

Security Hardening Guide for Lenovo® ONTAP 9®

Guidelines for Secure Deployment of ONTAP 9



Abstract

This technical report provides guidance and configuration settings for Lenovo® ONTAP® 9 to help organizations meet prescribed security objectives for information system confidentiality, integrity, and availability.

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1 Introduction

The evolution of the current threat landscape presents an organization with unique challenges for protecting its most valuable assets: data and information. The advanced and dynamic threats and vulnerabilities we face are ever increasing in sophistication. Coupled with an increase in the effectiveness of obfuscation and reconnaissance techniques on the part of potential intruders, storage managers must address the security of data and information in a proactive manner. This guide seeks to help operators and administrators in that task with the confidentiality, integrity, and availability integral to the Lenovo solution.

2 ONTAP Image Validation

2.1 Upgrade Image Validation

Code signing helps verify that ONTAP images installed through nondisruptive image updates or automated nondisruptive image updates, CLIs, or REST APIs are authentically produced by Lenovo and have not been tampered with.

This feature is a no-touch security enhancement to ONTAP upgrading or reversion. The user should verify the MD5SUM of the package downloaded from the Lenovo support site prior to attempting to use the package.

2.2 Boot-Time Image Validation

Unified Extensible Firmware Interface (UEFI) secure boot is enabled for the Lenovo DM Series systems. During power on, the bootloader validates the whitelist database of secure boot keys with the signature associated with each module that is loaded. After each module is validated and loaded, the boot process continues with the ONTAP initialization. If signature validation fails for any module, the system reboots.

3 Local Storage Administrator Accounts

3.1 Roles, Applications, and Authentication

Roles

With role-based access control (RBAC), users have access to only the systems and options that are required for their job roles and functions. The RBAC solution in ONTAP limits users' administrative access to the level granted for their defined role, which allows administrators to manage users by assigned role. ONTAP provides several predefined roles. Operators and administrators can create, modify, or delete custom access control roles, and they can specify account restrictions for specific roles. Table 1 lists the predefined roles in ONTAP.

Cluster Role	Brief Description	
Admin	Top-level administrative account	
Autosupport	upport Used by Lenovo AutoSupport® technology	
Backup	Provides access to the vserver services ndmp command directory	
Read-only Evokes all show commands and resets its own password		
None	Provides no command directory access	

Table 1) Predefined roles for cluster administrators.

Table 2) Predefined roles for storage virtual machine administrators.

SVM Role	Capabilities		
vsadmin	 Managing own user account, local password, and key information Managing volumes, quotas, qtrees, Lenovo Snapshot copies, and files Managing LUNs Performing Lenovo SnapLock[®] operations, except privileged delete Configuring the protocols NFS, CIFS, iSCSI, and FC (FCoE included) Configuring the following services: DNS, Lightweight Directory Access Protocol (LDAP), and Network Information Service (NIS) Monitoring network connections and network interface Monitoring the health of storage virtual machines (SVMs; previously known as Vservers) 		
vsadmin-volume	 Managing own user account, local password, and key information Managing volumes, quotas, qtrees, Snapshot copies, and files Managing LUNs Configuring the following protocols: NFS, CIFS, iSCSI, and FC (FCoE included) Configuring the following services: DNS, LDAP, and NIS Monitoring network interface Monitoring health of SVMs 		
vsadmin-protocol	 Managing own user account local password and key information Configuring the following protocols: NFS, CIFS, iSCSI, and FC (FCoE included) Configuring the following services: DNS, LDAP, and NIS Managing LUNs Monitoring network interface Monitoring health of SVMs 		
vsadmin-backup	 Managing own user account, local password, and key information Managing NDMP operations Making a restored volume read/write Managing Lenovo SnapMirror[®] relationships and Snapshot copies Viewing volumes and network information 		
vsadmin-snaplock	 Managing own user account, local password, and key information Managing volumes, except volume moves Managing quotas, qtrees, Snapshot copies, and files Performing SnapLock operations, including privileged delete Configuring the following protocols: NFS and CIFS Configuring the following services: DNS, LDAP, and NIS Monitoring jobs Monitoring network connections and network interface 		

SVM Role	Capabilities	
vsadmin-readonly	 Managing own user account, local password, and key information Monitoring health of SVMs Monitoring network interface Viewing volumes and LUNs Viewing services and protocols 	

Application Methods

The application method specifies the access type of the login method. Possible values include <code>console</code>, <code>http</code>, <code>ontapi</code>, <code>rsh</code>, <code>snmp</code>, <code>service-processor</code>, <code>ssh</code>, and <code>telnet</code>.

Setting this parameter to service-processor grants the user access to the Service Processor. When this parameter is set to service-processor, the -authentication-method parameter must be set to password because the Service Processor only supports password authentication. SVM user accounts cannot access the Service Processor. Therefore, operators and administrators cannot use the -vserver parameter when this parameter is set to service-processor.

For security reasons, Telnet and Remote Shell (RSH) are disabled by default because Lenovo recommends Secure Shell (SSH) for secure remote access. If there is a requirement or unique need for Telnet or RSH, they must be enabled.

The security protocol modify command modifies the existing cluster-wide configuration of RSH and Telnet. Enable RSH and Telnet in the cluster by setting the enabled field to true.

Authentication Methods

The authentication method parameter specifies the authentication method used for logins. Table 3 lists the various authentication methods.

Authentication Method	Description	
cert	SSL certificate authentication	
community	SNMP community strings	
domain	Active Directory authentication	
nsswitch	LDAP or NIS authentication	
password	Password	
publickey	Public key authentication	
usm	SNMP user security model	

Table 3) Authentication methods.

Note: The use of NIS is not recommended due to protocol security weaknesses.

Starting with ONTAP 9.4 chained two-factor authentication is available for local SSH admin accounts using publickey and password as the two authentication methods. In addition to the -authentication-method field in the security login command, a new field named -second-authentication-method has been added. Either public key or password can be specified as the -authentication-method or the -second-authentication-method. However, during SSH authentication, the order is always public key with partial authentication, followed by the password prompt for full authentication.

```
[sam@centos7 ~]$ ssh ontap9.3.NTAP.LOCAL
Authenticated with partial success.
Password:
cluster1::>
```

Beginning with ONTAP 9.4, nsswitch can be used as a second authentication method with publickey.

Beginning with ONTAP 9.12.1, FIDO2 can also be used for SSH authentication using a YubiKey hardware authentication device or other FIDO2 compatible devices.

Beginning with ONTAP 9.13.1:

- domain accounts can be used as a second authentication method with publickey.
- Time-based-one-time password (totp) is a temporary passcode generated by an algorithm that uses the current time of day as one of its authentication factors for the second authentication method.
- Public key revocation is supported with SSH publickeys as well as certificates which will be checked for expiration/revocation during SSH.

3.2 Default Administrative Accounts

There are two default administrative accounts: admin and diag.

Orphaned accounts are a major security vector that often leads to vulnerabilities, including the escalation of privileges. These are unnecessary and unused accounts that remain in the user account repository. They are primarily default accounts that were never used or for which passwords were never updated or changed. To address this issue, ONTAP supports the removal and renaming of accounts.

Although orphaned accounts are a significant security issue, Lenovo strongly recommends testing the effect of removing accounts from the local account repository.

To list the local accounts, use the security login show command.

```
cluster1::*> security login show -vserver cluster1
Vserver: cluster1
AuthenticationAcctIs-NsUser/Group NameApplicationMethodRoleLocked
                                                                  Is-Nsswitch
admin console password admin
admin http password admin
admin ontapi password admin
admin service-processor password
admin
                                         ----- ----
                 console password admin no
                                                                   no
                                                          no
                                                                   no
                 ontapi password admin
service-processor password admin no
password admin no
                                                          no
                                                                   no
                                                                    no
autosupport com
                                                                   no
                 console password autosupport
                                                          no
                                                                    no
6 entries were displayed.
```

Admin Account

The admin account has the role of admin and is allowed access using all applications.

To completely remove the default admin account, you must first create another admin-level account that uses the console login application.

Note: Doing so might cause some undesired effects. Always test new settings that might affect the security status of the solution on a nonproduction cluster first.

```
cluster1::*> security login create -user-or-group-name NewAdmin -application console -authentication-
method password -vserver cluster1
```

cluster1::*> security login show -vserver cluster1 Vserver: cluster1 Authentication Acct Is-Nsswitch User/Group Name Application Method Role Name Locked Group 8 Security Hardening Guide for Lenovo ONTAP 9 © 2023 Lenovo. All rights reserved.

NewAdmin	console	password	admin	no	no
admin	console	password	admin	no	no
admin	http	password	admin	no	no
admin	ontapi	password	admin	no	no
admin	service-pro	ocessor pas	sword admin	no	no
admin	ssh	password	admin	no	no
autosupport	console	password	autosupport	no	no
7 entries were of	displayed.				

