CHAPTER 1

INTRODUCTION

The combination of space, time, and strength that must be considered as the basic elements of this theory of defense makes this a fairly complicated matter. Consequently, it is not easy to find a fixed point of departure.

—*On War*, Carl Von Clausewitz

The art of war teaches us to rely not on the likelihood of the enemy's not coming, but on our own readiness to receive him; not on the chance of his not attacking, but rather on the fact that we have made our position unassailable.

—*The Art of War,* Sun Tzu

The requirements of **information security** within an organization have undergone two major changes in the last several decades. Before the widespread use of data processing equipment, the security of information felt to be valuable to an organization was provided primarily by physical and administrative means. An example of the former is the use of rugged filing cabinets with a combination lock for storing sensitive documents. An example of the latter is personnel screening procedures used during the hiring process.

With the introduction of the computer, the need for automated tools for protecting files and other information stored on the computer became evident. This is especially the case for a shared system, such as a time-sharing system, and the need is even more acute for systems that can be accessed over a public telephone network, data network, or the Internet. The generic name for the collection of tools designed to protect data and to thwart hackers is **computer security**.

The second major change that affected security is the introduction of distributed systems and the use of networks and communications facilities for carrying data between terminal user and computer and between computer and computer. Network security measures are needed to protect data during their transmission. In fact, the term **network security** is somewhat misleading, because virtually all business, government, and academic organizations interconnect their data processing equipment with a collection of interconnected networks. Such a collection is often referred to as an internet,[1] and the term **internet security** is used.

There are no clear boundaries between these two forms of security. For example, one of the most publicized types of attack on information systems is the computer virus. A virus may be introduced into a system physically when it arrives on an optical disk and is subsequently loaded onto a computer. Viruses may also arrive over an internet. In either case, once the virus is resident on a computer system, internal computer security tools are needed to detect and recover from the virus.

This book focuses on internet security, which consists of measures to deter, prevent, detect, and correct security violations that involve the transmission of information. That is a broad statement that covers a host of possibilities. To give you a feel for the areas covered in this book, consider the following examples of security violations:

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[1]We use the term *internet* with a lowercase "i" to refer to any interconnected collection of network. A corporate intranet is an example of an internet. The Internet with a capital "I" may be one of the facilities used by an organization to construct its internet.

1. User A transmits a file to user B. The file contains sensitive information (e.g., payroll records) that is to be protected from disclosure. User C, who is not authorized to read the file, is able to monitor the transmission and capture a copy of the file during its transmission.
2. A network manager, D, transmits a message to a computer, E, under its management. The message instructs computer E to update an authorization file to include the identities of a number of new users who are to be given access to that computer. User F intercepts the message, alters its contents to add or delete entries, and then forwards the message to E, which accepts the message as coming from manager D and updates its authorization file accordingly.
3. Rather than intercept a message, user F constructs its own message with the desired entries and transmits that message to E as if it had come from manager D. Computer E accepts the message as coming from manager D and updates its authorization file accordingly.
4. An employee is fired without warning. The personnel manager sends a message to a server system to invalidate the employee's account. When the invalidation is accomplished, the server is to post a notice to the employee's file as confirmation of the action. The employee is able to intercept the message and delay it long enough to make a final access to the server to retrieve sensitive information. The message is then forwarded, the action taken, and the confirmation posted. The employee's action may go unnoticed for some considerable time.
5. A message is sent from a customer to a stockbroker with instructions for various transactions. Subsequently, the investments lose value and the customer denies sending the message.

Although this list by no means exhausts the possible types of security violations, it illustrates the range of concerns of network security.

This chapter provides a general overview of the subject matter that structures the material in the remainder of the book. We begin with a general discussion of network security services and mechanisms and of the types of attacks they are designed for. Then we develop a general overall model within which the security services and mechanisms can be viewed.

1.1 COMPUTER SECURITY CONCEPTS

A Definition of Computer Security

The NIST *Computer Security Handbook* [NIST95] defines the term *computer security* as

> **COMPUTER SECURITY**
>
> The protection afforded to an automated information system in order to attain the applicable objectives of preserving the integrity, availability, and confidentiality of information system resources (includes hardware, software, firmware, information/data, and telecommunications).

This definition introduces three key objectives that are at the heart of computer security.

- **Confidentiality:** This term covers two related concepts:

  Data[2] confidentiality: Assures that private or confidential information is not made available or disclosed to unauthorized individuals.

  Privacy: Assures that individuals control or influence what information related to them may be collected and stored and by whom and to whom that information may be disclosed.

- **Integrity:** This term covers two related concepts:

  Data integrity: Assures that information and programs are changed only in a specified and authorized manner.

  System integrity: Assures that a system performs its intended function in an unimpaired manner, free from deliberate or inadvertent unauthorized manipulation of the system.

- **Availability:** Assures that systems work promptly and service is not denied to authorized users.

These three concepts form what is often referred to as the **CIA triad** (Figure 1.1). The three concepts embody the fundamental security objectives for both data and for information and computing services. For example, the NIST *Standards for Security Categorization of Federal Information and Information Systems* (FIPS 199) lists confidentiality, integrity, and availability as the three security objectives for information and for information systems. FIPS 199 provides a useful characterization of these three objectives in terms of requirements and the definition of a loss of security in each category.

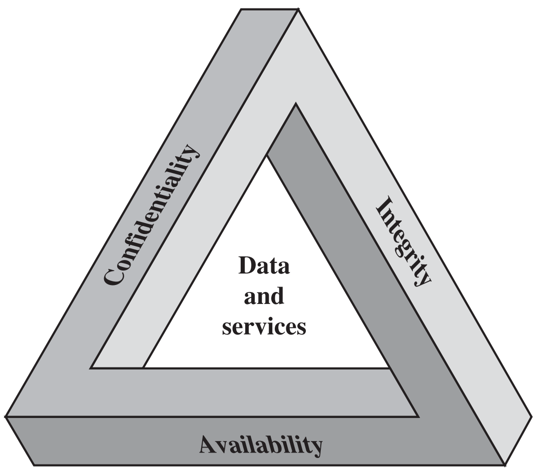


Figure 1.1 The Security Requirements Triad

[2]RFC 2828 defines *information* as "facts and ideas, which can be represented (encoded) as various forms of data," and *data* as "information in a specific physical representation, usually a sequence of symbols that have meaning; especially a representation of information that can be processed or produced by a computer." Security literature typically does not make much of a distinction, nor does this book.

- **Confidentiality:** Preserving authorized restrictions on information access and disclosure, including means for protecting personal privacy and proprietary information. A loss of confidentiality is the unauthorized disclosure of information.
- **Integrity:** Guarding against improper information modification or destruction, including ensuring information nonrepudiation and authenticity. A loss of integrity is the unauthorized modification or destruction of information.
- **Availability:** Ensuring timely and reliable access to and use of information. A loss of availability is the disruption of access to or use of information or an information system.

Although the use of the CIA triad to define security objectives is well established, some in the security field feel that additional concepts are needed to present a complete picture. Two of the most commonly mentioned are

- **Authenticity:** The property of being genuine and being able to be verified and trusted; confidence in the validity of a transmission, a message, or message originator. This means verifying that users are who they say they are and that each input arriving at the system came from a trusted source.
- **Accountability:** The security goal that generates the requirement for actions of an entity to be traced uniquely to that entity. This supports nonrepudiation, deterrence, fault isolation, intrusion detection and prevention, and after-action recovery and legal action. Because truly secure systems are not yet an achievable goal, we must be able to trace a security breach to a responsible party. Systems must keep records of their activities to permit later forensic analysis to trace security breaches or to aid in transaction disputes.

