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NETWORK SECURITY ESSENTIALS

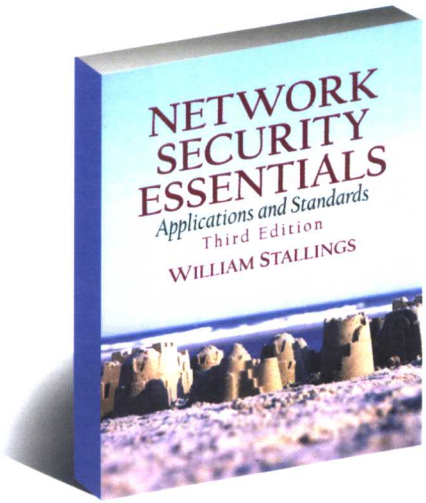
APPLICATIONS AND STANDARDS

Third Edition

网络安全基础

应用与标准（第3版）

William Stallings 著



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出 版 说 明

进入 21 世纪，世界各国的经济、科技以及综合国力的竞争将更加激烈。竞争的中心无疑是对人才的竞争。谁拥有大量高素质的人才，谁就能在竞争中取得优势。高等教育，作为培养高素质人才的事业，必然受到高度重视。目前我国高等教育的教材更新较慢，为了加快教材的更新频率，教育部正在大力促进我国高校采用国外原版教材。

清华大学出版社从 1996 年开始，与国外著名出版公司合作，影印出版了“大学计算机教育丛书（影印版）”等一系列引进图书，受到国内读者的欢迎和支持。跨入 21 世纪，我们本着为我国高等教育教材建设服务的初衷，在已有的基础上，进一步扩大选题内容，改变图书开本尺寸，一如既往地请有关专家挑选适用于我国高校本科及研究生计算机教育的国外经典教材或著名教材，组成本套“大学计算机教育国外著名教材系列（影印版）”，以飨读者。深切期盼读者及时将使用本系列教材的效果和意见反馈给我们。更希望国内专家、教授积极向我们推荐国外计算机教育的优秀教材，以利我们把“大学计算机教育国外著名教材系列（影印版）”做得更好，更适合高校师生的需要。

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PREFACE

"The tie, if I might suggest it, sir, a shade more tightly knotted. One aims at the perfect butterfly effect. If you will permit me—"

"What does it matter, Jeeves, at a time like this? Do you realize that Mr. Little's domestic happiness is hanging in the scale?"

"There is no time, sir, at which ties do not matter."

—*Very Good, Jeeves!* P. G. Wodehouse

In this age of universal electronic connectivity, of viruses and hackers, of electronic eavesdropping and electronic fraud, there is indeed no time at which security does not matter. Two trends have come together to make the topic of this book of vital interest. First, the explosive growth in computer systems and their interconnections via networks has increased the dependence of both organizations and individuals on the information stored and communicated using these systems. This, in turn, has led to a heightened awareness of the need to protect data and resources from disclosure, to guarantee the authenticity of data and messages, and to protect systems from network-based attacks. Second, the disciplines of cryptography and network security have matured, leading to the development of practical, readily available applications to enforce network security.

OBJECTIVES

It is the purpose of this book to provide a practical survey of network security applications and standards. The emphasis is on applications that are widely used on the Internet and for corporate networks, and on standards, especially Internet standards, that have been widely deployed.

INTENDED AUDIENCE

The book is intended for both an academic and a professional audience. As a textbook, it is intended as a one-semester undergraduate course on network security for computer science, computer engineering, and electrical engineering majors. It covers the material in IAS2 Security Mechanisms, a core area in the Information Technology body of knowledge; and NET4 Security, another core area in the Information Technology body of knowledge; these subject areas are part of the Draft ACM/IEEE Computer Society Computing Curricula 2005.

The book also serves as a basic reference volume and is suitable for self-study.

