



# Create the FPolicy configuration

## ONTAP 9

NetApp  
June 26, 2023

# Table of Contents

- Create the FPolicy configuration ..... 1
  - Create the FPolicy external engine ..... 1
  - Create the FPolicy event ..... 2
  - Create the FPolicy policy ..... 3
  - Create the FPolicy scope ..... 4
  - Enable the FPolicy policy ..... 5

# Create the FPolicy configuration

## Create the FPolicy external engine

You must create an external engine to start creating an FPolicy configuration. The external engine defines how FPolicy makes and manages connections to external FPolicy servers. If your configuration uses the internal ONTAP engine (the native external engine) for simple file blocking, you do not need to configure a separate FPolicy external engine and do not need to perform this step.

### What you'll need

The [external engine](#) worksheet should be completed.

### About this task

If the external engine is used in a MetroCluster configuration, you should specify the IP addresses of the FPolicy servers at the source site as primary servers. The IP addresses of the FPolicy servers at the destination site should be specified as secondary servers.

### Steps

1. Create the FPolicy external engine by using the `vserver fpolicy policy external-engine create` command.

The following command creates an external engine on storage virtual machine (SVM) `vs1.example.com`. No authentication is required for external communications with the FPolicy server.

```
vserver fpolicy policy external-engine create -vserver-name vs1.example.com
-engine-name engine1 -primary-servers 10.1.1.2,10.1.1.3 -port 6789 -ssl-option
no-auth
```

2. Verify the FPolicy external engine configuration by using the `vserver fpolicy policy external-engine show` command.

The following command display information about all external engines configured on SVM `vs1.example.com`:

```
vserver fpolicy policy external-engine show -vserver vs1.example.com
```

		Primary	Secondary		
External					
Vserver	Engine	Servers	Servers	Port	Engine
Type					
-----	-----	-----	-----	-----	
-----					
vs1.example.com	engine1	10.1.1.2,	-	6789	
synchronous		10.1.1.3			

The following command displays detailed information about the external engine named “engine1” on SVM

vs1.example.com:

```
vserver fpolicy policy external-engine show -vserver vs1.example.com -engine
-name engine1
```

```
Vserver: vs1.example.com
Engine: engine1
Primary FPolicy Servers: 10.1.1.2, 10.1.1.3
Port Number of FPolicy Service: 6789
Secondary FPolicy Servers: -
External Engine Type: synchronous
SSL Option for External Communication: no-auth
FQDN or Custom Common Name: -
Serial Number of Certificate: -
Certificate Authority: -
```

## Create the FPolicy event

As part of creating an FPolicy policy configuration, you need to create an FPolicy event. You associate the event with the FPolicy policy when it is created. An event defines which protocol to monitor and which file access events to monitor and filter.

### Before you begin

You should complete the FPolicy event [worksheet](#).

## Create the FPolicy event

1. Create the FPolicy event by using the `vserver fpolicy policy event create` command.

```
vserver fpolicy policy event create -vserver vs1.example.com -event-name
event1 -protocol cifs -file-operations open,close,read,write
```

2. Verify the FPolicy event configuration by using the `vserver fpolicy policy event show` command.

```
vserver fpolicy policy event show -vserver vs1.example.com
```

Vserver	Event Name	Protocols	File Operations	Filters	Is Volume Operation
vs1.example.com	event1	cifs	open, close, read, write	-	false

## Create the FPolicy access denied events

Beginning with ONTAP 9.13.1, users can receive notifications for failed file operations due to lack of permissions. These notifications are valuable for security, ransomware protection, and governance.

1. Create the FPolicy event by using the `vserver fpolicy policy event create` command.

```
vserver fpolicy policy event create -vserver vs1.example.com -event-name event1 -protocol cifs -monitor-fileop-failure true -file-operations open
```

## Create the FPolicy policy

When you create the FPolicy policy, you associate an external engine and one or more events to the policy. The policy also specifies whether mandatory screening is required, whether the FPolicy servers have privileged access to data on the storage virtual machine (SVM), and whether passthrough-read for offline files is enabled.

