changed by the Active Directory administrator. An AIX root user cannot set the password of an Active Directory Kerberos principal.

- **What is the purpose of the `auth_name` and `auth_domain` attributes?**

**Note:** These attributes are optional. If an AIX system supports user names that are greater than eight characters long, the `auth_name` attribute might not be needed.

The `auth_name` and `auth_domain` attributes map AIX user names to Kerberos principal names on the KDC. For example, if the AIX user, `chris`, has the attributes `auth_name=christopher` and `auth_domain=SOMEREALM`, then the Kerberos principal name is `christopher@SOMEREALM`. By using the `auth_domain` attribute, requests are sent to the `SOMEREALM` realm name instead of the default realm name. This allows the user `chris` to authenticate to the `SOMEREALM` realm instead of to the `MYREALM` realm. In this example, the `krb5.conf` file must also be modified to include the `SOMEREALM` realm name.

- **Can a Kerberos-authenticated user be authenticated by using standard AIX authentication?**

Yes, a Kerberos-authenticated user can be authenticated with standard AIX authentication by doing the following:

1. Set the AIX password (/etc/security/passwd) using the **passwd** command:

```
passwd -R files foo
```

2. Change the user's registry and SYSTEM attributes, as follows:

```
chuser -R KRB5files registry=files SYSTEM=compat foo
```

This command changes authentication from Kerberos to compat (which uses the crypt subroutine). The next time a login is attempted by user foo, the local password from the /etc/security/passwd file is used.

You can also use crypt authentication as a backup mechanism by changing the SYSTEM attribute to allow local authentication when Kerberos authentication fails, as follows:

```
chuser -R KRB5files SYSTEM="KRB5files or compat" foo
```

• ***Do I Need to set up a Kerberos server on AIX when I use Windows Server 2000 Kerberos Service?***

No, you do not need to configure the a Kerberos server (KDC) on an AIX client because users are authenticating against an Active Directory KDC. If you plan to use AIX Network Authentication Service KDC as the Kerberos server for some other purpose, then the Kerberos server must be configured.

• ***What should I do if AIX does not accept my password?***

If AIX does not accept your password, do the following:

- Ensure that the client is communicating with the Windows 2000 Active Directory Server
- Ensure that the password meets the requirements of both AIX and Windows Server 2000 Active Directory. Refer to Change Show Policy for information about changing password policy rules on AIX.

**Note:** You cannot change the password for Windows Server 2003 Kerberos Service.

• ***What should I do if I cannot log into the system?***

If you cannot log into the system, do the following:

- On a Windows system, verify that the KDC is running by doing the following:
  1. In the Control Panel, select Administrative Tools icon.
  2. Select the Services icon.
  3. Verify that the Kerberos Key Distribution Center is in the started state.
- On an AIX system, verify that the /etc/krb5/krb5.conf file points to the correct KDC, and that it has valid parameters.
- On an AIX system, verify that client-keytab file contains the host key. For example, if the default keytab file is /etc/krb5/krb5.keytab, run the following:

```
ktutil
rkt /etc/krb5/krb5.keytab
l
```

- Verify that the output of the **kvno** command that is in the keytab file matches the output from the **Ktpass** command.
- Verify that, if auth\_name and auth\_domain attributes are set, they refer to a valid principal name on the Active Directory KDC.
- Verify that the SYSTEM attribute is set for Kerberos login.
- Verify that the password is not expired.

• ***How can I disable ticket-granting ticket verification?***

You can disable ticket-granting ticket verification by specifying an option in the /usr/lib/security/methods.cfg file under the KRB5 stanza as follows:

```
KRB5:
program = /usr/lib/security/KRB5
```

```
options = tgt_verify=no
KRB5files:
options = db=BUILTIN,auth=KRB5
```

The possible values for the `tgt_verify` option are `no` or `false` for disabling ticket-granting ticket verification, and `yes` or `true` for enabling ticket-granting ticket verification. By default, the ticket-granting ticket verification is enabled. When you set the `tgt_verify` option to `no`, the ticket-granting ticket verification is disabled, and you do not need to transfer the host-principal keys. This change only eliminates the need of the keytab file for authentication purposes. Other Kerberos-enabled applications may require the keytab file for host and service principals.

- ***What should I do if I cannot log in because a host name does not resolve and the fully-qualified host name fails?***

The ticket-granting ticket verification requires that a `host/<host_name>` principal is created on the KDC. This host name is the fully qualified name of the client where authentication is performed. The client system requests a service ticket by using the host principal name `host/<host_name>`. In some configurations, the client machine is unable to obtain the fully-qualified host name and instead, it gets a short name. In such instances, a mismatch occurs, the ticket-granting ticket verification fails, and the login fails. For example, if `/etc/hosts` has only the short name and the `/etc/netsvc.conf` file specifies `hosts=local,bind`, then the name resolution returns the short name.

To correct name-resolution problems, do one of the following:

- Modify the name-resolution order in the `/etc/netsvc.conf` file so that the fully-qualified host name is returned. The `netsvc.conf` file specifies the sequential order for resolving host names and aliases.

In the following example, the resolver uses the BIND service to resolve the host name. If BIND service fails, the resolver uses the `/etc/hosts` file. If both methods fail, the resolvers use `nis`.

```
hosts=bind,local,nis
```

If the first method used in the search order must be `local`, change the short name (`myhost`) in the `/etc/hosts` file to a fully-qualified host name (`myhost.austin.ibm.com`).

- If the ticket-granting ticket verification is not required, you can find instructions for disabling ticket-granting ticket verification in [How can I disable ticket-granting ticket verification?](#).
- ***Why does the `passwdexpired` subroutine return 0 when the kerberos user password is expired on the non-AIX kerberos server?***

The `passwdexpired` subroutine returns 0 because the password expiration information cannot be obtained directly from the non-AIX kerberos server due to incompatibility or unavailability of the `kadmin` interfaces.

The `allow_expired_pwd` flag in the `methods.cfg` file enables AIX to get the password expiration information using the kerberos authentication interfaces. The actual status of the password expiration information is obtained either during the login or by calling the `authenticate` subroutine and the `passwdexpired` subroutine.

## Kerberos module

The Kerberos module is a kernel extension used by the NFS client and server code. It allows the NFS client and server code to process Kerberos message integrity and privacy functions without making calls to the `gss` daemon.

The Kerberos module is loaded by the `gss` daemon. The methods used are based on Network Authentication Service version 1.2, which is, in turn, based on MIT Kerberos.

The location of the Kerberos module is: `/usr/lib/drivers/krb5.ext`.

For related information, see the `gss` daemon.

## Related information

[IBM developerWorks Resources on the IBM Network Authentication Service and related technologies for AIX](#)

## Remote authentication dial-in user service server

IBM's Remote Authentication Dial-In User Service (RADIUS) is a network access protocol designed to do authentication, authorization, and accounting. It is a port-based protocol that defines the communications between Network Access Servers (NAS) and authentication and accounting servers.

A NAS operates as a client of RADIUS. Transactions between the client and the RADIUS server are authenticated through the use of a *shared secret*, which is not sent over the network. Any user passwords sent between the client and the RADIUS server are encrypted.

The client is responsible for passing user information to designated RADIUS servers and then acting on the response that is returned. RADIUS servers are responsible for receiving user connection requests, authenticating the user, and then returning all configuration information necessary for the client to deliver service to the user. A RADIUS server can act as a proxy client to other RADIUS servers when advanced proxy information is configured. RADIUS uses User Datagram Protocol (UDP) as the transport protocol.

The RADIUS authentication and authorization protocol is based on the IETF RFC 2865 standard. The server also provides the accounting protocol defined in RFC 2866. Other standards supported are RFC 2284 (EAP), parts of RFC 2869, the password expiration messages of RFC 2882, MD5-Challenge, and TLS. For more information on these RFCs, see the following links:

### IETF RFC 2865

<http://www.ietf.org/rfc/rfc2865.txt>

### RFC 2866

<http://www.ietf.org/rfc/rfc2866.txt>

### RFC 2284

<http://www.ietf.org/rfc/rfc2284.txt>

### RFC 2869

<http://www.ietf.org/rfc/rfc2869.txt>

### RFC 2882

<http://www.ietf.org/rfc/rfc2882.txt>

You can also view all of these RFC standards at <http://www.ietf.org>.

## Installing the RADIUS server

You can install the RADIUS server using either the **installp** command or SMIT. The RADIUS software is on the AIX base media, and the image names are radius.base and bos.msg.<lang>.rte.

If you plan to use the LDAP directory as your information database to store user names and passwords, you must install the ldap.server. The **installp** software must be installed on each RADIUS server installation.

If you plan to use EAP-TLS authentication (for example, for authenticating digital certificates on a wireless network), you must also install OpenSSL 0.9.7 or later and supply the full path to the libssl.a library in the `/etc/radius/radiusd.conf` configuration file.

The RADIUS daemons can be started using the **radiusctl** command. When started, there are multiple radiusd processes running, one each for the following:

- authorization
- accounting
- monitoring other daemons

Upon reboot, the daemons are automatically started at run level 2 unless RADIUS is configured for EAP-TLS..

To change this routine, modify the `/etc/rc.d/rc2.d/Sradiusd` file.

**Note:** If RADIUS is configured to authenticate digital certificates using EAP-TLS, the daemons cannot be configured to start automatically because the certificate passphrase must be entered by an administrator, which requires a manual start and restart of RADIUS using the **radiusctl** command.

## Stopping and restarting RADIUS

You must stop and restart the **radiusd** daemons whenever changes are made to the RADIUS server's `/etc/radius/radiusd.conf` configuration file, or to the default authorization files, `/etc/radius/authorization/default.policy` or `/etc/radius/authorization/default.auth`. This can be handled from SMIT or from a command line.

To start, restart, and stop the RADIUS server, use the following commands:

```
radiusctl start
radiusctl restart
radiusctl stop
```

Stopping and starting RADIUS is necessary because the daemon must build a memory table of all default attributes contained in the above configuration files. Shared memory is used for each local user and the local user table only gets built at daemon initialization time for performance reasons.

### *On-demand feature*

You can start multiple RADIUS authentication and accounting server daemons as needed.

Each server listens on a separate port. The `radiusd.conf` file is shipped with a default port number of 1812 for authentication and 1813 for accounting. These are IANA assigned port numbers. By updating `radiusd.conf`, these port numbers, along with other ports (multiples) as needed, can be used. Be sure to use port numbers that are not assigned to existing services. When multiple port numbers are entered in the **Authentication\_Ports** and **Accounting\_Ports** fields in the `radiusd.conf` file, a **radiusd** daemon is started for each port. The daemons will listen on their respective port number.

## RADIUS configuration files

The RADIUS daemon uses several configuration files. Sample versions of these files are shipped in the RADIUS package.

All configuration files are owned by the root user and the security group. You can edit all of the configuration files, except the dictionary file, with the System Management Interface Tool (SMIT). The server must be restarted before any modifications to the configuration files will take effect.

### *radiusd.conf file*

The `radiusd.conf` file contains the configuration parameters for RADIUS.

By default, RADIUS searches for the `radiusd.conf` file in the `/etc/radius` directory. Configuration file entries must be in the formats as shown in the file. RADIUS accepts only valid keywords and values, and uses the default if a valid keyword or value is not used. When you launch the RADIUS daemons, check the SYSLOG output for configuration parameter errors. Not all configuration errors lead to the server stopping.

This file should be appropriately read-protected and write-protected because it affects the behavior of authentication and accounting servers. Also, confidential data might exist in the file.

**Important:** If you edit the `radiusd.conf` file, do not change the order of the entries. SMIT panels rely on the order.

The following is an example of the `radiusd.conf` file:

```
#-----#
CONFIGURATION FILE
#
By default RADIUS will search for radiusd.conf in the
/etc/radius directory.
#
Configuration file entries need to be in the below
```

```

formats. RADIUS will accept only valid "Keyword : value(s)",
and will use defaults, if "Keyword : value(s)" are not
present or are in error.
#
It is important to check the syslog output when launching
the radius daemons to check for configuration parameter
errors. Once again, not all configuration errors will lead to
the server stopping.
#
Lastly, this file should be appropriately read/write protected,
because it will affect the behavior of authentication and
accounting, and confidential or secretive material may
exist in this file.
#
IF YOU ARE EDITING THIS FILE, DO NOT CHANGE THE ORDER OF THE
ENTRIES IN THIS FILE. SMIT PANELS DEPEND ON THE ORDER.
#
#-----#
#-----#
Global Configuration
#
RADIUSdirectory : This is the base directory for the RADIUS
daemon. The daemon will search this
directory for further configuration files.
#
Database_location : This is the value of where the
authentication (user ids & passwords)
will be stored and retrieved.
Valid values: Local, LDAP, UNIX
UNIX - User defined in AIX system
Local - Local AVL Database using raddbm
LDAP - Central Database
#
Local_Database : This indicates the name of the local
database file to be used.
This field must be completed if the
Database location is Local.
#
Debug_Level : This pair sets the debug level at which
the RADIUS server will run. Appropriate
values are 0,3 or 9. The default is 3.
Output is directed to location specified
by *.debug stanza in /etc/syslog.conf
#
Each level increases the amount of messages
sent to syslog. For example "9" includes
the new messages provided by "9" as well
as all messages generated by level 0 and 3.
#
0 : provides the minimal output to the
syslogd log. It sends start up
and end messages for each RADIUS
process. It also logs error
conditions.
#
3 : includes general ACCESS ACCEPT, REJECT
and DISCARD messages for each packet.
This level provides a general audit
trail for authentication.
#
9 : Maximum amount of log data. Specific
values of attributes while a
transaction is passing thru
processing and more.
[NOT advised under normal operations]
#
#-----#
RADIUSdirectory : /etc/radius
Database_location : UNIX
Local_Database : dbdata.bin
Debug_Level : 3
#-----#
Accounting Configuration
#
Local_Accounting : When this flag is set to ON or TRUE a file
will contain a record of ACCOUNTING START
and STOP packets received from the Network
Access Server(NAS). The default log file
is:
/var/radius/data/accounting

```



```

6666 : port 6666
#
#-----#
Authentication_Ports : 1812
Accounting_Ports : 1813
#-----#
LDAP Directory User Information
#
Required if RADIUS is to connect to a LDAP Version 3 Directory
and the Database_location field=LDAP
#
LDAP_User : User ID which has admin permission to connect
to the remote (LDAP) database. This is the
the LDAP administrator's DN.
#
LDAP_User_Pwd : Password associated with the above User Id
which is required to authenticate to the LDAP
directory.
#
#-----#
LDAP_User : cn=root
LDAP_User_Pwd :
#-----#
LDAP Directory Information
#
If the Database_location field is set to "LDAP" then the
following fields need to be completed.
#
LDAP_Server_name : This field specifies the fully qualified
host name where the LDAP Version 3
Server is located.
LDAP_Server_Port : The TCP port number for the LDAP server
The standard LDAP port is 389.
LDP_Base_DN : The distinguished name for search start
LDAP_Timeout : # seconds to wait for a response from
the LDAP server
LDAP_Hoplimit : maximum number of referrals to follow
in a sequence
LDAP_Sizelimit : size limit (in entries) for search
LDAP_Debug_level : 0=OFF 1=Trace ON
#
#-----#
LDAP_Server_name :
LDAP_Server_port : 389
LDAP_Base_DN : cn=aixradius
LDAP_Timeout : 10
LDAP_Hoplimit : 0
LDAP_Sizelimit : 0
LDAP_Debug_level : 0
#-----#
PROXY RADIUS Information
#
Proxy_Allow : ON or OFF. If ON, then the server
can proxy packets to realms it
knows of and the following
fields must also be configured.
Proxy_Use_Table : ON or OFF. If ON, then the server
can use table for faster
processing of duplicate requests
Can be used without proxy ON, but
it is required to be ON if
Proxy_Use_Table is set to ON.
Proxy_Realm_name : This field specifies the realm
this server services.
Proxy_Prefix_delim : A list of separators for parsing
realm names added as a prefix to
the username. This list must be
mutually exclusive to the Suffix
delimiters.
Proxy_Suffix_delim : A list of separators for parsing
realm names added as a suffix to
the username. This list must be
mutually exclusive to the Prefix
delimiters.
Proxy_Remove_Hops : YES or NO. If YES then the
will remove its realm name, the
realm names of any previous hops
and the realm name of the next
server the packet will proxy to.
#
Proxy_Retry_count : The number of times to attempt

```

```

to send the request packet.
#
Proxy_Time_Out : The number of seconds to wait
in between send attempts.
#
#-----#
Proxy_Allow : OFF
Proxy_Use_Table : OFF
Proxy_Realm_name :
Proxy_Prefix_delim : $/
Proxy_Suffix_delim : @.
Proxy_Remove_Hops : NO
Proxy_Retry_count : 2
Proxy_Time_Out : 30
#-----#
Local Operating System Authentication Configuration
#
UNIX_Check_Login_Restrictions : ON or OFF. If ON, during
local operating system authentication, a call to
loginrestrictions() will be
made to verify the user has
no local login restrictions.
#
#-----#
UNIX_Check_Login_Restrictions : OFF
#-----#
Global IP Pooling Flag
#
Enable_IP_Pool : ON or OFF. If ON, then RADIUS Server will do
IP address assignment from a pool of addresses
defined to the RADIUS server.
#
#-----#
Enable_IP_Pool : OFF
#-----#
Send Accept MA: ON or OFF. Some NAS's dislike it if Message
Authenticators (MA's) are present in an ACCEPT
message. Use this option to disable sending MA
when sending an ACCEPT.
#
NOTE: Sometimes these same NAS's do not like custom ACCEPT
messages either.
#
#-----#
Send_Accept_MA : ON
#-----#
#
Maximum_Threads : The number of threads that will get
spawned to handle authentication
requests. If nothing is specified
RADIUS defaults to 10.
#
#-----#
Maximum_Threads : 99
#-----#
#
EAP_Conversation_Timeout : The number of seconds to wait
before a conversation becomes
stale and gets deleted.
#
NOTE: This prevents Denial-of-Service (DoS) attacks on the
RADIUS Authentication Server. You may need to increase
the value of this timeout if your network has high
latency.
#
#-----#
EAP_Conversation_Timeout : 30
#-----#
Global EAP-TLS (eap-tls) Configuration Settings:
#
Examples:
#
Enable_EAP-TLS : ON or OFF. If ON, then the server
can use OpenSSL to authenticate users
using EAP-TLS. These users must first
have an EAP authentication type of 13
(or EAP-TLS). This setting is found in
smitty, using: 'smitty rad_conf_users'
#
NOTE: The following attributes below are completely ignored
if the above 'Enable_EAP' attribute is not 'ON'.
#

```

```

#
OpenSSL_Library : /opt/freeware/lib/libssl.a(libssl.so.0.9.7)
OpenSSL_Ciphers : ALL:!ADH:RC4+RSA:+SSLv2:@STRENGTH
RootCA_Dir : /etc/radius/tls
RootCA_File : /etc/radius/tls/cacert.pem
Server_Cert_File : /etc/radius/tls/cert-srv.pem
Server_PrivKey_File : /etc/radius/tls/cert-srv.pem
Server_CRL_File : /etc/radius/tls/crl.pem
#
NOTE: Server_Cert_File and Server_PrivKey_File can be the
same file if the file is of the following format (but
in any order):
#
-----BEGIN RSA PRIVATE KEY-----
Proc-Type: 4, ENCRYPTED
<rsa private key data here>
-----END RSA PRIVATE KEY-----
-----BEGIN CERTIFICATE-----
<certificate data here>
-----END CERTIFICATE-----
#-----
Enable_EAP-TLS : ON
OpenSSL_Library : /opt/freeware/lib/libssl.a(libssl.so.0.9.7)
OpenSSL_Ciphers : ALL:!ADH:RC4+RSA:+SSLv2:@STRENGTH
RootCA_Dir : /etc/radius/tls
RootCA_File : /etc/radius/tls/radiusdcacert.pem
Server_Cert_File : /etc/radius/tls/cert-srv.pem
Server_PrivKey_File : /etc/radius/tls/cert-srv.pem
Server_CRL_File :

```

The EAP authentication methods for each user can be set with SMIT. To set the EAP methods for each user, perform the following steps:

```

Radius Server
 -> Configure users
 -> Local Database
 LDAP Directory
 -> Add a user
 Change/Show Characteristics of a user
 ->
 Login User ID []
 EAP Type [0 2 4]
 Password Max Age

```

When EAP Type is selected, the following choices are available:

- 0 None
- 2 MD5 - Challenge
- 4 TLS

The selected EAP method is compared with the authentication method sequence that is set in the `radiusd.conf` file to perform authentication.

### ***/etc/radius/clients file***

The `clients` file contains a list of clients that are allowed to make requests of the RADIUS server.

Typically, for each client, NAS or AP, you must enter the client IP address along with the shared secret between the RADIUS server and the client and an optional *poolname* for IP pooling.

The file consists of entries in the following form:

```
<Client IP Address> <Shared Secret> <Pool Name>
```

A sample entry list appears as follows:

```
10.10.10.1 mysecret1 floor6
10.10.10.2 mysecret2 floor5
```

A shared secret is a character string that is configured on both the client hardware and on the RADIUS server. The maximum length of the shared secret is 256 bytes and is case sensitive. The shared secret is not sent in any of the RADIUS packets and is never sent over the network. System administrators must make sure the exact secret is configured on both sides (client and RADIUS server). The shared secret is used for encrypting the user password information and can be used for verifying message integrity by the use of a Message Authentication attribute.

Each client's shared secret should be unique in the `/etc/radius/clients` file and, like any good password, it is best to use a mixture of uppercase/lowercase letters, numbers, and symbols in the secret. To keep a shared secret secure, make it at least 16 characters in length. The `/etc/radius/clients` file can be modified using SMIT. The shared secret should be changed often to prevent dictionary attacks.

The *poolname* is the name of the pool from which global IP addresses are allocated during dynamic translation. The system administrator creates the *poolname* when setting up the RADIUS server. Using a SMIT panel, the *poolname* is added from **Configure Proxy Rules > IP Pool > Create an IP Pool**. It is used during server side IP pooling.

### ***/etc/radius/dictionary file***

The dictionary file contains descriptions of the attributes that are defined by the RADIUS protocol and supported by the AIX RADIUS Server.

It is used by the RADIUS daemon when validating and creating packet data. Vendor-specific attributes should also be added here. The dictionary file can be modified using any editor. There is no SMIT interface.

The following is part of a sample dictionary file:

```
#####
#
This file contains dictionary translations for parsing
requests and generating responses. All transactions are
composed of Attribute/Value Pairs. The value of each attribute
is specified as one of 4 data types. Valid data types are:
#
string - 0-253 octets
ipaddr - 4 octets in network byte order
integer - 32 bit value in big endian order (high byte first)
date - 32 bit value in big endian order - seconds since
00:00:00 GMT, Jan. 1, 1970
#
Enumerated values are stored in the user file with dictionary
VALUE translations for easy administration.
#
Example:
#
ATTRIBUTE VALUE

Framed-Protocol = PPP
7 = 1 (integer encoding)
#
#####
ATTRIBUTE User-Name 1 string
ATTRIBUTE User-Password 2 string
ATTRIBUTE CHAP-Password 3 string
ATTRIBUTE NAS-IP-Address 4 ipaddr
ATTRIBUTE NAS-Port 5 integer
ATTRIBUTE Service-Type 6 integer
ATTRIBUTE Framed-Protocol 7 integer
ATTRIBUTE Framed-IP-Address 8 ipaddr
ATTRIBUTE Framed-IP-Netmask 9 ipaddr
ATTRIBUTE Framed-Routing 10 integer
ATTRIBUTE Filter-Id 11 string
.
.
.
```

**Note:** Any attribute that is defined in the `default.policy` file or the `default.auth` file (or for a specific `user_id.policy` or `user_id.auth` file), must be a valid RADIUS attribute as defined in the local AIX dictionary configuration file. If an attribute is not found in the dictionary, the **radiusd** daemon does not load and an error message is logged.

**Note:** If the dictionary, the default.policy file and the default.auth file, for the system is modified, you must restart the RADIUS daemons by running the **stopsrc** command and the **startsrc** command or by using SMIT.

### ***/etc/radius/proxy file***

The /etc/radius/proxy file is a configuration file that supports the proxy feature. This file maps known realms that the proxy server can forward packets to.

The /etc/radius/proxy file uses the IP address of the server that handles packets for that realm and the shared secret between the two servers.

The file contains the following fields that you can modify with SMIT:

- **Realm Name**
- **Next Hop IP address**
- **Shared Secret**

The following is an example of a /etc/radius/proxy file:

#### **Note:**

The shared secret should be 16 characters in length. The same shared secret must be configured on the RADIUS server next hop.

```
@(#)91 1.3 src/rad/usr/sbin/config_files/proxy, radconfig, radius530 1/23/04 13:11:14
#####
#
This file contains a list of proxy realms which are
authorized to send/receive proxy requests/responses to/from
this RADIUS server and their Shared secret used in encryption.#
#
The first field is the name of the realm of the remote RADIUS
Server.
#
The second field is a valid IP address for the remote RADIUS
Server.
#
The third column is the shared secret associated with this
realm.
#
NOTE: This file contains sensitive security information and
precautions should be taken to secure access to this
file.
#
#####
REALM NAME REALM IP SHARED SECRET
#-----
myRealm 10.10.10.10 sharedsec
```

## **Authentication**

Traditional authentication uses a name and a fixed password and generally takes place when the user first logs in to a machine or requests a service. RADIUS relies on an authentication database to store user IDs, passwords, and other information.

For user authentication, the server can use a local database, UNIX passwords or LDAP. Database location is configured in the server's /etc/radius/radiusd.conf file during setup, or by updating the file through SMIT. See [“RADIUS configuration files” on page 341](#) for more information on RADIUS configuration files.

### ***User databases***

The RADIUS software can use different databases to store user information.

You can use a local, UNIX, or LDAP database to store user information.

## UNIX

The UNIX authentication option allows RADIUS to use the local system authentication method to authenticate the user.

To use local UNIX authentication, edit the `radiusd.conf` file's **database\_location** field, or select UNIX in SMIT's Database Location field. This authentication method calls the `UNIX authenticate()` application program interface (API) to authenticate a user ID and password. Passwords are saved in the same data file that UNIX uses, such as `/etc/passwords`. User IDs and passwords are created using the **mkuser** command or through SMIT.

To use the UNIX database, select UNIX in the **Database Location** field as shown below:

```
Configure Server
RADIUS Directory /etc/radius
*Database Location [UNIX]
Local AVL Database File Name [dbdata.bin]
Local Accounting [ON]

Debug Level [3]
.
.
```

## Local

If either the `radiusd.conf` file's **database\_location** field or SMIT's Database Location entry contains the word `Local`, then the RADIUS Server will use `/etc/radius/dbdata.bin` as the location for all of the user IDs and passwords.

The local user database is flat file that contains the user ID and password information. Passwords are saved in a hashed format. Hashing is a fast addressing technique for directly accessing data in the memory space. To add, delete, or modify user passwords, run the **raddbm** command or use SMIT. When the **radiusd** daemon starts, it reads the `radiusd.conf` file and loads the user IDs and passwords into memory.

**Note:** The maximum user ID length is 253 characters and the maximum password length is 128 characters.

To use the local user database, select `Local` in the Database Location field as shown below:

```
Configure Server
RADIUS Directory /etc/radius
*Database Location [Local]
Local AVL Database File Name [dbdata.bin]
Local Accounting [ON]

Debug Level [3]
.
.
```

## LDAP

RADIUS can use LDAP Version 3 to store remote user data.

RADIUS will use LDAP Version 3 API calls to access user data remotely. LDAP Version 3 access occurs if the **database\_location** field in the `/etc/radiusd.conf` file is set to LDAP and the server name, the LDAP administrator user ID, and LDAP administrator password are configured.

AIX uses the LDAP Version 3 client libraries that are supported and packaged in the IBM Tivoli Directory Server. LDAP is a scalable protocol and the benefit of using LDAP is that user and in-process data can be located in a centralized location, easing administration of the RADIUS server. You can use the command line utility, **ldapsearch**, to view any of the RADIUS data.

Also, LDAP must be configured and administered before it can be used for RADIUS.

The RADIUS server provides LDAP `ldif` files to add the RADIUS schema, including object classes and attributes, to a directory, but you must set up and configure LDAP.

A separate suffix is created specifically for RADIUS to use the RADIUS LDAP objects. This suffix is a container with the name `cn=aixradius`, and it contains two object classes as described in [“RADIUS LDAP server configuration” on page 350](#). You apply a RADIUS-supplied `ldif` file that creates the suffix and RADIUS schema.

When you use LDAP as the authentication database you get the following features:

1. A user database that can be seen and accessed from all RADIUS servers
2. A list of active users
3. The feature of allowing a maximum number of logins per user ID
4. An EAP type that can be configured per user
5. A password expiration date.

To use the LDAP database, select LDAP in the **Database Location** field as shown below:

```
Configure Server
RADIUS Directory /etc/radius
*Database Location [LDAP]
Local AVL Database File Name [dbdata.bin]
Local Accounting [ON]
Debug Level [3]
.
.
.
```

## Related information

### [IBM Directory Server](#)

#### *RADIUS LDAP server configuration*

When LDAP user authentication is configured, the LDAP server schema must be updated. The LDAP system administrator must add AIX RADIUS defined attributes and objectclasses to the LDAP directory before defining LDAP RADIUS users.