PLAN OF THE BOOK

The book is organized in three parts:

Part One. **Cryptography:** A concise survey of the cryptographic algorithms and protocols underlying network security applications, including encryption, hash functions, digital signatures, and key exchange

Part Two. Network Security Applications: Covers important network security tools and applications, including Kerberos, X.509v3 certificates, PGP, S/MIME, IP Security, SSL/TLS, SET, and SNMPv3

Part Three. System Security: Looks at system-level security issues, including the threat of and countermeasures for intruders and viruses, and the use of firewalls and trusted systems

In addition, the book includes an extensive glossary, a list of frequently used acronyms, and a bibliography. Each chapter includes homework problems, review questions, a list of key words, suggestions for further reading, and recommended Web sites.

A more detailed, chapter-by-chapter summary of each part appears at the beginning of that part.

INSTRUCTIONAL SUPPORT MATERIALS

To support instructors, the following materials are provided:

- **Solutions Manual:** Solutions to all end-of-chapter Review Questions and Problems.
- **PowerPoint Slides:** A set of slides covering all chapters, suitable for use in lecturing.
- **PDF files:** Reproductions of all figures and tables from the book.
- **Projects Manual:** Suggested project assignments for all of the project categories listed below.

Instructors may contact their Pearson Education or Prentice Hall representative for access to these materials.

In addition, the book's Web site support instructors with:

- Links to Webs sites for other courses being taught using this book
- Sign up information for an Internet mailing list for instructors

INTERNET SERVICES FOR INSTRUCTORS AND STUDENTS

There is a Web page for this book that provides support for students and instructors. The page includes links to other relevant sites, transparency masters of figures and tables in the book in PDF (Adobe Acrobat) format, and PowerPoint slides. The Web page is at **WilliamStallings.com/NetSec/NetSec3e.html**. An Internet mailing list has been set up so that instructors using this book can exchange information, suggestions, and questions with each other and with the author. As soon as typos or other errors are discovered, an errata list for this book will be available at WilliamStallings.com. In addition, the Computer Science Student Resource site, at **WilliamStallings.com/StudentSupport.html**, provides documents, information, and useful links for computer science students and professionals.

PROJECTS FOR TEACHING NETWORK SECURITY

For many instructors, an important component of a cryptography or security course is a project or set of projects by which the student gets hands-on experience to reinforce concepts from the text. This book provides an unparalleled degree of support for including a projects component in the course. The instructor's manual not only includes guidance on how to

assign and structure the projects, but also includes a set of suggested projects that covers a broad range of topics from the text:

- **Research projects:** A series of research assignments that instruct the student to research a particular topic on the Internet and write a report
- **Programming projects:** A series of programming projects that cover a broad range of topics and that can be implemented in any suitable language on any platform
- **Lab exercises:** A series of projects that involve programming and experimenting with concepts from the book
- **Writing assignments:** A set of suggested writing assignments, by chapter
- **Reading/report assignments:** A list of papers in the literature, one for each chapter, that can be assigned for the student to read and then write a short report

See Appendix B for details.

WHAT'S NEW IN THE THIRD EDITION

In the three years since the second edition of this book was published, the field has seen continued innovations and improvements. In this new edition, I try to capture these changes while maintaining a broad and comprehensive coverage of the entire field. To begin this process of revision, the second edition was extensively reviewed by a number of professors who teach the subject. In addition, a number of professionals working in the field reviewed individual chapters. The result is that, in many places, the narrative has been clarified and tightened, and illustrations have been improved. Also, a large number of new "field-tested" problems have been added.

Beyond these refinements to improve pedagogy and user friendliness, there have been major substantive changes throughout the book. Highlights include:

- **Stream ciphers:** Stream ciphers are used in a number of network security protocols and applications. The third edition covers this area and describes the most widely used such algorithm, RC4.
- **Public Key Infrastructure (PKI):** This important topic is treated in this new edition.
- **Distributed denial of service (DDoS) attacks:** DDoS attacks have assumed increasing significance in recent years.
- **Common Criteria for Information Technology Security Evaluation:** The Common Criteria have become the international framework for expressing security requirements and evaluating products and implementations.