### What you'll need

- The FPolicy policy worksheet should be completed.
- If you plan on configuring the policy to use FPolicy servers, the external engine must exist.
- At least one FPolicy event that you plan on associating with the FPolicy policy must exist.
- If you want to configure privileged data access, a SMB server must exist on the SVM.

### Steps

1. Create the FPolicy policy:

```
vserver fpolicy policy create -vserver-name vserver_name -policy-name policy_name -engine engine_name -events event_name,... [-is-mandatory {true|false}] [-allow-privileged-access {yes|no}] [-privileged-user-name domain\user_name] [-is-passthrough-read-enabled {true|false}]
```

- You can add one or more events to the FPolicy policy.
- By default, mandatory screening is enabled.
- If you want to allow privileged access by setting the `-allow-privileged-access` parameter to `yes`, you must also configure a privileged user name for privileged access.
- If you want to configure passthrough-read by setting the `-is-passthrough-read-enabled` parameter to `true`, you must also configure privileged data access.

The following command creates a policy named “policy1” that has the event named “event1” and the external engine named “engine1” associated with it. This policy uses default values in the policy configuration: `vserver fpolicy policy create -vserver vs1.example.com -policy -name policy1 -events event1 -engine engine1`

The following command creates a policy named “policy2” that has the event named “event2” and the external engine named “engine2” associated with it. This policy is configured to use privileged access using the specified user name. Passthrough-read is enabled:

```
vserver fpolicy policy create -vserver vs1.example.com -policy-name policy2
```

```
-events event2 -engine engine2 -allow-privileged-access yes -privileged-  
user-name example\archive_acct -is-passthrough-read-enabled true
```

The following command creates a policy named “native1” that has the event named “event3” associated with it. This policy uses the native engine and uses default values in the policy configuration:

```
vserver fpolicy policy create -vserver vs1.example.com -policy-name native1  
-events event3 -engine native
```

2. Verify the FPolicy policy configuration by using the `vserver fpolicy policy show` command.

The following command displays information about the three configured FPolicy policies, including the following information:

- The SVM associated with the policy
  - The external engine associated with the policy
  - The events associated with the policy
  - Whether mandatory screening is required
  - Whether privileged access is required
- ```
vserver fpolicy policy show
```

| Vserver         | Policy<br>Name | Events | Engine  | Is Mandatory | Privileged<br>Access |
|-----------------|----------------|--------|---------|--------------|----------------------|
| -----           | -----          | -----  | -----   | -----        |                      |
| vs1.example.com | policy1        | event1 | engine1 | true         | no                   |
| vs1.example.com | policy2        | event2 | engine2 | true         | yes                  |
| vs1.example.com | native1        | event3 | native  | true         | no                   |

## Create the FPolicy scope

After creating the FPolicy policy, you need to create an FPolicy scope. When creating the scope, you associate the scope with an FPolicy policy. A scope defines the boundaries on which the FPolicy policy applies. Scopes can include or exclude files based on shares, export policies, volumes, and file extensions.

### What you'll need

The FPolicy scope worksheet must be completed. The FPolicy policy must exist with an associated external engine (if the policy is configured to use external FPolicy servers) and must have at least one associated FPolicy event.

### Steps

1. Create the FPolicy scope by using the `vserver fpolicy policy scope create` command.

```
vserver fpolicy policy scope create -vserver-name vs1.example.com -policy-name  
policy1 -volumes-to-include datavol1,datavol2
```

2. Verify the FPolicy scope configuration by using the `vserver fpolicy policy scope show` command.

```
vserver fpolicy policy scope show -vserver vs1.example.com -instance
```

```
Vserver: vs1.example.com
Policy: policy1
Shares to Include: -
Shares to Exclude: -
Volumes to Include: datavol1, datavol2
Volumes to Exclude: -
Export Policies to Include: -
Export Policies to Exclude: -
File Extensions to Include: -
File Extensions to Exclude: -
```

## Enable the FPolicy policy

After you are through configuring an FPolicy policy configuration, you enable the FPolicy policy. Enabling the policy sets its priority and starts file access monitoring for the policy.

### What you'll need

The FPolicy policy must exist with an associated external engine (if the policy is configured to use external FPolicy servers) and must have at least one associated FPolicy event. The FPolicy policy scope must exist and must be assigned to the FPolicy policy.

