

# CHAPTER 16

## USER AUTHENTICATION

### **16.1 Remote User-Authentication Principles**

- The NIST Model for Electronic User Authentication
- Means of Authentication
- Multifactor Authentication
- Mutual Authentication

### **16.2 Remote User-Authentication Using Symmetric Encryption**

- Mutual Authentication

### **16.3 Kerberos**

- Motivation
- Kerberos Version 4
- Kerberos Version 5

### **16.4 Remote User-Authentication Using Asymmetric Encryption**

- Mutual Authentication
- One-Way Authentication

### **16.5 Federated Identity Management**

- Identity Management
- Identity Federation

### **16.6 Key Terms, Review Questions, and Problems**

## LEARNING OBJECTIVES

After studying this chapter, you should be able to:

- ◆ Present an overview of techniques for remote user authentication using symmetric encryption.
- ◆ Give a presentation on Kerberos.
- ◆ Explain the differences between versions 4 and 5 of Kerberos.
- ◆ Describe the use of Kerberos in multiple realms.
- ◆ Present an overview of techniques for remote user authentication using asymmetric encryption.
- ◆ Understand the need for a federated identity management system.

This chapter examines some of the authentication functions that have been developed to support network-based user authentication. The chapter begins with an introduction to some of the concepts and key considerations for user authentication over a network or the Internet. The next section examines user-authentication protocols that rely on symmetric encryption. This is followed by a section on one of the earliest and also one of the most widely used authentication services: Kerberos. Next, the chapter looks at user-authentication protocols that rely on asymmetric encryption. This is followed by a discussion of the X.509 user-authentication protocol. Finally, the concept of federated identity is introduced.

## 16.1 REMOTE USER-AUTHENTICATION PRINCIPLES

User **authentication** is the process of determining whether some user or some application or process acting on behalf of a user is, in fact, who or what it declares itself to be. Authentication technology provides access control for systems by checking to see if a user's credentials match the credentials in a database of authorized users or in a data authentication server. Authentication enables organizations to keep their networks secure by permitting only authenticated users (or processes) to access its protected resources, which may include computer systems, networks, databases, websites, and other network-based applications or services.

Note that user authentication is distinct from message authentication. As defined in Chapter 12, message authentication is a procedure that allows communicating parties to verify that the contents of a received message have not been altered and that the source is authentic. This chapter is concerned solely with user authentication.

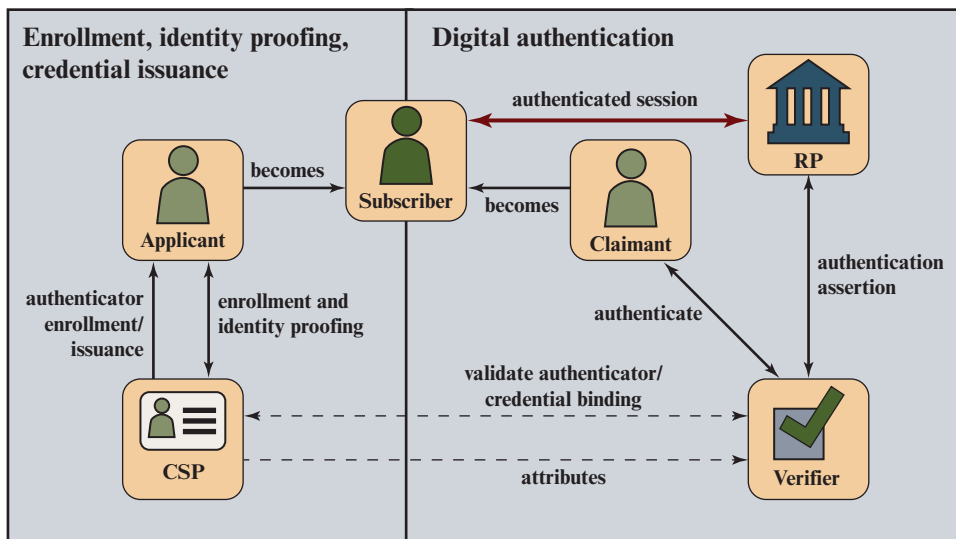
### The NIST Model for Electronic User Authentication

NIST SP 800-63 (*Digital Identity Guidelines*) defines a general model for user authentication that involves a number of entities and procedures, as shown in Figure 16.1, based on SP-800-63. Three concepts are important in understanding this model:

- **Digital identity:** The unique representation of a subject engaged in an online transaction. The representation consists of an attribute or set of attributes that uniquely describe a subject within a given context of a digital service, but does not necessarily uniquely identify the subject in all contexts.
- **Identity proofing:** Establishes that a subject is who they claim to be to a stated level of certitude. This process involves collecting, validating, and verifying information about a person.
- **Digital authentication:** The process of determining the validity of one or more authenticators used to claim a digital identity. Authentication establishes that a subject attempting to access a digital service is in control of the technologies used to authenticate. Successful authentication provides reasonable risk-based assurances that the subject accessing the service today is the same as the subject that previously accessed the service.

Six entities are defined in Figure 16.1:

- **Credential service provider (CSP):** A trusted entity that issues or registers subscriber authenticators. For this purpose, the CSP establishes a digital credential for each subscriber and issues electronic credentials to subscribers. A CSP may be an independent third party or may issue credentials for its own use.
- **Verifier:** An entity that verifies the claimant's identity by verifying the claimant's possession and control of one or two authenticators using an authentication protocol. To do this, the verifier may also need to validate credentials that link the authenticator(s) to the subscriber's identifier and check their status.



CSP = credential service provider  
RP = relying party

**Figure 16.1** The NIST 800-63 Digital Identity Model

- **Relying party (RP):** An entity that relies upon the subscriber's authenticator(s) and credentials or a verifier's assertion of a claimant's identity, typically to process a transaction or grant access to information or a system.
- **Applicant:** A subject undergoing the processes of enrollment and identity proofing.
- **Claimant:** A subject whose identity is to be verified using one or more authentication protocols.
- **Subscriber:** A party who has received a credential or authenticator from a CSP.

The left-hand portion of Figure 16.1 illustrates the process whereby an applicant is enrolled into the system for purposes of accessing certain services and resources. First, the applicant presents to the CSP evidence of possession of the attributes to be associated with this digital identity. Upon successful proofing by the CSP, the applicant becomes a subscriber. Then, depending on the details of the overall authentication system, the CSP issues some sort of electronic credential to the subscriber. The credential is a data structure that authoritatively binds an identity and additional attributes to one or more authenticators possessed by a subscriber, and can be verified when presented to the verifier in an authentication transaction. The authenticator could be an encryption key or an encrypted password that identifies the subscriber. The authenticator may be issued by the CSP, generated directly by the subscriber, or provided by a third party. The authenticator and credential may be used in subsequent authentication events.

Once a user is registered as a subscriber, the actual authentication process can take place between the subscriber and one or more systems that perform authentication (right-hand portion of Figure 16.1). The party to be authenticated is called a claimant and the party verifying that identity is called a verifier. When a claimant successfully demonstrates possession and control of an authenticator to a verifier through an authentication protocol, the verifier can verify that the claimant is the subscriber named in the corresponding credential. The verifier passes on an assertion about the identity of the subscriber to the relying party (RP). That assertion includes identity information about a subscriber, such as the subscriber name, an identifier assigned at registration, or other subscriber attributes that were verified in the registration process. The RP can use the authenticated information provided by the verifier to make access control or authorization decisions.

In some cases, the verifier interacts with the CSP to access the credential that binds the subscriber's identity to their authenticator and to optionally obtain claimant attributes. In other cases, the verifier does not need to communicate in real time with the CSP to complete the authentication activity (e.g., some uses of digital certificates). Therefore, the dashed line between the verifier and the CSP represents a logical link between the two entities.

An implemented system for authentication will differ from or be more complex than this simplified model, but the model illustrates the key roles and functions needed for a secure authentication system.

### Means of Authentication

There are three general means, or **authentication factors**, of authenticating a user's identity, which can be used alone or in combination:

- **Knowledge factor (something the individual knows):** Requires the user to demonstrate knowledge of secret information. Routinely used in single-layer authentication processes, knowledge factors can come in the form of passwords, passphrases, personal identification numbers (PINs), or answers to secret questions.
- **Possession factor (something the individual possesses):** Physical entity possessed by the authorized user to connect to the client computer or portal. This type of authenticator used to be referred to as a *token*, but that term is now deprecated. The term *hardware token* is a preferable alternative. Possession factors fall into two categories:

**Connected hardware tokens** are items that connect to a computer logically (e.g., via wireless) or physically in order to authenticate identity. Items such as smart cards, wireless tags, and USB tokens are common connected tokens used to serve as a possession factor.

**Disconnected hardware tokens** are items that do not directly connect to the client computer, instead requiring input from the individual attempting to sign in. Typically, a disconnected hardware token device will use a built-in screen to display authentication data that are then utilized by the user to sign in when prompted.

- **Inherence factor (something the individual is or does):** Refers to characteristics, called **biometrics**, that are unique or almost unique to the individual. These include static biometrics, such as fingerprint, retina, and face; and dynamic biometrics, such as voice, handwriting, and typing rhythm.

