

# MMC Certificate Infrastructure

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## Introduction

We all agree on the need for security. However, there are many ways to achieve different levels of security. The purpose of this paper is to outline the needs of the MMC, to explain how certificates meet these needs, and to guide you through the certificate issuing and use process.

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[Advice for Internet explorer users](#) (see [InternetExplorer.html](#))

[Server Certificates](#)

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## Why are certificates the best MMC security solution?

### What are the threats?

The threats to security are well known, but I reiterate them here because it is necessary to keep them in mind when proposing a security solution.

- Confidentiality – Protection of information from disclosure to unauthorized entities
- Integrity – Prevention of unauthorized changes to information
- Availability – Ability to access a resource whenever needed
- Authenticity – Confidence that a message was sent by a certain party and not an impostor

Because we work for the government, we are also subject to other restrictions and guidelines that loosely fall under the security banner:

- Prevention of the use government facilities for unauthorized activities
- Maintenance of audit trail
- Protection against the spread of malicious code (viruses, worms,...)

For example, we do not want any of our computers to serve as distribution points for games or pornography, nor do we want supporters of Kevin Mitnyck to hack our sites and claim that they have planted a new time bomb in our visitor's computers.

### MMC issues

I feel strongly that as a collaboratory, we should make every effort to create a unified security solution that is strong enough to protect, but that is flexible enough to meet our differing security requirements. I list a few of the requirements for a good security solution:

### *flexibility*

The security system should be able to protect all of our resources as well as implementing security policies that are more sophisticated than mere file-access restrictions.

### *user friendliness*

Using a system with good security should be at least as easy as using one without security.

### *Scalability*

Solutions should scale well as more facilities or users are added to the MMC.

### *Uniformity*

The solutions should look the same (but may have differing properties) across the MMC.

### *Collaborating*

Things that encourage the collaborative aspects of the MMC should be encouraged.

### *Cutting edge, not bleeding edge = Pizzazz*

We are a demo project, leading the way towards the future. We need to be implementing the solutions of the future even though they may cause us some short-term difficulties.

## **Certificates — now and in the future**

The security field is evolving rapidly, and new solutions, problems, and tools appear daily. Our task is to try to predict the future course of events and to pick the winning solution. Since the MMC was launched last Spring, all events have served to confirm our initial choice of using certificates as the basis for MMC security. Like it or not, certificates will soon be a part of everyone's electronic persona

### **Identity certificates**

Currently there are three certificates involved in each secure Web transaction.

- Server certificate: Attests to the identity of the Web server owner.
- Client certificate: Attests to the identity of the Web user (customer).
- Certificate authority certificate: Attests to the identity of the certificate authority (CA) that signed the server and client certificates.

In principal, there is a root CA certificate that is self signed and that everyone trusts. If the root CA certificate is compromised, the whole certificate structure falls apart. Thus, the private key for the SET (secure electronic transaction) infrastructure developed by Visa, MasterCard and American Express is split up into about a dozen electronic tokens dispersed throughout the world. The token holders meet once a year, but only a subset of them is required to transact business. For the MMC, less Draconian measures are called for. I am the root CA and have self signed the MMC CA certificate (in the name of the MMC). Due care is taken to keep the CA machine backed up and locked up in a secure location. This is the correct thing to do because for our purposes, we trust ourselves more than we trust an external CA such as VeriSign.

The format for identity certificates is spelled out in the PKI (public key infrastructure) specifications called X.509. Currently, the certificates we issue correspond to the latest, version 3 specification. These certificates bind an identity in the real world to a public key. For our purposes, our unique identity is specified by what is called a distinguished name (DN) which is composed of a person's real name, country, organization, city, and e-mail address. However, since certificates can also be issued to computers and other non-human entities, the notion of an identity is actually broader and fuzzier than might be ideal. An X.509v3 certificate allows a user to create a digital signature, to use the keys for encryption, to create S/MIME e-mail, and to sign trusted objects (e.g., Active-X controls). These privileges are actually delegated separately by different bits in the certificate's extensions. The [contents of my MMC certificate](#) show that I can use my certificate as an SSL client, for secure E-mail, and for object signing.

It is perhaps a philosophical issue, but the original goal of a certificate authority hierarchy, which would allow each certificate to be traced up to the root CA, was never established because the notion of an identity does not scale well. In a small community, everyone knows everyone else so the binding of a name to an identity is not difficult. However, if your friend John Smith moved to New York City, it will be very difficult to know which John Smith in the telephone book is your friend. Fortunately, the MMC community is small, so we can be confident

(enough?) of the identity of our users.

