

# MODULE-5

## 5.1 I/O Systems

### 5.1.1 Overview

- Management of I/O devices is a very important part of the operating system - so important and so varied that entire I/O subsystems are devoted to its operation. ( Consider the range of devices on a modern computer, from mice, keyboards, disk drives, display adapters, USB devices, network connections, audio I/O, printers, special devices for the handicapped, and many special-purpose peripherals. )
- I/O Subsystems must contend with two ( conflicting? ) trends: (1) The gravitation towards standard interfaces for a wide range of devices, making it easier to add newly developed devices to existing systems, and (2) the development of entirely new types of devices, for which the existing standard interfaces are not always easy to apply.
- **Device drivers** are modules that can be plugged into an OS to handle a particular device or category of similar devices.

### 5.1.2 I/O Hardware

- I/O devices can be roughly categorized as storage, communications, user-interface, and other
- Devices communicate with the computer via signals sent over wires or through the air.
- Devices connect with the computer via **ports**, e.g. a serial or parallel port.
- A common set of wires connecting multiple devices is termed a **bus**.
  - Buses include rigid protocols for the types of messages that can be sent across the bus and the procedures for resolving contention issues.
  - Figure 13.1 below illustrates three of the four bus types commonly found in a modern PC:
    1. The **PCI bus** connects high-speed high-bandwidth devices to the memory subsystem ( and the CPU. )
    2. The **expansion bus** connects slower low-bandwidth devices, which typically deliver data one character at a time ( with buffering. )
    3. The **SCSI bus** connects a number of SCSI devices to a common SCSI controller.
    4. A **daisy-chain bus**, ( not shown) is when a string of devices is connected to each other like beads on a chain, and only one of the devices is directly connected to the host.

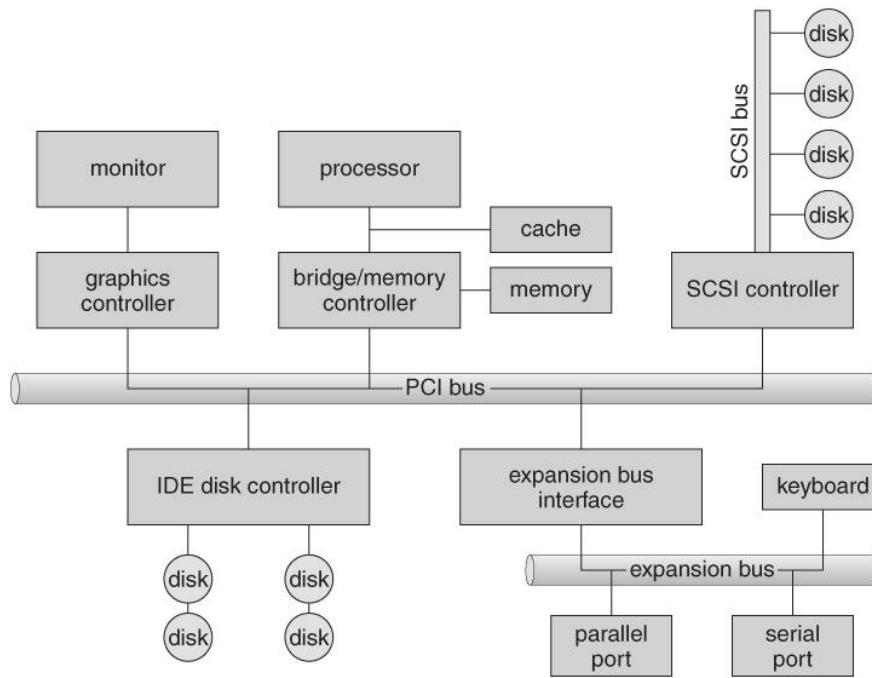


Fig: A Typical PCI Bus Structure

- One way of communicating with devices is through **registers** associated with each port. Registers may be one to four bytes in size, and may typically include ( a subset of ) the following four:
  1. The **data-in register** is read by the host to get input from the device.
  2. The **data-out register** is written by the host to send output.
  3. The **status register** has bits read by the host to ascertain the status of the device, such as idle, ready for input, busy, error, transaction complete, etc.
  4. The **control register** has bits written by the host to issue commands or to change settings of the device such as parity checking, word length, or full- versus half-duplex operation.
- Above Figure shows some of the most common I/O port address ranges.

I/O address range (hexadecimal)	device
000–00F	DMA controller
020–021	interrupt controller
040–043	timer
200–20F	game controller
2F8–2FF	serial port (secondary)
320–32F	hard-disk controller
378–37F	parallel port
3D0–3DF	graphics controller
3F0–3F7	diskette-drive controller
3F8–3FF	serial port (primary)

- Another technique for communicating with devices is ***memory-mapped I/O***.
  - In this case a certain portion of the processor's address space is mapped to the device, and communications occur by reading and writing directly to/from those memory areas.
  - Memory-mapped I/O is suitable for devices which must move large quantities of data quickly, such as graphics cards.
  - Memory-mapped I/O can be used either instead of or more often in combination with traditional registers. For example, graphics cards still use registers for control information such as setting the video mode.
  - A potential problem exists with memory-mapped I/O, if a process is allowed to write directly to the address space used by a memory-mapped I/O device.
  - ( Note: Memory-mapped I/O is not the same thing as direct memory access, DMA. See section 13.2.3 below. )

### 5.1.2.1 Polling

- One simple means of device ***handshaking*** involves polling:
  1. The host repeatedly checks the ***busy bit*** on the device until it becomes clear.
  2. The host writes a byte of data into the data-out register, and sets the ***write bit*** in the command register ( in either order. )
  3. The host sets the ***command ready bit*** in the command register to notify the device of the pending command.
  4. When the device controller sees the command-ready bit set, it first sets the busy bit.
  5. Then the device controller reads the command register, sees the write bit set, reads the byte of data from the data-out register, and outputs the byte of data.
  6. The device controller then clears the ***error bit*** in the status register, the command-ready bit, and finally clears the busy bit, signaling the completion of the operation.
- Polling can be very fast and efficient, if both the device and the controller are fast and if there is significant data to transfer. It becomes inefficient, however, if the host must wait a long time in the busy loop waiting for the device, or if frequent checks need to be made for data that is infrequently there.

### 5.1.2.2 Interrupts

- Interrupts allow devices to notify the CPU when they have data to transfer or when an operation is complete, allowing the CPU to perform other duties when no I/O transfers need its immediate attention.
- The CPU has an ***interrupt-request line*** that is sensed after every instruction.
  - A device's controller ***raises*** an interrupt by asserting a signal on the interrupt request line.
  - The CPU then performs a state save, and transfers control to the ***interrupt handler*** routine at a fixed address in memory. ( The CPU ***catches*** the interrupt and ***dispatches*** the interrupt handler. )
  - The interrupt handler determines the cause of the interrupt, performs the necessary processing, performs a state restore, and executes

- a **return from interrupt** instruction to return control to the CPU. ( The interrupt handler **clears** the interrupt by servicing the device. )
  - ( Note that the state restored does not need to be the same state as the one that was saved when the interrupt went off. See below for an example involving time-slicing. )
- Below Figure illustrates the interrupt-driven I/O procedure:

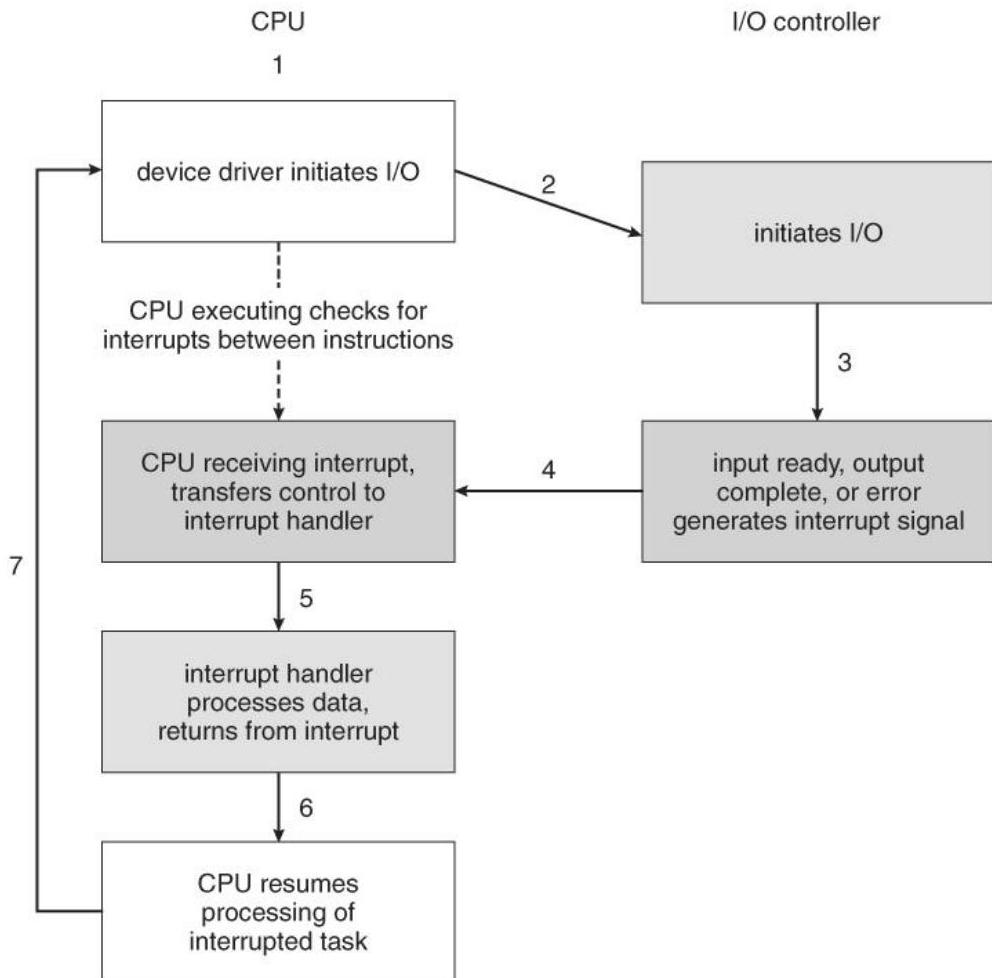


Fig: Interrupt Driven I/O Cycle

- The above description is adequate for simple interrupt-driven I/O, but there are three needs in modern computing which complicate the picture:
  - The need to defer interrupt handling during critical processing,
  - The need to determine which interrupt handler to invoke, without having to poll all devices to see which one needs attention, and

3. The need for multi-level interrupts, so the system can differentiate between high- and low-priority interrupts for proper response.
- These issues are handled in modern computer architectures with interrupt-controller hardware.
  - Most CPUs now have two interrupt-request lines: One that is non-maskable for critical error conditions and one that is maskable, that the CPU can temporarily ignore during critical processing.
  - The interrupt mechanism accepts an address, which is usually one of a small set of numbers for an offset into a table called the interrupt vector. This table ( usually located at physical address zero ? ) holds the addresses of routines prepared to process specific interrupts.
  - The number of possible interrupt handlers still exceeds the range of defined interrupt numbers, so multiple handlers can be interrupt chained. Effectively the addresses held in the interrupt vectors are the head pointers for linked-lists of interrupt handlers.
  - Figure below shows the Intel Pentium interrupt vector. Interrupts 0 to 31 are non-maskable and reserved for serious hardware and other errors. Maskable interrupts, including normal device I/O interrupts begin at interrupt 32.
  - Modern interrupt hardware also supports interrupt priority levels, allowing systems to mask off only lower-priority interrupts while servicing a high-priority interrupt, or conversely to allow a high-priority signal to interrupt the processing of a low-priority one.

vector number	description
0	divide error
1	debug exception
2	null interrupt
3	breakpoint
4	INTO-detected overflow
5	bound range exception
6	invalid opcode
7	device not available
8	double fault
9	coprocessor segment overrun (reserved)
10	invalid task state segment
11	segment not present
12	stack fault
13	general protection
14	page fault
15	(Intel reserved, do not use)
16	floating-point error
17	alignment check
18	machine check
19–31	(Intel reserved, do not use)
32–255	maskable interrupts

- At boot time the system determines which devices are present, and loads the appropriate handler addresses into the interrupt table.
  - During operation, devices signal errors or the completion of commands via interrupts.
  - Exceptions, such as dividing by zero, invalid memory accesses, or attempts to access kernel mode instructions can be signaled via interrupts.
  - Time slicing and context switches can also be implemented using the interrupt mechanism.
    - The scheduler sets a hardware timer before transferring control over to a user process.
    - When the timer raises the interrupt request line, the CPU performs a state-save, and transfers control over to the proper interrupt handler, which in turn runs the scheduler.
    - The scheduler does a state-restore of a different process before resetting the timer and issuing the return-from-interrupt instruction.
  - A similar example involves the paging system for virtual memory - A page fault causes an interrupt, which in turn issues an I/O request and a context switch as described above, moving the interrupted process into the wait queue and selecting a different process to run. When the I/O request has completed ( i.e. when the requested page has been loaded up into physical memory ), then the device interrupts, and the interrupt handler moves the process from the wait queue into the ready queue, ( or depending on scheduling algorithms and policies, may go ahead and context switch it back onto the CPU. )
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- System calls are implemented via software interrupts, a.k.a. traps. When a ( library ) program needs work performed in kernel mode, it sets command information and possibly data addresses in certain registers, and then raises a software interrupt. ( E.g. 21 hex in DOS. ) The system does a state save and then calls on the proper interrupt handler to process the request in kernel mode. Software interrupts generally have low priority, as they are not as urgent as devices with limited buffering space.
  - Interrupts are also used to control kernel operations, and to schedule activities for optimal performance. For example, the completion of a disk read operation involves two interrupts:
    - A high-priority interrupt acknowledges the device completion, and issues the next disk request so that the hardware does not sit idle.
    - A lower-priority interrupt transfers the data from the kernel memory space to the user space, and then transfers the process from the waiting queue to the ready queue.

- The Solaris OS uses a multi-threaded kernel and priority threads to assign different threads to different interrupt handlers. This allows for the "simultaneous" handling of multiple interrupts, and the assurance that high-priority interrupts will take precedence over low-priority ones and over user processes.

### 5.1.2.3 Direct Memory Access

- For devices that transfer large quantities of data ( such as disk controllers ), it is wasteful to tie up the CPU transferring data in and out of registers one byte at a time.
- Instead this work can be off-loaded to a special processor, known as the Direct Memory Access, DMA, Controller.
- The host issues a command to the DMA controller, indicating the location where the data is located, the location where the data is to be transferred to, and the number of bytes of data to transfer. The DMA controller handles the data transfer, and then interrupts the CPU when the transfer is complete.
- A simple DMA controller is a standard component in modern PCs, and many bus-mastering I/O cards contain their own DMA hardware.
- Handshaking between DMA controllers and their devices is accomplished through two wires called the DMA-request and DMA-acknowledge wires.
- While the DMA transfer is going on the CPU does not have access to the PCI bus ( including main memory ), but it does have access to its internal registers and primary and secondary caches.
- DMA can be done in terms of either physical addresses or virtual addresses that are mapped to physical addresses. The latter approach is known as Direct Virtual Memory Access, DVMA, and allows direct data transfer from one memory-mapped device to another without using the main memory chips.
- Direct DMA access by user processes can speed up operations, but is generally forbidden by modern systems for security and protection reasons. ( I.e. DMA is a kernel-mode operation. )
- Figure below illustrates the DMA process.

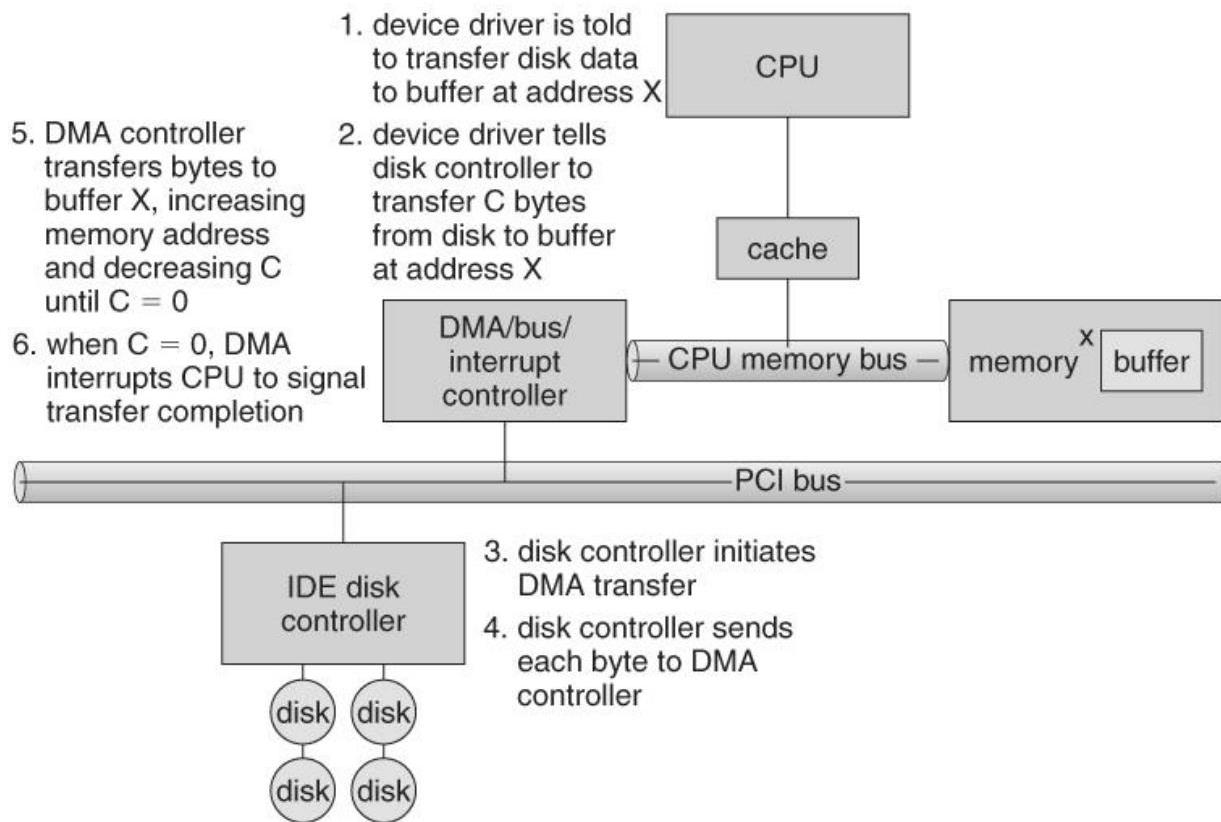
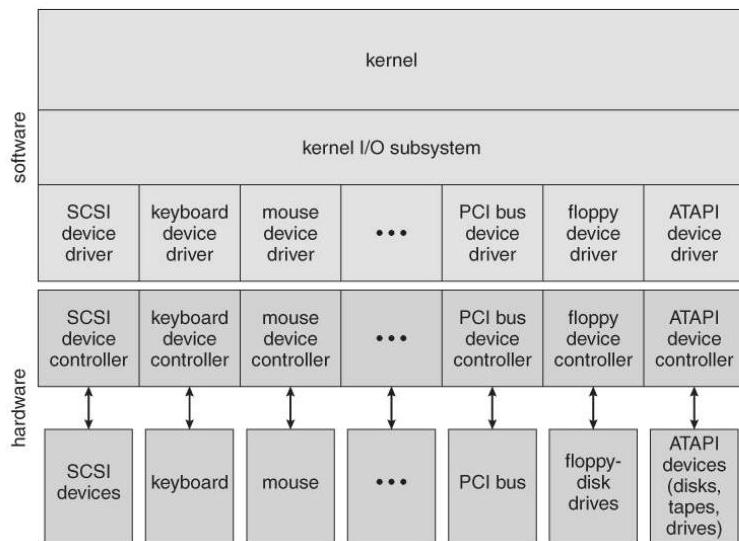


Fig: Steps in a DMA Transfer

### 5.3 Application I/O Interface

- User application access to a wide variety of different devices is accomplished through layering, and through encapsulating all of the device-specific code into **device drivers**, while application layers are presented with a common interface for all ( or at least large general categories of ) devices.



- Devices differ on many different dimensions, as outlined in Figure below:

aspect	variation	example
data-transfer mode	character block	terminal disk
access method	sequential random	modem CD-ROM
transfer schedule	synchronous asynchronous	tape keyboard
sharing	dedicated sharable	tape keyboard
device speed	latency seek time transfer rate delay between operations	
I/O direction	read only write only read-write	CD-ROM graphics controller disk

Fig: Characteristics of I/O devices

- Most devices can be characterized as either block I/O, character I/O, memory mapped file access, or network sockets. A few devices are special, such as time-of-day clock and the system timer.
- Most OSes also have an *escape*, or *back door*, which allows applications to send commands directly to device drivers if needed. In UNIX this is the *ioctl( )* system call ( I/O Control ). Ioctl( ) takes three arguments - The file descriptor for the device driver being accessed, an integer indicating the desired function to be performed, and an address used for communicating or transferring additional information.

#### 5.1.3.1 Block and Character Devices

- **Block devices** are accessed a block at a time, and are indicated by a "b" as the first character in a long listing on UNIX systems. Operations supported include read( ), write( ), and seek( ).
  - Accessing blocks on a hard drive directly ( without going through the file system structure ) is called *raw I/O*, and can speed up certain operations by bypassing the buffering and locking normally conducted by the OS. ( It then becomes the application's responsibility to manage those issues. )
  - A new alternative is *direct I/O*, which uses the normal file system access, but which disables buffering and locking operations.
- Memory-mapped file I/O can be layered on top of block-device drivers.
  - Rather than reading in the entire file, it is mapped to a range of memory addresses, and then paged into memory as needed using the virtual memory system.
  - Access to the file is then accomplished through normal memory accesses, rather than through read( ) and write( ) system calls. This approach is commonly used for executable program code.

- **Character devices** are accessed one byte at a time, and are indicated by a "c" in UNIX long listings. Supported operations include get( ) and put( ), with more advanced functionality such as reading an entire line supported by higher-level library routines.

