

# **Installation and Administration Guide**

## **Enhanced Smart Card Method 3.0.8**

April 02, 2012

**Novell.**

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# About This Guide

This guide provides installation and configuration information for the Novell Enhanced Smart Card Method.

- ♦ Chapter 1, “Overview,” on page 9
- ♦ Chapter 2, “Novell Enhanced Smart Card Method Installation,” on page 11
- ♦ Chapter 3, “Configuring the Server,” on page 19
- ♦ Chapter 4, “Troubleshooting,” on page 33
- ♦ Chapter 5, “Security Guidelines,” on page 37
- ♦ Chapter 6, “Using NESCM for Access Manager Authentication,” on page 39
- ♦ Chapter 7, “Reporting Login Events,” on page 41
- ♦ Appendix A, “Client Configuration Options,” on page 43
- ♦ Appendix B, “Silently Installing and Configuring the Method on Workstations,” on page 51
- ♦ Appendix C, “How the Authentication Works,” on page 57
- ♦ Appendix D, “Registry Configuration Settings,” on page 59

## Audience

This guide is written primarily for network administrators.

## Feedback

We want to hear your comments and suggestions about this manual and the other documentation included with this product. Please use the User Comment feature at the bottom of each page of the online documentation and enter your comments there.

## Documentation Updates

For the most recent version of this documentation, see the *Novell Enhanced Smart Card Method Installation Guide* ([http://www.novell.com/documentation/ias/index.html?page=/documentation/iasclient30x/nescm\\_install/data/bookinfo.html](http://www.novell.com/documentation/ias/index.html?page=/documentation/iasclient30x/nescm_install/data/bookinfo.html)).

## Documentation Conventions

In Novell documentation, a greater-than symbol (>) is used to separate actions within a step and items in a cross-reference path.

When a single pathname can be written with a backslash for some platforms or a forward slash for other platforms, the pathname is presented with a backslash. Users of platforms that require a forward slash, such as Linux or UNIX, should use forward slashes as required by your software.





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# 1 Overview

The Novell Enhanced Smart Card Method (NЕСM) is a Novell Modular Authentication Services (NМAS) method that provides smart-card-based authentication to eDirectory. Smart card authentication is a two-factor authentication technique: something you know (smart card PIN) and something you have (smart card).

The following sections provide an overview to NЕСM:

- ♦ [Section 1.1, “How NЕСM Works,” on page 9](#)
- ♦ [Section 1.2, “Additional Features,” on page 9](#)

## 1.1 How NЕСM Works

The login method consists of two components: the server module and the client module. The appropriate modules are loaded during the authentication process by the NМAS server and client components.

During authentication, the client module enumerates the certificates available on the attached smart card and sends them to the server module. The server module chooses a certificate to use for authentication, based on the configuration and validation checks.

After selecting the login certificate, the server module generates a random challenge and sends it to the client module to confirm that the user possesses the private key associated with the certificate. The client module uses the smart card to sign the challenge and encrypt the result by using RSA public/private key encryption. Upon receiving the result, the server decrypts the data by using the certificate's public key and validates the challenge. If a valid certificate is not found or the challenge is not validated, the login attempt fails. For more information on how the method works, see [Appendix C, “How the Authentication Works,” on page 57](#).

## 1.2 Additional Features

- ♦ [Section 1.2.1, “Workstation Only Login,” on page 9](#)
- ♦ [Section 1.2.2, “Card Removal Security,” on page 10](#)

### 1.2.1 Workstation Only Login

In addition to network authentication, the method supports local Windows workstation logins. Workstation Only Login allows the smart card to be used for a local workstation login when the eDirectory identity store isn't available. This is useful in situations where network connectivity isn't always available, such as for laptop users.

For more information on Workstation Only Login, see [Section A.4, “Workstation Only Login \(Disconnected Support Login\),” on page 45](#).