You must add a suffix to the LDAP server. The suffix for RADIUS is named `cn=aixradius`. A suffix is a distinguished name that identifies the top entry in a directory hierarchy.

When a suffix is added, the LDAP directory has an empty container. A *container* is an empty entry that can be used to partition the namespace. A container is similar to a file system directory, where it can have directory entries beneath it. User profile information can then be added to the LDAP directory through SMIT. The LDAP administrator ID and password are stored in the `/etc/radius/radiusd.conf` file and can be configured through SMIT on a RADIUS server.

To organize the information stored in LDAP directory entries, the schema defines object classes. An object class consists of a set of required and optional attributes. Attributes are in the form of `type=value` pairs, in which the type is defined by a unique object identifier (OID) and the value has a defined syntax. Every entry in the LDAP directory is an instance of an object.

**Note:** The object class, by itself, does not define a directory information tree or namespace. This only occurs when entries are created and the specific instance of object classes are given unique distinguished names. For example, when a container object class is given a unique DN, it can then be associated with two other entries which are instances of the object class organizational unit. The result is a tree-like structure or namespace.

Object classes are specific to the RADIUS server and are applied from an `ldif` file. Some of the attributes are existing LDAP schema attributes and some are specific to RADIUS. The new RADIUS object classes are structural and abstract.

For security purposes, the binds to the LDAP server use the SASL API call, `ldap_bind_s` which will include the DN and, CRAM-MD5 as the authentication method, and the LDAP administrator password. This will transmit message digests rather than the password themselves over the network. CRAM-MD5 is a security mechanism where there is not special configuration necessary on either side (client or server).

**Note:** All of the attributes in the object classes are single-value.

### *RADIUS LDAP namespace*

The RADIUS LDAP namespace has the `cn=aixradius` container as the top of its hierarchy. Below `cn=aixradius`, there are two organizational units (OUs). These OUs are containers that help make the entries unique.

The following figure graphically depicts the RADIUS LDAP schema. This figure shows containers and organizational units all represented by circles and connected by lines or branches. The `aixradius` container, in the center, branches down to two organizational units: `ibm-radiususer` and `ibm-radiusactiveusers`. Below the `ibm-radiususer` container are implied `userid`, `password` and `maxLogin` containers. Below the `ibm-radiusactiveusers` container are implied `userid +`, `login number`, `login status` and `session_id` containers. Above the `aixradius` container is the `aixsecurity` container and the root container is at the top.

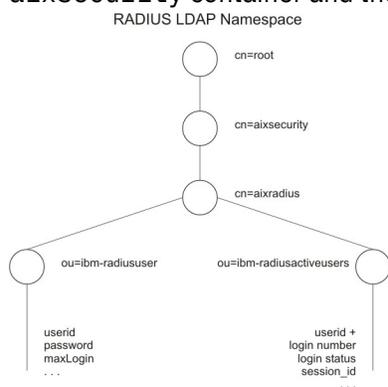


Figure 18. RADIUS LDAP Namespace

### *LDAP namespace schema files*

The LDAP schema files define object classes and RADIUS-specific attributes for the LDAP namespace.

The following LDAP schema files are located in the `/etc/radius/ldap` directory:

#### **IBM.V3.radiusbase.schema.ldif**

This file defines top level object class for the RADIUS server (`cn=aixradius`). The file also creates the following branches under the `cn=aixradius` object class:

```
ou=ibm-radiususer
ou=ibm-radiusactiveusers
```

You can add the required information by using the following command:

```
ldapadd -D ldap_admin_id -w password -i /etc/radius/ldap/IBM.V3.radiusbase.schema.ldif
```

You can run this command on the LDAP server system, or you can run it remotely with the `-h` (host system name) option.

#### **IBM.V3.radius.schema.ldif**

This file defines the RADIUS-specific attributes and object classes.

You can add the new RADIUS attributes and object classes by typing the following command:

```
ldapmodify -D ldap_admin_id -w password -i /etc/radius/ldap/IBM.V3.radius.schema.ldif
```

You must also specify LDAP as the database location through SMIT and enter the LDAP server name and administrator password. After you do this, you can add RADIUS LDAP users to the directory through SMIT.

#### *User profile object class*

LDAP user profiles must be entered into the system before the RADIUS server can authenticate a user to the system. Profiles contain the user ID and password.

User profile objects provide the data about the specific individuals that have access to the network and contain authentication information. The **ibm-radiusUserInstance** object class is accessed synchronously with the LDAP API calls from the daemon. The unique field, which is the start of the DN is the user ID. The **MaxLoginCount** field limits the number of times the LDAP user can log in.

#### *Active login list object class*

The LDAP active login list represents the data that contains information about the users currently logged in.

There are multiple records per user with a starting record of `login_number = 1`, up to the `MaxLoginCount` number of 5. The session ID is taken from the RADIUS `start_accounting` message. The partially completed records are created when an `ibm-radiusUserInstance` object is created. This means that most of the fields are empty before RADIUS accounting packets are received. After a RADIUS `start_accounting` message is received, the `ibm-radiusactiveusers` object updates to specify that the user is now currently logged in, and the unique session information is written to the correct login number. After the `stop_accounting` message is received, the information in the active login list record is cleared. The active login record is updated to reflect that the user is now logged off. The session numbers in the start and stop accounting messages are the same unique number. The object class will be accessed synchronously in the LDAP API calls.

### ***Password authentication protocol***

Password Authentication Protocol (PAP) provides security by coding the user's password with an MD5 hash algorithm of a value that both the client and server can construct.

It works as follows:

1. In packets that have the user password, the Authentication field contains a 16 octet random number called the Request Authenticator.
2. The Request Authenticator and the client's shared secret are put into an MD5 hash. The result is a 16 octet hash.
3. The user-provided password is padded to 16 octets with nulls.
4. The hash from step 2 is XORed (Exclusive-OR) with the padded password. This is the data sent in the packet as the `user_password` attribute.
5. The RADIUS server calculates the same hash as that in Step 2.
6. This hash is XORed with the packet data from Step 4, thus recovering the password.

### ***Challenge handshake authentication protocol***

RADIUS also supports the use of the PPP's **CHAP** for password protection.

With CHAP, the user's password is not sent across the network. Instead, an MD5 hash of the password is sent, and the RADIUS server reconstructs the hash from the user's information, including the stored password, then compares this with the value sent by the client.

### ***Extensible authentication protocol***

The Extensible Authentication Protocol (EAP) is a protocol designed to support multiple authentication methods.

EAP specifies the structure of an authentication communication between a client and an authentication server, without defining the content of the authentication data. This content is defined by the specific EAP method that is used for authentication. Common EAP methods include:

- MD5-challenge

- One-time password
- Generic token card
- Transport layer security (TLS)

RADIUS takes advantage of EAP by specifying RADIUS attributes that are used to transfer EAP data between the RADIUS server and its clients. This EAP data can then be sent by the RADIUS server directly to back-end servers that implement the various EAP authentication methods.

The AIX RADIUS server supports only the EAP-TLS and MD5-challenge EAP methods.

You can set the EAP method used to authenticate a user, at the user level, by setting a value in the user's entry in either the local database or LDAP.

By default, EAP is turned off for each user.

## Authorization

RADIUS allows authorization attributes per user as defined in the authorization policy files, `default.auth` and `default.policy`.

Authorization attributes are valid RADIUS protocol attributes that are specified in the RFC and defined in the `/etc/radius/dictionary` file. Authorization is optional and depends on how the hardware NAS or access point is configured. You must configure authorization attributes if they are needed. Authorization only happens after a successful authentication occurs.

Policies are configurable user attribute-value pairs that can control how the user accesses the network. Policies can be defined as being global to the RADIUS server, or user-specific.

Two authorization configuration files are shipped: `/etc/radius/authorization/default.auth` and `default.policy`. The `default.policy` file is used to match the incoming access request packets. The file contains attribute-value pairs that are initially blank and must be configured to the desired settings. After authentication, the policy will determine if an access accept or access reject packet is returned to the client.

Each user can also have a `user_id.policy` file. If a user has a unique policy file created for their specific user ID, then that file's attributes are checked first. If the attribute-value pairs in the `user_id.policy` file do not exactly match, then the `default.policy` file is checked. If the attribute pairs from the access request packet do not match in either file, then an access reject packet is sent. If a match is found in one or the other file, an access accept packet is sent to the client. This effectively establishes two levels of policy.

The `default.auth` file is used as the list of attribute-value pairs to return to the client once the policy has been checked. The `default.auth` file also contains attribute-value pairs that are initially blank and must be configured to the desired settings. You must edit the `default.auth` file or use SMIT to configure the desired authorization attribute settings. Each attribute that contains a value will automatically be returned to the NAS in an access accept packet.

You can also define user-specific return authorization attributes by creating a file based on the unique user name with the `.auth` extension, such as `user_id.auth`. This custom file must reside in the `/etc/radius/authorization` directory. There is a SMIT panel that allows you create and edit each user file.

Each user's authorization attributes are sent back in an access-accept packet along with any default authorization attributes found in the `default.auth` file or the `global.auth` file..

If the values are common in the `default.auth` file and the `user_id.auth` file, then the user's values override the default values. This allows for some global authorization attributes (services or resources) to all users and then for more specific, per user, level of authorization.

**Note:** Use the `global.auth` file to combine authorization attributes with user-specific authorization attributes instead of using the `default.auth` file, unless some other combination behavior is desired.

Beginning with AIX Version 6.1 with the 6100-02 Technology Level, RADIUS supports a `global.auth` authorization file. This file replaces and enhances the original intention of combining user-specific authorization attributes (as defined in `user_id.auth` files) with a set of global authorization attributes.

The `user_id.auth` file, unlike the `default.auth` file, is overridden by similar attributes found in the user-specific authorization files, but instead will combine with them allowing for more flexibility in maintaining authorizations for users.

If the attributes are common in the `default.auth` file and the `user_id.auth` file, then the user's values override the default values. This overriding of default values allows for some default authorization attributes (services or resources) to all users and then for more specific, per-user level of authorization.

The same is true for attributes in the `global.auth` file, except that they do not get overridden by the `user_id.auth` attributes. Instead, the attributes in the two files are combined. This is useful when you are specifying vender-specific attributes (VSA).

The authorization process is as follows:

1. At daemon startup time, the default policy and authorization lists from the `/etc/radius/authorization/default.policy` file, `default.auth` file, and `default.auth` file are read into memory.
2. Authenticate the user ID and password.
3. The incoming packet is checked for attribute-value pairs.
  - a. Check the custom **`user_id`**.auth file.
  - b. If no match is found, then check the `default.policy` file.
  - c. If no match is found, then send an access reject packet.
4. Apply the user's authorization attributes if there are any.
  - a. Read the `/etc/radius/authorization/user_id.auth` file and the `default.auth` file, and compare the two entries.
  - b. Use the entry that is in the user's file above the default entry.
  - c. Combine the resultant attributes with the attributes that are found in the `global.auth` file.
5. Return the authorization attributes in an access accept packet.

## Accounting

The RADIUS accounting server is responsible for receiving accounting requests from a client and returning responses to the client indicating that it has successfully received the request and written the accounting data.

You can enable local accounting in the `radiusd.conf` file.

When a client is configured to use RADIUS accounting, it will generate an `ACCOUNTING_START` packet describing the type of service being delivered and the user to whom it is being delivered at the start of service delivery. The client will send the packet to the RADIUS accounting server, which returns an acknowledgment that the packet has been received. At the end of service delivery, the client generates an `ACCOUNTING_STOP` packet describing the type of service that was delivered and, optionally, statistics such as elapsed time, input and output octets, or input and output packet numbers. When the `ACCOUNTING_STOP` packet is received by the RADIUS accounting server, it returns an acknowledgment to the accounting client that the packet has been received.

The `ACCOUNTING_REQUEST`, whether for `START` or `STOP`, is submitted to the RADIUS accounting server via the network. It is recommended that the client continue attempting to send the `ACCOUNTING_REQUEST` packet until it receives an acknowledgment. The client can also forward requests to an alternate server or servers in the event that the primary server is down or unreachable through the use of proxy configuration. For more information on proxy services, see [“Proxy services” on page 355](#).

Accounting data is written in standard RADIUS format of `attribute=value` to the local `/etc/var/radius/data/accounting` file. The data written is the accounting data in the packet, with a time stamp. If the RADIUS accounting server is unable to successfully record the accounting packet, it will not send an `Accounting_Response` acknowledgment to the client and error information will be logged to the `syslog` file.

## ***/var/radius/data/accounting file***

The `/var/radius/data/accounting` captures what the client sends in the ACCOUNTING START and ACCOUNTING STOP packets.

The `/var/radius/data/accounting` file is empty when first installed. Data is written to the file based on what the client sends in the ACCOUNTING START and ACCOUNTING STOP packets.

The following is a sample of the type of data the AIX RADIUS server writes to the `/var/radius/data/accounting` file. Your information will differ depending on how your system is set up.

### **Note:**

- Be sure the `/var` filesystem is large enough to handle all the accounting data.
- Third-party Perl scripts can be used to parse the data in this file. Examples of scripts that generate reports from the accounting data can be found at <http://www.pgregg.com/projects/radiusreport>
- The accounting packets can also be proxied.

```
Thu May 27 14:43:19 2004
NAS-IP-Address = 10.10.10.1
NAS-Port = 1
NAS-Port-Type = Async
User-Name = "rod"
Acct-Status-Type = Start
Acct-Authentic = RADIUS
Service-Type = Framed-User
Acct-Session-Id = "0000000C"
Framed-Protocol = PPP
Acct-Delay-Time = 0
Timestamp = 1085686999

Thu May 27 14:45:19 2004
NAS-IP-Address = 10.10.10.1
NAS-Port = 1 <-- rod was physically connected to port #1 on the hardware
NAS-Port-Type = Async
User-Name = "rod"
Acct-Status-Type = Stop
Acct-Authentic = RADIUS
Service-Type = Framed-User
Acct-Session-Id = "0000000C" <-- note the session id's are the same so can match up start
with stops
Framed-Protocol = PPP
Framed-IP-Address = 10.10.10.2 <-- IP address of user rod
Acct-Terminate-Cause = User-Request <-- user cancelled the session
Acct-Input-Octets = 4016
Acct-Output-Octets = 142
Acct-Input-Packets = 35
Acct-Output-Packets = 7
Acct-Session-Time = 120 <--- seconds
Acct-Delay-Time = 0
Timestamp = 1085687119 <--- note "rod" was only logged on for 120 seconds (2 minutes)
```

## **Proxy services**

Proxy services allow the RADIUS server to forward requests from a NAS to another RADIUS server and then return a reply message to the NAS. Proxy services are based on a realm name.

The RADIUS server can act as both a proxy server and a back-end server simultaneously. This mechanism is applicable for both accounting and authentication packets. Proxy is disabled by default in the `radiusd.conf` file.

## **Realms**

Realms are identifiers that are placed before or after the values normally contained in the User-Name attribute that a RADIUS server can use to identify the server to contact to start the authentication and accounting process.

The following example illustrates how realms are used with RADIUS:

User, *Joe*, is employed by company XYZ in Sacramento. The realm for this area is *SAC*. However, *Joe* is currently in New York City on a remote assignment. The realm for New York City is *NYC*. When *Joe* dials into the *NYC* realm, the User-Name passed is *SAC/Joe*. This notifies the *NYC* RADIUS realm server that

this packet needs to be forwarded to the server that does the authenticating and accounting for SAC realm users.

#### *Realm user-name attribute*

Authentication and accounting packets are routed through the realm is based on the **User-Name** attribute. This attribute defines the order of realms the packet goes through in order to route it to the final server that does the authentication or accounting.

Packets are routed by stringing realms together in the **User-Name** attribute. The actual realms that are inserted into the **User-Name** attribute, which ultimately determines the path of the packet, is a decision left up to the administrator deploying the RADIUS layout. It is possible to put the names of the realm hops in front of the **User-Name** attribute, as well as behind it. The most popular characters to delineate the different realms are the slash (/) as the prefix delineator in front of the **User-Name** attribute, and ampersand (&) as the suffix delineator behind the **User-Name** attribute. Delineators are configured in the `radiusd.conf` file. The **User-Name** attribute is parsed from left to right.

An example of a **User-Name** attribute using only the prefix method is the following:

```
USA/TEXAS/AUSTIN/joe
```

An example of a **User-Name** attribute using only the suffix method is the following:

```
joe@USA@TEXAS@AUSTIN
```

It is possible to use both prefix and suffix methods. It is important to remember when specifying the realm hops a packet will go through that the order of hops is parsed left to right, and all prefix hops are processed before processing suffix hops. The user must be authenticated, or the accounting data written, at a single node.

The following example, using both methods, yields the same result as the previous examples:

```
USA/joe@TEXAS@AUSTIN
```

### **Configuring proxy services**

RADIUS proxy configuration information is located in the `proxy` file in the `/etc/radius` directory.

The initial proxy file contains example entries. There are three fields in the proxy file: **Realm Name**, **Next Hop IP address**, and **Shared Secret**.

To configure proxy rules, select from the following::

#### Configure Proxy Rules

```
List all Proxy
Add a Proxy
Change / Show Characteristics of a Proxy
Remove a Proxy
```

Select the **List all Proxy** option to read the `/etc/radius/proxy` file and display the three fields in column format. The following are the column headers:

```
realm_name next_hop_address shared_secret
```

Select **Add a Proxy** to display the following screen. Information is retrieved from the panel and the data is appended to the bottom of the `/etc/radius/proxy` file.

Each hop of the proxy chain uses the shared secret between the two RADIUS servers. The shared secret is contained in the `/etc/radius/proxy_file`. The shared secret should be unique per proxy hop in the chain.

For more information about creating shared secrets, see [“/etc/radius/clients file” on page 346](#).

To add a proxy, select from the fields as shown below:

```

Add a Proxy
*Realm Name [] (max 64 chars)
*Next Hop IP address (dotted decimal) [xx.xx.xx.xx]
*Shared Secret [] (minimum 6, maximum 256 chars)

```

Selecting the **Change/Show** option displays a list of the realm names. The list is displayed in a pop-up screen and you must select a realm name.

The **Remove a Proxy** option displays a list of the realm names. The list is displayed in a pop-up screen and the user must select a realm name. After a name is selected, a verification pop-up screen is displayed before the realm is removed.

The following example is the proxy configuration information section of a `radiusd.conf` file:

```

#-----#
PROXY RADIUS Information
#
Proxy_Allow : ON or OFF. If ON, then the server
can proxy packets to realms it
knows of and the following
fields must also be configured.
Proxy_Use_Table : ON or OFF. If ON, then the server
can use table for faster
processing of duplicate requests
Can be used without proxy ON, but
it is required to be ON if
Proxy_Use_Table is set to ON.
Proxy_Realm_name : This field specifies the realm
this server services.
Proxy_Prefix_delim : A list of separators for parsing
realm names added as a prefix to
the username. This list must be
mutually exclusive to the Suffix
delimiters.
Proxy_Suffix_delim : A list of separators for parsing
realm names added as a suffix to
the username. This list must be
mutually exclusive to the Prefix
delimiters.
Proxy_Remove_Hops : YES or NO. If YES then the
will remove its realm name, the
realm names of any previous hops
and the realm name of the next
server the packet will proxy to.
Proxy_Retry_count : The number of times to attempt
to send the request packet.
Proxy_Time_Out : The number of seconds to wait
in between send attempts.
#-----#
Proxy_Allow : OFF
Proxy_Use_Table : OFF
Proxy_Realm_name :
Proxy_Prefix_delim : $/
Proxy_Suffix_delim : @.
Proxy_Remove_Hops : NO
Proxy_Retry_count : 2
Proxy_Time_Out : 3

```

### Configuring the RADIUS server

The RADIUS server daemon uses several configuration files. Server configuration information is saved in the `/etc/radius/radiusd.conf` file. The packaged server configuration file is shipped with default values.

**Note:** The following is a sample RADIUS Configure Server SMIT panel:

## Configure Server

```
RADIUS Directory /etc/radius
*Database Location [UNIX]
Local AVL Database File Name [dbdata.bin]
Local Accounting [ON]
Local Accounting Directory []

Debug Level [3]
Accept Reply-Message []
Reject Reply-Message []
Challenge Reply-Message []
Password Expired Reply Message []
Support Renewal of Expired Passwords [NO]
Require Message Authenticator [NO]

*Authentication Port Number [1812]
*Accounting Port Number [1813]

LDAP Server Name []
LDAP Server Port Number [389]
LDAP Server Admin Distinguished Name []
LDAP Server Admin Password []
LDAP Base Distinguished Name [cn=aixradius]
LDAP Size Limit [0]
LDAP Hop Limit [0]
LDAP wait time limit [10]
LDAP debug level [0]

Proxy Allowed [OFF]
Proxy Use table [OFF]
Proxy Realm Name []
Proxy Prefix Delimiters [$/]
Proxy Suffix Delimiters [@.]
NOTE: prefix & suffix are mutually exclusive

Proxy Remove Hops [NO]
Proxy Retry Count [2]
Proxy Timeout [30]
UNIX Check Login Restrictions [OFF]
Enable IP Pool [ON]
Authentication Method Sequence [TLS, MD5]
OpenSSL Configuration File []
```

## Logging utilities

The RADIUS server uses SYSLOG to log activity and error information.

There are three levels of log information:

**0**

Only problems or errors and the starting of daemons are logged.

**3**

Logs an audit trail of access\_accept, access\_reject\*, discard, and error messages.

**Note:** discard messages are logged when an incoming packet is invalid and a response packet is not generated.

**9**

Includes 0 and 3 level logging information and much more. Only run level 9 logging to debug.

The default level of logging is level 3. Logging at level 3 is used to improve the level of auditing of the RADIUS server. Depending on what level the server is logging, you can use the activities stored in the log to check for suspicious patterns of activity. If security is violated, the SYSLOG output can be used to determine how and when the violation occurred and perhaps the amount of access gained. This information is useful in the development of better security measures to prevent future problems.

### Related information

[IBM Directory Server](#)

## Configuring RADIUS to use the syslogd daemon

In order to use SYSLOG to view activity and error information, you must enable the syslogd daemon.

To enable the syslogd daemon, complete the following steps.

1. Edit the `/etc/syslog.conf` file to add the following entry:`local4.debug /var/adm/ipsec.log`.  
Use the `local4` facility to record traffic and IP Security events. Standard operating system priority levels apply. You should set the priority level of `debug` until traffic through IP Security tunnels and filters show stability and proper movement.

**Note:** The logging of filter events can create significant activity at the IP Security host and can consume large amounts of storage.

2. Save the `/etc/syslog.conf` file.
3. Go to the directory you specified for the log file and create an empty file with the same name.  
In the case above, you would change to `/var/adm` directory and run the **touch** command as follows:

```
touch ipsec.log
```

4. Run the **refresh** command to the `syslogd` subsystem as follows:

```
refresh -s syslogd
```

## Configuring SYSLOG output settings

You can set a `Debug_Level` of 0, 3, or 9 is set in the `radiusd.conf` file, depending on how much debugging information you want included in the SYSLOG output.

The default setting is 3. The debug section of the `radiusd.conf` file looks similar to the following:

```
#.
#.
#.
Debug_Level : This pair sets the debug level at which
the RADIUS server will run. Appropriate
values are 0,3 or 9. The default is 3.
Output is directed to location specified
by *.debug stanza in /etc/syslog.conf
#
Each level increases the amount of messages#
sent to syslog. For example "9" includes
the new messages provided by "9" as well
as all messages generated by level 0 and 3.#
#
0 : provides the minimal output to the
syslogd log. It sends start up
and end messages for each RADIUS
process. It also logs error
conditions.
#
3 : includes general ACCESS ACCEPT, REJECT
and DISCARD messages for each packet.
This level provides a general audit
trail for authentication.
#
9 : Maximum amount of log data. Specific
values of attributes while a
transaction is passing thru
processing and more.
[NOT advised under normal operations]
#
#-----#
```

The following examples show sample output for various debug levels.

### Accounting packet with debug level 3

```
Aug 18 10:23:57 server1 syslog: [0]:Monitor process [389288] has started
Aug 18 10:23:57 server1 radiusd[389288]: [0]:Local database (AVL) built.
Aug 18 10:23:57 server1 radiusd[389288]: [0]:Authentication process started : Pid= 549082 Port = 1812
Aug 18 10:23:57 server1 radiusd[389288]: [0]:Accounting process started : Pid= 643188 Port = 1813
Aug 18 10:23:57 server1 radiusd[643188]: [0]:Socket created [15]
Aug 18 10:23:57 server1 radiusd[643188]: [0]:Bound Accounting socket [15]
```

```

Aug 18 10:23:57 server1 radiusd[549082]: [0]:Socket created [15]
Aug 18 10:23:57 server1 radiusd[549082]: [0]:Bound Authentication socket [15]
Aug 18 10:24:07 server1 radiusd[643188]: [1]:*** Start Process_Packet() ***
Aug 18 10:24:07 server1 radiusd[643188]: [1]:Code 4, ID = 96, Port = 41639 Host = 10.10.10.10
Aug 18 10:24:07 server1 radiusd[643188]: [1]:ACCOUNTING-START - sending Accounting Ack to User [user_id1]
Aug 18 10:24:07 server1 radiusd[643188]: [1]:Sending Accounting Ack of id 96 to 10.10.10.10 (client1.ibm.com)
Aug 18 10:24:07 server1 radiusd[643188]: [1]:send_acct_reply() Outgoing Packet:
Aug 18 10:24:07 server1 radiusd[643188]: [1]: Code = 5, Id = 96, Length = 20
Aug 18 10:24:07 server1 radiusd[643188]: [1]:*** Leave Process_Packet() ***
Aug 18 10:24:13 server1 radiusd[643188]: [2]:*** Start Process_Packet() ***
Aug 18 10:24:13 server1 radiusd[643188]: [2]:Code 4, ID = 97, Port = 41639 Host = 10.10.10.10
Aug 18 10:24:13 server1 radiusd[643188]: [2]:ACCOUNTING-STOP - sending Accounting Ack to User [user_id1]
Aug 18 10:24:14 server1 radiusd[643188]: [2]:Sending Accounting Ack of id 97 to 10.10.10.10 (client1.ibm.com)
Aug 18 10:24:14 server1 radiusd[643188]: [2]:send_acct_reply() Outgoing Packet:
Aug 18 10:24:14 server1 radiusd[643188]: [2]: Code = 5, Id = 97, Length = 20
Aug 18 10:24:14 server1 radiusd[643188]: [2]:*** Leave Process_Packet() **