After the new admin account is created, test access to that account with the NewAdmin account login. With the NewAdmin login, configure the account to have to same login applications as the default or previous admin account (for example, http, ontapi, service-processor, or ssh). This step makes sure that access control is maintained.

```
cluster1::*> security login create -vserver cluster1 -user-or-group-name NewAdmin -application ssh -
authentication-method password
cluster1::*> security login create -vserver cluster1 -user-or-group-name NewAdmin -application http -
authentication-method password
cluster1::*> security login create -vserver cluster1 -user-or-group-name NewAdmin -application ontapi -
authentication-method password
cluster1::*> security login create -vserver cluster1 -user-or-group-name NewAdmin -application ontapi -
authentication-method password
cluster1::*> security login create -vserver cluster1 -user-or-group-name NewAdmin -application service-
processor -authentication-method password
```

After all functions have been tested, you can disable the admin account for all applications before removing it from ONTAP. This step serves as a final test to confirm that there are no lingering functions that rely on the previous admin account.

cluster1::*> security login lock -vserver cluster1 -user-or-group-name admin -application *

To remove the default admin account and all entries for it, use the following command:

```
cluster1::*> security login delete -vserver cluster1 -user-or-group-name admin -application *
cluster1::*> security login show -vserver cluster1
Vserver: cluster1
                          Authentication
                                                   Acct Is-Nsswitch
AutnenticationAcctIs-NssUser/Group NameApplicationMethodRole NameLocked Group
      NewAdmin console password admin no no
NewAdmin http password admin
NewAdmin ontapi password admin
NewAdmin service-processor password admin
                                                   no
                                                         no
                                                  no
                                                         no
                                                 no
                                                          no
              ssn password admin
console password
              ssh
                                                  no
NewAdmin
                                                         no
autosupport
                          password autosupport
                                                   no
                                                          no
7 entries were displayed.
```

Diag Account

A diagnostic account named diag is provided with your storage system. You can use the diag account to perform troubleshooting tasks in the systemshell. The diag account and the systemshell are intended for low-level diagnostic purposes only and should be used only with guidance from technical support.

The diag account is the only account that can be used to access the systemshell through the diag privileged command systemshell. Before accessing the systemshell, you must set the diag account password by using the security login password command. You should use strong password principles and change the diag password on a regular interval. Neither the diag account nor the systemshell is intended for general administrative purposes.

```
ontap9-tme-8040::> set -privilege diag
Warning: These diagnostic commands are for use by Lenovo personnel only.
Do you want to continue? {y|n}: y
ontap9-tme-8040::*> systemshell -node ontap9-tme-8040-01
  (system node systemshell)
diag@l69.254.185.32's password:
```

Warning: The system shell provides access to low-level diagnostic tools that can cause irreparable damage to the system if not used properly. Use this environment only when directed to do so by support personnel.

ontap9-tme-8040-01%

3.3 Multi-admin verification

Beginning with ONTAP 9.11.1, you can use multi-admin verification (MAV) to allow certain operations, such as deleting volumes or Snapshot copies, to be executed only after approvals from designated administrators. This prevents compromised, malicious, or inexperienced administrators from making undesirable changes or deleting data.

Configuring MAV consists of the following:

- Creating one or more administrator approval groups.
- Enabling multi-admin verification functionality.
- Adding or modifying rules.

After initial configuration, only administrators in a MAV approval group (MAV administrators) can modify these elements.

When MAV is enabled, the completion of every protected operation requires three steps:

- 1. When a user initiates the operation, a request is generated.
- 2. Before it can be executed, the required number of MAV administrators must approve.
- 3. After approval, the user completes the operation.

MAV is not intended for use with volumes or workflows that involve heavy automation because each automated task requires approval before the operation can be completed. If you want to use automation and MAV together, Lenovo recommends that you use queries for specific MAV operations. For example, you can apply volume delete MAV rules only to volumes where automation is not involved, and you can designate those volumes with a particular naming scheme.

For more detailed information about MAV, see the ONTAP multi-admin verification documentation.

3.4 Snapshot copy locking

Beginning in ONTAP 9.12.1, Snapshot copy locking is a SnapLock capability where Snapshot copies are rendered indelible manually or automatically with a retention period on the volume Snapshot policy. Snapshot copy locking is also referred to as tamper-proof Snapshot locking. Although it does require the SnapLock license and initialization of the compliance clock, Snapshot copy locking is unrelated to SnapLock Compliance or SnapLock Enterprise. There is no trusted storage administrator, as with SnapLock Enterprise and it does not protect the underlying physical storage infrastructure, as with SnapLock Compliance. The purpose of Snapshot copy locking is to prevent rogue or untrusted administrators from deleting Snapshots on primary or secondary ONTAP system. This is an improvement over SnapVaulting Snapshot copies to a secondary system. Rapid recovery of locked Snapshots on primary systems can be achieved to restore volumes corrupted by ransomware.

For more details on Snapshot copy locking, see the ONTAP documentation.

3.5 Certificate-Based API Access

When using the Lenovo Manageability SDK API access to ONTAP, you must use certificate-based authentication instead of the user ID and password authentication.

A self-signed certificate can be generated and installed on ONTAP as follows:

4. Using OpenSSL, generate a certificate by running the following command:

This command generates a public certificate named test.pem and a private key named key.out. The common name, CN, corresponds to the ONTAP user ID.

Install the contents of the public certificate in privacy enhanced mail (pem) format in ONTAP by running the following command and pasting the certificate's contents when prompted:

security certificate install -type client-ca -vserver ontap9-tme-8040

Please enter Certificate: Press <Enter> when done

6. Enable ONTAP to allow client access through SSL and define the user ID for API access.

```
security ssl modify -vserver ontap9-tme-8040 -client-enabled true
security login create -user-or-group-name cert_user -application ontapi -authmethod cert -role admin -
vserver ontap9-tme-8040
```

In the following example, the user ID cert_user is now enabled to use certificate-authenticated API access. A simple Manageability SDK Python script using cert_user to display the ONTAP version appears as follows:

```
#!/usr/bin/python
import sys
sys.path.append("/home/admin/netapp-manageability-sdk-9.5/netapp-manageability-sdk-
9.5/lib/python/NetApp")
from NaServer import *
cluster = "ontap9-tme-8040"
transport = "HTTPS"
port = 443
style = "CERTIFICATE"
cert = "test.pem"
key = "test.key"
s = NaServer(cluster, 1, 30)
s.set_transport_type(transport)
s.set_port(port)
s.set_style(style)
s.set_server_cert_verification(0)
s.set_client_cert_and_key(cert, key)
api = NaElement("system-get-version")
output = s.invoke_elem(api)
if (output.results_status() == "failed"):
    r = output.results_reason()
   print("Failed: " + str(r))
   sys.exit(2)
ontap_version = output.child_get_string("version")
print ("V: " + ontap_version)
```

The output of the script displays the ONTAP version.

To perform certificate-based authentication with the ONTAP REST API, complete the following steps:
 a. In ONTAP, define the user ID for HTTP access:

```
security login create -user-or-group-name cert_user -application http -authmethod cert -role admin - vserver ontap9-tme-8040
```

b. On your Linux client, run the following command that produces the ONTAP version as output:

```
curl -k --cert-type PEM --cert ./test.pem --key-type PEM --key ./test.key -X GET "https://ontap9-tme-
8040/api/cluster?fields=version"
{
    "version": {
        "full": "Lenovo Release 9.7P1: Thu Feb 27 01:25:24 UTC 2020",
        "generation": 9,
        "major": 7,
        "minor": 0
    },
    "_links": {
        "self": {
            "href": "/api/cluster"
        }
    }
}
```

3.6 Login and Password Parameters

An effective security posture adheres to established organizational policies, guidelines, and any governance or standards that apply to the organization. Examples of these requirements include user name lifetime, password-length requirements, character requirements, and the storage of such accounts. The ONTAP solution provides features and functions to address these security constructs.

New Local Account Features

To support an organization's user account policies, guidelines, or standards, including governances, the following functionality is now supported with ONTAP 9:

- Configuring password policies to enforce a minimum number of digits, lowercase characters, or uppercase characters
- Requiring a delay after a failed login attempt
- Defining the account inactive limit
- Expiring a user account
- Displaying a password expiration warning message
- Notification of an invalid login

Note: Configurable settings are managed by using the security login role config modify command.

SHA-512 Support

To enhance password security, ONTAP 9 supports the SHA-2 password hash function and defaults to using SHA-512 for hashing newly created or changed passwords. Operators and administrators can also expire or lock accounts as needed.

The password hash functionality enables you to perform the following tasks:

• Display user accounts that match the specified hash function

```
cluster1::*> security login show -user-or-group-name NewAdmin -fields hash-function
vserver user-or-group-name application authentication-method hash-function
```

cluster1	NewAdmin	console	password	sha512
cluster1	NewAdmin	ontapi	password	sha512
cluster1	NewAdmin	ssh	password	sha512

Expire accounts that use a specified hash function (for example, MD5), which forces users to change their
passwords at the next login

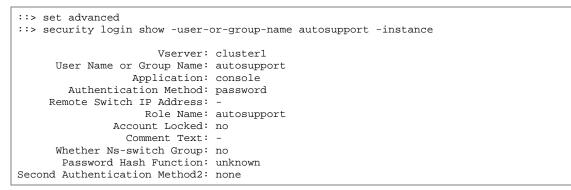
cluster1::*> security login expire-password -vserver * -username * -hash-function md5

Lock accounts with passwords that use the specified hash function

cluster1::*> security login lock -vserver * -username * -hash-function md5

The password hash function is unknown for the internal autosupport user in your cluster's administrative SVM. This issue is cosmetic. The hash function is unknown because this internal user does not have a configured password by default.