## 1.2.2 Card Removal Security

The method can also be configured to monitor the smart card reader device. When the smart card is removed, the method can be configured to lock the workstation or to log off. For more information, see [Section 3.6, “Card Removal Behavior,” on page 30](#).

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# 2 Novell Enhanced Smart Card Method Installation

This section describes the installation of the Novell Enhanced Smart Card Method (NЕСM).

- ♦ [Section 2.1, “Minimum Requirements,” on page 11](#)
- ♦ [Section 2.2, “Installing the Method,” on page 13](#)
- ♦ [Section 2.3, “Uninstalling the Method,” on page 17](#)

## 2.1 Minimum Requirements

NЕСM has the following minimum requirements:

- ♦ [Section 2.1.1, “eDirectory Server,” on page 11](#)
- ♦ [Section 2.1.2, “Client Workstations,” on page 11](#)

### 2.1.1 eDirectory Server

eDirectory 8.8 SP1 or later on one of the following platforms:

- ♦ NetWare 6.5 SP6 or later
- ♦ Windows Server 2003 SP1 or later and Windows 2008 32-bit
- ♦ SUSE Linux Enterprise Server (SLES) 10 32-bit or 64-bit
- ♦ SUSE Linux Enterprise Server (SLES) 11 32-bit or 64-bit
- ♦ Red Hat AS 4.0 Server 32-bit or 64-bit
- ♦ Red Hat Enterprise Linux (RHEL) 5 32-bit or 64-bit
- ♦ Solaris 10 on Sun SPARC 32-bit

### 2.1.2 Client Workstations

- ♦ Novell Client 4.9.1 SP5 IR1 or later installed on Windows XP SP2 or later
- ♦ Novell Client 2 SP2 (IR2a) for Windows Vista or later installed on Windows Vista (32-bit and 64-bit)
- ♦ Novell Client 2 SP2 (IR2a) for Windows 7 or later installed on Windows 7 (32-bit and 64-bit)
- ♦ Novell Client 2 SP2 (IR2a) for Windows Server 2008 (32-bit and 64-bit) and Windows Server 2008 R2 (64-bit)
- ♦ iManager version 2.7 SP3 with NМAS plug-in version 3.200.20090408

The NESCM iManager plug-in has the ability to query certificate information directly from smart cards. This functionality is supported on Windows with the following browsers:

- ◆ Internet Explorer\* 6.0 SP2 or later
- ◆ Mozilla Firefox\* 3.6.x / 4.x.x / 5.x.x / 6.x.x / 7.x.x/8.x.x

Firefox 4.0 and later accepts SSL certificates signed by CAs that are natively trusted by Firefox for plug-in installation. To install the NESCM plug-in over an SSL connection, set the `extensions.install.requireBuiltInCerts` to false in the Firefox configuration.

- ◆ Launch Firefox, then type `about:config` in the address bar of the browser window.
- ◆ On the configuration page that displays, right-click to open the *Modify Menu*.
- ◆ Select *New > Boolean*, then specify the new preference name as `extensions.install.requireBuiltInCerts` in the dialog box and set this option to false.
- ◆ Install the NESCM card reader plug-in for Firefox.

A smart card reader and appropriate smart card middleware must be installed and properly configured on the workstation. The method should work with most Windows compliant PC/SC middleware. It has been tested with the following:

**Table 2-1** *Middleware, Smart Card Readers, and Smart Cards*

Device	Tested Applications
Middleware	<ul style="list-style-type: none"> <li>◆ Netsign* CAC version 5.5.71.0</li> <li>◆ Gemplus* version 3.2.2 and 4.2</li> <li>◆ GemSAFE libraries 4.2</li> <li>◆ Gemalto PKCS11 For .NET V2+</li> <li>◆ GemCCID (PC USB PC/SC drivers)</li> <li>◆ ActivCard* Gold for CAC 3.0.1</li> <li>◆ ActivClient* 6.0 PKI Only or later</li> <li>◆ Cryptovision cv act sc/interface 3.2.1</li> <li>◆ eToken* Run Time Environment 3.60</li> <li>◆ CIP 4.07</li> <li>◆ FNMT Cryptographic Card Interface (Infineon, ST, ST-WG10). RSA keys up to 2048</li> </ul>

