

## Controlling Network Access Using Firewalls

Suppose you are given a machine, and asked to harden it against external attack. How do you do it?

One starting point is to look at the functionality and network services that this machine is providing to the outside world. If any of its network services are buggy or have security holes, an attacker may be able to penetrate your machine by interacting with that application. As we know, bugs are inevitable, and bugs in security-critical applications often lead to security holes. Thus, the more network services your machine runs, the greater the risk.

The general principle here is: bugs in code that you don't run, can't hurt you. This is essentially an application of the KISS (Keep It Simple, Stupid) principle: the less functionality you try to provide, the less opportunity there is for security vulnerabilities in that functionality.

This suggests one simple way to reduce the risk of external attack: *Turn off every unnecessary network service.* Disable every network-accessible application that isn't absolutely needed. Build a stripped-down box that runs the least amount of code necessary; after all, any code that you don't run, can't harm you. And for any network service that you do have to run, double-check that it has been implemented and configured securely, and take every precaution you can to render its use safe.

This is an intuitive and effective approach, and it can work well when you only have one or two machines to secure, but now let's consider what happens when we scale things up. Suppose you are in charge of security for all of Macrosloth Corp. Your job is to protect the computer systems, networks, and computing infrastructure of the entire company from external attack. How are you going to do it?

If the company has thousands of computers, it won't be easy to harden every single machine individually. There may be many different operating systems and hardware platforms. Different users may have vastly different requirements, and a service that can be disabled for one user might be necessary to another user's job. Moreover, new machines are bought all the time, machines come and go every day, and users upgrade their machines. At this scale, it's often hard just to get an accurate list of all machines inside the company—and if you miss even one machine, it then becomes a vulnerable point that can be broken into and might serve as a jumping-off point for attackers to use to attack the rest of your network. The sheer complexity of managing all of this might make it infeasible to harden each machine individually.

Nonetheless, it's still true that one risk factor is the number of network services that are accessible to outsiders. This suggests a defense. If we could block, *in the network*, outsiders

from being able to interact with many of the network services running on internal machines, we could reduce the risk. This is exactly the concept behind *firewalls*: a firewall is a device designed to block access to network services running on internal machines.

At this point, it's clear that there are two questions we'll have to settle:

1. What is our *security policy*? For example, which network services should be made visible to the outside world, and which ones should be blocked? How do we distinguish insiders from outsiders?
2. How will we *enforce* this security policy? How do we build a firewall that does what we want? What are the implementation issues?

We'll tackle each of these in turn.

## 1 Security Policy

A little bit of background. In its simplest form, we can visualize the topology of the internal network as shown in this figure:



We have an internal network, which hosts all of the company's machines; the external world (e.g., the rest of the Internet); and a communications link between the two.

How do we decide what is inside, and what is outside? We might decide that we trust all company employees, but we don't trust anyone else (a very simple threat model). Then we'll define the internal network to contain machines owned by trusted employees, and the external world to include everything else. The link to our Internet Service Provider (ISP) might be the link between these two worlds.

The very simplest security policy is an *outbound-only* policy. Let's distinguish between inbound and outbound connections. *Inbound connections* are initiated by external users and attempt to connect to services running on internal machines, while *outbound connections* are attempts by internal users to initiate contact with external services. An outbound-only policy would permit all outbound connections (reasoning: internal users are trusted; if they want to open a connection, we'll let them), but all inbound connections would be strictly denied. The effect is that none of our network services are visible to the outside world, though of course they can still be accessed by internal users. Unfortunately, this policy is probably too restrictive for any large organization, since it means that the company cannot run a public webserver, a mail server, an FTP server, and so on. Therefore, we will need a little more flexibility in how we define the security policy.

In general, the security policy is going to be a particular kind of *access control policy*. We will have two subjects: an anonymous external user, and a generic inside user.<sup>1</sup> The objects are the set of network services that are run on all inside machines; if there are 1,000 machines, and each machine runs 5 network services, we end up with 5,000 objects. The access control policy should then specify, for each subject and each object, whether that subject has permission to access that object.

Firewalls are usually used to enforce a particularly simple kind of access control policy. Inside users are permitted to connect to any network service desired. External users are restricted: there are some services that are intended to be externally visible, and external users are permitted to connect to these services, but there are also other services that are not intended to be accessible from the outside world, and those services are blocked by the access policy.