To view the password hash function for the autosupport user, run the following commands:



To set the password hash function (default: sha512), run the following command:

::> security login password -username autosupport

It does not matter what the password is set to.

```
security login show -user-or-group-name autosupport -instance

Vserver: clusterl

User Name or Group Name: autosupport

Application: console

Authentication Method: password

Remote Switch IP Address: -

Role Name: autosupport

Account Locked: no

Comment Text: -

Whether Ns-switch Group: no

Password Hash Function: sha512

Second Authentication Method2: none
```

Password Parameters

The ONTAP solution supports password parameters that address and support organizational policy requirements and guidelines. Table 4 describes the security login role config show command, which displays information about the account.

The Lenovo recommended defaults are listed below. They may not correspond to the default values you see from ONTAP.

They can be applied by using the ansible script provided in the Lenovo github distribution for DM Series.

Table 4) Restrictions for management utility user accounts.

Attribute	Description	Default	Range
username-minlength	Minimum user name length required	3	3–16
username-alphanum	User name alphanumeric	disabled	Enabled/disabled
passwd-minlength	Minimum password length required	8	3–64
passwd-alphanum	Password alphanumeric	enabled	Enabled/disabled
passwd-min- special-chars	Minimum number of special characters required in the password	1	0–64
passwd-expiry-time	Password expiration time (in days)	90	0–unlimited 0 == expire now
require-initial- passwd-update	Require initial password update on first login	Enabled	Enabled/disabled Changes allowed through console or SSH
max-failed-login- attempts	Maximum number of failed attempts	10	
lockout-duration	Maximum lockout period (in days)	The default is 0, which means the account is locked for one day	
disallowed-reuse	Disallow last <i>N</i> passwords	6	Minimum is 6
change-delay	Delay between password changes (in days)	1	
delay-after- failed-login	Delay after each failed login attempt (in seconds)	4	
passwd-min- lowercase-chars	Minimum number of lowercase alphabetic characters required in the password	1	0–64
passwd-min- uppercase-chars	Minimum number of uppercase alphabetic characters required	1	0–64
passwd-min-digits	Minimum number of digits required in the password	1	0–64
passwd-expiry- warn-time	Display warning message before password expiration (in days)	14	0, which means warn user about password expiration upon every successful login
account-expiry- time	Account expires in <i>N</i> days	Unlimited, which means the accounts never expire	The account expiration time must be greater than the account inactive limit

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Attribute	Description	Default	Range
account-inactive- limit	Maximum duration of inactivity before account expiration (in days)	Unlimited, which means the inactive accounts never expire	The account inactive limit must be less than the account expiration time

```
cluster1::*> security login role config show -vserver cluster1 -role admin
                                         Vserver: cluster1
                                        Role Name: admin
                 Minimum Username Length Required: 3
                          Username Alpha-Numeric: disabled
                 Minimum Password Length Required: 8
                          Password Alpha-Numeric: enabled
Minimum Number of Special Characters Required in the Password: 0
                      Password Expires In (Days): unlimited
  Require Initial Password Update on First Login: disabled
               Maximum Number of Failed Attempts: 0
                   Maximum Lockout Period (Days): 0
                      Disallow Last 'N' Passwords: 6
           Delay Between Password Changes (Days): 0
     Delay after Each Failed Login Attempt (Secs): 4
Minimum Number of Lowercase Alphabetic Characters Required in the Password: 0
Minimum Number of Uppercase Alphabetic Characters Required in the Password: 0
Minimum Number of Digits Required in the Password: 0
Display Warning Message Days Prior to Password Expiry (Days): unlimited
                       Account Expires in (Days): unlimited
Maximum Duration of Inactivity before Account Expiration (Days): unlimited
```

4 System Administration Methods

4.1 Command-Line Access

Establishing secure access to systems is a critical part of maintaining a secure solution. The most common command-line access options are SSH, Telnet, and RSH. Of these, SSH is the most secure, industry-standard best practice for remote command-line access. Lenovo highly recommends using SSH for command-line access to the ONTAP solution.

The security ssh show command shows the configurations of the SSH key exchange algorithms, ciphers, and MAC algorithms for the cluster and SVMs. Table 7 lists the algorithms and ciphers supported with SSH in the ONTAP solution. The key exchange method uses these algorithms and ciphers to specify how the one-time session keys are generated for encryption and authentication and how server authentication takes place.

Vserver	Ciphers	Key Exchange Algorithms	MAC Algorithms
nsadhanaclu			
	aes256-ctr,	diffie-helman-group-	hmac-sha2-256
	aes192-ctr,	exchange-sha256,	hmac-sha2-512
	aes128-ctr	ecdh-sha2-nistp384	
vs0	aes128-gcm	curve25519-sha256	hmac-shal
vs1	aes256-ctr,	diffie-hellman-group-	hmac-shal-96
	aes192-ctr,	exchange-sha256	hmac-sha2-256
	aes128-ctr,	ecdh-sha2-nistp384	hmac-sha2-256-
		3des-cbc, ecdh-sha2	-nistp512 etm
		aes128-gcm	hmac-sha2-512

Login Banners

Login banners allow an organization to present any operators, administrators, and even users with terms and conditions of acceptable use, and they indicate who is permitted access to the system. This approach is helpful for establishing expectations for access and use of the system. The security login banner modify

command modifies the login banner. The login banner is displayed just before the authentication step during the SSH and console device login process. The banner text must be in double quotes (""), as shown in the following example. Table 5 lists the login banner parameters.

Note: Adding a login banner is one of the security settings that is checked to ensure that a system is compliant with the recommended setting.

cluster1::> security login banner modify -vserver cluster1 -message "Authorized users ONLY!"

Table 5) Login banner parameters.

Parameter	Description
vserver	Use this parameter to specify the SVM with the modified banner. Use the name of the cluster admin SVM to modify the cluster-level message. The cluster-level message is used as the default for data SVMs that do not have a message defined.
message	This optional parameter can be used to specify a login banner message. If the cluster has a login banner message set, the cluster login banner is used by all data SVMs as well. Setting a data SVM's login banner overrides the display of the cluster login banner. To reset a data SVM login banner to use the cluster login banner, use this parameter with the value "" If you use this parameter, the login banner cannot contain newlines (also known as ends of lines [EOLs] or line breaks). To enter a login banner message with newlines, do not specify any parameter. You are prompted to enter the message interactively. Messages
	entered interactively can contain newlines. Non-ASCII characters must use Unicode UTF-8.
uri	(ftp http)://(hostname IPv4 Address '['IPv6 Address']' is the download URI for the banner message.
	Use this parameter to specify the URI from which the login banner is downloaded. The message must not exceed 2,048 bytes in length. Non-ASCII characters must be provided as Unicode UTF-8.

Message of the Day

The security login motd modify command updates the message of the day (MOTD).

There are two categories of MOTD: the cluster-level MOTD and the data SVM-level MOTD. A user logging in to a data SVM's clustershell might see two messages: the cluster-level MOTD followed by the SVM-level MOTD for that SVM.

The cluster administrator can enable or disable the cluster-level MOTD on each SVM individually if needed. If the cluster administrator disables the cluster-level MOTD for an SVM, a user logging in to the SVM does not see the cluster-level message. Only a cluster administrator can enable or disable the cluster-level message.

Table 6) MOTD parameters.

Parameter	Description
vserver	Use this parameter to specify the SVM for which the MOTD is modified. Use the name of the cluster admin SVM to modify the cluster-level message.
message	This optional parameter can be used to specify a message. If you use this parameter, the MOTD cannot contain newlines. If you do not specify any parameter other than the -vserver parameter, you are prompted to enter the message interactively. Messages entered interactively can contain newlines. Non-ASCII characters must be provided as Unicode UTF-8. The message can contain dynamically generated content using the following escape sequences: \\ – A single backlash character

Parameter	Description
	\b - No output (supported for compatibility with Linux only)
	• \C – Cluster name
	• \d - Current date as set on the login node
	• \t - Current time as set on the login node
	• \I – Incoming LIF IP address (prints console for a console login)
	• \1 – Login device name (prints console for a console login)
	• \L - Last login for the user on any node in the cluster
	• \m – Machine architecture
	• \n – Node or data SVM name
	• \N – Name of user logging in
	• \o – Same as \o. Provided for Linux compatibility.
	 \O – DNS domain name of the node. Note that the output depends on the network configuration and may be empty.
	• \r – Software release number
	• \s – Operating system name
	 \u – Number of active clustershell sessions on the local node. For the cluster admin: all clustershell users. For the data SVM admin: only active sessions for that data SVM.
	• \U – Same as \u, but has user or users appended
	\v – Effective cluster version string
	• $\ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \$

CLI Session Timeout

The default CLI session timeout is 30 minutes. The timeout is important to prevent stale sessions and session piggybacking.

Use the system timeout show command to view the current CLI session timeout. To set the timeout value, use the system timeout modify -timeout <minutes> command.

4.2 Web Access

Lenovo ThinkSystem Storage Manager

If an ONTAP administrator prefers to use a graphical interface instead of the CLI for accessing and managing a cluster, use Lenovo ThinkSystem Storage Manager. It is included with ONTAP as a web service, enabled by default, and accessible by using a browser. Point the browser to the host name if using DNS or the IPv4 or IPv6 address through https://cluster-management-LIF.

If the cluster uses a self-signed digital certificate, the browser might display a warning indicating that the certificate is not trusted. You can either acknowledge the risk to continue access or install a certificate authority (CA) signed digital certificate on the cluster for server authentication.