```

## Accounting packets at level 9

```

Aug 18 10:21:18 server1 syslog: [0]:Monitor process [643170] has started
Aug 18 10:21:18 server1 radiusd[643170]: [0]:Local database (AVL) built.
Aug 18 10:21:18 server1 radiusd[643170]: [0]:Authentication process started : Pid= 389284 Port = 1812
Aug 18 10:21:18 server1 radiusd[643170]: [0]:Accounting process started : Pid= 549078 Port = 1813
Aug 18 10:22:03 server1 radiusd[643170]: [0]:PID = [389284] dead
Aug 18 10:22:03 server1 radiusd[643170]: [0]:PID = [549078] dead
Aug 18 10:22:03 server1 radiusd[643170]: [0]:All child processes stopped. radiusd parent stopping
Aug 18 10:22:09 server1 syslog: [0]:Monitor process [1081472] has started
Aug 18 10:22:09 server1 radiusd[1081472]: [0]:Local database (AVL) built.
Aug 18 10:22:09 server1 radiusd[1081472]: [0]:Inside client_init()
Aug 18 10:22:09 server1 radiusd[1081472]: [0]:Number of client entries read: 1
Aug 18 10:22:09 server1 radiusd[1081472]: [0]:Inside read_authorize_policy routine for file:
/etc/radius/authorization/default.policy.
Aug 18 10:22:09 server1 radiusd[1081472]: [0]:Inside read_authorize_file routine for file:
/etc/radius/authorization/default.policy.
Aug 18 10:22:09 server1 radiusd[1081472]: [0]:read_authorize_file() routine complete.
Aug 18 10:22:09 server1 radiusd[1081472]: [0]:Inside read_authorize_file routine for file:
/etc/radius/authorization/default.auth.
Aug 18 10:22:09 server1 radiusd[1081472]: [0]:read_authorize_file() routine complete.
Aug 18 10:22:09 server1 radiusd[549080]: [0]:connect_to_LDAP_server:Database Location (where the data
resides)=LDAP.
Aug 18 10:22:09 server1 radiusd[549080]: [0]:connect_to_LDAP_server:LDAP Server name= server1.austin.ibm.com.
Aug 18 10:22:09 server1 radiusd[549080]: [0]:connect_to_LDAP_server:LDAP Server port= 389.
Aug 18 10:22:09 server1 radiusd[1081472]: [0]:Authentication process started : Pid= 549080 Port = 1812
Aug 18 10:22:09 server1 radiusd[389286]: [0]:connect_to_LDAP_server:Database Location (where the data
resides)=LDAP.
Aug 18 10:22:09 server1 radiusd[389286]: [0]:connect_to_LDAP_server:LDAP Server name= server1.austin.ibm.com.
Aug 18 10:22:09 server1 radiusd[389286]: [0]:connect_to_LDAP_server:LDAP Server port= 389.
Aug 18 10:22:09 server1 radiusd[1081472]: [0]:Accounting process started : Pid= 389286 Port = 1813
Aug 18 10:22:10 server1 radiusd[549080]: [0]:Socket created [15]
Aug 18 10:22:10 server1 radiusd[549080]: [0]:Bound Authentication socket [15]
Aug 18 10:22:10 server1 radiusd[389286]: [0]:Socket created [15]
Aug 18 10:22:10 server1 radiusd[389286]: [0]:Bound Accounting socket [15]
Aug 18 10:22:15 server1 radiusd[389286]: [1]:*** Start Process_Packet() ***
Aug 18 10:22:15 server1 radiusd[389286]: [1]:Incoming Packet:
Aug 18 10:22:15 server1 radiusd[389286]: [1]: Code = 4, Id = 94, Length = 80
Aug 18 10:22:15 server1 radiusd[389286]: [1]: Authenticator = 0xC5DBDDFE6EFFFFBDB6AE64CA35947DD0F
Aug 18 10:22:15 server1 radiusd[389286]: [1]: Type = 40, Length = 6, Value = 0x00000001
Aug 18 10:22:15 server1 radiusd[389286]: [1]: Type = 1, Length = 8, Value = 0x67656E747931
Aug 18 10:22:15 server1 radiusd[389286]: [1]: Type = 4, Length = 6, Value = 0x00000000
Aug 18 10:22:15 server1 radiusd[389286]: [1]: Type = 8, Length = 6, Value = 0x0A0A0A01
Aug 18 10:22:15 server1 radiusd[389286]: [1]: Type = 44, Length = 8, Value = 0x30303030303062
Aug 18 10:22:15 server1 radiusd[389286]: [1]: Type = 30, Length = 10, Value = 0x3132332D34353638
Aug 18 10:22:15 server1 radiusd[389286]: [1]: Type = 31, Length = 10, Value = 0x3435362D31323335
Aug 18 10:22:15 server1 radiusd[389286]: [1]: Type = 85, Length = 6, Value = 0x000000259
Aug 18 10:22:15 server1 radiusd[389286]: [1]:Starting parse_packet()
Aug 18 10:22:15 server1 radiusd[389286]: [1]:Code 4, ID = 94, Port = 41639 Host = 10.10.10.10
Aug 18 10:22:15 server1 radiusd[389286]: [1]:Acct-Status-Type = Sta

```

## Level 0 authentication packet

```

Aug 18 10:06:11 server1 syslog: [0]:Monitor process [1081460] has started
Aug 18 10:06:11 server1 radiusd[1081460]: [0]:Local database (AVL) built.
Aug 18 10:06:11 server1 radiusd[1081460]: [0]:Authentication process started : Pid= 549076 Port = 1812
Aug 18 10:06:11 server1 radiusd[1081460]: [0]:Accounting process started : Pid= 389282 Port = 18

```

## Level 3 authentication packet

```

Aug 18 10:01:32 server2 radiusd[389276]: [3]:*** Start Process_Packet() ***
Aug 18 10:01:32 server2 radiusd[389276]: [3]:Code 1, ID = 72, Port = 41638 Host = 10.10.10.10
Aug 18 10:01:32 server2 radiusd[389276]: [3]:authenticate_password_PAP: Passwords do not match, user is
rejected
Aug 18 10:01:32 server2 radiusd[389276]: [3]:Authentication failed for user [user_id1] using IP [10.10.10.10]
Aug 18 10:01:32 server2 radiusd[389276]: [3]:ACCESS-REJECT - sending reject for id 72 to 10.10.10.10
(client1.ibm.com)
Aug 18 10:01:32 server2 radiusd[389276]: [3]:send_reject() Outgoing Packet:

```

```

Aug 18 10:01:32 server2 radiusd[389276]: [3]: Code = 3, Id = 72, Length = 30
Aug 18 10:01:32 server2 radiusd[389276]: [3]:*** Leave Process_Packet() ***
Aug 18 10:01:53 server2 radiusd[389276]: [4]:*** Start Process_Packet() ***
Aug 18 10:01:53 server2 radiusd[389276]: [4]:Code 1, ID = 74, Port = 41638 Host = 10.10.10.10
Aug 18 10:01:53 server2 radiusd[389276]: [4]:authenticate_password_PAP: Passwords Match, user is authenticated
Aug 18 10:01:53 server2 radiusd[389276]: [4]:Authentication successful for user [user_id1] using IP
[10.10.10.10]
Aug 18 10:01:53 server2 radiusd[389276]: [4]:Authorization successful for user [user_id1] using IP
[10.10.10.10]
Aug 18 10:01:53 server2 radiusd[389276]: [4]:ACCESS-ACCEPT - sending accept for id 74 to 10.10.10.10
(client1.ibm.com)
Aug 18 10:01:53 server2 radiusd[389276]: [4]:send_accept() Outgoing Packet:
Aug 18 10:01:53 server2 radiusd[389276]: [4]: Code = 2, Id = 74, Length = 31
Aug 18 10:01:53 server2 radiusd[389276]: [4]:*** Leave Process_Packet() **

```

## Level 9 authentication packet

```

Aug 18 10:03:56 server1 radiusd[389278]: [1]:*** Start Process_Packet() ***
Aug 18 10:03:56 server1 radiusd[389278]: [1]:Incoming Packet:
Aug 18 10:03:56 server1 radiusd[389278]: [1]: Code = 1, Id = 77, Length = 58
Aug 18 10:03:56 server1 radiusd[389278]: [1]: Authenticator = 0xE6CB0F9C22BB4E799854E734104FB2D5
Aug 18 10:03:56 server1 radiusd[389278]: [1]: Type = 1, Length = 8, Value = 0x67656E747931
Aug 18 10:03:56 server1 radiusd[389278]: [1]: Type = 4, Length = 6, Value = 0x00000000
Aug 18 10:03:56 server1 radiusd[389278]: [1]: Type = 2, Length = 18, Value = 0x*****

Aug 18 10:03:56 server1 radiusd[389278]: [1]: Type = 7, Length = 6, Value = 0x00000001
Aug 18 10:03:56 server1 radiusd[389278]: [1]:Starting parse_packet()
Aug 18 10:03:56 server1 radiusd[389278]: [1]:Code 1, ID = 77, Port = 41638 Host = 10.10.10.10
Aug 18 10:03:56 server1 radiusd[389278]: [1]:User-Name = "user_id1"
Aug 18 10:03:56 server1 radiusd[389278]: [1]:NAS-IP-Address = 10.10.10.10
Aug 18 10:03:56 server1 radiusd[389278]: [1]:Framed-Protocol = PPP
Aug 18 10:03:56 server1 radiusd[389278]: [1]:Leaving parse_packet()
Aug 18 10:03:56 server1 radiusd[389278]: [1]:Verifying Message-Authenticator
Aug 18 10:03:56 server1 radiusd[389278]: [1]:Message-Authenticator successfully verified
Aug 18 10:03:56 server1 radiusd[389278]: [1]:Inside proxy_request_needed() function
Aug 18 10:03:56 server1 radiusd[389278]: [1]:Proxy is not turned on
Aug 18 10:03:56 server1 radiusd[389278]: [1]:Username = [user_id1]
Aug 18 10:03:56 server1 radiusd[389278]: [1]:Client IP = [10.10.10.10]
Aug 18 10:03:56 server1 radiusd[389278]: [1]:Inside parse_for_login(user_id1)
Aug 18 10:03:56 server1 radiusd[389278]: [1]:User_id remaining after prefix removal = [user_id1]
Aug 18 10:03:56 server1 radiusd[389278]: [1]:User_id remaining after suffix removal = [user_id1]
Aug 18 10:03:56 server1 radiusd[389278]: [1]:Inside rad_authenticate() function
Aug 18 10:03:56 server1 radiusd[389278]: [1]:Authentication request received for [client1.austin.ibm.com]
Aug 18 10:03:56 server1 radiusd[389278]: [1]:Calling get_ldap_user() to get LDAP user data
Aug 18 10:03:56 server1 radiusd[389278]: [1]:get_ldap_user:LDAP user id: user_id1.
Aug 18 10:03:56 server1 radiusd[389278]: [1]:get_ldap_user:LDAP max_login_cnt:2.
Aug 18 10:03:56 server1 radiusd[389278]: [1]:get_ldap_user:LDAP EAP_type: 4.
Aug 18 10:03:56 server1 radiusd[389278]: [1]:get_ldap_user:LDAP passwordexpiredweeks: 9.
Aug 18 10:03:56 server1 radiusd[389278]: [1]:get_ldap_active_sessions:number of free entries= 2.
Aug 18 10:03:56 server1 radiusd[389278]: [1]:get_ldap_active_session:dn retrieved=
radiusuniqueidentifier=user_id11,ou=radiusActiveUsers,cn=aixradius.
Aug 18 10:03:56 server1 radiusd[389278]: [1]:Inside get_client_secret routine for ip:10.10.10.10
Aug 18 10:03:56 server1 radiusd[389278]: [1]:Found NAS-IP = [10.10.10.10]
Aug 18 10:03:56 server1 radiusd[389278]: [1]:Found shared secret.
Aug 18 10:03:56 server1 radiusd[389278]: [1]:authenticate_password_PAP: Passwords Match, user is authenticated
Aug 18 10:03:56 server1 radiusd[389278]: [1]:is_ldap_pw:password for user has NOT expired
Aug 18 10:03:56 server1 radiusd[389278]: [1]:Authentication successful for user [user_id1] using IP
[10.10.10.10]
Aug 18 10:03:56 server1 radiusd[389278]: [1]:Inside rad_authorize() routine.
Aug 18 10:03:56 server1 radiusd[389278]: [1]:Inside read_authorize_policy routine for file:
/etc/radius/authorization/user_id1.policy.
Aug 18 10:03:56 server1 radiusd[389278]: [1]:Inside read_authorize_file routine for file:
/etc/radius/authorization/user_id1.policy.
Aug 18 10:03:56 server1 radiusd[389278]: [1]:Did not open /etc/radius/authorization/user_id1.policy file.
File may not be found.
Aug 18 10:03:56 server1 radiusd[389278]: [1]:Error reading policy file: /etc/radius/authorization/
user_id1.policy.
Aug 18 10:03:56 server1 radiusd[389278]: [1]:rad_authorize:default policy list and userpolicy list were empty.
Aug 18 10:03:56 server1 radiusd[389278]: [1]:In create_def_copy() routine.
Aug 18 10:03:56 server1 radiusd[389278]: [1]:Successfully made a copy of the master authorization list.
Aug 18 10:03:56 server1 radiusd[389278]: [1]:Inside read_authorize_file routine for file:
/etc/radius/authorization/user_id1.auth.
Aug 18 10:03:56 server1 radiusd[389278]: [1]:Did not open /etc/radius/authorization/user_id1.auth file.
File may not be found.
Aug 18 10:03:56 server1 radiusd[389278]: [1]:rad_authorize:copy authorization list and user list were empty.
Aug 18 10:03:56 server1 radiusd[389278]: [1]:Authorization successful for user [user_id1] using IP
[10.10.10.10]
Aug 18 10:03:56 server1 radiusd[389278]: [1]:ACCESS-ACCEPT - sending accept for id 77 to 10.10.10.10
(client1.austin.ibm.com)
Aug 18 10:03:56 server1 radiusd[389278]: [1]:Inside proxy_response_needed() function
Aug 18 10:03:56 server1 radiusd[389278]: [1]:Proxy is not turned on
Aug 18 10:03:56 server1 radiusd[389278]: [1]:Inside get_client_secret routine for ip:10.10.10.10
Aug 18 10:03:56 server1 radiusd[389278]: [1]:Found NAS-IP = [10.10.10.10]
Aug 18 10:03:56 server1 radiusd[389278]: [1]:Found shared secret.
Aug 18 10:03:56 server1 radiusd[389278]: [1]:send_accept() Outgoing Packet:
Aug 18 10:03:56 server1 radiusd[389278]: [1]: Code = 2, Id = 77, Length = 31
Aug 18 10:03:56 server1 radiusd[389278]: [1]:send_accept() Outgoing Packet:
Aug 18 10:03:56 server1 radiusd[389278]: [1]: Code = 2, Id = 77, Length = 31
Aug 18 10:03:56 server1 radiusd[389278]: [1]: Authenticator = 0xCCB2B645BBE86F5E4FC5BE24E904B2A
Aug 18 10:03:56 server1 radiusd[389278]: [1]: Type = 18, Length = 11, Value = 0x476F6F646E65737321

```

```

Aug 18 10:03:56 server1 radiusd[389278]: [1]:*** Leave Process_Packet() ***
Aug 18 10:04:18 server1 radiusd[389278]: [2]:*** Start Process_Packet() ***
Aug 18 10:04:18 server1 radiusd[389278]: [2]:Incoming Packet:
Aug 18 10:04:18 server1 radiusd[389278]: [2]: Code = 1, Id = 79, Length = 58
Aug 18 10:04:18 server1 radiusd[389278]: [2]: Authenticator = 0x774298A2B6DD90D7C33B3C10C4787D41
Aug 18 10:04:18 server1 radiusd[389278]: [2]: Type = 1, Length = 8, Value = 0x67656E747931
Aug 18 10:04:18 server1 radiusd[389278]: [2]: Type = 4, Length = 6, Value = 0x00000000
Aug 18 10:04:18 server1 radiusd[389278]: [2]: Type = 2, Length = 18, Value = 0x*****

Aug 18 10:04:18 server1 radiusd[389278]: [2]: Type = 7, Length = 6, Value = 0x00000001
Aug 18 10:04:18 server1 radiusd[389278]: [2]:Starting_parse_packet()
Aug 18 10:04:18 server1 radiusd[389278]: [2]:Code 1, ID = 79, Port = 41638 Host = 10.10.10.10
Aug 18 10:04:18 server1 radiusd[389278]: [2]:User-Name = "user_id1"
Aug 18 10:04:18 server1 radiusd[389278]: [2]:NAS-IP-Address = 10.10.10.10
Aug 18 10:04:18 server1 radiusd[389278]: [2]:Framed-Protocol = PPP
Aug 18 10:04:18 server1 radiusd[389278]: [2]:Leaving_parse_packet()
Aug 18 10:04:18 server1 radiusd[389278]: [2]:Verifying Message-Authenticator
Aug 18 10:04:18 server1 radiusd[389278]: [2]:Message-Authenticator successfully verified
Aug 18 10:04:18 server1 radiusd[389278]: [2]:Inside proxy_request_needed() function
Aug 18 10:04:18 server1 radiusd[389278]: [2]:Proxy is not turned on
Aug 18 10:04:18 server1 radiusd[389278]: [2]:Username = [user_id1]
Aug 18 10:04:18 server1 radiusd[389278]: [2]:Client IP = [10.10.10.10]
Aug 18 10:04:18 server1 radiusd[389278]: [2]:Inside parse_for_login(user_id1)
Aug 18 10:04:18 server1 radiusd[389278]: [2]:User_id remaining after prefix removal = [user_id1]
Aug 18 10:04:18 server1 radiusd[389278]: [2]:User_id remaining after suffix removal = [user_id1]
Aug 18 10:04:18 server1 radiusd[389278]: [2]:Inside rad_authenticate() function
Aug 18 10:04:18 server1 radiusd[389278]: [2]:Authentication request received for [client1.austin.ibm.com]
Aug 18 10:04:18 server1 radiusd[389278]: [2]:Calling get_ldap_user() to get LDAP user data
Aug 18 10:04:18 server1 radiusd[389278]: [2]:get_ldap_user:LDAP user id: user_id1.
Aug 18 10:04:18 server1 radiusd[389278]: [2]:get_ldap_user:LDAP max_login_cnt:2.
Aug 18 10:04:18 server1 radiusd[389278]: [2]:get_ldap_user:LDAP EAP_type: 4.
Aug 18 10:04:18 server1 radiusd[389278]: [2]:get_ldap_user:LDAP passwordexpiredweeks: 9.
Aug 18 10:04:18 server1 radiusd[389278]: [2]:get_ldap_active_sessions:number of free entries= 2.
Aug 18 10:04:18 server1 radiusd[389278]: [2]:get_ldap_active_session:dn retrieved=
radiusuniqueidentifier=user_id11, ou=radiusActiveUsers, cn=aixradius.
Aug 18 10:04:18 server1 radiusd[389278]: [2]:Inside get_client_secret routine for ip:10.10.10.10
Aug 18 10:04:18 server1 radiusd[389278]: [2]:Found NAS-IP = [10.10.10.10]
Aug 18 10:04:18 server1 radiusd[389278]: [2]:Found shared secret.
Aug 18 10:04:18 server1 radiusd[389278]: [2]:authenticate_password_PAP: Passwords do not match, user is
rejected
Aug 18 10:04:18 server1 radiusd[389278]: [2]:Authentication failed for user [user_id1] using IP [10.10.10.10]
Aug 18 10:04:18 server1 radiusd[389278]: [2]:ACCESS-REJECT - sending reject for id 79 to 10.10.10.10
(client1.austin.ibm.com)
Aug 18 10:04:18 server1 radiusd[389278]: [2]:Inside proxy_response_needed() function
Aug 18 10:04:18 server1 radiusd[389278]: [2]:Proxy is not turned on
Aug 18 10:04:18 server1 radiusd[389278]: [2]:Inside get_client_secret routine for ip:10.10.10.10
Aug 18 10:04:18 server1 radiusd[389278]: [2]:Found NAS-IP = [10.10.10.10]
Aug 18 10:04:18 server1 radiusd[389278]: [2]:Found shared secret.
Aug 18 10:04:18 server1 radiusd[389278]: [2]:send_reject() Outgoing Packet:
Aug 18 10:04:18 server1 radiusd[389278]: [2]: Code = 3, Id = 79, Length = 30
Aug 18 10:04:18 server1 radiusd[389278]: [2]:send_reject() Outgoing Packet:
Aug 18 10:04:18 server1 radiusd[389278]: [2]: Code = 3, Id = 79, Length = 30
Aug 18 10:04:18 server1 radiusd[389278]: [2]: Authenticator = 0x05D4865C6EBEFC1A9300D2DC66F3DBE9
Aug 18 10:04:18 server1 radiusd[389278]: [2]: Type = 18, Length = 10, Value = 0x4261646E65737321
Aug 18 10:04:18 server1 radiusd[389278]: [2]:*** Leave Process_Packet() **

```

## Password expiration

Password expiration allows the RADIUS client to be notified when a user's password has expired, and to update the user's password through the RADIUS protocol.

Password expiration involves supporting four more packet types and a new attribute. The new packet types are shipped in the AIX dictionary and the password expiration feature must be turned on.

It may not be desirable in every RADIUS installation to allow expired password updating through RADIUS. An entry in the `radiusd.conf` file gives you the option to allow or disallow support for expired password changing through RADIUS. The default for this option is to disallow. You can add a `Password_Expired_Reply_Message` user reply message and this is returned in the password-expired packet. Password attributes, both old and new, must be encrypted and decrypted with the PAP method.

## Vendor-specific attributes

Vendor-specific attributes (VSA) are defined by remote-access server vendors, usually hardware vendors, to customize how RADIUS works on their servers.

The vendor-specific attributes are necessary if you want to give users permission for more than one type of access. The VSAs may be used in combination with RADIUS-defined attributes.

VSAs are optional, but if the NAS hardware requires additional attributes to be configured in order to function properly, you must add the VSAs to the dictionary file.

VSA's can also be used for further authorization. Along with User-Name and Password, you can use VSA's for authorization. On the server side, the user authorization policy file contains the list of attributes to be checked in the Access-Request packet for a particular user. If the packet does not contain the attributes listed in the users file, then an access\_reject is sent back to NAS. VSA's can also be used as an attribute=value pair list in the *user\_id*.policy file.

The following is a sample VSA section taken from the dictionary:

```
#####
This section contains examples of dictionary translations for parsing vendor specific attributes (vsa). The example below is for "Cisco." Before defining an Attribute/Value pair for a vendor a "VENDOR" definition is needed.
Example:
VENDOR Cisco 9
VENDOR: This specifies that the Attributes after this entry are specific to Cisco.
Cisco : Denotes the Vendor name
9 : Vendor Id defined in the "Assigned Numbers" RFC
#####
#VENDOR Cisco 9
#ATTRIBUTE Cisco-AVPair 1 string
#ATTRIBUTE Cisco-NAS-Port 2 string
#ATTRIBUTE Cisco-Disconnect-Cause 195 integer
#-----Cisco-Disconnect-Cause-----#
#VALUE Cisco-Disconnect-Cause Unknown 2
#VALUE Cisco-Disconnect-Cause CLID-Authentication-Failure 4
#VALUE Cisco-Disconnect-Cause No-Carrier 10
#VALUE Cisco-Disconnect-Cause Lost-Carrier 11
#VALUE Cisco-Disconnect-Cause No-Detected-Result-Codes 12
#VALUE Cisco-Disconnect-Cause User-Ends-Session 20
#VALUE Cisco-Disconnect-Cause Idle-Timeout 21
#VALUE Cisco-Disconnect-Cause Exit-Telnet-Session 22
#VALUE Cisco-Disconnect-Cause No-Remote-IP-Addr 23
```

## RADIUS reply-message support

A reply-message is text that you create and configure in the `radiusd.conf` file.

It is intended for the NAS or AP to return as a string to the user. These can be a success, failure or challenge message. They are readable text fields and their contents are implementation-dependent and configured at server configuration time. The default for these attributes is no text. You may configure all, none, or one, two, or three attributes.

RADIUS supports the following Reply-Message Attributes:

- Accept Reply-Message
- Reject Reply-Message
- CHAP Reply-Message
- Password Expired Reply-Message

These attributes are added to the `radiusd.conf` configuration file and read into a global configuration structure at daemon start time. Set these values using SMIT RADIUS Panels as part of the Configure Server option. The maximum number of characters in each string is 256 bytes.

The function is implemented as follows:

1. When the **radiusd** daemon starts, it will read the `radiusd.conf` file and set the Reply-Message attributes.
2. When an access request packet is received, the user is authenticated.

3. If the authentication response is an access accept, then the Accept Reply-Message text is checked. If the text is present, the string is returned in the access accept packet.
4. If the authentication is rejected, then the Reject Reply-Message text is checked and returned in the access reject packet.
5. If the Authentication is challenged, then the CHAP Reply-Message attribute is checked and sent as part of the Access-Challenge packet.

## RADIUS server IP pool configuration

With the RADIUS server you can assign an IP address dynamically from an IP address pool.

IP address allocation is part of the authorization process and is done after authentication. The system administrator must assign a unique IP per user. To provide the user with an IP address dynamically, the RADIUS server provides three options:

- Framed Pool Attribute
- Using the Vendor Specific Attribute
- RADIUS Server Side IP pooling

### Framed Pool Attribute

The IP pool *poolname* must be defined on the Network Access Server (NAS). The NAS must be RFC2869-compliant for the RADIUS server to send an **Framed-Pool** attribute in an Access-Accept pack (type 88 attribute). The system administrator must configure the NAS and update the authorization attributes for the user by including the **Framed-Pool** attribute in either the `global default . auth` file or the `user . auth` file on the RADIUS server. The dictionary file in the RADIUS server includes this attribute:

```
ATTRIBUTE Framed-Pool 88 string
```

If the NAS cannot use multiple address pools, the NAS ignores this attribute. The address pool on the NAS contains a list of IP addresses. The NAS dynamically picks one of the IP addresses defined in the specified pool and assigns it to the user.

### Vendor Specific Attributes

Some independent software vendors (ISV) cannot use the **Framed-Pool** attribute, but do have the ability to define IP address pools. The RADIUS server can utilize these address pools by using the Vendor-Specific Attribute (VSA) model. For example, a Cisco NAS provides an attribute called Cisco-AVPair. The dictionary file in the RADIUS server includes this attribute:

```
VENDOR Cisco 9
ATTRIBUTE Cisco-AVPair 1 string
```

When the NAS sends an Access-Request packet, it includes this attribute with `Cisco-AVPair="ip:addr-pool=poolname"` where *poolname* is the name of the address pool defined on the NAS. After the request is authenticated and authorized, the RADIUS server returns the attribute in the Access-Accept packet. The NAS can then use the defined pool to allocate the IP address to the user. The system administrator must configure the NAS and update the authorization attributes for the user by including the VSA attribute in either the `global default . auth` file or the `user . auth` file on the RADIUS server.

### Radius Server Side IP Pooling

The RADIUS server can be configured to generate an IP address from a pool of IP addresses. The IP address is returned in the Framed-IP-Address attribute of the Access-Accept packet.

The system administrator can define a pool of IP addresses using the SMIT interface. The addresses are maintained in the `/etc/radius/ippool_def` file. *Poolnames* are defined in the `etc/radius/clients` file. The system administrator must also configure the NAS-Port number. The RADIUS server

daemon uses information from the `etc/radius/clients` and `/etc/radius/ippool_def` files to create data files. Once the daemon starts, the system administrator cannot change or add the *poolnames* or IP address ranges until the RADIUS servers have stopped. When the RADIUS server daemon is started, it reads the configuration file (`/etc/radius/radius.conf`) and if IP Allocation is enabled (`Enable_IP_Pooling=YES`), sets the global IP allocation flag (`IP_pool_flag`) to On. The daemon then checks to see if the `poolname.data` file exists. If it does, it reads the file and keeps that information in shared memory. It then updates the file and shared memory based on the requests coming in from the clients. If the file does not exist, then the daemon creates a new file using information from the `etc/radius/clients` and the `/etc/radius/ippool_def` files. The `poolname.data` file has a maximum size limit of 256 MB (AIX segment size limit). If the `poolname.data` file is more than 256 MB, the RADIUS server logs an error message and exits.

The daemon gets IP-pool details from the `/etc/radius/ippool_def` file and maintains a table of IP addresses for each pool name in shared memory. The table has entries for NAS-IP-address, NAS-port and IN USE flag. The daemon maintains a hash table that is keyed by the NAS-IP NAS-port. When requests come in from multiple users, the UDP queues the requests, and the daemon retrieves the NAS-IP and NAS-port data from the request. Using that information, it checks to see whether a *poolname* has been defined for that NAS by checking the information read from the `etc/radius/clients` file.

The daemon attempts to get an unused address from the pool. If an unused address is available, it is marked as “in use” by the NAS-IP and NAS-port flags, and is returned to the RADIUS server. The IP address is put into the **Framed-IP-Address** attribute by the daemon, and returned to the NAS in the accept packet. The `poolname.data` file is also updated to be in sync with the information in shared memory.

If the pool does not exist, or exists but does not have any more unused addresses, an error is returned to the RADIUS server. The error `Could not allocate IP address` is logged in the log file and an `Access-Reject` packet is sent to the NAS by the RADIUS server.

The error codes are:

- `NOT_POOLED` – There is no pool defined for the `nas_ip`.
- `POOL_EXHAUSTED` – The pool is defined for the `nas_ip`, but all of the addresses in the pool are currently in use.

When the authentication request comes from a NAS and NAS-port combination that already has an IP address allocated, the daemon returns the previous allocation to the pool, by marking the IN USE flag to Off, and clearing the NAS-IP-address and NAS-port entries in the table. It then allocates a new IP address from the pool.

The IP address is also returned to the pool when the RADIUS server receives an `Accounting-Stop` packet from the NAS. The `Accounting-Stop` packet must contain the NAS-IP-address and NAS-port entries. The daemon accesses the `ippool_mem` file for the following cases:

- The request comes in to get a new IP address. Sets the IN USE flag to true.
- An `Accounting-Stop` packet is received. It releases the IP address by setting the “in use” flag to false.

In each case, the shared memory system calls ensure that the data in shared memory and the `poolname.data` files are in sync. The system administrator can turn IP allocation ON or OFF using the `Enable_IP_Pooling` parameter in the RADIUS server configuration file (`radiusd.conf`). This is useful in cases where the system admin has an assigned IP address in either the `global.default.auth` or `user.auth` file. To use that assigned IP address, the system administrator must set `Enable_IP_Pool = NO`.

An example of an `/etc/radius/ippool_def` file created through SMIT:

| Pool Name | Start Range   | End Range     |
|-----------|---------------|---------------|
| Floor5    | 192.165.1.1   | 192.165.1.125 |
| Floor6    | 192.165.1.200 | 192.165.1.253 |

The following is an example of an `/etc/radiusclients` file created through SMIT:

| NAS-IP  | Shared Secret | Pool Name |
|---------|---------------|-----------|
| 1.2.3.4 | Secret1       | Floor5    |
| 1.2.3.5 | Secret2       | Floor6    |
| 1.2.3.6 | Secret3       | Floor5    |
| 1.2.3.7 | Secret4       |           |

In the example above for the NAS-IP-Address 1.2.3.7, the pool name is blank. In this case, IP pooling is not done for this NAS (even if the global `IP_pool_flag = True`). When the Access-Request packet comes in, the RADIUS server does the authentication and authorization. If successful, it sends the static IP address defined in the request, or from the global `default.auth` file or `user.auth` file, in the Access-Accept packet. In this case, the NAS-Port attribute is not required.