## Uses of identity certificates

Once you have an identity certificate, what good is it? Until recently, X.509 certificates didn't even make good wall paper. However, the situation has changed dramatically with the introduction of Netscape 4.0. I will go over the things you can do with a certificate today and explain why this is an advance.

### *Secure Web access*

Identity certificates allow user-friendly, secure access to a Web site with strong authentication. Modern Web servers (Netscape, IIS, Apache-SSL) can all be set up to require client certificates for site access. Out of the box, it is trivial to configure the server to accept only MMC certificates, so that anyone with a valid MMC certificate will be authenticated securely and can use SSL for secure access. No user ids and passwords are required. However, once per Netscape session, the user will have to unlock his private certificate key with a local password. The ORNL secure web site is set up this way on a Netscape Enterprise Server. To access this server, go to <https://mmc.cind.ornl.gov/enote>.

Access to a site can also be controlled by using "basic" authentication — user ids and passwords. There are several problems with this approach. The biggest problem is that this solution does not scale well. For example, at ORNL the MMC has at least six Web servers. If a new user is added and we used basic authentication, we would have to enroll the user separately at each server. Then there is the problem of allowing the user to securely set his password on each of these machines, especially if you do not want to give the user a login account of the machine (an invitation to a security breach). With MMC issued certificates, new users are automatically granted access to all MMC sites requiring certificates for access. Finally, there is generally no restriction to the number of times that a password-based Web access pop up can fail (or else there could be easy denial of service attacks). Therefore, access via user id and password is subject to password guessing attacks.

### *Digital signatures*

Client certificates allow users to sign things, solving the *authenticity* security requirement. It is very easy to spoof E-mail, so it is good practice to sign all electronic communications. The PGP community has been routinely signing all their mail for years, but I feel that the X.509 solution is better and more user friendly than PGP.

PGP uses identity certificates also. However, PGP certificates are not signed by a CA. They are signed by your friends and acquaintances, or other people who vouch for your identity. This is called the "web of trust" model. X.509 certificates are signed by a CA that presumably you trust. There is much less baggage associated with X.509 because you do not have to go to key signing parties to get your PGP key well validated.

Yes, I know that not everything needs to be signed, but sending signed mail allows the recipients to obtain your public key so they can send encrypted mail back to you. Disk space is cheap. If you read the mail with the Netscape mail agent, the signature is reduced to an icon on the page rather than a lot of characters. It is a nuisance to turn signatures on and off as needed. Our goal is to make it easier for people.

### *Cyber identity*

Your public key is your cyber identity. It can be used in other contexts to grant you authority to do things. The concept of authority certificates is the basis for the SPKI (simple public key infrastructure) that is currently in an IETF draft. See <http://www.clark.net/pub/cme/html/spki.html>. Provided that you can access your private key to unlock your certificate (to prevent spoofing), extremely complicated security policies can be implemented using a collection of authorization certificates.

### *S/MIME e-mail*

S/MIME is a specification for secure electronic messaging. In 1995, several software vendors got together and created S/MIME to solve a very real problem - interception and forgery of e-mail. Protecting sensitive data is a real concern, especially in a world that is becoming increasingly more wired. The goal of S/MIME is to make it easy to secure messages from prying eyes. Since its creation, S/MIME has come a long way. Netscape and Microsoft's Outlook Express both support S/MIME encrypted and signed e-mail. Eudora Pro (PC only) supports the WorldSecure S/MIME plug-in. All of the major industry players have also agreed to support the S/MIME standard. A detailed list of S/MIME participants and computability testing results are available at [http://www.rsa.com/smime/html/interop\\_center.html](http://www.rsa.com/smime/html/interop_center.html).

Again, sending secure e-mail is like practicing safe sex — you need to do it. Yes, not everything you send needs to be encrypted. However, it is very easy to intercept e-mail and to modify it. A malicious entity can put damaging words into your innocent e-mail. In today's world, security by obscurity does not work any more.

### *Object signing*

To combat the threat of computer viruses, executable code is now being signed to prove its authenticity and integrity. Java applets and Active-

X controls are examples of the types of things that should be signed. If we create code that runs on a user's machine, it should be signed for both the user's peace of mind and for our legal protection. The Netscape *signtool* utility allows you to use MMC Client Certificates for code signing.

## Certificate servers

Certificate servers create, verify, renew, revoke, and reissue certificates. We are now using the Netscape Certificate Server 4.0 via a secure (https) SSL connection. You may access the MMC Certificate Server at <https://mmc.cind.ornl.gov:443>. It provides a public interface for requesting certificates and for accepting the MMC CA into your Netscape browser.