#### **5.1.3.2 Network Devices**

- Because network access is inherently different from local disk access, most systems provide a separate interface for network devices.
- One common and popular interface is the **socket** interface, which acts like a cable or pipeline connecting two networked entities. Data can be put into the socket at one end, and read out sequentially at the other end. Sockets are normally full-duplex, allowing for bi-directional data transfer.
- The select( ) system call allows servers ( or other applications ) to identify sockets which have data waiting, without having to poll all available sockets.

#### **5.1.3.3 Clocks and Timers**

- Three types of time services are commonly needed in modern systems:
  - Get the current time of day.
  - Get the elapsed time ( system or wall clock ) since a previous event.
  - Set a timer to trigger event X at time T.
- Unfortunately time operations are not standard across all systems.
- A **programmable interrupt timer, PIT** can be used to trigger operations and to measure elapsed time. It can be set to trigger an interrupt at a specific future time, or to trigger interrupts periodically on a regular basis.
  - The scheduler uses a PIT to trigger interrupts for ending time slices.
  - The disk system may use a PIT to schedule periodic maintenance cleanup, such as flushing buffers to disk.
  - Networks use PIT to abort or repeat operations that are taking too long to complete. I.e. resending packets if an acknowledgement is not received before the timer goes off.
  - More timers than actually exist can be simulated by maintaining an ordered list of timer events, and setting the physical timer to go off when the next scheduled event should occur.
- On most systems the system clock is implemented by counting interrupts generated by the PIT. Unfortunately this is limited in its resolution to the interrupt frequency of the PIT, and may be subject to some drift over time. An alternate approach is to provide direct access to a high frequency hardware counter, which provides much higher resolution and accuracy, but which does not support interrupts.

#### **5.1.3.4 Blocking and Non-blocking I/O**

- With **blocking I/O** a process is moved to the wait queue when an I/O request is made, and moved back to the ready queue when the request completes, allowing other processes to run in the meantime.
- With **non-blocking I/O** the I/O request returns immediately, whether the requested I/O operation has ( completely ) occurred or not. This allows the process to check for available data without getting hung completely if it is not there.

- One approach for programmers to implement non-blocking I/O is to have a multi-threaded application, in which one thread makes blocking I/O calls ( say to read a keyboard or mouse ), while other threads continue to update the screen or perform other tasks.
- A subtle variation of the non-blocking I/O is the ***asynchronous I/O***, in which the I/O request returns immediately allowing the process to continue on with other tasks, and then the process is notified ( via changing a process variable, or a software interrupt, or a callback function ) when the I/O operation has completed and the data is available for use. ( The regular non-blocking I/O returns immediately with whatever results are available, but does not complete the operation and notify the process later. )

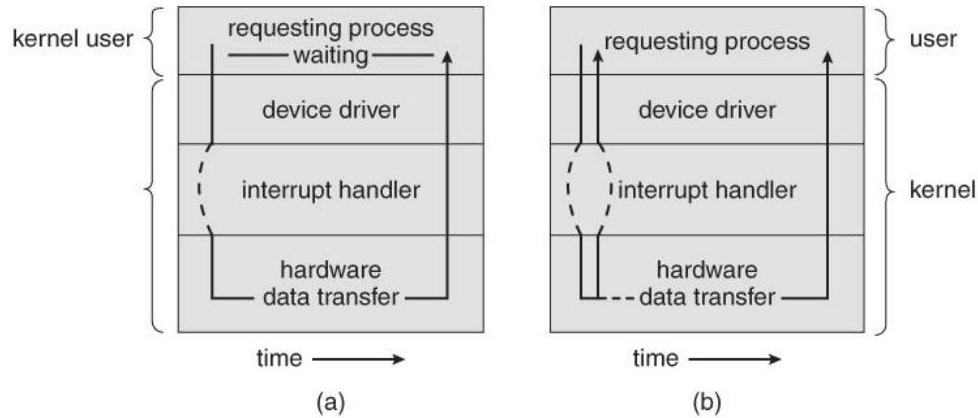
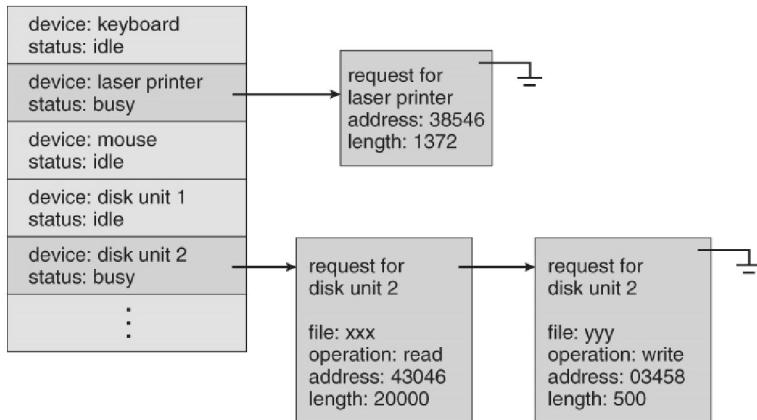


Fig: Two I/O methods: (a) synchronous and (b) asynchronous.

### 5.1.4 Kernel I/O Subsystem

#### 5.1.4.1 I/O Scheduling

- Scheduling I/O requests can greatly improve overall efficiency. Priorities can also play a part in request scheduling.
- The classic example is the scheduling of disk accesses, as discussed in detail in chapter 12.
- Buffering and caching can also help, and can allow for more flexible scheduling options.
- On systems with many devices, separate request queues are often kept for each device:



### 5.1.4.2

## Buffering

- Buffering of I/O is performed for ( at least ) 3 major reasons:
  1. Speed differences between two devices. ( See Figure 13.10 below. ) A slow device may write data into a buffer, and when the buffer is full, the entire buffer is sent to the fast device all at once. So that the slow device still has somewhere to write while this is going on, a second buffer is used, and the two buffers alternate as each becomes full. This is known as double buffering. ( Double buffering is often used in ( animated ) graphics, so that one screen image can be generated in a buffer while the other ( completed ) buffer is displayed on the screen. This prevents the user from ever seeing any half-finished screen images. )
  2. Data transfer size differences. Buffers are used in particular in networking systems to break messages up into smaller packets for transfer, and then for re-assembly at the receiving side.
  3. To support copy semantics. For example, when an application makes a request for a disk write, the data is copied from the user's memory area into a kernel buffer. Now the application can change their copy of the data, but the data which eventually gets written

out to disk is the version of the data at the time the write request was made.

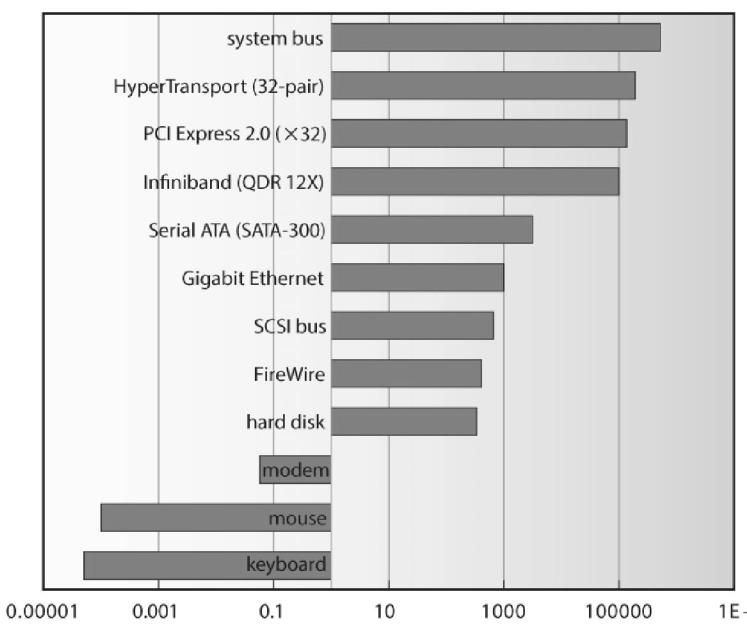


Fig: Sun Enterprise 6000 device-transfer rates ( logarithmic )

#### 5.1.4.3 Caching

- Caching involves keeping a copy of data in a faster-access location than where the data is normally stored.
- Buffering and caching are very similar, except that a buffer may hold the only copy of a given data item, whereas a cache is just a duplicate copy of some other data stored elsewhere.
- Buffering and caching go hand-in-hand, and often the same storage space may be used for both purposes. For example, after a buffer is written to disk, then the copy in memory can be used as a cached copy, (until that buffer is needed for other purposes. )

#### 5.1.4.4 Spooling and Device Reservation

- A spool ( Simultaneous Peripheral Operations On-Line ) buffers data for ( peripheral ) devices such as printers that cannot support interleaved data streams.
- If multiple processes want to print at the same time, they each send their print data to files stored in the spool directory. When each file is closed, then the application sees that print job as complete, and the print scheduler sends each file to the appropriate printer one at a time.
- Support is provided for viewing the spool queues, removing jobs from the queues, moving jobs from one queue to another queue, and in some cases changing the priorities of jobs in the queues.
- Spool queues can be general ( any laser printer ) or specific ( printer number 42. )

- OSes can also provide support for processes to request / get exclusive access to a particular device, and/or to wait until a device becomes available.

#### **5.1.4.5 Error Handling**

- I/O requests can fail for many reasons, either transient ( buffers overflow ) or permanent ( disk crash ).
- I/O requests usually return an error bit ( or more ) indicating the problem. UNIX systems also set the global variable errno to one of a hundred or so well-defined values to indicate the specific error that has occurred. ( See errno.h for a complete listing, or man errno. )
- Some devices, such as SCSI devices, are capable of providing much more detailed information about errors, and even keep an on-board error log that can be requested by the host.

#### **5.1.4.6 I/O Protection**

- The I/O system must protect against either accidental or deliberate erroneous I/O.
- User applications are not allowed to perform I/O in user mode - All I/O requests are handled through system calls that must be performed in kernel mode.
- Memory mapped areas and I/O ports must be protected by the memory management system, but access to these areas cannot be totally denied to user programs. ( Video games and some other applications need to be able to write directly to video memory for optimal performance for example. ) Instead the memory protection system restricts access so that only one process at a time can access particular parts of memory, such as the portion of the screen memory corresponding to a particular window.

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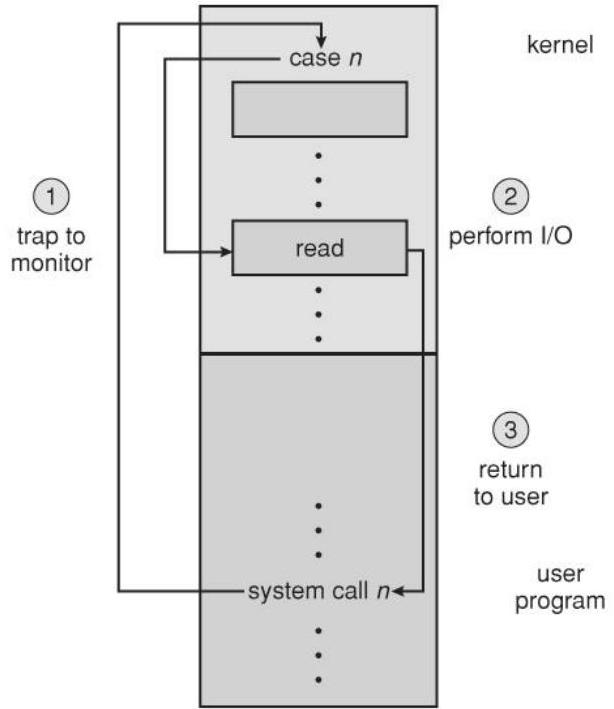
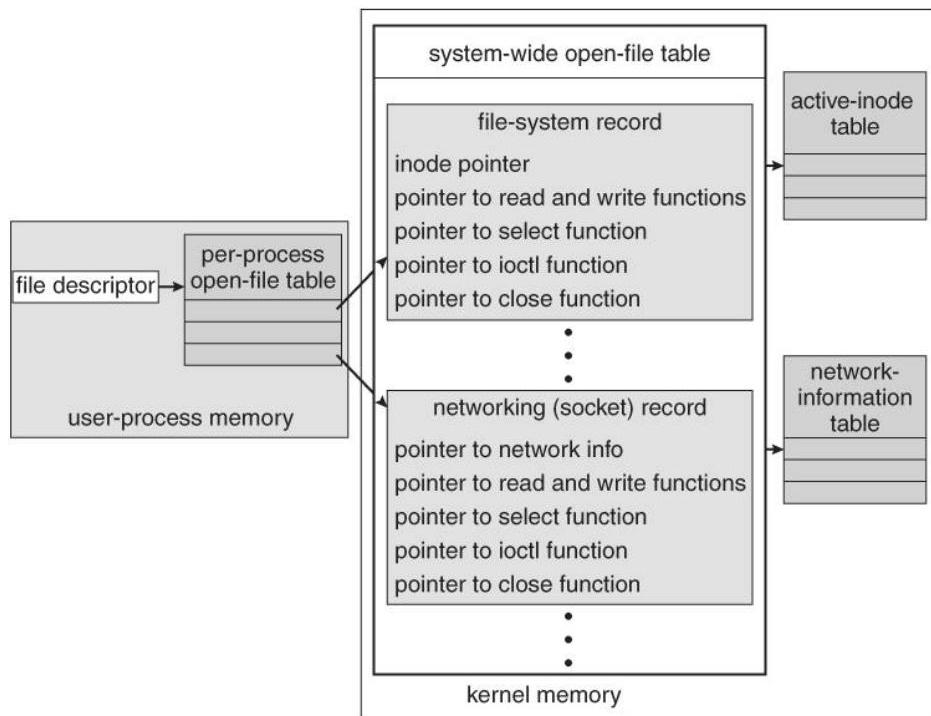


Fig: Use of a system call to perform I/O.

#### 5.1.4.7 Kernel Data Structures

- The kernel maintains a number of important data structures pertaining to the I/O system, such as the open file table.
- These structures are object-oriented, and flexible to allow access to a wide variety of I/O devices through a common interface. ( See Figure below. )
- Windows NT carries the object-orientation one step further, implementing I/O as a message-passing system from the source through various intermediaries to the device.

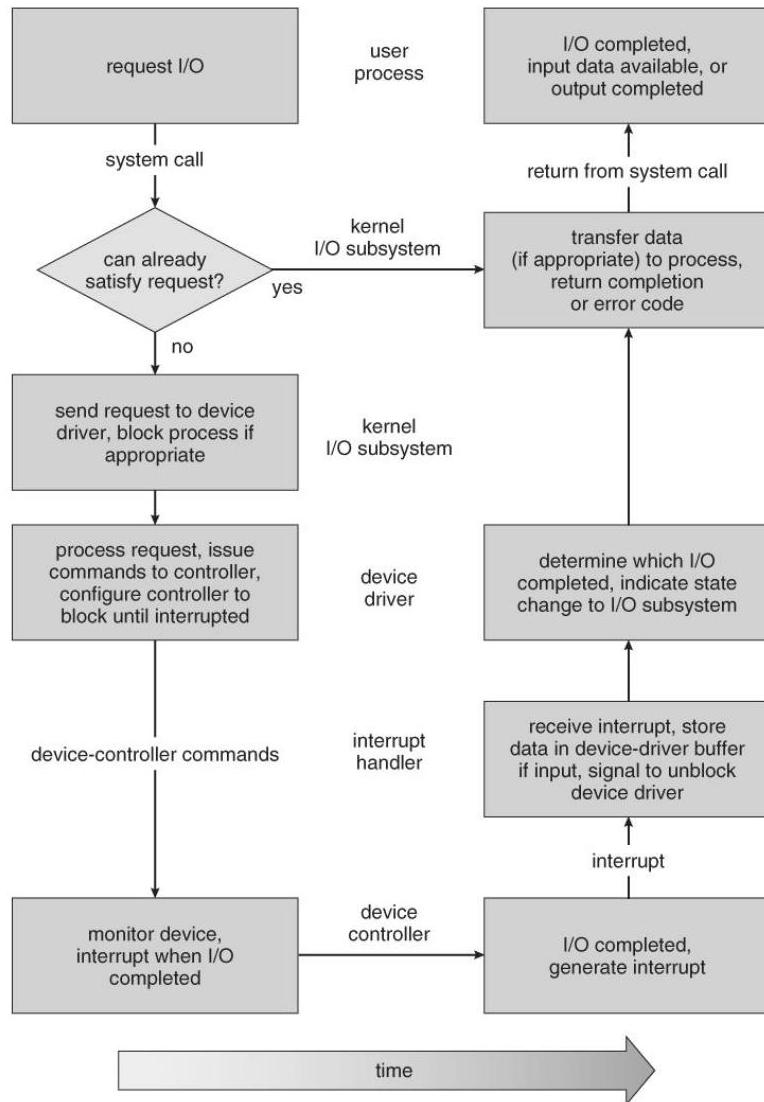


**Figure 13.12 - UNIX I/O kernel structure.**

#### 5.1.4.6 Kernel I/O Subsystem Summary

#### 5.1.5 Transforming I/O Requests to Hardware Operations

- Users request data using file names, which must ultimately be mapped to specific blocks of data from a specific device managed by a specific device driver.
- DOS uses the colon separator to specify a particular device ( e.g. C:, LPT:, etc. )
- UNIX uses a **mount table** to map filename prefixes ( e.g. /usr ) to specific mounted devices. Where multiple entries in the mount table match different prefixes of the filename the one that matches the longest prefix is chosen. ( e.g. /usr/home instead of /usr where both exist in the mount table and both match the desired file. )
- UNIX uses special **device files**, usually located in /dev, to represent and access physical devices directly.
  - Each device file has a major and minor number associated with it, stored and displayed where the file size would normally go.
  - The major number is an index into a table of device drivers, and indicates which device driver handles this device. ( E.g. the disk drive handler. )
  - The minor number is a parameter passed to the device driver, and indicates which specific device is to be accessed, out of the many which may be handled by a particular device driver. ( e.g. a particular disk drive or partition. )
- A series of lookup tables and mappings makes the access of different devices flexible, and somewhat transparent to users.
- Figure 13.13 illustrates the steps taken to process a ( blocking ) read request:

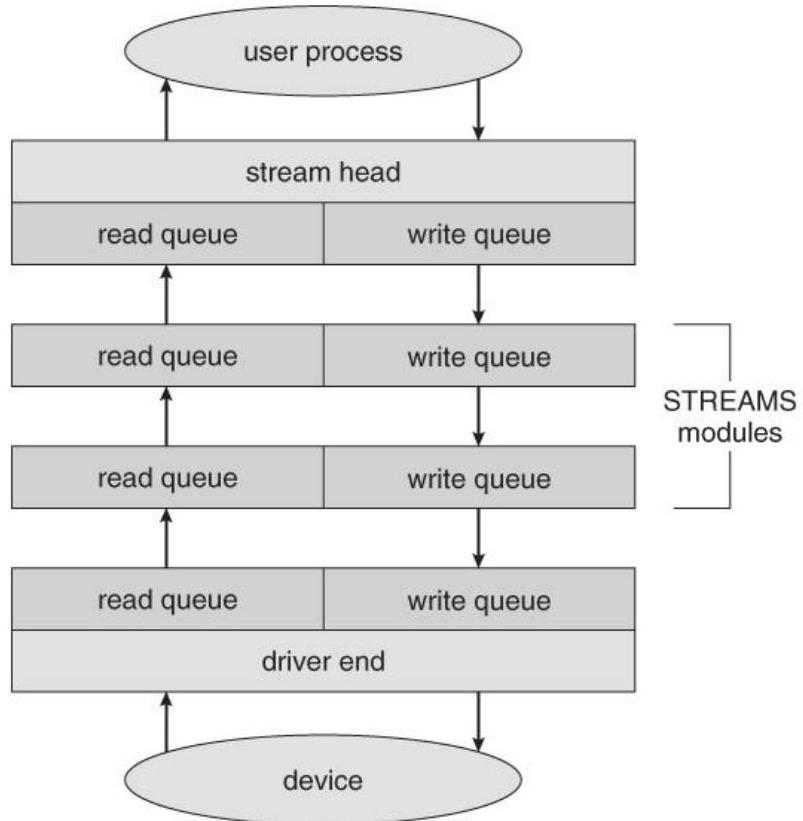


**Fig: The life cycle of an I/O request.**

### 5.1.6 STREAMS ( Optional )

- The **streams** mechanism in UNIX provides a bi-directional pipeline between a user process and a device driver, onto which additional modules can be added.
- The user process interacts with the **stream head**.
- The device driver interacts with the **device end**.
- Zero or more **stream modules** can be pushed onto the stream, using ioctl( ). These modules may filter and/or modify the data as it passes through the stream.
- Each module has a **read queue** and a **write queue**.
- Flow control** can be optionally supported, in which case each module will buffer data until the adjacent module is ready to receive it. Without flow control, data is passed along as soon as it is ready.
- User processes communicate with the stream head using either read( ) and write( ) ( or putmsg( ) and getmsg( ) for message passing. )
- Streams I/O is asynchronous ( non-blocking ), except for the interface between the user process and the stream head.

- The device driver **must** respond to interrupts from its device - If the adjacent module is not prepared to accept data and the device driver's buffers are all full, then data is typically dropped.
  - Streams are widely used in UNIX, and are the preferred approach for device drivers. For example, UNIX implements sockets using streams.



**Figure 13.14 - The SREAMS structure.**

### **5.1.7 Performance ( Optional )**

- The I/O system is a major factor in overall system performance, and can place heavy loads on other major components of the system ( interrupt handling, process switching, memory access, bus contention, and CPU load for device drivers just to name a few. )
  - Interrupt handling can be relatively expensive ( slow ), which causes programmed I/O to be faster than interrupt-driven I/O when the time spent busy waiting is not excessive.
  - Network traffic can also put a heavy load on the system. Consider for example the sequence of events that occur when a single character is typed in a telnet session, as shown in figure 13.15. ( And the fact that a similar set of events must happen in reverse to echo back the character that was typed. ) Sun uses in-kernel threads for the telnet daemon, increasing the supportable number of simultaneous telnet sessions from the hundreds to the thousands.