In addition, much of the other material in the book has been updated and revised.

RELATIONSHIP TO CRYPTOGRAPHY AND NETWORK SECURITY

This book is adapted from *Cryptography and Network Security, Fourth Edition* (CNS4e). CNS4e provides a substantial treatment of cryptography, including detailed analysis of algorithms and a significant mathematical component, all of which covers almost 400 pages. *Network Security Essentials: Applications and Standards, Second Edition* (NSE3e) provides instead a concise overview of these topics in Chapters 2 and 3. NSE3e includes all of the remaining material of CNS4e. NSE3e also covers SNMP security, which is not covered in CNS4e.

Thus, NSE3e is intended for college courses and professional readers where the interest is primarily in the application of network security, without the need or desire to delve deeply into cryptographic theory and principles.

ACKNOWLEDGMENTS

This new edition has benefited from review by a number of people, who gave generously of their time and expertise. The following people reviewed all or a large part of the manuscript:

The following people contributed homework problems for the new edition: Joshua Brandon Holden (Rose-Hulman Institute if Technology), Kris Gaj (George Mason University), and James Muir (University of Waterloo).

Sanjay Rao and Ruben Torres of Purdue developed the laboratory exercises that appear in the instructor's supplement. The following people contributed project assignments that appear in the instructor's supplement: Henning Schulzrinne (Columbia University); Cetin Kaya Koc (Oregon State University); and David Balenson (Trusted Information Systems and George Washington University).

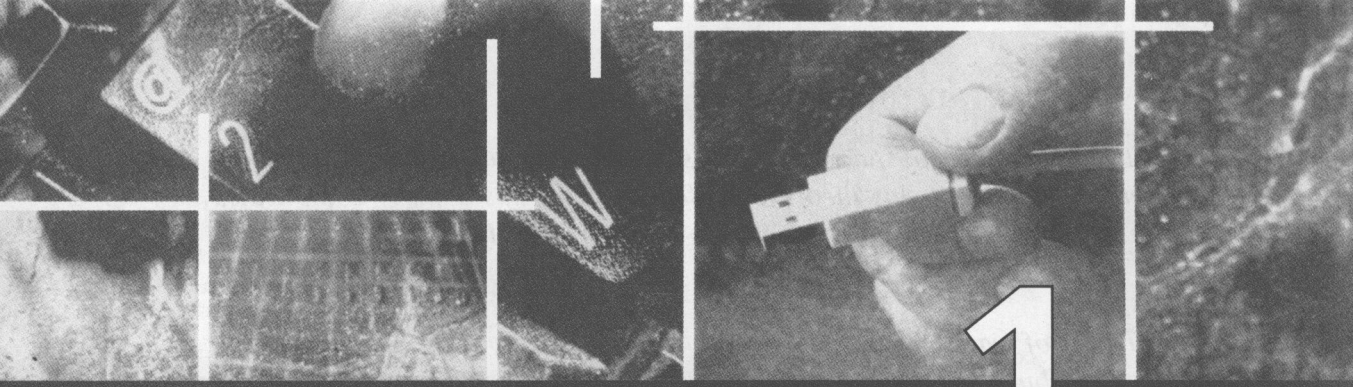
Finally, I would like to thank the many people responsible for the publication of the book, all of whom did their usual excellent job. This includes the staff at Prentice Hall, particularly production manager Rose Kernan; and my editor Tracy Dunkelberger and her assistants Christianna Lee and Carole Snyder. Also, Patricia M. Daly did the copy editing.

With all this assistance, little remains for which I can take full credit. However, I am proud to say that, with no help whatsoever, I selected all of the quotations.