The specific items used during authentication, such as a password or hardware token, are referred to as **authenticators**. All of these methods, properly implemented and used, can provide secure user authentication. However, each method has problems (Table 16.1). An adversary may be able to guess or steal a password. Similarly, an adversary may be able to forge or steal a card. A user may forget a password or lose a card. A user may share a password or card with a colleague. Furthermore, there is a significant administrative overhead for managing password and card information on systems and securing such information on systems. With respect

**Table 16.1** Authentication Factors

Factor	Examples	Properties
Knowledge	User ID Password PIN	Can be shared Many passwords easy to guess Can be forgotten
Possession	Smart Card Electronic Badge Electronic Key	Can be shared Can be duplicated (cloned) Can be lost or stolen
Inherence	Fingerprint Face Iris Voice print	Not possible to share False positives and false negatives possible Forging difficult

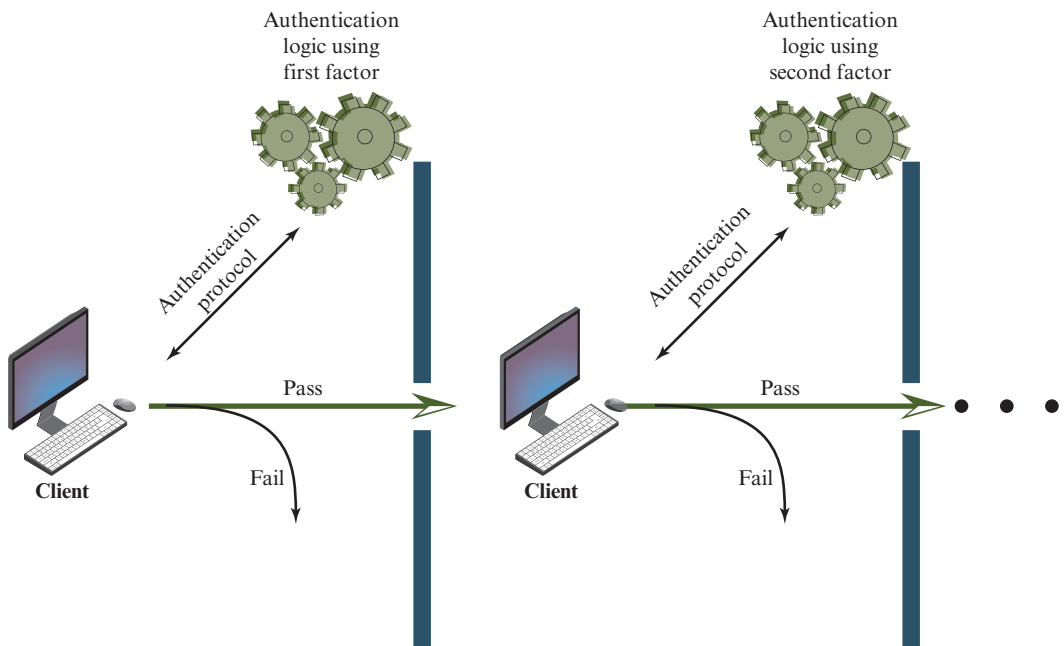
to biometric authenticators, there are a variety of problems, including dealing with false positives and false negatives, user acceptance, cost, security of the sensor itself, and convenience.

### Multifactor Authentication

Multifactor authentication refers to the use of more than one of the authentication means in the preceding list (Figure 16.2). Typically, this strategy involves the use of authentication technologies from two of the classes of factors described above, such as a PIN plus a hardware token (knowledge factor plus possession factor) or a PIN and a biometric (knowledge factor plus inheritance factor). Multifactor authentication will generally be more secure than the use of a single factor, because the failure modes for different factors are largely independent. So, for example, a hardware token might be lost or stolen, but the PIN required for use with the token would not be lost or stolen at the same time. This assumption is not always true, however. For example, a PIN attached to a hardware token is compromised at the same time that the token is lost or stolen. Nevertheless, multifactor authentication is an important means of reducing vulnerability.

### Mutual Authentication

An important application area is that of mutual authentication protocols. Such protocols enable communicating parties to satisfy themselves mutually about each other's identity and to exchange session keys. This topic was examined in Chapter 14.



**Figure 16.2** Multifactor Authentication

There, the focus was key distribution. We return to this topic here to consider the wider implications of authentication.

Central to the problem of authenticated key exchange are two issues: confidentiality and timeliness. To prevent masquerade and to prevent compromise of session keys, essential identification and session-key information must be communicated in encrypted form. This requires the prior existence of secret or public keys that can be used for this purpose. The second issue, timeliness, is important because of the threat of message replays. Such replays, at worst, could allow an opponent to compromise a session key or successfully impersonate another party. At minimum, a successful replay can disrupt operations by presenting parties with messages that appear genuine but are not.

[GONG93] lists the following examples of **replay attacks**:

1. The simplest replay attack is one in which the opponent simply copies a message and replays it later.
2. An opponent can replay a timestamped message within the valid time window. If both the original and the replay arrive within then time window, this incident can be logged.
3. As with example (2), an opponent can replay a timestamped message within the valid time window, but in addition, the opponent suppresses the original message. Thus, the repetition cannot be detected.
4. Another attack involves a backward replay without modification. This is a replay back to the message sender. This attack is possible if symmetric encryption is used and the sender cannot easily recognize the difference between messages sent and messages received on the basis of content.

One approach to coping with replay attacks is to attach a sequence number to each message used in an authentication exchange. A new message is accepted only if its sequence number is in the proper order. The difficulty with this approach is that it requires each party to keep track of the last sequence number for each claimant it has dealt with. Because of this overhead, sequence numbers are generally not used for authentication and key exchange. Instead, one of the following two general approaches is used:

- **Timestamps:** Party A accepts a message as fresh only if the message contains a **timestamp** that, in A's judgment, is close enough to A's knowledge of current time. This approach requires that clocks among the various participants be synchronized.
- **Challenge/response:** Party A, expecting a fresh message from B, first sends B a **nonce** (challenge) and requires that the subsequent message (response) received from B contain the correct nonce value.

It can be argued (e.g., [LAM92a]) that the timestamp approach should not be used for connection-oriented applications because of the inherent difficulties with this technique. First, some sort of protocol is needed to maintain synchronization among the various processor clocks. This protocol must be both fault tolerant, to cope with network errors, and secure, to cope with hostile attacks. Second, the opportunity for a successful attack will arise if there is a temporary loss of synchronization

resulting from a fault in the clock mechanism of one of the parties. Finally, because of the variable and unpredictable nature of network delays, distributed clocks cannot be expected to maintain precise synchronization. Therefore, any timestamp-based procedure must allow for a window of time sufficiently large to accommodate network delays yet sufficiently small to minimize the opportunity for attack.

On the other hand, the challenge-response approach is unsuitable for a connectionless type of application, because it requires the overhead of a handshake before any connectionless transmission, effectively negating the chief characteristic of a connectionless transaction. For such applications, reliance on some sort of secure time server and a consistent attempt by each party to keep its clocks in synchronization may be the best approach (e.g., [LAM92b]).

## 16.2 REMOTE USER-AUTHENTICATION USING SYMMETRIC ENCRYPTION

### Mutual Authentication

As was discussed in Chapter 14, a two-level hierarchy of symmetric encryption keys can be used to provide confidentiality for communication in a distributed environment. In general, this strategy involves the use of a trusted key distribution center (KDC). Each party in the network shares a secret key, known as a master key, with the KDC. The KDC is responsible for generating keys to be used for a short time over a connection between two parties, known as session keys, and for distributing those keys using the master keys to protect the distribution. This approach is quite common. As an example, we look at the Kerberos system in Section 16.3. The discussion in this subsection is relevant to an understanding of the Kerberos mechanisms.

Needham and Schroeder [NEED78] put forth a protocol for secret key distribution using a KDC that includes authentication features. The protocol can be summarized as follows.<sup>1</sup>

1.  $A \rightarrow \text{KDC}: ID_A \| ID_B \| N_1$
2.  $\text{KDC} \rightarrow A: E(K_a, [K_s \| ID_B \| N_1 \| E(K_b, [K_s \| ID_A])])$
3.  $A \rightarrow B: E(K_b, [K_s \| ID_A])$
4.  $B \rightarrow A: E(K_s, N_2)$
5.  $A \rightarrow B: E(K_s, f(N_2))$  where  $f()$  is a generic function that modifies the value of the nonce.

Secret keys  $K_a$  and  $K_b$  are shared between A and the KDC and B and the KDC, respectively. The purpose of the protocol is to distribute securely a session key  $K_s$  to A and B. Entity A securely acquires a new session key in step 2. The message in step 3 can be decrypted, and hence understood, only by B. Step 4 reflects B's knowledge of  $K_s$ , and step 5 assures B of A's knowledge of  $K_s$  and assures B that this is a fresh message because of the use of the nonce  $N_2$ . The purpose of steps 4

<sup>1</sup>The portion to the left of the colon indicates the sender and the receiver; the portion to the right indicates the contents of the message; the symbol  $\|$  indicates concatenation.



and 5 is to prevent a certain type of replay attack. In particular, if an opponent is able to capture the message in step 3 and replay it, this might in some fashion disrupt operations at B.

Despite the handshake of steps 4 and 5, the protocol is still vulnerable to a form of replay attack. Suppose that an opponent, X, has been able to compromise an old session key. Admittedly, this is a much more unlikely occurrence than that an opponent has simply observed and recorded step 3. Nevertheless, it is a potential security risk. X can impersonate A and trick B into using the old key by simply replaying step 3. Unless B remembers indefinitely all previous session keys used with A, B will be unable to determine that this is a replay. If X can intercept the handshake message in step 4, then it can impersonate A's response in step 5. From this point on, X can send bogus messages to B that appear to B to come from A using an authenticated session key.

Denning [DENN81, DENN82] proposes to overcome this weakness by a modification to the Needham/Schroeder protocol that includes the addition of a timestamp to steps 2 and 3. Her proposal assumes that the master keys,  $K_a$  and  $K_b$ , are secure, and it consists of the following steps.

1.  $A \rightarrow KDC: ID_A \parallel ID_B$
2.  $KDC \rightarrow A: E(K_a, [K_s \parallel ID_B \parallel T \parallel E(K_b, [K_s \parallel ID_A \parallel T])])$
3.  $A \rightarrow B: E(K_b, [K_s \parallel ID_A \parallel T])$
4.  $B \rightarrow A: E(K_s, N_1)$
5.  $A \rightarrow B: E(K_s, f(N_1))$

$T$  is a timestamp that assures A and B that the session key has only just been generated. Thus, both A and B know that the key distribution is a fresh exchange. A and B can verify timeliness by checking that

$$|\text{Clock} - T| < \Delta t_1 + \Delta t_2$$

where  $\Delta t_1$  is the estimated normal discrepancy between the KDC's clock and the local clock (at A or B) and  $\Delta t_2$  is the expected network delay time. Each node can set its clock against some standard reference source. Because the timestamp  $T$  is encrypted using the secure master keys, an opponent, even with knowledge of an old session key, cannot succeed because a replay of step 3 will be detected by B as untimely.

A final point: Steps 4 and 5 were not included in the original presentation [DENN81] but were added later [DENN82]. These steps confirm the receipt of the session key at B.

The Denning protocol seems to provide an increased degree of security compared to the Needham/Schroeder protocol. However, a new concern is raised: namely, that this new scheme requires reliance on clocks that are synchronized throughout the network. [GONG92] points out a risk involved. The risk is based on the fact that the distributed clocks can become unsynchronized as a result of sabotage on or faults in the clocks or the synchronization mechanism. The problem occurs when a sender's clock is ahead of the intended recipient's clock. In this case, an opponent can intercept a message from the sender and replay it later when the timestamp in the message becomes current at the recipient's

site. This replay could cause unexpected results. Gong refers to such attacks as suppress-replay attacks.