The first thing the security administrator needs to do is identify a security policy, or, in other words, which services external users should and shouldn't have access to. How should we do it? Broadly speaking, there are two philosophies we might use to determine which services we allow external users to connect to:

- *Default-allow*: By default, every network service is permitted, unless it has been specifically listed as denied. Under this approach, one might start off by allowing outside users access to all internal services, and then mark a few that are known to be unsafe and should be blocked. For instance, if tomorrow we hear about a new threat that targets Internet Relay Chat (IRC) servers, then we might revise our security policy by denying outsiders access to our IRC servers.
- *Default-deny*: By default, every network service is denied, unless it has been specifically listed as allowed. We might start off with a list of a few known servers that need to be visible to the outside world and that have been adjudged as reasonably safe; external users will then be implicitly denied access to any service not on the list. If our users complain that, say, their department's FTP server is not accessible to the outside world, we can check whether they are running a reasonably safe and properly configured implementation of the FTP service, and if so add them to the "allow" list.

A default-allow policy is a lot more *convenient*, because from a functionality point of view, everything stays working. However, from a security perspective, default-allow is dangerous. The problem is that default-allow *fails open*: if you make any mistake (i.e., there is some service that is vulnerable, but you forget to add it to the "deny" list), then the result is likely to be an expensive security failure.

In comparison, default-deny fails closed: if you make a mistake (i.e., some service that is safe has been mistakenly omitted from the "allow" list), then the result is a loss of functionality or availability, but not a security breach.

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<sup>1</sup>Alternatively, we could say that we divide the subjects into two groups. The inside users group contains all company employees, and the external users group contains everyone else. In our case, the access granted to a subject will be determined solely by which group they are in.

When operating at large scales, such errors of omission are likely to be common.<sup>2</sup> Because errors of omission are a lot more dangerous in a default-allow policy than in a default-deny policy, and because the cost of a security failure is often a lot more than the cost of a loss of functionality, default-deny is usually a much safer bet.

Default-deny has another advantage. When the system fails open, you may never notice the failure. Attackers who penetrate your system security are unlikely to tell you that they have done so, and so security breaches may go unnoticed for a long time. This gets you into an arms race, where you have to keep up with all the attacks adversaries discover, and even stay ahead of them. This arms race is generally a losing proposition, because there are a lot more of the attackers than there are of your defenders, and the attacker only has to win *once* to make you really miserable. In contrast, when the system fails closed, someone will probably notice a configuration error (they'll complain: *why isn't the FTP service working?*), and the omission will be immediately evident and easily correctable. This makes failures in default-allow systems that much more costly than failures in default-deny systems.

For these reasons, almost all well-implemented firewalls use a default-deny policy. The security policy specifies a list of “allowed services” that external users are permitted to connect to, and all other services are forbidden. In many cases, some kind of risk assessment and cost-benefit analysis is applied to every network service on the allowed list; if some service is too risky compared to its benefits, then it is removed from the allowed list.

How can we identify network services? Let's recall some background on TCP/IP networks. A TCP service is recognized by the machine's IP address and the TCP port number on that machine. For instance, the web server on `calnet.berkeley.edu` (currently) resides at IP address `169.229.218.103`, ports `80` and `443`. The mail service `smtp.cs.berkeley.edu` resides at `169.229.60.95`, port `25`. UDP services are identified similarly, though the port namespace for TCP and UDP is disjoint (a TCP service on port `25` is different from a UDP service on port `25`).

Therefore, we can identify each network service with a triplet  $(m, r, p)$ , where  $m$  is the IP address of a machine,  $r$  is a protocol identifier (e.g., TCP or UDP), and  $p$  is the port number. For instance, the company might have its official web server hosted on machine `1.2.3.4`, and then  $(1.2.3.4, \text{TCP}, 80)$  would be added to the allowed list. In a default-deny policy, the list of network services that should be externally visible would be represented as a set of these triplets.