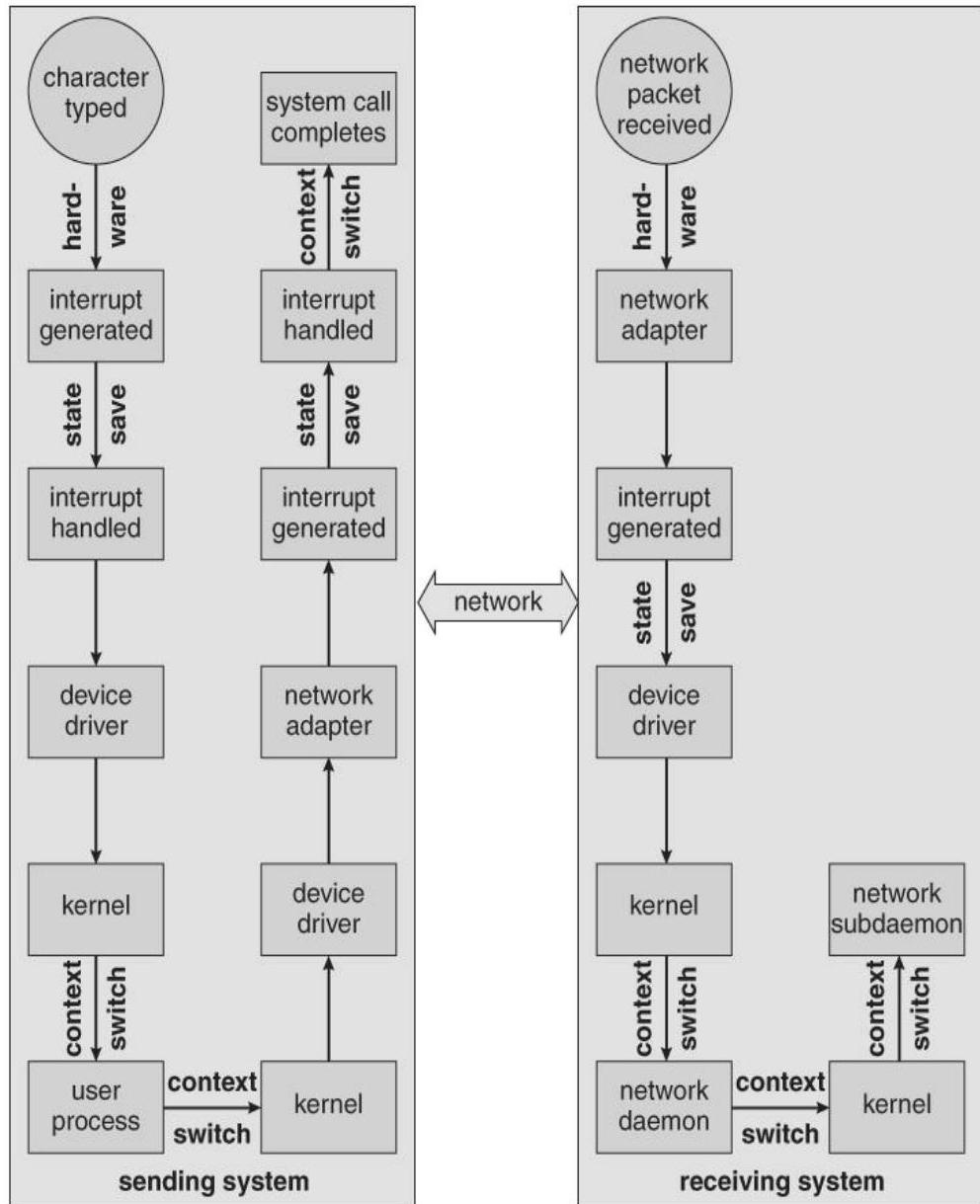
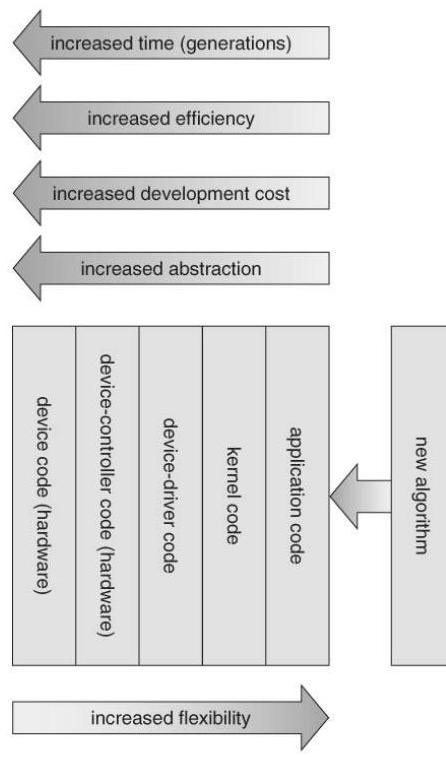


Figure 13.15 - Intercomputer communications.

- Other systems use ***front-end processors*** to off-load some of the work of I/O processing from the CPU. For example a ***terminal concentrator*** can multiplex with hundreds of terminals on a single port on a large computer.
- Several principles can be employed to increase the overall efficiency of I/O processing:
  1. Reduce the number of context switches.
  2. Reduce the number of times data must be copied.
  3. Reduce interrupt frequency, using large transfers, buffering, and polling where appropriate.
  4. Increase concurrency using DMA.
  5. Move processing primitives into hardware, allowing their operation to be concurrent with CPU and bus operations.
  6. Balance CPU, memory, bus, and I/O operations, so a bottleneck in one does not idle all the others.

- The development of new I/O algorithms often follows a progression from application level code to on-board hardware implementation, as shown in Figure 13.16. Lower-level implementations are faster and more efficient, but higher-level ones are more flexible and easier to modify. Hardware-level functionality may also be harder for higher-level authorities (e.g. the kernel) to control.



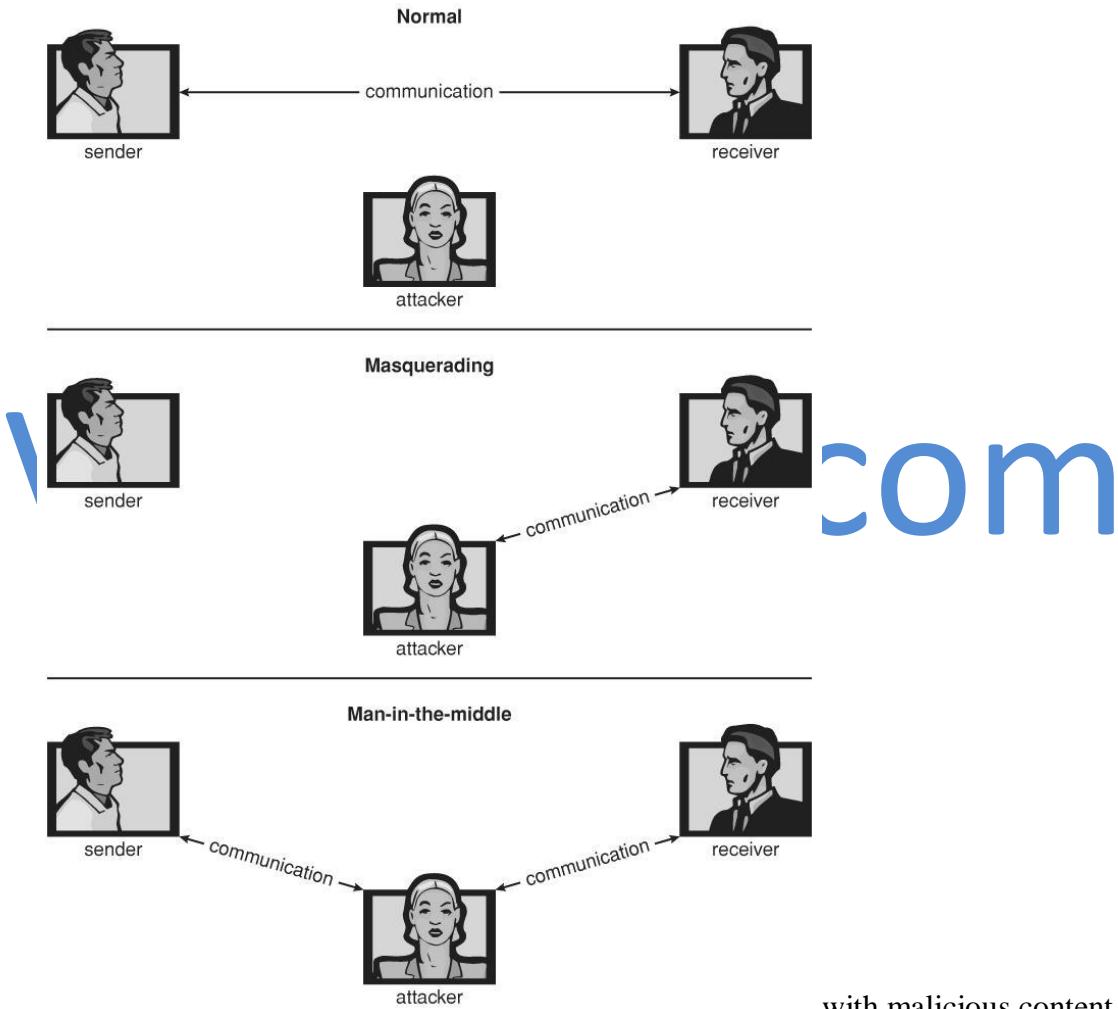
**Fig: Device functionality progression.**

## 5.2 Security

### The Security Problem

- Protection dealt with protecting files and other resources from accidental misuse by cooperating users sharing a system, generally using the computer for normal purposes.
- Security deals with protecting systems from deliberate attacks, either internal or external, from individuals intentionally attempting to steal information, damage information, or otherwise deliberately wreak havoc in some manner.
- Some of the most common types of *violations* include:
  - Breach of Confidentiality** - Theft of private or confidential information, such as credit-card numbers, trade secrets, patents, secret formulas, manufacturing procedures, medical information, financial information, etc.
  - Breach of Integrity** - Unauthorized *modification* of data, which may have serious indirect consequences. For example a popular game or other program's source code could be modified to open up security holes on users systems before being released to the public.

- **Breach of Availability** - Unauthorized **destruction** of data, often just for the "fun" of causing havoc and for bragging rites. Vandalism of web sites is a common form of this violation.
- **Theft of Service** - Unauthorized use of resources, such as theft of CPU cycles, installation of daemons running an unauthorized file server, or tapping into the target's telephone or networking services.
- **Denial of Service, DOS** - Preventing legitimate users from using the system, often by overloading and overwhelming the system with an excess of requests for service.
- One common attack is **masquerading**, in which the attacker pretends to be a trusted third party. A variation of this is the **man-in-the-middle**, in which the attacker masquerades as both ends of the conversation to two targets.
- A **replay attack** involves repeating a valid transmission. Sometimes this can be the entire attack, (such as repeating a request for a money transfer), or other times the content of the original message is replaced



**Figure - Standard security attacks.**

- There are four levels at which a system must be protected:
  1. **Physical** - The easiest way to steal data is to pocket the backup tapes. Also, access to the root console will often give the user special privileges, such as rebooting the system as root from removable media. Even general access to terminals in a computer room offers some opportunities for an attacker, although today's modern high-speed networking environment provides more and more opportunities for remote attacks.
  2. **Human** - There is some concern that the humans who are allowed access to a system be trustworthy, and that they cannot be coerced into breaching security. However more and more attacks today are made via ***social engineering***, which basically means fooling trustworthy people into accidentally breaching security.
    - **Phishing** involves sending an innocent-looking e-mail or web site designed to fool people into revealing confidential information. E.g. spam e-mails pretending to be from e-Bay, PayPal, or any of a number of banks or credit-card companies.
    - **Dumpster Diving** involves searching the trash or other locations for passwords that are written down. (Note: Passwords that are too hard to remember, or which must be changed frequently are more likely to be written down somewhere close to the user's station.)
    - **Password Cracking** involves divining user's passwords, either by watching them type in their passwords, knowing something about them like their pet's names, or simply trying all words in common dictionaries. (Note: "Good" passwords should involve a minimum number of characters, include non-alphabetical characters, and not appear in any dictionary (in any language), and should be changed frequently. Note also that it is proper etiquette to look away from the keyboard while someone else is entering their password. )
  3. **Operating System** - The OS must protect itself from security breaches, such as runaway processes (denial of service), memory-access violations, stack overflow violations, the launching of programs with excessive privileges, and many others.
  4. **Network** - As network communications become ever more important and pervasive in modern computing environments, it becomes ever more important to protect this area of the system. (Both protecting the network itself from attack, and protecting the local system from attacks coming in through the network.) This is a growing area of concern as wireless communications and portable devices become more and more prevalent.

## Program Threats

- There are many common threats to modern systems. Only a few are discussed here.

### Trojan Horse

- A **Trojan Horse** is a program that secretly performs some maliciousness in addition to its visible actions.
- Some Trojan horses are deliberately written as such, and others are the result of legitimate programs that have become infected with ***viruses***, (see below.)

- One dangerous opening for Trojan horses is long search paths, and in particular paths which include the current directory (“.”) as part of the path. If a dangerous program having the same name as a legitimate program (or a common mis-spelling, such as “sl” instead of “ls”) is placed anywhere on the path, then an unsuspecting user may be fooled into running the wrong program by mistake.
- Another classic Trojan Horse is a login emulator, which records a users account name and password, issues a “password incorrect” message, and then logs off the system. The user then tries again (with a proper login prompt), logs in successfully, and doesn’t realize that their information has been stolen.
- Two solutions to Trojan Horses are to have the system print usage statistics on logouts, and to require the typing of non-trappable key sequences such as Control-Alt-Delete in order to log in. (This is why modern Windows systems require the Control-Alt-Delete sequence to commence logging in, which cannot be emulated or caught by ordinary programs. I.e. that key sequence always transfers control over to the operating system. )
- **Spy ware** is a version of a Trojan Horse that is often included in “free” software downloaded off the Internet. Spy ware programs generate pop-up browser windows, and may also accumulate information about the user and deliver it to some central site. (This is an example of **covert channels**, in which surreptitious communications occur.) Another common task of spyware is to send out spam e-mail messages, which then purportedly come from the infected user.

## Trap Door

- A **Trap Door** is when a designer or a programmer (or hacker) deliberately inserts a security hole that they can use later to access the system.
- Because of the possibility of trap doors, once a system has been in an untrustworthy state, that system can never be trusted again. Even the backup tapes may contain a copy of some cleverly hidden back door.
- A clever trap door could be inserted into a compiler, so that any programs compiled with that compiler would contain a security hole. This is especially dangerous, because inspection of the code being compiled would not reveal any problems.

## Logic Bomb

- A **Logic Bomb** is code that is not designed to cause havoc all the time, but only when a certain set of circumstances occurs, such as when a particular date or time is reached or some other noticeable event.
- A classic example is the **Dead-Man Switch**, which is designed to check whether a certain person (e.g. the author) is logging in every day, and if they don’t log in for a long time (presumably because they’ve been fired), then the logic bomb goes off and either opens up security holes or causes other problems.

## Stack and Buffer Overflow

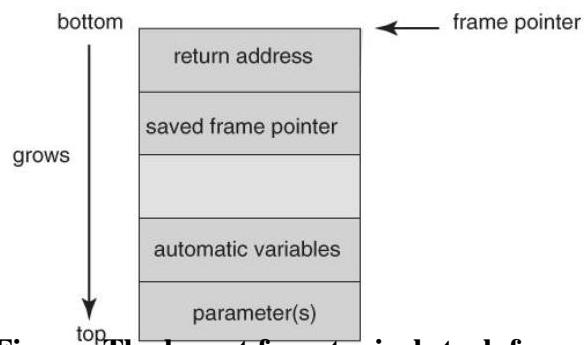
- This is a classic method of attack, which exploits bugs in system code that allows buffers to overflow. Consider what happens in the following code, for example, if argv[ 1 ] exceeds 256 characters:
  - The strcpy command will overflow the buffer, overwriting adjacent areas of memory.
  - (The problem could be avoided using strncpy, with a limit of 255 characters copied plus room for the null byte.)

```
#include
#define BUFFER_SIZE 256

int main( int argc, char * argv[ ] )
{
    char buffer[ BUFFER_SIZE ];
    if( argc < 2 )
        return -1;
    else {
        strcpy( buffer, argv[ 1 ] );
        return 0;
    }
}
```

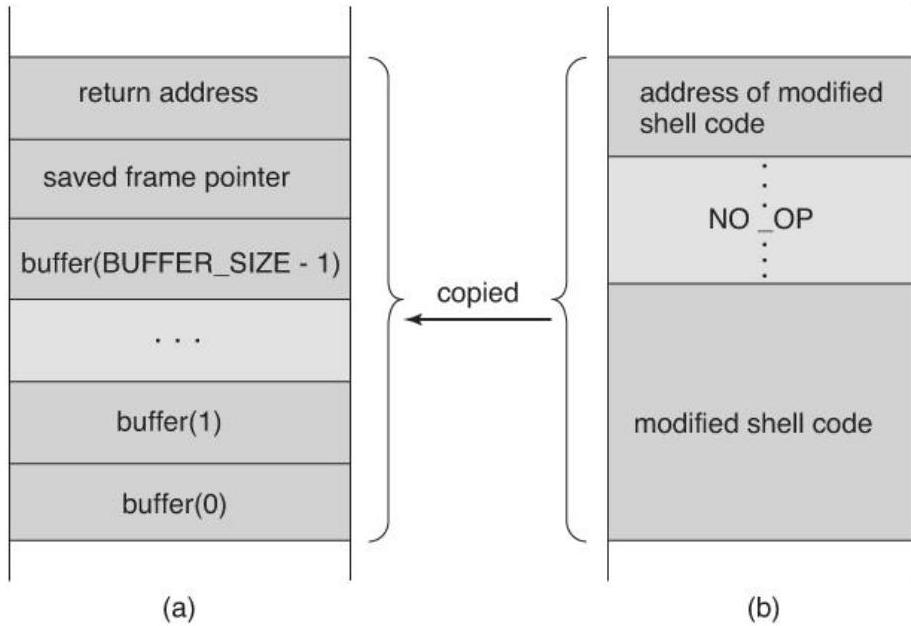
**Figure - C program with buffer-overflow condition.**

- So how does overflowing the buffer cause a security breach? Well the first step is to understand the structure of the stack in memory:
  - The "bottom" of the stack is actually at a high memory address, and the stack grows towards lower addresses.
  - However the address of an array is the lowest address of the array, and higher array elements extend to higher addresses. (I.e. an array "grows" towards the bottom of the stack.)
  - In particular, writing past the top of an array, as occurs when a buffer overflows with too much input data, can eventually overwrite the return address, effectively changing where the program jumps to when it returns.



**Figure- The layout for a typical stack frame.**

- Now that we know how to change where the program returns to by overflowing the buffer, the second step is to insert some nefarious code, and then get the program to jump to our inserted code.
- Our only opportunity to enter code is via the input into the buffer, which means there isn't room for very much. One of the simplest and most obvious approaches is to insert the code for "exec ( /bin/sh )". To do this requires compiling a program that contains this instruction, and then using an assembler or debugging tool to extract the minimum extent that includes the necessary instructions.
- The bad code is then padded with as many extra bytes as are needed to overflow the buffer to the correct extent, and the address of the buffer inserted into the return address location. ( Note, however, that neither the bad code nor the padding can contain null bytes, which would terminate the strcpy. )
- The resulting block of information is provided as "input", copied into the buffer by the original program, and then the return statement causes control to jump to the location of the buffer and start executing the code to launch a shell.

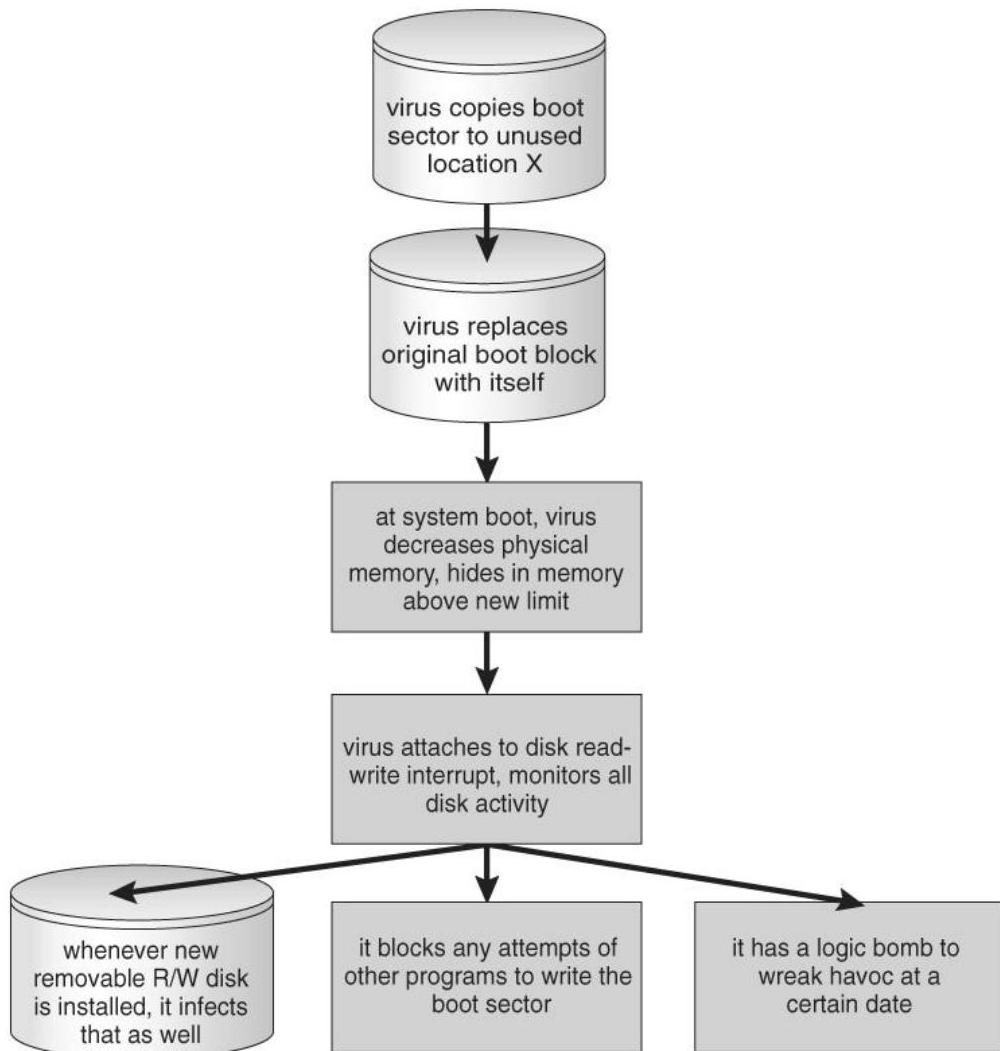


**Figure - Hypothetical stack frame for Figure 15.2, (a) before and (b) after.**

- Unfortunately famous hacks such as the buffer overflow attack are well published and well known, and it doesn't take a lot of skill to follow the instructions and start attacking lots of systems until the law of averages eventually works out. ( *Script Kiddies* are those hackers with only rudimentary skills of their own but the ability to copy the efforts of others. )
- Fortunately modern hardware now includes a bit in the page tables to mark certain pages as non-executable. In this case the buffer-overflow attack would work up to a point, but as soon as it "returns" to an address in the data space and tries executing statements there, an exception would be thrown crashing the program.