One way to counter suppress-replay attacks is to enforce the requirement that parties regularly check their clocks against the KDC's clock. The other alternative, which avoids the need for clock synchronization, is to rely on handshaking protocols using nonces. This latter alternative is not vulnerable to a suppress-replay attack, because the nonces the recipient will choose in the future are unpredictable to the sender. The Needham/Schroeder protocol relies on nonces only but, as we have seen, has other vulnerabilities.

In [KEHN92], an attempt is made to respond to the concerns about suppress-replay attacks and at the same time fix the problems in the Needham/Schroeder protocol. Subsequently, an inconsistency in this latter protocol was noted and an improved strategy was presented in [NEUM93a]. The protocol is

1.  $A \rightarrow B$ :  $ID_A \parallel N_a$
2.  $B \rightarrow KDC$ :  $ID_B \parallel N_b \parallel E(K_b, [ID_A \parallel N_a \parallel T_b])$
3.  $KDC \rightarrow A$ :  $E(K_a, [ID_B \parallel N_a \parallel K_s \parallel T_b]) \parallel E(K_b, [ID_A \parallel K_s \parallel T_b]) \parallel N_b$
4.  $A \rightarrow B$ :  $E(K_b, [ID_A \parallel K_s \parallel T_b]) \parallel E(K_s, N_b)$

Let us follow this exchange step by step.

1. A initiates the authentication exchange by generating a nonce,  $N_a$ , and sending that plus its identifier to B in plaintext. This nonce will be returned to A in an encrypted message that includes the session key, assuring A of its timeliness.
2. B alerts the KDC that a session key is needed. Its message to the KDC includes its identifier and a nonce,  $N_b$ . This nonce will be returned to B in an encrypted message that includes the session key, assuring B of its timeliness. B's message to the KDC also includes a block encrypted with the secret key shared by B and the KDC. This block is used to instruct the KDC to issue credentials to A; the block specifies the intended recipient of the credentials, a suggested expiration time for the credentials, and the nonce received from A.
3. The KDC passes on to A B's nonce and a block encrypted with the secret key that B shares with the KDC. The block serves as a "ticket" that can be used by A for subsequent authentications, as will be seen. The KDC also sends to A a block encrypted with the secret key shared by A and the KDC. This block verifies that B has received A's initial message ( $ID_B$ ) and that this is a timely message and not a replay ( $N_a$ ), and it provides A with a session key ( $K_s$ ) and the time limit on its use ( $T_b$ ).
4. A transmits the ticket to B, together with the B's nonce, the latter encrypted with the session key. The ticket provides B with the secret key that is used to decrypt  $E(K_s, N_b)$  to recover the nonce. The fact that B's nonce is encrypted with the session key authenticates that the message came from A and is not a replay.

This protocol provides an effective, secure means for A and B to establish a session with a secure session key. Furthermore, the protocol leaves A in possession of a key that can be used for subsequent authentication to B, avoiding the

need to contact the authentication server repeatedly. Suppose that A and B establish a session using the aforementioned protocol and then conclude that session. Subsequently, but within the time limit established by the protocol, A desires a new session with B. The following protocol ensues:

1.  $A \rightarrow B: E(K_b, [ID_A \| K_s \| T_b]) \| N'_a$
2.  $B \rightarrow A: N'_b \| E(K_s, N'_a)$
3.  $A \rightarrow B: E(K_s, N'_b)$

When B receives the message in step 1, it verifies that the ticket has not expired. The newly generated nonces  $N'_a$  and  $N'_b$  assure each party that there is no replay attack.

In all the foregoing, the time specified in  $T_b$  is a time relative to B's clock. Thus, this timestamp does not require synchronized clocks, because B checks only self-generated timestamps.

## 16.3 KERBEROS

**Kerberos** is an authentication service that addresses the following problem: Assume an open distributed environment in which users at workstations wish to access services on servers distributed throughout the network. We would like for servers to be able to restrict access to authorized users and to be able to authenticate requests for service. In this environment, a workstation cannot be trusted to identify its users correctly to network services. In particular, the following three threats exist:

1. A user may gain access to a particular workstation and pretend to be another user operating from that workstation.
2. A user may alter the network address of a workstation so that the requests sent from the altered workstation appear to come from the impersonated workstation.
3. A user may eavesdrop on exchanges and use a replay attack to gain entrance to a server or to disrupt operations.

In any of these cases, an unauthorized user may be able to gain access to services and data that he or she is not authorized to access. Rather than building in elaborate authentication protocols at each server, Kerberos provides a centralized **authentication server** whose function is to authenticate users to servers and servers to users. Unlike most other authentication schemes described in this book, Kerberos relies exclusively on symmetric encryption, making no use of public-key encryption.

The first widely used version of Kerberos was Version 4 [MILL88, STEI88]. Version 5 [KOHL94] corrects some of the security deficiencies of version 4 and has been issued as a proposed Internet Standard (RFC 4120 and RFC 4121).

We begin this section with a brief discussion of the motivation for the Kerberos approach. Then, because of the complexity of Kerberos, it is best to start with a description of the authentication protocol used in version 4. This enables us to see the essence of the Kerberos strategy without considering some of the details required to handle subtle security threats. Finally, we examine version 5.

## Motivation

If a set of users is provided with dedicated personal computers that have no network connections, then a user's resources and files can be protected by physically securing each personal computer. When these users instead are served by a centralized time-sharing system, the time-sharing operating system must provide the security. The operating system can enforce access-control policies based on user identity and use the logon procedure to identify users.

Today, neither of these scenarios is typical. More common is a distributed architecture consisting of dedicated user workstations (clients) and distributed or centralized servers. In this environment, three approaches to security can be envisioned.

1. Rely on each individual client workstation to assure the identity of its user or users and rely on each server to enforce a security policy based on user identification (ID).
2. Require that client systems authenticate themselves to servers, but trust the client system concerning the identity of its user.
3. Require the user to prove his or her identity for each service invoked. Also require that servers prove their identity to clients.

In a small, closed environment in which all systems are owned and operated by a single organization, the first or perhaps the second strategy may suffice. But in a more open environment in which network connections to other machines are supported, the third approach is needed to protect user information and resources housed at the server. Kerberos supports this third approach. Kerberos assumes a distributed client/server architecture and employs one or more Kerberos servers to provide an authentication service.

The first published report on Kerberos [STEI88] listed the following requirements.

- **Secure:** A network eavesdropper should not be able to obtain the necessary information to impersonate a user. More generally, Kerberos should be strong enough that a potential opponent does not find it to be the weak link.
- **Reliable:** For all services that rely on Kerberos for access control, lack of availability of the Kerberos service means lack of availability of the supported services. Hence, Kerberos should be highly reliable and should employ a distributed server architecture with one system able to back up another.
- **Transparent:** Ideally, the user should not be aware that authentication is taking place beyond the requirement to enter a password.
- **Scalable:** The system should be capable of supporting large numbers of clients and servers. This suggests a modular, distributed architecture.

To support these requirements, the overall scheme of Kerberos is that of a trusted third-party authentication service that uses a protocol based on that proposed by Needham and Schroeder [NEED78], which was discussed in Section 16.2. It is trusted in the sense that clients and servers trust Kerberos to mediate their

mutual authentication. Assuming the Kerberos protocol is well designed, then the authentication service is secure if the Kerberos server itself is secure.

### Kerberos Version 4

Version 4 of Kerberos makes use of DES, in a rather elaborate protocol, to provide the authentication service. Viewing the protocol as a whole, it is difficult to see the need for the many of its elements. Therefore, we adopt a strategy used by Bill Bryant of Project Athena [BRYA88] and build up to the full protocol by looking first at several hypothetical dialogues. Each successive dialogue adds additional complexity to counter security vulnerabilities revealed in the preceding dialogue.

After examining the protocol, we look at some other aspects of version 4.

**A SIMPLE AUTHENTICATION DIALOGUE** In an unprotected network environment, any client can apply to any server for service. The obvious security risk is that of impersonation. An opponent can pretend to be another client and obtain unauthorized privileges on server machines. To counter this threat, servers must be able to confirm the identities of clients who request service. Each server can be required to undertake this task for each client/server interaction, but in an open environment, this places a substantial burden on each server.

An alternative is to use an authentication server (AS) that knows the passwords of all users and stores these in a centralized database. In addition, the AS shares a unique secret key with each server. These keys have been distributed physically or in some other secure manner. Consider the following hypothetical dialogue:

$$\begin{aligned}
 (1) \ C \rightarrow AS: & \quad ID_C \| P_C \| ID_V \\
 (2) \ AS \rightarrow C: & \quad Ticket \\
 (3) \ C \rightarrow V: & \quad ID_C \| Ticket \\
 Ticket = & \ E(K_v, [ID_C \| AD_C \| ID_V])
 \end{aligned}$$

where

- C = client
- AS = authentication server
- V = server
- $ID_C$  = identifier of user on C
- $ID_V$  = identifier of V
- $P_C$  = password of user on C
- $AD_C$  = network address of C
- $K_v$  = secret encryption key shared by AS and V

In this scenario, the user logs on to a workstation and requests access to server V. The client module C in the user's workstation requests the user's password and then sends a message to the AS that includes the user's ID, the server's ID, and the user's password. The AS checks its database to see if the user has supplied the proper password for this user ID and whether this user is permitted access to server V. If both

tests are passed, the AS accepts the user as authentic and must now convince the server that this user is authentic. To do so, the AS creates a ticket that contains the user's ID and network address and the server's ID. This ticket is encrypted using the secret key shared by the AS and this server. This ticket is then sent back to C. Because the ticket is encrypted, it cannot be altered by C or by an opponent.

With this ticket, C can now apply to V for service. C sends a message to V containing C's ID and the ticket. V decrypts the ticket and verifies that the user ID in the ticket is the same as the unencrypted user ID in the message. If these two match, the server considers the user authenticated and grants the requested service.

Each of the ingredients of message (3) is significant. The ticket is encrypted to prevent alteration or forgery. The server's ID ( $ID_V$ ) is included in the ticket so that the server can verify that it has decrypted the ticket properly.  $ID_C$  is included in the ticket to indicate that this ticket has been issued on behalf of C. Finally,  $AD_C$  serves to counter the following threat. An opponent could capture the ticket transmitted in message (2), then use the name  $ID_C$  and transmit a message of form (3) from another workstation. The server would receive a valid ticket that matches the user ID and grant access to the user on that other workstation. To prevent this attack, the AS includes in the ticket the network address from which the original request came. Now the ticket is valid only if it is transmitted from the same workstation that initially requested the ticket.