Beginning with ONTAP 9.4 Security Assertion Markup Language (SAML) authentication is an option for ThinkSystem Storage Manager.

SAML Authentication for ThinkSystem Storage Manager

SAML 2.0 is a widely adopted industry standard that allows any third-party SAML-compliant identity provider (IdP) to perform MFA using mechanisms unique to the IdP of the enterprise's choosing and as a source of single sign-on (SSO).

There are three roles defined in the SAML specification: the principal, the IdP, and the service provider. In the ONTAP implementation, a principal is the cluster administrator gaining access to ONTAP through ThinkSystem Storage Manager or Lenovo ThinkSystem Intelligent Monitoring Unified Manager. The IdP is third-party IdP software. Beginning with ONTAP 9.4, Microsoft Active Directory Federated Services (ADFS) and the open-source Shibboleth IdP are supported IdPs. Beginning with ONTAP 9.12.1, Cisco DUO is a supported IdP. The service provider is the SAML capability built into ONTAP that is used by ThinkSystem Storage Manager or the ThinkSystem Intelligent Monitoring Unified Manager.

Unlike the SSH two-factor configuration process, after SAML authentication is activated, ThinkSystem Storage Manager or ONTAP Service Processor access requires all existing administrators to authenticate through the SAML IdP. No changes are required to the cluster user accounts. When SAML authentication is enabled, a new authentication method of saml is added to existing users with administrator roles for http and ontapi applications.

After SAML authentication is enabled, additional new accounts requiring SAML IdP access should be defined in ONTAP with the administrator role and the saml authentication method for http and ontapi applications. If SAML authentication is disabled at some point, these new accounts require the password authentication method to be defined with the administrator role for http and ontapi applications and addition of the console application for local ONTAP authentication to ThinkSystem Storage Manager.

After the SAML IdP is enabled, the IdP performs authentication for ThinkSystem Storage Manager access by using methods available to the IdP, such as Lightweight Directory Access Protocol (LDAP), Active Directory (AD), Kerberos, password, and so on. The methods available are unique to the IdP. It is important that the accounts configured in ONTAP have user IDs that map to the IdP authentication methods.

IdPs that have been validated by Lenovo are Microsoft ADFS and open-source Shibboleth IdP.

5 ThinkSystem Storage Manager insights

Beginning with ONTAP 9.11.1, ThinkSystem Storage Manager provides insights to help cluster administrators streamline their day-to-day tasks. The security insights are based on the recommendations of this technical report. Table 7 is a list of the security insights provided.

Insight	Determination	
Telnet is enabled	Lenovo recommends Secure Shell (SSH) for secure remote access.	
Remote Shell (RSH) is enabled	Lenovo recommends SSH for secure remote access.	
AutoSupport is using an insecure protocol	AutoSupport is not configured to be sent over HTTPS.	
Login banner is not configured on the cluster at cluster level	Warning if login banner is not configured for the cluster.	
SSH is using insecure ciphers	Warning if SSH uses insecure ciphers.	
Too few NTP servers are configured	Warning if the number of NTP servers configured is less than three.	
Default admin user not locked	When not using any default administrative accounts (admin or diag) to log in to System Manager, and these accounts are not locked, the recommendation is to lock them.	
Ransomware defense — volumes don't have Snapshot policies	No adequate Snapshot policy is attached to one or more volumes.	
Ransomware defense — disable Snapshot auto-delete	Snapshot auto-delete is set for one or more volumes.	

Table 7) Security insights.

Insight	Determination	
Volumes are not being monitored for ransomware attacks	Autonomic ransomware protection is supported on several volumes but not yet configured.	
SVMs are not configured for autonomic ransomware protection	Autonomic ransomware protection is supported on several SVMs but not yet configured.	
Native FPolicy is not configured	FPolicy is not set for NAS SVMs.	
Enable autonomic ransomware protection active mode	Several volumes have completed their learning mode and you can switch on active mode	
Global FIPS 140-2 compliance is disabled	Global FIPS 140-2 compliance is not enabled.	
Cluster is not configured for notifications	Emails, webhooks or SNMP traphosts are not configured to receive notifications.	

For more information about ThinkSystem Storage Manager insights, see the <u>ThinkSystem Storage Manager</u> insights documentation.

6 ONTAP autonomous ransomware protection

In addition to ransomware detection and prevention using external FPolicy user behavioral analytics ONTAP 9.10.1 introduces autonomous ransomware protection. ONTAP anti-ransomware uses a built-in on-box machine learning (ML) capability that looks at volume workload activity plus data entropy to automatically detect ransomware. It monitors for activity that is different from UBA so that it can detect attacks that UBA does not.

For more detailed information about this capability, see <u>TR-4572: Lenovo Solution for Ransomware</u> or the <u>ONTAP autonomous ransomware protection documentation.</u> ONTAP anti-ransomware is introduced with ONTAP 9.10.1. ONTAP anti-ransomware uses a built-in on-box machine learning (ML) capability that looks at volume workload activity plus data entropy to automatically detect ransomware. It monitors for activity that is different from UBA (user behavioral analytics) so that it can detect attacks that UBA does not.

7 Storage Administrative System Auditing

7.1 Sending Out Syslog

Log and audit information is invaluable to an organization from a support and availability standpoint. In addition, the information and details contained in logs (syslog) and audit reports and outputs are generally of a sensitive nature. To maintain security controls and posture, it is imperative that organizations manage log and audit data in a secure manner.

Offloading of syslog information is necessary for limiting the scope or footprint of a breach to a single system or solution. Therefore, Lenovo recommends securely offloading syslog information to a secure storage or retention location.

Create a Log-Forwarding Destination

The cluster log-forwarding create command creates log-forwarding destinations for remote logging.

Parameters

Use the following parameters to configure the cluster log-forwarding create command:

• **Destination host.** This name is the host name or IPv4 or IPv6 address of the server to which to forward the logs.

-destination <Remote InetAddress>

• **Destination port.** This is the port on which the destination server listens.

```
[-port <integer>]
   Log-forwarding protocol. This protocol is used for sending messages to the destination.
[-protocol {udp-unencrypted|tcp-unencrypted|tcp-encrypted}]
   The log-forwarding protocol can use one of the following values:

    udp-unencrypted. User Datagram Protocol with no security.

    tcp-unencrypted. TCP with no security.

       tcp-encrypted. TCP with Transport Layer Security (TLS).
   Verify destination server identity. When this parameter is set to true, the identity of the log-forwarding
   destination is verified by validating its certificate. The value can be set to true only when the
   tcpencrypted value is selected in the protocol field.
[-verify-server {true [false]]
   Syslog facility. This value is the syslog facility to use for the forwarded logs.
[-facility <Syslog Facility>]
   Skip the connectivity test. Normally, the cluster log-forwarding create command checks that
   the destination is reachable by sending an Internet Control Message Protocol (ICMP) ping and fails if it is
   not reachable. Setting this value to true bypasses the ping check so that you can configure the destination
   when it is unreachable.
```

[-force [true]]

Lenovo recommends using the cluster log-forwarding command to force the connection to a -tcpencrypted type.

7.2 Event Notification

Securing the information and data leaving a system is vital to maintaining and managing the system's security posture. The events generated by the ONTAP solution provide a wealth of information about what the solution is encountering, the information processed, and more. The vitality of this data highlights the need to manage and migrate it in a secure manner.

The event notification create command sends a new notification of a set of events defined by an event filter to one or more notification destinations. The following examples depict the event notification configuration and the event notification show command, which displays the configured event notification filters and destinations.

8 Storage Encryption

Data-at-rest encryption is important to protect sensitive data in the event of a disk that is stolen, returned, or repurposed.

ONTAP 9 has three Federal Information Processing Standard (FIPS) 140-2–compliant data-at-rest encryption solutions:

• Lenovo Storage Encryption (LSE) is a hardware solution that uses self-encrypting drives.

- Lenovo Volume Encryption (LVE) is a software solution that enables encryption of any data volume on any drive type where it is enabled with a unique key for each volume.
- Lenovo Aggregate Encryption (LAE) is a software solution that enables encryption of any data volume on any drive type where it is enabled with unique keys for each aggregate.

LSE, LVE, and LAE can use either external key management or the onboard key manager (OKM). Use of LSE, LVE, and LAE does not affect ONTAP storage efficiency features. However, LVE volumes are excluded from aggregate deduplication. LAE volumes participate in and benefit from aggregate deduplication.

The OKM provides a self-contained encryption solution for data at rest with LSE, LVE, or LAE.

LVE, LAE, and OKM use the ONTAP CryptoMod. CryptoMod is listed on the CMVP FIPS 140-2 validated modules list. See <u>FIPS 140-2 Cert# 4144</u>.

To begin OKM configuration, use the security key-manager onboard enable command. To configure external Key Management Interoperability Protocol (KMIP) key managers, use the security key-manager external enable command. Starting with ONTAP 9.6, multitenancy is supported for external key managers. Use the -vserver <vserver name> parameter to enable external key management for a specific SVM. Prior to 9.6, the security key-manager setup command was used to configure both OKM and external key managers. For onboard key management, this configuration walks the operator or administrator through the passphrase setup and additional parameters for configuring OKM.