## Viruses

- A virus is a fragment of code embedded in an otherwise legitimate program, designed to replicate itself (by infecting other programs), and (eventually) wreaking havoc.
- Viruses are more likely to infect PCs than UNIX or other multi-user systems, because programs in the latter systems have limited authority to modify other programs or to access critical system structures (such as the boot block.)
- Viruses are delivered to systems in a **virus dropper**, usually some form of a Trojan Horse, and usually via e-mail or unsafe downloads.
- Viruses take many forms (see below.) Figure 15.5 shows typical operation of a boot sector virus:



**Figure - A boot-sector computer virus.**

- Some of the forms of viruses include:
  - **File** - A file virus attaches itself to an executable file, causing it to run the virus code first and then jump to the start of the original program. These

- viruses are termed ***parasitic***, because they do not leave any new files on the system, and the original program is still fully functional.
- **Boot** - A boot virus occupies the boot sector, and runs before the OS is loaded. These are also known as ***memory viruses***, because in operation they reside in memory, and do not appear in the file system.
  - **Macro** - These viruses exist as a macro (script) that is run automatically by certain macro-capable programs such as MS Word or Excel. These viruses can exist in word processing documents or spreadsheet files.
  - **Source code** viruses look for source code and infect it in order to spread.
  - **Polymorphic** viruses change every time they spread - Not their underlying functionality, but just their ***signature***, by which virus checkers recognize them.
  - **Encrypted** viruses travel in encrypted form to escape detection. In practice they are self-decrypting, which then allows them to infect other files.
  - **Stealth** viruses try to avoid detection by modifying parts of the system that could be used to detect it. For example the read ( ) system call could be modified so that if an infected file is read the infected part gets skipped and the reader would see the original unadulterated file.
  - **Tunneling** viruses attempt to avoid detection by inserting themselves into the interrupt handler chain, or into device drivers.
  - **Multipartite** viruses attack multiple parts of the system, such as files, boot sector, and memory.
  - **Armoured** viruses are coded to make them hard for anti-virus researchers to decode and understand. In addition many files associated with viruses are hidden, protected, or given innocuous looking names such as "...".
  - In 2004 a virus exploited three bugs in Microsoft products to infect hundreds of Windows servers ( including many trusted sites ) running Microsoft Internet Information Server, which in turn infected any Microsoft Internet Explorer web browser that visited any of the infected server sites. One of the back-door programs it installed was a ***keystroke logger***, which records user's keystrokes, including passwords and other sensitive information.
  - There is some debate in the computing community as to whether a ***monoculture***, in which nearly all systems run the same hardware, operating system, and applications, increases the threat of viruses and the potential for harm caused by them.

## System and Network Threats

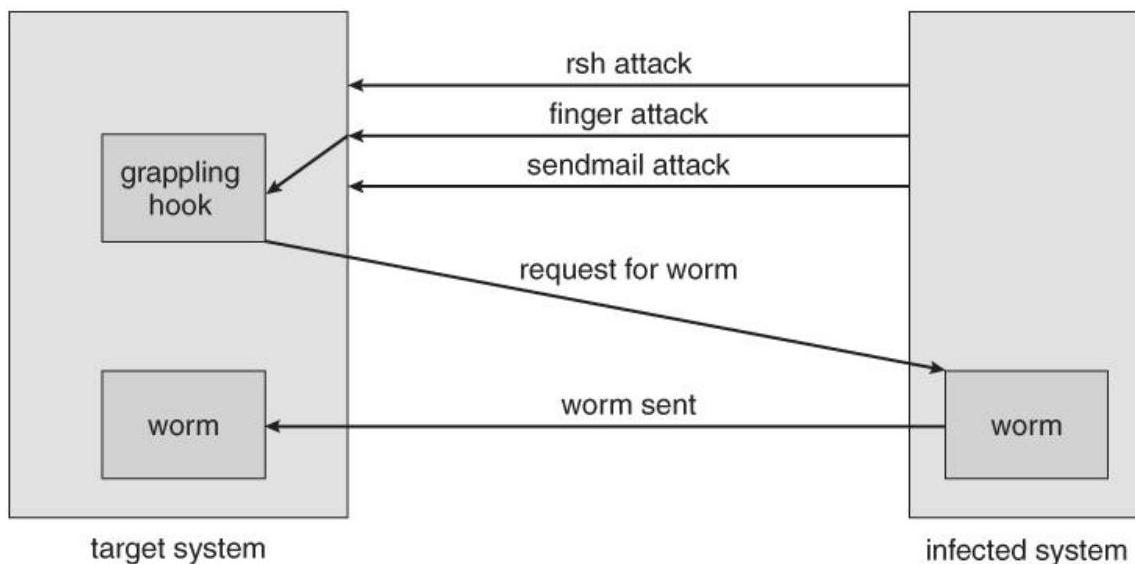
- Most of the threats described above are termed ***program threats***, because they attack specific programs or are carried and distributed in programs. The threats in this section attack the operating system or the network itself, or leverage those systems to launch their attacks.

## Worms

- A **worm** is a process that uses the fork / spawns process to make copies of itself in order to wreak havoc on a system. Worms consume system resources, often blocking out other,

legitimate processes. Worms that propagate over networks can be especially problematic, as they can tie up vast amounts of network resources and bring down large-scale systems.

- One of the most well-known worms was launched by Robert Morris, a graduate student at Cornell, in November 1988. Targeting Sun and VAX computers running BSD UNIX version 4, the worm spanned the Internet in a matter of a few hours, and consumed enough resources to bring down many systems.
- This worm consisted of two parts:
  1. A small program called a **grappling hook**, which was deposited on the target system through one of three vulnerabilities, and
  2. The main worm program, which was transferred onto the target system and launched by the grappling hook program.



**Figure - The Morris Internet worm.**

- The three vulnerabilities exploited by the Morris Internet worm were as follows:
  1. **rsh (remote shell)** is a utility that was in common use at that time for accessing remote systems without having to provide a password. If a user had an account on two different computers (with the same account name on both systems), then the system could be configured to allow that user to remotely connect from one system to the other without having to provide a password. Many systems were configured so that **any** user (except root) on system A could access the same account on system B without providing a password.
  2. **finger** is a utility that allows one to remotely query a user database, to find the true name and other information for a given account name on a given system. For example "finger joeUser@somemachine.edu" would access the finger daemon at somemachine.edu and return information regarding joeUser. Unfortunately the finger daemon (which ran with system privileges) had the buffer overflow problem, so by sending a special 536-character user name the worm was able to fork a shell on the remote system running with root privileges.

3. **send mail** is a routine for sending and forwarding mail that also included a debugging option for verifying and testing the system. The debug feature was convenient for administrators, and was often left turned on. The Morris worm exploited the debugger to mail and executes a copy of the grappling hook program on the remote system.
- Once in place, the worm undertook systematic attacks to discover user passwords:
  4. First it would check for accounts for which the account name and the password were the same, such as "guest", "guest".
  5. Then it would try an internal dictionary of 432 favorite password choices. (I'm sure "password", "pass", and blank passwords were all on the list.)
  6. Finally it would try every word in the standard UNIX on-line dictionary to try and break into user accounts.
- Once it had gotten access to one or more user accounts, then it would attempt to use those accounts to rsh to other systems, and continue the process.
- With each new access the worm would check for already running copies of itself, and 6 out of 7 times if it found one it would stop. (The seventh was to prevent the worm from being stopped by fake copies.)
- Fortunately the same rapid network connectivity that allowed the worm to propagate so quickly also quickly led to its demise - Within 24 hours remedies for stopping the worm propagated through the Internet from administrator to administrator, and the worm was quickly shut down.
- There is some debate about whether Mr. Morris's actions were a harmless prank or research project that got out of hand or a deliberate and malicious attack on the Internet. However the court system convicted him, and penalized him heavy fines and court costs.
- There have since been many other worm attacks, including the W32.Sobig.F@mm attack which infected hundreds of thousands of computers and an estimated 1 in 17 e-mails in August 2003. This worm made detection difficult by varying the subject line of the infection-carrying mail message, including "Thank You!", "Your details", and "Re: Approved".

## Port Scanning

- **Port Scanning** is technically not an attack, but rather a search for vulnerabilities to attack. The basic idea is to systematically attempt to connect to every known (or common or possible) network port on some remote machine, and to attempt to make contact. Once it is determined that a particular computer is listening to a particular port, then the next step is to determine what daemon is listening, and whether or not it is a version containing a known security flaw that can be exploited.
- Because port scanning is easily detected and traced, it is usually launched from **zombie systems**, i.e. previously hacked systems that are being used without the knowledge or permission of their rightful owner. For this reason it is important to protect "innocuous" systems and accounts as well as those that contain sensitive information or special privileges.
- There are also port scanners available that administrators can use to check their own systems, which report any weaknesses found but which do not exploit the weaknesses or cause any problems. Two such systems are **nmap** (<http://www.insecure.org/nmap>)

and **nessus** (<http://www.nessus.org>). The former identifies what OS is found, what firewalls are in place, and what services are listening to what ports. The latter also contains a database of known security holes, and identifies any that it finds.

## Denial of Service

- **Denial of Service ( DOS )** attacks do not attempt to actually access or damage systems, but merely to clog them up so badly that they cannot be used for any useful work. Tight loops that repeatedly request system services are an obvious form of this attack.
- DOS attacks can also involve social engineering, such as the Internet chain letters that say "send this immediately to 10 of your friends, and then go to a certain URL", which clogs up not only the Internet mail system but also the web server to which everyone is directed. (Note: Sending a "reply all" to such a message notifying everyone that it was just a hoax also clogs up the Internet mail service, just as effectively as if you had forwarded the thing.)
- Security systems that lock accounts after a certain number of failed login attempts are subject to DOS attacks which repeatedly attempt logins to all accounts with invalid passwords strictly in order to lock up all accounts.
- Sometimes DOS is not the result of deliberate maliciousness. Consider for example:
  - A web site that sees a huge volume of hits as a result of a successful advertising campaign.
  - CNN.com occasionally gets overwhelmed on big news days, such as Sept 11, 2001.
  - CS students given their first programming assignment involving fork ( ) often quickly fill up process tables or otherwise completely consume system resources. :-)
  - (Please use ipcs and ipcrm when working on the inter-process communications assignment!)



## Cryptography as a Security Tool

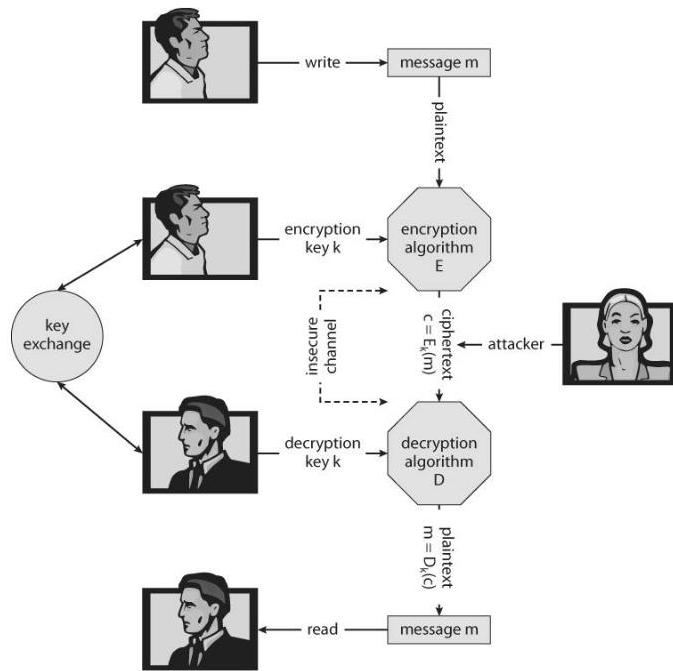
- Within a given computer the transmittal of messages is safe, reliable and secure, because the OS knows exactly where each one is coming from and where it is going.
- On a network, however, things aren't so straightforward - A rogue computer ( or e-mail sender ) may spoof their identity, and outgoing packets are delivered to a lot of other computers besides their ( intended ) final destination, which brings up two big questions of security:
  - **Trust** - How can the system be sure that the messages received are really from the source that they say they are, and can that source be trusted?
  - **Confidentiality** - How can one ensure that the messages one is sending are received only by the intended recipient?
- Cryptography can help with both of these problems, through a system of **secrets** and **keys**. In the former case, the key is held by the sender, so that the recipient knows that only the authentic author could have sent the message; In the latter, the key is held by the recipient, so that only the intended recipient can receive the message accurately.

- Keys are designed so that they cannot be divined from any public information, and must be guarded carefully. (Asymmetric **encryption** involves both a public and a private key.)

## Encryption

- The basic idea of encryption is to encode a message so that only the desired recipient can decode and read it. Encryption has been around since before the days of Caesar, and is an entire field of study in itself. Only some of the more significant computer encryption schemes will be covered here.
- The basic process of encryption is shown in Figure 15.7, and will form the basis of most of our discussion on encryption. The steps in the procedure and some of the key terminology are as follows:
  1. The **sender** first creates a **message**, **m** in plaintext.
  2. The message is then entered into an **encryption algorithm**, **E**, along with the **encryption key**, **Ke**.
  3. The encryption algorithm generates the **cipher text**, **c**, = **E (Ke) (m)**. For any key k, E (k) is an algorithm for generating cipher text from a message, and both E and E (k) should be efficiently computable functions.
  4. The cipher text can then be sent over an unsecured network, where it may be received by **attackers**.
  5. The **recipient** enters the cipher text into a **decryption algorithm**, **D**, along with the **decryption key**, **Kd**.
  6. The decryption algorithm re-generates the plaintext message, **m**, = **D (Kd) (c)**. For any key k, D (k) is an algorithm for generating a clear text message from a cipher text, and both D and D (k) should be efficiently computable functions.
  7. The algorithms described here must have this important property: Given a cipher text c, a computer can only compute a message m such that **c = E (k) (m)** if it possesses D (k). (In other words, the messages can't be decoded unless you have the decryption algorithm and the decryption key.)

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**Figure - A secure communication over an insecure medium.**

## Symmetric Encryption

- With ***symmetric encryption*** the same key is used for both encryption and decryption, and must be safely guarded. There are a number of well-known symmetric encryption algorithms that have been used for computer security:
  - The ***Data-Encryption Standard, DES***, developed by the National Institute of Standards, NIST, has been a standard civilian encryption standard for over 20 years. Messages are broken down into 64-bit chunks, each of which is encrypted using a 56-bit key through a series of substitutions and transformations. Some of the transformations are hidden (black boxes), and are classified by the
  - DES is known as a ***block cipher***, because it works on blocks of data at a time. Unfortunately this is vulnerability if the same key is used for an extended amount of data. Therefore an enhancement is to not only encrypt each block, but also to XOR it with the previous block, in a technique known as ***cipher-block chaining***.
  - As modern computers become faster and faster, the security of DES has decreased, to where it is now considered insecure because its keys can be exhaustively searched within a reasonable amount of computer time. An enhancement called ***triple DES*** encrypts the data three times using three separate keys (actually two encryptions and one decryption) for an effective key length of 168 bits. Triple DES is in widespread use today.
  - The ***Advanced Encryption Standard, AES***, developed by NIST in 2001 to replace DES uses key lengths of 128, 192, or 256 bits, and

- encrypts in blocks of 128 bits using 10 to 14 rounds of transformations on a matrix formed from the block.
- The ***two fish algorithm*** uses variable key lengths up to 256 bits and works on 128 bit blocks.
- RC5** can vary in key length, block size, and the number of transformations, and runs on a wide variety of CPUs using only basic computations.
- RC4** is a ***stream cipher***, meaning it acts on a stream of data rather than blocks. The key is used to seed a pseudo-random number generator, which generates a ***key stream*** of keys. RC4 is used in **WEP**, but has been found to be breakable in a reasonable amount of computer time.

## Asymmetric Encryption

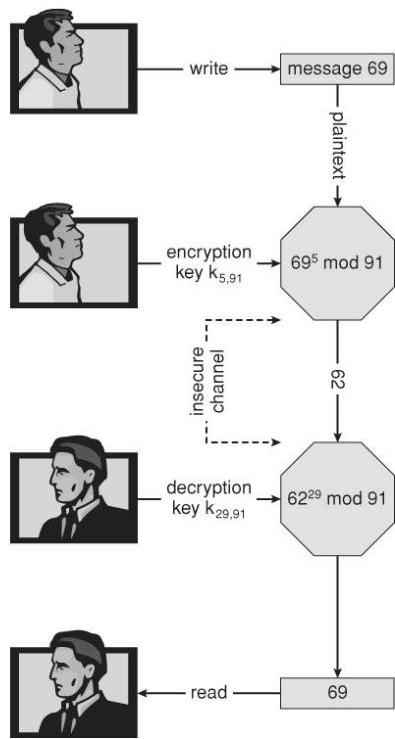
- With ***asymmetric encryption***, the decryption key,  $K_d$ , is not the same as the encryption key,  $K_e$ , and more importantly cannot be derived from it, which means the encryption key can be made publicly available, and only the decryption key needs to be kept secret. (or vice-versa, depending on the application.)
- One of the most widely used asymmetric encryption algorithms is **RSA**, named after its developers - Rivest, Shamir, and Adleman.
- RSA is based on two large prime numbers,  $p$  and  $q$ , (on the order of 512 bits each), and their product  $N$ .

- Ke and  $K_d$  must satisfy the relationship:

- The encryption algorithm is:  
 $c = E(K_e)(m) = m^{K_e} \% N$
- The decryption algorithm is:  
 $m = D(K_d)(c) = c^{K_d} \% N$

- An example using small numbers:
  - $p = 7$
  - $q = 13$
  - $N = 7 * 13 = 91$
  - $(p - 1) * (q - 1) = 6 * 12 = 72$
  - Select  $K_e < 72$  and relatively prime to 72, say 5
  - Now select  $K_d$ , such that  $(K_e * K_d) \% 72 = 1$ , say 29
  - The public key is now (5, 91) and the private key is (29, 91)
  - Let the message,  $m = 42$
  - Encrypt:  $c = 42^5 \% 91 = 35$
  - Decrypt:  $m = 35^{29} \% 91 = 42$

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**Figure - Encryption and decryption using RSA asymmetric cryptography**

- Note that asymmetric encryption is much more computationally expensive than symmetric encryption, and as such it is not normally used for large transmissions. Asymmetric encryption is suitable for small messages, authentication, and key distribution, as covered in the following sections.

## Authentication

- Authentication involves verifying the identity of the entity that transmitted a message.
- For example, if D (Kd) (c) produces a valid message, then we know the sender was in possession of E (Ke).
- This form of authentication can also be used to verify that a message has not been modified
- Authentication revolves around two functions, used for *signatures* ( or *signing* ), and *verification*:
  - A signing function,  $S(K_s)$  that produces an *authenticator*,  $A$ , from any given message  $m$ .
  - A Verification function,  $V(K_v, m, A)$  that produces a value of "true" if  $A$  was created from  $m$ , and "false" otherwise.
  - Obviously  $S$  and  $V$  must both be computationally efficient.
  - More importantly, it must not be possible to generate a valid authenticator,  $A$ , without having possession of  $S(K_s)$ .
  - Furthermore, it must not be possible to divine  $S(K_s)$  from the combination of ( $m$  and  $A$ ), since both are sent visibly across networks.

- Understanding authenticators begins with an understanding of hash functions, which is the first step:
  - **Hash functions**,  $H(m)$  generate a small fixed-size block of data known as a **message digest**, or **hash value** from any given input data.
  - For authentication purposes, the hash function must be **collision resistant on m**. That is it should not be reasonably possible to find an alternate message  $m'$  such that  $H(m') = H(m)$ .
  - Popular hash functions are **MD5**, which generates a 128-bit message digest, and **SHA-1**, which generates a 160-bit digest.
- Message digests are useful for detecting (accidentally) changed messages, but are not useful as authenticators, because if the hash function is known, then someone could easily change the message and then generate a new hash value for the modified message. Therefore authenticators take things one step further by encrypting the message digest.
- A **message-authentication code**, **MAC**, uses symmetric encryption and decryption of the message digest, which means that anyone capable of verifying an incoming message could also generate a new message.
- An asymmetric approach is the **digital-signature algorithm**, which produces authenticators called **digital signatures**. In this case  $K_s$  and  $K_v$  are separate,  $K_v$  is the public key, and it is not practical to determine  $S(K_s)$  from public information. In practice the sender of a message signs it ( produces a digital signature using  $S(K_s)$  ), and the receiver uses  $V(K_v)$  to verify that it did indeed come from a trusted source, and that it has not been modified.
- There are three good reasons for having separate algorithms for encryption of messages and authentication of messages:
  - Authentication algorithms typically require fewer calculations, making verification a faster operation than encryption.
  - Authenticators are almost always smaller than the messages, improving space efficiency. (?)
  - Sometimes we want authentication only, and not confidentiality, such as when a vendor issues a new software patch.
- Another use of authentication is **non-repudiation**, in which a person filling out an electronic form cannot deny that they were the ones who did so.