Device	Tested Applications
Smart Card Readers	<ul style="list-style-type: none"> <li>◆ SCM Microsystems* SCR241 PCMCIA</li> <li>◆ SCM Microsystems SCR 131 Serial (RS232)</li> <li>◆ Cherry G83-6759LPAUS-2 USB Keyboard</li> <li>◆ Gemplus GemPC433-SL USB</li> <li>◆ Schlumberger Reflex 72v2</li> <li>◆ Schlumberger Reflex USB</li> <li>◆ SCM Microsystems SCR531-USB</li> <li>◆ Precise Biometrics 250 MC</li> <li>◆ ActivIdentity* USB Reader 2.0 and 3.0</li> <li>◆ ActivCard ActivCard USB Reader V3.0</li> <li>◆ C3P0 LTC3X USB Smart Card Reader v1.30</li> </ul>
Smart Cards	<ul style="list-style-type: none"> <li>◆ Axalto Access 64K CAC</li> <li>◆ Gemplus GemXpresso* CAC</li> <li>◆ Gemalto .NET V2+</li> <li>◆ Oberthur CosmpolIC V4 CAC</li> <li>◆ Schlumberger Access 32K V2 CAC</li> <li>◆ Gemplus GemSAFE* SDK GPK16000</li> <li>◆ Cryptovision - CardOS M4.01a</li> <li>◆ Aladdin* - eToken PRO 64K</li> <li>◆ Oberthur CosmpolIC 64K V5.2 Fast ATR (PIV)</li> <li>◆ FNMT-RCM_ST_v2.0 (Ceres Card)</li> </ul>

## 2.2 Installing the Method

Installation consists of installing the method on the eDirectory server and on the client workstations.

- ◆ [Section 2.2.1, “eDirectory Server Installation,” on page 13](#)
- ◆ [Section 2.2.2, “Client Workstation Installation,” on page 14](#)

### 2.2.1 eDirectory Server Installation

- 1 Log in to iManager as an Administrator.
- 2 From the *Roles and Tasks* view, click *NMAS > NMAS Login Methods*.
- 3 Click *New*.

The method installation wizard is launched.

- 4 Follow the steps in the method installation wizard:

- 4a Browse to and double-click the `EnhancedSmartCard_iMan27.zip` file that comes with the method. It is located on the client disk under the `NMAS Methods` folder.

This zip file contains the server components and the iManager components.

- 4b Read and accept the license agreement.

- 4c Review the method information and modify the values as needed.  
If you don't change the name, the default name (Enhanced Smart Card) is used for the method and login sequence name.
- 4d Click *Finish*.
- 5 Review the installation summary page, then click *Close*.
- 6 Restart iManager to ensure that the plug-in is enabled.
- 7 Continue with [Chapter 3, "Configuring the Server," on page 19](#) to use the plug-in to configure the NESCM installation on the server.

## 2.2.2 Client Workstation Installation

The method must be installed on each workstation. To install the method, use the NESCM setup program.

The method can also be installed and configured silently. For more information on silent installation, see [Appendix B, "Silently Installing and Configuring the Method on Workstations," on page 51](#).

- 1 Log in to a workstation as an Administrator.
- 2 Run the following program from the `... \enhancedsmartcard \client` directory:

**Windows Vista (32-bit)/7 (32-bit)/XP/Server 2008 (32-bit):** Setup.exe

**Windows Vista (64-bit)/7 (64-bit)/Server 2008 (64-bit)/Server 2008 R2 (64-bit):** Setup\_64.exe

This launches the NESCM setup program. Follow the steps in this setup program to install and configure NESCM. For information concerning specific steps in the setup program for all client platforms (Windows Vista/7/XP/Server 2008), see [Table 2-2 on page 14](#).