If IP pooling is `True`, the system administrator has also defined a static IP address as part of the global `default.auth` or `user.auth`, or as part of the Access-Request packet. The RADIUS server replaces that IP address with the IP address allocated from the defined pool name for that NAS. If all IP addresses in the pool are in use, the server logs the error (pool is full) and sends an Access-Reject packet. The server ignores any static IP address defined in the auth files.

If IP pooling is `True` and a valid pool name is defined for the NAS, when an Access-Request packet comes in from that NAS-IP, and it does not have the NAS-Port defined, the server sends a Access-Reject packet.

The following is an example of the `Floor5.data` file created by the daemon:

| IP Address    | NAS-IP  | NAS-Port | In Use |
|---------------|---------|----------|--------|
| 192.165.1.1   | 1.2.3.4 | 2        | 1      |
| 192.165.1.2   | 1.2.3.4 | 3        | 0      |
| .....         | .....   | ....     | ....   |
| 192.165.1.124 | 1.2.3.6 | 1        | 1      |
| 192.165.1.125 | 1.2.3.6 | 6        | 1      |

The following is an example of the `Floor6.data` file created by the daemon:

| IP Address    | NAS-IP  | NAS-Port | In Use |
|---------------|---------|----------|--------|
| 192.165.200   | 1.2.3.4 | 1        | 1      |
| 192.165.201   | 1.2.3.4 | 4        | 1      |
| .....         | .....   | ....     | ....   |
| 192.165.1.252 | 1.2.3.4 | 5        | 0      |
| 192.165.1.253 | 1.2.3.4 | 6        | 1      |

When it is necessary to release all allocated IP addresses for a specified NAS (for example, when a NAS stops), it might be necessary to release all the IP addresses from all the pools to initialize the `poolname.data` file. The system administrator can do with the following menu actions using SMIT:

- Clear IP Pool for a Client
- Clear entire IP Pool

### SMIT Panels for IP Pool

In Client Configuration, **Add a Client**, you can enter the optional **Pool Name**. The name can be a maximum of 64 characters. When the **Pool Name** is blank, IP pooling is not done and the RADIUS

server assigns the IP address defined by the system administrator through the **Framed-IP-Address** authorization attribute.

When **IP Pool** is selected, the following options display:

- List all IP Pools
- Create an IP Pool
- Change/Show Characteristics of an IP Pool
- Delete an IP Pool
- Clear IP Pool for a Client
- Clear entire IP Pool

**List all IP Pools:** Use this option to list the **Pool Name**, **Start Range IP address** and **Stop Range IP address**.

**Create an IP Pool:** Use this option to add the pool name, start range, and end range. This data is appended to the bottom of the `ippool_def` file. Checks are made to ensure there are no duplicate pool names and that the IP address ranges are disjoint. This action can only be performed when the RADIUS server daemons are not running.

**Change/Show Characteristics of an IP Pool:** This option shows a list of the pool names in a pop-up panel. From this panel, you must select a specific pool name. When you select a pool name, a panel with the selected name displays. When you press Enter, the data for that pool name is updated in the `ippool_def` file. This action can only be performed when the RADIUS server daemons are not running.

**Delete an IP Pool:** Selecting this option displays a list of pool names that you can select. When you select the pool name, the `Are You Sure` pop-up panel displays to provide a confirmation before the selected pool name is deleted. The `rmippool` script is invoked to delete the selected pool name from the `ippool_def` file. This action can only be performed when the RADIUS server daemons are not running.

**Clear IP Pool for a Client:** This option marks the IN-USE entry to 0 for the IP addresses that belong to the NAS, which means that all IP addresses for this NAS are now available. This action can only be done when the RADIUS server daemons are not running.

**Clear Entire IP Pool:** When this option is selected, an `Are You Sure` pop-up panel displays to provide a confirmation before the entire `ippool_mem` file is cleared. This action can only be performed when the RADIUS server daemons are not running.

## RADIUS SMIT panels

When using SMIT to configure the RADIUS server, fields marked with an asterisk (\*) are required fields.

The SMIT fast-path is:

```
smitty radius
```

The RADIUS Main Menu is as follows:

```
RADIUS Server
Configure Server
Configure Clients
Configure Users
Configure Proxy Rules
Advanced Server Configuration
Start RADIUS Server daemons
Stop RADIUS Server daemons
```

The following screen capture shows a sample RADIUS Configure Server SMIT panel:

```

Configure Server
RADIUS Directory /etc/radius
* Database Location [Local] +
Local AVL Database File Name [dbdata.bin]
Debug Level [9] +#
Local Accounting [ON] +
Local Accounting Directory [/var/radius/data/accou>
Accept Reply-Message []
Reject Reply-Message []
Challenge Reply-Message []
Password Expired Reply-Message []
Support Renewal of Expired Password [NO] +
Require Message Authenticator [NO] +
* Authentication Port Number [1812]
* Accounting Port Number [1813]
LDAP Server Name []
LDAP Server Port Number [389] #
LDAP Server Admin Distinguished Name [cn=root]
LDAP Server Admin Password []
LDAP Base Distinguished Name [cn=aixradius]
LDAP Size Limit [0] #
LDAP Hop Limit [0] #
LDAP wait time limit [10] #
LDAP debug level [0] +#
Proxy Allowed [OFF] +
Proxy Use Table [OFF] +
Proxy Realm Name []
Proxy Prefix Delimiters [$/]
Proxy Suffix Delimiters [@.]
Proxy Remove Hops [NO] +
Proxy Retry Count [2] #
Proxy Timeout [30] #
UNIX Check Login Restrictions [OFF] +
Enable IP Pool [OFF] +
Send Message Authenticator for ACCEPT [ON] +
Maximum RADIUS Server Threads [15] #
EAP Conversation Timeout (Seconds) [30] #
Enable EAP-TLS [ON] +
Required Options for EAP-TLS
Path to OpenSSL Library [/opt/freeware/lib/libs>
OpenSSL Cipher List [ALL:!ADH:RC4+RSA:+SSLv>
Root CA Directory (Full Path) [/etc/radius/tls]
Root CA Certificate (Full Path) [/etc/radius/tls/radius>
RADIUS Server Certificate (Full Path) [/etc/radius/tls/cert-s>
RADIUS Server Private Key (Full Path) [/etc/radius/tls/cert-s>
RADIUS Server CRL (Full Path) []

```

Detailed SMIT help information is available for all fields and menu options by pressing the F1 key.

## Random number generator

Random numbers are required when generating the Authenticator field of a RADIUS packet.

It is important to provide the best possible generator because an intruder could try to trick the RADIUS server into responding to a predicted request and then use the response to masquerade as that RADIUS server to a future access-request. The AIX RADIUS Server uses the `/dev/urandom` kernel extension to generate pseudo random numbers. This kernel extension collects entropy samples from hardware sources by way of the pseudo device driver. This device has been through NIST testing to ensure proper randomness.

## Globalization enablement

The RADIUS `raddbm` command and the SMIT panels are globalization enabled and each uses the standard AIX globalization API calls to provide this function.

## Related information

Commands: [installp,mkuser](#) and [raddbm](#)

## AIX Intrusion prevention

AIX intrusion prevention detects inappropriate, unauthorized or other data that might be considered harmful to a system.

The following section describes the various types of intrusion detection provided by AIX.

### Related information

Commands: [chfilt](#), [ckfilt](#), [expfilt](#), [genfilt](#), [impfilt](#), [lsfilt](#), [mkfilt](#), [mvfilt](#), [rmfilt](#).

### Intrusion detection

Intrusion detection is the action of monitoring and analyzing system events in order to intercept and reject any attempt of unauthorized system access. In AIX, this detection of unauthorized access or attempted unauthorized access is done by observing certain actions, and then applying filter rules to these actions

**Note:** You must install the `bos.net.ipsec` filesets on the host system to enable intrusion detection. The detection technologies are built upon the existing AIX Internet Protocol Security (IPsec) features.

#### *Pattern matching filter rules*

Pattern matching is the use of an IPsec filter rule for filtering networking packets. A filter pattern can be a text string, a hexadecimal string, or a file containing more than one pattern. After a pattern filter rule is established and that pattern is detected in the body of any network packet, then the predefined action of the filter rule will result.

Pattern matching filter rules only apply to inbound network packets. Use the **genfilt** command to add a filter rule to the filter rule table. The filter rules generated by this command are called manual filter rules. Use the **mkfilt** command to activate or deactivate the filter rules. The **mkfilt** command can also be used to control the filter logging function.

A pattern file can contain a list, one per line, of text patterns or hexadecimal patterns. Pattern matching filter rules can be used to guard against viruses, buffer overflows, and other network security attacks.

Pattern matching filter rules can have a negative impact on system performance if they are used too broadly, and with a high number of patterns. It is best to keep the scope of their application as narrow as possible. For example, if a known virus pattern applies to `sendmail`, then specify the `sendmail` SMTP destination port 25 in the filter rule. This allows all other traffic to pass without incurring a performance impact from pattern matching.

The **genfilt** command recognizes and understands the pattern format used in some versions of ClamAV.

### Related information

[genfilt command](#)

[mkfilt command](#)

[ClamAV website](#)

#### *Types of patterns*

There are three basic types of patterns: text, hexadecimal, and file. Pattern matching filter rules apply to incoming packets only.

### Text pattern

A text filter pattern is an ASCII string that looks similar to the following:

```
GET ../../../../../../../../../../
```

### Hexadecimal pattern

A hexadecimal pattern looks similar to the following:

```
0x33c0b805e0cd16b807e0cd1650558becc7460200f05d0733ffb8c800b9ffff3abb00150
e670e47132c0e67158fec03c8075f033c033c9b002fa99cd26fb4183f90575f5c3
```

**Note:** A hexadecimal pattern is differentiated from a text pattern by the leading 0x.

## Files that contain text patterns

A file can contain a list, one per line, of text patterns or hexadecimal patterns. Sample pattern files can be found at <http://www.clamav.net>.

### ***Shun port and shun host filter rules***

By setting a shun filter rule, you can affect a remote host or the remote host and port pair from accessing the local machine.

A shun filter rule dynamically creates an effect rule that denies the remote host or the remote host and port pair from accessing the local machine when the rule's specified criteria are met.

Because it is common for an attack to be preceded by a port scan, shun port filter rules are especially useful in preventing an intrusion by detecting this attack behavior.

For example, if the local host does not use the server port 37, which is the time server, then the remote host should not be accessing port 37, unless it is running a port scan. Place a shun port filter rule on port 37 so that if the remote host attempts to access that port, the shun filter rule creates an effective rule that blocks that host from further access for the amount of time specified shun rule **expiration time** field.

If a shun rule's **expiration time** field is set to 0, then the dynamically created effective shun rule does not expire.

#### **Note:**

1. An expiration time specified by the shun port filter rule applies only to the dynamically created effect rule.
2. Dynamically created effect rules can only be viewed with the **lsfilt -a** command.

## Shun host filter rules

When the criteria of a shun host filter rule is met, then the dynamically created effective rule will block or shun all network traffic from the remote host for the specified expiration time.

## Shun port filter rules

When the criteria of a shun port filter rule is met, then the dynamically created effective rule will only block or shun network traffic from this remote host's particular port, until the expiration time is exceeded.

### ***Stateful filter rules***

Stateful filters examine information such as source and destination addresses, port numbers, and status. Then, by applying IF, ELSE or ENDIF filter rules to these header flags, stateful systems can make filtering decisions in the context of an entire session rather than that of an individual packet and its header information.

Stateful inspection examines incoming and outgoing communication packets. When stateful filter rules are activated with the **mkfilt -u** command, the rules in the ELSE block are always examined until the IF rule is satisfied. After the IF rule or condition is satisfied, the rules in the IF block are used until the filter rules are reactivated with the **mkfilt -u** command.

The **ckfilt** command will check the syntax of the stateful filter rules and display them in a display in a illustrative manner such as the following:

```
%ckfilt -v4
Beginning of IPv4 filter rules.
Rule 2
IF Rule 3
 IF Rule 4
```

```

Rule 5
ELSE Rule 6
Rule 7
ENDIF Rule 8
ELSE Rule 9
Rule 10
ENDIF Rule 11
Rule 0

```

### Timed rules

Timed rules specify the amount of time, in seconds, that the filter rule is applied after it is made effective with the **mkfilt -v [4|6] -u** command.

The expiration time is specified with the **genfilt -e** command. For more information, see the **mkfilt** and **genfilt** commands.

**Note:** Timers have no effect on IF, ELSE or ENDF rules. If an expiration time is specified in a shun host or shun port rule, the time applies only to the effect rule that is initiated by the shun rule. Shun rules have no expiration time.

## Accessing filter rules from SMIT

You can configure rules from SMIT.

To configure filter rules from SMIT, complete the following steps.

1. From a command line, enter the following command: `smitty ipsec4`
2. Select **Advanced IP Security Configuration**.
3. Select **Configure IP Security Filter Rules**.
4. Select **Add an IP Security Filter Rule**.

### Add an IP Security Filter Rule

Type or select values in entry fields.  
Press Enter AFTER making all desired changes.

```

[TOP]
* Rule Action [Entry Fields]
* IP Source Address [permit] +
* IP Source Mask []
* IP Source Mask []
* IP Destination Address
* IP Destination Mask []
* Apply to Source Routing? (PERMIT/inbound only) [yes] +
* Protocol [all] +
* Source Port / ICMP Type Operation [any] +
* Source Port Number / ICMP Type [0] #
* Destination Port / ICMP Code Operation [any] +
* Destination Port Number / ICMP Type [0] #
* Routing [both] +
* Direction [both] +
* Log Control [no] +
* Fragmentation Control [0] +
* Interface [] +
* Expiration Time (sec) [] #
* Pattern Type [none] +
* Pattern / Pattern File []
* Description []

```

Where "Pattern Type" may be one of the following

```

x none x#
x pattern x
x file x
x Anti-Virus patterns

```

The choices for the action field are: `permit`, `deny`, `shun_host`, `shun_port`, `if`, `else`, `endif`.

If a pattern file is specified, then it must be readable when the filter rules are activated with the **mkfilt -a** command. The filter rules are stored in the `/etc/security/ipsec_filter` database.

## AIX Security Expert

---

AIX Security Expert provides a center for all security settings (TCP, NET, IPSEC, system, and auditing).

AIX Security Expert is a system security hardening tool. It is part of the **bos.aixpert** fileset. AIX Security Expert provides simple menu settings for High Level Security, Medium Level Security, Low Level Security, and AIX Standard Settings security that integrate over 300 security configuration settings while still providing control over each security element for advanced administrators. AIX Security Expert can be used to implement the appropriate level of security, without the necessity of reading a large number of papers on security hardening and then individually implementing each security element.

AIX Security Expert can be used to take a security configuration snapshot. This snapshot can be used to set up the same security configuration on other systems. This saves time and ensures that all systems have the proper security configuration in an enterprise environment.

AIX Security Expert can be run from SMIT, or you can use the **aixpert** command.

### AIX Security Expert settings

The following coarse-grain security settings are available:

#### High Level Security

High-level security

#### Medium Level Security

Medium-level security

#### Low Level Security

Low-level security

#### Advanced Security

Custom user-specified security

#### AIX Standard Settings

Original system default security

#### Undo Security

Some AIX Security Expert configuration settings can be undone

#### Check Security

Provides a detailed report of current security settings

## AIX Security Expert security hardening

Security hardening protects all elements of a system by tightening security or implementing a higher level of security.

Security hardening helps ensure that all security configuration decisions and settings are adequate and appropriate. Hundreds of security configuration settings might have to be changed to harden the security of an AIX system.

AIX Security Expert provides a menu to centralize effective common security configuration settings. These settings are based on extensive research on properly securing UNIX systems. Default security settings for broad security environment needs (High Level Security, Medium Level Security, and Low Level Security) are provided, and advanced administrators can set each security configuration setting independently.

Configuring a system at too high a security level might deny services that are needed. For example, **telnet** and **rlogin** are disabled for High Level Security because the login password is sent over the network unencrypted. If a system is configured at too low a security level, the system can be vulnerable to security threats. Since each enterprise has its own unique set of security requirements, the predefined High Level Security, Medium Level Security, and Low Level Security configuration settings are best suited as a starting point for security configuration rather than an exact match for the security requirements of a particular enterprise.

The practical approach to using AIX Security Expert, is to establish a test system (in a realistic test environment) similar to the production environment in which it will be deployed. Install necessary business applications and run AIX Security Expert via the GUI. The AIX Security Expert will analysis this running system in this trusted state. Depending on the security options you chose, AIX Security Expert will enable port scan protection will be enabled, turn on auditing, block network ports that are not in use by the business applications or other services, along with many other security settings. After re-testing with these security configurations in place, the system is ready to be deployed in a production environment. Also, the AIX Security Expert XMLfile defining the security policy or configuration of this system can be easily be used to implement the exact same configuration on similar systems in your enterprise.

For more information on security hardening, see NIST Special Publication 800-70, NIST Security Configurations Checklist Program for IT Products.

## Secure by default

Secure By Default (SbD) is the concept of installing a minimal set of software in a secure configuration.

The AIX Secure by Default (SbD) installation option installs a lighter version of the TCP client and server filesets, that excludes vulnerable commands and files. The **bos.net.tcp.client** and **bos.net.tcp.server** filesets are part of the SbD installation and contain all commands and files except for any applications that allow for the transmission of passwords over the network in clear text format such as **telnet** and **ftp**. In addition, applications that might be used, such as **rsh**, **rcp**, and **sendmail**, are excluded from the SbD filesets.

The final automated process of the SbD install is to impose the AIX Security Expert high-level security configuration settings. You can do this by running the **aixpert** command from `/etc/firstboot` script: `/usr/sbin/aixpert -f /etc/security/aixpert/core/SbD.xml -p 2>/etc/security/aixpert/log/firstboot.log`

It is possible to move the machine out of SbD mode by changing the ODM variable `SbD_STATE` to `sbd_disable`, installing the **bos.net.tcp.client** and **bos.net.tcp.server** filesets again, and using the AIX Security Expert to bring the system to its default security level.

It is not possible to use migration install or preservation install to achieve a SbD installed system. SbD is a separate install menu path.

**Note:** When you update a system that is in SbD mode with a service pack, the updated system is not in SbD mode following the upgrade.

It is possible to have a securely configured system without using the SbD install option. For example, the AIX Security Expert High, Medium, or Low level security options can be configured on a regular installation.

The differences between an SbD-installed system and a regular installation with an AIX Security Expert High Level Security configuration is best illustrated by examining the **telnet** command. In both cases, the **telnet** command is disabled. In an SbD installation, the **telnet** binary or application is never even installed on the system.

When the SbD installation is used, the following services are either not installed on the system at install time or are disabled. With some of these services not installed on the system, it is not possible to access or run these commands from the system. If these commands and programs are needed, do not use the SbD install option. In addition, if any scripts, remote programs, or dependent filesets require these commands and programs, do not use the SbD install option.

| Service | Program           | Arguments         |
|---------|-------------------|-------------------|
| bootps  | /usr/sbin/bootpd  | bootpd /etc/bootp |
| comsat  | /usr/sbin/comsat  | comsat            |
| exec    | /usr/sbin/rexecd  | rexecd            |
| finger  | /usr/sbin/fingerd | fingerd           |

| Service | Program                            | Arguments                                        |
|---------|------------------------------------|--------------------------------------------------|
| ftp     | /usr/sbin/ftpd                     | ftpd                                             |
| instsrv | /u/netinst/bin/instsrv             | instsrv -r /tmp/netinstalllog /u/netinst/scripts |
| login   | /usr/sbin/rlogind                  | rlogind                                          |
| netstat | /usr/bin/netstat                   | netstat -f inet                                  |
| ntalk   | /usr/sbin/talkd                    | talkd                                            |
| pcnfsd  | /usr/sbin/rpc.pcnfsd               | pcnfsd                                           |
| rex     | /usr/sbin/rpc.rexd                 | rex                                              |
| rquotad | /usr/sbin/rpc.rquotad              | rquotad                                          |
| rstatd  | /usr/sbin/rpc.rstatd               | rstatd                                           |
| rusersd | /usr/lib/netsvc/rusers/rpc.rusersd | rusersd                                          |
| rwalld  | /usr/lib/netsvc/rwall/rpc.rwalld   | rwalld                                           |
| shell   | /usr/sbin/rshd                     | rshd                                             |
| sprayd  | /usr/lib/netsvc/spray/rpc.sprayd   | sprayd                                           |
| systat  | /usr/bin/ps                        | ps -ef                                           |
| talk    | /usr/sbin/talkd                    | talkd                                            |
| telnet  | /usr/sbin/telnetd                  | telnetd -a                                       |
| tftp    | /usr/sbin/tftpd                    | tftpd -n                                         |
| uucp    | /usr/sbin/uucpd                    | uucpd                                            |

## Distributing security policy through LDAP

LDAP can be used to distribute AIX Security Expert XML configuration files. You can use AIX Security Expert to copy a security configuration from one system to another. This allows for similar systems to have the same security configuration. This consistency can reduce security vulnerabilities.

The recommended practice is to use AIX Security Expert to configure a single system and set the security level in accordance with corporate security policies and the environment in which the system will operate. This configuration is captured in the `/etc/security/aixpert/core/applieaixpert.xml` file. This file can then be moved to a configured and trusted [LDAP](#) server. Other systems with connectivity to this LDAP server will automatically discover this XML configuration file via the **aixpertldap** command.

Any existing LDAP Server can be updated with the aixpert schema to distribute the aixpert configuration XML files onto each client connected. If the LDAP server does not have the aixpert schema updated, update the aixpert schema onto LDAP with the following command: `ldapmodify -c -D <bindDN> -w <bindPwd> -i /etc/security/ldap/sec.ldif` Once the LDAP server is updated with aixpert schema, clients can place their XML configuration files on LDAP using the `-u` option of the **aixpertldap** command. These configuration files need to be updated manually.

**Note:** This feature relies on the trust model LDAP has in place. Users who have privileges to write to LDAP can modify the data uploaded by users of a different machine. Similarly, if an LDAP client has a security vulnerability, then this can be exploited to read and understand the security status of other LDAP clients by reading the AIX Security Expert XML configuration files associated with the client.

For example, an `applieaixpert.xml` file can be saved on the LDAP server under the name **BranchOfficeSecurityProfile**. Or a differently configured `applieaixpert.xml` file might be saved under the name **InternetDirectAttachedSystemsProfile**. As other systems with LDAP connectivity are configured with AIX Security Expert, these security profiles are automatically presented as menu options.

This allows the system administrator to select the security profile which best suits their environment within the guidelines of their corporate security policies.

Then AIX Security Expert is used to secure a system. The complete list of security configuration settings implemented on the system is captured in the file `/etc/security/aixpert/core/applieaiaixpert.xml`. This file is the security policy for this system. The security policy is compared when the AIX Security Expert Check Security option is used. This security policy can also be copied and applied to other systems, which provides consistency in the security of systems throughout your IT environment. There are two ways to copy a security policy onto other systems, manually or through LDAP.

## AIX Security Expert security policy copy

You can use AIX Security Expert to copy a security policy from one system to another.

You can run AIX Security Expert on one system and apply the same security policy on other systems. For example, Bob wishes to apply AIX Security Expert on his six AIX systems. He applies the security settings on one system (Alpha) with High, Medium, Low, Advanced, or AIX Standard Settings security. He tests this system for compatibility issues within his environment. If he is satisfied with these settings, he can apply the same settings on the other AIX systems by name. He copies the settings from the system Alpha to the system where he wants to apply the same security settings by copying the `/etc/security/aixpert/core/applieaiaixpert.xml` file from Alpha to the other system.

**Note:** Do not copy this file to the same directory and filename on the other system, because the `aixpert` command will write over `/etc/security/aixpert/core/applieaiaixpert.xml` as it implements the security policy.

Instead, copy Alpha's security policy to the `/etc/security/aixpert/custom/` directory. This allows the other system to view and apply Alpha's security policy through the AIX Security Expert system management GUI, or directly with the `aixpert` command.

For example, if the Alpha's `applieaiaixpert.xml` security policy was placed on the other systems as `/etc/security/aixpert/custom/AlphaPolicy`, then the command `aixpert -f /etc/security/aixpert/custom/AlphaPolicy` would immediately apply this security policy and this system would have the same security configuration as machine Alpha. Additionally, when Alpha's security policy is in this directory, it is visible and can be applied through the other systems system management console via the path of AIX Security Expert -> Overview and Tasks -> Customized Options -> AlphaPolicy.

## Customizable security policy with user-defined AIX Security Expert XML rules

You can use XML files to configure unique security policies.

AIX Security Expert dynamically recognizes these XML files. Any custom XML security policy files created should be placed in the directory `/etc/security/aixpert/custom/` with a descriptive file. Therefore, when AIX Security Expert is accessed via a console graphical interface, the rich set of graphical XML features in the `aixpert` DTD will be fully realized.

The DTD is as follows:

```
<?xml version='1.0'?>
<!--START-->
<!ELEMENT AIXPertSecurityHardening (AIXPertEntry+)>
<!-- AIXPertEntry should contain only one instance of the following elements. -->
<!ELEMENT AIXPertEntry (AIXPertRuleType,
 AIXPertDescription, AIXPertPrereqList, AIXPertCommand,
 AIXPertArgs,AIXPertGroup)>
<!-- AIXPertEntry's name should be unique. -->
<!ATTLIST AIXPertEntry
 name ID #REQUIRED
 function CDATA ""
```

```

>
<!ELEMENT AIXPertRuleType EMPTY>
<!ATTLIST AIXPertRuleType type (LLS|HLS|DLS|SCBPS|Prereq) "DLS">
<!ELEMENT AIXPertDescription (#PCDATA)>
<!ELEMENT AIXPertPrereqList (#PCDATA)>
<!ELEMENT AIXPertCommand (#PCDATA)>
<!ELEMENT AIXPertArgs (#PCDATA)*>
<!ELEMENT AIXPertGroup (#PCDATA)*>

```

The AIXPertEntry name is a unique name within the XMLfile. This name will be the name of the selectable graphic button when this file is viewed via a system console via the path Aix Security Expert -> Overview and Tasks -> Customized Options -> <xml file=""></xml>.

#### **<!ELEMENT AIXPertRuleType EMPTY>**

This XML file should be specified as custom.

#### **<!ATTLIST AIXPertRuleType type (LLS|HLS|DLS|SCBPS|Prereq|Custom) "DLS"**

This XML file should be specified as custom.

#### **<!ELEMENT AIXPertDescription (#PCDATA)>**

When viewed via the above mentioned graphical interface, the description text is displayed as a pop-up window then the mouse is placed on this button.

#### **<!ELEMENT AIXPertPrereqList (#PCDATA)>**

It is possible to select a prerequisite rule to this rule. The prerequisite rule must return 0, before aixpert will implement this rule. If this XML file is viewed through a graphical interface, this rule will be grayed-out if the prerequisite rule is not satisfied. If you are creating a prerequisite rule, the AIXPertRuleType must be 'Prereq'.

The AIXPertDescription field of the prerequisite rule should describe what should be done to satisfy the prereq rule. If the Custom rules is grayed-out because one of its Prereq rules is not satisfied, then the user is shown the description pop-up window of the Prereq rule, which explains what the user must do to correct the prerequisite condition.

#### **<!ELEMENT AIXPertCommand (#PCDATA)>**

This element must be the full path and command which aixpert will execute for this security rule, e.g. /usr/bin/ls.

#### **<!ELEMENT AIXPertArgs (#PCDATA)\*>**

This element must contain any arguments to the above command, e.g. -l

#### **<!ELEMENT AIXPertGroup (#PCDATA)\*>**

It is possible to group a set of aixpert rules when they are displayed via a graphical interfaces. For example, a common set of rules might all specify a AIXPertGroup name of "Network Security".

## **Stringent check for weak passwords**

This AIX feature checks for weak passwords when passwords are changed. If this option is selected with AIX Security Expert, this additional password check is performed when a user selects or changes their password. This check guards against the use of English dictionary words and the 1000 most common US first names based on a recent US Census.

## **COBIT control objectives supported by AIX Security Expert**

AIX Security Expert supports the SOB-COBIT Best Practices Security level in addition to the High, Medium, Low, AIX Default and Advanced Security settings.

The United States Congress enacted the 'Sarbanes-Oxley Act of 2002' to protect investors by improving the accuracy and reliability of financial information disclosed by corporations. The COBIT control objectives feature will help System Administrators to configure, maintain, and audit their IT systems for compliance with this law. The SOX Configuration Assistant is accessed through the aixpert command line. The feature assists with the SOX section 404 of the Sarbanes-Oxley Act, but The AIX Security Expert SOX Configuration Assistant automatically implements security settings commonly associated with COBIT best practices for SOX Section 404, Internal Controls. Additionally, the AIX Security Expert provides a SOX audit feature which reports to the auditor whether the system is currently configured in this manner.

The feature allows for the automation of system configuration to aid in IT SOX compliance and in the automation of the audit process.