**A MORE SECURE AUTHENTICATION DIALOGUE** Although the foregoing scenario solves some of the problems of authentication in an open network environment, problems remain. Two in particular stand out. First, we would like to minimize the number of times that a user has to enter a password. Suppose each ticket can be used only once. If user C logs on to a workstation in the morning and wishes to check his or her mail at a mail server, C must supply a password to get a ticket for the mail server. If C wishes to check the mail several times during the day, each attempt requires reentering the password. We can improve matters by saying that tickets are reusable. For a single logon session, the workstation can store the mail server ticket after it is received and use it on behalf of the user for multiple accesses to the mail server.

However, under this scheme, it remains the case that a user would need a new ticket for every different service. If a user wished to access a print server, a mail server, a file server, and so on, the first instance of each access would require a new ticket and hence require the user to enter the password.

The second problem is that the earlier scenario involved a plaintext transmission of the password [message (1)]. An eavesdropper could capture the password and use any service accessible to the victim.

To solve these additional problems, we introduce a scheme for avoiding plaintext passwords and a new server, known as the ticket-granting server (TGS). The new (but still hypothetical) scenario is as follows.

**Once per user logon session:**

(1)  $C \rightarrow AS: ID_C \parallel ID_{TGS}$

(2)  $AS \rightarrow C: E(K_C, Ticket_{TGS})$

**Once per type of service:**

$$(3) C \rightarrow TGS: ID_C \| ID_V \| Ticket_{tgs}$$

$$(4) TGS \rightarrow C: Ticket_v$$

**Once per service session:**

$$(5) C \rightarrow V: ID_C \| Ticket_v$$

$$Ticket_{tgs} = E(K_{tgs}, [ID_C \| AD_C \| ID_{tgs} \| TS_1 \| Lifetime_1])$$

$$Ticket_v = E(K_v, [ID_C \| AD_C \| ID_v \| TS_2 \| Lifetime_2])$$

The new service, TGS, issues tickets to users who have been authenticated to AS. Thus, the user first requests a ticket-granting ticket ( $Ticket_{tgs}$ ) from the AS. The client module in the user workstation saves this ticket. Each time the user requires access to a new service, the client applies to the TGS, using the ticket to authenticate itself. The TGS then grants a ticket for the particular service. The client saves each service-granting ticket and uses it to authenticate its user to a server each time a particular service is requested. Let us look at the details of this scheme:

1. The client requests a ticket-granting ticket on behalf of the user by sending its user's ID to the AS, together with the TGS ID, indicating a request to use the TGS service.
2. The AS responds with a ticket that is encrypted with a key that is derived from the user's password ( $K_c$ ), which is already stored at the AS. When this response arrives at the client, the client prompts the user for his or her password, generates the key, and attempts to decrypt the incoming message. If the correct password is supplied, the ticket is successfully recovered.

Because only the correct user should know the password, only the correct user can recover the ticket. Thus, we have used the password to obtain credentials from Kerberos without having to transmit the password in plaintext. The ticket itself consists of the ID and network address of the user, and the ID of the TGS. This corresponds to the first scenario. The idea is that the client can use this ticket to request multiple service-granting tickets. So the ticket-granting ticket is to be reusable. However, we do not wish an opponent to be able to capture the ticket and use it. Consider the following scenario: An opponent captures the login ticket and waits until the user has logged off his or her workstation. Then the opponent either gains access to that workstation or configures his workstation with the same network address as that of the victim. The opponent would be able to reuse the ticket to spoof the TGS. To counter this, the ticket includes a timestamp, indicating the date and time at which the ticket was issued, and a lifetime, indicating the length of time for which the ticket is valid (e.g., eight hours). Thus, the client now has a reusable ticket and need not bother the user for a password for each new service request. Finally, note that the ticket-granting ticket is encrypted with a secret key known only to the AS and the TGS. This prevents alteration of the ticket. The ticket is reencrypted with a key based on the user's password. This assures that the ticket can be recovered only by the correct user, providing the authentication.



Now that the client has a ticket-granting ticket, access to any server can be obtained with steps 3 and 4.

3. The client requests a service-granting ticket on behalf of the user. For this purpose, the client transmits a message to the TGS containing the user's ID, the ID of the desired service, and the ticket-granting ticket.
4. The TGS decrypts the incoming ticket using a key shared only by the AS and the TGS ( $K_{tgs}$ ) and verifies the success of the decryption by the presence of its ID. It checks to make sure that the lifetime has not expired. Then it compares the user ID and network address with the incoming information to authenticate the user. If the user is permitted access to the server  $V$ , the TGS issues a ticket to grant access to the requested service.

The service-granting ticket has the same structure as the ticket-granting ticket. Indeed, because the TGS is a server, we would expect that the same elements are needed to authenticate a client to the TGS and to authenticate a client to an application server. Again, the ticket contains a timestamp and lifetime. If the user wants access to the same service at a later time, the client can simply use the previously acquired service-granting ticket and need not bother the user for a password. Note that the ticket is encrypted with a secret key ( $K_v$ ) known only to the TGS and the server, preventing alteration.

Finally, with a particular service-granting ticket, the client can gain access to the corresponding service with step 5.

5. The client requests access to a service on behalf of the user. For this purpose, the client transmits a message to the server containing the user's ID and the service-granting ticket. The server authenticates by using the contents of the ticket.

This new scenario satisfies the two requirements of only one password query per user session and protection of the user password.

**THE VERSION 4 AUTHENTICATION DIALOGUE** Although the foregoing scenario enhances security compared to the first attempt, two additional problems remain. The heart of the first problem is the lifetime associated with the ticket-granting ticket. If this lifetime is very short (e.g., minutes), then the user will be repeatedly asked for a password. If the lifetime is long (e.g., hours), then an opponent has a greater opportunity for replay. An opponent could eavesdrop on the network and capture a copy of the ticket-granting ticket and then wait for the legitimate user to log out. Then the opponent could forge the legitimate user's network address and send the message of step (3) to the TGS. This would give the opponent unlimited access to the resources and files available to the legitimate user.

Similarly, if an opponent captures a service-granting ticket and uses it before it expires, the opponent has access to the corresponding service.

Thus, we arrive at an additional requirement. A network service (the TGS or an application service) must be able to prove that the person using a ticket is the same person to whom that ticket was issued.

The second problem is that there may be a requirement for servers to authenticate themselves to users. Without such authentication, an opponent could sabotage the configuration so that messages to a server were directed to another location.



**Table 16.2** Summary of Kerberos Version 4 Message Exchanges

<b>(1) <math>C \rightarrow AS</math></b> $ID_C \  ID_{TGS} \  TS_1$	
<b>(2) <math>AS \rightarrow C</math></b> $E(K_c, [K_{c,tgs} \  ID_{TGS} \  TS_2 \  Lifetime_2 \  Ticket_{TGS}])$ $Ticket_{TGS} = E(K_{TGS}, [K_{c,tgs} \  ID_C \  AD_C \  ID_{TGS} \  TS_2 \  Lifetime_2])$	
(a) Authentication Service Exchange to obtain ticket-granting ticket	
<b>(3) <math>C \rightarrow TGS</math></b> $ID_V \  Ticket_{TGS} \  Authenticator_c$	
<b>(4) <math>TGS \rightarrow C</math></b> $E(K_{c,tgs}, [K_{c,v} \  ID_V \  TS_4 \  Ticket_v])$ $Ticket_{TGS} = E(K_{TGS}, [K_{c,tgs} \  ID_C \  AD_C \  ID_{TGS} \  TS_2 \  Lifetime_2])$ $Ticket_v = E(K_v, [K_{c,v} \  ID_C \  AD_C \  ID_V \  TS_4 \  Lifetime_4])$ $Authenticator_c = E(K_{c,tgs}, [ID_C \  AD_C \  TS_3])$	
(b) Ticket-Granting Service Exchange to obtain service-granting ticket	
<b>(5) <math>C \rightarrow V</math></b> $Ticket_v \  Authenticator_c$	
<b>(6) <math>V \rightarrow C</math></b> $E(K_{c,v}, [TS_5 + 1])$ (for mutual authentication) $Ticket_v = E(K_v, [K_{c,v} \  ID_C \  AD_C \  ID_V \  TS_4 \  Lifetime_4])$ $Authenticator_c = E(K_{c,v}, [ID_C \  AD_C \  TS_5])$	
(c) Client/Server Authentication Exchange to obtain service	

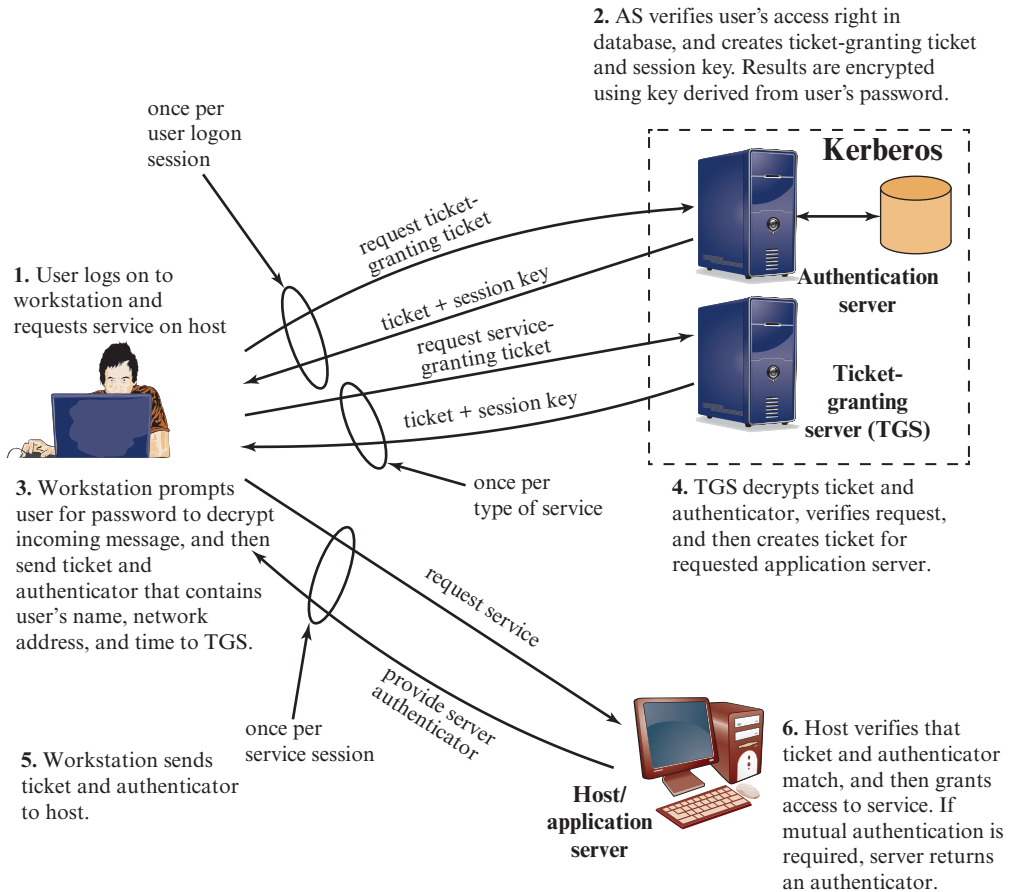
The false server would then be in a position to act as a real server and capture any information from the user and deny the true service to the user.