ACRONYMS

3DES	Triple Data Encryption Standard
AES	Advanced Encryption Standard
AH	Authentication Header
ANSI	American National Standards Institute
CBC	Cipher Block Chaining
CC	Common Criteria
CESG	Communications-Electronics Security Group
CFB	Cipher Feedback
CMAC	Cipher-Based Message Authentication Code
CRT	Chinese Remainder Theorem
DDoS	Distributed Denial of Service
DES	Data Encryption Standard
DoS	Denial of Service
DSA	Digital Signature Algorithm
DSS	Digital Signature Standard
ECB	Electronic Codebook
ESP	Encapsulating Security Payload
FIPS	Federal Information Processing Standard
IAB	Internet Architecture Board
IETF	Internet Engineering Task Force
IP	Internet Protocol
IPSec	IP Security
ISO	International Organization for Standardization
ITU	International Telecommunication Union
ITU-T	ITU Telecommunication Standardization Sector
IV	Initialization Vector
KDC	Key Distribution Center
LAN	Local Area Network
MAC	Message Authentication Code
MIC	Message Integrity Code
MIME	Multipurpose Internet Mail Extension
MD5	Message Digest, Version 5
MTU	Maximum Transmission Unit
NIST	National Institute of Standards and Technology
NSA	National Security Agency
OFB	Output Feedback
PCBC	Propagating Cipher Block Chaining
PGP	Pretty Good Privacy
PKI	Public Key Infrastructure
PRNG	Pseudorandom Number Generator
RFC	Request for Comments
RNG	Random Number Generator
RSA	Rivest-Shamir-Adelman
SET	Secure Electronic Transaction
SHA	Secure Hash Algorithm
SHS	Secure Hash Standard
S/MIME	Secure MIME
SNMP	Simple Network Management Protocol
SNMPv3	Simple Network Management Protocol Version 3
SSL	Secure Sockets Layer
TCP	Transmission Control Protocol
TLS	Transport Layer Security
UDP	User Datagram Protocol
WAN	Wide Area Network

CONTENTS



CHAPTER 1

INTRODUCTION

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

—*On War*, Carl Von Clausewitz

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

—*The Art of War*, Sun Tzu

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

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

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

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

This book focuses on internet security, which consists of measures to deter, prevent, detect, and correct security violations that involve the transmission of information. That is a broad statement that covers a host of possibilities. To give

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

you a feel for the areas covered in this book, consider the following examples of security violations:

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

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

Internetwork security is both fascinating and complex. Some of the reasons follow:

1. Security involving communications and networks is not as simple as it might first appear to the novice. The requirements seem to be straightforward; indeed, most of the major requirements for security services can be given self-explanatory one-word labels: confidentiality, authentication, nonrepudiation, integrity. But the mechanisms used to meet those requirements can be quite complex, and understanding them may involve rather subtle reasoning.
2. In developing a particular security mechanism or algorithm, one must always consider potential attacks on those security features. In many cases, successful attacks are designed by looking at the problem in a completely different way, therefore exploiting an unexpected weakness in the mechanism.
3. Because of point 2, the procedures used to provide particular services are often counterintuitive: It is not obvious from the statement of a particular requirement that such elaborate measures are needed. It is only when the various countermeasures are considered that the measures used make sense.

4. Having designed various security mechanisms, it is necessary to decide where to use them. This is true both in terms of physical placement (e.g., at what points in a network are certain security mechanisms needed) and in a logical sense [e.g., at what layer or layers of an architecture such as TCP/IP (Transmission Control Protocol/Internet Protocol) should mechanisms be placed].
5. Security mechanisms usually involve more than a particular algorithm or protocol. They usually also require that participants be in possession of some secret information (e.g., an encryption key), which raises questions about the creation, distribution, and protection of that secret information. There is also a reliance on communications protocols whose behavior may complicate the task of developing the security mechanism. For example, if the proper functioning of the security mechanism requires setting time limits on the transit time of a message from sender to receiver, then any protocol or network that introduces variable, unpredictable delays may render such time limits meaningless.