Since SOX does not offer guidance on how IT must comply with section 404, the IT industry has focused on the existing governance detailed by [www.isaca.org/](http://www.isaca.org/). More specifically, the IT governance covered by Control Objectives for Information and related Technology (COBIT).

AIX Security Expert supports the following control objectives:

- Password policy enforcement
- Violation and Security Activity Reports
- Malicious software prevention, detection and correction, and unauthorized software
- Firewall architecture and connections with public networks

AIX Security Expert does not support all of the attributes specified under each control objective. The supported attributes and their respective control objectives are summarized in the following tables:

### Password policy enforcement

| Description                      | Security setting |
|----------------------------------|------------------|
| Maximum password age             | maxage=13        |
| Enforce password history         | histsize=20      |
| Minimum password age             | minage=1         |
| Minimum password length          | minlen=8         |
| Contains at least 6 characters   | Minalpha=6       |
| Similarity to old password       | mindiff=4        |
| Password expiration warning days | pwdwarntime=14   |

### Security violations and activity report

| Description                              | Security setting | Remarks                                                                           |
|------------------------------------------|------------------|-----------------------------------------------------------------------------------|
| Auditing Enabled                         | yes              |                                                                                   |
| No direct root logins                    | yes              |                                                                                   |
| Enable auditing for privilege escalation | yes              | AIXpert leverages the USER_SU audit event. Please ensure this event is turned on. |

### Malicious software detection and correction

AIX Security Expert leverages the AIX trusted software execution feature to ensure that the software is not tampered with by anyone. The **trustchk** command checks the consistency of the objects that are registered in the Trusted Software database.

### Firewall setup

AIX Security Expert turns on IPSec and enables filter rules to avoid port scans. The ports that are shunned are listed in the following table:

| Service        | Description |
|----------------|-------------|
| Tcp/11, udp/11 | Systat      |

| <b>Service</b>           | <b>Description</b>                      |
|--------------------------|-----------------------------------------|
| Tcp/13, udp/13           | Daytime                                 |
| (RFC 867) Tcp/19, udp/19 | Character Generator                     |
| Tcp/25                   | Simple Mail Transfer (SMTP)             |
| Tcp/43, udp/43           | Who Is (nickname)                       |
| Tcp/63, udp/63           | Whois++                                 |
| Tcp/67, udp/67           | Bootstrap protocol server (bootps)      |
| Tcp/68, udp/68           | Bootstrap protocol client (bootpc)      |
| Tcp/69, udp/69           | Trivial file transfer                   |
| (tftp) Tcp/79, udp/79    | Finger                                  |
| Tcp/87                   | Private Terminal Link                   |
| Tcp/110                  | Post office protocol – version 3 (POP3) |
| Udp/111                  | SUN Remote Procedure Call               |
| Tcp/113                  | Authentication Service (auth)           |
| Udp/123                  | Network Time Protocol                   |
| Udp/161                  | SNMP                                    |
| Udp/162                  | SNMPTRAP                                |
| Tcp/194                  | Internet Relay chat Protocol            |
| Tcp/443                  | http protocol over TLS/SSL              |
| Tcp/511                  | PassGo                                  |
| Tcp/514                  | Cmd (shell)                             |
| Tcp/520                  | Extended file name server (efs)         |
| Tcp/540                  | Uucpd (uucp)                            |
| Tcp/546                  | DHCPv6 Client                           |
| Tcp/547                  | DHCPv6 Server                           |
| Tcp/555                  | Dsf                                     |
| tcp/559                  | TEEDTAP                                 |
| tcp/593                  | HTTP RPC Ep Map                         |
| udp/635                  | RLS Dbase                               |
| tcp/666                  | Mdqs                                    |
| tcp/777                  | Multiling HTTP                          |
| tcp/901                  | SNMPNSMERES                             |
| tcp/902                  | IDEAFARM-CHAT                           |
| tcp/903                  | IDEAFARM-CATCH                          |
| tcp/1024                 | Reserved                                |

## Applying COBIT control objectives using AIX Security Expert

You can use the **aixpert -l s** command to apply the SCBPS level to the system. The audit log for this can be generated by turning on the **AIXpert\_apply** event. Any failures (either a prerequisite failure or an apply failure) are reported to **stderr** and the audit subsystem if enabled.

## SOX-COBIT compliance checking, audit, and pre-audit feature

You can use the **aixpert -c -l s** command to check a system's SOX-COBIT compliance. AIX Security Expert only checks for the supported control objectives compliance. Any violations found during the checking are reported. By default, any violations are sent to **stderr**.

You can also use the same command (**aixpert -c -l s**) to generate the SOX-COBIT compliance audit report. To generate an audit report, set up and enable the audit subsystem. Ensure that the **AIXpert\_check** audit event is turned on. After setting up the audit subsystem, rerun the **aixpert -c -l s** command. The command generates the audit log for every failed control objective. The **Status** field of the audit log will be marked as **failed**. The log also contains the reason for the failure, which can be viewed using the **-v** option of **auditpr** command.

Adding **-p** option to the **aixpert -c -l s** command also includes successful control objectives also in the audit report. Those log entries have **Ok** in the status field.

The **aixpert -c -l s -p** command can be used to generate a detailed SOX-COBIT compliance audit report.

Whether or not the **-p** option is specified, there will be a summary record. The summary record includes information about the number of rules processed, the number of failed rules (instances of non-compliance found), and the security level that the system is checked for (in this instance, this would be SCBPS).

## AIX Security Expert Password Policy Rules group

AIX Security Expert provides specific rules for password policy.

Strong password policies are one of the building blocks for achieving system security. Password policies ensure that passwords are difficult to guess (passwords have a proper mix of alphanumeric characters, digits, and special characters), expire regularly, and are not reusable after expiration. The following table lists the password policy rules for each security setting.

| <i>Table 21. AIX Security Expert Password Policy Rules</i> |                                                                                                                                                                                                  |                                                                                                                                                            |      |
|------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| Action button name                                         | Definition                                                                                                                                                                                       | Value set by AIX Security Expert                                                                                                                           | Undo |
| <b>Minimum number of characters</b>                        | Sets appropriate value to <b>mindiff</b> attribute of <b>/etc/security/user</b> , which specifies the minimum number of characters required in a new password that were not in the old password. | <b>High Level Security</b><br>4<br><b>Medium Level Security</b><br>3<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>No limit | Yes  |

Table 21. AIX Security Expert Password Policy Rules (continued)

| Action button name                             | Definition                                                                                                                                                           | Value set by AIX Security Expert                                                                                                                                                                                        | Undo |
|------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| <b>Minimum age for password</b>                | Sets appropriate value to <b>minage</b> attribute of <code>/etc/security/user</code> , which specifies the minimum number of weeks before a password can be changed. | <b>High Level Security</b><br>1<br><b>Medium Level Security</b><br>4<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>4                                                                     | Yes  |
| <b>Maximum age for password</b>                | Sets appropriate value to <b>maxage</b> attribute of <code>/etc/security/user</code> , which specifies the maximum number of weeks before a password can be changed. | <b>High Level Security</b><br>13<br><b>Medium Level Security</b><br>13<br><b>Low Level Security</b><br>52<br><b>AIX Standard Settings</b><br>13                                                                         | Yes  |
| <b>Minimum length for password</b>             | Sets appropriate value to <b>minlen</b> attribute of <code>/etc/security/user</code> , which specifies the minimum length of a password.                             | <b>High Level Security</b><br>8<br><b>Medium Level Security</b><br>8<br><b>Low Level Security</b><br>8<br><b>AIX Standard Settings</b><br>10                                                                            | Yes  |
| <b>Minimum number of alphabetic characters</b> | Sets appropriate value to <b>minalpha</b> attribute of <code>/etc/security/user</code> , which specifies the minimum number of alphabetic characters in a password.  | <b>High Level Security</b><br>2<br><b>Medium Level Security</b><br>2<br><b>Low Level Security</b><br>2<br><b>AIX Standard Settings</b><br>2                                                                             | Yes  |
| <b>Password reset time</b>                     | Sets appropriate value to <b>histexpire</b> attribute of <code>/etc/security/user</code> , which specifies the number of weeks before a password can be reset.       | You can assign integer value between 0 and 260 to the <b>histexpire</b> attribute.<br><br>You can assign the value of 26 to the <b>histexpire</b> attribute and user will not be able to reuse a password for 6 months. | Yes  |

Table 21. AIX Security Expert Password Policy Rules (continued)

| Action button name                                   | Definition                                                                                                                                                                                                      | Value set by AIX Security Expert                                                                                                                            | Undo |
|------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| <b>Maximum times a char can appear in a password</b> | Sets appropriate value to <b>maxrepeats</b> attribute of <code>/etc/security/user</code> , which specifies the maximum number of times a character can appear in a password.                                    | <b>High Level Security</b><br>2<br><b>Medium Level Security</b><br>No effect<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>8 | Yes  |
| <b>Password reuse time</b>                           | Sets appropriate value to <b>histsize</b> attribute of <code>/etc/security/user</code> , which specifies the number of previous passwords that a user cannot reuse.                                             | <b>High Level Security</b><br>20<br><b>Medium Level Security</b><br>4<br><b>Low Level Security</b><br>4<br><b>AIX Standard Settings</b><br>4                | Yes  |
| <b>Time to change password after the expiration</b>  | Sets appropriate value to <b>maxexpired</b> attribute of <code>/etc/security/user</code> , which specifies the maximum number of weeks after <b>maxage</b> that an expired password can be changed by the user. | <b>High Level Security</b><br>2<br><b>Medium Level Security</b><br>4<br><b>Low Level Security</b><br>8<br><b>AIX Standard Settings</b><br>4                 | Yes  |
| <b>Minimum number of non-alphabetic characters</b>   | Sets appropriate value to <b>minother</b> attribute of <code>/etc/security/user</code> , which specifies the minimum of non-alphabetic characters in a password.                                                | <b>High Level Security</b><br>2<br><b>Medium Level Security</b><br>2<br><b>Low Level Security</b><br>2<br><b>AIX Standard Settings</b><br>No limit          | Yes  |
| <b>Password expiration warning time</b>              | Sets appropriate value to <b>pwdwarntime</b> attribute of <code>/etc/security/user</code> , which specifies the number of days before the system issues a warning that a password change is required.           | <b>High Level Security</b><br>5<br><b>Medium Level Security</b><br>14<br><b>Low Level Security</b><br>5<br><b>AIX Standard Settings</b><br>5                | Yes  |

## AIX Security Expert User Group System and Password definitions group

AIX Security Expert performs specific actions for user, group, and password definitions.

| Table 22. AIX Security Expert User Group System and Password Definitions |                                                                                                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                  |      |
|--------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| Action button name                                                       | Description                                                                                                                                                                                                                                                                                                                                                           | Value set by AIX Security Expert                                                                                                                                                 | Undo |
| <b>Check group definitions</b>                                           | <p>Verifies the correctness of group definitions. Runs the following command to fix and report errors:</p> <pre>% grpck -y ALL</pre>                                                                                                                                                                                                                                  | <p><b>High Level Security</b><br/>Yes</p> <p><b>Medium Level Security</b><br/>Yes</p> <p><b>Low Level Security</b><br/>Yes</p> <p><b>AIX Standard Settings</b><br/>No effect</p> | No   |
| <b>TCB update</b>                                                        | <p>Uses the <b>tcbck</b> command to verify and update TCB. Runs the following command:</p> <pre>% tcbck -y ALL</pre> <p><b>Note:</b> If TCB is required on your system, this rule will fail if TCB is not enabled. The prerequisite rule (prereqtc) will also fail with a warning.</p> <p><b>Prerequisite:</b> TCB must be selected when the system is installed.</p> | <p><b>High Level Security</b><br/>Yes</p> <p><b>Medium Level Security</b><br/>Yes</p> <p><b>Low Level Security</b><br/>Yes</p> <p><b>AIX Standard Settings</b><br/>Yes</p>       | No   |
| <b>Check file definitions</b>                                            | <p>Uses the <b>sysck</b> command to check and fix the file base of /etc/objrepos/inventory:</p> <pre>% sysck -i -f \ /etc/security/sysck.cfg.rte</pre>                                                                                                                                                                                                                | <p><b>High Level Security</b><br/>Yes</p> <p><b>Medium Level Security</b><br/>Yes</p> <p><b>Low Level Security</b><br/>Yes</p> <p><b>AIX Standard Settings</b><br/>No effect</p> | No   |
| <b>Check password definitions</b>                                        | <p>Verifies the correctness of password definitions. Runs the following command to fix and report errors:</p> <pre>% pwdck -y ALL</pre>                                                                                                                                                                                                                               | <p><b>High Level Security</b><br/>Yes</p> <p><b>Medium Level Security</b><br/>Yes</p> <p><b>Low Level Security</b><br/>Yes</p> <p><b>AIX Standard Settings</b><br/>No effect</p> | No   |

Table 22. AIX Security Expert User Group System and Password Definitions (continued)

| Action button name            | Description                                                                                                          | Value set by AIX Security Expert                                                                                                                          | Undo |
|-------------------------------|----------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| <b>Check user definitions</b> | Verifies correctness of user definitions. Runs the following command to fix and report errors:<br><br>% usrck -y ALL | <b>High Level Security</b><br>Yes<br><b>Medium Level Security</b><br>Yes<br><b>Low Level Security</b><br>Yes<br><b>AIX Standard Settings</b><br>No effect | No   |

## AIX Security Expert Login Policy Recommendations group

AIX Security Expert provides specific settings for login policy.

**Note:** To ensure better accountability of security-related activities that are performed by root, it is recommended that users first log in using their normal user ID and then run the **su** command to run commands as root, rather than logging in as root. The system can then associate different users to activities performed using the root account when multiple users know and use the root password.

Table 23. AIX Security Expert Login Policy Recommendations

| Action button name                                         | Description                                                                                                                                                                                                                                                                                                                                                                                                         | Value set by AIX Security Expert                                                                                                                               | Undo |
|------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| <b>Interval between unsuccessful logins</b>                | Sets appropriate value to <b>logininterval</b> attribute of /etc/security/login.cfg, which specifies the time interval (in seconds) during which the unsuccessful login attempts for a port must occur before the port is disabled. For example, if <b>logininterval</b> is set to 60 and <b>logindisable</b> is set to 4, the account is disabled if there are four unsuccessful login attempts within one minute. | <b>High Level Security</b><br>300<br><b>Medium Level Security</b><br>60<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>No limit  | Yes  |
| <b>Number of login attempts before locking the account</b> | Sets appropriate value to <b>loginretries</b> attribute of /etc/security/user, which specifies the number of consecutive login attempts per account before the account is disabled. Do not set on root.                                                                                                                                                                                                             | <b>High Level Security</b><br>3<br><b>Medium Level Security</b><br>4<br><b>Low Level Security</b><br>5<br><b>AIX Standard Settings</b><br>No limit             | Yes  |
| <b>Remote root login</b>                                   | Changes the value of <b>rlogin</b> attribute of /etc/security/user, which specifies whether remote login is allowed or not on the system for root account.                                                                                                                                                                                                                                                          | <b>High Level Security</b><br>False<br><b>Medium Level Security</b><br>False<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>True | Yes  |

Table 23. AIX Security Expert Login Policy Recommendations (continued)

| Action button name                                     | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | Value set by AIX Security Expert                                                                                                                                   | Undo |
|--------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| <b>Re-enable login after locking</b>                   | Sets appropriate value to <b>loginreenable</b> attribute of <code>/etc/security/login.cfg</code> , which specifies the time interval (in seconds) after which a port is unlocked after the port is disabled by <b>logindisable</b> .                                                                                                                                                                                                                                                                                    | <b>High Level Security</b><br>360<br><b>Medium Level Security</b><br>30<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>No limit      | Yes  |
| <b>Disable login after unsuccessful login attempts</b> | Sets appropriate value to <b>logindisable</b> attribute of <code>/etc/security/login.cfg</code> , which specifies the number of unsuccessful login attempts on a port before the port is locked.                                                                                                                                                                                                                                                                                                                        | <b>High Level Security</b><br>10<br><b>Medium Level Security</b><br>10<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>No limit       | Yes  |
| <b>Login timeout</b>                                   | Sets appropriate value to <b>logintimeout</b> attribute of <code>/etc/security/login.cfg</code> , which specifies the time interval allowed to type in a password.                                                                                                                                                                                                                                                                                                                                                      | <b>High Level Security</b><br>30<br><b>Medium Level Security</b><br>60<br><b>Low Level Security</b><br>60<br><b>AIX Standard Settings</b><br>60                    | Yes  |
| <b>Delay between unsuccessful logins</b>               | Sets appropriate value to <b>logindelay</b> attribute of <code>/etc/security/login.cfg</code> , which specifies the delay (in seconds) between unsuccessful logins. An additional delay period is added after each failed login. For example, if <b>logindelay</b> is set to 5, the terminal will wait five seconds after the first failed login until the next request. After a second failed login, the terminal will wait 10 seconds (2*5), and after a third failed login, the terminal will wait 15 seconds (3*5). | <b>High Level Security</b><br>10<br><b>Medium Level Security</b><br>4<br><b>Low Level Security</b><br>5<br><b>AIX Standard Settings</b><br>No limit                | Yes  |
| <b>Local login</b>                                     | Changes the value of <b>login</b> attribute of <code>/etc/security/user</code> , which specifies whether console login is allowed or not on the system for root account.                                                                                                                                                                                                                                                                                                                                                | <b>High Level Security</b><br>False<br><b>Medium Level Security</b><br>No effect<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>True | Yes  |

## AIX Security Expert Audit Policy Recommendations group

AIX Security Expert provides specific audit policy settings.

As with other security settings, bin auditing also needs the analysis (prerequisite) rules to be satisfied before applying any audit rules for High, Medium, or Low Level Security. The following analysis rules need to be satisfied for bin auditing:

1. The prerequisite rule to audit must check to see that audit is not currently running. If auditing is already running, then audit has been previously configured and AIX Security Expert must not alter the existing audit configuration and procedure.
2. There must be at least 100 megabytes of free space in a volume group that is automatically varied on or the `/audit` filesystem must currently exist with a size of 100 megabytes or more.

If the above prerequisite conditions are met, and the audit options is selected with in AIX Security Expert, then AIX Security Expert will configure and enable auditing on the system in the following manner. The AIX Security Expert **Enable binaudit** action button sets audit policy. Auditing must be enabled on the system.

1. The `/audit` JFS file system must be created and mounted before starting audit. The file system must have a size of at least 100 megabytes.
2. Audit must be run in bin mode. The `/etc/security/audit/config` file must be configured as follows:

```
start:
 binmode = on
 streammode = off
bin:
 trail = /audit/trail
 bin1 = /audit/bin1
 bin2 = /audit/bin2
 binsize = 10240
 cmds
= /etc/security/audit/bincmds
.
etc
```

3. Add the auditing entries for root and normal user for High, Medium, and Low Level Security.
4. Audit must be enabled on reboot for High, Medium, and Low Level Security.
5. New users created must have audit enabled for High, Medium, and Low Level Security. This can be done by adding an `auditclasses` entry to the user stanza in the `/usr/lib/security/mkuser.default` file.
6. A **crontjob** must be added to avoid filling up the `/audit` filesystem.

The audit undo rule must shut down audit and remove its enablement on reboot.

The following tables lists the values set by AIX Security Expert for **Enable binaudit**:

Table 24. Values set by AIX Security Expert for Enable binaudit

| High Level Security                                                                                                                                                                                                                                                                                                                                                                                                                    | Medium Level Security                                                                                                                                                                                                                                                                                                                                                | Low Level Security                                                                                                                                                                                                                                                                                                                                  | AIX Standard Settings                                                                                                                                                                                                                                                                                           |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Add the following auditing entries for root and normal user:</p> <pre> Root:     General     Src     Mail     Cron     Tcpi     Ipsec     Lvm  User:     General     Src     Cron     Tcpi                     </pre> <p>Add the following entry in the user stanza of the <code>/usr/lib/security/mkuser.default</code> file for enabling auditing for newly created users:</p> <pre>auditclasses=general, SRC, \ cron, tcpi</pre> | <p>Add the following auditing entries for root and normal user:</p> <pre> Root:     General     Src     Tcpi  User:     General     Tcpi                     </pre> <p>Add the following entry in the user stanza of the <code>/usr/lib/security/mkuser.default</code> file for enabling auditing for newly created users:</p> <pre>auditclasses=general, tcpi</pre> | <p>Add the following auditing entries for root and normal user:</p> <pre> Root:     General     Tcpi  User:     General                     </pre> <p>Add the following entry in the user stanza of the <code>/usr/lib/security/mkuser.default</code> file for enabling auditing for newly created users:</p> <pre>auditclasses=general, tcpi</pre> | <p>The <code>/etc/security/audit/config</code> file contains the following entry:</p> <pre>default=login</pre> <p>Audit class login is defined as follows:</p> <pre>login = USER_SU, USER_Login, USER_Logout, TERM_Logout, USER_Exit</pre> <p><b>Note:</b> The standard settings feature disables auditing.</p> |

Table 24. Values set by AIX Security Expert for Enable binaudit (continued)

| High Level Security                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Medium Level Security                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | Low Level Security                                                                                                                                                                                                                                                                                                                                                                                                                                         | AIX Standard Settings |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|
| <p>Add the following auditing entries for root and normal user:</p> <p><b>root:</b></p> <ul style="list-style-type: none"> <li>general</li> <li>src</li> <li>mail</li> <li>cron</li> <li>tcpip</li> <li>ipsec</li> <li>lvm</li> <li>aixpert</li> </ul> <p><b>User:</b></p> <ul style="list-style-type: none"> <li>general</li> <li>src</li> <li>cron</li> <li>tcpip</li> </ul> <p>Add the following entry in the user stanza of the <code>/usr/lib/security/mkuser.default</code> file for enabling auditing for newly created users:</p> <pre>auditclasses=general, SRC , cron, tcpip</pre> | <p>Add the following auditing entries for root and normal user:</p> <p><b>root:</b></p> <ul style="list-style-type: none"> <li>general</li> <li>src</li> <li>tcpip</li> <li>aixpert</li> </ul> <p><b>User:</b></p> <ul style="list-style-type: none"> <li>general</li> <li>tcpip</li> </ul> <p>Add the following entry in the user stanza of the <code>/usr/lib/security/mkuser.default</code> file for enabling auditing for newly created users:</p> <pre>auditclasses=general, tcpip</pre> | <p>Add the following auditing entries for root and normal user:</p> <p><b>root:</b></p> <ul style="list-style-type: none"> <li>general</li> <li>tcpip</li> <li>aixpert</li> </ul> <p><b>User:</b></p> <ul style="list-style-type: none"> <li>general</li> </ul> <p>Add the following entry in the user stanza of the <code>/usr/lib/security/mkuser.default</code> file for enabling auditing for newly created users:</p> <pre>auditclasses=general</pre> | <p>Yes</p>            |

The cronjob must run every hour and check the size of `/audit`. If the Audit Freespace Equation is true then the Audit Trail Copy Actions must be performed. The Audit Freespace Equation is defined to ensure that the `/audit` filesystem is not full; if the `/audit` filesystem is full, the Audit Trail Copy Actions are done (disabling auditing, taking backup of `/audit/trail` to `/audit/trailOneLevelBack`, and re-enabling auditing).

## AIX Security Expert /etc/inittab Entries group

AIX Security Expert comments out specific entries in /etc/inittab so that they do not start when the system boots.

| Table 25. AIX Security Expert /etc/inittab Entries     |                                                                                                                                                         |                                                                                                                                                                         |      |
|--------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| Action button name                                     | Description                                                                                                                                             | Value set by AIX Security Expert                                                                                                                                        | Undo |
| Disable <b>qdaemon</b> /<br>Enable <b>qdaemon</b>      | Comments out or uncomments the following entry in /etc/inittab:<br><br><code>qdaemon:2:wait:/usr/bin/startsrc -sqdaemon</code>                          | <b>High Level Security</b><br>Comment<br><b>Medium Level Security</b><br>Comment<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>Uncomment | Yes  |
| Disable <b>lpd</b> daemon/<br>Enable <b>lpd</b> daemon | Comments out or uncomments the following entry in /etc/inittab:<br><br><code>lpd:2:once:/usr/bin/startsrc -s lpd</code>                                 | <b>High Level Security</b><br>Comment<br><b>Medium Level Security</b><br>Comment<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>Uncomment | Yes  |
| Disable CDE/<br>Enable CDE                             | If the system does not have an LFT configured, comments out or uncomments the following entry in /etc/inittab:<br><br><code>dt:2:wait:/etc/rc.dt</code> | <b>High Level Security</b><br>Comment<br><b>Medium Level Security</b><br>Comment<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>Uncomment | Yes  |

Table 25. AIX Security Expert /etc/inittab Entries (continued)

| Action button name                                         | Description                                                                                                                                          | Value set by AIX Security Expert                                                                                                                                        | Undo |
|------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| Disable <b>piobe</b> daemon/<br>Enable <b>piobe</b> daemon | Comments out or uncomments the following entry in /etc/inittab:<br><br><pre>piobe:2:wait:/usr/lib/lpd/pio/etc/pioint &gt;/dev/null 2&gt;&amp;1</pre> | <b>High Level Security</b><br>Comment<br><b>Medium Level Security</b><br>Comment<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>Uncomment | Yes  |

## AIX Security Expert /etc/rc.tcpip Settings group

AIX Security Expert comments out specific entries in /etc/rc.tcpip so that they do not start when the system boots.

The following table lists entries that are commented out in /etc/rc.tcpip so that they do not start when the system boots.

Table 26. AIX Security Expert /etc/rc.tcpip Settings

| Action button name                     | Description                                                                                                                  | Value set by AIX Security Expert                                                                                                                                          | Undo |
|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| Disable mail client/Enable mail client | Comments out or uncomments the following entry from /etc/rc.tcpip:<br><br><pre>start /usr/lib/sendmail "\$src_running"</pre> | <b>High Level Security</b><br>Comment<br><b>Medium Level Security</b><br>No effect<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>Uncomment | Yes  |
| Disable routing daemon                 | Comments out the following entry from /etc/rc.tcpip:<br><br><pre>start /usr/sbin/routed "\$src_running" -q</pre>             | <b>High Level Security</b><br>Yes<br><b>Medium Level Security</b><br>No effect<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>Yes           | Yes  |

Table 26. AIX Security Expert /etc/rc.tcpip Settings (continued)

| Action button name             | Description                                                                                                | Value set by AIX Security Expert                                                                                                                                | Undo |
|--------------------------------|------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| Disable <b>m</b> routed daemon | Comments out the following entry from /etc/rc.tcpip:<br><pre>start /usr/sbin/mrouted "\$src_running"</pre> | <b>High Level Security</b><br>Yes<br><b>Medium Level Security</b><br>No effect<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>Yes | Yes  |
| Disable <b>t</b> imed daemon   | Comments out the following entry from /etc/rc.tcpip:<br><pre>start /usr/sbin/timed</pre>                   | <b>High Level Security</b><br>Yes<br><b>Medium Level Security</b><br>Yes<br><b>Low Level Security</b><br>Yes<br><b>AIX Standard Settings</b><br>Yes             | Yes  |
| Disable <b>r</b> whod daemon   | Comments out the following entry from /etc/rc.tcpip:<br><pre>start /usr/sbin/rwhod "\$src_running"</pre>   | <b>High Level Security</b><br>Yes<br><b>Medium Level Security</b><br>No effect<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>Yes | Yes  |
| Disable print daemon           | Comments out the following entry from /etc/rc.tcpip:<br><pre>start /usr/sbin/lpd "\$src_running"</pre>     | <b>High Level Security</b><br>Yes<br><b>Medium Level Security</b><br>No effect<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>Yes | Yes  |

Table 26. AIX Security Expert /etc/rc.tcpip Settings (continued)

| Action button name                         | Description                                                                                                            | Value set by AIX Security Expert                                                                                                                                                       | Undo |
|--------------------------------------------|------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| Disable SNMP daemon/<br>Enable SNMP daemon | Comments out or uncomments the following entry from /etc/rc.tcpip:<br><pre>start /usr/sbin/snmpd "\$src_running"</pre> | <b>High Level Security</b><br>Comment<br><b>Medium Level Security</b><br>Comment<br><b>Low Level Security</b><br>Disables the SNMP daemon<br><b>AIX Standard Settings</b><br>Uncomment | Yes  |
| Stop DHCP Agent                            | Comments out the following entry from /etc/rc.tcpip:<br><pre>start /usr/sbin/dhcpd "\$src_running"</pre>               | <b>High Level Security</b><br>Yes<br><b>Medium Level Security</b><br>Yes<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>Yes                              | Yes  |
| Stop DHCP Server                           | Comments out the following entry from /etc/rc.tcpip:<br><pre>start /usr/sbin/dhcpd "\$src_running"</pre>               | <b>High Level Security</b><br>Yes<br><b>Medium Level Security</b><br>Yes<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>Yes                              | Yes  |
| Stop autoconf6                             | Comments out the following entry from /etc/rc.tcpip:<br><pre>start /usr/sbin/autoconf6 ""</pre>                        | <b>High Level Security</b><br>Yes<br><b>Medium Level Security</b><br>No effect<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>Yes                        | Yes  |

Table 26. AIX Security Expert /etc/rc.tcpip Settings (continued)

| Action button name          | Description                                                                                              | Value set by AIX Security Expert                                                                                                                                | Undo |
|-----------------------------|----------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| Disable DNS daemon          | Comments out the following entry from /etc/rc.tcpip:<br><pre>start /usr/sbin/named "\$src_running"</pre> | <b>High Level Security</b><br>Yes<br><b>Medium Level Security</b><br>No effect<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>Yes | Yes  |
| Disable <b>gated</b> daemon | Comments out the following entry from /etc/rc.tcpip:<br><pre>start /usr/sbin/gated "\$src_running"</pre> | <b>High Level Security</b><br>Yes<br><b>Medium Level Security</b><br>Yes<br><b>Low Level Security</b><br>Yes<br><b>AIX Standard Settings</b><br>Yes             | Yes  |
| Stop DHCP Client            | Comments out the following entry from /etc/rc.tcpip:<br><pre>start /usr/sbin/dhcpd "\$src_running"</pre> | <b>High Level Security</b><br>Yes<br><b>Medium Level Security</b><br>Yes<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>Yes       | Yes  |
| Disable DPID2 daemon        | Comments out the following entry from /etc/rc.tcpip:<br><pre>start /usr/sbin/dpid2 "\$src_running"</pre> | <b>High Level Security</b><br>Yes<br><b>Medium Level Security</b><br>No effect<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>Yes | Yes  |

Table 26. AIX Security Expert /etc/rc.tcpip Settings (continued)

| Action button name | Description                                                                                              | Value set by AIX Security Expert                                                                                                                          | Undo |
|--------------------|----------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| Disable NTP daemon | Comments out the following entry from /etc/rc.tcpip:<br><pre>start /usr/sbin/xntpd "\$src_running"</pre> | <b>High Level Security</b><br>Yes<br><b>Medium Level Security</b><br>Yes<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>Yes | Yes  |

## AIX Security Expert /etc/inetd.conf Settings group

AIX Security Expert comments out specific entries in /etc/inetd.conf.