A part of the configuration is provided in the following example:

```
cluster1::> security key-manager setup
Welcome to the key manager setup wizard, which will lead you through
the steps to add boot information.
Enter the following commands at any time
"help" or "?" if you want to have a question clarified,
"back" if you want to change your answers to previous questions, and
"exit" if you want to quit the key manager setup wizard. Any changes
you made before typing "exit" will be applied.
Restart the key manager setup wizard with "security key-manager setup". To accept a default
or omit a question, do not enter a value.
Would you like to configure onboard key management? {yes, no} [yes]:
Enter the cluster-wide passphrase for onboard key management. To continue the configuration, enter the
passphrase, otherwise
type "exit":
Re-enter the cluster-wide passphrase:
After configuring onboard key management, save the encrypted configuration data
in a safe location so that you can use it if you need to perform a manual recovery
operation. To view the data, use the "security key-manager backup show" command.
```

Beginning with ONTAP 9.4, You can use the -enable-cc-mode true option with security key-manager setup to require that users enter the passphrase after a reboot. For ONTAP 9.6 and later, the command syntax is security key-manager onboard enable -cc-mode-enabled yes.

Beginning with ONTAP 9.4, you can use the secure-purge feature with advanced privilege to nondisruptively "scrub" data on LVE-enabled volumes. Scrubbing data on an encrypted volume ensures that it cannot be recovered from the physical media. The following command securely purges the deleted files on vol1 on SVM vs1:

cluster1::> volume encryption secure-purge start -vserver vs1 -volume vol1

Beginning with ONTAP 9.7, LAE and LVE are enabled by default. If the VE license is in place, either OKM or external key managers are configured, and LSE is not used. LAE volumes are created by default on LAE aggregates, and LVE volumes are created by default on non-LAE aggregates. You can override this by entering the following command:

cluster1::*> options -option-name encryption.data_at_rest_encryption.disable_by_default true

Beginning with ONTAP 9.6, you can use an SVM scope to configure external key management for a data SVM in the cluster. This is best for multitenant environments in which each tenant uses a different SVM (or set of SVMs) to serve data. Only the SVM administrator for a given tenant has access to the keys for that tenant. For more information, see <u>enable external key management in ONTAP 9.6 and later</u> in the ONTAP documentation.

Beginning in ONTAP 9.11.1, you can configure connectivity to clustered external key management servers by designating primary and secondary key servers on an SVM. For more information, see <u>configure clustered</u> <u>external key servers</u> in the ONTAP documentation.

For more information about LSE, LVE, LAE, OKM, and external KMIP servers, see <u>Lenovo Encryption Power</u> <u>Guide in the ONTAP 9 Documentation Center</u>.

Note: Enabling encryption for all volumes and aggregates is one of the settings checked to ensure that the recommended security settings are applied.

9 Data Replication Encryption

When replicating data for disaster recovery, caching, or backup, you must protect that data during transport over the wire from one ONTAP cluster to another. Doing so prevents malicious man-in-the-middle attacks against sensitive data while it is in flight.

Beginning with ONTAP 9.6, Cluster Peering Encryption provides TLS 1.2 AES-256 GCM encryption support for ONTAP data replication features such as SnapMirror, SnapVault, and FlexCache. Encryption is setup by way of a pre-shared key (PSK) between two cluster peers.

Customers who use technologies like LSE, LVE, and LAE to protect data at rest can also use end-to-end data encryption by upgrading to ONTAP 9.6 or later to use Cluster Peering Encryption.

Cluster peering encrypts all data between the cluster peers. For example, when using SnapMirror, all peering information as well as all SnapMirror relationships between the source and destination cluster peer are encrypted. You cannot send clear-text data between cluster peers with Cluster Peering Encryption enabled.

Beginning with ONTAP 9.6, new cluster-peer relationships have encryption enabled by default. To enable encryption on cluster peer relationships that were created before ONTAP 9.6, you must upgrade the source and destination cluster to 9.6. In addition, you must use the cluster peer modify command to change both the source and destination cluster peers to use Cluster Peering Encryption.

Converting an existing peer relationship to use Cluster Peering Encryption in ONTAP 9.6 is shown in the following example:

```
On the Destination Cluster Peer
Cluster2::> cluster peer modify Cluster1 -auth-status-admin use-authentication -encryption-protocol-
proposed tls-psk
When prompted enter a passphrase.
On the Source Cluster Peer
Cluster1::> cluster peer modify Cluster2 -auth-status-admin use-authentication -encryption-protocol-
proposed tls-psk
When prompted enter the same passphrase you created in the previous step.
```

For more information about cluster peering encryption, see the <u>Cluster and SVM Peering Power Guide</u> in the <u>ONTAP 9 Documentation Center</u>.

10 IPsec data-in-flight encryption

In some situations, there might be a requirement to protect all client data transported over the wire (or in flight) to the ONTAP SVM. Doing so prevents replay and malicious man-in-the-middle attacks against sensitive data while it's in flight.

Starting with ONTAP 9.8, Internet Protocol Security (IPsec) provides end-to-end encryption support for all IP traffic between a client and an ONTAP SVM. IPsec data encryption for all IP traffic includes NFS, iSCSI, and SMB/CIFS protocols. IPsec provides the only encryption in flight option for iSCSI traffic.

Providing NFS encryption over the wire is one of the main use cases for IPsec. Prior to ONTAP 9.8, NFS overthe-wire encryption required the setup and configuration of Kerberos to utilize krb5p to encrypt NFS data in flight. This is not always simple or easy to accomplish in every customer environment.

Customers who use data-at-rest encryption technologies such as Lenovo Storage Encryption (LSE) or Lenovo Volume Encryption (LVE) and Cluster Peering Encryption (CPE) for data replication traffic can now use end-toend encryption between client and storage across their hybrid multi-cloud data fabric by upgrading to ONTAP 9.8 or later and using IPsec.

IPsec is an IETF standard. ONTAP uses IPsec in transport mode. It also leverages the Internet Key Exchange (IKE) protocol version 2, which uses a pre-shared key (PSK) for negotiating key material between the client and ONTAP with either IPv4 or IPv6. By default, IPsec uses Suite-B AES-GCM 256-bit encryption. Suite-B AES-GMAC256 and AES-CBC256 with 256-bit encryption are also supported.

Although the IPsec capability must be enabled on the cluster, it applies to individual SVM IP addresses through the use of a Security Policy Database (SPD) entry. The policy (SPD) entry contains the client IP address (remote IP subnet), SVM IP address (local IP subnet), the encryption cipher suite to use, and the pre-shared secret (PSK needed to authenticate via IKEv2 and establish the IPsec connection. In addition to the IPsec policy entry, the client must be configured with the same information (local and remote IP, PSK, and cipher suite) before traffic can flow over the IPsec connection. Beginning with ONTAP 9.10.1, IPsec certificate authentication support is added. This removes IPsec policy limits and enables Windows OS support for IPsec.

If there is a firewall between the client and the SVM IP address, then it must allow the ESP and UDP (port 500 and 4500) protocols, both inbound (ingress) and outbound (egress), for the IKEv2 negotiation to succeed and thus allow IPsec traffic.

For SnapMirror and cluster peering traffic encryption, cluster peering encryption (CPE) is still recommended over IPsec for secure in-transit over the wire. CPE performs better for these workloads than IPsec. You do not need a license for IPsec, and there are no import or export restrictions.

Enabling IPsec on the cluster and creating an SPD entry for a single client and a single SVM IP address is shown in the following example:

```
On the Destination Cluster Peer
Cluster1::> security ipsec config modify -is-enabled true
Cluster1::> security ipsec policy create -vserver vsl -name test34 -local-ip-subnets 192.168.134.34/32
-remote-ip-subnets 192.168.134.44/32
```

When prompted enter and confimr the pre shared secret (PSK).

For more information about IPsec, see the <u>ONTAP 9 Network Management Guide</u> in the <u>ONTAP 9</u> <u>Documentation Center</u>.

11 Managing TLS and SSL

Beginning with ONTAP 9, you can enable the FIPS 140-2 compliance mode for cluster-wide control plane interfaces. By default, the FIPS 140-2-only mode is disabled. You can enable the FIPS 140-2 compliance mode by setting the is-fips-enabled parameter to true for the security config modify command. You can then use the security config show command to confirm the online status.

Note: Future versions of ONTAP and current versions of ThinkSystem Intelligent Monitoring Unified Manager will scan ONTAP clusters to determine if they are secure. FIPS 140-2 compliance is one the settings that is checked so it is recommended that users run in this mode whenever possible or they may receive additional errors.

When FIPS 140-2 compliance is enabled, TLSv1 and SSLv3 are disabled, and only TLSv1.1 and TLSv1.2 remain enabled. ONTAP prevents you from enabling TLSv1 and SSLv3 when FIPS 140-2 compliance is enabled. If you enable FIPS 140-2 and then subsequently disable it, TLSv1 and SSLv3 remain disabled, but TLSv1.2 or both TLSv1.1 and TLSv1.2 remain enabled, depending on the previous configuration.

The security config modify command modifies the existing cluster-wide security configuration. If you enable the FIPS-compliant mode, the cluster automatically selects only TLS protocols. Use the -supported-protocols parameter to include or exclude TLS protocols independently from FIPS mode. By default, FIPS mode is disabled, and ONTAP supports the TLSv1.2 and TLSv1.1.