Examples

We now provide some examples of applications that illustrate the requirements just enumerated.[3] For these examples, we use three levels of impact on organizations or individuals should there be a breach of security (i.e., a loss of confidentiality, integrity, or availability). These levels are defined in FIPS 199:

- **Low:** The loss could be expected to have a limited adverse effect on organizational operations, organizational assets, or individuals. A limited adverse effect means that, for example, the loss of confidentiality, integrity, or availability might (i) cause a degradation in mission capability to an extent and duration that the organization is able to perform its primary functions, but the effectiveness of the functions is noticeably reduced; (ii) result in minor damage to organizational assets; (iii) result in minor financial loss; or (iv) result in minor harm to individuals.

[3]These examples are taken from a security policy document published by the Information Technology Security and Privacy Office at Purdue University.

- **Moderate:** The loss could be expected to have a serious adverse effect on organizational operations, organizational assets, or individuals. A serious adverse effect means that, for example, the loss might (i) cause a significant degradation in mission capability to an extent and duration that the organization is able to perform its primary functions, but the effectiveness of the functions is significantly reduced; (ii) result in significant damage to organizational assets; (iii) result in significant financial loss; or (iv) result in significant harm to individuals that does not involve loss of life or serious, life-threatening injuries.
- **High:** The loss could be expected to have a severe or catastrophic adverse effect on organizational operations, organizational assets, or individuals. A severe or catastrophic adverse effect means that, for example, the loss might (i) cause a severe degradation in or loss of mission capability to an extent and duration that the organization is not able to perform one or more of its primary functions; (ii) result in major damage to organizational assets; (iii) result in major financial loss; or (iv) result in severe or catastrophic harm to individuals involving loss of life or serious, life-threatening injuries.

Confidentiality Student grade information is an asset whose confidentiality is considered to be highly important by students. In the United States, the release of such information is regulated by the Family Educational Rights and Privacy Act (FERPA). Grade information should only be available to students, their parents, and employees that require the information to do their job. Student enrollment information may have a moderate confidentiality rating. While still covered by FERPA, this information is seen by more people on a daily basis, is less likely to be targeted than grade information, and results in less damage if disclosed. Directory information (such as lists of students, faculty, or departmental lists) may be assigned a low confidentiality rating or indeed no rating. This information is typically freely available to the public and published on a school's Web site.

Integrity Several aspects of integrity are illustrated by the example of a hospital patient's allergy information stored in a database. The doctor should be able to trust that the information is correct and current. Now suppose that an employee (e.g., a nurse) who is authorized to view and update this information deliberately falsifies the data to cause harm to the hospital. The database needs to be restored to a trusted basis quickly, and it should be possible to trace the error back to the person responsible. Patient allergy information is an example of an asset with a high requirement for integrity. Inaccurate information could result in serious harm or death to a patient and expose the hospital to massive liability.

An example of an asset that may be assigned a moderate level of integrity requirement is a Web site that offers a forum to registered users to discuss some specific topic. Either a registered user or a hacker could falsify some entries or deface the Web site. If the forum exists only for the enjoyment of the users, brings in little or no advertising revenue, and is not used for something important such as research, then potential damage is not severe. The Web master may experience some data, financial, and time loss.

An example of a low-integrity requirement is an anonymous online poll. Many Web sites, such as news organizations, offer these polls to their users with very few safeguards. However, the inaccuracy and unscientific nature of such polls is well understood.

Availability The more critical a component or service, the higher is the level of availability required. Consider a system that provides authentication services for critical systems, applications, and devices. An interruption of service results in the inability for customers to access computing resources and for the staff to access the resources they need to perform critical tasks. The loss of the service translates into a large financial loss due to lost employee productivity and potential customer loss.

An example of an asset that typically would be rated as having a moderate availability requirement is a public Web site for a university; the Web site provides information for current and prospective students and donors. Such a site is not a critical component of the university's information system, but its unavailability will cause some embarrassment.

An online telephone directory lookup application would be classified as a low-availability requirement. Although the temporary loss of the application may be an annoyance, there are other ways to access the information, such as a hardcopy directory or the operator.

The Challenges of Computer Security

Computer and network security is both fascinating and complex. Some of the reasons include:

1. Security is not as simple as it might first appear to the novice. The requirements seem to be straightforward; indeed, most of the major requirements for security services can be given self-explanatory, one-word labels: confidentiality, authentication, nonrepudiation, integrity. But the mechanisms used to meet those requirements can be quite complex, and understanding them may involve rather subtle reasoning.
2. In developing a particular security mechanism or algorithm, one must always consider potential attacks on those security features. In many cases, successful attacks are designed by looking at the problem in a completely different way, therefore exploiting an unexpected weakness in the mechanism.
3. Because of point 2, the procedures used to provide particular services are often counterintuitive. Typically, a security mechanism is complex, and it is not obvious from the statement of a particular requirement that such elaborate measures are needed. It is only when the various aspects of the threat are considered that elaborate security mechanisms make sense.
4. Having designed various security mechanisms, it is necessary to decide where to use them. This is true both in terms of physical placement (e.g., at what points in a network are certain security mechanisms needed) and in a logical sense [e.g., at what layer or layers of an architecture such as TCP/IP (Transmission Control Protocol/Internet Protocol) should mechanisms be placed].

5. Security mechanisms typically involve more than a particular algorithm or protocol. They also require that participants be in possession of some secret information (e.g., an encryption key), which raises questions about the creation, distribution, and protection of that secret information. There also may be a reliance on communications protocols whose behavior may complicate the task of developing the security mechanism. For example, if the proper functioning of the security mechanism requires setting time limits on the transit time of a message from sender to receiver, then any protocol or network that introduces variable, unpredictable delays may render such time limits meaningless.
6. Computer and network security is essentially a battle of wits between a perpetrator who tries to find holes and the designer or administrator who tries to close them. The great advantage that the attacker has is that he or she need only find a single weakness, while the designer must find and eliminate all weaknesses to achieve perfect security.
7. There is a natural tendency on the part of users and system managers to perceive little benefit from security investment until a security failure occurs.
8. Security requires regular, even constant, monitoring, and this is difficult in today's short-term, overloaded environment.
9. Security is still too often an afterthought to be incorporated into a system after the design is complete rather than being an integral part of the design process.
10. Many users (and even security administrators) view strong security as an impediment to efficient and user-friendly operation of an information system or use of information.

The difficulties just enumerated will be encountered in numerous ways as we examine the various security threats and mechanisms throughout this book.

1.2 THE OSI SECURITY ARCHITECTURE

To assess effectively the security needs of an organization and to evaluate and choose various security products and policies, the manager responsible for computer and network security needs some systematic way of defining the requirements for security and characterizing the approaches to satisfying those requirements. This is difficult enough in a centralized data processing environment; with the use of local and wide area networks, the problems are compounded.

ITU-T[4] Recommendation X.800, *Security Architecture for OSI*, defines such a systematic approach.[5] The OSI security architecture is useful to managers as a way

[4]The International Telecommunication Union (ITU) Telecommunication Standardization Sector (ITU-T) is a United Nations-sponsored agency that develops standards, called Recommendations, relating to telecommunications and to open systems interconnection (OSI).

[5]The OSI security architecture was developed in the context of the OSI protocol architecture, which is described in Appendix D. However, for our purposes in this chapter, an understanding of the OSI protocol architecture is not required.