Default installation of AIX enables a number of network services that can possibly compromise the security of the system. AIX Security Expert disables unnecessary and unsecure services by commenting out their respective entries from the /etc/inetd.conf file. For AIX Standard Settings, these entries are uncommented. The following table lists entries that are commented out or uncommented in /etc/inetd.conf.

Table 27. AIX Security Expert /etc/inetd.conf Settings

| Action button name                             | Description                                                                                                                 | Value set by AIX Security Expert                                                                                                                                | Undo |
|------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| Disable <b>sprayd</b> in /etc/inetd.conf       | Comments out the following entry from /etc/inetd.conf:<br><pre>sprayd sunrpc_udp udp wait root \<br/>/usr/lib/netsvc/</pre> | <b>High Level Security</b><br>Yes<br><b>Medium Level Security</b><br>Yes<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>Yes       | Yes  |
| Disable UDP chargen service in /etc/inetd.conf | Comments out the following entry from /etc/inetd.conf:<br><pre>chargen dgram udp wait root internal</pre>                   | <b>High Level Security</b><br>Yes<br><b>Medium Level Security</b><br>No effect<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>Yes | Yes  |

Table 27. AIX Security Expert /etc/inetd.conf Settings (continued)

| Action button name                          | Description                                                                                                                                           | Value set by AIX Security Expert                                                                                                                                          | Undo |
|---------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| Disable telnet /<br>Enable telnet           | Comments out or uncomments the following entry from /etc/inetd.conf:<br><br><pre>telnet stream tcp6 nowait root \<br/>/usr/sbin/telnetd telnetd</pre> | <b>High Level Security</b><br>Comment<br><b>Medium Level Security</b><br>No effect<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>Uncomment | Yes  |
| Disable UDP Echo service in /etc/inetd.conf | Comments out the following entry from /etc/inetd.conf:<br><br><pre>echo dgram udp wait root internal</pre>                                            | <b>High Level Security</b><br>Yes<br><b>Medium Level Security</b><br>No effect<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>Yes           | Yes  |
| Disable <b>tftp</b> in /etc/inetd.conf      | Comments out the following entry from /etc/inetd.conf:<br><br><pre>tftp dgram udp6 SRC nobody \<br/>/usr/sbin/tftpd tftpd -n</pre>                    | <b>High Level Security</b><br>Yes<br><b>Medium Level Security</b><br>Yes<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>Yes                 | Yes  |
| Disable <b>krshd</b> daemon                 | Comments out the following entry from /etc/inetd.conf:<br><br><pre>kshell stream tcp nowait root \<br/>/usr/sbin/krshd krshd</pre>                    | <b>High Level Security</b><br>Yes<br><b>Medium Level Security</b><br>No effect<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>Yes           | Yes  |

Table 27. AIX Security Expert /etc/inetd.conf Settings (continued)

| Action button name                                                                          | Description                                                                                                                                | Value set by AIX Security Expert                                                                                                                                                    | Undo |
|---------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| Disable <b>rusersd</b><br>in /etc/inetd.conf                                                | Comments out the following entry from /etc/inetd.conf:<br><br><pre>rusersd sunrpc_udp udp wait root \     /usr/lib/netsvc/</pre>           | <b>High Level Security</b><br>Yes<br><br><b>Medium Level Security</b><br>Yes<br><br><b>Low Level Security</b><br>No effect<br><br><b>AIX Standard Settings</b><br>Yes               | Yes  |
| Disable <b>rexecd</b><br>in /etc/inetd.conf<br>/ Enable <b>rexecd</b><br>in /etc/inetd.conf | Comments out the following entry from /etc/inetd.conf:<br><br><pre>exec stream tcp6 nowait root \     /usr/sbin/rexecd rexecd</pre>        | <b>High Level Security</b><br>Comment<br><br><b>Medium Level Security</b><br>Comment<br><br><b>Low Level Security</b><br>No effect<br><br><b>AIX Standard Settings</b><br>Uncomment | Yes  |
| Disable POP3D                                                                               | Comments out the following entry from /etc/inetd.conf:<br><br><pre>pop3 stream tcp nowait root \     /usr/sbin/pop3d pop3d</pre>           | <b>High Level Security</b><br>Yes<br><br><b>Medium Level Security</b><br>No effect<br><br><b>Low Level Security</b><br>No effect<br><br><b>AIX Standard Settings</b><br>Yes         | Yes  |
| Disable <b>pcnfsd</b><br>in /etc/inetd.conf                                                 | Comments out the following entry from /etc/inetd.conf:<br><br><pre>pcnfsd sunrpc_udp udp wait root \     /usr/sbin/rpc.pcnfsd pcnfsd</pre> | <b>High Level Security</b><br>Yes<br><br><b>Medium Level Security</b><br>No effect<br><br><b>Low Level Security</b><br>No effect<br><br><b>AIX Standard Settings</b><br>Yes         | Yes  |

Table 27. AIX Security Expert /etc/inetd.conf Settings (continued)

| Action button name                                                                                                          | Description                                                                                                                         | Value set by AIX Security Expert                                                                                                                                          | Undo |
|-----------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| Disable <b>bootpd</b><br>in /etc/<br>inetd.conf                                                                             | Comments out the following entry from /etc/<br>inetd.conf:<br><pre>bootps dgram udp wait root \     /usr/sbin/bootpd</pre>          | <b>High Level Security</b><br>Yes<br><b>Medium Level Security</b><br>Yes<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>Yes                 | Yes  |
| Disable <b>rwalld</b><br>in /etc/<br>inetd.conf                                                                             | Comments out the following entry from /etc/<br>inetd.conf:<br><pre>rwalld sunrpc_udp udp wait root \     /usr/lib/netsvc/</pre>     | <b>High Level Security</b><br>Yes<br><b>Medium Level Security</b><br>Yes<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>Yes                 | Yes  |
| Disable UDP<br>discard<br>service<br>in /etc/<br>inetd.conf                                                                 | Comments out the following entry from /etc/<br>inetd.conf:<br><pre>discard dgram udp wait root \     internal</pre>                 | <b>High Level Security</b><br>Yes<br><b>Medium Level Security</b><br>No effect<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>Yes           | Yes  |
| Disable TCP<br>daytime<br>service<br>in /etc/<br>inetd.conf<br>/ Enable TCP<br>daytime<br>service<br>in /etc/<br>inetd.conf | Comments out or uncomments the following entry<br>from /etc/inetd.conf:<br><pre>daytime stream tcp nowait root \     internal</pre> | <b>High Level Security</b><br>Comment<br><b>Medium Level Security</b><br>No effect<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>Uncomment | Yes  |

Table 27. AIX Security Expert /etc/inetd.conf Settings (continued)

| Action button name                                                                                         | Description                                                                                                                                   | Value set by AIX Security Expert                                                                                                                                          | Undo |
|------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| Disable <b>netstat</b> in /etc/inetd.conf                                                                  | Comments out the following entry from /etc/inetd.conf:<br><pre>netstat stream tcp nowait nobody \   /usr/bin/netstat</pre>                    | <b>High Level Security</b><br>Yes<br><b>Medium Level Security</b><br>Yes<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>Yes                 | Yes  |
| Disable <b>rshd</b> daemon/<br>Enable <b>rshd</b> daemon                                                   | Comments out or uncomments the following entry from /etc/inetd.conf:<br><pre>shell stream tcp6 nowait root \   /usr/sbin/rshd rshd rshd</pre> | <b>High Level Security</b><br>Comment<br><b>Medium Level Security</b><br>Comment<br><b>Low Level Security</b><br>Comment<br><b>AIX Standard Settings</b><br>Uncomment     | Yes  |
| Disable <b>cmsd</b> service in /etc/inetd.conf / Enable <b>cmsd</b> service in /etc/inetd.conf             | Comments out or uncomments the following entry from /etc/inetd.conf:<br><pre>cmsd sunrpc_udp udp wait root \   /usr/dt/bin/rpc.cms cmsd</pre> | <b>High Level Security</b><br>Comment<br><b>Medium Level Security</b><br>No effect<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>Uncomment | Yes  |
| Disable <b>ttdbserver</b> service in /etc/inetd.conf / Enable <b>ttdbserver</b> service in /etc/inetd.conf | Comments out or uncomments the following entry from /etc/inetd.conf:<br><pre>ttdbserver sunrpc_tcp tcp wait \   root /usr/dt/bin/</pre>       | <b>High Level Security</b><br>Comment<br><b>Medium Level Security</b><br>No effect<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>Uncomment | Yes  |

Table 27. AIX Security Expert /etc/inetd.conf Settings (continued)

| Action button name                                                                                | Description                                                                                                                                    | Value set by AIX Security Expert                                                                                                                                                      | Undo |
|---------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| Disable <b>uucpd</b><br>in /etc/inetd.conf<br>/ Enable <b>uucpd</b><br>in /etc/inetd.conf         | Comments out or uncomments the following entry from /etc/inetd.conf:<br><br><pre>uucp stream tcp nowait root \     /usr/sbin/uucpd uucpd</pre> | <b>High Level Security</b><br>Comment<br><br><b>Medium Level Security</b><br>No effect<br><br><b>Low Level Security</b><br>No effect<br><br><b>AIX Standard Settings</b><br>Uncomment | Yes  |
| Disable UDP time service<br>in /etc/inetd.conf<br>/ Enable UDP time service<br>in /etc/inetd.conf | Comments out or uncomments the following entry from /etc/inetd.conf:<br><br><pre>time dgram udp wait root internal</pre>                       | <b>High Level Security</b><br>Comment<br><br><b>Medium Level Security</b><br>No effect<br><br><b>Low Level Security</b><br>No effect<br><br><b>AIX Standard Settings</b><br>Uncomment | Yes  |
| Disable TCP time service<br>in /etc/inetd.conf<br>/ Enable TCP time service<br>in /etc/inetd.conf | Comments out or uncomments the following entry from /etc/inetd.conf:<br><br><pre>time stream tcp nowait root \     internal</pre>              | <b>High Level Security</b><br>Comment<br><br><b>Medium Level Security</b><br>No effect<br><br><b>Low Level Security</b><br>No effect<br><br><b>AIX Standard Settings</b><br>Uncomment | Yes  |
| Disable <b>rex</b> d<br>in /etc/inetd.conf                                                        | Comments out the following entry from /etc/inetd.conf:<br><br><pre>rex sunrpc_tcp tcp wait root \     /usr/sbin/tcp.rexd.rexd rexd</pre>       | <b>High Level Security</b><br>Yes<br><br><b>Medium Level Security</b><br>Yes<br><br><b>Low Level Security</b><br>Yes<br><br><b>AIX Standard Settings</b><br>Yes                       | Yes  |

Table 27. AIX Security Expert /etc/inetd.conf Settings (continued)

| Action button name                                                                 | Description                                                                                                                                          | Value set by AIX Security Expert                                                                                                                                                    | Undo |
|------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| Disable TCP chargen service in /etc/inetd.conf                                     | Comments out the following entry from /etc/inetd.conf:<br><br><pre>chargen stream tcp nowait root \     internal</pre>                               | <b>High Level Security</b><br>Yes<br><br><b>Medium Level Security</b><br>No effect<br><br><b>Low Level Security</b><br>No effect<br><br><b>AIX Standard Settings</b><br>Yes         | Yes  |
| Disable <b>rlogin</b> in /etc/inetd.conf / Enable <b>rlogin</b> in /etc/inetd.conf | Comments out or uncomments the following entry from /etc/inetd.conf:<br><br><pre>login stream tcp6 nowait root \     /usr/sbin/rlogind rlogind</pre> | <b>High Level Security</b><br>Comment<br><br><b>Medium Level Security</b><br>Comment<br><br><b>Low Level Security</b><br>No effect<br><br><b>AIX Standard Settings</b><br>Uncomment | Yes  |
| Disable talk in /etc/inetd.conf                                                    | Comments out or uncomments the following entry from /etc/inetd.conf:<br><br><pre>talk dgram udp wait root \     /usr/sbin/talkd talkd</pre>          | <b>High Level Security</b><br>Comment<br><br><b>Medium Level Security</b><br>Comment<br><br><b>Low Level Security</b><br>Comment<br><br><b>AIX Standard Settings</b><br>Uncomment   | Yes  |
| Disable <b>fingerd</b> in /etc/inetd.conf                                          | Comments out the following entry from /etc/inetd.conf:<br><br><pre>finger stream tcp nowait nobody \     /usr/sbin/fingerd fingerd</pre>             | <b>High Level Security</b><br>Yes<br><br><b>Medium Level Security</b><br>Yes<br><br><b>Low Level Security</b><br>No effect<br><br><b>AIX Standard Settings</b><br>Yes               | Yes  |

Table 27. AIX Security Expert /etc/inetd.conf Settings (continued)

| Action button name                        | Description                                                                                                                                | Value set by AIX Security Expert                                                                                                                                                      | Undo |
|-------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| Disable FTP / Enable FTP                  | Comments out or uncomments the following entry from /etc/inetd.conf:<br><br><pre>ftp stream tcp6 nowait root \   /usr/sbin/ftpd ftpd</pre> | <b>High Level Security</b><br>Comment<br><br><b>Medium Level Security</b><br>No effect<br><br><b>Low Level Security</b><br>No effect<br><br><b>AIX Standard Settings</b><br>Uncomment | Yes  |
| Disable IMAPD                             | Comments out the following entry from /etc/inetd.conf:<br><br><pre>imap2 stream tcp nowait root \   /usr/sbin/imapd imapd</pre>            | <b>High Level Security</b><br>Yes<br><br><b>Medium Level Security</b><br>No effect<br><br><b>Low Level Security</b><br>No effect<br><br><b>AIX Standard Settings</b><br>Yes           | Yes  |
| Disable <b>comsat</b> in /etc/inetd.conf  | Comments out the following entry from /etc/inetd.conf:<br><br><pre>comsat dgram udp wait root \   /usr/sbin/comsat comsat</pre>            | <b>High Level Security</b><br>Yes<br><br><b>Medium Level Security</b><br>No effect<br><br><b>Low Level Security</b><br>No effect<br><br><b>AIX Standard Settings</b><br>Yes           | Yes  |
| Disable <b>rquotad</b> in /etc/inetd.conf | Comments out the following entry from /etc/inetd.conf:<br><br><pre>rquotad sunrpc_udp udp wait root \   /usr/sbin/pc.rquotad</pre>         | <b>High Level Security</b><br>Yes<br><br><b>Medium Level Security</b><br>Yes<br><br><b>Low Level Security</b><br>Yes<br><br><b>AIX Standard Settings</b><br>Yes                       | Yes  |

Table 27. AIX Security Expert /etc/inetd.conf Settings (continued)

| Action button name                                                                                      | Description                                                                                                                          | Value set by AIX Security Expert                                                                                                                                          | Undo |
|---------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| Disable UDP daytime service<br>in /etc/inetd.conf<br>/ Enable UDP daytime service<br>in /etc/inetd.conf | Comments out or uncomments the following entry from /etc/inetd.conf:<br><pre>daytime dgram udp wait root internal</pre>              | <b>High Level Security</b><br>Comment<br><b>Medium Level Security</b><br>No effect<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>Uncomment | Yes  |
| Disable <b>krlogind</b><br>in /etc/inetd.conf                                                           | Comments out the following entry from /etc/inetd.conf:<br><pre>klogin stream tcp nowait root \     /usr/sbin/krlogind krlogind</pre> | <b>High Level Security</b><br>Yes<br><b>Medium Level Security</b><br>No effect<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>Yes           | Yes  |
| Disable TCP Discard service<br>in /etc/inetd.conf                                                       | Comments out the following entry from /etc/inetd.conf:<br><pre>discard stream tcp nowait root \     internal</pre>                   | <b>High Level Security</b><br>Yes<br><b>Medium Level Security</b><br>No effect<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>Yes           | Yes  |
| Disable TCP echo service<br>in /etc/inetd.conf                                                          | Comments out the following entry from /etc/inetd.conf:<br><pre>echo stream tcp nowait root internal</pre>                            | <b>High Level Security</b><br>Yes<br><b>Medium Level Security</b><br>No effect<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>Yes           | Yes  |

| Table 27. AIX Security Expert /etc/inetd.conf Settings (continued) |                                                                                                                                        |                                                                                                                                                                 |      |
|--------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| Action button name                                                 | Description                                                                                                                            | Value set by AIX Security Expert                                                                                                                                | Undo |
| Disable <b>sysstat</b> in /etc/inetd.conf                          | Comments out the following entry from /etc/inetd.conf:<br><pre>sysstat stream tcp nowait nodby \<br/>/usr/bin/ps ps -ef</pre>          | <b>High Level Security</b><br>Yes<br><b>Medium Level Security</b><br>Yes<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>Yes       | Yes  |
| Disable <b>rstatd</b> in /etc/inetd.conf                           | Comments out the following entry from /etc/inetd.conf:<br><pre>rstatd sunrpc_udp udp wait root \<br/>/usr/sbin/rpc.rstatd rstatd</pre> | <b>High Level Security</b><br>Yes<br><b>Medium Level Security</b><br>Yes<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>Yes       | Yes  |
| Disable dtspc in /etc/inetd.conf                                   | Comments out the following entry from /etc/inetd.conf:<br><pre>dtspc stream tcp nowait root \<br/>/usr/dt/bin/dtspcd</pre>             | <b>High Level Security</b><br>Yes<br><b>Medium Level Security</b><br>No effect<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>Yes | Yes  |

## AIX Security Expert Disable SUID of Commands group

By default, the following commands are installed with the SUID bit set. For High, Medium, and Low security, this bit is unset. For AIX Standard Settings, the SUID bit is restored on these commands.

| Table 28. AIX Security Expert Disable SUID of Commands |                                                                                                                        |                                  |      |
|--------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------|----------------------------------|------|
| Action button name                                     | Description                                                                                                            | Value set by AIX Security Expert | Undo |
| hls_filepermgr                                         | File Permissions Manager: Runs <b>fpm</b> command with high option to remove setuid, setgid from privileged commands   | High Level Security              | Yes  |
| mls_filepermgr                                         | File Permissions Manager: Runs <b>fpm</b> command with medium option to remove setuid, setgid from privileged commands | Medium Level Security            | Yes  |
| lls_filepermgr                                         | File Permissions Manager: Runs <b>fpm</b> command with low option to remove setuid, setgid from privileged commands    | Low Level Security               | Yes  |

## AIX Security Expert Disable Remote Services group

AIX Security Expert disables unsecure commands for High Level Security and Medium Level Security.

The following commands and daemons are exploited frequently for finding security loopholes. For High Level Security and Medium Level Security, these unsecure commands are denied execute permissions and the daemons are disabled. For Low Level Security, these commands and daemons are not affected. For AIX Standard Settings, these commands and daemons are enabled for use.

- **rcp**
- **rlogin**
- **rsh**
- **tftp**
- **rlogind**
- **rshd**
- **tftpd**

| Action button name        | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | Value set by AIX Security Expert                                                                                                                                            | Undo |
|---------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| Enable unsecure daemons   | If TCB is enabled, sets execute permissions of the <b>rlogind</b> , <b>rshd</b> , and <b>tftpd</b> daemons, updates the <b>sysck</b> database with the mode bit changes for these daemons. If TCB is not enabled, execute permissions on the <b>rlogind</b> , <b>rshd</b> , and <b>tftpd</b> daemons are set.                                                                                                                                                                                                                                                                                                                                                                                                       | <b>High Level Security</b><br>No effect<br><b>Medium Level Security</b><br>No effect<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>No effect | Yes  |
| Disable unsecure commands | <ol style="list-style-type: none"> <li>If TCB is enabled, removes the execute permissions of the <b>rcp</b>, <b>rlogin</b>, <b>rsh</b> commands and <b>tftp</b>, and updates the <b>sysck</b> database with the mode bit changes of these commands. If TCB is not enabled, removes the execute permissions on the <b>rcp</b>, <b>rlogin</b>, and <b>rsh</b> commands.</li> <li>Stops the current instances of <b>rcp</b>, <b>rlogin</b>, <b>rsh</b>, <b>tftp</b>, and <b>uftp</b> commands, unless one of these commands is the parent process of AIX Security Expert.</li> <li>Adds <b>tcpip:</b> stanza to <b>/etc/security/config</b> to restrict <b>.netrc</b> usage in <b>ftp</b> and <b>rexec</b>.</li> </ol> | <b>High Level Security</b><br>Yes<br><b>Medium Level Security</b><br>No effect<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>No effect       | Yes  |
| Enable unsecure commands  | <ol style="list-style-type: none"> <li>If TCB is enabled, sets the execute permissions of the <b>rcp</b>, <b>rlogin</b>, <b>rsh</b>, and <b>tftp</b> commands and updates the <b>sysck</b> database with the mode bit changes of these commands. If TCB is not enabled, sets the execute permissions on the <b>rcp</b>, <b>rlogin</b>, and <b>rsh</b> commands.</li> <li>Removes the <b>/etc/security/config</b> file.</li> </ol>                                                                                                                                                                                                                                                                                   | <b>High Level Security</b><br>No effect<br><b>Medium Level Security</b><br>No effect<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>Yes       | Yes  |

Table 29. AIX Security Expert Disable Remote Services (continued)

| Action button name       | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Value set by AIX Security Expert                                                                                                                                      | Undo |
|--------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| Disable unsecure daemons | <ol style="list-style-type: none"> <li>If TCB is enabled, removes execute permissions of the <b>rlogind</b>, <b>rshd</b>, and <b>tftpd</b> daemons and updates the <b>sysck</b> database with the mode bit changes of these daemons. If TCB is not enabled, removes the execute permissions of the <b>rlogind</b>, <b>rshd</b>, and <b>tftpd</b> daemons.</li> <li>Stops the current instances of the <b>rlogind</b>, <b>rshd</b>, and <b>tftpd</b> daemons, unless one of these daemons is the parent process of AIX Security Expert.</li> </ol> | <b>High Level Security</b><br>Yes<br><b>Medium Level Security</b><br>No effect<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>No effect | Yes  |
| Stop NFS daemon          | <ul style="list-style-type: none"> <li>Removes all NFS mounts</li> <li>Disables NFS</li> <li>Removes NFS startup script from <code>/etc/inittab</code></li> </ul>                                                                                                                                                                                                                                                                                                                                                                                 | <b>High Level Security</b><br>Yes<br><b>Medium Level Security</b><br>No effect<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>No effect | Yes  |
| Enable NFS daemon        | <ul style="list-style-type: none"> <li>Exports all entries listed in <code>/etc/exports</code></li> <li>Adds an entry to <code>/etc/inittab</code> to run <code>/etc/rc.nfs</code> on system restart</li> <li>Runs <code>/etc/rc.nfs</code> immediately</li> </ul>                                                                                                                                                                                                                                                                                | <b>High Level Security</b><br>No effect<br><b>Medium Level Security</b><br>No effect<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>Yes | Yes  |

## AIX Security Expert Remove access that does not require Authentication group

AIX supports few services that do not require user authentication to log into the network.

The `/etc/hosts.equiv` file and any local **\$HOME**/`.rhosts` files define hosts and user accounts that can run remote commands on a local host without a password. Unless this capability is explicitly required, these files should be cleared.

Table 30. AIX Security Expert Remove access that does not require Authentication

| Action button name                        | Description                                                                                                                                                                                                                                                                                                                                      | Value set by AIX Security Expert                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Undo |
|-------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| Remove rhosts and netrc services          | .rhosts and .netrc files store usernames and passwords in plain text format, which can be exploited.                                                                                                                                                                                                                                             | <p><b>High Level Security</b><br/>Remove .rhosts and .netrc files from home directories of all users, including root.</p> <p><b>Medium Level Security</b><br/>Remove .rhosts and .netrc files from home directories of all users, including root.</p> <p><b>Low Level Security</b><br/>Remove .rhosts and .netrc files from home directory of root.</p> <p><b>AIX Standard Settings</b><br/>Remove .rhosts and .netrc files from home directories of all users, including root.</p> | Yes  |
| Remove entries from /etc/hosts.equiv file | The /etc/hosts.equiv file, along with a local user's \$HOME/.rhosts file, defines which users on foreign hosts are permitted to remotely run commands on the local host. If someone on the foreign host learns the details of the username and hostname, they can find ways to run remote commands on the local host without any authentication. | <p><b>High Level Security</b><br/>Remove all entries from /etc/hosts.equiv.</p> <p><b>Medium Level Security</b><br/>Remove all entries from /etc/hosts.equiv.</p> <p><b>Low Level Security</b><br/>Remove all entries from /etc/hosts.equiv.</p> <p><b>AIX Standard Settings</b><br/>Remove all entries from /etc/hosts.equiv.</p>                                                                                                                                                  | Yes  |

## AIX Security Expert Tuning Network Options group

Tuning network options to the proper values is a large part of security. Setting a network attribute to 0 disables the option and setting the network attribute to 1 enables the option.

The following table lists the network attribute settings for High, Medium, and Low Level Security. This table also provides a description of how the proposed value of any particular network option helps ensure the security of the network.

