大学计算机教育国外著名教材系列（影印版）

PEARSON
Prentice Hall

NETWORK SECURITY ESSENTIALS

APPLICATIONS AND STANDARDS

SECOND EDITION

网络安全基础教程

应用与标准（第2版）

William Stallings 著

Pearson Education

清华大学出版社

大学计算机教育国外著名教材系列（影印版）

Network Security Essentials

Applications and Standards

Second Edition

网络安全基础教程

应用与标准（第 2 版）

William Stallings

清华大学出版社

北京

图书在版编目（CIP）数据

网络安全基础教程：应用与标准（第 2 版）= Network Security Essentials: Applications and Standards, 2nd ed. / 斯托林斯（Stallings, W.）著. —影印本. —北京：清华大学出版社，2004.1
（大学计算机教育国外著名教材系列）
ISBN 7-302-07793-2

Ⅰ. 网…　Ⅱ. 斯…　Ⅲ. 计算机网络－安全技术－高等学校－教材－英文　Ⅳ. TP393.08

中国版本图书馆 CIP 数据核字（2003）第 116051 号

出 版 者：清华大学出版社　　**地　址**：北京清华大学学研大厦
http://www.tup.com.cn　　**邮　编**：100084
社总机：(010) 6277 0175　　**客户服务**：(010) 6277 6969
责任编辑：周维焜
印 刷 者：北京牛山世兴印刷厂
装 订 者：北京市密云县京文制本装订厂
发 行 者：新华书店总店北京发行所
开　本：185×230　**印张**：26.5
版　次：2004 年 1 月第 1 版　2004 年 1 月第 1 次印刷
书　号：ISBN 7-302-07793-2/TP・5679
印　数：1~5000
定　价：39.00 元

本书如存在文字不清、漏印以及缺页、倒页、脱页等印装质量问题，请与清华大学出版社出版部联系调换。联系电话：（010）62770175-3103 或（010）62795704

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，受到了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。

清华大学出版社
2002.10

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. 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.

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 relevant sites, transparency masters of the figures and tables in the book in PDF (Adobe Acrobat) format, and sign-up information for the book's Internet mailing list. The Web page is at WilliamStallings.com/NetSec2e.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
- **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.

RELATIONSHIP TO CRYPTOGRAPHY AND NETWORK SECURITY, THIRD EDITION

This book is a spin-off from *Cryptography and Network Security, Third Edition* (CNS3e). CNS3e provides a substantial treatment of cryptography, including detailed analysis of algorithms and significant mathematical component, all of which covers almost 400 pages. *Network Security Essentials: Applications and Standards* (NSE2e) provides instead a concise overview of these topics in Chapters 2 and 3. NSE2e includes all of the remaining material of CNS3e. NSE2e also covers SNMP security, which is not covered in CNS3e. Thus, NSE2e 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.

CONTENTS

APPENDICES

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 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.

[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.

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

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 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.

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

[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).

Table 1.1 Threats and Attacks (RFC 2828)

Threat

A potential for violation of security, which exists when there is a circumstance, capability, action, or event that could breach security and cause harm. That is, a threat is a possible danger that might exploit a vulnerability.

Attack

An assault on system security that derives from an intelligent threat; that is, an intelligent act that is a deliberate attempt (especially in the sense of a method or technique) to evade security services and violate the security policy of a system.