We examine these problems in turn and refer to Table 16.2, which shows the actual Kerberos protocol. Figure 16.3 provides a simplified overview.

First, consider the problem of captured ticket-granting tickets and the need to determine that the ticket presenter is the same as the client for whom the ticket was issued. The threat is that an opponent will steal the ticket and use it before it expires. To get around this problem, let us have the AS provide both the client and the TGS with a secret piece of information in a secure manner. Then the client can prove its identity to the TGS by revealing the secret information—again in a secure manner. An efficient way of accomplishing this is to use an encryption key as the secure information; this is referred to as a session key in Kerberos.

Table 16.2a shows the technique for distributing the session key. As before, the client sends a message to the AS requesting access to the TGS. The AS responds with a message, encrypted with a key derived from the user's password ( $K_c$ ), that contains the ticket. The encrypted message also contains a copy of the session key,  $K_{c,tgs}$ , where the subscripts indicate that this is a session key for C and TGS. Because this session key is inside the message encrypted with  $K_c$ , only the user's client can read it. The same session key is included in the ticket, which can be read only by the TGS. Thus, the session key has been securely delivered to both C and the TGS.

Note that several additional pieces of information have been added to this first phase of the dialogue. Message (1) includes a timestamp, so that the AS knows that the message is timely. Message (2) includes several elements of the ticket in a form accessible to C. This enables C to confirm that this ticket is for the TGS and to learn its expiration time.



**Figure 16.3** Overview of Kerberos

Armed with the ticket and the session key, C is ready to approach the TGS. As before, C sends the TGS a message that includes the ticket plus the ID of the requested service [message (3) in Table 16.2b]. In addition, C transmits an authenticator, which includes the ID and address of C's user and a timestamp. Unlike the ticket, which is reusable, the authenticator is intended for use only once and has a very short lifetime. The TGS can decrypt the ticket with the key that it shares with the AS. This ticket indicates that user C has been provided with the session key  $K_{c,tgs}$ . In effect, the ticket says, "Anyone who uses  $K_{c,tgs}$  must be C." The TGS uses the session key to decrypt the authenticator. The TGS can then check the name and address from the authenticator with that of the ticket and with the network address of the incoming message. If all match, then the TGS is assured that the sender of the ticket is indeed the ticket's real owner. In effect, the authenticator says, "At time  $TS_3$ , I hereby use  $K_{c,tgs}$ ." Note that the ticket does not prove anyone's identity but is a way to distribute keys securely. It is the authenticator that proves the client's identity. Because the authenticator can be used only once and has a short lifetime, the threat

of an opponent stealing both the ticket and the authenticator for presentation later is countered.

The reply from the TGS in message (4) follows the form of message (2). The message is encrypted with the session key shared by the TGS and C and includes a session key to be shared between C and the server V, the ID of V, and the timestamp of the ticket. The ticket itself includes the same session key.

C now has a reusable service-granting ticket for V. When C presents this ticket, as shown in message (5), it also sends an authenticator. The server can decrypt the ticket, recover the session key, and decrypt the authenticator.

If mutual authentication is required, the server can reply as shown in message (6) of Table 16.2. The server returns the value of the timestamp from the authenticator, incremented by 1, and encrypted in the session key. C can decrypt this message to recover the incremented timestamp. Because the message was encrypted by the session key, C is assured that it could have been created only by V. The contents of the message assure C that this is not a replay of an old reply.

Finally, at the conclusion of this process, the client and server share a secret key. This key can be used to encrypt future messages between the two or to exchange a new random session key for that purpose.

Figure 16.4 illustrates the Kerberos exchanges among the parties.

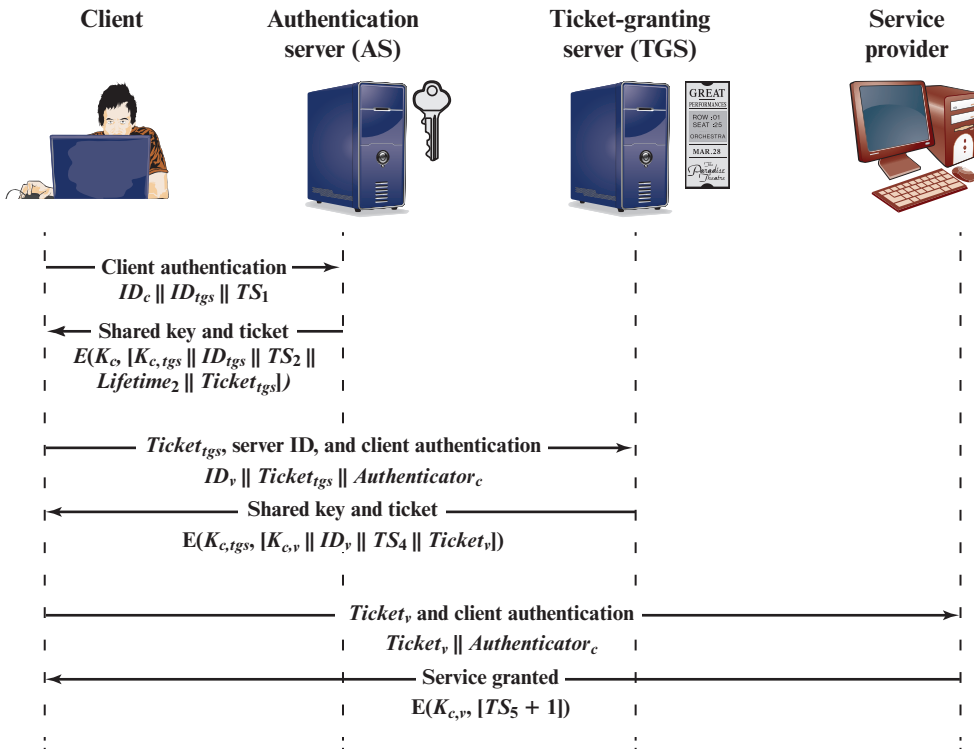


Figure 16.4 Kerberos Exchanges

**KERBEROS REALMS AND MULTIPLE KERBERI** A full-service Kerberos environment consisting of a Kerberos server, a number of clients, and a number of application servers requires the following:

1. The Kerberos server must have the user ID and hashed passwords of all participating users in its database. All users are registered with the Kerberos server.
2. The Kerberos server must share a secret key with each server. All servers are registered with the Kerberos server.

Such an environment is referred to as a Kerberos realm. The concept of realm can be explained as follows. A Kerberos realm is a set of managed nodes that share the same Kerberos database. The Kerberos database resides on the Kerberos master computer system, which should be kept in a physically secure room. A read-only copy of the Kerberos database might also reside on other Kerberos computer systems. However, all changes to the database must be made on the master computer system. Changing or accessing the contents of a Kerberos database requires the Kerberos master password. A related concept is that of a **Kerberos principal**, which is a service or user that is known to the Kerberos system. Each Kerberos principal is identified by its principal name. Principal names consist of three parts: a service or user name, an instance name, and a realm name.

Networks of clients and servers under different administrative organizations typically constitute different realms. That is, it generally is not practical or does not conform to administrative policy to have users and servers in one administrative domain registered with a Kerberos server elsewhere. However, users in one realm may need access to servers in other realms, and some servers may be willing to provide service to users from other realms, provided that those users are authenticated.

Kerberos provides a mechanism for supporting such interrealm authentication. For two realms to support interrealm authentication, a third requirement is added:

3. The Kerberos server in each interoperating realm shares a secret key with the server in the other realm. The two Kerberos servers are registered with each other.

The scheme requires that the Kerberos server in one realm trust the Kerberos server in the other realm to authenticate its users. Furthermore, the participating servers in the second realm must also be willing to trust the Kerberos server in the first realm.

With these ground rules in place, we can describe the mechanism as follows (Figure 16.5): A user wishing service on a server in another realm needs a ticket for that server. The user's client follows the usual procedures to gain access to the local TGS and then requests a ticket-granting ticket for a remote TGS (TGS in another realm). The client can then apply to the remote TGS for a service-granting ticket for the desired server in the realm of the remote TGS.

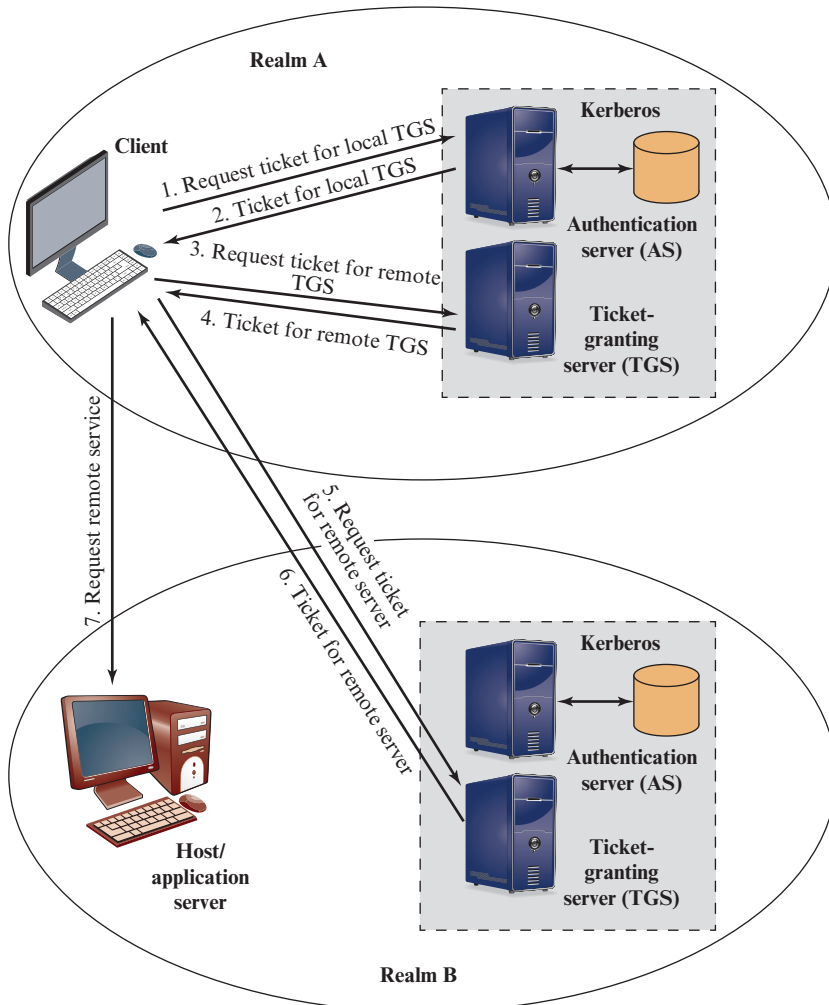
The details of the exchanges illustrated in Figure 16.5 are as follows (compare Table 16.2).