Table 31. AIX Security Expert Tuning Network Options for network security

| Action button name              | Description                                                                                                                                    | Value set by AIX Security Expert                                                                                                                                           | Undo |
|---------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| Network option ipscrouteforward | Specifies whether or not the system forwards source-routed packets. Disabling ipscrouteforward prevents access through source routing attacks. | <p><b>High Level Security</b><br/>0</p> <p><b>Medium Level Security</b><br/>0</p> <p><b>Low Level Security</b><br/>No effect</p> <p><b>AIX Standard Settings</b><br/>1</p> | Yes  |

Table 31. AIX Security Expert Tuning Network Options for network security (continued)

| Action button name                 | Description                                                                                                                                             | Value set by AIX Security Expert                                                                                                                                   | Undo |
|------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| Network option ipignoreredirects   | Specifies whether or not to process received redirects.                                                                                                 | <b>High Level Security</b><br>1<br><b>Medium Level Security</b><br>No effect<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>No limit | Yes  |
| Network option clean_partial_conns | Specifies whether or not to avoid synchronization character (SYN) attacks.                                                                              | <b>High Level Security</b><br>1<br><b>Medium Level Security</b><br>1<br><b>Low Level Security</b><br>1<br><b>AIX Standard Settings</b><br>No limit                 | Yes  |
| Network option ipsrouterecv        | Specifies whether or not the system accepts source-routed packets. Disabling ipsrouterecv prevents access through source routing attacks.               | <b>High Level Security</b><br>0<br><b>Medium Level Security</b><br>No effect<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>No limit | Yes  |
| Network option ipforwarding        | Specifies whether or not the kernel should forward packets. Disabling ipforwarding prevents redirected packets from reaching a remote network.          | <b>High Level Security</b><br>0<br><b>Medium Level Security</b><br>No effect<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>No limit | Yes  |
| Network option ipsendredirects     | Specifies whether or not the kernel should send redirect signals. Disabling ipsendredirects prevents redirected packets from reaching a remote network. | <b>High Level Security</b><br>0<br><b>Medium Level Security</b><br>No effect<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>1        | Yes  |

Table 31. AIX Security Expert Tuning Network Options for network security (continued)

| Action button name                   | Description                                                                                                                                                       | Value set by AIX Security Expert                                                                                                                            | Undo |
|--------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| Network option<br>ip6srcrouteforward | Specifies whether or not the system forwards source-routed IPv6 packets. Disabling ip6srcrouteforward prevents access through source routing attacks.             | <b>High Level Security</b><br>0<br><b>Medium Level Security</b><br>No effect<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>1 | Yes  |
| Network option<br>directed_broadcast | Specifies whether or not to permit a directed broadcast to a gateway. Disabling directed_broadcast helps prevent directed packets from reaching a remote network. | <b>High Level Security</b><br>0<br><b>Medium Level Security</b><br>0<br><b>Low Level Security</b><br>0<br><b>AIX Standard Settings</b><br>No limit          | Yes  |
| Network option<br>tcp_pmtu_discover  | Enables or disables path MTU discovery for TCP applications. Disabling tcp_pmtu_discover prevents access through source routing attacks.                          | <b>High Level Security</b><br>0<br><b>Medium Level Security</b><br>0<br><b>Low Level Security</b><br>0<br><b>AIX Standard Settings</b><br>1                 | Yes  |
| Network option<br>bcastping          | Permits response to ICMP echo packets sent to the broadcast address. Disabling bcastping prevents smurf attacks.                                                  | <b>High Level Security</b><br>0<br><b>Medium Level Security</b><br>0<br><b>Low Level Security</b><br>0<br><b>AIX Standard Settings</b><br>No limit          | Yes  |
| Network option<br>icmpaddressmask    | Specifies whether or not the system responds to an ICMP address mask request. Disabling icmpaddressmask prevents access through source routing attacks.           | <b>High Level Security</b><br>0<br><b>Medium Level Security</b><br>0<br><b>Low Level Security</b><br>0<br><b>AIX Standard Settings</b><br>No limit          | Yes  |

Table 31. AIX Security Expert Tuning Network Options for network security (continued)

| Action button name                  | Description                                                                                                                                                                                                                                                                                                                                                                                   | Value set by AIX Security Expert                                                                                                                                   | Undo |
|-------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| Network option<br>udp_pmtu_discover | Enables or disables path maximum transfer unit (MTU) discovery for UDP applications. Disabling udp_pmtu_discover prevents access through source routing attacks.                                                                                                                                                                                                                              | <b>High Level Security</b><br>0<br><b>Medium Level Security</b><br>0<br><b>Low Level Security</b><br>0<br><b>AIX Standard Settings</b><br>1                        | Yes  |
| Network option<br>ipsrcroutesend    | Specifies whether or not applications can send source-routed packets. Disabling ipsrcroutesend prevents access through source routing attacks.                                                                                                                                                                                                                                                | <b>High Level Security</b><br>0<br><b>Medium Level Security</b><br>No effect<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>1        | Yes  |
| Network option<br>nonlocsrcroute    | Specifies to the Internet Protocol whether or not strictly source-routed packets can be addressed to hosts outside the local network. Disabling nonlocsrcroute prevents access through source routing attacks.                                                                                                                                                                                | <b>High Level Security</b><br>0<br><b>Medium Level Security</b><br>No effect<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>No limit | Yes  |
| Network option<br>tcp_tcpsecure     | Protects TCP connections against vulnerabilities.<br><br>Values: <ul style="list-style-type: none"> <li>• 0 = no protection</li> <li>• 1 = sending a fake SYN to an established connection</li> <li>• 2 = sending a fake RST to an established connection</li> <li>• 4 = injecting data in an established TCP connection</li> <li>• 5-7 = combination of the above vulnerabilities</li> </ul> | <b>High Level Security</b><br>7<br><b>Medium Level Security</b><br>7<br><b>Low Level Security</b><br>5<br><b>AIX Standard Settings</b><br>No limit                 | Yes  |

Table 31. AIX Security Expert Tuning Network Options for network security (continued)

| Action button name        | Description                                                                                                                                                                                                             | Value set by AIX Security Expert                                                                                                                      | Undo |
|---------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| Network option sockthresh | Specifies the network memory usage limit. No new socket connections are allowed to exceed the value of the sockthresh tunable.<br><br>Specifies the maximum amount of network memory that can be allocated for sockets. | <b>High Level Security</b><br>60<br><b>Medium Level Security</b><br>70<br><b>Low Level Security</b><br>85<br><b>AIX Standard Settings</b><br>No limit | Yes  |

The following network options are related to network performance rather than network security.

Table 32. AIX Security Expert Tuning Network Options for network performance

| Action button name           | Description                                                                                                                                          | Value set by AIX Security Expert                                                                                                                               | Undo |
|------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| Network option rfc1323       | The rfc1323 tunable enables the TCP window scaling option.                                                                                           | <b>High Level Security</b><br>1<br><b>Medium Level Security</b><br>1<br><b>Low Level Security</b><br>1<br><b>AIX Standard Settings</b><br>No limit             | Yes  |
| Network option tcp_sendspace | The tcp_sendspace tunable specifies how much data the sending application can buffer in the kernel before the application is blocked on a send call. | <b>High Level Security</b><br>262144<br><b>Medium Level Security</b><br>262144<br><b>Low Level Security</b><br>262144<br><b>AIX Standard Settings</b><br>16384 | Yes  |
| Network option tcp_mssdflt   | Default maximum segment size used in communicating with remote networks.                                                                             | <b>High Level Security</b><br>1448<br><b>Medium Level Security</b><br>1448<br><b>Low Level Security</b><br>1448<br><b>AIX Standard Settings</b><br>1460        | Yes  |

Table 32. AIX Security Expert Tuning Network Options for network performance (continued)

| Action button name              | Description                                                                                                                                                                                                                        | Value set by AIX Security Expert                                                                                                                                    | Undo |
|---------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| Network option extendednetstats | Enables more-extensive statistics for network memory services.                                                                                                                                                                     | <b>High Level Security</b><br>1<br><b>Medium Level Security</b><br>1<br><b>Low Level Security</b><br>1<br><b>AIX Standard Settings</b><br>No limit                  | Yes  |
| Network option tcp_recvspace    | The tcp_recvspace tunable specifies how many bytes of data the receiving system can buffer in the kernel on the receiving sockets queue.                                                                                           | <b>High Level Security</b><br>262144<br><b>Medium Level Security</b><br>262144<br><b>Low Level Security</b><br>262144<br><b>AIX Standard Settings</b><br>16384      | Yes  |
| Network option sb_max           | The sb_max tunable sets an upper limit on the number of socket buffers queued to an individual socket, which controls how much buffer space is consumed by buffers that are queued to a sender's socket or to a receiver's socket. | <b>High Level Security</b><br>1048576<br><b>Medium Level Security</b><br>1048576<br><b>Low Level Security</b><br>1048576<br><b>AIX Standard Settings</b><br>1048576 | Yes  |

## AIX Security Expert IPsec filter rules group

AIX Security Expert provides the following IPsec filters.

Table 33. AIX Security Expert IPsec filter rules

| Action button name      | Description                                                                                                                                                                                             | Value set by AIX Security Expert                                                                                                                                      | Undo |
|-------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| Shun host for 5 minutes | Shuns or blocks packets intended for several tcp and udp ports with known vulnerabilities on the host for five minutes. The host will not accept any packets destined for these ports for five minutes. | <b>High Level Security</b><br>Yes<br><b>Medium Level Security</b><br>No effect<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>No effect | Yes  |

Table 33. AIX Security Expert IPsec filter rules (continued)

| Action button name            | Description                                                                                                                                                                    | Value set by AIX Security Expert                                                                                                                                | Undo |
|-------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| Guard host against port scans | Guards against port scans. Any remote host performing a port scan is shunned or blocked for five minutes. All packets from this remote host are not accepted for five minutes. | <b>High Level Security</b><br>Yes<br><b>Medium Level Security</b><br>Yes<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>No effect | Yes  |

## AIX Security Expert Miscellaneous group

AIX Security Expert provides miscellaneous security settings for High, Medium, and Low Level Security.

Table 34. AIX Security Expert Miscellaneous group

| Action button name        | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | Value set by AIX Security Expert                                                                                                                    | Undo |
|---------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------|------|
| Remove dot from path root | <p>Checks the <b>\$HOME/.profile</b>, <b>\$HOME/.kshrc</b>, <b>\$HOME/.cshrc</b>, and <b>\$HOME/.login</b> files for dots (.) in the PATH environment variable, and removes them if they exist.</p> <p><b>Note:</b> Removing the dots occurs only when the entry in the file begins with the PATH environment variable and contains dots (.). The file is not changed if the PATH environment variable contains other variables or is set to the value returned from a program that is called from a script. An example of a path that would not be changed follows, where <i>pathprog</i> is a program that returns a path string:</p> <pre>PATH="\$(pathprog)"</pre> <p>In this path, the dots are removed from the path before the content of the variable <i>pathprog</i> is resolved, so any dots that exist in the returned path are not removed.</p> | <b>High Level Security</b><br>Yes<br><b>Medium Level Security</b><br>Yes<br><b>Low Level Security</b><br>Yes<br><b>AIX Standard Settings</b><br>Yes | Yes  |

Table 34. AIX Security Expert Miscellaneous group (continued)

| Action button name               | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | Value set by AIX Security Expert                                                                                                                                                                                                                                                                                                                                                              | Undo |
|----------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| Limit system access              | Ensures that root is the only user permitted to run <b>cron</b> jobs.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | <p><b>High Level Security</b><br/>Makes root the only user in the <code>cron.allow</code> file and removes the <code>cron.deny</code> file.</p> <p><b>Medium Level Security</b><br/>No effect</p> <p><b>Low Level Security</b><br/>No effect</p> <p><b>AIX Standard Settings</b><br/>Removes the <code>cron.allow</code> file and deletes all entries in the <code>cron.deny</code> file.</p> | Yes  |
| Remove dot from /etc/environment | Removes dots (.) from <b>PATH</b> environment variable in /etc/environment file.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | <p><b>High Level Security</b><br/>Yes</p> <p><b>Medium Level Security</b><br/>Yes</p> <p><b>Low Level Security</b><br/>Yes</p> <p><b>AIX Standard Settings</b><br/>Yes</p>                                                                                                                                                                                                                    | Yes  |
| Remove dot from non-root path    | <p>Removes dots (.) from the <b>PATH</b> environment variable from the <b>\$HOME/.profile</b>, <b>\$HOME/.kshrc</b>, <b>\$HOME/.cshrc</b>, and <b>\$HOME/.login</b> files of all non-root users.</p> <p><b>Note:</b> Removing the dots occurs only when the entry in the file begins with the <b>PATH</b> environment variable and contains dots (.). The file is not changed if the <b>PATH</b> environment variable contains other variables or is set to the value returned from a program that is called from a script. An example of a path that would not be changed follows, where <i>pathprog</i> is a program that returns a path string:</p> <pre>PATH="\$(pathprog)"</pre> <p>In this path, the dots are removed from the path before the content of the variable <i>pathprog</i> is resolved, so any dots that exist in the returned path are not removed.</p> | <p><b>High Level Security</b><br/>Yes</p> <p><b>Medium Level Security</b><br/>No effect</p> <p><b>Low Level Security</b><br/>No effect</p> <p><b>AIX Standard Settings</b><br/>No effect</p>                                                                                                                                                                                                  | No   |

Table 34. AIX Security Expert Miscellaneous group (continued)

| Action button name                     | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Value set by AIX Security Expert                                                                                                                                                                                                                                                                                                            | Undo |
|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| Add root user in /etc/ftpusers file    | Add root user name to /etc/ftpusers file to disable remote root <b>ftp</b> .                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | <b>High Level Security</b><br>Yes<br><b>Medium Level Security</b><br>Yes<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>Yes                                                                                                                                                                                   | Yes  |
| Remove root user in /etc/ftpusers file | Remove root entry from /etc/ftpusers to enable remote root <b>ftp</b> .                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | <b>High Level Security</b><br>No effect<br><b>Medium Level Security</b><br>No effect<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>Yes                                                                                                                                                                       | Yes  |
| Set login herald                       | Checks /etc/security/login.cfg to ensure that a herald value is not specified. If the default herald is being used, the herald should be changed. The herald can be changed only if the system's locale is <b>en_US</b> or another English locale. If this criteria is met, the herald attribute's value in the default stanza of /etc/security/login.cfg file is set to the following:<br><pre>Unauthorized use of this \ system is prohibited.\nlogin:</pre> <b>Note:</b> The security setting takes effect only for new sessions. The security setting does not take effect in the session where the configuration was set. | <b>High Level Security</b><br>herald="Unauthorized use of this system is prohibited.\nlogin:"<br><b>Medium Level Security</b><br>herald="Unauthorized use of this system is prohibited.\nlogin:"<br><b>Low Level Security</b><br>herald="Unauthorized use of this system is prohibited.\nlogin:"<br><b>AIX Standard Settings</b><br>herald= | Yes  |
| Remove guest account                   | For High, Medium, and Low security, removes the guest account as well as guest's data on the machine. For AIX Standard Settings, the guest account is created on the system.<br><b>Note:</b> A system administrator must set the password for this account explicitly, as AIX Security Expert is not designed to handle such user interactive tasks.                                                                                                                                                                                                                                                                           | <b>High Level Security</b><br>Remove guest account and data<br><b>Medium Level Security</b><br>Remove guest account and data<br><b>Low Level Security</b><br>Remove guest account and data<br><b>AIX Standard Settings</b><br>Adds the guest account on the machine.                                                                        | Yes  |

Table 34. AIX Security Expert Miscellaneous group (continued)

| Action button name          | Description                                                                                                                                                                                                                                                                                  | Value set by AIX Security Expert                                                                                                                                                                         | Undo |
|-----------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| Crontab permissions         | Ensures that root's <b>crontab</b> jobs are owned and writeable only by root.                                                                                                                                                                                                                | <b>High Level Security</b><br>Yes<br><b>Medium Level Security</b><br>Yes<br><b>Low Level Security</b><br>Yes<br><b>AIX Standard Settings</b><br>No effect                                                | Yes  |
| Enable X-Server access      | Mandates authentication for access to the X-Server.                                                                                                                                                                                                                                          | <b>High Level Security</b><br>Authentication required<br><b>Medium Level Security</b><br>Authentication required<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>Not needed | No   |
| Object creation permissions | Sets appropriate value to <b>umask</b> attribute of /etc/security/user, which specifies default object creation permissions.                                                                                                                                                                 | <b>High Level Security</b><br>077<br><b>Medium Level Security</b><br>027<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>022                                                | Yes  |
| Set core file size          | Sets appropriate value to <b>core</b> attribute of /etc/security/limits, which specifies the core file size for root.<br><br><b>Note:</b> The security setting takes effect only for new sessions. The security setting does not take effect in the session where the configuration was set. | <b>High Level Security</b><br>0<br><b>Medium Level Security</b><br>0<br><b>Low Level Security</b><br>0<br><b>AIX Standard Settings</b><br>2097151                                                        | Yes  |
| Enable SED feature          | Enables the Stack Execution Disable feature and runs the <b>sedmgr</b> command on the files specified.<br><br><b>Note:</b> System reboot is needed for the rule to take affect.                                                                                                              | <b>High Level Security</b><br>setidfiles<br><b>Medium Level Security</b><br>No effect<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>No effect                             |      |

Table 34. AIX Security Expert Miscellaneous group (continued)

| Action button name            | Description                                                                                                                                                                                                                                  | Value set by AIX Security Expert                                                                                                                                | Undo |
|-------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| Root Password Integrity Check | Ensures that the root password is not weak. The dictionlist attribute of root is set to <code>/etc/security/aixpert/dictionary/English</code> , so that <code>passwd</code> command can ensure that the root password being set is not weak. | <b>High Level Security</b><br>Yes<br><b>Medium Level Security</b><br>Yes<br><b>Low Level Security</b><br>No effect<br><b>AIX Standard Settings</b><br>No effect | Yes  |

## AIX Security Expert Undo Security

You can undo some AIX Security Expert security settings and rules.

The following AIX Security Expert security settings and rules cannot be undone:

- Check password definitions for High Level Security, Medium Level Security, and Low Level Security
- Check user definitions for High Level Security, Medium Level Security, and Low Level Security
- Check group definitions for High Level Security, Medium Level Security, and Low Level Security
- TCB update for High Level Security, Medium Level Security, and Low Level Security
- Enable X-Server access for High Level Security, Medium Level Security, and Low Level Security
- Remove dot from non-root path for High Level Security and AIX Standard Settings
- Remove guest account for High Level Security, Medium Level Security, and Low Level Security

## AIX Security Expert Check Security

AIX Security Expert can generate reports of current system and network security settings.

After AIX Security Expert (`aixpert` command) is used to configure a system, the Check Security option can be used to report the various configuration settings. If any of these settings have been changed outside the control of AIX Security Expert, the AIX Security Expert Check Security option logs these differences in the `/etc/security/aixpert/check_report.txt` file.

For example, the `talkd` daemon is disabled in `/etc/inetd.conf` when you apply Low Level Security. If the `talkd` daemon is later enabled and then Check Security is run, this information will be logged in the `check_report.txt` file as follows:

```
coninetdconf.ksh: Service talk using protocol udp should be disabled, however it is enabled now.
```

If the applied security settings have not been changed, the `check_report.txt` file will be empty.

The Check Security option should be run periodically and the resulting report should be reviewed to see if any settings have been changed since AIX Security Expert security settings were applied. The Check Security option should also be run as part of any major system change such as the installation or updating of software.

### Related information

[aixpert command](#)

## AIX Security Expert files

AIX Security Expert creates and uses several files.

**`/etc/security/aixpert/core/aixpertall.xml`**

Contains an XML listing of all possible security settings.

**/etc/security/aixpert/core/appliedaixpert.xml**

Contains an XML list of applied security settings.

**/etc/security/aixpert/core/secaixpert.xml**

Contains an XML listing of selected security settings when processed by the AIX Security Expert GUI.

**/etc/security/aixpert/log/aixpert.log**

Contains a trace log of applied security settings. AIX Security Expert does not use syslog; AIX Security Expert writes directly to /etc/security/aixpert/log/aixpert.log.

**Note:** The AIX Security Expert XML and log files are created with the following permissions:

**/etc/security/aixpert/**

drwx-----

**/etc/security/aixpert/core/**

drwx-----

**/etc/security/aixpert/core/aixpertall.xml**

r-----

**/etc/security/aixpert/core/appliedaixpert.xml**

**/etc/security/aixpert/core/secaixpert.xml**

**/etc/security/aixpert/log**

drwx-----

**/etc/security/aixpert/log/aixpert.log**

-rwx-----

**/etc/security/aixpert/core/secundoaixpert.xml**

rW-----

**/etc/security/aixpert/check\_report.txt**

rW-----

## AIX Security Expert High level security scenario

This is a scenario for AIX Security Expert High level security.

The AIX Security Expert view of security levels is derived in part from the National Institute of Standards and Technology document *Security Configuration Checklists Program for IT Products - Guidance for CheckLists Users and Developers* (search for the publication name on the NIS Web site: <http://www.nist.gov/index.html>). However, High, Medium, and Low level security mean different things to different people. It is important to understand the environment in which your system operates. If you chose a security level that too high, you could lock yourself out of your computer. If you chose a security level that is too low, your computer might be vulnerable to a cyber attack.

This is an example of an environment that requires High Level Security. Bob will be colocating his system with an Internet service provider. The system will be connected directly to the Internet, will run as a HTTP server, will contain sensitive user data, and needs to be administered remotely by Bob. The system should be set up and tested on an isolated local network before the system is put online with the ISP.

High level security is the correct security level for this environment, but Bob needs remote access to the system. High level security does not permit **telnet**, **rlogin**, **ftp**, and other common connections that transmit passwords over the network in the clear. These passwords can easily be snooped by someone on the Internet. Bob needs a secure method to log in remotely, such as **openssh**. Bob can read the complete AIX Security Expert documentation to see if there is anything unique to his environment that might be inhibited by High level security. If so, he can deselect this when the detailed High level security panel is displayed. Bob should also configure and start the HTTP server or any other services he intends to offer on his system.

When Bob then selects High level security, AIX Security Expert will recognize that the running services are required and will not block access to their ports. Access to all other ports could be a vulnerability and High

level security will block these ports. After testing this configuration, Bob's machine is now ready to go live on the Internet.

## AIX Security Expert Medium level security scenario

This is a scenario for AIX Security Expert Medium level security.

Alice needs to security harden a system that will be connected to the corporate network, which resides behind the corporate firewall. The network is secure and well-administered. This system will be used by a large number of users who need to access the system **telnet** and **ftp**. Alice wants the common security settings in place, such as port scan protection and password expirations, but the system must also be open to most remote access methods. In this scenario, Medium level security is the most appropriate security setting for Alice's system.

## AIX Security Expert Low level security scenario

This is a scenario for AIX Security Expert Low level security.

Bruce has been administering a system for some time. The system resides on an isolated secure local network. This system is used for a wide variety of people and services. He wants to bring the system up from the minimal level of security, but cannot interrupt any form of access to the system. Low level security is the correct security level for Bruce's machine.

## Security checklist

---

The following is a checklist of security actions to perform on a newly installed or existing system.

Although this list is not a complete security checklist, it can be used as a foundation to build a security checklist for your environment.

- When installing a new system, install AIX from secure base media. Perform the following procedures at installation time:
  - Do not install desktop software, such as CDE, GNOME, or KDE, on servers.
  - Install required security fixes and any recommended maintenance and technology level fixes. See the IBM System p eServer Support Fixes website (<http://www.ibm.com/support/fixcentral>) for the newest service bulletins, security advisories, and fix information.
  - Back up the system after the initial installation and store the system backup in a secure location.
- Establish access control lists for restricted files and directories.
- Disable unnecessary user accounts and system accounts, such as daemon, bin, sys, adm, lp, and uucp. Deleting accounts is not recommended because it deletes account information, such as user IDs and user names, which may still be associated with data on system backups. If a user is created with a previously deleted user ID and the system backup is restored on the system, the new user might have unexpected access to the restored system.
- Review the `/etc/inetd.conf`, `/etc/inittab`, `/etc/rc.nfs`, and `/etc/rc.tcpip` files on a regular basis and remove all unnecessary daemons and services.
- Verify that the permissions for the following files are set correctly:

```
-rw-rw-r-- root system /etc/filesystems
-rw-rw-r-- root system /etc/hosts
-rw----- root system /etc/inittab
-rw-r--r-- root system /etc/vfs
-rw-r--r-- root system /etc/security/failedlogin
-rw-rw---- root audit /etc/security/audit/hosts
```

- Disable the root account from being able to remotely log in. The root account should be able to log in only from the system console.
- Enable system auditing. For more information, see [“Auditing overview” on page 128](#).
- Enable a login control policy. For more information, see [“Login control” on page 33](#).

- Disable user permissions to run the `xhost` command. For more information, see [“Managing X11 and CDE concerns”](#) on page 38.
- Prevent unauthorized changes to the `PATH` environment variable. For more information, see [“PATH environment variable”](#) on page 54.
- Disable `telnet`, `rlogin`, and `rsh`. For more information, see [“TCP/IP security”](#) on page 218.
- Establish user account controls. For more information, see [“User account control”](#) on page 51.
- Enforce a strict password policy. For more information, see [“Passwords”](#) on page 63.
- Establish disk quotas for user accounts. For more information, see [“Recovering from over-quota conditions”](#) on page 75.
- Allow only administrative accounts to use the `su` command. Monitor the `su` command's logs in the `/var/adm/sulog` file.
- Enable screen locking when using X-Windows.
- Restrict access to the `crontab` and `at` commands to only the accounts that need access to them.
- Use an alias for the `ls` command to show hidden files and characters in a file name.
- Use an alias for the `rm` command to avoid accidentally deleting files from the system.
- Disable unnecessary network services. For more information, see [“Network services”](#) on page 226.
- Perform frequent system backups and verify the integrity of backups.
- Subscribe to security-related e-mail distribution lists.

## Summary of common AIX system services

The following table lists the more common system services within AIX. Use this table to recognize a starting point for securing your system.

Before you secure your system, back up all your original configuration files, especially the following:

- `/etc/inetd.conf`
- `/etc/inittab`
- `/etc/rc.nfs`
- `/etc/rc.tcpip`

| Service       | Daemon | Started by                   | Function                           | Comments                                                                                                                                                                                                                    |
|---------------|--------|------------------------------|------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| inetd/bootps  | inetd  | <code>/etc/inetd.conf</code> | bootp services to diskless clients | <ul style="list-style-type: none"> <li>• Necessary for Network Installation Management (NIM) and remote booting of systems</li> <li>• Works concurrently with <code>tftp</code></li> <li>• Disable in most cases</li> </ul> |
| inetd/chargen | inetd  | <code>/etc/inetd.conf</code> | character generator (testing only) | <ul style="list-style-type: none"> <li>• Available as a TCP and UDP service</li> <li>• Provides opportunity for Denial of Service attacks</li> <li>• Disable unless you are testing your network</li> </ul>                 |

| Service       | Daemon | Started by      | Function                             | Comments                                                                                                                                                                                                                                                                                                                                                                                             |
|---------------|--------|-----------------|--------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| inetd/cmsd    | inetd  | /etc/inetd.conf | calendar service (as used by CDE)    | <ul style="list-style-type: none"> <li>• Runs as root, therefore a security concern</li> <li>• Disable unless you require this service with CDE</li> <li>• Disable on back room database servers</li> </ul>                                                                                                                                                                                          |
| inetd/comsat  | inetd  | /etc/inetd.conf | Notifies incoming electronic mail    | <ul style="list-style-type: none"> <li>• Runs as root, therefore a security concern</li> <li>• Seldom required</li> <li>• Disable</li> </ul>                                                                                                                                                                                                                                                         |
| inetd/daytime | inetd  | /etc/inetd.conf | obsolete time service (testing only) | <ul style="list-style-type: none"> <li>• Runs as root</li> <li>• Available as a TCP and UDP service</li> <li>• Provides opportunity for a Denial of Service PING attacks</li> <li>• Service is obsolete and used for testing only</li> <li>• Disable</li> </ul>                                                                                                                                      |
| inetd/discard | inetd  | /etc/inetd.conf | /dev/null service (testing only)     | <ul style="list-style-type: none"> <li>• Available as TCP and UDP service</li> <li>• Used in Denial of Service Attacks</li> <li>• Service is obsolete and used for testing only</li> <li>• Disable</li> </ul>                                                                                                                                                                                        |
| inetd/dtspc   | inetd  | /etc/inetd.conf | CDE Subprocess Control               | <ul style="list-style-type: none"> <li>• This service is started automatically by the inetd daemon in response to a CDE client requesting a process to be started on the daemon's host. This makes it vulnerable to attacks</li> <li>• Disable on back room servers with no CDE</li> <li>• CDE might be able to function without this service</li> <li>• Disable unless absolutely needed</li> </ul> |

| Service      | Daemon | Started by      | Function                      | Comments                                                                                                                                                                                                                                                      |
|--------------|--------|-----------------|-------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| inetd/echo   | inetd  | etc/inetd.conf  | echo service (testing only)   | <ul style="list-style-type: none"> <li>• Available as UDP and TCP service</li> <li>• Could be used in Denial of Service or Smurf attacks</li> <li>• Used to echo at someone else to get through a firewall or start a datastorm</li> <li>• Disable</li> </ul> |
| inetd/exec   | inetd  | /etc/inetd.conf | remote execution service      | <ul style="list-style-type: none"> <li>• Runs as root user</li> <li>• Requires that you enter a user ID and password, which are passed unprotected</li> <li>• This service is highly susceptible to being snooped</li> <li>• Disable</li> </ul>               |
| inetd/finger | inetd  | /etc/inetd.conf | finger peeking at users       | <ul style="list-style-type: none"> <li>• Runs as root user</li> <li>• Gives out information about your systems and users</li> <li>• Disable</li> </ul>                                                                                                        |
| inetd/ftp    | inetd  | /etc/inetd.conf | file transfer protocol        | <ul style="list-style-type: none"> <li>• Runs as root user</li> <li>• User id and password are transferred unprotected, thus allowing them to be snooped</li> <li>• Disable this service and use a public domain secure shell suite</li> </ul>                |
| inetd/imap2  | inetd  | /etc/inetd.conf | Internet Mail Access Protocol | <ul style="list-style-type: none"> <li>• Ensure that you are using the latest version of this server</li> <li>• Only necessary if you are running a mail server. Otherwise, disable</li> <li>• User ID and password are passed unprotected</li> </ul>         |
| inetd/klogin | inetd  | /etc/inetd.conf | Kerberos login                | <ul style="list-style-type: none"> <li>• Enabled if your site uses Kerberos authentication</li> </ul>                                                                                                                                                         |
| inetd/kshell | inetd  | /etc/inetd.conf | Kerberos shell                | <ul style="list-style-type: none"> <li>• Enabled if your site uses Kerberos authentication</li> </ul>                                                                                                                                                         |