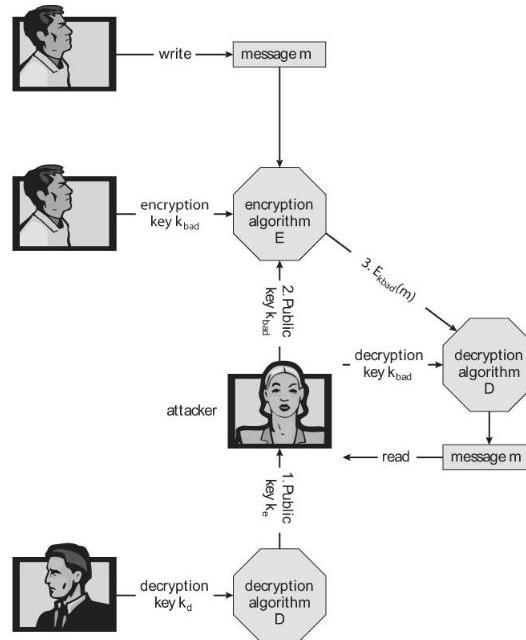
The logo consists of the letters 'V', 'T', 'U', 'P', 'u', 'l', 's', 'e', followed by '.com' in a stylized blue font. The 'V', 'T', 'U', 'P', 'u', 'l', 's' are in a large, bold, sans-serif font, while 'e' and '.com' are in a smaller, regular sans-serif font.

## Key Distribution

Key distribution with symmetric cryptography is a major problem, because all keys must be kept secret, and they obviously can't be transmitted over unsecured channels. One option is to send them **out-of-band**, say via paper or a confidential conversation.

- Another problem with symmetric keys is that a separate key must be maintained and used for each correspondent with whom one wishes to exchange confidential information.
- Asymmetric encryption solves some of these problems, because the public key can be freely transmitted through any channel, and the private key doesn't need to be transmitted anywhere. Recipients only need to maintain one private key for all incoming messages, though senders must maintain a separate public key for each recipient to which they might wish to send a message. Fortunately the public keys are not confidential, so this **key-ring** can be easily stored and managed.

- Unfortunately there is still some security concerns regarding the public keys used in asymmetric encryption. Consider for example the following man-in-the-middle attack involving phony public keys:



**Figure - A man-in-the-middle attack on asymmetric cryptography.**

- One solution to the above problem involves ***digital certificates***, which are public keys that have been digitally signed by a trusted third party. But wait a minute - How do we trust that third party, and how do we know ***they*** are really who they say they are? Certain ***certificate authorities*** have their public keys included within web browsers and other certificate consumers before they are distributed. These certificate authorities can then vouch for other trusted entities and so on in a web of trust, as explained more fully in section 15.4.3.

## Implementation of Cryptography

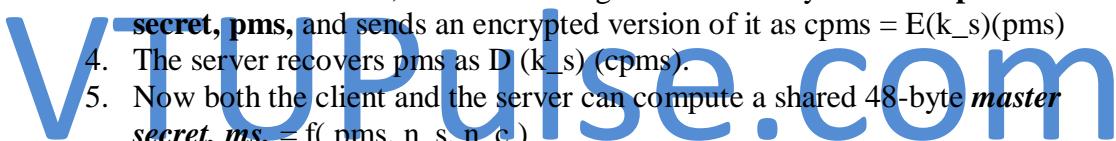
- Network communications are implemented in multiple layers - Physical, Data Link, Network, Transport, and Application being the most common breakdown.
- Encryption and security can be implemented at any layer in the stack, with pros and cons to each choice:
  - Because packets at lower levels contain the contents of higher layers, encryption at lower layers automatically encrypts higher layer information at the same time.
  - However security and authorization may be important to higher levels independent of the underlying transport mechanism or route taken.
- At the network layer the most common standard is **IPSec**, a secure form of the IP layer, which is used to set up **Virtual Private Networks, VPNs**.
- At the transport layer the most common implementation is SSL, described below.

## An Example: SSL

- SSL (Secure Sockets Layer) 3.0 was first developed by Netscape, and has now evolved into the industry-standard TLS protocol. It is used by web browsers to communicate securely with web servers, making it perhaps the most widely used security protocol on the Internet today.
- SSL is quite complex with many variations, only a simple case of which is shown here.
- The heart of SSL is ***session keys***, which are used once for symmetric encryption and then discarded, requiring the generation of new keys for each new session. The big challenge is how to safely create such keys while avoiding man-in-the-middle and replay attacks.
- Prior to commencing the transaction, the server obtains a ***certificate*** from a ***certification authority, CA***, containing:
  - Server attributes such as unique and common names.
  - Identity of the public encryption algorithm,  $E(\cdot)$ , for the server.
  - The public key,  $k_e$  for the server.
  - The validity interval within which the certificate is valid.
  - A digital signature on the above issued by the CA:
    - $a = S(K_{CA})(\{ \text{attrs}, E(k_e), \text{interval} \})$
- In addition, the client will have obtained a public ***verification algorithm, V*** ( $K_{CA}$ ), for the certifying authority. Today's modern browsers include these built-in by the browser vendor for a number of trusted certificate authorities.
- The procedure for establishing secure communications is as follows:
  1. The client,  $c$ , connects to the server,  $s$ , and sends a random 28-byte number,  $n_c$ .
  2. The server replies with its own random value,  $n_s$ , along with its certificate of authority.
  3. The client uses its verification algorithm to confirm the identity of the sender, and if all checks out, then the client generates a 46 byte random ***premaster secret, pms***, and sends an encrypted version of it as  $cpms = E(k_s)(pms)$
  4. The server recovers  $pms$  as  $D(k_s)(cpms)$ .
  5. Now both the client and the server can compute a shared 48-byte ***master secret, ms***,  $= f(pms, n_s, n_c)$
  6. Next, both client and server generate the following from  $ms$ :
    - Symmetric encryption keys  $k_{sc\_crypt}$  and  $k_{cs\_crypt}$  for encrypting messages from the server to the client and vice-versa respectively.
    - MAC generation keys  $k_{sc\_mac}$  and  $k_{cs\_mac}$  for generating authenticators on messages from server to client and client to server respectively.
  7. To send a message to the server, the client sends:
    - $c = E(k_{cs\_crypt})(m, S(k_{cs\_mac})(m))$
  8. Upon receiving  $c$ , the server recovers:
    - $(m, a) = D(k_{cs\_crypt})(c)$
    - and accepts it if  $V(k_{sc\_mac})(m, a)$  is true.

This approach enables both the server and client to verify the authenticity of every incoming message, and to ensure that outgoing messages are only readable by the process that originally participated in the key generation.

SSL is the basis of many secure protocols, including ***Virtual Private Networks, VPNs***, in which private data is distributed over the insecure public internet structure in an encrypted fashion that emulates a privately owned network.



## User Authentication

- Protection, dealt with making sure that only certain users were allowed to perform certain tasks, i.e. that a user's privileges were dependent on his or her identity. But how does one verify that identity to begin with?

## Passwords

- Passwords are the most common form of user authentication. If the user is in possession of the correct password, then they are considered to have identified themselves.
- In theory separate passwords could be implemented for separate activities, such as reading this file, writing that file, etc. In practice most systems use one password to confirm user identity, and then authorization is based upon that identification. This is a result of the classic trade-off between security and convenience.

## Password Vulnerabilities

- Passwords can be guessed.
  - Intelligent guessing requires knowing something about the intended target in specific, or about people and commonly used passwords in general.
  - Brute-force guessing involves trying every word in the dictionary, or every valid combination of characters. For this reason good passwords should not be in any dictionary (in any language), should be reasonably lengthy, and should use the full range of allowable characters by including upper and lower case characters, numbers, and special symbols.
- "Shoulder surfing" involves looking over people's shoulders while they are typing in their password.
  - Even if the lurker does not get the entire password, they may get enough clues to narrow it down, especially if they watch on repeated occasions.
  - Common courtesy dictates that you look away from the keyboard while someone is typing their password.
  - Passwords echoed as stars or dots still give clues, because an observer can determine how many characters are in the password. :-(
- "Packet sniffing" involves putting a monitor on a network connection and reading data contained in those packets.
  - SSH encrypts all packets, reducing the effectiveness of packet sniffing.
  - However you should still never e-mail a password, particularly not with the word "password" in the same message or worse yet the subject header.
  - Beware of any system that transmits passwords in clear text. ("Thank you for signing up for XYZ. Your new account and password information are shown below".) You probably want to have a spare throw-away password to give these entities, instead of using the same high-security password that you use for banking or other confidential uses.
- Long hard to remember passwords are often written down, particularly if they are used seldom or must be changed frequently. Hence a security trade-off of passwords that are easily divined versus those that get written down. :-(

- Passwords can be given away to friends or co-workers, destroying the integrity of the entire user-identification system.
- Most systems have configurable parameters controlling password generation and what constitutes acceptable passwords.
  - They may be user chosen or machine generated.
  - They may have minimum and/or maximum length requirements.
  - They may need to be changed with a given frequency. (In extreme cases for every session.)
  - A variable length history can prevent repeating passwords.
  - More or less stringent checks can be made against password dictionaries.

## Encrypted Passwords

- Modern systems do not store passwords in clear-text form, and hence there is no mechanism to look up an existing password.
- Rather they are encrypted and stored in that form. When a user enters their password, that too is encrypted, and if the encrypted version matches, then user authentication passes.
- The encryption scheme was once considered safe enough that the encrypted versions were stored in the publicly readable file "/etc/passwd".
  - They always encrypted to a 13 character string, so an account could be disabled by putting a string of any other length into the password field.
  - Modern computers can try every possible password combination in a reasonably short time, so now the encrypted passwords are stored in files that are only readable by the super user. Any password-related programs run as setuid root to get access to these files. (/etc/shadow )
  - A random seed is included as part of the password generation process, and stored as part of the encrypted password. This ensures that if two accounts have the same plain-text password that they will not have the same encrypted password. However cutting and pasting encrypted passwords from one account to another will give them the same plain-text passwords.

## One-Time Passwords

- One-time passwords resist shoulder surfing and other attacks where an observer is able to capture a password typed in by a user.
  - These are often based on a **challenge** and a **response**. Because the challenge is different each time, the old response will not be valid for future challenges.
    - For example, The user may be in possession of a secret function  $f(x)$ . The system challenges with some given value for  $x$ , and the user responds with  $f(x)$ , which the system can then verify. Since the challenger gives a different (random)  $x$  each time, the answer is constantly changing.

- A variation uses a map (e.g. a road map) as the key. Today's question might be "On what corner is SEO located?", and tomorrow's question might be "How far is it from Navy Pier to Wrigley Field?" Obviously "Taylor and Morgan" would not be accepted as a valid answer for the second question!
- Another option is to have some sort of electronic card with a series of constantly changing numbers, based on the current time. The user enters the current number on the card, which will only be valid for a few seconds. A ***two-factor authorization*** also requires a traditional password in addition to the number on the card, so others may not use it if it were ever lost or stolen.
- A third variation is a ***code book***, or ***one-time pad***. In this scheme a long list of passwords is generated and each one is crossed off and cancelled as it is used. Obviously it is important to keep the pad secure.

## Biometrics

- Biometrics involve a physical characteristic of the user that is not easily forged or duplicated and not likely to be identical between multiple users.
  - Fingerprint scanners are getting faster, more accurate, and more economical.
  - Palm readers can check thermal properties, finger length, etc.
  - Retinal scanners examine the back of the users' eyes.
  - Voiceprint analyzers distinguish particular voices.
  - Difficulties may arise in the event of colds, injuries, or other physiological changes.

## Implementing Security Defenses

### Security Policy

- A security policy should be well thought-out, agreed upon, and contained in a living document that everyone adheres to and is updated as needed.
- Examples of contents include how often port scans are run, password requirements, virus detectors, etc.

### Vulnerability Assessment

- Periodically examine the system to detect vulnerabilities.
  - Port scanning.
  - Check for bad passwords.
  - Look for suid programs.
  - Unauthorized programs in system directories.
  - Incorrect permission bits set.
  - Program checksums / digital signatures which have changed.
  - Unexpected or hidden network daemons.

- New entries in start-up scripts, shutdown scripts, cron tables, or other system scripts or configuration files.
- New unauthorized accounts.
- The government considers a system to be only as secure as its most far-reaching component. Any system connected to the Internet is inherently less secure than one that is in a sealed room with no external communications.
- Some administrators advocate "security through obscurity", aiming to keep as much information about their systems hidden as possible, and not announcing any security concerns they come across. Others announce security concerns from the rooftops, under the theory that the hackers are going to find out anyway, and the only one kept in the dark by obscurity are honest administrators who need to get the word.

## Intrusion Detection

- Intrusion detection attempts to detect attacks, both successful and unsuccessful attempts. Different techniques vary along several axes:
  - The time that detection occurs, either during the attack or after the fact.
  - The types of information examined to detect the attack(s). Some attacks can only be detected by analyzing multiple sources of information.
  - The response to the attack, which may range from alerting an administrator to automatically stopping the attack (e.g. killing an offending process), to tracing back the attack in order to identify the attacker.
    - Another approach is to divert the attacker to a ***honey pot***, on a ***honey net***. The idea behind a honey pot is a computer running normal services, but which no one uses to do any real work. Such a system should not see any network traffic under normal conditions, so any traffic going to or from such a system is by definition suspicious. Honey pots are normally kept on a honey net protected by a ***reverse firewall***, which will let potential attackers in to the honey pot, but will not allow any outgoing traffic. (So that if the honey pot is compromised, the attacker cannot use it as a base of operations for attacking other systems.) Honey pots are closely watched, and any suspicious activity carefully logged and investigated.
- Intrusion Detection Systems, IDSs, raise the alarm when they detect an intrusion. Intrusion Detection and Prevention Systems, IDPs, act as filtering routers, shutting down suspicious traffic when it is detected.
- There are two major approaches to detecting problems:
  - ***Signature-Based Detection*** scans network packets, system files, etc. looking for recognizable characteristics of known attacks, such as text strings for messages or the binary code for "exec /bin/sh". The problem with this is that it can only detect previously encountered problems for which the signature is known, requiring the frequent update of signature lists.
  - ***Anomaly Detection*** looks for "unusual" patterns of traffic or operation, such as unusually heavy load or an unusual number of logins late at night.

VTUPulse.com

- The benefit of this approach is that it can detect previously unknown attacks, so called ***zero-day attacks***.
- One problem with this method is characterizing what is "normal" for a given system. One approach is to benchmark the system, but if the attacker is already present when the benchmarks are made, then the "unusual" activity is recorded as "the norm."
- Another problem is that not all changes in system performance are the result of security attacks. If the system is bogged down and really slow late on a Thursday night, does that mean that a hacker has gotten in and is using the system to send out SPAM, or does it simply mean that a CS 385 assignment is due on Friday? :-)
- To be effective, anomaly detectors must have a very low ***false alarm (false positive)*** rate, lest the warnings get ignored, as well as a low ***false negative*** rate in which attacks are missed.

## Virus Protection

- Modern anti-virus programs are basically signature-based detection systems, which also have the ability (in some cases) of ***disinfecting*** the affected files and returning them back to their original condition.
- Both viruses and anti-virus programs are rapidly evolving. For example viruses now commonly mutate every time they propagate, and so anti-virus programs look for families of related signatures rather than specific ones.
- Some antivirus programs look for anomalies, such as an executable program being opened for writing (other than by a compiler.)
- Avoiding bootleg, free, and shared software can help reduce the chance of catching a virus, but even shrink-wrapped official software has on occasion been infected by disgruntled factory workers.
- Some virus detectors will run suspicious programs in a ***sandbox***, an isolated and secure area of the system which mimics the real system.
- ***Rich Text Format, RTF***, files cannot carry macros, and hence cannot carry Word macro viruses.
- Known safe programs (e.g. right after a fresh install or after a thorough examination) can be digitally signed, and periodically the files can be re-verified against the stored digital signatures. (Which should be kept secure, such as on off-line write-only medium?)

## Auditing, Accounting, and Logging

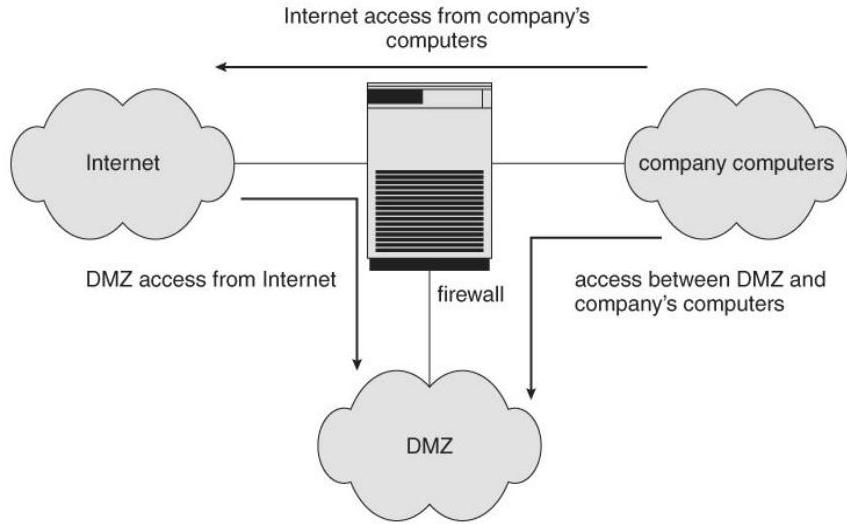
- Auditing, accounting, and logging records can also be used to detect anomalous behavior.
- Some of the kinds of things that can be logged include authentication failures and successes, logins, running of suid or sgid programs, network accesses, system calls, etc. In extreme cases almost every keystroke and electron that moves can be logged for future analysis. (Note that on the flip side, all this detailed logging can also be used to analyze system performance. The down side is that the logging also *affects* system performance (negatively!), and so a Heisenberg effect applies. )
- "The Cuckoo's Egg" tells the story of how Cliff Stoll detected one of the early UNIX break ins when he noticed anomalies in the accounting records on a computer system being used by physics researchers.

## Tripwire File system (New Sidebar)

- The tripwire file system monitors files and directories for changes, on the assumption that most intrusions eventually result in some sort of undesired or unexpected file changes.
- The two config file indicates what directories are to be monitored, as well as what properties of each file are to be recorded. (E.g. one may choose to monitor permission and content changes, but not worry about read access times.)
- When first run, the selected properties for all monitored files are recorded in a database. Hash codes are used to monitor file contents for changes.
- Subsequent runs report any changes to the recorded data, including hash code changes, and any newly created or missing files in the monitored directories.
- For full security it is necessary to also protect the tripwire system itself, most importantly the database of recorded file properties. This could be saved on some external or write-only location, but that makes it harder to change the database when legitimate changes are made.
- It is difficult to monitor files that are *supposed to* change, such as log files. The best tripwire can do in this case is to watch for anomalies, such as a log file that shrinks in size.
- Free and commercial versions are available at <http://tripwire.org> and <http://tripwire.com>.

## Fire walling to Protect Systems and Networks

- Firewalls are devices (or sometimes software) that sits on the border between two securities domains and monitor/log activity between them, sometimes restricting the traffic that can pass between them based on certain criteria.
- For example a firewall router may allow HTTP: requests to pass through to a web server inside a company domain while not allowing telnet, ssh, or other traffic to pass through.
- A common architecture is to establish a de-militarized zone, DMZ, which sort of sits "between" the company domain and the outside world, as shown below. Company computers can reach either the DMZ or the outside world, but outside computers can only reach the DMZ. Perhaps most importantly, the DMZ cannot reach any of the other company computers, so even if the DMZ is breached, the attacker cannot get to the rest of the company network. (In some cases the DMZ may have limited access to company computers, such as a web server on the DMZ that needs to query a database on one of the other company computers.)



**Figure 15.10 - Domain separation via firewall.**

- Firewalls themselves need to be resistant to attacks, and unfortunately have several vulnerabilities:
  - **Tunneling**, which involves encapsulating forbidden traffic inside of packets that are allowed?
  - Denial of service attacks addressed at the firewall itself.
  - Spoofing, in which an unauthorized host sends packets to the firewall with the return address of an authorized host.
- In addition to the common firewalls protecting a company internal network from the outside world, there are also some specialized forms of firewalls that have been recently developed:
  - A **personal firewall** is a software layer that protects an individual computer. It may be a part of the operating system or a separate software package.
  - An **application proxy firewall** understands the protocols of a particular service and acts as a stand-in (and relay) for the particular service. For example, an SMTP proxy firewall would accept SMTP requests from the outside world, examine them for security concerns, and forward only the "safe" ones on to the real SMTP server behind the firewall.
  - **XML firewalls** examine XML packets only, and reject ill-formed packets. Similar firewalls exist for other specific protocols.
  - **System call firewalls** guard the boundary between user mode and system mode, and reject any system calls that violate security policies.

## Computer-Security Classifications

- No computer system can be 100% secure, and attempts to make it so can quickly make it unusable.
- However one can establish a level of trust to which one feels "safe" using a given computer system for particular security needs.
- The U.S. Department of Defense's "Trusted Computer System Evaluation Criteria" defines four broad levels of trust, and sub-levels in some cases:
  - Level D is the least trustworthy, and encompasses all systems that do not meet any of the more stringent criteria. DOS and Windows 3.1 fall into level D, which

- has no user identification or authorization, and anyone who sits down has full access and control over the machine.
- Level C1 includes user identification and authorization, and some means of controlling what users are allowed to access what files. It is designed for use by a group of mostly cooperating users, and describes most common UNIX systems.
  - Level C2 adds individual-level control and monitoring. For example file access control can be allowed or denied on a per-individual basis, and the system administrator can monitor and log the activities of specific individuals. Another restriction is that when one user uses a system resource and then returns it back to the system, another user who uses the same resource later cannot read any of the information that the first user stored there. (I.e. buffers, etc. are wiped out between users, and are not left full of old contents.) Some special secure versions of UNIX have been certified for C2 security levels, such as SCO.
  - Level B adds sensitivity labels on each object in the system, such as "secret", "top secret", and "confidential". Individual users have different clearance levels, which controls which objects they are able to access. All human-readable documents are labeled at both the top and bottom with the sensitivity level of the file.
  - Level B2 extends sensitivity labels to all system resources, including devices. B2 also supports covert channels and the auditing of events that could exploit covert channels.
  - B3 allows creation of access-control lists that denote users NOT given access to specific objects.
  - Class A is the highest level of security. Architecturally it is the same as B3, but it is developed using formal methods which can be used to *prove* that the system meets all requirements and cannot have any possible bugs or other vulnerabilities. Systems in class A and higher may be developed by trusted personnel in secure facilities.
  - These classifications determine what a system *can* implement, but it is up to security policy to determine *how* they are implemented in practice. These systems and policies can be reviewed and certified by trusted organizations, such as the National Computer Security Centre. Other standards may dictate physical protections and other issues.