- (1)  $C \rightarrow AS:$   $ID_c \parallel ID_{tgs} \parallel TS_1$
- (2)  $AS \rightarrow C:$   $E(K_c, [K_{c, tgs} \parallel ID_{tgs} \parallel TS_2 \parallel Lifetime_2 \parallel Ticket_{tgs}])$
- (3)  $C \rightarrow TGS:$   $ID_{tgsrem} \parallel Ticket_{tgs} \parallel Authenticator_c$

- (4)  $TGS \rightarrow C: E(K_{c,tgs}, [K_{c,tgsrem} \parallel ID_{tgsrem} \parallel TS_4 \parallel Ticket_{tgsrem}])$   
 (5)  $C \rightarrow TGS_{rem}: ID_{vrem} \parallel Ticket_{tgsrem} \parallel Authenticator_c$   
 (6)  $TGS_{rem} \rightarrow C: E(K_{c,tgsrem}, [K_{c,vrem} \parallel ID_{vrem} \parallel TS_6 \parallel Ticket_{vrem}])$   
 (7)  $C \rightarrow V_{rem}: Ticket_{vrem} \parallel Authenticator_c$

The ticket presented to the remote server ( $V_{rem}$ ) indicates the realm in which the user was originally authenticated. The server chooses whether to honor the remote request.

One problem presented by the foregoing approach is that it does not scale well to many realms. If there are  $N$  realms, then there must be  $N(N - 1)/2$  secure key exchanges so that each Kerberos realm can interoperate with all other Kerberos realms.



**Figure 16.5** Request for Service in Another Realm

## Kerberos Version 5

Kerberos version 5 is specified in RFC 4120 and provides a number of improvements over version 4 [KOHL94]. To begin, we provide an overview of the changes from version 4 to version 5 and then look at the version 5 protocol.

**DIFFERENCES BETWEEN VERSIONS 4 AND 5** Version 5 is intended to address the limitations of version 4 in two areas: environmental shortcomings and technical deficiencies. Let us briefly summarize the improvements in each area.

Kerberos version 4 was developed for use within the Project Athena environment and, accordingly, did not fully address the need to be of general purpose. This led to the following **environmental shortcomings**.

1. **Encryption system dependence:** Version 4 requires the use of DES. Export restriction on DES as well as doubts about the strength of DES were thus of concern. Version 5 makes use of AES.
2. **Internet protocol dependence:** Version 4 requires the use of Internet Protocol (IP) addresses. Other address types, such as the ISO network address, are not accommodated. Version 5 network addresses are tagged with type and length, allowing any network address type to be used.
3. **Message byte ordering:** In version 4, the sender of a message employs a byte ordering of its own choosing and tags the message to indicate least significant byte in lowest address or most significant byte in lowest address. This technique works but does not follow established conventions. In version 5, all message structures are defined using Abstract Syntax Notation One (ASN.1) and Basic Encoding Rules (BER), which provide an unambiguous byte ordering.
4. **Ticket lifetime:** Lifetime values in version 4 are encoded in an 8-bit quantity in units of five minutes. Thus, the maximum lifetime that can be expressed is  $2^8 \times 5 = 1280$  minutes (a little over 21 hours). This may be inadequate for some applications (e.g., a long-running simulation that requires valid Kerberos credentials throughout execution). In version 5, tickets include an explicit start time and end time, allowing tickets with arbitrary lifetimes.
5. **Authentication forwarding:** Version 4 does not allow credentials issued to one client to be forwarded to some other host and used by some other client. This capability would enable a client to access a server and have that server access another server on behalf of the client. For example, a client issues a request to a print server that then accesses the client's file from a file server, using the client's credentials for access. Version 5 provides this capability.
6. **Interrealm authentication:** In version 4, interoperability among  $N$  realms requires on the order of  $N^2$  Kerberos-to-Kerberos relationships, as described earlier. Version 5 supports a method that requires fewer relationships, as described shortly.

Apart from these environmental limitations, there are **technical deficiencies** in the version 4 protocol itself. Most of these deficiencies were documented in [BELL90], and version 5 attempts to address these. The deficiencies are the following.

1. **Double encryption:** Note in Table 16.2 [messages (2) and (4)] that tickets provided to clients are encrypted twice—once with the secret key of the target server and then again with a secret key known to the client. The second encryption is not necessary and is computationally wasteful.
2. **PCBC encryption:** Encryption in version 4 makes use of a nonstandard mode of DES known as **propagating cipher block chaining (PCBC)**. It has been demonstrated that this mode is vulnerable to an attack involving the interchange of ciphertext blocks [KOHL89]. PCBC was intended to provide an integrity check as part of the encryption operation. Version 5 provides explicit integrity mechanisms, allowing the standard CBC mode to be used for encryption. In particular, a checksum or hash code is attached to the message prior to encryption using CBC.
3. **Session keys:** Each ticket includes a session key that is used by the client to encrypt the authenticator sent to the service associated with that ticket. In addition, the session key may subsequently be used by the client and the server to protect messages passed during that session. However, because the same ticket may be used repeatedly to gain service from a particular server, there is the risk that an opponent will replay messages from an old session to the client or the server. In version 5, it is possible for a client and server to negotiate a subsession key, which is to be used only for that one connection. A new access by the client would result in the use of a new subsession key.
4. **Password attacks:** Both versions are vulnerable to a password attack. The message from the AS to the client includes material encrypted with a key based on the client's password. An opponent can capture this message and attempt to decrypt it by trying various passwords. If the result of a test decryption is of the proper form, then the opponent has discovered the client's password and may subsequently use it to gain authentication credentials from Kerberos. Version 5 does provide a mechanism known as preauthentication, which should make password attacks more difficult, but it does not prevent them.

**THE VERSION 5 AUTHENTICATION DIALOGUE** Table 16.3 summarizes the basic version 5 dialogue. This is best explained by comparison with version 4 (Table 16.2).

First, consider the **authentication service exchange**. Message (1) is a client request for a ticket-granting ticket. As before, it includes the ID of the user and the TGS. The following new elements are added:

- **Realm:** Indicates realm of user
- **Options:** Used to request that certain flags be set in the returned ticket
- **Times:** Used by the client to request the following time settings in the ticket:
  - **from:** the desired start time for the requested ticket
  - **till:** the requested expiration time for the requested ticket
  - **rtime:** requested renew-till time
- **Nonce:** A random value to be repeated in message (2) to assure that the response is fresh and has not been replayed by an opponent

Message (2) returns a ticket-granting ticket, identifying information for the client, and a block encrypted using the encryption key based on the user's password.



**Table 16.3** Summary of Kerberos Version 5 Message Exchanges

(1) $C \rightarrow AS$ $Options \parallel ID_c \parallel Realm_c \parallel ID_{Tgs} \parallel Times \parallel Nonce_1$	
(2) $AS \rightarrow C$ $Realm_c \parallel ID_C \parallel Ticket_{Tgs} \parallel E(K_{c,Tgs} [K_{c,Tgs} \parallel Times \parallel Nonce_1 \parallel Realm_{Tgs} \parallel ID_{Tgs}])$ $Ticket_{Tgs} = E(K_{Tgs}, [Flags \parallel K_{c,Tgs} \parallel Realm_c \parallel ID_C \parallel AD_C \parallel Times])$	
(a) Authentication Service Exchange to obtain ticket-granting ticket	
(3) $C \rightarrow TGS$ $Options \parallel ID_v \parallel Times \parallel Nonce_2 \parallel Ticket_{Tgs} \parallel Authenticator_c$	
(4) $TGS \rightarrow C$ $Realm_c \parallel ID_C \parallel Ticket_v \parallel E(K_{c,Tgs}, [K_{c,v} \parallel Times \parallel Nonce_2 \parallel Realm_v \parallel ID_v])$ $Ticket_{Tgs} = E(K_{Tgs}, [Flags \parallel K_{c,Tgs} \parallel Realm_c \parallel ID_C \parallel AD_C \parallel Times])$ $Ticket_v = E(K_v, [Flags \parallel K_{c,v} \parallel Realm_c \parallel ID_C \parallel AD_C \parallel Times])$ $Authenticator_c = E(K_{c,Tgs}, [ID_C \parallel Realm_c \parallel TS_1])$	
(b) Ticket-Granting Service Exchange to obtain service-granting ticket	
(5) $C \rightarrow V$ $Options \parallel Ticket_v \parallel Authenticator_c$	
(6) $V \rightarrow C$ $E_{K_{c,v}}[TS_2 \parallel Subkey \parallel Seq \#]$ $Ticket_v = E(K_v, [Flag \parallel K_{c,v} \parallel Realm_c \parallel ID_C \parallel AD_C \parallel Times])$ $Authenticator_c = E(K_{c,v}, [ID_C \parallel Realm_c \parallel TS_2 \parallel Subkey \parallel Seq \#])$	
(c) Client/Server Authentication Exchange to obtain service	

This block includes the session key to be used between the client and the TGS, times specified in message (1), the nonce from message (1), and TGS identifying information. The ticket itself includes the session key, identifying information for the client, the requested time values, and flags that reflect the status of this ticket and the requested options.

Let us now compare the **ticket-granting service exchange** for versions 4 and 5. We see that message (3) for both versions includes an authenticator, a ticket, and the name of the requested service. In addition, version 5 includes requested times and options for the ticket and a nonce—all with functions similar to those of message (1). The authenticator itself is essentially the same as the one used in version 4.