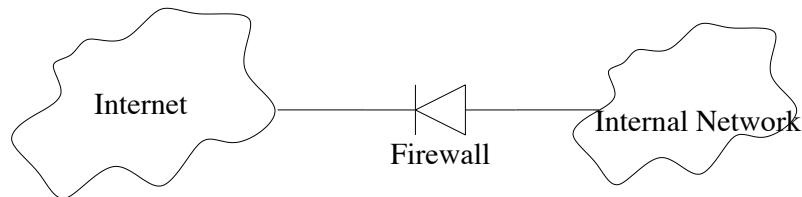
## 2 Enforcement: Stateful Packet filters

The key trick behind enforcing such a security policy is to do it at a *chokepoint* in the network. In the topology shown in our previous figure, there is only a single link connecting

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<sup>2</sup>Indeed, errors of omission are a lot more likely than errors of commission. There may be thousands of potential services out there, but only a few dozen are likely to make your deny or allow list. This means there are thousands of chances to inadvertently omit a service from the list (an error of omission), but only a few dozen chances to inadvertently put something on the list that doesn't belong there (an error of commission).

the inside and outside networks. Therefore, we will replace that link with a firewall that filters network connections and blocks any connections that are denied by the security policy, looking like this:



The existence of a central chokepoint gives us a single place to monitor, where we can easily enforce a security policy on thousands of machines with minimal effort. The idea is a familiar one from physical security. For instance, at the airport, all passengers are funneled through a security checkpoint where access can be controlled. It's a lot easier to perform such checks at one or a few checkpoints than at dozens or hundreds of entrances.

A *packet filter* is a router that checks each packet against the access control policy. If the policy allows the packet, then it is forwarded on; if it denies the packet, then the packet is dropped and not forwarded. The policy is usually specified as a list of rules; as the firewall processes each packet, it examines the list of rules one-by-one, and the *first* matching rule determines how the packet will be handled.

Typically, rules specify which connections are allowed. The rule can list the protocol (tcp or udp), the initiator's IP address (the machine that initiated the connection), the initiator's port number, the recipient's IP address (the machine that the connection is directed to), and the recipient's port number. A rule can use wildcards for any of these. Each rule also specifies what action to take for matching connections; typical values might be ALLOW or DROP.

Let's try an example. What does this ruleset do?

```
allow  tcp  *.* -> 1.2.3.4:25
drop   *   *.* -> *.*
```

Answer: it allows anyone to open a TCP connection to port 25 on machine 1.2.3.4. (Port 25 is the port for mail traffic, so this would be appropriate if machine 1.2.3.4 hosts a public mail server.) It blocks all other connections. Notation: 1.2.3.4:25 indicates IP address 1.2.3.4 and port 25; \* is a *wildcard*, which may appear in any field.

A *stateful packet filter* maintains *state*: it keeps track of all open connections that have been established. This is important, because when it processes a packet, it allows the firewall to check whether the packet is part of an already-open connection and, if so, allow the packet to be forwarded. Without state, it's harder to know how to handle the packet: if we see a packet from X to Y, is this a packet on a connection that was initiated by X to server Y; or is this a reply on a connection initiated by Y to server X? The answer might determine whether the packet should be allowed or not. Because it keeps state, this opens the door to policies that inspect the data (e.g., block any attempt to log into an FTP server as username "root").

It's also common that rules can match based on which *network interface* the packet was received on. Remember that a router is a device that has two (or more) interfaces, where network *links* can be plugged in; a packet is received on one interface, and is forwarded out on another interface. Suppose that we call the interface attached to the internal network *int*, and the interface to the rest of the Internet *ext*. Then we could have a ruleset like:

```
allow tcp */*/ext -> 1.2.3.4:25/int
allow tcp */*/int -> */*/ext
drop   *   */* -> */*
```

This ruleset allows inbound connections to port 25 on 1.2.3.4 (rule 1) and allows all outbound connections (rule 2); all other connections are dropped (rule 3). The ability to match on network interfaces simplifies ruleset administration, as we don't need to hardcode a list of all IP addresses of internal machines (e.g., in rule 2). It also means that an external attacker can't use IP address spoofing to spoof an internal IP address and fool the firewall, because their packet will still arrive from *ext*.

### 3 Other Kinds of Firewalls

One can build firewalls that restrict traffic according to the contents of the data fields; these are known as *application-layer firewalls*, or application firewalls for short. Application firewalls have some security advantages, because they can enforce more restrictive security policies and because they can transform data on the fly.

Rather than simply inspecting traffic, we can also build firewalls that *participate* in application-layer exchanges. For example, we can introduce a web proxy in a network and configure all local systems to use it for their web access.<sup>3</sup> The local web browsers would then connect to the proxy rather than directly to remote web servers, and the proxy would in turn make the actual remote request. A major benefit of this design is that we can include monitoring in the proxy that has available for its decision-making all of the application-layer information associated with a given request and reply, so we can make fine-grained allow/deny decisions based on a wealth of information.