## An Example: Windows XP

- Windows XP is a general purpose OS designed to support a wide variety of security features and methods. It is based on user accounts which can be grouped in any manner.
- When a user logs on, a ***security access token*** is issued that includes the security ID for the user, security IDs for any groups of which the user is a member, and a list of any special privileges the user has, such as performing backups, shutting down the system, and changing the system clock.
- Every process running on behalf of a user gets a copy of the user's security token, which determines the privileges of that process running on behalf of that user.
- Authentication is normally done via passwords, but the modular design of XP allows for alternative authentication such as retinal scans or fingerprint readers.
- Windows XP includes built-in auditing that allows many common security threats to be monitored, such as successful and unsuccessful logins, logouts, attempts to write to executable files, and access to certain sensitive files.

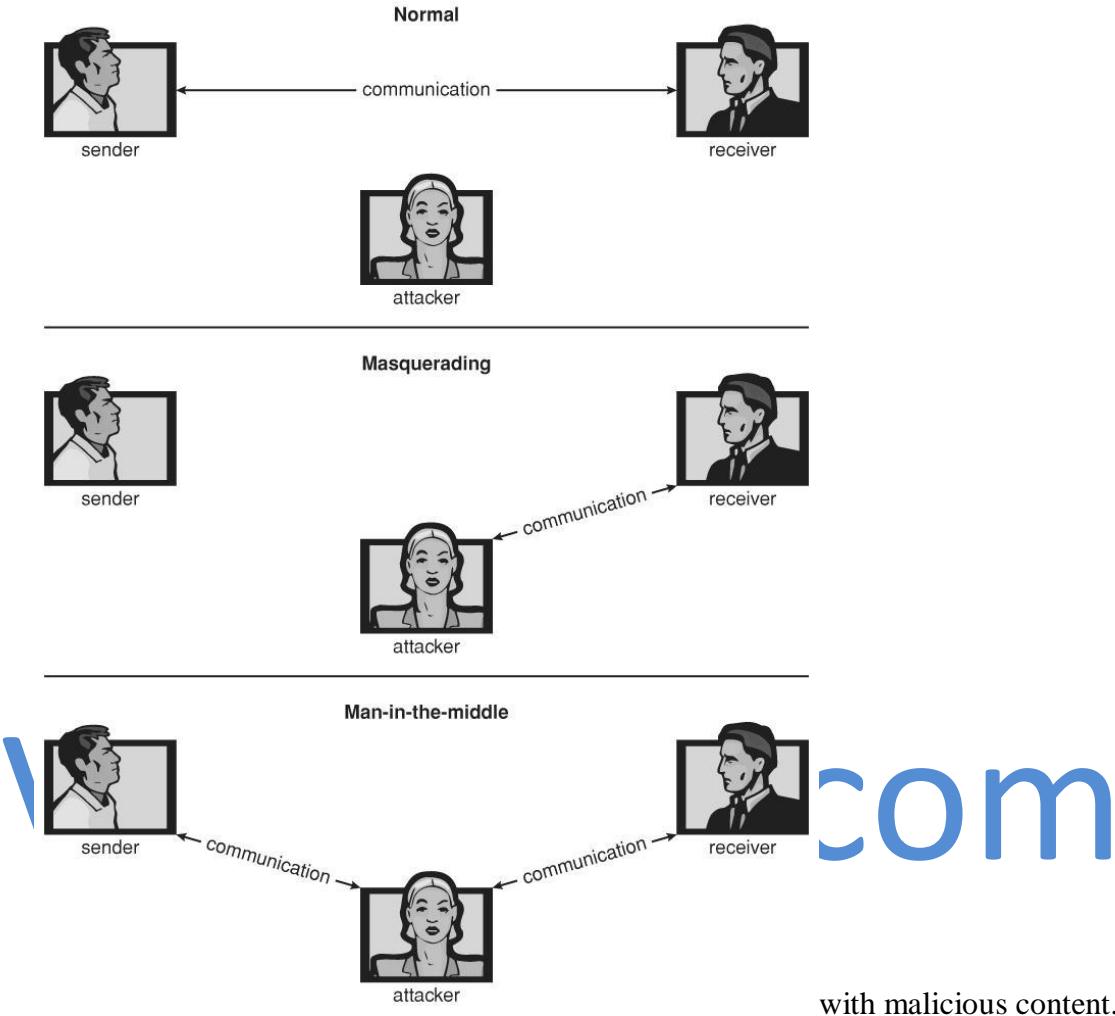
- Security attributes of objects are described by **security descriptors**, which include the ID of the owner, group ownership for POSIX subsystems only, a discretionary access-control list describing exactly what permissions each user or group on the system has for this particular object, and auditing control information.
- The access control lists include for each specified user or group either Access Allowed or Access Denied for the following types of actions: Read Data, Write Data, Append Data, Execute, Read Attributes, Write Attributes, ReadExtendedAttribute, and WriteExtendedAttribute.
- **Container objects** such as directories can logically contain other objects. When a new object is created in a container or copied into a container, by default it inherits the permissions of the new container. **No container objects** inherit any other permission. If the permissions of the container are changed later, that does not affect the permissions of the contained objects.
- Although Windows XP is capable of supporting a secure system, many of the security features are not enabled by default, resulting in a fair number of security breaches on XP systems. There are also a large number of system daemons and other programs that start automatically at start-up, whether the system administrator has thought about them or not. (My system currently has 54 processes running, most of which I did not deliberately start and which have short cryptic names which makes it hard to divine exactly what they do or why. Faced with this situation, most users and administrators will simply leave alone anything they don't understand. )

## 5.3 Security

### The Security Problem

- Protection dealt with protecting files and other resources from accidental misuse by cooperating users sharing a system, generally using the computer for normal purposes.
- Security deals with protecting systems from deliberate attacks, either internal or external, from individuals intentionally attempting to steal information, damage information, or otherwise deliberately wreak havoc in some manner.
- Some of the most common types of **violations** include:
  - **Breach of Confidentiality** - Theft of private or confidential information, such as credit-card numbers, trade secrets, patents, secret formulas, manufacturing procedures, medical information, financial information, etc.
  - **Breach of Integrity** - Unauthorized **modification** of data, which may have serious indirect consequences. For example a popular game or other program's source code could be modified to open up security holes on users systems before being released to the public.
  - **Breach of Availability** - Unauthorized **destruction** of data, often just for the "fun" of causing havoc and for bragging rites. Vandalism of web sites is a common form of this violation.
  - **Theft of Service** - Unauthorized use of resources, such as theft of CPU cycles, installation of daemons running an unauthorized file server, or tapping into the target's telephone or networking services.
  - **Denial of Service, DOS** - Preventing legitimate users from using the system, often by overloading and overwhelming the system with an excess of requests for service.

- One common attack is ***masquerading***, in which the attacker pretends to be a trusted third party. A variation of this is the ***man-in-the-middle***, in which the attacker masquerades as both ends of the conversation to two targets.
- A ***replay attack*** involves repeating a valid transmission. Sometimes this can be the entire attack, (such as repeating a request for a money transfer), or other times the content of the original message is replaced



**Figure - Standard security attacks.**

- There are four levels at which a system must be protected:
  1. **Physical** - The easiest way to steal data is to pocket the backup tapes. Also, access to the root console will often give the user special privileges, such as rebooting the system as root from removable media. Even general access to terminals in a computer room offers some opportunities for an attacker, although today's modern high-speed networking environment provides more and more opportunities for remote attacks.
  2. **Human** - There is some concern that the humans who are allowed access to a system be trustworthy, and that they cannot be coerced into breaching security. However more and more attacks today are made via ***social engineering***, which basically means fooling trustworthy people into accidentally breaching security.

- **Phishing** involves sending an innocent-looking e-mail or web site designed to fool people into revealing confidential information. E.g. spam e-mails pretending to be from e-Bay, PayPal, or any of a number of banks or credit-card companies.
  - **Dumpster Diving** involves searching the trash or other locations for passwords that are written down. (Note: Passwords that are too hard to remember, or which must be changed frequently are more likely to be written down somewhere close to the user's station.)
  - **Password Cracking** involves divining user's passwords, either by watching them type in their passwords, knowing something about them like their pet's names, or simply trying all words in common dictionaries. (Note: "Good" passwords should involve a minimum number of characters, include non-alphabetical characters, and not appear in any dictionary (in any language), and should be changed frequently. Note also that it is proper etiquette to look away from the keyboard while someone else is entering their password. )
3. **Operating System** - The OS must protect itself from security breaches, such as runaway processes (denial of service), memory-access violations, stack overflow violations, the launching of programs with excessive privileges, and many others.
  4. **Network** - As network communications become ever more important and pervasive in modern computing environments, it becomes ever more important to protect this area of the system. (Both protecting the network itself from attack, and protecting the local system from attacks coming in through the network.) This is a growing area of concern as wireless communications and portable devices become more and more prevalent.

## Program Threats

- There are many common threats to modern systems. Only a few are discussed here.

### Trojan Horse

- A **Trojan Horse** is a program that secretly performs some maliciousness in addition to its visible actions.
- Some Trojan horses are deliberately written as such, and others are the result of legitimate programs that have become infected with **viruses**, (see below.)
- One dangerous opening for Trojan horses is long search paths, and in particular paths which include the current directory (".") as part of the path. If a dangerous program having the same name as a legitimate program (or a common mis-spelling, such as "sl" instead of "ls") is placed anywhere on the path, then an unsuspecting user may be fooled into running the wrong program by mistake.
- Another classic Trojan Horse is a login emulator, which records a users account name and password, issues a "password incorrect" message, and then logs off the system. The user then tries again (with a proper login prompt), logs in successfully, and doesn't realize that their information has been stolen.
- Two solutions to Trojan Horses are to have the system print usage statistics on logouts, and to require the typing of non-trappable key sequences such as Control-Alt-Delete in order to log in. (This is why modern Windows systems require the Control-Alt-Delete

sequence to commence logging in, which cannot be emulated or caught by ordinary programs. I.e. that key sequence always transfers control over to the operating system. )

- **Spy ware** is a version of a Trojan Horse that is often included in "free" software downloaded off the Internet. Spy ware programs generate pop-up browser windows, and may also accumulate information about the user and deliver it to some central site. (This is an example of **covert channels**, in which surreptitious communications occur.) Another common task of spyware is to send out spam e-mail messages, which then purportedly come from the infected user.

## Trap Door

- A **Trap Door** is when a designer or a programmer (or hacker) deliberately inserts a security hole that they can use later to access the system.
- Because of the possibility of trap doors, once a system has been in an untrustworthy state, that system can never be trusted again. Even the backup tapes may contain a copy of some cleverly hidden back door.
- A clever trap door could be inserted into a compiler, so that any programs compiled with that compiler would contain a security hole. This is especially dangerous, because inspection of the code being compiled would not reveal any problems.

## Logic Bomb

- A **Logic Bomb** is code that is not designed to cause havoc all the time, but only when a certain set of circumstances occurs, such as when a particular date or time is reached or some other noticeable event.
- A classic example is the **Dead-Man Switch**, which is designed to check whether a certain person (e.g. the author) is logging in every day, and if they don't log in for a long time (presumably because they've been fired), then the logic bomb goes off and either opens up security holes or causes other problems.

## Stack and Buffer Overflow

- This is a classic method of attack, which exploits bugs in system code that allows buffers to overflow. Consider what happens in the following code, for example, if argv[ 1 ] exceeds 256 characters:
  - The strcpy command will overflow the buffer, overwriting adjacent areas of memory.
  - (The problem could be avoided using strncpy, with a limit of 255 characters copied plus room for the null byte.)

```

#include
#define BUFFER_SIZE 256

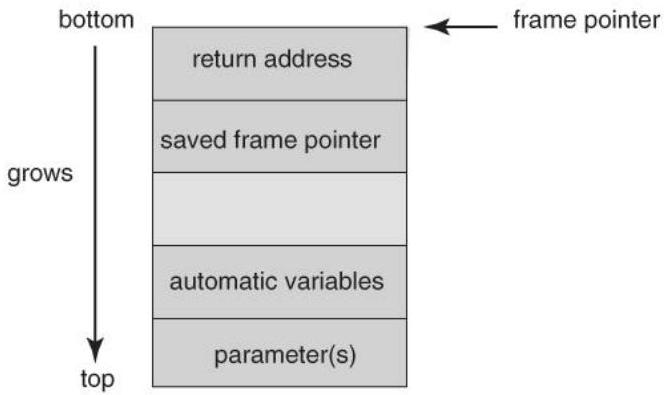
int main( int argc, char * argv[ ] )
{
    char buffer[ BUFFER_SIZE ];

    if( argc < 2 )
        return -1;
    else {
        strcpy( buffer, argv[ 1 ] );
        return 0;
    }
}

```

**Figure - C program with buffer-overflow condition.**

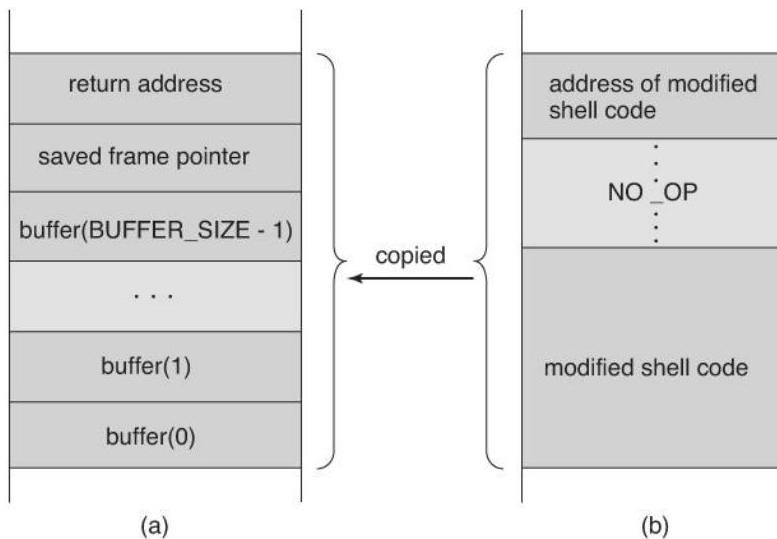
- So how does overflowing the buffer cause a security breach? Well the first step is to understand the structure of the stack in memory:
  - The "bottom" of the stack is actually at a high memory address, and the stack grows towards lower addresses.
  - However the address of an array is the lowest address of the array, and higher array elements extend to higher addresses. (I.e. an array "grows" towards the bottom of the stack.)
  - In particular, writing past the top of an array, as occurs when a buffer overflows with too much input data, can eventually overwrite the return address, effectively changing where the program jumps to when it returns.



**Figure- The layout for a typical stack frame.**

- Now that we know how to change where the program returns to by overflowing the buffer, the second step is to insert some nefarious code, and then get the program to jump to our inserted code.
- Our only opportunity to enter code is via the input into the buffer, which means there isn't room for very much. One of the simplest and most obvious approaches is to insert the code for "exec (/bin/sh)". To do this requires compiling a program that contains this instruction, and then using an assembler or debugging tool to extract the minimum extent that includes the necessary instructions.

- The bad code is then padded with as many extra bytes as are needed to overflow the buffer to the correct extent, and the address of the buffer inserted into the return address location. (Note, however, that neither the bad code nor the padding can contain null bytes, which would terminate the strcpy.)
- The resulting block of information is provided as "input", copied into the buffer by the original program, and then the return statement causes control to jump to the location of the buffer and start executing the code to launch a shell.

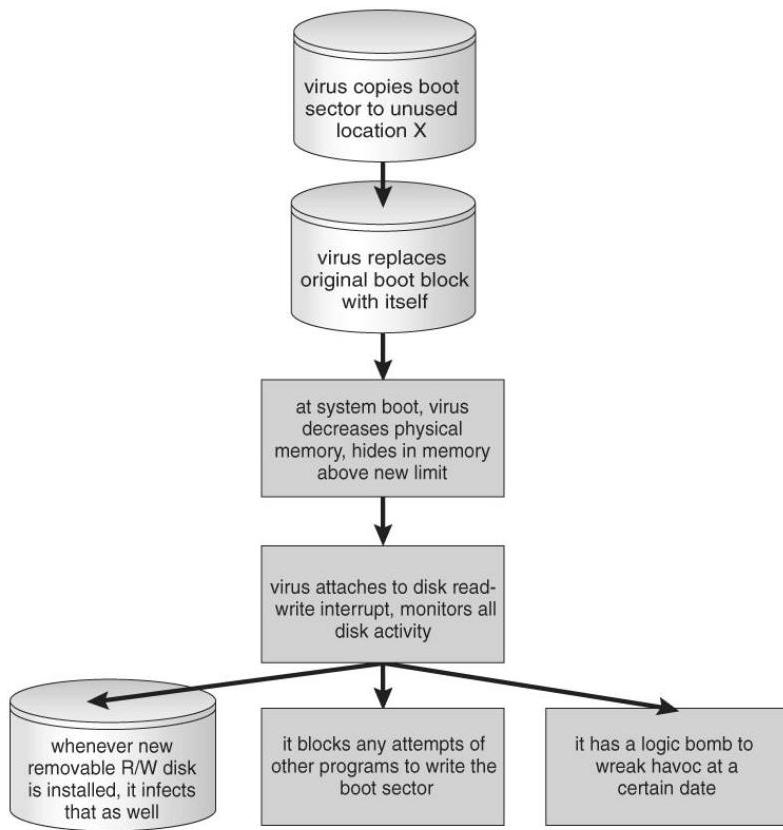


**Figure - Hypothetical stack frame for Figure 15.2, (a) before and (b) after.**

- Unfortunately famous hacks such as the buffer overflow attack are well published and well known, and it doesn't take a lot of skill to follow the instructions and start attacking lots of systems until the law of averages eventually works out. (Script *Kiddies* are those hackers with only rudimentary skills of their own but the ability to copy the efforts of others.)
- Fortunately modern hardware now includes a bit in the page tables to mark certain pages as non-executable. In this case the buffer-overflow attack would work up to a point, but as soon as it "returns" to an address in the data space and tries executing statements there, an exception would be thrown crashing the program.

## Viruses

- A virus is a fragment of code embedded in an otherwise legitimate program, designed to replicate itself (by infecting other programs), and (eventually) wreaking havoc.
- Viruses are more likely to infect PCs than UNIX or other multi-user systems, because programs in the latter systems have limited authority to modify other programs or to access critical system structures (such as the boot block.)
- Viruses are delivered to systems in a **virus dropper**, usually some form of a Trojan Horse, and usually via e-mail or unsafe downloads.
- Viruses take many forms (see below.) Figure 15.5 shows typical operation of a boot sector virus:



**Figure - A boot-sector computer virus.**

- Some of the forms of viruses include:
  - **File** - A file virus attaches itself to an executable file, causing it to run the virus code first and then jump to the start of the original program. These viruses are termed *parasitic*, because they do not leave any new files on the system, and the original program is still fully functional.
  - **Boot** - A boot virus occupies the boot sector, and runs before the OS is loaded. These are also known as *memory viruses*, because in operation they reside in memory, and do not appear in the file system.
  - **Macro** - These viruses exist as a macro (script) that is run automatically by certain macro-capable programs such as MS Word or Excel. These viruses can exist in word processing documents or spreadsheet files.
  - **Source code** viruses look for source code and infect it in order to spread.
  - **Polymorphic** viruses change every time they spread - Not their underlying functionality, but just their *signature*, by which virus checkers recognize them.
  - **Encrypted** viruses travel in encrypted form to escape detection. In practice they are self-decrypting, which then allows them to infect other files.
  - **Stealth** viruses try to avoid detection by modifying parts of the system that could be used to detect it. For example the read ( ) system call could be modified so that if an infected file is read the infected part gets skipped and the reader would see the original unadulterated file.

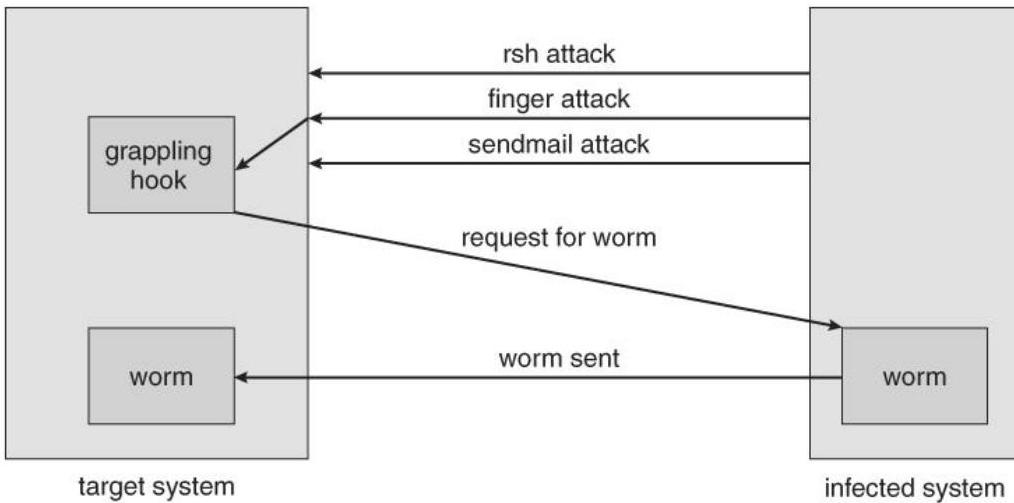
- **Tunneling** viruses attempt to avoid detection by inserting themselves into the interrupt handler chain, or into device drivers.
  - **Multipartite** viruses attack multiple parts of the system, such as files, boot sector, and memory.
  - **Armoured** viruses are coded to make them hard for anti-virus researchers to decode and understand. In addition many files associated with viruses are hidden, protected, or given innocuous looking names such as "...".
- In 2004 a virus exploited three bugs in Microsoft products to infect hundreds of Windows servers ( including many trusted sites ) running Microsoft Internet Information Server, which in turn infected any Microsoft Internet Explorer web browser that visited any of the infected server sites. One of the back-door programs it installed was a ***keystroke logger***, which records user's keystrokes, including passwords and other sensitive information.
- There is some debate in the computing community as to whether a ***monoculture***, in which nearly all systems run the same hardware, operating system, and applications, increases the threat of viruses and the potential for harm caused by them.