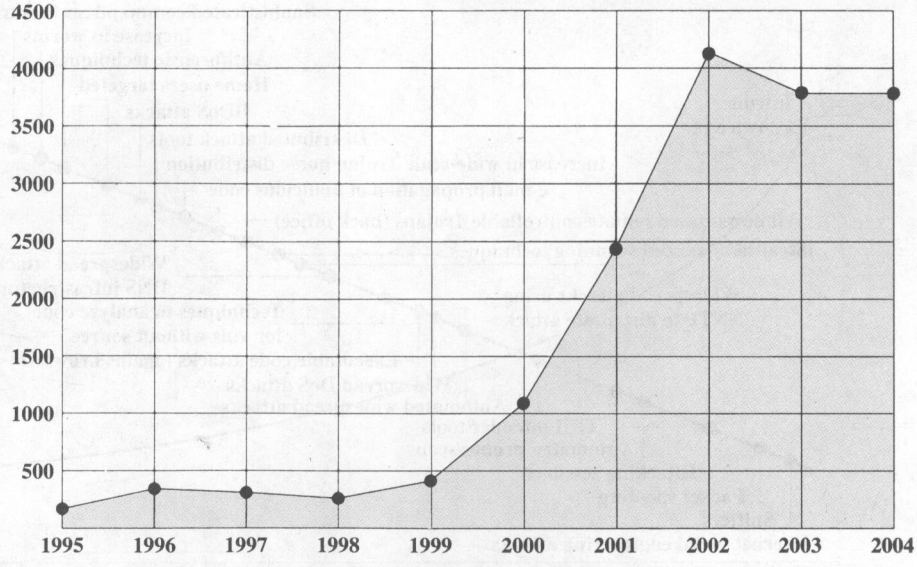
Thus, there is much to consider. This chapter provides a general overview of the subject matter that structures the material in the remainder of the book. We begin with a general discussion of network security services and mechanisms and of the types of attacks they are designed for. Then we develop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

1.1 SECURITY TRENDS

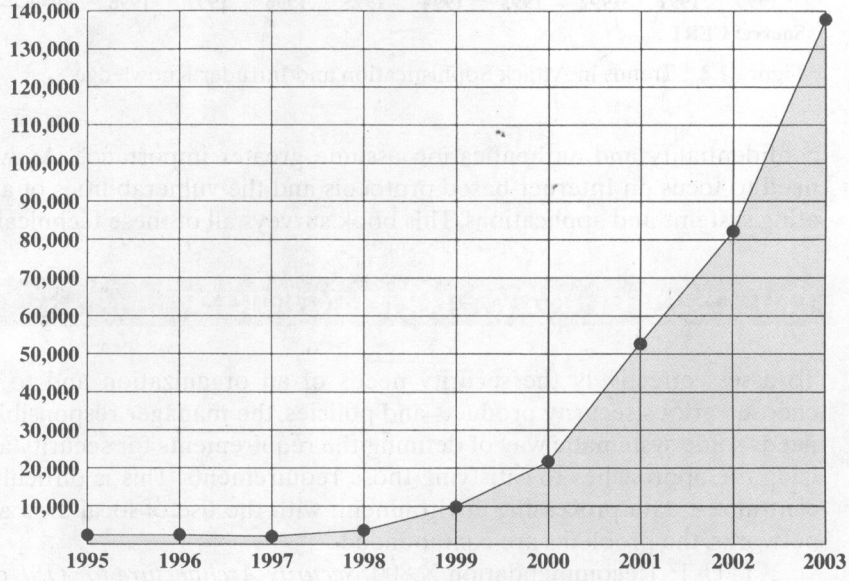
In 1994, the Internet Architecture Board (IAB) issued a report entitled "Security in the Internet Architecture" (RFC 1636). The report stated the general consensus that the Internet needs more and better security, and it identified key areas for security mechanisms. Among these were the need to secure the network infrastructure from unauthorized monitoring and control of network traffic and the need to secure end-user-to-end-user traffic using authentication and encryption mechanisms.