Table 1.1 Threats and Attacks (RFC 2828)

Threat A potential for violation of security, which exists when there is a circumstance, capability, action, or event that could breach security and cause harm. That is, a threat is a possible danger that might exploit a vulnerability.
Attack An assault on system security that derives from an intelligent threat. That is, an intelligent act that is a deliberate attempt (especially in the sense of a method or technique) to evade security services and violate the security policy of a system.

of organizing the task of providing security. Furthermore, because this architecture was developed as an international standard, computer and communications vendors have developed security features for their products and services that relate to this structured definition of services and mechanisms.

For our purposes, the OSI security architecture provides a useful, if abstract, overview of many of the concepts that this book deals with. The OSI security architecture focuses on security attacks, mechanisms, and services. These can be defined briefly as

- **Security attack:** Any action that compromises the security of information owned by an organization.
- **Security mechanism:** A process (or a device incorporating such a process) that is designed to detect, prevent, or recover from a security attack.
- **Security service:** A processing or communication service that enhances the security of the data processing systems and the information transfers of an organization. The services are intended to counter security attacks, and they make use of one or more security mechanisms to provide the service.

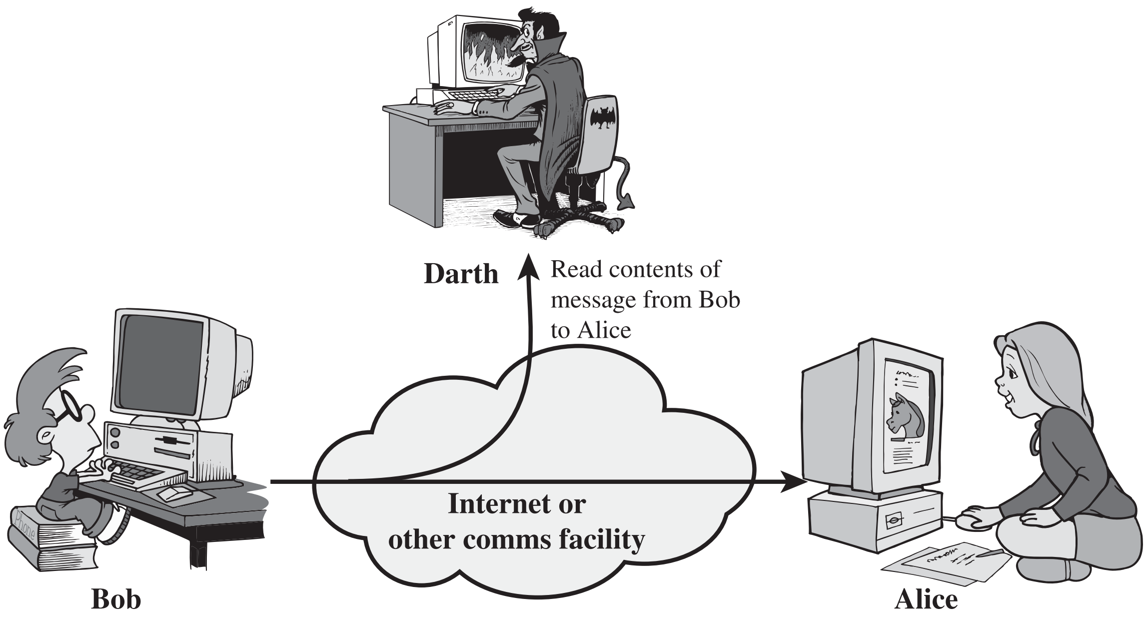
In the literature, the terms *threat* and *attack* are commonly used to mean more or less the same thing. Table 1.1 provides definitions taken from RFC 2828, *Internet Security Glossary*.

1.3 SECURITY ATTACKS

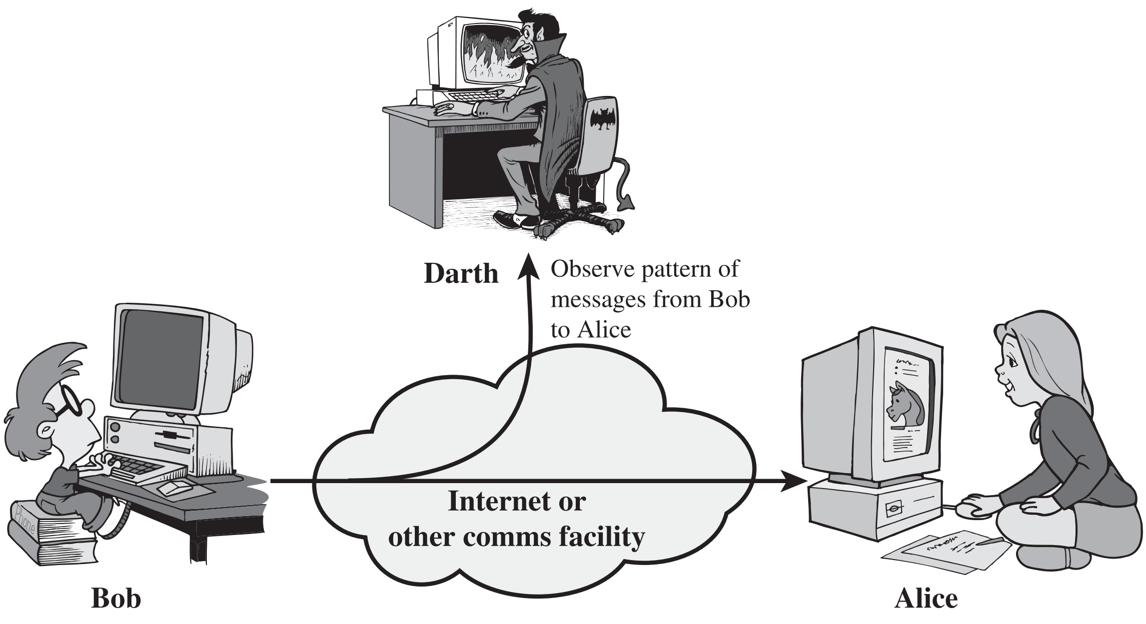
A useful means of classifying security attacks, used both in X.800 and RFC 2828, is in terms of *passive attacks* and *active attacks*. A passive attack attempts to learn or make use of information from the system but does not affect system resources. An active attack attempts to alter system resources or affect their operation.

Passive Attacks

Passive attacks are in the nature of eavesdropping on, or monitoring of, transmissions. The goal of the opponent is to obtain information that is being transmitted. Two types of passive attacks are the release of message contents and traffic analysis.



(a) Release of message contents



(b) Traffic analysis

Figure 1.2 Passive Network Security Attacks

The **release of message contents** is easily understood (Figure 1.2a). A telephone conversation, an electronic mail message, and a transferred file may contain sensitive or confidential information. We would like to prevent an opponent from learning the contents of these transmissions.

A second type of passive attack, **traffic analysis**, is subtler (Figure 1.2b). Suppose that we had a way of masking the contents of messages or other information traffic so that opponents, even if they captured the message, could not extract the information from the message. The common technique for masking contents is encryption. If we had encryption protection in place, an opponent still might be able to observe the pattern of these messages. The opponent could determine the location and identity of communicating hosts and could observe the frequency and length of messages being exchanged. This information might be useful in guessing the nature of the communication that was taking place.

Passive attacks are very difficult to detect, because they do not involve any alteration of the data. Typically, the message traffic is sent and received in an apparently normal fashion, and neither the sender nor the receiver is aware that a third party has read the messages or observed the traffic pattern. However, it is feasible to prevent the success of these attacks, usually by means of encryption. Thus, the emphasis in dealing with passive attacks is on prevention rather than detection.

Active Attacks

Active attacks involve some modification of the data stream or the creation of a false stream and can be subdivided into four categories: masquerade, replay, modification of messages, and denial of service.