## System and Network Threats

- Most of the threats described above are termed ***program threats***, because they attack specific programs or are carried and distributed in programs. The threats in this section attack the operating system or the network itself, or leverage those systems to launch their attacks.

## Worms

- A **worm** is a process that uses the fork / spawns process to make copies of itself in order to wreak havoc on a system. Worms consume system resources, often blocking out other, legitimate processes. Worms that propagate over networks can be especially problematic, as they can tie up vast amounts of network resources and bring down large-scale systems.
- One of the most well-known worms was launched by Robert Morris, a graduate student at Cornell, in November 1988. Targeting Sun and VAX computers running BSD UNIX version 4, the worm spanned the Internet in a matter of a few hours, and consumed enough resources to bring down many systems.
- This worm consisted of two parts:
  3. A small program called a ***grappling hook***, which was deposited on the target system through one of three vulnerabilities, and
  4. The main worm program, which was transferred onto the target system and launched by the grappling hook program.



**Figure - The Morris Internet worm.**

- The three vulnerabilities exploited by the Morris Internet worm were as follows:
  7. **rsh (remote shell)** is a utility that was in common use at that time for accessing remote systems without having to provide a password. If a user had an account on two different computers (with the same account name on both systems), then the system could be configured to allow that user to remotely connect from one system to the other without having to provide a password. Many systems were configured so that *any* user (except root) on system A could access the same account on system B without providing a password.
  8. **finger** is a utility that allows one to remotely query a user database, to find the true name and other information for a given account name on a given system. For example "finger joeUser@somemachine.edu" would access the finger daemon at somemachine.edu and return information regarding joeUser. Unfortunately the finger daemon (which ran with system privileges) had the buffer overflow problem, so by sending a special 536-character user name the worm was able to fork a shell on the remote system running with root privileges.
  9. **send mail** is a routine for sending and forwarding mail that also included a debugging option for verifying and testing the system. The debug feature was convenient for administrators, and was often left turned on. The Morris worm exploited the debugger to mail and executes a copy of the grappling hook program on the remote system.
- Once in place, the worm undertook systematic attacks to discover user passwords:
  10. First it would check for accounts for which the account name and the password were the same, such as "guest", "guest".
  11. Then it would try an internal dictionary of 432 favorite password choices. (I'm sure "password", "pass", and blank passwords were all on the list.)
  12. Finally it would try every word in the standard UNIX on-line dictionary to try and break into user accounts.

- Once it had gotten access to one or more user accounts, then it would attempt to use those accounts to rsh to other systems, and continue the process.
- With each new access the worm would check for already running copies of itself, and 6 out of 7 times if it found one it would stop. (The seventh was to prevent the worm from being stopped by fake copies.)
- Fortunately the same rapid network connectivity that allowed the worm to propagate so quickly also quickly led to its demise - Within 24 hours remedies for stopping the worm propagated through the Internet from administrator to administrator, and the worm was quickly shut down.
- There is some debate about whether Mr. Morris's actions were a harmless prank or research project that got out of hand or a deliberate and malicious attack on the Internet. However the court system convicted him, and penalized him heavy fines and court costs.
- There have since been many other worm attacks, including the W32.Sobig.F@mm attack which infected hundreds of thousands of computers and an estimated 1 in 17 e-mails in August 2003. This worm made detection difficult by varying the subject line of the infection-carrying mail message, including "Thank You!", "Your details", and "Re: Approved".

## Port Scanning

- Port Scanning** is technically not an attack, but rather a search for vulnerabilities to attack. The basic idea is to systematically attempt to connect to every known (or common or possible) network port on some remote machine, and to attempt to make contact. Once it is determined that a particular computer is listening to a particular port, then the next step is to determine what daemon is listening, and whether or not it is a version containing a known security flaw that can be exploited.
- Because port scanning is easily detected and traced, it is usually launched from **zombie systems**, i.e. previously hacked systems that are being used without the knowledge or permission of their rightful owner. For this reason it is important to protect "innocuous" systems and accounts as well as those that contain sensitive information or special privileges.
- There are also port scanners available that administrators can use to check their own systems, which report any weaknesses found but which do not exploit the weaknesses or cause any problems. Two such systems are **nmap** (<http://www.insecure.org/nmap>) and **nessus** (<http://www.nessus.org>). The former identifies what OS is found, what firewalls are in place, and what services are listening to what ports. The latter also contains a database of known security holes, and identifies any that it finds.

## Denial of Service

- Denial of Service ( DOS )** attacks do not attempt to actually access or damage systems, but merely to clog them up so badly that they cannot be used for any useful work. Tight loops that repeatedly request system services are an obvious form of this attack.
- DOS attacks can also involve social engineering, such as the Internet chain letters that say "send this immediately to 10 of your friends, and then go to a certain URL", which clogs up not only the Internet mail system but also the web server to which everyone is directed. ( Note: Sending a "reply all" to such a message notifying everyone that it was

just a hoax also clogs up the Internet mail service, just as effectively as if you had forwarded the thing. )

- Security systems that lock accounts after a certain number of failed login attempts are subject to DOS attacks which repeatedly attempt logins to all accounts with invalid passwords strictly in order to lock up all accounts.
- Sometimes DOS is not the result of deliberate maliciousness. Consider for example:
  - A web site that sees a huge volume of hits as a result of a successful advertising campaign.
  - CNN.com occasionally gets overwhelmed on big news days, such as Sept 11, 2001.
  - CS students given their first programming assignment involving fork( ) often quickly fill up process tables or otherwise completely consume system resources. :-)
  - ( Please use ipcs and ipcrm when working on the inter-process communications assignment ! )

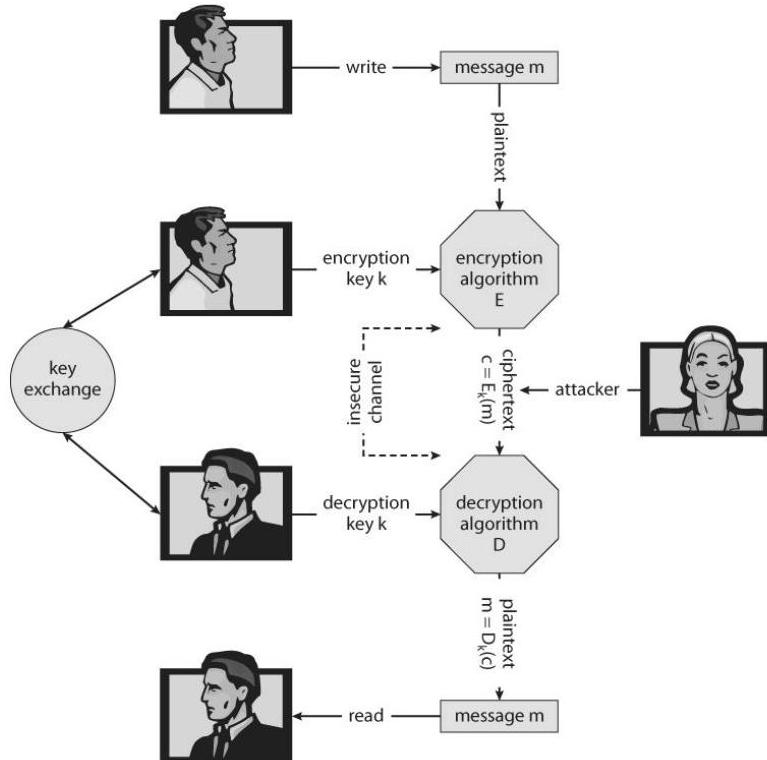
## Cryptography as a Security Tool

- Within a given computer the transmittal of messages is safe, reliable and secure, because the OS knows exactly where each one is coming from and where it is going.
- On a network, however, things aren't so straightforward - A rogue computer ( or e-mail sender ) may spoof their identity, and outgoing packets are delivered to a lot of other computers besides their ( intended ) final destination, which brings up two big questions of security:
  - **Trust** - How can the system be sure that the messages received are really from the source that they say they are, and can that source be trusted?
  - **Confidentiality** - How can one ensure that the messages one is sending are received only by the intended recipient?
- Cryptography can help with both of these problems, through a system of **secrets** and **keys**. In the former case, the key is held by the sender, so that the recipient knows that only the authentic author could have sent the message; In the latter, the key is held by the recipient, so that only the intended recipient can receive the message accurately.
- Keys are designed so that they cannot be divined from any public information, and must be guarded carefully. (**Asymmetric encryption** involves both a public and a private key. )

## Encryption

- The basic idea of encryption is to encode a message so that only the desired recipient can decode and read it. Encryption has been around since before the days of Caesar, and is an entire field of study in itself. Only some of the more significant computer encryption schemes will be covered here.
- The basic process of encryption is shown in Figure 15.7, and will form the basis of most of our discussion on encryption. The steps in the procedure and some of the key terminology are as follows:

8. The **sender** first creates a **message**,  $m$  in plaintext.
9. The message is then entered into an **encryption algorithm**,  $E$ , along with the **encryption key**,  $K_e$ .
10. The encryption algorithm generates the **cipher text**,  $c = E(K_e)(m)$ . For any key  $k$ ,  $E(k)$  is an algorithm for generating cipher text from a message, and both  $E$  and  $E(k)$  should be efficiently computable functions.
11. The cipher text can then be sent over an unsecured network, where it may be received by **attackers**.
12. The **recipient** enters the cipher text into a **decryption algorithm**,  $D$ , along with the **decryption key**,  $K_d$ .
13. The decryption algorithm re-generates the plaintext message,  $m = D(K_d)(c)$ . For any key  $k$ ,  $D(k)$  is an algorithm for generating a clear text message from a cipher text, and both  $D$  and  $D(k)$  should be efficiently computable functions.
14. The algorithms described here must have this important property: Given a cipher text  $c$ , a computer can only compute a message  $m$  such that  $c = E(k)(m)$  if it possesses  $D(k)$ . ( In other words, the messages can't be decoded unless you have the decryption algorithm and the decryption key. )



**Figure - A secure communication over an insecure medium.**

## Symmetric Encryption

- With **symmetric encryption** the same key is used for both encryption and decryption, and must be safely guarded. There are a number of well-known symmetric encryption algorithms that have been used for computer security:

- The **Data-Encryption Standard, DES**, developed by the National Institute of Standards, NIST, has been a standard civilian encryption standard for over 20 years. Messages are broken down into 64-bit chunks, each of which is encrypted using a 56-bit key through a series of substitutions and transformations. Some of the transformations are hidden ( black boxes ), and are classified by the U.S. government.
- DES is known as a **block cipher**, because it works on blocks of data at a time. Unfortunately this is vulnerability if the same key is used for an extended amount of data. Therefore an enhancement is to not only encrypt each block, but also to XOR it with the previous block, in a technique known as **cipher-block chaining**.
- As modern computers become faster and faster, the security of DES has decreased, to where it is now considered insecure because its keys can be exhaustively searched within a reasonable amount of computer time. An enhancement called **triple DES** encrypts the data three times using three separate keys ( actually two encryptions and one decryption ) for an effective key length of 168 bits. Triple DES is in widespread use today.
- The **Advanced Encryption Standard, AES**, developed by NIST in 2001 to replace DES uses key lengths of 128, 192, or 256 bits, and encrypts in blocks of 128 bits using 10 to 14 rounds of transformations on a matrix formed from the block.
- The **two fish algorithm**, uses variable key lengths up to 256 bits and works on 128 bit blocks.
- **RC5** can vary in key length, block size, and the number of transformations, and runs on a wide variety of CPUs using only basic computations.
- **RC4** is a **stream cipher**, meaning it acts on a stream of data rather than blocks. The key is used to seed a pseudo-random number generator, which generates a **key stream** of keys. RC4 is used in **WEP**, but has been found to be breakable in a reasonable amount of computer time.

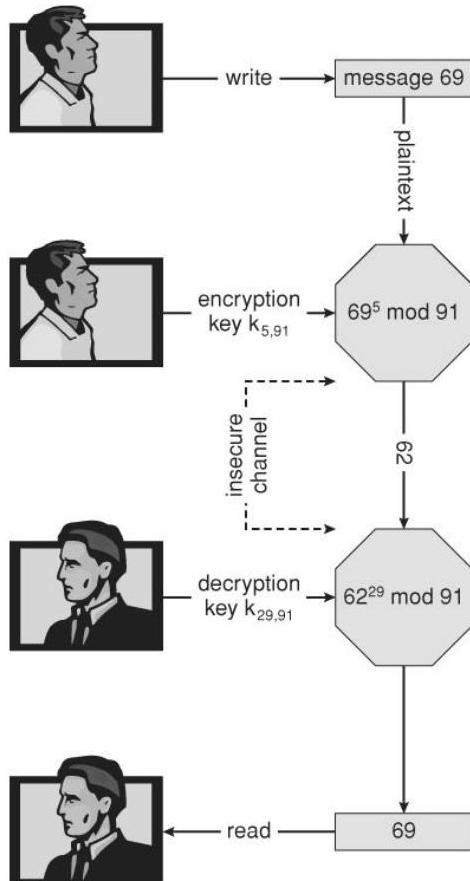
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## Asymmetric Encryption

- With **asymmetric encryption**, the decryption key,  $K_d$ , is not the same as the encryption key,  $K_e$ , and more importantly cannot be derived from it, which means the encryption key can be made publicly available, and only the decryption key needs to be kept secret. ( or vice-versa, depending on the application. )
- One of the most widely used asymmetric encryption algorithms is **RSA**, named after its developers - Rivest, Shamir, and Adleman.
- RSA is based on two large prime numbers,  $p$  and  $q$ , ( on the order of 512 bits each ), and their product  $N$ .
  - $K_e$  and  $K_d$  must satisfy the relationship:  $( K_e * K_d ) \% [ ( p - 1 ) * ( q - 1 ) ] = = 1$
  - The encryption algorithm is:  

$$c = E(K_e)(m) = m^K_e \% N$$

- The decryption algorithm is:  
 $m = D(K_d)(c) = c^{K_d} \% N$
- An example using small numbers:
  - $p = 7$
  - $q = 13$
  - $N = 7 * 13 = 91$
  - $(p - 1) * (q - 1) = 6 * 12 = 72$
  - Select  $K_e < 72$  and relatively prime to 72, say 5
  - Now select  $K_d$ , such that  $(K_e * K_d) \% 72 = 1$ , say 29
  - The public key is now  $(5, 91)$  and the private key is  $(29, 91)$
  - ) ○ Let the message,  $m = 42$
  - Encrypt:  $c = 42^5 \% 91 = 35$
  - Decrypt:  $m = 35^{29} \% 91 = 42$



**Figure - Encryption and decryption using RSA asymmetric cryptography**

- Note that asymmetric encryption is much more computationally expensive than symmetric encryption, and as such it is not normally used for large transmissions. Asymmetric encryption is suitable for small messages, authentication, and key distribution, as covered in the following sections.

## Authentication

- Authentication involves verifying the identity of the entity that transmitted a message.

- For example, if  $D(Kd)(c)$  produces a valid message, then we know the sender was in possession of  $E(Ke)$ .
- This form of authentication can also be used to verify that a message has not been modified
- Authentication revolves around two functions, used for *signatures* ( or *signing* ), and *verification*:
  - A signing function,  $S(Ks)$  that produces an *authenticator*,  $A$ , from any given message  $m$ .
  - A Verification function,  $V(Kv, m, A)$  that produces a value of "true" if  $A$  was created from  $m$ , and "false" otherwise.
  - Obviously  $S$  and  $V$  must both be computationally efficient.
  - More importantly, it must not be possible to generate a valid authenticator,  $A$ , without having possession of  $S(Ks)$ .
  - Furthermore, it must not be possible to divine  $S(Ks)$  from the combination of (  $m$  and  $A$  ), since both are sent visibly across networks.
- Understanding authenticators begins with an understanding of hash functions, which is the first step:
  - **Hash functions**,  $H(m)$  generate a small fixed-size block of data known as a *message digest*, or *hash value* from any given input data.
  - For authentication purposes, the hash function must be **collision resistant on  $m$** . That is it should not be reasonably possible to find an alternate message  $m'$  such that  $H(m') = H(m)$ .
  - Popular hash functions are **MD5**, which generates a 128-bit message digest, and **SHA-1**, which generates a 160-bit digest.
- Message digests are useful for detecting ( accidentally ) changed messages, but are not useful as authenticators, because if the hash function is known, then someone could easily change the message and then generate a new hash value for the modified message. Therefore authenticators take things one step further by encrypting the message digest.
- A **message-authentication code**, **MAC**, uses symmetric encryption and decryption of the message digest, which means that anyone capable of verifying an incoming message could also generate a new message.
- An asymmetric approach is the **digital-signature algorithm**, which produces authenticators called **digital signatures**. In this case  $Ks$  and  $Kv$  are separate,  $Kv$  is the public key, and it is not practical to determine  $S(Ks)$  from public information. In practice the sender of a message signs it ( produces a digital signature using  $S(Ks)$  ), and the receiver uses  $V(Kv)$  to verify that it did indeed come from a trusted source, and that it has not been modified.
- There are three good reasons for having separate algorithms for encryption of messages and authentication of messages:
  - Authentication algorithms typically require fewer calculations, making verification a faster operation than encryption.
  - Authenticators are almost always smaller than the messages, improving space efficiency. (?)
  - Sometimes we want authentication only, and not confidentiality, such as when a vendor issues a new software patch.

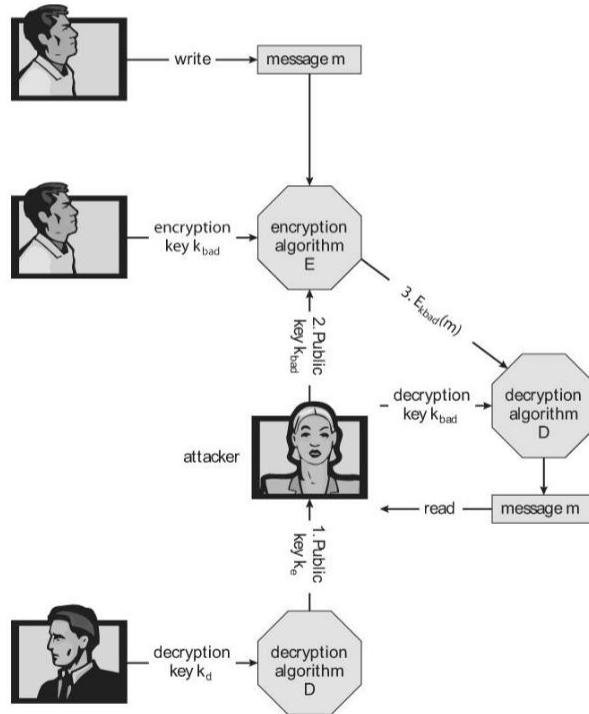
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- Another use of authentication is ***non-repudiation***, in which a person filling out electronic form cannot deny that they were the ones who did so.

## Key Distribution

Key distribution with symmetric cryptography is a major problem, because all keys must be kept secret, and they obviously can't be transmitted over unsecured channels. One option is to send them ***out-of-band***, say via paper or a confidential conversation.

- Another problem with symmetric keys, is that a separate key must be maintained and used for each correspondent with whom one wishes to exchange confidential information.
- Asymmetric encryption solves some of these problems, because the public key can be freely transmitted through any channel, and the private key doesn't need to be transmitted anywhere. Recipients only need to maintain one private key for all incoming messages, though senders must maintain a separate public key for each recipient to which they might wish to send a message. Fortunately the public keys are not confidential, so this ***key-ring*** can be easily stored and managed.
- Unfortunately there is still some security concerns regarding the public keys used in asymmetric encryption. Consider for example the following man-in-the-middle attack involving phony public keys:



**Figure - A man-in-the-middle attack on asymmetric cryptography.**

- One solution to the above problem involves ***digital certificates***, which are public keys that have been digitally signed by a trusted third party. But wait a minute - How do we trust that third party, and how do we know ***they*** are really who they say they are? Certain ***certificate authorities*** have their public keys included within web browsers and other certificate consumers before they are distributed. These certificate authorities can

then vouch for other trusted entities and so on in a web of trust, as explained more fully in section 15.4.3.

## Implementation of Cryptography

- Network communications are implemented in multiple layers - Physical, Data Link, Network, Transport, and Application being the most common breakdown.
- Encryption and security can be implemented at any layer in the stack, with pros and cons to each choice:
  - Because packets at lower levels contain the contents of higher layers, encryption at lower layers automatically encrypts higher layer information at the same time.
  - However security and authorization may be important to higher levels independent of the underlying transport mechanism or route taken.
- At the network layer the most common standard is **IPSec**, a secure form of the IP layer, which is used to set up **Virtual Private Networks, VPNs**.
- At the transport layer the most common implementation is SSL, described below.