Message (4) has the same structure as message (2). It returns a ticket plus information needed by the client, with the information encrypted using the session key now shared by the client and the TGS.

Finally, for the **client/server authentication exchange**, several new features appear in version 5. In message (5), the client may request as an option that mutual authentication is required. The authenticator includes several new fields:

- **Subkey:** The client's choice for an encryption key to be used to protect this specific application session. If this field is omitted, the session key from the ticket ( $K_{c,v}$ ) is used.
- **Sequence number:** An optional field that specifies the starting sequence number to be used by the server for messages sent to the client during this session. Messages may be sequence numbered to detect replays.

If mutual authentication is required, the server responds with message (6). This message includes the timestamp from the authenticator. Note that in version 4, the timestamp was incremented by one. This is not necessary in version 5, because



the nature of the format of messages is such that it is not possible for an opponent to create message (6) without knowledge of the appropriate encryption keys. The subkey field, if present, overrides the subkey field, if present, in message (5). The optional sequence number field specifies the starting sequence number to be used by the client.

## 16.4 REMOTE USER-AUTHENTICATION USING ASYMMETRIC ENCRYPTION

### Mutual Authentication

In Chapter 15, we presented one approach to the use of public-key encryption for the purpose of session-key distribution (Figure 15.5). This protocol assumes that each of the two parties is in possession of the current public key of the other. It may not be practical to require this assumption.

A protocol using timestamps is provided in [DENN81]:

1.  $A \rightarrow AS: ID_A \parallel ID_B$
2.  $AS \rightarrow A: E(PR_{as}, [ID_A \parallel PU_a \parallel T]) \parallel E(PR_{as}, [ID_B \parallel PU_b \parallel T])$
3.  $A \rightarrow B: E(PR_{as}, [ID_A \parallel PU_a \parallel T]) \parallel E(PR_{as}, [ID_B \parallel PU_b \parallel T]) \parallel E(PU_b, E(PR_a, [K_s \parallel T]))$

In this case, the central system is referred to as an authentication server (AS), because it is not actually responsible for secret-key distribution. Rather, the AS provides public-key certificates. The session key is chosen and encrypted by A; hence, there is no risk of exposure by the AS. The timestamps protect against replays of compromised keys.

This protocol is compact but, as before, requires the synchronization of clocks. Another approach, proposed by Woo and Lam [WOO92a], makes use of nonces. The protocol consists of the following steps.

1.  $A \rightarrow KDC: ID_A \parallel ID_B$
2.  $KDC \rightarrow A: E(PR_{auth}, [ID_B \parallel PU_b])$
3.  $A \rightarrow B: E(PU_b, [N_a \parallel ID_A])$
4.  $B \rightarrow KDC: ID_A \parallel ID_B \parallel E(PU_{auth}, N_a)$
5.  $KDC \rightarrow B: E(PR_{auth}, [ID_A \parallel PU_a]) \parallel E(PU_b, E(PR_{auth}, [N_a \parallel K_s \parallel ID_B]))$
6.  $B \rightarrow A: E(PU_a, [E(PR_{auth}, [(N_a \parallel K_s \parallel ID_B))] \parallel N_b])$
7.  $A \rightarrow B: E(K_s, N_b)$

In step 1, A informs the KDC of its intention to establish a secure connection with B. The KDC returns to A a copy of B's public-key certificate (step 2). Using B's public key, A informs B of its desire to communicate and sends a nonce  $N_a$  (step 3). In step 4, B asks the KDC for A's public-key certificate and requests a session key; B includes A's nonce so that the KDC can stamp the session key with that nonce. The nonce is protected using the KDC's public key. In step 5, the KDC returns to B a copy of A's public-key certificate, plus the information  $\{N_a, K_s, ID_B\}$ . This

information basically says that  $K_s$  is a secret key generated by the KDC on behalf of B and tied to  $N_a$ ; the binding of  $K_s$  and  $N_a$  will assure A that  $K_s$  is fresh. This triple is encrypted using the KDC's private key to allow B to verify that the triple is in fact from the KDC. It is also encrypted using B's public key so that no other entity may use the triple in an attempt to establish a fraudulent connection with A. In step 6, the triple  $\{N_a, K_s, ID_B\}$ , still encrypted with the KDC's private key, is relayed to A, together with a nonce  $N_b$  generated by B. All the foregoing are encrypted using A's public key. A retrieves the session key  $K_s$ , uses it to encrypt  $N_b$ , and returns it to B. This last message assures B of A's knowledge of the session key.

This seems to be a secure protocol that takes into account the various attacks. However, the authors themselves spotted a flaw and submitted a revised version of the algorithm in [WOO92b]:

1.  $A \rightarrow KDC: ID_A \| ID_B$
2.  $KDC \rightarrow A: E(PR_{auth}, [ID_B \| PU_b])$
3.  $A \rightarrow B: E(PU_b, [N_a \| ID_A])$
4.  $B \rightarrow KDC: ID_A \| ID_B \| E(PU_{auth}, N_a)$
5.  $KDC \rightarrow B: E(PR_{auth}, [ID_A \| PU_a]) \| E(PU_b, E(PR_{auth}, [N_a \| K_s \| ID_A \| ID_B]))$
6.  $B \rightarrow A: E(PU_a, [N_b \| E(PR_{auth}, [N_a \| K_s \| ID_A \| ID_B])])$
7.  $A \rightarrow B: E(K_s, N_b)$

The identifier of A,  $ID_A$ , is added to the set of items encrypted with the KDC's private key in steps 5 and 6. This binds the session key  $K_s$  to the identities of the two parties that will be engaged in the session. This inclusion of  $ID_A$  accounts for the fact that the nonce value  $N_a$  is considered unique only among all nonces generated by A, not among all nonces generated by all parties. Thus, it is the pair  $\{ID_A, N_a\}$  that uniquely identifies the connection request of A.

In both this example and the protocols described earlier, protocols that appeared secure were revised after additional analysis. These examples highlight the difficulty of getting things right in the area of authentication.

### One-Way Authentication

One-way authentication involves a single transfer of information from one user (A) intended for another (B). In its simplest form, one way authentication would establish the identity of A, the identity of B, and establish that some sort of authentication token actually was generated by A and actually was intended to be sent to B. An email message is an example of an application that lends itself to one-way authentication. We have already presented public-key encryption approaches that are suited to electronic mail, including the straightforward encryption of the entire message for confidentiality (Figure 12.1b), authentication (Figure 12.1c), or both (Figure 12.1d). These approaches require that either the sender know the recipient's public key (confidentiality), the recipient know the sender's public key (authentication), or both (confidentiality plus authentication). In addition, the public-key algorithm must be applied once or twice to what may be a long message.

If confidentiality is the primary concern, then the following may be more efficient:

$$A \rightarrow B: E(PU_b, K_s) \| E(K_s, M)$$

In this case, the message is encrypted with a one-time secret key. A also encrypts this one-time key with B's public key. Only B will be able to use the corresponding private key to recover the one-time key and then use that key to decrypt the message. This scheme is more efficient than simply encrypting the entire message with B's public key.

If authentication is the primary concern, then a digital signature may suffice, as was illustrated in Figure 13.1:

$$A \rightarrow B: M \parallel E(PR_a, H(M))$$

This method guarantees that A cannot later deny having sent the message. However, this technique is open to another kind of fraud. Bob composes a message to his boss Alice that contains an idea that will save the company money. He appends his digital signature and sends it into the email system. Eventually, the message will get delivered to Alice's mailbox. But suppose that Max has heard of Bob's idea and gains access to the mail queue before delivery. He finds Bob's message, strips off his signature, appends his, and requeues the message to be delivered to Alice. Max gets credit for Bob's idea.

To counter such a scheme, both the message and signature can be encrypted with the recipient's public key:

$$A \rightarrow B: E(PU_b, [M \parallel E(PR_a, H(M))])$$

The latter two schemes require that B know A's public key and be convinced that it is timely. An effective way to provide this assurance is the digital certificate, described in Chapter 14. Now we have

$$A \rightarrow B: M \parallel E(PR_a, H(M)) \parallel E(PR_{as}, [T \parallel ID_A \parallel PU_a])$$

In addition to the message, A sends B the signature encrypted with A's private key and A's certificate encrypted with the private key of the authentication server. The recipient of the message first uses the certificate to obtain the sender's public key and verify that it is authentic and then uses the public key to verify the message itself. If confidentiality is required, then the entire message can be encrypted with B's public key. Alternatively, the entire message can be encrypted with a one-time secret key; the secret key is also transmitted, encrypted with B's public key. This approach is explored in Chapter 21.

## 16.5 FEDERATED IDENTITY MANAGEMENT

**Federated identity management** is a relatively new concept dealing with the use of a common identity management scheme across multiple enterprises and numerous applications and supporting many thousands, even millions, of users. We begin our overview with a discussion of the concept of identity management and then examine federated identity management.

### Identity Management

Identity management is a centralized, automated approach to provide enterprise-wide access to resources by employees and other authorized individuals. The focus of identity management is defining an identity for each user (human or process),

associating attributes with the identity, and enforcing a means by which a user can verify identity. The central concept of an identity management system is the use of single sign-on (SSO).

SSO enables a user to access all network resources after a single authentication.

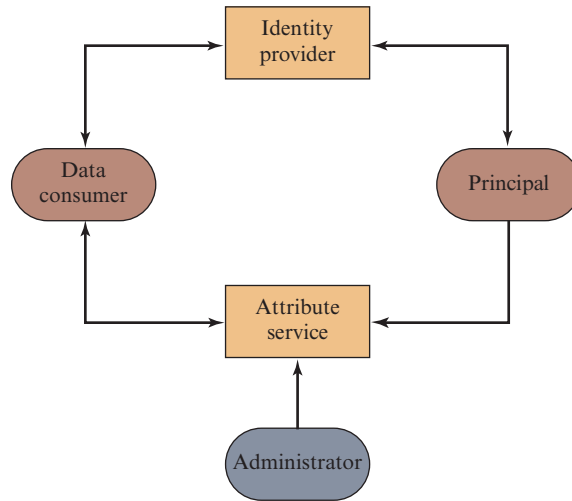
Typical services provided by a federated identity management system include the following:

- **Point of contact:** Includes authentication that a user corresponds to the user name provided, and management of user/server sessions.
- **SSO protocol services:** Provides a vendor-neutral security token service for supporting a single sign on to federated services.
- **Trust services:** Federation relationships require a trust relationship-based federation between business partners. A trust relationship is represented by the combination of the security tokens used to exchange information about a user, the cryptographic information used to protect these security tokens, and optionally the identity mapping rules applied to the information contained within this token.
- **Key services:** Management of keys and certificates.
- **Identity services:** Services that provide the interface to local data stores, including user registries and databases, for identity-related information management.
- **Authorization:** Granting access to specific services and/or resources based on the authentication.
- **Provisioning:** Includes creating an account in each target system for the user, enrollment or registration of user in accounts, establishment of access rights or credentials to ensure the privacy and integrity of account data.
- **Management:** Services related to runtime configuration and deployment.