For backward compatibility, ONTAP supports adding SSLv3 to the supported-protocols list when FIPS mode is disabled. Use the -supported-ciphers parameter to configure only the Advanced Encryption Standard (AES) or AES and 3DES. You can also disable weak ciphers such as RC4 by specifying !RC4. By default, the supported cipher setting is ALL: !LOW: !aNULL: !EXP: !eNULL. This setting means that all supported cipher suites for the protocols are enabled, except for the ones with no authentication, no encryption, no exports, and low-encryption cipher suites. These are suites using 64-bit or 56-bit encryption algorithms.

Select a cipher suite that is available with the corresponding selected protocol. An invalid configuration might cause some functionality to fail to operate properly.

For the correct cipher string syntax, see the <u>ciphers</u> page on OpenSSL (published by the OpenSSL software foundation). Beginning with ONTAP 9.9.1 and later releases, you are no longer required to reboot all the nodes manually after modifying the security configuration.

Enabling FIPS 140-2 compliance has effects on other systems and communications internal and external to ONTAP 9. Lenovo highly recommends testing these settings on a nonproduction system that has console access.

Note: If SSH is used to administer ONTAP 9, then you must use an OpenSSH 5.7 or later client. SSH clients must negotiate with the Elliptic Curve Digital Signature Algorithm (ECDSA) public key algorithm for the connection to be successful.

TLS security can be further hardened by only enabling TLS 1.2 and using Perfect Forward Secrecy (PFS)capable cipher suites. PFS is a method of key exchange that, when used in combination with encryption protocols like TLS 1.2, helps prevent an attacker from decrypting all network sessions between a client and server. To enable only TLS 1.2 and PFS-capable ciphers suites, use the security config modify command from the advanced privilege level as shown in the following example.

- **Note:** Lenovo highly recommends that customers apply these settings to ensure the most secure environment possible.
- **Note:** Before changing the SSL interface configuration, it is important to remember that the client must support the cipher's mentioned (DHE, ECDHE) when connecting to ONTAP. Otherwise, the connection is not allowed.

```
Cluster1::*> security config modify -interface SSL -supported-protocols TLSv1.2 -supported-ciphers PSK:DHE:ECDHE:!LOW:!aNULL:!EXP:!eNULL:!3DES:!kDH:!kECDH
```

Confirm y for each prompt. Beginning with ONTAP 9.11.1 and TLS 1.3 support, you can validate FIPS 140-3.

Creating a CA-Signed Digital Certificate

For many organizations, the self-signed digital certificate for ONTAP web access is not compliant with their InfoSec policies. On production systems, it is a Lenovo best practice to install a CA-signed digital certificate for use in authenticating the cluster or SVM as an SSL server. You can use the security certificate generate-csr command to generate a certificate signing request (CSR), and the security certificate install command to install the certificate you receive back from the CA.

To create a digital certificate that is signed by the organization's CA, complete the following steps:

1. Generate a CSR.

2. Follow your organization's procedure to request a digital certificate using the CSR from your organization's CA. For example, using Microsoft Active Directory Certificate Services web interface, go to <CA_server_name>/certsrv and request a certificate.

3. Install the digital certificate in ONTAP.

12 Online Certificate Status Protocol

Online Certificate Status Protocol (OCSP) enables ONTAP applications that use TLS communications, such as LDAP or TLS, to receive digital certificate status when OCSP is enabled. The application receives a signed response signifying that the certificate requested is good, revoked, or unknown.

OCSP enables determination of the current status of a digital certificate without requiring certificate revocation lists (CRLs).

By default, OCSP certificate status checking is disabled. It can be turned on with the command security config ocsp enable -app name, where the app name can be autosupport, audit_log, fabricpool, ems, kmip, ldap_ad, ldap_nis_namemap, or all. The command requires advanced privilege level.

13 Managing SSHv2

Recommendations

- Use passwords for user sessions.
- Use a public key for machine access.

The security ssh modify command replaces the existing configurations of the SSH key exchange algorithms, ciphers, or MAC algorithms for the cluster or an SVM with the configuration settings you specify. Table 8 lists the SSH-supported ciphers and key exchanges in ONTAP.

Table 8) Supported ciphers and key exchanges.

Ciphers	Key Exchange
aes256-ctr	diffie-hellman-group-exchange-sha256 (SHA-2)
aes192-ctr	diffie-hellman-group-exchange-sha1 (SHA-1)
aes128-ctr	diffie-hellman-group14-sha1 (SHA-1)
aes256-cbc	diffie-hellman-group1-sha1 (SHA-1)
aes192-cbc	
aes128-cbc	
aes128-gcm	
aes256-gcm	
3des-cbc	

ONTAP also supports the following types of AES and 3DES symmetric encryptions (also known as ciphers):

- hmac-sha1
- hmac-sha1-96
- hmac-md5
- hmac-md5-96

- hmac-ripemd160
- umac-64
- umac-64
- umac-128
- hmac-sha2-256
- hmac-sha2-512
- hmac-sha1-etm
- hmac-sha1-96-etm
- hmac-sha2-256-etm
- hmac-sha2-512-etm
- hmac-md5-etm
- hmac-md5-96-etm
- hmac-ripemd160-etm
- umac-64-etm
- umac-128-etm

14 Lenovo AutoSupport

The AutoSupport feature of ONTAP allows you to monitor the health of your system and automatically send messages and details to Lenovo technical support, your organization's internal support team, or a support partner. By default, AutoSupport messages to Lenovo technical support are disabled when the storage system is configured for the first time. In addition, AutoSupport begins sending messages to Lenovo technical support 24 hours after it is enabled. This 24-hour period is configurable. To leverage the communication to an organization's internal support team, the mail host configuration must be completed.

Only the cluster administrator can perform AutoSupport management (configuration). The SVM administrator has no access to AutoSupport. The AutoSupport feature can be enabled. Lenovo recommends enabling it because AutoSupport helps speed problem identification and resolution should an issue arise on the storage system. By default, the system collects AutoSupport information and stores it locally even if you disable AutoSupport.

AutoSupport messages contain sensitive data including, but not limited to, the following items:

- Log files
- Context-sensitive data regarding specific subsystems
- Configuration and status data
- Performance data

AutoSupport supports HTTPS, and SMTP for transport protocols. Because of the sensitive nature of AutoSupport messages, Lenovo strongly recommends using HTTPS as the default transport protocol for sending AutoSupport messages to Lenovo support.

In addition, you should leverage the system node autosupport modify command to specify the targets of AutoSupport data (for example, Lenovo technical support, an organization's internal operations, or partners). This command also allows you to specify what specific AutoSupport details to send (for example, performance data, log files, and so on).

ONTAP offers an innovative solution that protects the privacy of sensitive information by masking or filtering sensitive information with the <code>-remove-private-data</code> parameter of the node <code>autosupport modify</code> command. When enabled (set to <code>true</code>), this parameter removes, encodes, or masks sensitive data from AutoSupport attachments and headers. Use this parameter to eliminate private data from all AutoSupport messages. Eliminated data includes the following items:

• IP addresses

- MAC addresses
- URIs
- DNS names
- E-mail addresses
- Port numbers
- Node names
- SVM names
- Cluster names
- Aggregate names
- Volume names
- Junction paths
- Policy names
- User IDs
- Group IDs
- LUNs
- Qtree names

By default, this parameter is disabled (set to false). Lenovo highly recommends enabling this parameter (set to true) in any sensitive environments that require the most robust security posture.

To enable AutoSupport, use the system node autosupport modify -state enable command.

This should only be done once you have ensured that you have removed the private data you do not want to be sent.

15 Network Time Protocol

Problems can occur when the cluster time is inaccurate. Although ONTAP enables you to manually set the time zone, date, and time on the cluster, you must configure the Network Time Protocol (NTP) servers to synchronize the cluster time with external NTP servers.

Beginning with ONTAP 9.5, you can configure your NTP server with symmetric authentication.

You can associate a maximum of 10 external NTP servers by using the cluster time- service ntp server create command. For redundancy and quality of time service, you should associate at least three external NTP servers with the cluster.

For details about the configuration of NTP in ONTAP, see <u>Managing the cluster time (cluster administrators</u> <u>only)</u> in the ONTAP 9 Documentation Center.

16 NAS File System Local Accounts (CIFS Workgroup)

Beginning with ONTAP 9, you can configure a CIFS server in a workgroup with CIFS clients that authenticate to the server by using locally defined users and groups. Workgroup client authentication provides an extra layer of security to the ONTAP solution that is consistent with a traditional domain authentication posture. To configure the CIFS server, use the vserver cifs create command. After the CIFS server is created, you can join it to a CIFS domain or join it to a workgroup. To join a workgroup, use the -workgroup parameter. Here is an example configuration:

```
cluster1::> vserver cifs create -vserver vsl -cifs-server CIFSSERVER1 -workgroup
Sales
```

Note: A CIFS server in workgroup mode supports only Windows NT LAN Manager (NTLM) authentication and does not support Kerberos authentication.

Lenovo recommends using the NTLM authentication function with CIFS workgroups to maintain your organization's security posture. To validate the CIFS security posture, Lenovo recommends using the vserver cifs session show command to display numerous posture-related details, including IP information, the authentication mechanism, the protocol version, and the authentication type.