For information concerning specific steps in the setup program for Windows XP client, see [Table 2-3 on page 17](#).

For extended information on the options, see [Appendix A, "Client Configuration Options," on page 43](#).

- 3 Repeat [Step 1](#) and [Step 2](#) for every workstation where you want to install the method.

[Table 2-3](#) explains the configuration options that are available when you use the setup program to install the method on a workstation.

**Table 2-2** Setup Program Options for all Client Platforms

Window	Options
Smart Card Interface	<p>The method can communicate with the smart card by using a Windows Cryptographic Service Provider (CSP) or PKCS#11 library. The recommended communication method is CSP with PC/SC Interfaces. Use PKCS#11 interfaces only if you know your smart card vendor does not provide a CSP.</p> <ul style="list-style-type: none"> <li>◆ <b>CSP with PC/SC Interfaces:</b> Select this option to use MS Crypto APIs and the vendor's CSP.</li> <li>◆ <b>PKCS#11 Library:</b> Select this and specify a PKCS#11 library to use PKCS#11 interfaces. If the library file is not present in the default system path, you must provide the file path of the library file.</li> </ul> <p>For more information on the smart card interface, see <a href="#">Section A.1, "Smart Card Interface," on page 43</a>.</p>

Window	Options
Smart Card PIN	<p>The smart card PIN is always validated during login unless this option is turned off (not selected). If this option is off, the PIN is not validated during login. It might be desirable to turn off PIN validation if another application has established a smart card session and previously validated the PIN. This prevents users from having to re-enter the PIN.</p> <p><b>Require Smart Card PIN Validation:</b> Select this option to validate the PIN during login.</p> <p>For more information on smart card PIN validation, see <a href="#">Section A.2, "Smart Card PIN Validation," on page 44.</a></p>
Workstation Only Login	<p>Normally, workstation only logins are password-based. The following options allow the smart card to be used during a workstation only login:</p> <ul style="list-style-type: none"> <li>◆ <b>Use Smart Card for Workstation Only Login:</b> Select this option to use the smart card for workstation only logins.</li> <li>◆ <b>Require Smart Card for Workstation Only Login:</b> Select this option to disable password-based workstation only logins.</li> </ul> <p>This option is only available if the Novell Client is installed.</p> <p>For more information on Workstation Only Login, see <a href="#">Section A.4, "Workstation Only Login (Disconnected Support Login)," on page 45.</a></p>
User Account Lookup - Identity Plug-in Support	<p>The method can use eDirectory to look up the username that is associated with the smart card. The method uses the certificate information on the smart card and performs an LDAP search to locate the user account.</p> <ul style="list-style-type: none"> <li>◆ <b>Automatically Look Up User Account:</b> Select this option if you want the method to automatically look up the user account.</li> </ul> <p>This option is only available if the Novell Client is installed.</p> <p>For more information on User Account Lookup, see <a href="#">Section A.5, "User Account Lookup (Identity Plug-In Functionality)," on page 48.</a></p>
(Conditional: LDAP Search Options - Page 1) Identity Plug-in Configuration	<p>The following options specify how the LDAP search functionality of the Identity plug-in functions:</p> <ul style="list-style-type: none"> <li>◆ <b>LDAP Servers:</b> In the <i>Servers</i> field, specify the server where you want the search to take place. This is the LDAP server IP address or DNS name.</li> <li>◆ <b>LDAP Search Base:</b> In the <i>Base</i> field, specify the starting container to use when searching for the user.</li> <li>◆ <b>LDAP Search Timeout:</b> In the <i>Timeout</i> field, specify the number of seconds before the search does a timeout.</li> </ul>