This sort of design isn't specific to web proxies but can be done for many different types of applications. The general term is an *application proxy* or *gateway proxy*. One difficulty with using this approach, however, is implementation complexity. The application proxy needs to understand all of the details of the application protocol that it mediates. Another potential issue concerns performance. If we bottleneck all of the site's outbound traffic through just a few proxy systems, they may be overwhelmed by the load.

For more information on firewalls, the authoritative reference is Cheswick, Bellovin, and Rubin: *Firewalls and Internet Security: Repelling the Wily Hacker*. Packet filtering software

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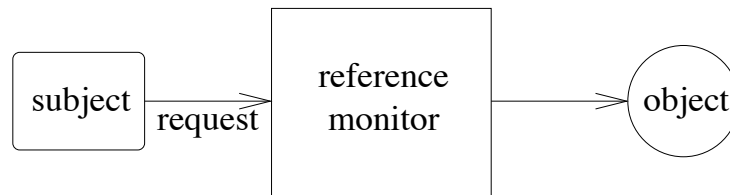
<sup>3</sup> We could also *enforce* this configuration requirement by installing rules in a traditional firewall that only allow outbound web connections that come from the web proxy, dropping any that other local systems initiate directly.

is available for many operating systems; for example, Linux provides `iptables`.

## 4 Principles

Firewalls embody several useful principles that you can apply elsewhere in computer security. As mentioned earlier, firewalls can be thought of as enforcing a particular kind of access control policy, and they are optimized for this special task. The notion of a chokepoint is crucial, because it is what makes it possible to reliably enforce the access control policy (“complete mediation”), and we see the same thing come up elsewhere in access control.

In general, the mechanism that enforces an access control policy often takes the form of a *reference monitor*. The purpose of a reference monitor is to examine every request to access any controlled resource (an “object”) and determine whether that request should be allowed. In abstract terms, this looks like:



There are three security properties that any reference monitor should have:

- *Unbypassable* (also known as *Always invoked*): The reference monitor should be invoked on every operation that is controlled by the access control policy. There must be no way to bypass the reference monitor (i.e., the *complete mediation* property): all security-relevant operations must be mediated by the reference monitor.
- *Tamper-resistant*: The reference monitor should be protected from tampering by other agents. For instance, other parties should not be able to modify its code or state. The integrity of the reference monitor must be maintained.
- *Verifiable*: It should be possible to verify the correctness of the reference monitor, including that it actually does enforce the desired access control policy correctly. This usually requires that the reference monitor be extremely simple, as generally it is beyond the state of the art to verify the correctness of subsystems with any significant degree of complexity.

We can recognize a firewall as an instance of a reference monitor. How are these three properties achieved?

- *Always invoked*: We assumed that the packet filter is placed on a chokepoint link, with the property that all communications between the internal and external networks must traverse this link. Thus, the packet filter has an opportunity to inspect all such packets. Moreover, packets are not forwarded across this link unless the packet filter inspects them and forwards them (there needs to be no other mechanism by which packets might flow across this link).

Of course, in some cases we discover that it doesn't work out like we hoped. For instance, maybe a user hooks up an unsecured wireless access point to their internal machine. Then anyone who drives by with a wireless-enabled laptop effectively gains access to the internal network, bypassing the packet filter. This illustrates that, to use a firewall safely, we'd better be sure that our firewalls cover *all* of the links between the internal network and the external world. We term this set of links as the *security perimeter*.

- *Tamper-resistant*: We haven't really discussed how to make packet filters resistant to attack. However, they obviously should be hardened as much as possible, because they are a single point of failure. Fortunately, their desired functionality is relatively simple, so we should have a reasonable chance at protecting them from outside attack. For instance, they might not need to run a standard operating system, any user-level programs, or network services, eliminating many avenues of outside attack. More generally, we can use firewall protection for the firewall itself, and not allow any management access to the firewall device except from specific trusted machines. Of course, we must also ensure the physical security of the packet filter device.
- *Verifiable*: In current practice, unfortunately the correctness of a firewall's operation is generally not verified in any systematic fashion. The software is usually too complex for this to be feasible. And we do suffer as a result of our failure to verify packet filters: over time, there have been bugs that allowed attackers to defeat the intended security policy by sending unexpected packets that the packet filter doesn't handle quite the way it should.

In addition, experience has shown that firewall policies rapidly become complex. Thus, even if a firewall's internal workings are entirely correct, the rules it enforces may not in fact accurately reflect the access controls that the operator *believes* they provide.