These concerns are fully justified. As confirmation, consider the trends reported by the Computer Emergency Response Team (CERT) Coordination Center (CERT/CC). Figure 1.1a shows the trend in Internet-related vulnerabilities reported to CERT over a 10-year period. These include security weaknesses in the operating systems of attached computers (e.g., Windows, Linux) as well as vulnerabilities in Internet routers and other network devices. Figure 1.1b shows the number of security-related incidents reported to CERT. These include denial of service attacks; IP spoofing, in which intruders create packets with false IP addresses and exploit applications that use authentication based on IP; and various forms of eavesdropping and packet sniffing, in which attackers read transmitted information, including logon information and database contents.

Over time, the attacks on the Internet and Internet-attached systems have grown more sophisticated while the amount of skill and knowledge required to mount an attack has declined (Figure 1.2). Attacks have become more automated and can cause greater amounts of damage.



(a) Vulnerabilities reported



(b) Incidents reported

Figure 1.1 CERT Statistics

This increase in attacks coincides with an increased use of the Internet and with increases in the complexity of protocols, applications, and the Internet itself. Critical infrastructures increasingly rely on the Internet for operations. Individual users rely on the security of the Internet, email, the Web, and Web-based applications to a greater extent than ever. Thus, a wide range of technologies and tools are needed to counter the growing threat. At a basic level, cryptographic algorithms for

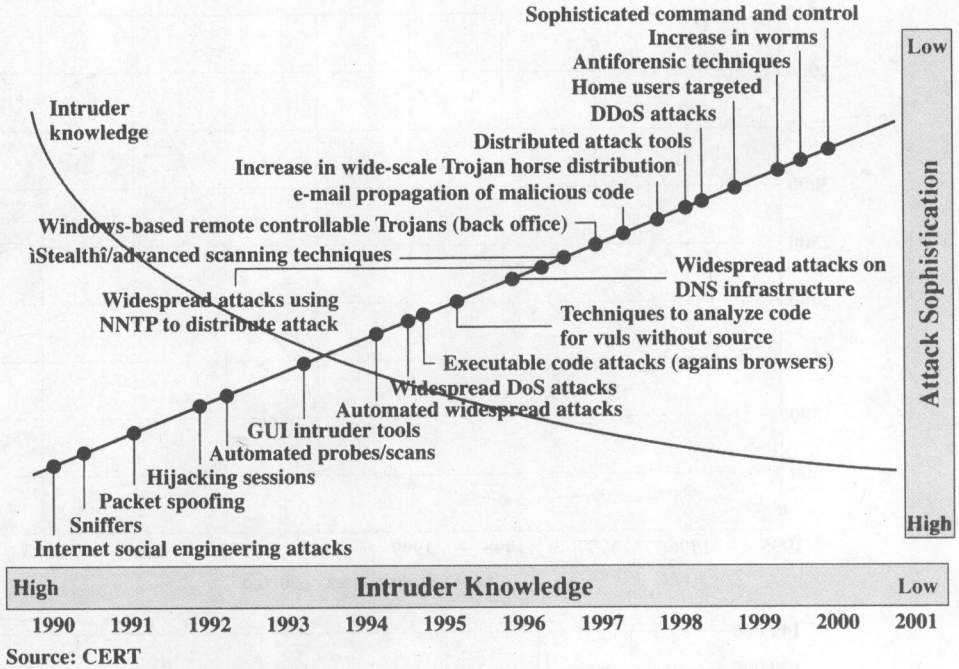


Figure 1.2 Trends in Attack Sophistication and Intruder Knowledge

confidentiality and authentication assume greater importance. As well, designers need to focus on Internet-based protocols and the vulnerabilities of attached operating systems and applications. This book surveys all of these technical areas.

1.2 THE OSI SECURITY ARCHITECTURE

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

ITU-T[2] Recommendation X.800, *Security Architecture for OSI*, defines such a systematic approach. The OSI security architecture is useful to managers as a way of organizing the task of providing security. Furthermore, because this architecture was developed as an international standard, computer and communications vendors have developed security features for their products and services that relate to this structured definition of services and mechanisms.

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