Netscape®  
Certificate Management  
System
Certificate Manager

Enrollment
Renewal
Revocation
Retrieval

User Enrollment

**Manual**

Server Enrollment

**Manual**

Registration Manager Enrollment

**Manual**

Certificate Manager Enrollment

**Manual**

Object Signing Enrollment

**Manual**

### MMC User Certificate Enrollment

Use this form to submit a request for a personal certificate. After you click the Submit button, your request will be submitted to an issuing agent for approval. When an issuing agent has approved your request you will receive the certificate in e-mail, along with instructions for installing it.

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**Important:** Be sure to request your certificate on the same computer on which you plan to use the certificate.

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**User's Identity**  
Enter values for the fields you want to have in your certificate. Your site may require you to fill in certain fields.

Full name:

Login name:

Email address:

Location (L):

New L:

Status:

Organization unit (OU):

New OU:

Country:

**Contact Information**  
Enter an email address or phone number at which you can be contacted regarding this request.

Email:

Phone:



## Directory services (LDAP)

To find the telephone number of someone, you use a phone directory. To find a person's public key, you use a directory server. The lightweight directory assistance protocol (LDAP) is now offered by a variety of vendors, and I have installed the Netscape LDAP server for use by the MMC. The LDAP server has many uses. From your point of view, the most useful function of the LDAP server is to allow you to find an MMC user's public key so that you can send him/her e-mail. You can query the MMC LDAP server at <https://mmc.cind.ornl.gov:19149/dsgw/bin/search?context=dsgw>. Of course, you need to have a user ID and password before you can modify entries here.

### Netscape Directory Server Gateway

**Standard Search**

Advanced Search

New Entry

Authentication

Find  within **Materials Microcharacterization Collaboratory**

Search for

You are using the Netscape Directory Server Gateway. This interface can be used to search for, modify, and create entries that are stored in the Netscape Directory Server.

You are currently viewing the Standard Search screen, which provides an easy and convenient way to search the directory. Standard Search examines what you type and automatically selects one or more methods for searching the directory. Enter a name, telephone number, user id, or e-mail address in the Search For field and click the Search button to quickly locate directory entries. Click the Help button if you need additional assistance.

The toolbar you see at the top of this window is always available when you are using the Directory Server Gateway. In addition to Standard Search, you can click the other buttons to perform a variety of tasks. If you want to modify your own directory entry, first search for it using Standard or Advanced Search and then click the Edit Person button within the entry display.

#### Advanced Search

With Advanced Search, you can specify exactly what you are looking for, what attribute you wish to search for, and what type of matching you wish to allow.

#### New Entry

New Entry allows you to create new entries in the directory. Depending on how the system administrator has set up your directory you may need to be granted special permission to add new entries. If you are not sure, ask your system administrator.

#### Authenticate

You use the authentication screens to log into and out of the directory. You need to authenticate before you can modify or add entries to the directory. You may also need to authenticate before searching the directory, if your system administrator requires it.

### The MMC LDAP Server Gateway

The LDAP server can also be accessed by other programs and can return components of the certificate to the requesting programs. This will be used by the MMC to institute role-based access control (RBAC). In our certificates, I have used one of the fields in the certificate attributes to

contain the user's role. So instead of ST meaning *state*, for us it means *status*. There are six allowed values for status:

- *Guest* - Can observe only.
- *Student* - Can operate basic functionality of online facilities.
- *Researcher* - Can operate every allowed remote control.
- *Operator* - Facility owner with no restrictions.
- *Server* - For MMC secure Web servers
- *Administrator* - For access to secure server resources (such as the Certificate Server)

## How to get your MMC certificate

**You must use Netscape Communicator, Version 4.** Because the certificate format changed between versions 4.03 and 4.04, it is best to use version 4.04 or higher. I strongly suggest upgrading to Netscape 4.51 because it automatically picks the correct certificate for you to use. If you are in the US or Canada, be sure you have the 128-bit (domestic) version of Netscape installed. You can tell by accessing the *Help, About Communicator* menu and looking for the following text: *This version supports U.S. security with RSA Public Key Cryptography, MD2, MD5, RC2-CBC, RC4, DES-CBC, DES-EDE3-CBC*.