Note that Kerberos contains a number of the elements of an identity management system.

Figure 16.6 illustrates entities and data flows in a generic identity management architecture. A **principal** is an identity holder. Typically, this is a human user that seeks access to resources and services on the network. User devices, agent processes, and server systems may also function as principals. Principals authenticate themselves to an **identity provider**. The identity provider associates authentication information with a principal, as well as attributes and one or more identifiers.

Increasingly, digital identities incorporate attributes other than simply an identifier and authentication information (such as passwords and biometric information). An **attribute service** manages the creation and maintenance of such attributes. For example, a user needs to provide a shipping address each time an order is placed at a new Web merchant, and this information needs to be revised when the user moves. Identity management enables the user to provide this information once, so that it is maintained in a single place and released to data consumers in accordance with authorization and privacy policies. Users may create some of the attributes to be associated with their digital identity, such as an address. **Administrators** may also assign attributes to users, such as roles, access permissions, and employee information.



**Figure 16.6** Generic Identity Management Architecture

**Data consumers** are entities that obtain and employ data maintained and provided by identity and attribute providers, which are often used to support authorization decisions and to collect audit information. For example, a database server or file server is a data consumer that needs a client's credentials so as to know what access to provide to that client.

### Identity Federation

Identity federation is, in essence, an extension of identity management to multiple security domains. Such domains include autonomous internal business units, external business partners, and other third-party applications and services. The goal is to provide the sharing of digital identities so that a user can be authenticated a single time and then access applications and resources across multiple domains. Because these domains are relatively autonomous or independent, no centralized control is possible. Rather, the cooperating organizations must form a federation based on agreed standards and mutual levels of trust to securely share digital identities.

Federated identity management refers to the agreements, standards, and technologies that enable the portability of identities, identity attributes, and entitlements across multiple enterprises and numerous applications and supporting many thousands, even millions, of users. When multiple organizations implement interoperable federated identity schemes, an employee in one organization can use a single sign-on to access services across the federation with trust relationships associated with the identity. For example, an employee may log onto her corporate intranet and be authenticated to perform authorized functions and access authorized services on that intranet. The employee could then access their health benefits from an outside health-care provider without having to reauthenticate.

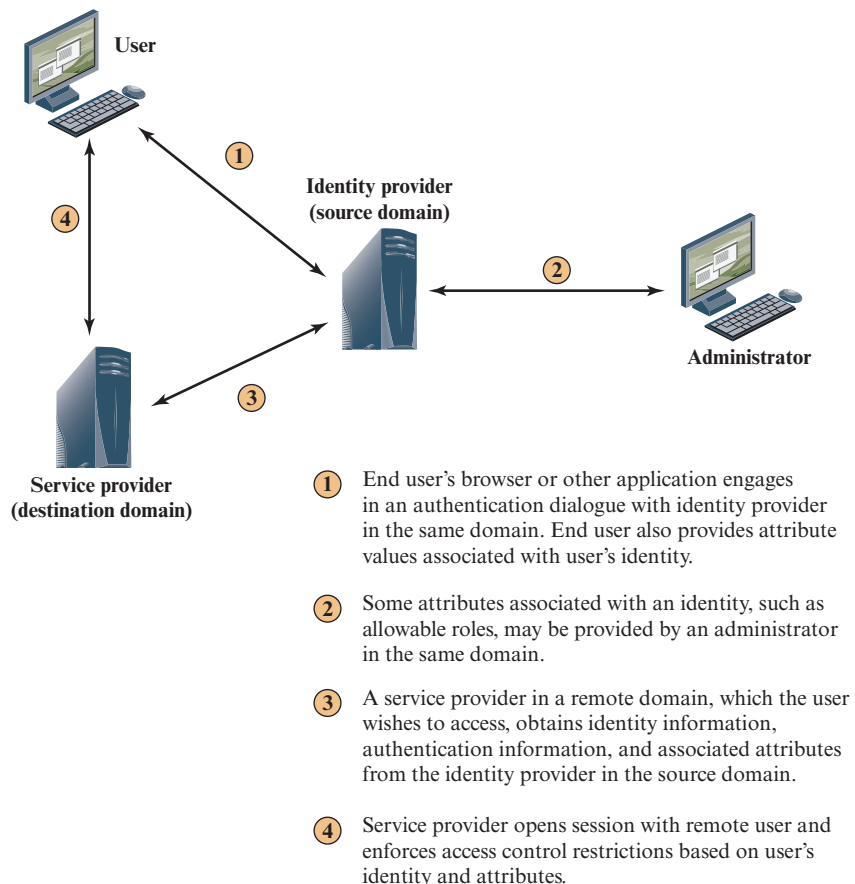
Beyond SSO, federated identity management provides other capabilities. One is a standardized means of representing attributes. Increasingly, digital identities

incorporate attributes other than simply an identifier and authentication information (such as passwords and biometric information). Examples of attributes include account numbers, organizational roles, physical location, and file ownership. A user may have multiple identifiers; for example, each identifier may be associated with a unique role with its own access permissions.

Another key function of federated identity management is identity mapping. Different security domains may represent identities and attributes differently. Further, the amount of information associated with an individual in one domain may be more than is necessary in another domain. The federated identity management protocols map identities and attributes of a user in one domain to the requirements of another domain.

Figure 16.7 illustrates entities and data flows in a generic federated identity management architecture.

The identity provider acquires attribute information through dialogue and protocol exchanges with users and administrators. For example, a user needs to provide a shipping address each time an order is placed at a new Web merchant, and this



**Figure 16.7** Federated Identity Operation

information needs to be revised when the user moves. Identity management enables the user to provide this information once, so that it is maintained in a single place and released to data consumers in accordance with authorization and privacy policies.

Service providers are entities that obtain and employ data maintained and provided by identity providers, often to support authorization decisions and to collect audit information. For example, a database server or file server is a data consumer that needs a client's credentials so as to know what access to provide to that client. A service provider can be in the same domain as the user and the identity provider. The power of this approach is for federated identity management, in which the service provider is in a different domain (e.g., a vendor or supplier network).

## 16.6 KEY TERMS, REVIEW QUESTIONS, AND PROBLEMS

### Key Terms

authentication authentication server	federated identity management Kerberos	nonce replay attack timestamp
---	--	-------------------------------------

### Review Questions

- 16.1 Give examples of replay attacks.
- 16.2 List three general approaches to dealing with replay attacks.
- 16.3 What is a suppress-replay attack?
- 16.4 What problem was Kerberos designed to address?
- 16.5 In Kerberos, what is the purpose of the centralized authentication server?
- 16.6 Which approach to secure user authentication in a distributed environment does Kerberos support?
- 16.7 What four requirements were defined for Kerberos?
- 16.8 What entities constitute a full-service Kerberos environment?
- 16.9 In the context of Kerberos, explain the concept of realm.
- 16.10 What are the principal differences between version 4 and version 5 of Kerberos?

### Problems

- 16.1 In Section 16.4, we outlined the public-key scheme proposed in [WOO92a] for the distribution of secret keys. The revised version includes  $ID_A$  in steps 5 and 6. What attack, specifically, is countered by this revision?
- 16.2 The protocol referred to in Problem 16.1 can be reduced from seven steps to five, having the following sequence:
  - a.  $A \rightarrow B$ :
  - b.  $A \rightarrow KDC$ :
  - c.  $KDC \rightarrow B$ :
  - d.  $B \rightarrow A$ :
  - e.  $A \rightarrow B$ :

Show the message transmitted at each step. *Hint:* The final message in this protocol is the same as the final message in the original protocol.

- 16.3** Explain why replacing the timestamp by a nonce in the protocol proposed by Denning, and described in Section 16.2, does not offer protection against suppress-replay attacks.
- 16.4** There are three typical ways to use nonces as challenges. Suppose  $N_a$  is a nonce generated by A, A and B share key K, and  $f()$  is a function (such as an increment). The three usages are

Usage 1	Usage 2	Usage 3
(1) $A \rightarrow B: N_a$	(1) $A \rightarrow B: E(K, N_a)$	(1) $A \rightarrow B: E(K, N_a)$
(2) $B \rightarrow A: E(K, N_a)$	(2) $B \rightarrow A: N_a$	(2) $B \rightarrow A: E(K, f(N_a))$

Describe situations for which each usage is appropriate.

- 16.5** In addition to providing a standard for public-key certificate formats, X.509 specifies an authentication protocol. The original version of X.509 contains a security flaw. The essence of the protocol is as follows.

$$\begin{aligned}
 A &\rightarrow B: A \{t_A, r_A, ID_B\} \\
 B &\rightarrow A: B \{t_B, r_B, ID_A, r_A\} \\
 A &\rightarrow B: A \{r_B\}
 \end{aligned}$$

where  $t_A$  and  $t_B$  are timestamps,  $r_A$  and  $r_B$  are nonces and the notation  $X\{Y\}$  indicates that the message Y is transmitted, encrypted, and signed by X.

The text of X.509 states that checking timestamps  $t_A$  and  $t_B$  is optional for three-way authentication. But consider the following example: Suppose A and B have used the preceding protocol on some previous occasion, and that opponent C has intercepted the preceding three messages. In addition, suppose that timestamps are not used and are all set to 0. Finally, suppose C wishes to impersonate A to B. C initially sends the first captured message to B:

$$C \rightarrow B: A \{0, r_A, ID_B\}$$

B responds, thinking it is talking to A but is actually talking to C:

$$B \rightarrow C: B \{0, r'_B, ID_A, r_A\}$$

C meanwhile causes A to initiate authentication with C by some means. As a result, A sends C the following:

$$A \rightarrow C: A \{0, r'_A, ID_C\}$$

C responds to A using the same nonce provided to C by B:

$$C \rightarrow A: C \{0, r'_B, ID_A, r'_A\}$$

A responds with

$$A \rightarrow C: A \{r'_B\}$$