A **masquerade** takes place when one entity pretends to be a different entity (Figure 1.3a). A masquerade attack usually includes one of the other forms of active attack. For example, authentication sequences can be captured and replayed after a valid authentication sequence has taken place, thus enabling an authorized entity with few privileges to obtain extra privileges by impersonating an entity that has those privileges.

Replay involves the passive capture of a data unit and its subsequent retransmission to produce an unauthorized effect (Figure 1.3b).

Modification of messages simply means that some portion of a legitimate message is altered, or that messages are delayed or reordered, to produce an unauthorized effect (Figure 1.3c). For example, a message meaning "Allow John Smith to read confidential file `accounts`" is modified to mean "Allow Fred Brown to read confidential file `accounts`."

The **denial of service** prevents or inhibits the normal use or management of communications facilities (Figure 1.3d). This attack may have a specific target; for example, an entity may suppress all messages directed to a particular destination (e.g., the security audit service). Another form of service denial is the disruption of an entire network—either by disabling the network or by overloading it with messages so as to degrade performance.

Active attacks present the opposite characteristics of passive attacks. Whereas passive attacks are difficult to detect, measures are available to prevent their success. On the other hand, it is quite difficult to prevent active attacks absolutely because of the wide variety of potential physical, software, and network vulnerabilities. Instead, the goal is to detect active attacks and to recover from any disruption or delays caused by them. If the detection has a deterrent effect, it also may contribute to prevention.

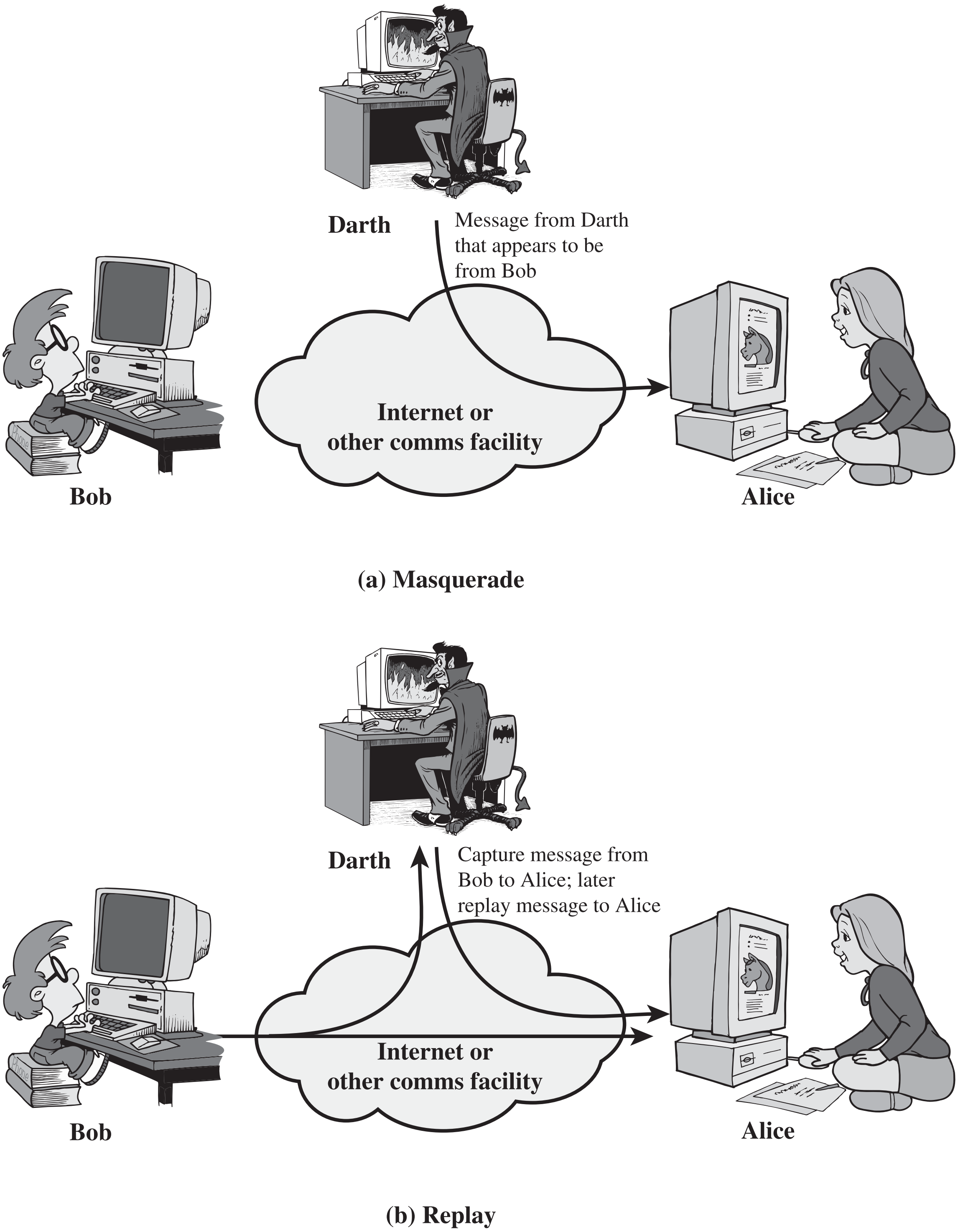
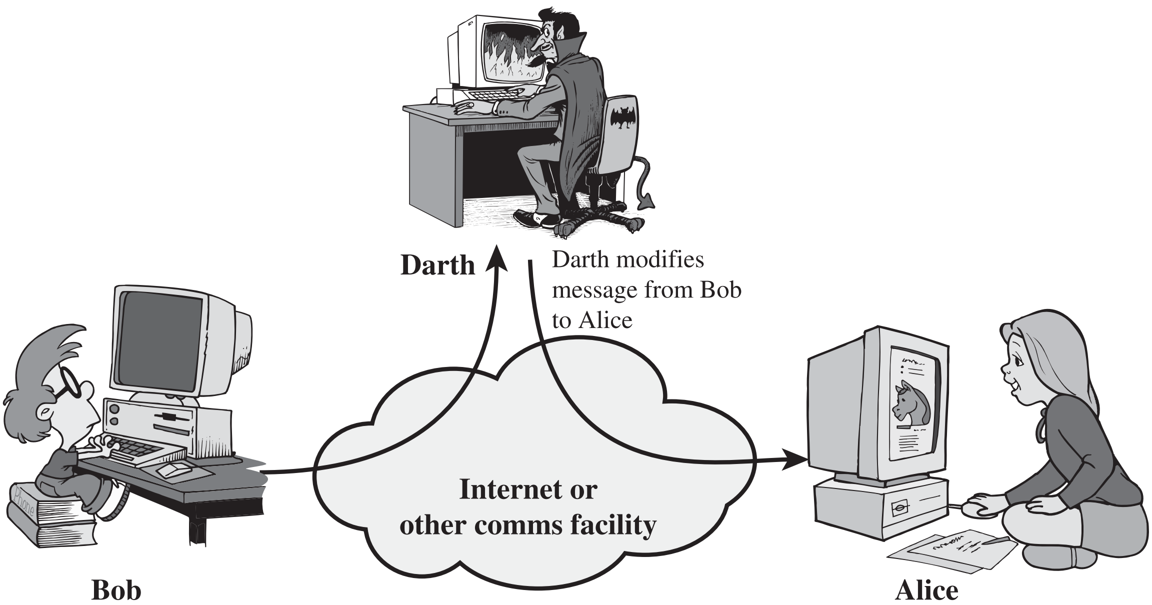
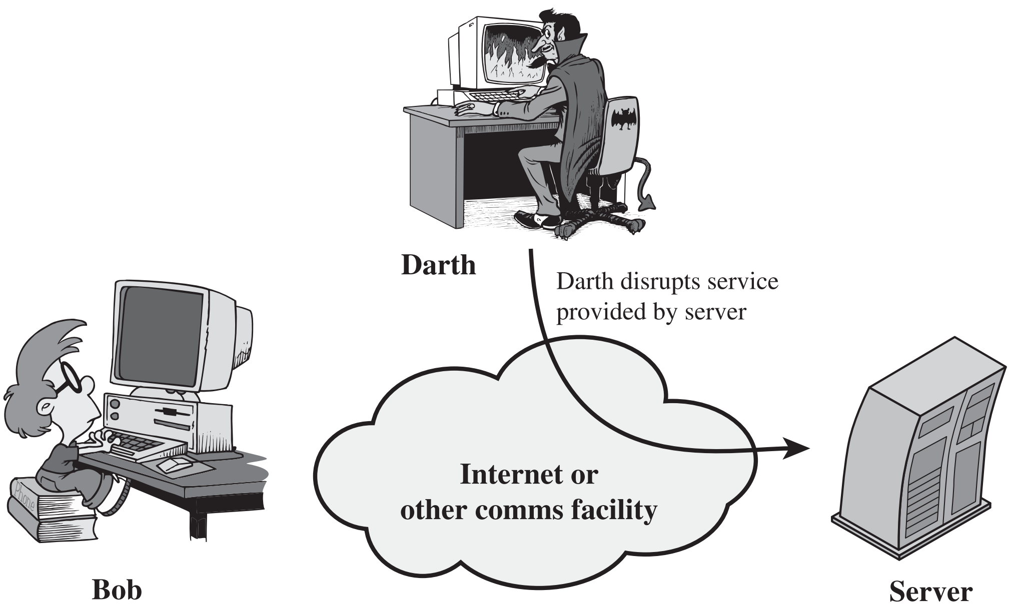