## An Example: SSL

- SSL ( Secure Sockets Layer ) 3.0 was first developed by Netscape, and has now evolved into the industry-standard TLS protocol. It is used by web browsers to communicate securely with web servers, making it perhaps the most widely used security protocol on the Internet today.
- SSL is quite complex with many variations, only a simple case of which is shown here.
- The heart of SSL is **session keys**, which are used once for symmetric encryption and then discarded, requiring the generation of new keys for each new session. The big challenge is how to safely create such keys while avoiding man-in-the-middle and replay attacks.
- Prior to commencing the transaction, the server obtains a **certificate** from a **certification authority, CA**, containing:
  - Server attributes such as unique and common names.
  - Identity of the public encryption algorithm,  $E(\cdot)$ , for the server.
  - The public key,  $k_e$  for the server.
  - The validity interval within which the certificate is valid.
  - A digital signature on the above issued by the CA:
    - $a = S(K_{CA})( ( attrs, E(k_e), interval ) )$
- In addition, the client will have obtained a public **verification algorithm**,  $V( K_{CA} )$ , for the certifying authority. Today's modern browsers include these built-in by the browser vendor for a number of trusted certificate authorities.
- The procedure for establishing secure communications is as follows:
  1. The client,  $c$ , connects to the server,  $s$ , and sends a random 28-byte number,  $n_c$ .
  2. The server replies with its own random value,  $n_s$ , along with its certificate of authority.
  3. The client uses its verification algorithm to confirm the identity of the sender, and if all checks out, then the client generates a 46 byte random **premaster secret, pms**, and sends an encrypted version of it as  $cpms = E(k_s)(pms)$
  4. The server recovers pms as  $D(k_s)(cpms)$ .

5. Now both the client and the server can compute a shared 48-byte ***master secret***,  $ms = f(pms, n_s, n_c)$
6. Next, both client and server generate the following from  $ms$ :
  - Symmetric encryption keys  $k_{sc\_crypt}$  and  $k_{cs\_crypt}$  for encrypting messages from the server to the client and vice-versa respectively.
  - MAC generation keys  $k_{sc\_mac}$  and  $k_{cs\_mac}$  for generating authenticators on messages from server to client and client to server respectively.
7. To send a message to the server, the client sends:
  - $c = E(k_{cs\_crypt})(m, S(k_{cs\_mac})(m))$
8. Upon receiving  $c$ , the server recovers:
  - $(m, a) = D(k_{cs\_crypt})(c)$
  - and accepts it if  $V(k_{sc\_mac})(m, a)$  is true.

This approach enables both the server and client to verify the authenticity of every incoming message, and to ensure that outgoing messages are only readable by the process that originally participated in the key generation.

SSL is the basis of many secure protocols, including ***Virtual Private Networks, VPNs***, in which private data is distributed over the insecure public internet structure in an encrypted fashion that emulates a privately owned network.

## User Authentication

- Protection, dealt with making sure that only certain users were allowed to perform certain tasks, i.e. that a user's privileges were dependent on his or her identity. But how does one verify that identity to begin with?

### Passwords

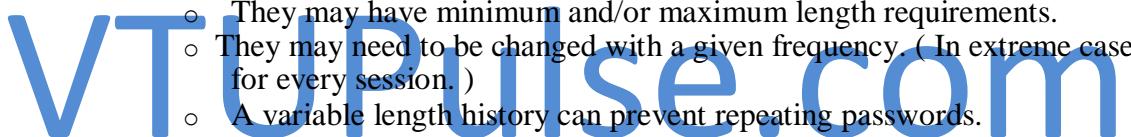


- Passwords are the most common form of user authentication. If the user is in possession of the correct password, then they are considered to have identified themselves.
- In theory separate passwords could be implemented for separate activities, such as reading this file, writing that file, etc. In practice most systems use one password to confirm user identity, and then authorization is based upon that identification. This is a result of the classic trade-off between security and convenience.

### Password Vulnerabilities

- Passwords can be guessed.
  - Intelligent guessing requires knowing something about the intended target in specific, or about people and commonly used passwords in general.
  - Brute-force guessing involves trying every word in the dictionary, or every valid combination of characters. For this reason good passwords should not be in any dictionary (in any language), should be reasonably lengthy, and should use the full range of allowable characters by including upper and lower case characters, numbers, and special symbols.

- "Shoulder surfing" involves looking over people's shoulders while they are typing in their password.
  - Even if the lurker does not get the entire password, they may get enough clues to narrow it down, especially if they watch on repeated occasions.
  - Common courtesy dictates that you look away from the keyboard while someone is typing their password.
  - Passwords echoed as stars or dots still give clues, because an observer can determine how many characters are in the password. :-)
- "Packet sniffing" involves putting a monitor on a network connection and reading data contained in those packets.
  - SSH encrypts all packets, reducing the effectiveness of packet sniffing.
  - However you should still never e-mail a password, particularly not with the word "password" in the same message or worse yet the subject header.
  - Beware of any system that transmits passwords in clear text. ( "Thank you for signing up for XYZ. Your new account and password information are shown below". ) You probably want to have a spare throw-away password to give these entities, instead of using the same high-security password that you use for banking or other confidential uses.
- Long hard to remember passwords are often written down, particularly if they are used seldom or must be changed frequently. Hence a security trade-off of passwords that are easily divined versus those that get written down. :-)
- Passwords can be given away to friends or co-workers, destroying the integrity of the entire user-identification system.
- Most systems have configurable parameters controlling password generation and what constitutes acceptable passwords.
  - They may be user chosen or machine generated.
  - They may have minimum and/or maximum length requirements.
  - They may need to be changed with a given frequency. ( In extreme cases for every session. )
  - A variable length history can prevent repeating passwords.
  - More or less stringent checks can be made against password dictionaries.



## Encrypted Passwords

- Modern systems do not store passwords in clear-text form, and hence there is no mechanism to look up an existing password.
- Rather they are encrypted and stored in that form. When a user enters their password, that too is encrypted, and if the encrypted version matches, then user authentication passes.
- The encryption scheme was once considered safe enough that the encrypted versions were stored in the publicly readable file "/etc/passwd".
  - They always encrypted to a 13 character string, so an account could be disabled by putting a string of any other length into the password field.
  - Modern computers can try every possible password combination in a reasonably short time, so now the encrypted passwords are stored in files that are only readable by the super user. Any password-related programs run as setuid root to get access to these files. ( /etc/shadow )
  - A random seed is included as part of the password generation process, and stored as part of the encrypted password. This ensures that if two accounts

have the same plain-text password that they will not have the same encrypted password. However cutting and pasting encrypted passwords from one account to another will give them the same plain-text passwords.

## One-Time Passwords

- One-time passwords resist shoulder surfing and other attacks where an observer is able to capture a password typed in by a user.
  - These are often based on a **challenge** and a **response**. Because the challenge is different each time, the old response will not be valid for future challenges.
    - For example, The user may be in possession of a secret function  $f(x)$ . The system challenges with some given value for  $x$ , and the user responds with  $f(x)$ , which the system can then verify. Since the challenger gives a different ( random )  $x$  each time, the answer is constantly changing.
    - A variation uses a map ( e.g. a road map ) as the key. Today's question might be "On what corner is SEO located?", and tomorrow's question might be "How far is it from Navy Pier to Wrigley Field?" Obviously "Taylor and Morgan" would not be accepted as a valid answer for the second question!
  - Another option is to have some sort of electronic card with a series of constantly changing numbers, based on the current time. The user enters the current number on the card, which will only be valid for a few seconds. A *two-factor authorization* also requires a traditional password in addition to the number on the card, so others may not use it if it were ever lost or stolen.
  - A third variation is a *code book*, or *one-time pad*. In this scheme a long list of passwords is generated, and each one is crossed off and cancelled as it is used. Obviously it is important to keep the pad secure.

## Biometrics

- Biometrics involve a physical characteristic of the user that is not easily forged or duplicated and not likely to be identical between multiple users.
  - Fingerprint scanners are getting faster, more accurate, and more economical.
  - Palm readers can check thermal properties, finger length, etc.
  - Retinal scanners examine the back of the users' eyes.
  - Voiceprint analyzers distinguish particular voices.
  - Difficulties may arise in the event of colds, injuries, or other physiological changes.

## Implementing Security Defenses

### Security Policy

- A security policy should be well thought-out, agreed upon, and contained in a living document that everyone adheres to and is updated as needed.
- Examples of contents include how often port scans are run, password requirements, virus detectors, etc.

## Vulnerability Assessment

- Periodically examine the system to detect vulnerabilities.
  - Port scanning.
  - Check for bad passwords.
  - Look for suid programs.
  - Unauthorized programs in system directories.
  - Incorrect permission bits set.
  - Program checksums / digital signatures which have changed.
  - Unexpected or hidden network daemons.
  - New entries in start-up scripts, shutdown scripts, cron tables, or other system scripts or configuration files.
  - New unauthorized accounts.
- The government considers a system to be only as secure as its most far-reaching component. Any system connected to the Internet is inherently less secure than one that is in a sealed room with no external communications.
- Some administrators advocate "security through obscurity", aiming to keep as much information about their systems hidden as possible, and not announcing any security concerns they come across. Others announce security concerns from the rooftops, under the theory that the hackers are going to find out anyway, and the only ones kept in the dark by obscurity are honest administrators who need to get the word.

## Intrusion Detection

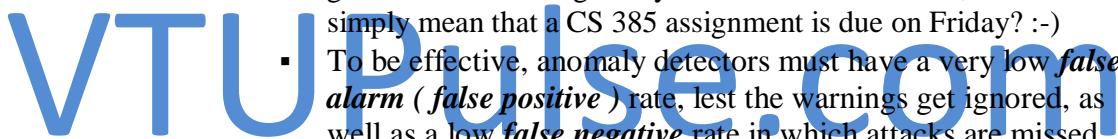
- Intrusion detection attempts to detect attacks, both successful and unsuccessful attempts. Different techniques vary along several axes:
  - The time that detection occurs, either during the attack or after the fact.
  - The types of information examined to detect the attack(s). Some attacks can only be detected by analyzing multiple sources of information.

The response to the attack, which may range from alerting an administrator to automatically stopping the attack ( e.g. killing an offending process ), to tracing back the attack in order to identify the attacker.

  - Another approach is to divert the attacker to a ***honey pot***, on a ***honey net***. The idea behind a honey pot is a computer running normal services, but which no one uses to do any real work. Such a system should not see any network traffic under normal conditions, so any traffic going to or from such a system is by definition suspicious. Honey pots are normally kept on a honey net protected by a ***reverse firewall***, which will let potential attackers in to the honey pot, but will not allow any outgoing traffic. ( So that if the

honey pot is compromised, the attacker cannot use it as a base of operations for attacking other systems. ) Honey pots are closely watched, and any suspicious activity carefully logged and investigated.

- Intrusion Detection Systems, IDSs, raise the alarm when they detect an intrusion. Intrusion Detection and Prevention Systems, IDPs, act as filtering routers, shutting down suspicious traffic when it is detected.
- There are two major approaches to detecting problems:
  - **Signature-Based Detection** scans network packets, system files, etc. looking for recognizable characteristics of known attacks, such as text strings for messages or the binary code for "exec /bin/sh". The problem with this is that it can only detect previously encountered problems for which the signature is known, requiring the frequent update of signature lists.
  - **Anomaly Detection** looks for "unusual" patterns of traffic or operation, such as unusually heavy load or an unusual number of logins late at night.
    - The benefit of this approach is that it can detect previously unknown attacks, so called **zero-day attacks**.
    - One problem with this method is characterizing what is "normal" for a given system. One approach is to benchmark the system, but if the attacker is already present when the benchmarks are made, then the "unusual" activity is recorded as "the norm."
    - Another problem is that not all changes in system performance are the result of security attacks. If the system is bogged down and really slow late on a Thursday night, does that mean that a hacker has gotten in and is using the system to send out SPAM, or does it simply mean that a CS 385 assignment is due on Friday? :-)
    - To be effective, anomaly detectors must have a very low **false alarm ( false positive )** rate, lest the warnings get ignored, as well as a low **false negative** rate in which attacks are missed.



## Virus Protection

- Modern anti-virus programs are basically signature-based detection systems, which also have the ability ( in some cases ) of **disinfecting** the affected files and returning them back to their original condition.
- Both viruses and anti-virus programs are rapidly evolving. For example viruses now commonly mutate every time they propagate, and so anti-virus programs look for families of related signatures rather than specific ones.
- Some antivirus programs look for anomalies, such as an executable program being opened for writing ( other than by a compiler. )
- Avoiding bootleg, free, and shared software can help reduce the chance of catching a virus, but even shrink-wrapped official software has on occasion been infected by disgruntled factory workers.
- Some virus detectors will run suspicious programs in a **sandbox**, an isolated and secure area of the system which mimics the real system.
- **Rich Text Format, RTF**, files cannot carry macros, and hence cannot carry Word macro viruses.

- Known safe programs ( e.g. right after a fresh install or after a thorough examination ) can be digitally signed, and periodically the files can be re-verified against the stored digital signatures. ( Which should be kept secure, such as on off-line write-only medium? )

## Auditing, Accounting, and Logging

- Auditing, accounting, and logging records can also be used to detect anomalous behavior.
- Some of the kinds of things that can be logged include authentication failures and successes, logins, running of suid or sgid programs, network accesses, system calls, etc. In extreme cases almost every keystroke and electron that moves can be logged for future analysis. ( Note that on the flip side, all this detailed logging can also be used to analyze system performance. The down side is that the logging also *affects* system performance ( negatively! ), and so a Heisenberg effect applies. )
- "The Cuckoo's Egg" tells the story of how Cliff Stoll detected one of the early UNIX break ins when he noticed anomalies in the accounting records on a computer system being used by physics researchers.

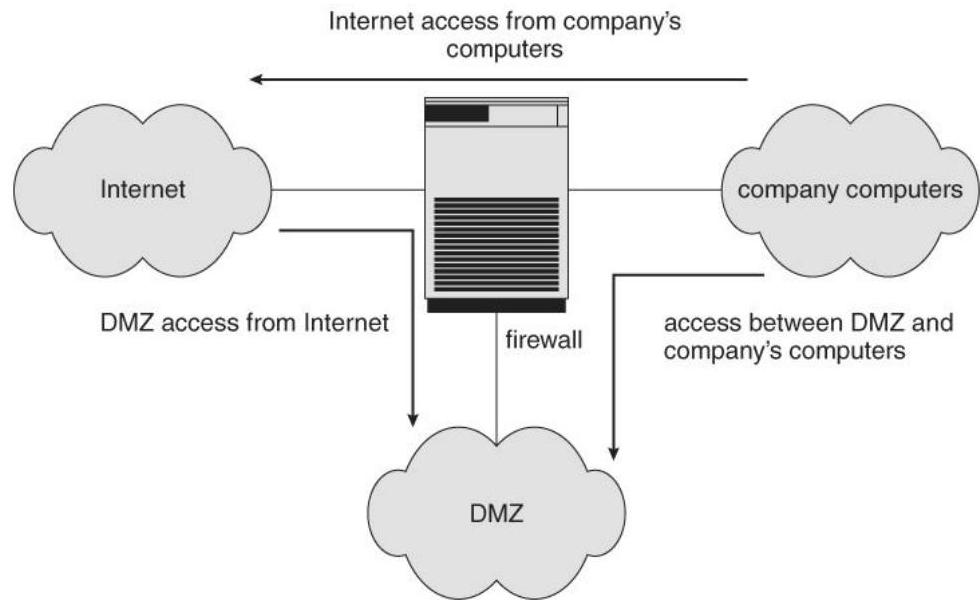
## Tripwire File system ( New Sidebar )

- The tripwire file system monitors files and directories for changes, on the assumption that most intrusions eventually result in some sort of undesired or unexpected file changes.
- The two config file indicates what directories are to be monitored, as well as what properties of each file are to be recorded. ( E.g. one may choose to monitor permission and content changes, but not worry about read access times. )
- When first run, the selected properties for all monitored files are recorded in a database. Hash codes are used to monitor file contents for changes.
- Subsequent runs report any changes to the recorded data, including hash code changes, and any newly created or missing files in the monitored directories.
- For full security it is necessary to also protect the tripwire system itself, most importantly the database of recorded file properties. This could be saved on some external or write-only location, but that makes it harder to change the database when legitimate changes are made.
- It is difficult to monitor files that are *supposed to* change, such as log files. The best tripwire can do in this case is to watch for anomalies, such as a log file that shrinks in size.
- Free and commercial versions are available at <http://tripwire.org> and <http://tripwire.com>.

## Fire walling to Protect Systems and Networks

- Firewalls are devices (or sometimes software) that sits on the border between two securities domains and monitor/log activity between them, sometimes restricting the traffic that can pass between them based on certain criteria.
- For example a firewall router may allow HTTP: requests to pass through to a web server inside a company domain while not allowing telnet, ssh, or other traffic to pass through.
- A common architecture is to establish a de-militarized zone, DMZ, which sort of sits "between" the company domain and the outside world, as shown below. Company computers can reach either the DMZ or the outside world, but outside computers can only

reach the DMZ. Perhaps most importantly, the DMZ cannot reach any of the other company computers, so even if the DMZ is breached, the attacker cannot get to the rest of the company network. (In some cases the DMZ may have limited access to company computers, such as a web server on the DMZ that needs to query a database on one of the other company computers.)



**Figure 15.10 - Domain separation via firewall.**

- Firewalls themselves need to be resistant to attacks, and unfortunately have several vulnerabilities:
  - **Tunneling**, which involves encapsulating forbidden traffic inside of packets that are allowed?
  - Denial of service attacks addressed at the firewall itself.
  - Spoofing, in which an unauthorized host sends packets to the firewall with the return address of an authorized host.
- In addition to the common firewalls protecting a company internal network from the outside world, there are also some specialized forms of firewalls that have been recently developed:
  - A **personal firewall** is a software layer that protects an individual computer. It may be a part of the operating system or a separate software package.
  - An **application proxy firewall** understands the protocols of a particular service and acts as a stand-in (and relay) for the particular service. For example, an SMTP proxy firewall would accept SMTP requests from the outside world, examine them for security concerns, and forward only the "safe" ones on to the real SMTP server behind the firewall.
  - **XML firewalls** examine XML packets only, and reject ill-formed packets. Similar firewalls exist for other specific protocols.
  - **System call firewalls** guard the boundary between user mode and system mode, and reject any system calls that violate security policies.

## Computer-Security Classifications

- No computer system can be 100% secure, and attempts to make it so can quickly make it unusable.
- However one can establish a level of trust to which one feels "safe" using a given computer system for particular security needs.
- The U.S. Department of Defense's "Trusted Computer System Evaluation Criteria" defines four broad levels of trust, and sub-levels in some cases:
  - Level D is the least trustworthy, and encompasses all systems that do not meet any of the more stringent criteria. DOS and Windows 3.1 fall into level D, which has no user identification or authorization, and anyone who sits down has full access and control over the machine.
  - Level C1 includes user identification and authorization, and some means of controlling what users are allowed to access what files. It is designed for use by a group of mostly cooperating users, and describes most common UNIX systems.
  - Level C2 adds individual-level control and monitoring. For example file access control can be allowed or denied on a per-individual basis, and the system administrator can monitor and log the activities of specific individuals. Another restriction is that when one user uses a system resource and then returns it back to the system, another user who uses the same resource later cannot read any of the information that the first user stored there. (I.e. buffers, etc. are wiped out between users, and are not left full of old contents.) Some special secure versions of UNIX have been certified for C2 security levels, such as SCO.
  - Level B adds sensitivity labels on each object in the system, such as "secret", "top secret", and "confidential". Individual users have different clearance levels, which controls which objects they are able to access. All human-readable documents are labeled at both the top and bottom with the sensitivity level of the file.
  - Level B2 extends sensitivity labels to all system resources, including devices. B2 also supports covert channels and the auditing of events that could exploit covert channels.
  - B3 allows creation of access-control lists that denote users NOT given access to specific objects.
  - Class A is the highest level of security. Architecturally it is the same as B3, but it is developed using formal methods which can be used to *prove* that the system meets all requirements and cannot have any possible bugs or other vulnerabilities. Systems in class A and higher may be developed by trusted personnel in secure facilities.
  - These classifications determine what a system *can* implement, but it is up to security policy to determine *how* they are implemented in practice. These systems and policies can be reviewed and certified by trusted organizations, such as the National Computer Security Centre. Other standards may dictate physical protections and other issues.



The logo consists of the letters 'V', 'T', 'U', 'P', 'l', 's', and '.com' in a blue, sans-serif font. The 'V', 'T', 'U', 'P', 'l', and 's' are stacked vertically, while '.com' is positioned to the right of 's'. The 'l' and 's' are slightly overlapping.

## An Example: Windows XP

- Windows XP is a general purpose OS designed to support a wide variety of security features and methods. It is based on user accounts which can be grouped in any manner.
- When a user logs on, a ***security access token*** is issued that includes the security ID for the user, security IDs for any groups of which the user is a member, and a list of any

special privileges the user has, such as performing backups, shutting down the system, and changing the system clock.

- Every process running on behalf of a user gets a copy of the user's security token, which determines the privileges of that process running on behalf of that user.
- Authentication is normally done via passwords, but the modular design of XP allows for alternative authentication such as retinal scans or fingerprint readers.
- Windows XP includes built-in auditing that allows many common security threats to be monitored, such as successful and unsuccessful logins, logouts, attempts to write to executable files, and access to certain sensitive files.
- Security attributes of objects are described by ***security descriptors***, which include the ID of the owner, group ownership for POSIX subsystems only, a discretionary access-control list describing exactly what permissions each user or group on the system has for this particular object, and auditing control information.
- The access control lists include for each specified user or group either Access Allowed or Access Denied for the following types of actions: Read Data, Write Data, Append Data, Execute, Read Attributes, Write Attributes, ReadExtendedAttribute, and WriteExtendedAttribute.
- ***Container objects*** such as directories can logically contain other objects. When a new object is created in a container or copied into a container, by default it inherits the permissions of the new container. ***No container objects*** inherit any other permission. If the permissions of the container are changed later, that does not affect the permissions of the contained objects.
- Although Windows XP is capable of supporting a secure system, many of the security features are not enabled by default, resulting in a fair number of security breaches on XP systems. There are also a large number of system daemons and other programs that start automatically at start-up, whether the system administrator has thought about them or not. (My system currently has 54 processes running, most of which I did not deliberately start and which have short cryptic names which makes it hard to divine exactly what they do or why. Faced with this situation, most users and administrators will simply leave alone anything they don't understand. )