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

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

1.2 SECURITY ATTACKS

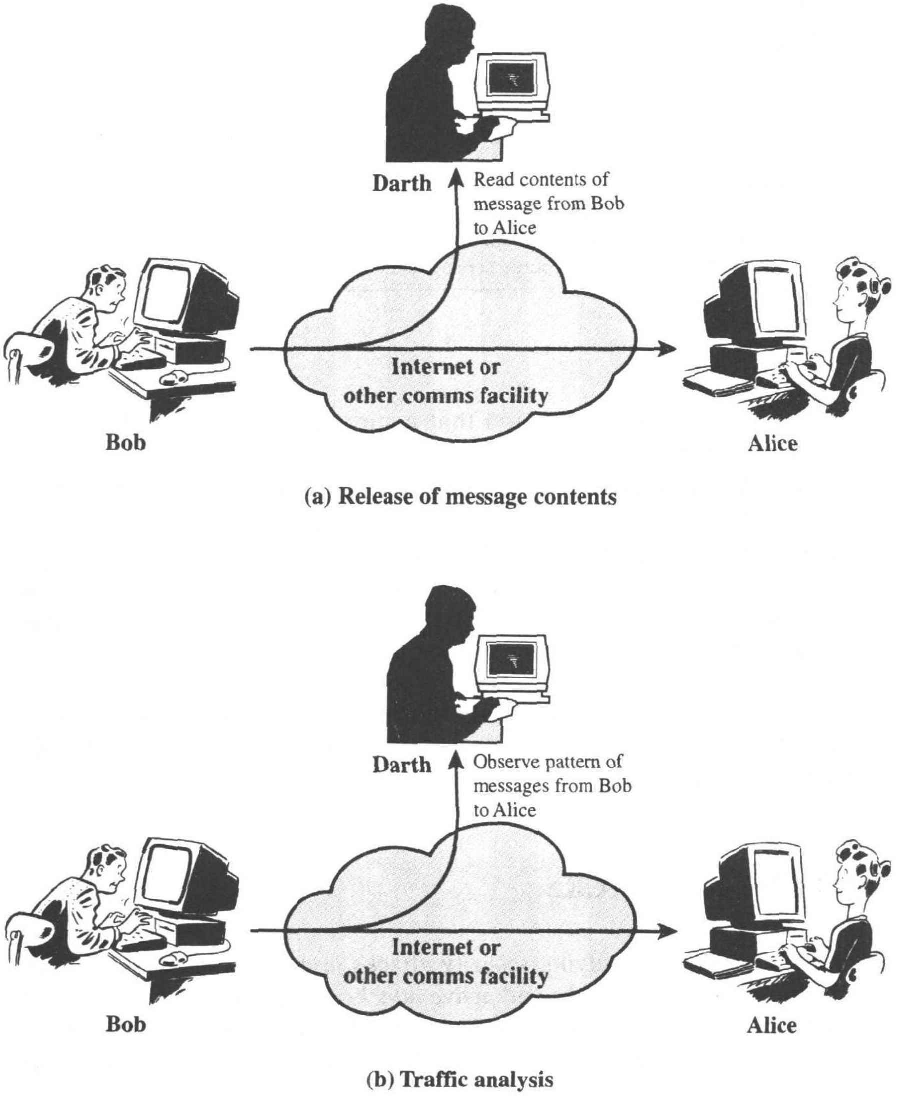
A useful means of classifying security attacks, used both in X.800 and RFC 2828, is in terms of *passive attacks* and *active attacks*. A passive attack attempts to learn or make use of information from the system but does not affect system resources. An active attack attempts to alter system resources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

Passive Attacks

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

The **release of message contents** is easily understood (Figure 1.1a). A telephone conversation, an electronic mail message, and a transferred file may contain sensitive or confidential information. We would like to prevent an opponent from learning the contents of these transmissions.

A second type of passive attack, **traffic analysis**, is subtler (Figure 1.1b). Suppose that we had a way of masking the contents of messages or other information traffic so that opponents, even if they captured the message, could not extract the information from the message. The common technique for masking contents is


Darth
Read contents of message from Bob to Alice
Internet or other comms facility
Bob
Alice
Darth
Observe pattern of messages from Bob to Alice
Internet or other comms facility
Bob
Alice

(a) Release of message contents

(b) Traffic analysis

Figure 1.1 Passive Attacks

encryption. If we had encryption protection in place, an opponent might still be able to observe the pattern of these messages. The opponent could determine the location and identity of communicating hosts and could observe the frequency and length of messages being exchanged. This information might be useful in guessing the nature of the communication that was taking place.

Passive attacks are very difficult to detect because they do not involve any alteration of the data. Typically, the message traffic is sent and received in an apparently normal fashion and neither the sender nor receiver is aware that a third party has read the messages or observed the traffic pattern. However, it is feasible to pre-