Follow these six easy steps:

### 1. Accept the MMC CA

In order to get Netscape to properly accept the MMC Certificate Authority, first visit the following URL:

<https://mmc.cind.ornl.gov:443> and access the *Retrieval* tab. I suggest that you bookmark this page. The first time you access this server, it will ask you whether you wish to accept the Server's certificate. Answer yes, and accept all options. If your Communicator refuses to connect to the https server, go into the Netscape Security Menu and under *Certificates, Web Sites*, delete any existing certificate for mmc.cind.ornl.gov.

Click on the *Import the CA certificate chain into your browser* button (as shown below) and follow the instructions. Accept it for every purpose and forever. I suggest naming this authority the *MMC CA*.

The screenshot shows the Netscape Certificate Management System interface. The top navigation bar includes 'Enrollment', 'Renewal', 'Revocation', and 'Retrieval' tabs. The 'Retrieval' tab is active. On the left sidebar, there are buttons for 'List Certificates', 'Search Certificates', 'Import CA Certificate Chain', and 'Import Certificate Revocation List'. The main content area is titled 'Import CA Certificate Chain' and contains the following text: 'Use this form to import the CA certificate chain into your browser (users) or your server (administrators). This is a one-time operation.' Below this text, there are two sections: 'Users' and 'Administrators'. Under 'Users', there are two radio buttons: the first is selected and labeled 'Import the CA certificate chain into your browser', and the second is labeled 'Download the CA certificate chain in binary form'. Under 'Administrators', there are two radio buttons: the first is labeled 'Display the CA certificate chain in PKCS#7 for importing into a server', and the second is labeled 'Display certificates in the CA certificate chain for importing individually into a server'. At the bottom of the form, there are three buttons: 'Submit', 'Reset', and 'Help'.

## 2. Apply for a certificate

Now access the *Enrollment* tab and request a personal certificate.

Please use your full name including your middle initial. If you are not a member of one of the five MMC sites, enter the non-abbreviated names for your Organization unit (where you work) and its location in the blank entry fields and click the change buttons.

**In the *additional comments* field, put the name of an MMC principal who can vouch for your identity. Be sure to send me the pop-up e-mail so that I know that an application needs to be serviced..**

When you apply for a certificate, you will have to provide two passwords.

- The first one is to protect the private key that is generated in the application process (you pick it).
- The second one protects the Netscape key database. If you had certificates before, the password is the one that you used previously. If this is the first time with a certificate, you choose the password.

I suggest using the same password for the private key and for the key store. Don't forget the password!

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**Manual**

Server Enrollment

**Manual**

Registration Manager Enrollment

**Manual**

Certificate Manager Enrollment

**Manual**

Object Signing Enrollment

**Manual**

### MMC User Certificate Enrollment

Use this form to submit a request for a personal certificate. After you click the Submit button, your request will be submitted to an issuing agent for approval. When an issuing agent has approved your request you will receive the certificate in e-mail, along with instructions for installing it.

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**Important:** Be sure to request your certificate on the same computer on which you plan to use the certificate.

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**User's Identity**  
Enter values for the fields you want to have in your certificate. Your site may require you to fill in certain fields.

Full name:

Login name:

Email address:

Location (L):

New L:

Status:

Organization unit (OU):

New OU:

Country:

**Contact Information**  
Enter an email address or phone number at which you can be contacted regarding this request.

## Certificate use for the MMC

Enter an email address or phone number at which you can be contacted regarding this request.

Email:

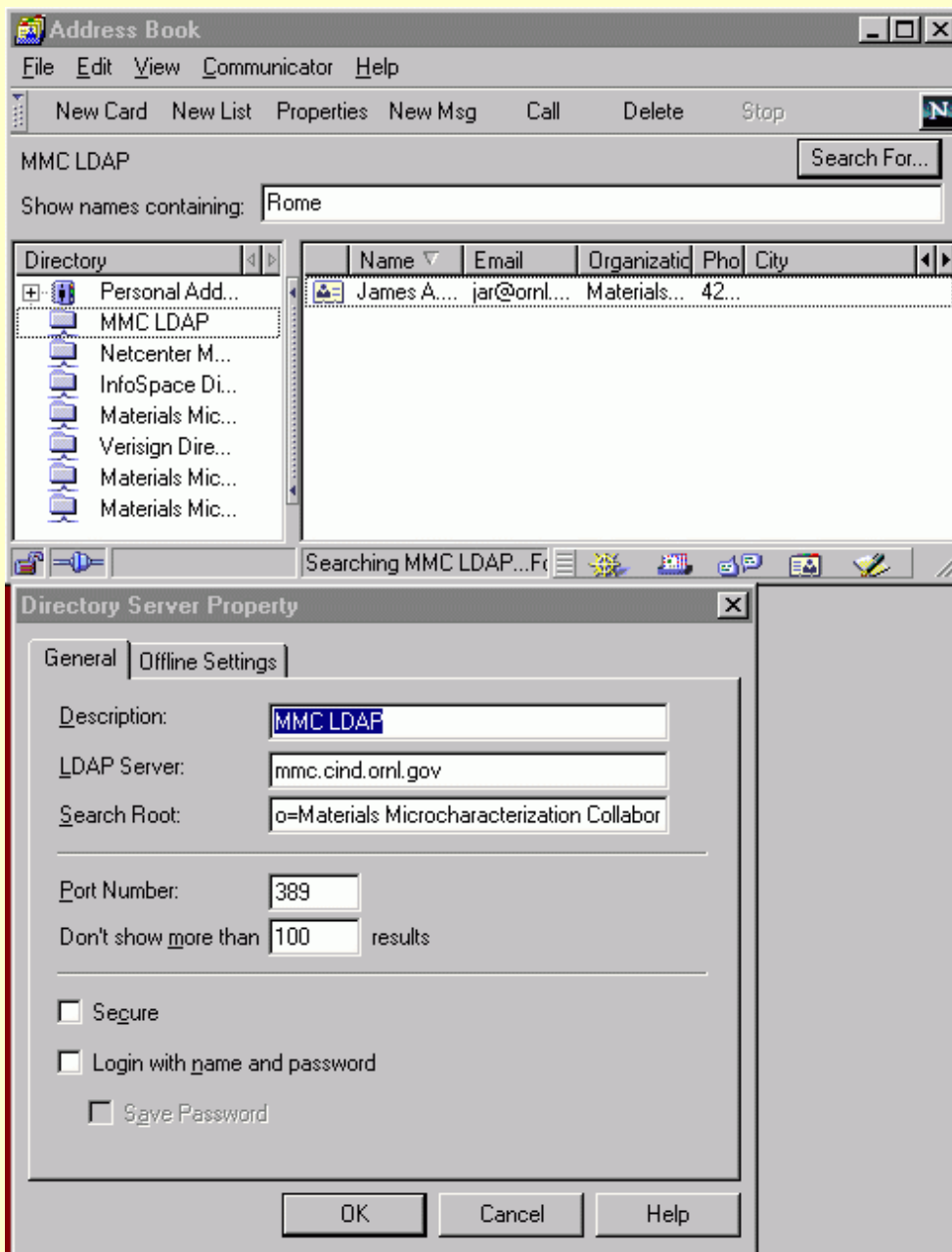
Phone:

Document: Done

Apply for an MMC certificate

### 3. Install the LDAP server into your Browser

Open your Netscape Address book (under the *Communicator, Address Book* menu), and under the *File, New Directory* menu, add the MMC LDAP as shown below:

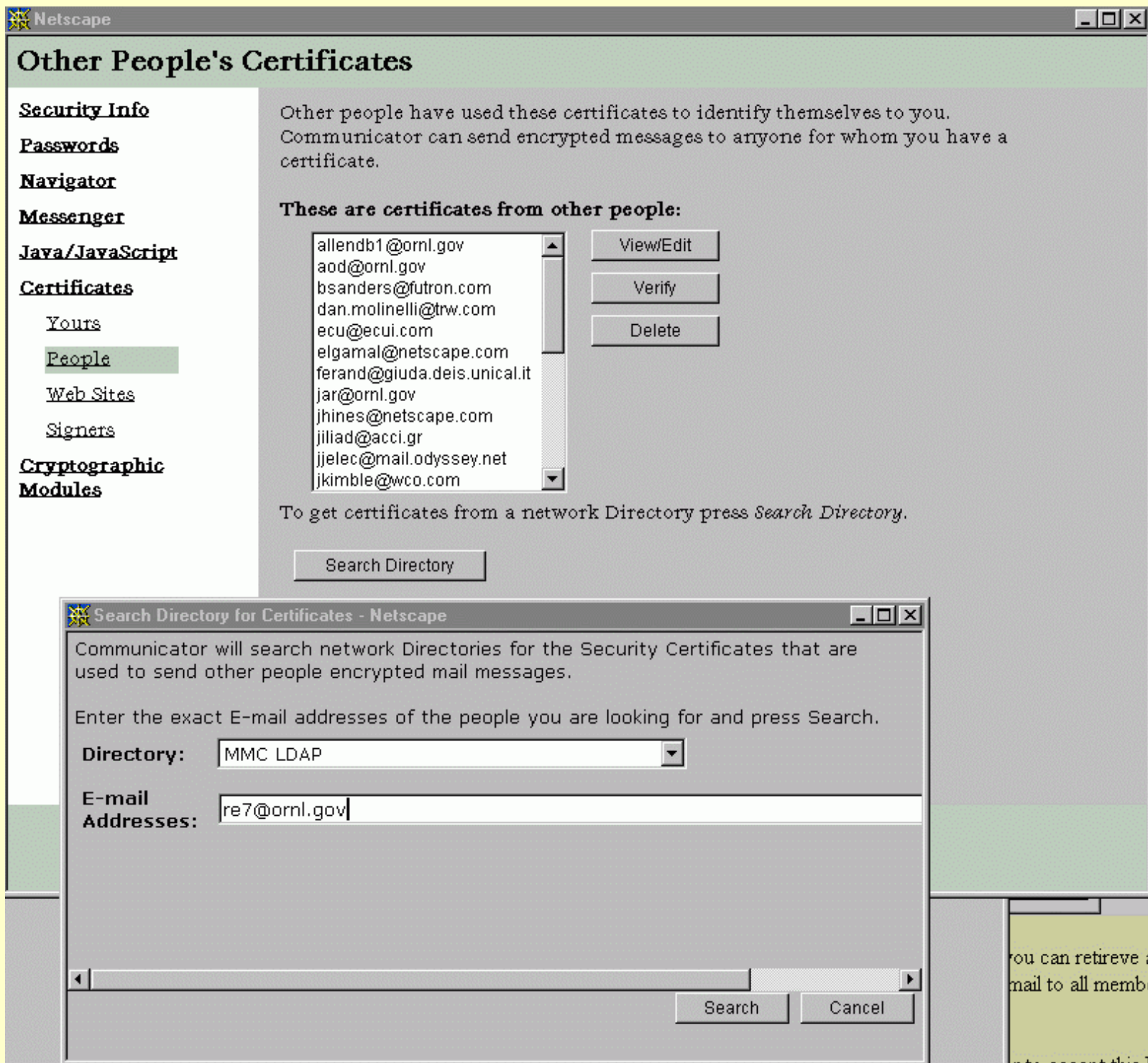


The Search Root should be: *o=Materials Microcharacterization Collaboratory*.

As shown above, once the MMC LDAP is installed, you can retrieve an MMC member's information and certificate from the LDAP server.

This will enable you to send encrypted mail to all members of the MMC.

Your browser should pop up a window asking whether to accept this LDAP server. Answer yes. You will now be able to look up MMC users in your Browser's Security menu.



Query the LDAP server to obtain a user's public key

4. Wait for an e-mail stating that the certificate has been issued

5. Retrieve your certificate

Visit the MMC CA URL (<https://mmc.cind.ornl.gov:443>) and under the *Retrieval* tab and search for your certificate using your e-mail address

or name.

Enrollment

Renewal

Revocation

Retrieval

List Certificates

**Search  
Certificates**Import CA  
Certificate ChainImport  
Certificate  
Revocation List

## Search for Certificates

Use this form to compose queries based on properties of the certificate.

Each section below filters the search. Check the box at the top of the section if you want to use that filter in your search, then complete the fields. Leave a box unchecked to ignore that filter. You can click more than one box to get a combination of search criteria.

### Serial Number Range

- Show certificates that fall within the following range:

Lowest serial number:  (leave blank for no lower limit)

Highest serial number:  (leave blank for no upper limit)

Enter a range of certificate serial numbers in hexadecimal form (starting with 0x, as in the certificate list) or in decimal form.

### Subject Name

- Show certificates with a subject name matching the following:

Email address:

Common name:

User ID:

Organization unit:

Organization:

Locality:

State:

Country:

Match Method:  Exact

Partial

The search result will show your certificate and there will be a button for details:

## Search Results

Issuer: CN=MMC CA,OU=Oak Ridge National Laboratory,O=Materials Microcharacterization Collaboratory,L=Oak Ridge\, TN,C=US

Total number of records found: 1

Serial number	Subject name	
0x00000006	E=jar@ornl.gov, CN=James A. Rome, UID=jar, L=Oak Ridge\, TN, ST=Administrator, OU=Oak Ridge National Laboratory, O=Materials Microcharacterization Collaboratory, C=US	
Version	Subject public key algorithm	
3	PKCS #1 RSA with 1024-bit key	
Details	Not valid before	Not valid after
	5/3/1999	5/1/2004
	Issued on	Issued by
	5/3/1999	NSadmin

Open the details screen and at the bottom you will find a button to import the certificate into your browser.