Figure 1.3 Active Attacks



(c) Modification of messages



(d) Denial of service

Figure 1.3 Active Attacks (*Continued*)

1.4 SECURITY SERVICES

X.800 defines a security service as a service that is provided by a protocol layer of communicating open systems and that ensures adequate security of the systems or of data transfers. Perhaps a clearer definition is found in RFC 2828, which provides the following definition: A processing or communication service that is provided by a system to give a specific kind of protection to system resources; security services implement security policies and are implemented by security mechanisms.

X.800 divides these services into five categories and fourteen specific services (Table 1.2). We look at each category in turn.[6]

Table 1.2 Security Services (X.800)

AUTHENTICATION

The assurance that the communicating entity is the one that it claims to be.

Peer Entity Authentication
Used in association with a logical connection to provide confidence in the identity of the entities connected.

Data-Origin Authentication
In a connectionless transfer, provides assurance that the source of received data is as claimed.

ACCESS CONTROL

The prevention of unauthorized use of a resource (i.e., this service controls who can have access to a resource, under what conditions access can occur, and what those accessing the resource are allowed to do).

DATA CONFIDENTIALITY

The protection of data from unauthorized disclosure.

Connection Confidentiality
The protection of all user data on a connection.

Connectionless Confidentiality
The protection of all user data in a single data block.

Selective-Field Confidentiality
The confidentiality of selected fields within the user data on a connection or in a single data block.

Traffic-Flow Confidentiality
The protection of the information that might be derived from observation of traffic flows.

DATA INTEGRITY

The assurance that data received are exactly as sent by an authorized entity (i.e., contain no modification, insertion, deletion, or replay).

Connection Integrity with Recovery
Provides for the integrity of all user data on a connection and detects any modification, insertion, deletion, or replay of any data within an entire data sequence, with recovery attempted.

Connection Integrity without Recovery
As above, but provides only detection without recovery.

Selective-Field Connection Integrity
Provides for the integrity of selected fields within the user data of a data block transferred over a connection and takes the form of determination of whether the selected fields have been modified, inserted, deleted, or replayed.

Connectionless Integrity
Provides for the integrity of a single connectionless data block and may take the form of detection of data modification. Additionally, a limited form of replay detection may be provided.

Selective-Field Connectionless Integrity
Provides for the integrity of selected fields within a single connectionless data block; takes the form of determination of whether the selected fields have been modified.

NONREPUDIATION

Provides protection against denial by one of the entities involved in a communication of having participated in all or part of the communication.

Nonrepudiation, Origin
Proof that the message was sent by the specified party.

Nonrepudiation, Destination
Proof that the message was received by the specified party.

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[6]There is no universal agreement about many of the terms used in the security literature. For example, the term *integrity* is sometimes used to refer to all aspects of information security. The term *authentication* is sometimes used to refer both to verification of identity and to the various functions listed under integrity in this chapter. Our usage here agrees with both X.800 and RFC 2828.

Authentication

The **authentication** service is concerned with assuring that a communication is authentic. In the case of a single message, such as a warning or alarm signal, the function of the authentication service is to assure the recipient that the message is from the source that it claims to be from. In the case of an ongoing interaction, such as the connection of a terminal to a host, two aspects are involved. First, at the time of connection initiation, the service assures that the two entities are authentic (that is, that each is the entity that it claims to be). Second, the service must assure that the connection is not interfered with in such a way that a third party can masquerade as one of the two legitimate parties for the purposes of unauthorized transmission or reception.

Two specific authentication services are defined in X.800:

- **Peer entity authentication:** Provides for the corroboration of the identity of a peer entity in an association. Two entities are considered peers if they implement the same protocol in different systems (e.g., two TCP modules in two communicating systems). Peer entity authentication is provided for use at the establishment of or during the data transfer phase of a connection. It attempts to provide confidence that an entity is not performing either a masquerade or an unauthorized replay of a previous connection.
- **Data origin authentication:** Provides for the corroboration of the source of a data unit. It does not provide protection against the duplication or modification of data units. This type of service supports applications like electronic mail, where there are no prior interactions between the communicating entities.

Access Control

In the context of network security, **access control** is the ability to limit and control the access to host systems and applications via communications links. To achieve this, each entity trying to gain access must first be identified, or authenticated, so that access rights can be tailored to the individual.

Data Confidentiality

Confidentiality is the protection of transmitted data from passive attacks. With respect to the content of a data transmission, several levels of protection can be identified. The broadest service protects all user data transmitted between two users over a period of time. For example, when a TCP connection is set up between two systems, this broad protection prevents the release of any user data transmitted over the TCP connection. Narrower forms of this service can also be defined, including the protection of a single message or even specific fields within a message. These refinements are less useful than the broad approach and may even be more complex and expensive to implement.

The other aspect of confidentiality is the protection of traffic flow from analysis. This requires that an attacker not be able to observe the source and destination, frequency, length, or other characteristics of the traffic on a communications facility.

Data Integrity

As with confidentiality, **integrity** can apply to a stream of messages, a single message, or selected fields within a message. Again, the most useful and straightforward approach is total stream protection.

A connection-oriented integrity service deals with a stream of messages and assures that messages are received as sent with no duplication, insertion, modification, reordering, or replays. The destruction of data is also covered under this service. Thus, the connection-oriented integrity service addresses both message stream modification and denial of service. On the other hand, a connectionless integrity service deals with individual messages without regard to any larger context and generally provides protection against message modification only.