### About this task

The priority is used when multiple policies are enabled on the storage virtual machine (SVM) and more than one policy has subscribed to the same file access event. Policies that use the native engine configuration have a higher priority than policies for any other engine, regardless of the sequence number assigned to them when enabling the policy.



A policy cannot be enabled on the admin SVM.

### Steps

1. Enable the FPolicy policy by using the `vserver fpolicy enable` command.

```
vserver fpolicy enable -vserver-name vs1.example.com -policy-name policy1
-sequence-number 1
```

2. Verify that the FPolicy policy is enabled by using the `vserver fpolicy show` command.

```
vserver fpolicy show -vserver vs1.example.com
```

|                 |             | Sequence |        |         |
|-----------------|-------------|----------|--------|---------|
| Vserver         | Policy Name | Number   | Status | Engine  |
| -----           | -----       | -----    | -----  | -----   |
| vs1.example.com | policy1     | 1        | on     | engine1 |



## Copyright information

Copyright © 2023 NetApp, Inc. All Rights Reserved. Printed in the U.S. No part of this document covered by copyright may be reproduced in any form or by any means—graphic, electronic, or mechanical, including photocopying, recording, taping, or storage in an electronic retrieval system—without prior written permission of the copyright owner.

Software derived from copyrighted NetApp material is subject to the following license and disclaimer:

THIS SOFTWARE IS PROVIDED BY NETAPP “AS IS” AND WITHOUT ANY EXPRESS OR IMPLIED WARRANTIES, INCLUDING, BUT NOT LIMITED TO, THE IMPLIED WARRANTIES OF MERCHANTABILITY AND FITNESS FOR A PARTICULAR PURPOSE, WHICH ARE HEREBY DISCLAIMED. IN NO EVENT SHALL NETAPP BE LIABLE FOR ANY DIRECT, INDIRECT, INCIDENTAL, SPECIAL, EXEMPLARY, OR CONSEQUENTIAL DAMAGES (INCLUDING, BUT NOT LIMITED TO, PROCUREMENT OF SUBSTITUTE GOODS OR SERVICES; LOSS OF USE, DATA, OR PROFITS; OR BUSINESS INTERRUPTION) HOWEVER CAUSED AND ON ANY THEORY OF LIABILITY, WHETHER IN CONTRACT, STRICT LIABILITY, OR TORT (INCLUDING NEGLIGENCE OR OTHERWISE) ARISING IN ANY WAY OUT OF THE USE OF THIS SOFTWARE, EVEN IF ADVISED OF THE POSSIBILITY OF SUCH DAMAGE.

NetApp reserves the right to change any products described herein at any time, and without notice. NetApp assumes no responsibility or liability arising from the use of products described herein, except as expressly agreed to in writing by NetApp. The use or purchase of this product does not convey a license under any patent rights, trademark rights, or any other intellectual property rights of NetApp.

The product described in this manual may be protected by one or more U.S. patents, foreign patents, or pending applications.

LIMITED RIGHTS LEGEND: Use, duplication, or disclosure by the government is subject to restrictions as set forth in subparagraph (b)(3) of the Rights in Technical Data -Noncommercial Items at DFARS 252.227-7013 (FEB 2014) and FAR 52.227-19 (DEC 2007).

Data contained herein pertains to a commercial product and/or commercial service (as defined in FAR 2.101) and is proprietary to NetApp, Inc. All NetApp technical data and computer software provided under this Agreement is commercial in nature and developed solely at private expense. The U.S. Government has a non-exclusive, non-transferrable, nonsublicensable, worldwide, limited irrevocable license to use the Data only in connection with and in support of the U.S. Government contract under which the Data was delivered. Except as provided herein, the Data may not be used, disclosed, reproduced, modified, performed, or displayed without the prior written approval of NetApp, Inc. United States Government license rights for the Department of Defense are limited to those rights identified in DFARS clause 252.227-7015(b) (FEB 2014).

## Trademark information

NETAPP, the NETAPP logo, and the marks listed at <http://www.netapp.com/TM> are trademarks of NetApp, Inc. Other company and product names may be trademarks of their respective owners.