When you install the certificate, you will be asked whether you wish to save the certificate. **Be sure to save your certificate!!** You can export your certificate at any time using the Security menu in Communicator. The certificate is saved as a pkcs#12 crypto-wrapped file that is password protected. Use this file to transfer your certificate to all of your other Netscape Communicators.

**Note:** The .p12 files are upward, but not downward compatible between Communicator 4.03 and 4.04.

During the installation process, you will be asked for a password to protect your private key. In addition, if you have never installed a certificate into your Communicator you will be asked (twice!) for a password to protect the Communicator database. I suggest that to avoid confusion, you use the same password for this and for your private key.

## Your Certificates

### Security Info

### Passwords

### Navigator

### Messenger

### Java/ JavaScript

### Certificates

#### Yours

#### People

#### Web Sites

#### Signers

### Cryptographic Modules

You can use any of these certificates to identify yourself to other people and to web sites. Communicator uses your certificates to decrypt information sent to you. Your certificates are signed by the organization that issued them.

#### These are your certificates:

CSadmin's Materials Microcharacterization Collaboratory ID
<b>James A. Rome's Materials Microcharacterization Collaboratory ID</b>
James A. Rome's VeriSign, Inc. ID
James Rome - VeriSign Inc.
James Rome's Oak Ridge National Laboratory ID





You should make a copy of your certificates and keep them in a safe place. If you ever lose your certificates, you will be unable to read encrypted mail you have received, and you may have problems identifying yourself to web sites.



Click on Export to save your certificate

## 6. Change your LDAP Password

1. Visit the LDAP server <https://mmc.cind.ornl.gov:19149> and authenticate yourself with the password I mailed to you along with the certificate URL.
  2. Search for yourself, and edit your record.
  3. Fill in all the additional information that is relevant so that MMC members can contact you more easily.
  4. Change your password on this same editing page.
- 

## Using your MMC certificate

For a tutorial on certificates in general see the talk I delivered at the ORNL Web Week in 1997:

<http://mmc.cind.ornl.gov/jar/certificates/sld001.htm>

### Secure, certificate-based Web authentication

Visit my secure electronic notebook at <https://mmc.cind.ornl.gov:444/enote/>.

You can set up your web site to require and accept our certificates for access. Use the main MMC CA page to apply for a certificate for each of your servers.

Be sure to

- Accept the MMC CA into your server by visiting the [MMC CA page](#).
- Refuse to accept certificates from other CAs.
- You can specify the CNs (common names) in the certificates that will be allowed or denied access to different directories. Details of how to do this depend on your server.

We should be able to use the LDAP server for more clever things. I'll update this note when I figure it all out.

### Secure e-mail

Set up your Netscape Messenger (in the Security menu) so that it uses your certificate for signing and encrypting e-mail. You can also turn them off (or on) optionally in each message that you send. As stated above, I recommend that you always sign e-mail.

## Messenger

### Security Info

### Passwords

### Navigator

### Messenger

### Java/JavaScript

### Certificates

Yours

People

Web Sites

Signers

### Cryptographic Modules

**These settings allow you to control Messenger security settings.**

Messenger Security warnings can let you know before you do something that might be unsafe.

#### **Sending Signed/Encrypted Mail:**

- Encrypt mail messages, when it is possible
- Sign mail messages, when it is possible
- Sign discussion (news) messages, when it is possible

#### **Certificate for your Signed and Encrypted Messages:**

James A. Rome's Materials Microcharacterization Collaboratory ID

This certificate is included with every email message you **sign**. When other people receive it, it makes it possible for them to send you encrypted mail. Other people could also obtain your certificate from a Directory:

#### **Advanced S/MIME Configuration:**

Cipher Preferences:

### **Netscape Messenger interface for S/MIME e-mail**

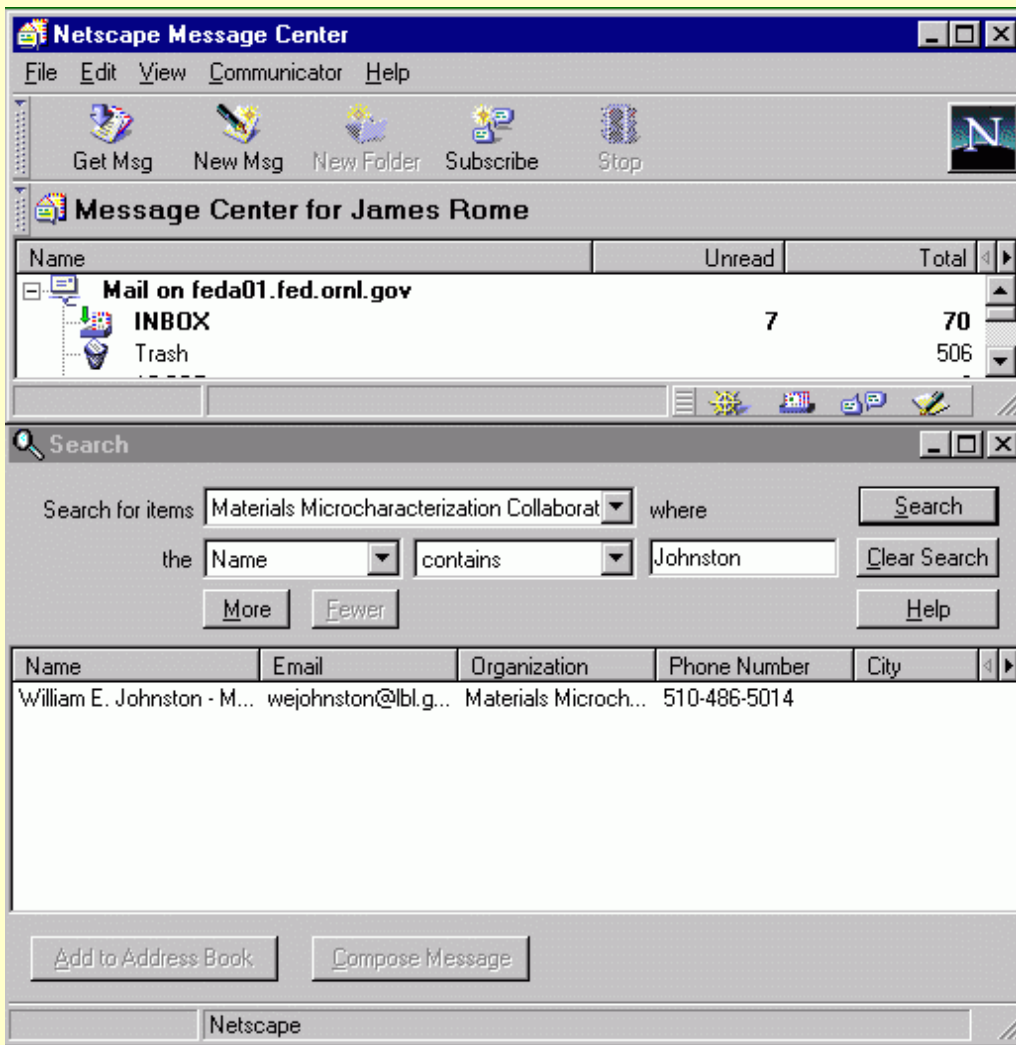
If you receive signed S/MIME mail from someone, Netscape will automatically extract their public key and save it so that you can send them encrypted mail in the future. That's another good reason for signing your mail. Or, if the user has an MMC certificate, you can use Communicator to look it up in the LDAP server as outlined [above](#). Attachments are also encrypted.

### **Publish your certificate**

In the above screen, you can publish your certificate in other directory servers so that people outside the MMC can find you. This may or may not work because of the way we have changed the definition of the ST (State) field.

### **Search the directory**

You can access and search the MMC LDAP via the Netscape Messenger. Under the *Edit* menu, select *Search Directory*.



Searching the MMC LDAP server

### Search the certificate server

You can search the certificate server directly to find out *all* the information in a person's certificate. In many ways this is preferable to searching the LDAP server because information in the certificate is certified (i.e., cryptographically signed the the CA — me). For example, below I search for all certificates issued to people with the status of "Administrator":

Enrollment

Renewal

Revocation

Retrieval

List Certificates

**Search  
Certificates**Import CA  
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## Search for Certificates

Use this form to compose queries based on properties of the certificate.

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Enter a range of certificate serial numbers in hexadecimal form (starting with 0x, as in the certificate list) or in decimal form.

### Subject Name

Show certificates with a subject name matching the following:

Email address:

Common name:

User ID:

Organization unit:

Organization:

Locality:

Status:

Country:

Match Method:  Exact

Partial

Searching for certificates for "Administrator" using the Certificate Server

## Internet Explorer Advice

IE users should consult [InternetExplorer.html](#).