We can make a distinction between service with and without recovery. Because the integrity service relates to active attacks, we are concerned with detection rather than prevention. If a violation of integrity is detected, then the service may simply report this violation, and some other portion of software or human intervention is required to recover from the violation. Alternatively, there are mechanisms available to recover from the loss of integrity of data, as we will review subsequently. The incorporation of automated recovery mechanisms is typically the more attractive alternative.

Nonrepudiation

Nonrepudiation prevents either sender or receiver from denying a transmitted message. Thus, when a message is sent, the receiver can prove that the alleged sender in fact sent the message. Similarly, when a message is received, the sender can prove that the alleged receiver in fact received the message.

Availability Service

Both X.800 and RFC 2828 define **availability** to be the property of a system or a system resource being accessible and usable upon demand by an authorized system entity, according to performance specifications for the system (i.e., a system is available if it provides services according to the system design whenever users request them). A variety of attacks can result in the loss of or reduction in availability. Some of these attacks are amenable to automated countermeasures, such as authentication and encryption, whereas others require some sort of physical action to prevent or recover from loss of availability of elements of a distributed system.

X.800 treats availability as a property to be associated with various security services. However, it makes sense to call out specifically an availability service. An availability service is one that protects a system to ensure its availability. This service addresses the security concerns raised by denial-of-service attacks. It depends on proper management and control of system resources and thus depends on access control service and other security services.

1.5 SECURITY MECHANISMS

Table 1.3 lists the security mechanisms defined in X.800. The mechanisms are divided into those that are implemented in a specific protocol layer, such as TCP or an application-layer protocol, and those that are not specific to any particular protocol layer or security

Table 1.3 Security Mechanisms (X.800)

SPECIFIC SECURITY MECHANISMS	PERVASIVE SECURITY MECHANISMS
May be incorporated into the appropriate protocol layer in order to provide some of the OSI security services.	Mechanisms that are not specific to any particular OSI security service or protocol layer.
Encipherment The use of mathematical algorithms to transform data into a form that is not readily intelligible. The transformation and subsequent recovery of the data depend on an algorithm and zero or more encryption keys.	**Trusted Functionality** That which is perceived to be correct with respect to some criteria (e.g., as established by a security policy).
Digital Signature Data appended to, or a cryptographic transformation of, a data unit that allows a recipient of the data unit to prove the source and integrity of the data unit and protect against forgery (e.g., by the recipient).	**Security Label** The marking bound to a resource (which may be a data unit) that names or designates the security attributes of that resource.
Access Control A variety of mechanisms that enforce access rights to resources.	**Event Detection** Detection of security-relevant events.
Data Integrity A variety of mechanisms used to assure the integrity of a data unit or stream of data units.	**Security Audit Trail** Data collected and potentially used to facilitate a security audit, which is an independent review and examination of system records and activities.
Authentication Exchange A mechanism intended to ensure the identity of an entity by means of information exchange.	**Security Recovery** Deals with requests from mechanisms, such as event handling and management functions, and takes recovery actions.
Traffic Padding The insertion of bits into gaps in a data stream to frustrate traffic analysis attempts.	
Routing Control Enables selection of particular physically secure routes for certain data and allows routing changes, especially when a breach of security is suspected.	
Notarization The use of a trusted third party to assure certain properties of a data exchange.	

service. These mechanisms will be covered in the appropriate places in the book, so we do not elaborate now except to comment on the definition of encipherment. X.800 distinguishes between reversible encipherment mechanisms and irreversible encipherment mechanisms. A reversible encipherment mechanism is simply an encryption algorithm that allows data to be encrypted and subsequently decrypted. Irreversible encipherment mechanisms include hash algorithms and message authentication codes, which are used in digital signature and message authentication applications.

Table 1.4, based on one in X.800, indicates the relationship between security services and security mechanisms.

Table 1.4 Relationship Between Security Services and Mechanisms

	Mechanism							
Service	**Encipherment**	**Digital Signature**	**Access Control**	**Data Integrity**	**Authentication Exchange**	**Traffic Padding**	**Routing Control**	**Notarization**
Peer Entity Authentication	Y	Y			Y			
Data-Origin Authentication	Y	Y						
Access Control			Y					
Confidentiality	Y						Y	
Traffic-Flow Confidentiality	Y					Y	Y	
Data Integrity	Y	Y		Y				
Nonrepudiation		Y		Y				Y
Availability				Y	Y			

1.6 A MODEL FOR NETWORK SECURITY

A model for much of what we will be discussing is captured, in very general terms, in Figure 1.4. A message is to be transferred from one party to another across some sort of Internet service. The two parties, who are the *principals* in this transaction, must cooperate for the exchange to take place. A logical information channel is established by defining a route through the Internet from source to destination and by the cooperative use of communication protocols (e.g., TCP/IP) by the two principals.

Security aspects come into play when it is necessary or desirable to protect the information transmission from an opponent who may present a threat to confidentiality, authenticity, and so on. All of the techniques for providing security have two components:

1. A security-related transformation on the information to be sent. Examples include the encryption of the message, which scrambles the message so that it is unreadable by the opponent, and the addition of a code based on the contents of the message, which can be used to verify the identity of the sender.
2. Some secret information shared by the two principals and, it is hoped, unknown to the opponent. An example is an encryption key used in conjunction with the transformation to scramble the message before transmission and unscramble it on reception.[7]

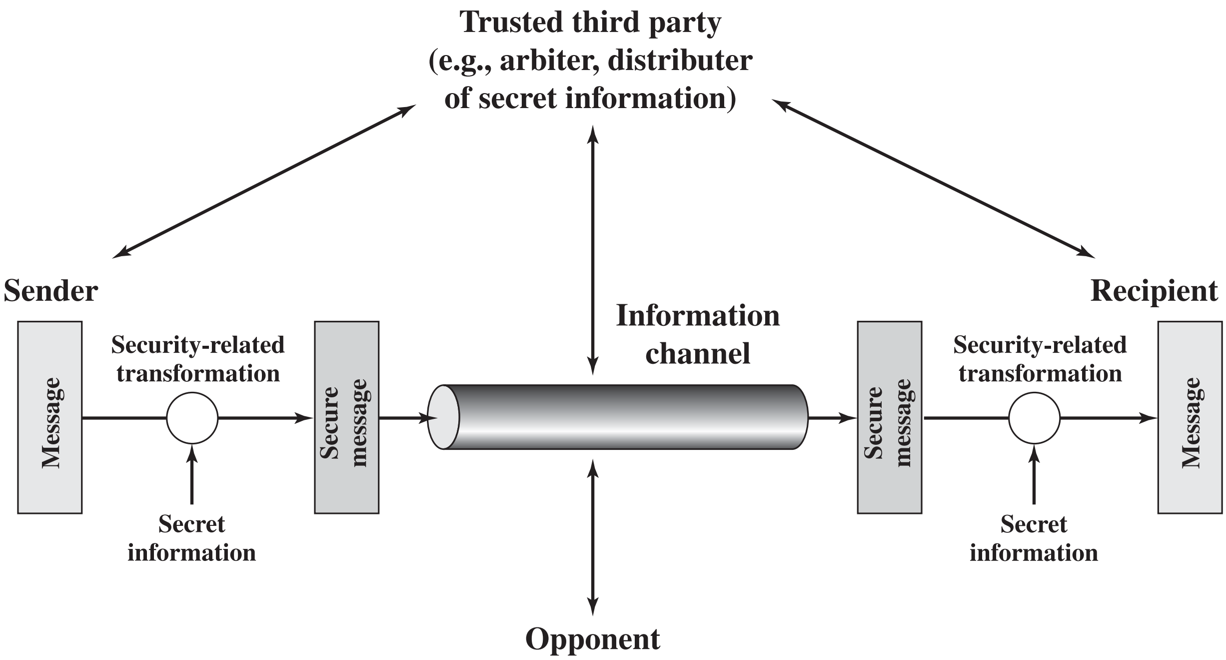

Figure 1.4 Model for Network Security

[7]Chapter 3 discusses a form of encryption, known as asymmetric encryption, in which only one of the two principals needs to have the secret information.