17 NAS File System Auditing

Security requires validation. ONTAP 9 provides increased auditing events and details across the solution. Because NAS file systems occupy an increased footprint in today's threat landscape, audit functions are critical to support visibility. Because of the improved audit capability in ONTAP 9, CIFS audit details are more plentiful than ever. Key details, including the following, are logged with events created:

- File, folder, and share access
- Files created, modified, or deleted
- Successful file read access
- · Failed attempts to read or write files
- Folder permission changes

You must enable CIFS auditing to generate auditing events. Use the vserver audit create command to create an audit configuration. By default, the audit log uses a rotation method based on size. You can use a time-based rotation option if specified in the Rotation Parameters field. Additional log audit rotation configuration details include the rotation schedule, the rotation limits, the rotation days of the week, and the rotation size. The following text provides an example configuration depicting an audit configuration using a monthly time-based rotation scheduled for all days of the week at 12:30.

```
cluster1::> vserver audit create -vserver vs1 -destination /audit_log -rotate-
schedule-month all -rotate-schedule-dayofweek all -rotate-schedule-hour 12 -
rotate-schedule-minute 30
```

The new CIFS audit events are as follows:

- File share. Generates an audit event when a CIFS network share is added, modified, or deleted using the related vserver cifs share commands.
- Audit policy change. Generates an audit event when the audit policy is disabled, enabled, or modified using the related vserver audit commands.
- User account. Generates an audit event when a local CIFS or UNIX user is created or deleted; a local user account is enabled, disabled, or modified; or a password is reset or changed. This event uses the vserver cifs users-and-groups local-group command or the related vserver services name-service unix-user command.
- Security group. Generates an audit event when a local CIFS or UNIX security group is created or deleted using the vserver cifs users-and-groups local-group command or the related vserver services name-service unix-group command.
- Authorization policy change. Generates an audit event when rights are granted or revoked for a CIFS user or a CIFS group using the vserver cifs users-and-groups privilege command.
 - **Note:** This functionality is based on the system audit function, which enables an administrator to review what the system is allowing and performing from the perspective of a data user.
 - **Note:** File Auditing is also a key factor determining if a system is secure and so users will receive errors if they do not enable these audit logs for these SVMs.

17.1 Effect of REST APIs on NAS auditing

ONTAP includes the ability for administrator accounts to access and manipulate SMB/CIFS or NFS files using REST APIs. Although REST APIs can only be run by ONTAP administrators, REST API commands do bypass the system NAS audit log. Additionally, file permissions can also be bypassed by ONTAP administrators when using REST APIs. However, the administrator's actions with REST APIs on files are captured in the system command history log.

You can prevent ONTAP administrators from using REST APIs for file access by creating a REST API role that does not have access to ONTAP volumes via REST. To provision this role, complete the following steps:

1. Create a new REST role that has no access to storage volumes but has all other REST API access.

```
cluster1::> security login rest-role create nofiles -vserver ontap9-tme-8040 "/api/storage/volumes" -
access none
cluster1::> security login rest-role create nofiles -vserver ontap9-tme-8040 "/api" -access all
```

2. Assign the administrator account to the new REST API role you created in step 1.

cluster1::> security login modify -user-or-group-name user1 -application http -authentication-method password -vserver ontap9-tme-8040 -role nofile

Note: If you want to prevent the built-in ONTAP cluster administrator account from using REST APIs for file access, you need to first create a new administrator account and disable or delete the built-in account using the steps provided in the section "Error! Reference source not found.."

18 CIFS SMB Signing and Sealing

A common threat vector for file systems and architectures lies in the SMB protocol. To address this vector, the ONTAP 9 solution uses industry-standard SMB signing and sealing. SMB signing protects the security of the Data Fabric by making sure that traffic between storage systems and clients is not compromised by replay or man-in-the-middle attacks. It does so by verifying that SMB messages have valid signatures.

Microsoft now requires that SMB sealing be enabled on all Windows 2019 and 2022 platforms. To support this ONTAP has been updated to enable this feature. In addition, the ONTAP solution supports SMB encryption, which is also known as sealing. This approach enables the secure transport of data on a share-by-share basis. By default, SMB encryption is disabled. However, Lenovo recommends that you enable SMB encryption.

LDAP signing and sealing are now supported in SMB 2.0 and later. Signing (protection against tampering) and sealing (encryption) enable secure communication between SVMs and Active Directory servers. Accelerated AES new instructions (Intel AES NI) encryption is now supported in SMB 3.0 and later. Intel AES NI improves on the AES algorithm and accelerates data encryption with supported processor families.

To configure and enable SMB signing, use the vserver cifs security modify command and verify that the -is-signing-required parameter is set to true. See the following example configuration:

```
cluster1::> vserver cifs security modify -vserver vs1 -kerberos-clock-skew 3 -
kerberos-ticket-age 8 -is-signing-required true
```

To configure and enable SMB sealing and encryption, use the vserver cifs security modify command and verify that the -is-smb-encryption-required parameter is set to true. See the following example configuration:

19 Securing NFS

Access control is central to maintaining a secure posture. Therefore, ONTAP uses the export policy feature to limit NFS volume access to clients that match specific parameters. Export policies contain one or more export rules that process each client access request. An export policy is associated with each volume to configure client access to the volume. The result of this process determines whether the client is granted or denied (with a permission-denied message) access to the volume. This process also determines what level of access is provided to the volume.

Note: An export policy with export rules must exist on an SVM for clients to access data. An SVM can contain multiple export policies.

Export rules are the functional elements of an export policy. Export rules match client access requests for a volume against specific parameters you configure to determine how to handle the client access requests. An

export policy must contain at least one export rule to allow access to clients. If an export policy contains more than one rule, the rules are processed in the order in which they appear in the export policy. The rule order is dictated by the rule index number. If a rule matches a client, the permissions of that rule are used, and no further rules are processed. If no rules match, the client is denied access.

Export rules determine client access permissions by applying the following criteria:

- The file access protocol used by the client sending the request (for example, NFSv4 or SMB)
- A client identifier (for example, host name or IP address)
- The security type used by the client to authenticate (for example, Kerberos v5, NTLM, or AUTH_SYS)

If a rule specifies multiple criteria, and the client does not match one or more of them, the rule does not apply.

An example export policy contains an export rule with the following parameters:

- -protocol nfs
- -clientmatch 10.1.16.0/255.255.255.0
- -rorule any
- -rwrule any

The security type determines which level of access a client receives. The three access levels are read-only, read-write, and superuser (for clients with the user ID 0). Because the access level determined by the security type is evaluated in this order, you must observe the rules listed in Table 9 when constructing access levels.

For a Client to Obtain the Following Access Levels	These Access Parameters Must Match the Client's Security Type
Normal user read-only	Read-only (-rorule)
Normal user read-write	Read-only (-rorule) and read-write (-rwrule)
Superuser read-only	Read-only (-rorule) and -superuser
Superuser read-write	Read-only (-rorule) and read-write (-rwrule) and -superuser

Table 9) Rules for access-level parameters in export rules.

The following are valid security types for each of these three access parameters:

- Any
- None
- Never

These security types are not valid for use with the -superuser parameter:

- krb5
- ntlm
- sys

Table 10 lists the possible outcomes based on a client's security type against the three possible access parameters.

Table 10) Rules for access parameter outcomes.

If the Client's Security Type	Then
Matches a security type specified in the access parameter.	The client receives access for that level with its own user ID.

If the Client's Security Type	Then
Does not match a specified security type, but the access parameter includes the option none.	The client receives access for that level and receives the anonymous user with the user ID specified by the –anon parameter.
Does not match a security type specified, and the access parameter does not include the option none.	The client does not receive any access for that level. Note: This restriction does not apply to the – superuser parameter because this parameter always includes none, even when not specified.

20 Kerberos 5 and Krb5p

Beginning with ONTAP 9, Kerberos 5 authentication with privacy service (krb5p) is supported. The krbp5 authentication mode is secure, and it protects against data tampering and snooping by using checksums to encrypt all traffic between client and server. The ONTAP solution supports 128-bit and 256-bit AES encryption for Kerberos. The privacy service includes verifying the integrity of the received data, authenticating users, and encrypting data before transmission.

The krb5p option is most present in the export policy feature, where it is set as an encryption option. The krb5p authentication method can be used as an authentication parameter, as seen in the following text:

```
cluster1::> vserver export-policy check-access -vserver vsl -client-ip
10.22.32.42 -volume flex_vol -authentication-method krb5p -protocol nfs3 -access-
type read
```

21 Lightweight Directory Access Protocol Signing and Sealing

Beginning in ONTAP 9, signing and sealing are supported to enable session security on queries to an LDAP server. This approach provides an alternative to LDAP-over-TLS session security.

Signing confirms the integrity of LDAP payload data using secret key technology. Sealing encrypts the LDAP payload data to avoid transmitting sensitive information in clear text. The session security settings on an SVM correspond to those available on the LDAP server. By default, LDAP signing and sealing are disabled. To enable this function, run the vserver cifs security modify command with the session-security-for-ad-ldap parameter. See the following list of options for LDAP security functions:

- None (default, no signing or sealing)
- Sign (sign LDAP traffic)
- Seal (sign and encrypt LDAP traffic)
 - **Note:** The sign and seal parameters are cumulative, meaning that if the sign option is used, the outcome is LDAP with signing. However, if the seal option is used, the outcome is both sign and seal. In addition, if a parameter is not specified for this command, the default is none.