| Service       | Daemon | Started by      | Function                             | Comments                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|---------------|--------|-----------------|--------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| inetd/login   | inetd  | /etc/inetd.conf | rlogin service                       | <ul style="list-style-type: none"> <li>• Susceptible to IP spoofing, DNS spoofing</li> <li>• Data, including User IDs and passwords, is passed unprotected</li> <li>• Runs as root user</li> <li>• Use a secure shell instead of this service</li> </ul>                                                                                                                                                                                                         |
| inetd/netstat | inetd  | /etc/inetd.conf | reporting of current network status  | <ul style="list-style-type: none"> <li>• Could potentially give network information to hackers if run on your system</li> <li>• Disable</li> </ul>                                                                                                                                                                                                                                                                                                               |
| inetd/ntalk   | inetd  | /etc/inetd.conf | Allows users to talk with each other | <ul style="list-style-type: none"> <li>• Runs as root user</li> <li>• Not required on production or back room servers</li> <li>• Disable unless absolutely needed</li> </ul>                                                                                                                                                                                                                                                                                     |
| inetd/pcnfsd  | inetd  | /etc/inetd.conf | PC NFS file services                 | <ul style="list-style-type: none"> <li>• Disable service if not currently in use</li> <li>• If you need a service similar to this, consider Samba, as the pcnfsd daemon predates Microsoft's release of SMB specifications</li> </ul>                                                                                                                                                                                                                            |
| inetd/pop3    | inetd  | /etc/inetd.conf | Post Office Protocol                 | <ul style="list-style-type: none"> <li>• User IDs and passwords are sent unprotected</li> <li>• Only needed if your system is a mail server and you have clients who are using applications that only support POP3</li> <li>• If your clients use IMAP, use that instead, or use the POP3s service. This service has a Secure Socket Layer (SSL) tunnel</li> <li>• Disable if you are not running a mail server or have clients who need POP services</li> </ul> |
| inetd/rexd    | inetd  | /etc/inetd.conf | remote execution                     | <ul style="list-style-type: none"> <li>• Runs as root user</li> <li>• Peers with the <b>on</b> command</li> <li>• Disable service</li> <li>• Use <b>rshand rshd</b> instead</li> </ul>                                                                                                                                                                                                                                                                           |

| Service       | Daemon | Started by      | Function                                 | Comments                                                                                                                                                                                                                                                                                                  |
|---------------|--------|-----------------|------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| inetd/quotad  | inetd  | /etc/inetd.conf | reports of file quotas (for NFS clients) | <ul style="list-style-type: none"> <li>• Only needed if you are running NFS file services</li> <li>• Disable this service unless required to provide an answer for the <b>quota</b> command</li> <li>• If you need to use this service, keep all patches and fixes for this service up to date</li> </ul> |
| inetd/rstatd  | inetd  | /etc/inetd.conf | Kernel Statistics Server                 | <ul style="list-style-type: none"> <li>• If you need to monitor systems, use SNMP and disable this service</li> <li>• Required for use of the <b>rup</b> command</li> </ul>                                                                                                                               |
| inetd/rusersd | inetd  | /etc/inetd.conf | info about user logged in                | <ul style="list-style-type: none"> <li>• This is not an essential service. Disable</li> <li>• Runs as root user</li> <li>• Gives out a list of current users on your system and peers with rusers</li> </ul>                                                                                              |
| inetd/rwalld  | inetd  | /etc/inetd.conf | write to all users                       | <ul style="list-style-type: none"> <li>• Runs as root user</li> <li>• If your systems have interactive users, you might need to keep this service</li> <li>• If your systems are production or database servers, this is not needed</li> <li>• Disable</li> </ul>                                         |
| inetd/shell   | inetd  | /etc/inetd.conf | rsh service                              | <ul style="list-style-type: none"> <li>• Disable this service if possible. Use Secure Shell instead</li> <li>• If you must use this service, use the TCP Wrapper to stop spoofing and limit exposures</li> <li>• Required for the <b>Xhier</b> software distribution program</li> </ul>                   |
| inetd/sprayd  | inetd  | /etc/inetd.conf | RPC spray tests                          | <ul style="list-style-type: none"> <li>• Runs as root user</li> <li>• Might be required for diagnosis of NFS network problems</li> <li>• Disable if you are not running NFS</li> </ul>                                                                                                                    |

| Service      | Daemon | Started by      | Function                                                     | Comments                                                                                                                                                                                                                                        |
|--------------|--------|-----------------|--------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| inetd/systat | inetd  | /etc/inetd.conf | "ps -ef" status report                                       | <ul style="list-style-type: none"> <li>Allows for remote sites to see the process status on your system</li> <li>This service is disabled by default. You must check periodically to ensure that the service has not been enabled</li> </ul>    |
| inetd/talk   | inetd  | /etc/inetd.conf | establish split screen between 2 users on the net            | <ul style="list-style-type: none"> <li>Not a required service</li> <li>Used with the <b>talk</b> command</li> <li>Provides UDP service at Port 517</li> <li>Disable unless you need multiple interactive chat sessions for UNIX user</li> </ul> |
| inetd/ntalk  | inetd  | /etc/inetd.conf | "new talk" establish split screen between 2 users on the net | <ul style="list-style-type: none"> <li>Not a required service</li> <li>Used with the <b>talk</b> command</li> <li>Provides UDP service at Port 517</li> <li>Disable unless you need multiple interactive chat sessions for UNIX user</li> </ul> |
| inetd/telnet | inetd  | /etc/inetd.conf | telnet service                                               | <ul style="list-style-type: none"> <li>Supports remote login sessions, but the password and ID are passed unprotected</li> <li>If possible, disable this service and use Secure Shell for remote access instead</li> </ul>                      |
| inetd/tftp   | inetd  | /etc/inetd.conf | trivial file transfer                                        | <ul style="list-style-type: none"> <li>Provides UDP service at port 69</li> <li>Runs as root user and might be compromised</li> <li>Used by NIM</li> <li>Disable unless you are using NIM or have to boot a diskless workstation</li> </ul>     |

| Service           | Daemon | Started by                            | Function                                           | Comments                                                                                                                                                                                                                                                                                                                                                                                                                               |
|-------------------|--------|---------------------------------------|----------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| inetd/time        | inetd  | /etc/inetd.conf                       | obsolete time service                              | <ul style="list-style-type: none"> <li>• Internal function of <b>inetd</b> that is used by <b>rdate</b> command.</li> <li>• Available as TCP and UDP service</li> <li>• Sometimes used to synchronize clocks at boot time</li> <li>• Service is outdated. Use <b>ntpdate</b> instead</li> <li>• Disable this only after you have tested your systems (boot/reboot) with this service disabled and have observed no problems</li> </ul> |
| inetd/ttdbserver  | inetd  | /etc/inetd.conf                       | tool-talk database server (for CDE)                | <ul style="list-style-type: none"> <li>• The <b>rpc.ttdbserverd</b> runs as root user and might be compromised</li> <li>• Stated as a required service for CDE, but CDE is able to work without it</li> <li>• Should not be run on back room servers or any systems where security is a concern</li> </ul>                                                                                                                             |
| inetd/uucp        | inetd  | /etc/inetd.conf                       | UUCP network                                       | <ul style="list-style-type: none"> <li>• Disable unless you have an application that uses UUCP</li> </ul>                                                                                                                                                                                                                                                                                                                              |
| inittab/dt        | init   | /etc/rc.dt script in the /etc/inittab | desktop login to CDE environment                   | <ul style="list-style-type: none"> <li>• Starts the X11 server on the console</li> <li>• Supports the X11 Display Manager Control Protocol (xdcmp) so that other X11 stations can log into the same machine</li> <li>• Service should be used on personal workstations only. Avoid using it for back room systems</li> </ul>                                                                                                           |
| inittab/dt_nogb   | init   | /etc/inittab                          | desktop login to CDE environment (NO graphic boot) | <ul style="list-style-type: none"> <li>• No graphical display until the system is up fully</li> <li>• Same concerns as inittab/dt</li> </ul>                                                                                                                                                                                                                                                                                           |
| inittab/httpdlite | init   | /etc/inittab                          | web server for the docsearch command               | <ul style="list-style-type: none"> <li>• Default web server for the docsearch engine</li> <li>• Disable unless your machine is a documentation server</li> </ul>                                                                                                                                                                                                                                                                       |

| Service          | Daemon | Started by   | Function                                     | Comments                                                                                                                                                                                                                                                                                                     |
|------------------|--------|--------------|----------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| inittab/i4ls     | init   | /etc/inittab | license manager servers                      | <ul style="list-style-type: none"> <li>• Enable for development machines</li> <li>• Disable for production machines</li> <li>• Enable for back room database machines that have license requirements</li> <li>• Provides support for compilers, database software, or any other licensed products</li> </ul> |
| inittab/imqss    | init   | /etc/inittab | search engine for "docsearch"                | <ul style="list-style-type: none"> <li>• Part of the default web server for the docsearch engine</li> <li>• Disable unless your machine is a documentation server</li> </ul>                                                                                                                                 |
| inittab/lpd      | init   | /etc/inittab | BSD line printer interface                   | <ul style="list-style-type: none"> <li>• Accepts print jobs from other systems</li> <li>• You can disable this service and still send jobs to the print server</li> <li>• Disable this after you confirm that printing is not affected</li> </ul>                                                            |
| inittab/nfs      | init   | /etc/inittab | Network File System/Net Information Services | <ul style="list-style-type: none"> <li>• NFS and NIS services based which were built on UDP/RPC</li> <li>• Authentication is minimal</li> <li>• Disable this for back room machines</li> </ul>                                                                                                               |
| inittab/piobe    | init   | /etc/inittab | printer IO Back End (for printing)           | <ul style="list-style-type: none"> <li>• Handles the scheduling, spooling and printing of jobs submitted by the <b>qdaemon</b> daemon</li> <li>• Disable if you are not printing from your system because you are sending print job to a server</li> </ul>                                                   |
| inittab/qdaemon  | init   | /etc/inittab | queue daemon (for printing)                  | <ul style="list-style-type: none"> <li>• Submits print jobs to the <b>piobe</b> daemon</li> <li>• If you are not printing from your system, then disable</li> </ul>                                                                                                                                          |
| inittab/uprintfd | init   | /etc/inittab | kernel messages                              | <ul style="list-style-type: none"> <li>• Generally not required</li> <li>• Disable</li> </ul>                                                                                                                                                                                                                |

| Service           | Daemon | Started by   | Function                                  | Comments                                                                                                                                                                                                                                                                    |
|-------------------|--------|--------------|-------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| inittab/writesrv  | init   | /etc/inittab | writing notes to ttys                     | <ul style="list-style-type: none"> <li>• Only used by interactive UNIX workstation users</li> <li>• Disable this service for servers, back room databases, and development machines</li> <li>• Enable this service for workstations</li> </ul>                              |
| inittab/xdm       | init   | /etc/inittab | traditional X11 Display Management        | <ul style="list-style-type: none"> <li>• Do not run on back room production or database servers</li> <li>• Do not run on development systems unless X11 display management is needed</li> <li>• Acceptable to run on workstations if graphics are needed</li> </ul>         |
| rc.nfs/automountd |        | /etc/rc.nfs  | automatic file systems                    | <ul style="list-style-type: none"> <li>• If you use NFS, enable this for workstations</li> <li>• Do not use the automounter for development or back room servers</li> </ul>                                                                                                 |
| rc.nfs/biod       |        | /etc/rc.nfs  | Block IO Daemon (required for NFS server) | <ul style="list-style-type: none"> <li>• Enabled for NFS server only</li> <li>• If not an NFS server, then disable this along with nfsd and rpc.mountd</li> </ul>                                                                                                           |
| rc.nfs/key serv   |        | /etc/rc.nfs  | Secure RPC Key server                     | <ul style="list-style-type: none"> <li>• Manages the keys required for secure RPC</li> <li>• Disable this if you are <i>not</i> using NFS and NIS</li> </ul>                                                                                                                |
| rc.nfs/nfsd       |        | /etc/rc.nfs  | NFS Services (required for NFS Server)    | <ul style="list-style-type: none"> <li>• Authentication is weak</li> <li>• Can lend itself to stack frame crashing</li> <li>• Enable if on NFS file servers</li> <li>• If you disable this, then disable <b>biod</b>, <b>nfsd</b>, and <b>rpc.mountd</b> as well</li> </ul> |

| Service              | Daemon | Started by    | Function                                  | Comments                                                                                                                                                                                                                                                             |
|----------------------|--------|---------------|-------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| rc.nfs/rpc.lockd     |        | /etc/rc.nfs   | NFS file locks                            | <ul style="list-style-type: none"> <li>• Disable if you are not using NFS</li> <li>• Disable this if you are not using file locks across the network</li> <li>• <b>lockd</b> daemon is mentioned in the SANS Top Ten Security Threats</li> </ul>                     |
| rc.nfs/rpc.mountd    |        | /etc/rc.nfs   | NFS file mounts (required for NFS Server) | <ul style="list-style-type: none"> <li>• Authentication is weak</li> <li>• Can lend itself to stack frame crashing</li> <li>• Should be enabled only on NFS file servers</li> <li>• If you disable this, then disable <b>biod</b> and <b>nfsd</b> as well</li> </ul> |
| rc.nfs/rpc.statd     |        | /etc/rc.nfs   | NFS file locks (to recover them)          | <ul style="list-style-type: none"> <li>• Implements file locks across NFS</li> <li>• Disable unless you are using NFS</li> </ul>                                                                                                                                     |
| rc.nfs/rpc.yppasswdd |        | /etc/rc.nfs   | NIS password daemon (for NIS master)      | <ul style="list-style-type: none"> <li>• Used to manipulate the local password file</li> <li>• Only required when the machine in question is the NIS master; disable in all other cases</li> </ul>                                                                   |
| rc.nfs/ypupdated     |        | /etc/rc.nfs   | NIS Update daemon (for NIS worker)        | <ul style="list-style-type: none"> <li>• Receives NIS database maps pushed from the NIS Master</li> <li>• Only required when the machine in question is a NIS worker to a Master NIS Server</li> </ul>                                                               |
| rc.tcpip/autoconf6   |        | /etc/rc.tcpip | IPv6 interfaces                           | <ul style="list-style-type: none"> <li>• Disable unless you are running IP Version 6</li> </ul>                                                                                                                                                                      |
| rc.tcpip/dhcpd       |        | /etc/rc.tcpip | Dynamic Host Configure Protocol (client)  | <ul style="list-style-type: none"> <li>• Back room servers should not rely on DHCP. Disable this service</li> <li>• If your host is not using DHCP, disable</li> </ul>                                                                                               |

| Service          | Daemon | Started by    | Function                                | Comments                                                                                                                                                                                                                                                                                                                           |
|------------------|--------|---------------|-----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| rc.tcpip/dhcprd  |        | /etc/rc.tcpip | Dynamic Host Configure Protocol (relay  | <ul style="list-style-type: none"> <li>Grabs DHCP broadcasts and sends them to a server on another network</li> <li>Duplicate of a service found on routers</li> <li>Disable this if you are not using DHCP or rely on passing information between networks</li> </ul>                                                             |
| rc.tcpip/dhcpsd  |        | /etc/rc.tcpip | Dynamic Host Configure Protocol (server | <ul style="list-style-type: none"> <li>Answers DHCP requests from clients at boot time; gives client information, such as IP name, number, netmask, router, and broadcast address</li> <li>Disable this if you are not using DHCP</li> <li>Disabled on production and back room servers along with hosts not using DHCP</li> </ul> |
| rc.tcpip/dpid2   |        | /etc/rc.tcpip | outdated SNMP service                   | <ul style="list-style-type: none"> <li>Disable unless you need SNMP</li> </ul>                                                                                                                                                                                                                                                     |
| rc.tcpip/gated   |        | /etc.rc.tcpip | gated routing between interfaces        | <ul style="list-style-type: none"> <li>Emulates router function</li> <li>Disable this service and use RIP or a router instead</li> </ul>                                                                                                                                                                                           |
| rc.tcpip/inetd   |        | /etc/rc.tcpip | inetd services                          | <ul style="list-style-type: none"> <li>A thoroughly secured system should have this disabled, but is often not practical</li> <li>Disabling this will disable remote shell services which are required for some mail and web servers</li> </ul>                                                                                    |
| rc.tcpip/mrouted |        | /etc/rc.tcpip | multi-cast routing                      | <ul style="list-style-type: none"> <li>Emulates router function of sending multi-cast packets between network segments</li> <li>Disable this service. Use a router instead</li> </ul>                                                                                                                                              |
| rc.tcpip/names   |        | /etc/rc.tcpip | DNS name server                         | <ul style="list-style-type: none"> <li>Use this only if your machine is a DNS name server</li> <li>Disable for workstation, development and production machines</li> </ul>                                                                                                                                                         |

| Service             | Daemon | Started by    | Function                           | Comments                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
|---------------------|--------|---------------|------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| rc.tcpip/ndp-host   |        | /etc/rc.tcpip | IPv6 host                          | <ul style="list-style-type: none"> <li>• Disable unless you use IP Version 6</li> </ul>                                                                                                                                                                                                                                                                                                                                                                     |
| rc.tcpip/ndp-router |        | /etc/rc.tcpip | IPv6 routing                       | <ul style="list-style-type: none"> <li>• Disable this unless you use IP Version 6. Consider using a router instead of IP Version 6</li> </ul>                                                                                                                                                                                                                                                                                                               |
| rc.tcpip/portmap    |        | /etc/rc.tcpip | RPC services                       | <ul style="list-style-type: none"> <li>• Required service</li> <li>• RPC servers register with <b>portmap</b> daemon. Clients who need to locate RPC services ask the <b>portmap</b> daemon to tell them where a particular service is located</li> <li>• Disable only if you have managed to reduce RPC service so that the only one remaining is <b>portmap</b></li> </ul>                                                                                |
| rc.tcpip/routed     |        | /etc/rc.tcpip | RIP routing between interfaces     | <ul style="list-style-type: none"> <li>• Emulates router function</li> <li>• Disable if you have a router for packets between networks</li> </ul>                                                                                                                                                                                                                                                                                                           |
| rc.tcpip/rwhod      |        | /etc/rc.tcpip | Remote "who" daemon                | <ul style="list-style-type: none"> <li>• Collects and broadcasts data to peer servers on the same network</li> <li>• Disable this service</li> </ul>                                                                                                                                                                                                                                                                                                        |
| rc.tcpip/sendmail   |        | /etc/rc.tcpip | mail services                      | <ul style="list-style-type: none"> <li>• Runs as root user</li> <li>• Disable this service unless the machine is used as a mail server</li> <li>• If disabled, then do one of the following: <ul style="list-style-type: none"> <li>– Place an entry in crontab to clear the queue. Use the <b>/usr/lib/sendmail -q</b> command</li> <li>– Configure DNS services so that the mail for your server is delivered to some other system</li> </ul> </li> </ul> |
| rc.tcpip/snmpd      |        | /etc/rc.tcpip | Simple Network Management Protocol | <ul style="list-style-type: none"> <li>• Disable if you are not monitoring the system via SNMP tools</li> <li>• SNMP may be required on critical servers</li> </ul>                                                                                                                                                                                                                                                                                         |

| Service               | Daemon | Started by                | Function             | Comments                                                                                                                                                                                                                                                                                                                                                                   |
|-----------------------|--------|---------------------------|----------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| rc.tcpip/syslogd      |        | /etc/rc.tcpip             | system log of events | <ul style="list-style-type: none"> <li>Disabling this service is <i>not</i> recommended</li> <li>Prone to denial of service attacks</li> <li>Required in any system</li> </ul>                                                                                                                                                                                             |
| rc.tcpip/timed        |        | /etc/rc.tcpip             | Old Time Daemon      | <ul style="list-style-type: none"> <li>Disable this service and use xntp instead</li> </ul>                                                                                                                                                                                                                                                                                |
| rc.tcpip/xntpd        |        | /etc/rc.tcpip             | New Time Daemon      | <ul style="list-style-type: none"> <li>Keeps clocks on systems in sync</li> <li>Disable this service.</li> <li>Configure other systems as time servers and let other systems synchronize to them with a cron job that calls ntpdate</li> </ul>                                                                                                                             |
| dt login              |        | /usr/dt/config/Xaccess    | unrestricted CDE     | <ul style="list-style-type: none"> <li>If you are not providing CDE login to a group of X11 stations, you can restrict dtlogin to the console.</li> </ul>                                                                                                                                                                                                                  |
| anonymous FTP service |        | user rmuser -p <username> | anonymous ftp        | <ul style="list-style-type: none"> <li>Anonymous FTP ability prevents you from tracing FTP usage to a specific user</li> <li>Remove user ftp if that user account exists, as follows:<br/><b>rmuser -p ftp</b></li> <li>Further security can be obtained by populating the /etc/ftpusers file with a list of those who should not be able to ftp to your system</li> </ul> |

| Service              | Daemon | Started by                      | Function                      | Comments                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
|----------------------|--------|---------------------------------|-------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| anonymous FTP writes |        |                                 | anonymous ftp uploads         | <ul style="list-style-type: none"> <li>• No file should belong to ftp.</li> <li>• FTP anonymous uploads allow the potential for misbehaving code to be placed on your system.</li> <li>• Put the names of those users you want to disallow into the <code>/etc/ftpusers</code> file</li> <li>• Some examples of system-created users you might want to disallow from anonymously uploading via FTP to your system are: root, daemon, bin.sys, admin.uucp, guest, nobody, lpd, nuucp, ladm</li> <li>• Change the owner and group rights to the ftpusers files as follows: <code>chown root:system /etc/ftpusers</code></li> <li>• Change the permissions to the ftpusers files to a stricter setting as follows: <code>chmod 644 /etc/ftpusers</code></li> </ul> |
| ftp.restrict         |        |                                 | ftp to system accounts        | <ul style="list-style-type: none"> <li>• No user from the outside should be allowed to replace root files using ftpusers file</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| root.access          |        | <code>/etc/security/user</code> | rlogin/telnet to root account | <ul style="list-style-type: none"> <li>• Set the rlogin option in the <code>etc/security/user</code> file to false</li> <li>• Anyone logging in as root should first log in under their own name and then <b>su</b> to root; this provides an audit trail</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| snmpd.readWrite      |        | <code>/etc/snmpd.conf</code>    | SNMP readWrite communities    | <ul style="list-style-type: none"> <li>• If you are <i>not</i> using SNMP, disable the SNMP daemon.</li> <li>• Disable community private and community system in the <code>/etc/snmpd.conf</code> file</li> <li>• Restrict 'public' community to those IP addresses that are monitoring your system</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                  |

| Service     | Daemon | Started by | Function          | Comments                                                                                                                                                                                                                              |
|-------------|--------|------------|-------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| syslog.conf |        |            | configure syslogd | <ul style="list-style-type: none"> <li>• If you have not configured <code>/etc/syslog.conf</code>, then disable this daemon</li> <li>• If you are using <code>syslog.conf</code> to log system messages, then keep enabled</li> </ul> |

## Summary of network service options

To achieve a higher level of system security, there are several network options that you can change using 0 to disable and 1 to enable. The following list identifies these parameters you can use with the **no** command.

| Parameter           | Command                                            | Purpose                                                                                                                                   |
|---------------------|----------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------|
| bcastping           | <code>/usr/sbin/no -o bcastping=0</code>           | Allows response to ICMP echo packets to the broadcast address. Disabling this prevents Smurf attacks.                                     |
| clean_partial_conns | <code>/usr/sbin/no -o clean_partial_conns=1</code> | Specifies whether or not SYN (synchronizes the sequence number) attacks are being avoided.                                                |
| directed_broadcast  | <code>/usr/sbin/no -o directed_broadcast=0</code>  | Specifies whether to allow a directed broadcast to a gateway. Setting to 0 helps prevent directed packets from reaching a remote network. |
| icmpaddressmask     | <code>/usr/sbin/no -o icmpaddressmask=0</code>     | Specifies whether the system responds to an ICMP address mask request. Disabling this prevents access through source routing attacks.     |
| ipforwarding        | <code>/usr/sbin/no -o ipforwarding=0</code>        | Specifies whether the kernel should forward packets. Disabling this prevents redirected packets from reaching remote network.             |
| ipignoreredirects   | <code>/usr/sbin/no -o ipignoreredirects=1</code>   | Specifies whether to process redirects that are received.                                                                                 |
| ipsendredirects     | <code>/usr/sbin/no -o ipsendredirects=0</code>     | Specifies whether the kernel should send redirect signals. Disabling this prevents redirected packets from reaching remote network.       |

| Parameter          | Command                              | Purpose                                                                                                                                                                                                                                                                                                 |
|--------------------|--------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| ip6srcrouteforward | /usr/sbin/no -o ip6srcrouteforward=0 | Specifies whether the system forwards source-routed IPv6 packets. Disabling this prevents access through source routing attacks.                                                                                                                                                                        |
| ipsrcrouteforward  | /usr/sbin/no -o ipsrcrouteforward=0  | Specifies whether the system forwards source-routed packets. Disabling this prevents access through source routing attacks.                                                                                                                                                                             |
| ipsrcrouterrecv    | /usr/sbin/no -o ipsrcrouterrecv=0    | Specifies whether the system accepts source-routed packets. Disabling this prevents access through source routing attacks.                                                                                                                                                                              |
| ipsrcroutesend     | /usr/sbin/no -o ipsrcroutesend=0     | Specifies whether applications can send source-routed packets. Disabling this prevents access through source routing attacks.                                                                                                                                                                           |
| nonlocsrcroute     | /usr/sbin/no -o nonlocsrcroute=0     | Tells the Internet Protocol that strictly source-routed packets may be addressed to hosts outside the local network. Disabling this prevents access through source routing attacks.                                                                                                                     |
| tcp_icmpsecure     | /usr/sbin/no -o tcp_icmpsecurer=1    | Protects TCP connections against ICMP (Internet Control Message Protocol) source quench and PMTUD (Path MTU Discovery) attacks. Checks the payload of the ICMP message to test the sequence number of the TCP header is within the range of acceptable sequence numbers. Values: 0=off (default); 1=on. |
| ip_nfrag           | /usr/sbin/no -o ip_nfrag=200         | Specifies the maximum number of fragments of an IP packet that can be kept on the IP reassembly queue at a time (default value of 200 keeps up to 200 fragments of an IP packet in the IP reassembly queue).                                                                                            |
| tcp_pmtu_discover  | /usr/sbin/no -o tcp_pmtu_discover=0  | Disabling this prevents access through source routing attacks.                                                                                                                                                                                                                                          |

| Parameter         | Command                                | Purpose                                                                                                                                                                                                                                                                           |
|-------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| tcp_tcpsecure     | /usr/sbin/no -o tcp_tcpsecure=7        | Protects TCP connections against vulnerabilities. Values: 0=no protection; 1=sending a fake SYN to an established connection; 2=sending a fake RST to an established connection; 3=injecting data in an established TCP connection; 5–7=combination of the above vulnerabilities. |
| udp_pmtu_discover | /usr/sbin/no -o<br>udp_pmtu_discover=0 | Enables or disables path MTU discovery for TCP applications. Disabling this prevents access through source routing attacks.                                                                                                                                                       |

For more information about network-tunable options, see *Performance management*.

## 4769 PCIe Cryptographic Coprocessor AIX CCA Support Program Installation 7.3

This installation information describes Release 7.3 of the IBM Common Cryptographic Architecture (CCA) Support Program (Support Program) for the IBM 4769 PCIe Cryptographic Coprocessor. The Support Program includes device drivers, utilities, and the CCA coprocessor code.

You can use the Support Program 7.3 with the 64-bit operating systems of IBM AIX 7.2, and later.

You can use this information for information about the following tasks.

- Obtain the Support Program and coprocessor firmware through the internet.
- Load the software onto a host computer and the firmware into the coprocessors.
- Link your application software to the CCA library.
- Obtain guidance for security considerations during application development and operational practices.
- Troubleshoot CCA installation and usage.

To download the installation document for IBM 4769 PCIe Cryptographic Coprocessor AIX CCA Support Program 7.3, complete the following steps:

1. Go to the [4769 Embedded Code Download](#) web page.
2. Log in with your IBM user ID and password.
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4. Select **Publications and Documentation** from the table and click **Continue**.
5. Click **Download** to download the publication for IBM 4769 PCIe Cryptographic Coprocessor. For information about installation instructions for the Support Program 7.3, see the sp.pdf document in the set of downloaded documents.

## 4770 PCIe Cryptographic Coprocessor AIX CCA Support Program Installation 7.3

This installation information describes Release 7.3 of the IBM Common Cryptographic Architecture (CCA) Support Program (Support Program) for the IBM 4770 PCIe Cryptographic Coprocessor. The Support Program includes device drivers, utilities, and the CCA co-processor code.

You can use the Support Program 7.3 with the 64-bit operating systems of IBM AIX 7.3 Technology Level 3 Service Pack 1, and later.

You can use this information for information about the following tasks.

- Obtain the Support Program and co-processor firmware through the internet.
- Load the software onto a host computer and the firmware into the co-processors.
- Link your application software to the CCA library.
- Obtain guidance for security considerations during application development and operational practices.
- Troubleshoot CCA installation and usage.

To download the installation document for IBM 4770 PCIe Cryptographic Co-processor AIX CCA Support Program 7.3, complete the following steps:

1. Go to the 4770 Embedded Code Download web page.
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3. Read and accept the privacy policy and license details.
4. Select **Publications and Documentation** from the table and click **Continue**.
5. Click **Download** to download the publication for IBM 4770 PCIe Cryptographic Co-processor. For information about installation instructions for the Support Program 7.3, see the `sp.pdf` document in the set of downloaded documents.



## Notices

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