A trusted third party may be needed to achieve secure transmission. For example, a third party may be responsible for distributing the secret information to the two principals while keeping it from any opponent. Or a third party may be needed to arbitrate disputes between the two principals concerning the authenticity of a message transmission.

This general model shows that there are four basic tasks in designing a particular security service:

1. Design an algorithm for performing the security-related transformation. The algorithm should be such that an opponent cannot defeat its purpose.
2. Generate the secret information to be used with the algorithm.
3. Develop methods for the distribution and sharing of the secret information.
4. Specify a protocol to be used by the two principals that makes use of the security algorithm and the secret information to achieve a particular security service.

Parts One and Two of this book concentrate on the types of security mechanisms and services that fit into the model shown in Figure 1.4. However, there are other security-related situations of interest that do not neatly fit this model but are considered in this book. A general model of these other situations is illustrated by Figure 1.5, which reflects a concern for protecting an information system from unwanted access. Most readers are familiar with the concerns caused by the existence of hackers who attempt to penetrate systems that can be accessed over a network. The hacker can be someone who, with no malign intent, simply gets satisfaction from breaking and entering a computer system. The intruder can be a disgruntled employee who wishes to do damage or a criminal who seeks to exploit computer assets for financial gain (e.g., obtaining credit card numbers or performing illegal money transfers).

Another type of unwanted access is the placement in a computer system of logic that exploits vulnerabilities in the system and that can affect application programs as well as utility programs, such as editors and compilers. Programs can present two kinds of threats:

1. **Information access threats:** Intercept or modify data on behalf of users who should not have access to that data.
2. **Service threats:** Exploit service flaws in computers to inhibit use by legitimate users.

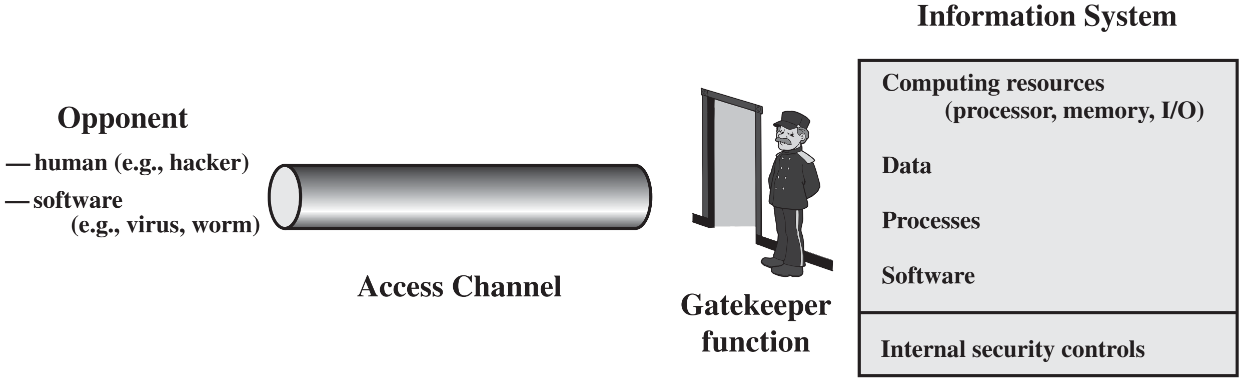

Figure 1.5 Network Access Security Model

Viruses and worms are two examples of software attacks. Such attacks can be introduced into a system by means of a disk that contains the unwanted logic concealed in otherwise useful software. They also can be inserted into a system across a network; this latter mechanism is of more concern in network security.

The **security mechanisms** needed to cope with unwanted access fall into two broad categories (see Figure 1.5). The first category might be termed a gatekeeper function. It includes password-based login procedures that are designed to deny access to all but authorized users and screening logic that is designed to detect and reject worms, viruses, and other similar attacks. Once either an unwanted user or unwanted software gains access, the second line of defense consists of a variety of internal controls that monitor activity and analyze stored information in an attempt to detect the presence of unwanted intruders. These issues are explored in Part Three.

1.7 STANDARDS

Many of the security techniques and applications described in this book have been specified as standards. Additionally, standards have been developed to cover management practices and the overall architecture of security mechanisms and services. Throughout this book, we describe the most important standards in use or being developed for various aspects of cryptography and network security. Various organizations have been involved in the development or promotion of these standards. The most important (in the current context) of these organizations are as follows.

- **National Institute of Standards and Technology:** NIST is a U.S. federal agency that deals with measurement science, standards, and technology related to U.S. government use and to the promotion of U.S. private-sector innovation. Despite its national scope, NIST **Federal Information Processing Standards (FIPS)** and **Special Publications (SP)** have a worldwide impact.
- **Internet Society:** ISOC is a professional membership society with worldwide organizational and individual membership. It provides leadership in addressing issues that confront the future of the Internet and is the organization home for the groups responsible for Internet infrastructure standards, including the Internet Engineering Task Force (IETF) and the Internet Architecture Board (IAB). These organizations develop Internet standards and related specifications, all of which are published as **Requests for Comments (RFCs)**.

A more detailed discussion of these organizations is contained in Appendix C.

1.8 OUTLINE OF THIS BOOK

This chapter serves as an introduction to the entire book. The remainder of the book is organized into three parts.

Part One: Provides a concise survey of the cryptographic algorithms and protocols underlying network security applications, including encryption, hash functions, and digital signatures.

Part Two: Examines the use of cryptographic algorithms and security protocols to provide security over networks and the Internet. Topics covered include key management, user authentication, transport-level security, wireless network security, e-mail security, and IP security.

Part Three: Deals with security facilities designed to protect a computer system from security threats, including intruders, viruses, and worms. This part also looks at firewall technology.

In addition, two online chapters cover network management security and legal and ethical issues.

1.9 RECOMMENDED READING

[STAL08] provides a broad introduction to computer security. [SCHN00] is valuable reading for any practitioner in the field of computer or network security: It discusses the limitations of technology (and cryptography in particular) in providing security and the need to consider the hardware, the software implementation, the networks, and the people involved in providing and attacking security.

It is useful to read some of the classic tutorial papers on computer security; these provide a historical perspective from which to appreciate current work and thinking. The papers to read are [WARE79], [BROW72], [SALT75], [SHAN77], and [SUMM84]. Two more recent, short treatments of computer security are [ANDR04] and [LAMP04]. [NIST95] is an exhaustive (290 pages) treatment of the subject. Another good treatment is [NRC91]. Also useful is [FRAS97].

ANDR04 Andrews, M., and Whittaker, J. "Computer Security." *IEEE Security and Privacy*, September/October 2004.

BROW72 Browne, P. "Computer Security — A Survey." *ACM SIGMIS Database*, Fall 1972.

FRAS97 Fraser, B. *Site Security Handbook.* RFC 2196, September 1997.

LAMP04 Lampson, B. "Computer Security in the Real World." *Computer*, June 2004.

NIST95 National Institute of Standards and Technology. *An Introduction to Computer Security: The NIST Handbook.* Special Publication 800–12. October 1995.

NRC91 National Research Council. *Computers at Risk: Safe Computing in the Information Age.* Washington, D.C.: National Academy Press, 1991.

SALT75 Saltzer, J., and Schroeder, M. "The Protection of Information in Computer Systems." *Proceedings of the IEEE*, September 1975.