The following text provides an example configuration:

```
cluster1::> vserver cifs security modify -vserver vs1 -kerberos-clock-skew 3 -
kerberos-ticket-age 8 -session-security-for-ad-ldap seal
```

22 FPolicy

Access control is a key security concept. Indeed, visibility and the ability to respond to file access and file operations are critical for maintaining your security posture. To provide visibility and access control for files, the ONTAP solution uses the FPolicy[™] feature. FPolicy is an infrastructure component of the ONTAP solution that allows partner applications to monitor and set file access permissions.

File policies can be set based on file type. FPolicy determines how the storage system handles requests from individual client systems for operations such as create, open, rename, and delete. Beginning with ONTAP 9, the FPolicy file access notification framework is enhanced with filtering controls and resiliency against short network outages.

To leverage the FPolicy feature, you must first create the FPolicy policy with the vserver fpolicy policy create command. In addition, use the -events parameter if you use FPolicy for visibility and the collection of events. The additional granularity provided by ONTAP enables filtering and access down to the user name level of control. To control privileges and access with user names, specify the -privilege-user-name parameter. The following text provides an example of FPolicy creation:

After you create the FPolicy policy, it must be enabled with the vserver fpolicy enable command. This command also sets the priority or sequence of the FPolicy entry. The FPolicy sequence is important because, if multiple policies have subscribed to the same file access event, the sequence dictates the order in which access is granted or denied. The following text provides a sample configuration for enabling the FPolicy policy and validating the configuration with the vserver fpolicy show command:

ONTAP 9 includes the FPolicy enhancements described in the following sections.

22.1 Filtering Controls

New filters are available for SetAttr and for removing notifications on directory activities.

22.2 Async Resiliency

If an FPolicy server operating in asynchronous mode experiences a network outage, FPolicy notifications generated during the outage are stored on the storage node. When the FPolicy server comes back online, it is alerted of the stored notifications and can fetch them from the storage node. The length of time the notifications can be stored during an outage is configurable up to 10 minutes.

23 Securing Logical Interfaces

A logical interface (LIF) is an IP address or WWPN with associated characteristics, such as a role, a home port, a home node, a list of ports to fail over to, and a firewall policy. You can configure LIFs on ports over which the cluster sends and receives communications over the network.

LIF roles can be the following:

- Data LIF. A LIF associated with an SVM and is used for communicating with clients.
- Cluster LIF. A LIF used to carry intracluster traffic between nodes in a cluster.
- Node management LIF. A LIF that provides a dedicated IP address for managing a particular node in a cluster.
- **Cluster management LIF.** A LIF that provides a single management interface for the entire cluster.
- Intercluster LIF. A LIF used for cross-cluster communication, backup, and replication.

See Table 11 shows the security characteristics of each LIF role.

	Data LIF	Cluster LIF	Node management LIF	Cluster Management LIF	Intercluster LIF
Requires private IP subnet?	No	Yes	No	No	No
Requires secure network?	No	Yes	No	No	Yes
Default firewall policy	Very restrictive	Completely open	Medium	Medium	Very restrictive
Is the firewall customizable?	Yes	No	Yes	Yes	Yes

Table 11) LIF security.

Note: Because the cluster LIF is completely open with no configurable firewall policy, it must be on a private IP subnet on a secure isolated network.

Note: Under no circumstance should any LIF roles be exposed to the Internet.

For more information on securing LIFS, see the <u>ONAP 9 Network Management Guide</u> in the <u>ONTAP 9</u> <u>Documentation Center</u>.

24 Securing Protocols and Ports

In addition to performing on-box security operations and functions, the hardening of a solution must also include off-box security mechanisms. Leveraging additional infrastructure devices, such as firewalls, intrusion prevention systems (IPSs), and other security devices, for filtering and limiting access to ONTAP is an effective way to establish and maintain a stringent security posture. Table 12 lists the common protocols and ports used in the ONTAP solution. This information is a key component for filtering and limiting access to the environment and its resources.

Service	Port/Protocol	Description
SSH	22/TCP	SSH login
telnet	23/TCP	Remote login
Domain	53/TCP	Domain Name Server
НТТР	80/TCP 80/UDP	НТТР
rpcbind	111/TCP 111/UDP	Remote procedure call
NTP	123/UDP	Network Time Protocol
msrpc	135/UDP	Microsoft Remote Procedure Call
Netbios-name	137/TCP 137/UDP	NetBIOS name service
netbios-ssn	139/TCP	NetBIOS service session
SNMP	161/UDP	SNMP

Table 12) Commonly used protocols and ports.

Service	Port/Protocol	Description
HTTPS	443/TCP	Secure HTTP
microsoft-ds	445/TCP	Microsoft directory services
IPsec	500/UDP	Internet Protocol Security
mount	635/UDP	NFS mount
named	953/UDP	Name daemon
NFS	2049/UDP 2049/TCP	NFS server daemon
nrv	2050/TCP	Lenovo remote volume protocol
iscsi	3260/TCP	iSCSI target port
Lockd	4045/TCP 4045/UDP	NFS lock daemon
NFS	4046/TCP	NFS mountd protocol
acp-proto	4046/UDP	Accounting protocol
rquotad	4049/UDP	NFS rquotad protocol
krb524	4444/UDP	Kerberos 524
IPsec	4500/UDP	Internet Protocol Security
acp	5125/UDP 5133/UDP 5144/TCP	Alternate control port for disk
Mdns	5353/UDP	Multicast DNS
HTTPS	5986/UDP	HTTPS port: listening binary protocol
TELNET	8023/TCP	Node-scope Telnet
HTTPS	8443/TCP	7MTT GUI tool through HTTPS
RSH	8514/TCP	Node-scope RSH
KMIP	9877/TCP	KMIP client port (internal local host only)
ndmp	10000/TCP	NDMP
cifs witness port	40001/TCP	CIFS witness port
TLS	50000/TCP	Transport layer security
Iscsi	65200/TCP	iSCSI port
SSH	65502/TCP	Secure Shell
vsun	65503/TCP	vsun

Table 13) Lenovo internal ports.

Port/Protocol	Description
900	Lenovo cluster RPC
902	Lenovo cluster RPC
904	Lenovo cluster RPC
905	Lenovo cluster RPC
910	Lenovo cluster RPC
911	Lenovo cluster RPC
913	Lenovo cluster RPC
914	Lenovo cluster RPC
915	Lenovo cluster RPC
918	Lenovo cluster RPC
920	Lenovo cluster RPC
921	Lenovo cluster RPC
924	Lenovo cluster RPC
925	Lenovo cluster RPC
927	Lenovo cluster RPC
928	Lenovo cluster RPC
929	Lenovo cluster RPC
931	Lenovo cluster RPC
932	Lenovo cluster RPC
933	Lenovo cluster RPC
934	Lenovo cluster RPC
935	Lenovo cluster RPC
936	Lenovo cluster RPC
937	Lenovo cluster RPC
939	Lenovo cluster RPC
940	Lenovo cluster RPC
951	Lenovo cluster RPC
954	Lenovo cluster RPC
955	Lenovo cluster RPC
956	Lenovo cluster RPC
958	Lenovo cluster RPC

Port/Protocol	Description
961	Lenovo cluster RPC
963	Lenovo cluster RPC
964	Lenovo cluster RPC
966	Lenovo cluster RPC
967	Lenovo cluster RPC
7810	Lenovo cluster RPC
7811	Lenovo cluster RPC
7812	Lenovo cluster RPC
7813	Lenovo cluster RPC
7814	Lenovo cluster RPC
7815	Lenovo cluster RPC
7816	Lenovo cluster RPC
7817	Lenovo cluster RPC
7818	Lenovo cluster RPC
7819	Lenovo cluster RPC
7820	Lenovo cluster RPC
7821	Lenovo cluster RPC
7822	Lenovo cluster RPC
7823	Lenovo cluster RPC
7824	Lenovo cluster RPC

Security Resources

For information about reporting vulnerabilities and incidents, Lenovo security responses, and customer confidentiality, see the <u>Lenovo Product Security Portal</u>.

Where to Find Additional Information

To learn more about the information described in this document, refer to the following documents and/or websites:

- ONTAP 9 Documentation Center
 <u>https://thinksystem.lenovofiles.com/help/index.jsp</u>
- ONTAP 9 Command Reference
 <u>https://thinksystem.lenovofiles.com/storage/help/topic/ontap_software/overview_ontap_cli.html</u>
- System Administration Reference
 <u>http://thinksystem.lenovofiles.com/help/topic/system_administration_guide/overview.html</u>
- Administrator Authentication and RBAC Power Guide
 <u>http://thinksystem.lenovofiles.com/help/topic/administrator_authentication_power_guide/overview.html</u>

- Lenovo Encryption Power Guide <u>http://thinksystem.lenovofiles.com/help/topic/encryption_power_guide/overview.html?cp=7_1_0_12</u>
- OPENSSL Ciphers <u>https://www.openssl.org/docs/man1.0.2/man1/ciphers.html</u>
- CryptoMod FIPS-140-2 Level 1 <u>https://csrc.nist.gov/Projects/cryptographic-module-validation-program/Certificate/3387</u>
- ONTAP 9 Network Management Guide <u>http://thinksystem.lenovofiles.com/help/topic/network_management_guide/overview.html</u>

Contacting Support

You can contact Support to obtain help for your issue.

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