The notion of a reference monitor recurs over and over again. Thus, the three requirements for a secure reference monitor are well worth absorbing.

Firewalls also embody another useful principle: *Orthogonal security*. If the security mechanism is orthogonal from, and transparent to, the rest of the application, then it can be deployed to protect pre-existing legacy systems much more easily than security mechanisms that must be integrated with the rest of the system. A reference monitor that filters the set of requests, dropping unallowed requests but allowing allowed requests to pass through unchanged, is essentially transparent to the rest of the system: other components do not need to be aware of the presence of the reference monitor. Such mechanisms are easier to retrofit into legacy systems.

However, while orthogonal security has nice deployment properties, it also represents a form of "bolt-on security": that is, security that's added to a system after the system has already been designed and implemented. Bolt-on security can prove brittle because if the design of the added security mechanism uses different abstractions than those of the system it's meant to protect, there can be holes in the protection. Time permitting, we will discuss some of these in lecture in terms of ways that firewalls can be evaded due to their limited understanding of the traffic they carry.



## 5 Experience with Firewalls

Firewalls are very widely used today, and represent a great success story of technology transfer from research to practice. Why do firewalls work well?

- *Central control:* A firewall provides a single point of control. When security policies change, only the firewall has to be updated; we do not have to touch individual machines. For instance, when a new threat to an Internet service is discovered, it is often possible to very quickly block it by modifying the firewall's security policy slightly, and all internal machines benefit from this protection. This makes it easier to administer, control, and update the security policy for an entire organization.
- *Easy to deploy:* Because firewalls are essentially transparent to internal hosts, there is an easy migration path, and they are easy to deploy (incrementally, or all at once). Because one firewall can protect thousands of machines, they provide a huge amount of leverage.
- *An important problem:* They address a burning problem. Security vulnerabilities in network services are rampant. In principle, a better response might be to clean up the quality of the code in our network services; but that is an enormous challenge, and firewalls are much cheaper.

Firewalls have some serious shortcomings, though. How do firewalls fail? What are their disadvantages?

- *Loss of functionality:* The very essence of the firewalls concept involves turning off functionality, and often users miss the disabled functionality. Some applications don't work with firewalls. For instance, peer-to-peer networks have big problems: if both users are behind firewalls, then when one user tries to connect to another user, the second user's firewall will see this as an inbound connection and will usually block it.

The observation underlying firewalls is that connectivity begets risk, and firewalls are all about managing risk by reducing connectivity from the outside world to internal machines. It should be no surprise that reducing network connectivity can reduce the usefulness of the network.

- *The malicious insider problem:* Firewalls make the assumption that insiders are trusted. This gives internal users the power to violate your security policy. Firewalls are usually used to establish a *security perimeter* between the inside and outside world. However, if a malicious party breaches that security perimeter in any way, or otherwise gains control of an inside machine, then the malicious party becomes trusted and can wreak havoc, because inside machines have unlimited power to attack other inside machines. For this reason, Bill Cheswick called firewalled networks a "crunchy outer coating, with a soft, chewy center." There is nothing that the firewall can do once a bad guy gets inside the security perimeter.

We see this in practice. For example, laptops and phones have become a serious problem. They are routinely carried across a company's security perimeter. If they are

infected with malware, now that malware has access to the company's internal systems without having to get past the firewall. Because such devices often use wireless access, one approach that companies take is to install a firewall between their own internal wireless networks and the rest of their company network, keeping their servers on the protected, wired part.

- *Adversarial applications:* The previous two properties can combine in a particularly problematic way. Suppose that an application developer realizes their protocol is going to be blocked by their users' firewalls. What do you think they are going to do? Often, what happens is that the application *tunnels* its traffic over HTTP (web, port 80) or SMTP (email, port 25). Many firewalls allow port 80 traffic, because the web is the "killer app" of the Internet, but now the firewall cannot distinguish between this application's traffic and real web traffic.

The fact that insiders are trusted has as a consequence that all applications that insiders execute will be trusted, too, and when such applications act in a way that subverts the security policy, the effectiveness of the firewall can be limited (even though the application developers probably do not think of themselves as malicious). The end result is that, over time, more and more traffic goes over ports nominally associated with other application protocols (particularly port 80, intended for web access), with firewalls gaining less and less visibility into the traffic that traverses them. As a result, firewalls are becoming increasingly less effective.