SCHN00 Schneier, B. *Secrets and Lies: Digital Security in a Networked World.* New York: Wiley 2000.

SHAN77 Shanker, K. "The Total Computer Security Problem: An Overview." *Computer*, June 1977.

STAL08 Stallings, W., and Brown, L. *Computer Security*. Upper Saddle River, NJ: Prentice Hall, 2008.

SUMM84 Summers, R. "An Overview of Computer Security." *IBM Systems Journal* , Vol. 23, No. 4, 1984.

WARE79 Ware, W., ed. *Security Controls for Computer Systems.* RAND Report 609–1. October 1979. http://www.rand.org/pubs/reports/R609-1/R609.1.html

1.10 INTERNET AND WEB RESOURCES

There are a number of resources available on the Internet and the Web to support this book and to help one keep up with developments in this field.

Web Sites for This Book

There is a Web page for this book at **WilliamStallings.com/NetSec/NetSec4e.html**. The site includes the following:

- **Useful Web sites:** There are links to other relevant Web sites organized by chapter, including the sites listed in this section and throughout this book.
- **Online documents:** Link to the Companion Website at Pearson that includes supplemental online chapters and appendices, homework problems and solutions, important papers from the literature, and other supporting documents. See Preface for details.
- **Errata sheet:** An errata list for this book will be maintained and updated as needed. Please e-mail any errors that you spot to me. Errata sheets for my other books are at **WilliamStallings.com**.
- **Internet mailing list:** The site includes sign-up information for the book's Internet mailing list.
- **Network security courses:** There are links to home pages for courses based on this book; these pages may be useful to instructors in providing ideas about how to structure their course.

I also maintain the Computer Science Student Resource Site at **WilliamStallings.com/StudentSupport.html**. The purpose of this site is to provide documents, information, and links for computer science students and professionals. Links and documents are organized into six categories:

- **Math:** Includes a basic math refresher, a queuing analysis primer, a number system primer, and links to numerous math sites.
- **How-to:** Advice and guidance for solving homework problems, writing technical reports, and preparing technical presentations.
- **Research resources:** Links to important collections of papers, technical reports, and bibliographies.
- **Computer science careers:** Useful links and documents for those considering a career in computer science.
- **Miscellaneous:** A variety of other interesting documents and links.
- **Humor and other diversions:** You have to take your mind off your work once in a while.

Other Web Sites

There are numerous Web sites that provide information related to the topics of this book. In subsequent chapters, pointers to specific Web sites can be found in the *Recommended Reading and Web Sites* section. Because the addresses for Web sites tend to change frequently, I have not included URLs in the book. For all of the Web sites listed in the book, the appropriate link can be found at this book's Web site. Other links not mentioned in this book will be added to the Web site over time.

The following Web sites are of general interest related to cryptography and network security.

- **IETF Security Area:** Material related to Internet security standardization efforts.
- **Computer and Network Security Reference Index:** A good index to vendor and commercial products, frequently asked questions (FAQs), newsgroup archives, papers, and other Web sites.
- **The Cryptography FAQ:** Lengthy and worthwhile FAQ covering all aspects of cryptography.
- **Tom Dunigan's Security Page:** An excellent list of pointers to cryptography and network security Web sites.
- **Helger Lipmaa's Cryptology Pointers:** Another excellent list of pointers to cryptography and network security Web sites.
- **IEEE Technical Committee on Security and Privacy:** Copies of their newsletter and information on IEEE-related activities.
- **Computer Security Resource Center:** Maintained by the National Institute of Standards and Technology (NIST); contains a broad range of information on security threats, technology, and standards.
- **Security Focus:** A wide variety of security information with an emphasis on vendor products and end-user concerns.
- **SANS Institute:** Similar to Security Focus. Extensive collection of white papers.
- **Center for Internet Security:** Provides freeware benchmark and scoring tools for evaluating security of operating systems, network devices, and applications. Includes case studies and technical papers.
- **Institute for Security and Open Methodologies:** An open, collaborative security research community. Lots of interesting information.

USENET Newsgroups

A number of USENET newsgroups are devoted to some aspect of network security or cryptography. As with virtually all USENET groups, there is a high noise-to-signal ratio, but it is worth experimenting to see if any meet your needs. The most relevant are the following:

- **sci.crypt.research:** The best group to follow. This is a moderated newsgroup that deals with research topics; postings must have some relationship to the technical aspects of cryptology.

- **sci.crypt:** A general discussion of cryptology and related topics.
- **sci.crypt.random-numbers:** A discussion of cryptographic strength randomness.
- **alt.security:** A general discussion of security topics.
- **comp.security.misc:** A general discussion of computer security topics.
- **comp.security.firewalls:** A discussion of firewall products and technology.
- **comp.security.announce:** News and announcements from CERT.
- **comp.risks:** A discussion of risks to the public from computers and users.
- **comp.virus:** A moderated discussion of computer viruses.

In addition, there are a number of forums dealing with cryptography available on the Internet. Among the most worthwhile are

- **Security and Cryptography forum:** Sponsored by DevShed. Discusses issues related to coding, server applications, network protection, data protection, firewalls, ciphers, and the like.
- **Cryptography forum:** On Topix. Fairly good focus on technical issues.
- **Security forums:** On WindowsSecurity.com. Broad range of forums, including cryptographic theory, cryptographic software, firewalls, and malware.

Links to these forums are provided at this book's Web site.

1.11 KEY TERMS, REVIEW QUESTIONS, AND PROBLEMS

Key Terms

access control	denial of service	passive threat
active threat	encryption	replay
authentication	integrity	security attacks
authenticity	intruder	security mechanisms
availability	masquerade	security services
data confidentiality	nonrepudiation	traffic analysis
data integrity	OSI security architecture	

Review Questions

1.1 What is the OSI security architecture?
1.2 What is the difference between passive and active security threats?
1.3 List and briefly define categories of passive and active security attacks.
1.4 List and briefly define categories of security services.
1.5 List and briefly define categories of security mechanisms.

Problems

1.1 Consider an automated teller machine (ATM) in which users provide a personal identification number (PIN) and a card for account access. Give examples of confidentiality, integrity, and availability requirements associated with the system. In each case, indicate the degree of importance of the requirement.

1.2 Repeat Problem 1.1 for a telephone switching system that routes calls through a switching network based on the telephone number requested by the caller.

1.3 Consider a desktop publishing system used to produce documents for various organizations.
- **a.** Give an example of a type of publication for which confidentiality of the stored data is the most important requirement.
- **b.** Give an example of a type of publication in which data integrity is the most important requirement.
- **c.** Give an example in which system availability is the most important requirement.

1.4 For each of the following assets, assign a low, moderate, or high impact level for the loss of confidentiality, availability, and integrity, respectively. Justify your answers.
- **a.** An organization managing public information on its Web server.
- **b.** A law-enforcement organization managing extremely sensitive investigative information.
- **c.** A financial organization managing routine administrative information (not privacy-related information).
- **d.** An information system used for large acquisitions in a contracting organization that contains both sensitive, pre-solicitation phase contract information and routine administrative information. Assess the impact for the two data sets separately and the information system as a whole.
- **e.** A power plant contains a SCADA (supervisory control and data acquisition) system controlling the distribution of electric power for a large military installation. The SCADA system contains both real-time sensor data and routine administrative information. Assess the impact for the two data sets separately and the information system as a whole.

1.5 Draw a matrix similar to Table 1.4 that shows the relationship between security services and attacks.

1.6 Draw a matrix similar to Table 1.4 that shows the relationship between security mechanisms and attacks.