Window	Options
(Conditional: LDAP Search Options - Page 2) Identity Plug-in Configuration	<p>The following options specify how the LDAP search functionality of the Identity Plug-in functions:</p> <ul style="list-style-type: none"> <li>◆ <b>Search By:</b> Select how the search matches user accounts. If you select <i>Certificate Subject Name</i>, it searches by the certificate's subject name. If you select <i>Certificate</i>, it searches using the complete certificate.</li> </ul> <p>This setting should match the method's <i>Match By</i> configuration setting.</p> <ul style="list-style-type: none"> <li>◆ <b>Search Performance:</b> Select <i>Do Complete Search</i> if you want the search operation to wait to complete the search before returning. Select <i>Use First Account Returned</i> if you want the search to quit after receiving the first result.</li> </ul> <p>For large directories where searches can take a significant amount of time, selecting <i>Use First Account Returned</i> can increase performance. However, if in your environment one certificate is associated with multiple accounts, you should select <i>Do Complete Search</i> to ensure that all possible matches are presented to the user.</p>
(Conditional: Progress Message and Login Options) Identity Plug-in Configuration	<p>The following options allow you to configure progress messages and login options for the Identity Plug-in:</p> <ul style="list-style-type: none"> <li>◆ <b>Status Message:</b> In the <i>Message</i> field, specify the message that you want to be displayed on the Novell Client Login dialog box while the user lookup is in progress. Leave the field blank for no message.</li> </ul> <p>The status message is displayed on the Novell Client Login dialog box while the user lookup is in progress.</p> <ul style="list-style-type: none"> <li>◆ <b>Wait Message:</b> In the <i>Message</i> field, specify the message that you want to be displayed in the Novell Client Login dialog box after user lookup is complete and login has begun. Leave the field blank for no message.</li> </ul> <p>The wait message is displayed in the Novell Client Login dialog box after the user lookup is complete and login has begun.</p> <ul style="list-style-type: none"> <li>◆ <b>Login Options:</b> The following login options are available: <ul style="list-style-type: none"> <li>◆ <b>Automatically begin login when user lookup returns:</b> Select this option to automatically start the login process after the account lookup finishes. If you select this option, the user does not need to click the <i>OK</i> button to begin the login process.</li> <li>◆ <b>Restart user lookup if login fails:</b> Select this option to automatically restart the Identity Plug-in if the login fails.</li> </ul> </li> </ul> <p>Selecting both <i>Automatically begin login when user lookup returns</i> and <i>Restart user lookup if login fails</i> is not recommended. Using these two options simultaneously can lead to continuous looping failed login attempts.</p>



Window	Options
(Conditional: Novell Client Login Dialog Options) Identity Plug-in Configuration	<p>Selecting the following options allows you to hide user interface controls in the Novell Client login dialog:</p> <ul style="list-style-type: none"> <li>◆ <b>Hide OK Button:</b> Select this option only when <i>Automatically begin login when user lookup returns</i> is selected. See “(Conditional: Progress Message and Login Options) Identity Plug-in Configuration” on page 16 for more information.</li> <li>◆ <b>Hide Cancel Button:</b> Select this option if you don’t want users to see the <i>Cancel</i> button.</li> <li>◆ <b>Hide Advanced Button:</b> Select this option if you don’t want users to see the additional login dialog box settings.</li> <li>◆ <b>Hide Username Field:</b> You might want to select this option when using the user account lookup functionality, because users usually do not interact with the username field. Hiding this field might be considered useful in some circumstances. See “User Account Lookup - Identity Plug-in Support” on page 15 for more information.</li> <li>◆ <b>Hide Password Field:</b> You might want to select this option when <i>Automatically begin login when user lookup returns</i> is selected. After the lookup returns, the login begins and the method prompts the user for a PIN unless PIN validation is turned off. See “Smart Card PIN” on page 15 for more information.</li> </ul>

**Table 2-3** Setup Program Options for Windows XP Client

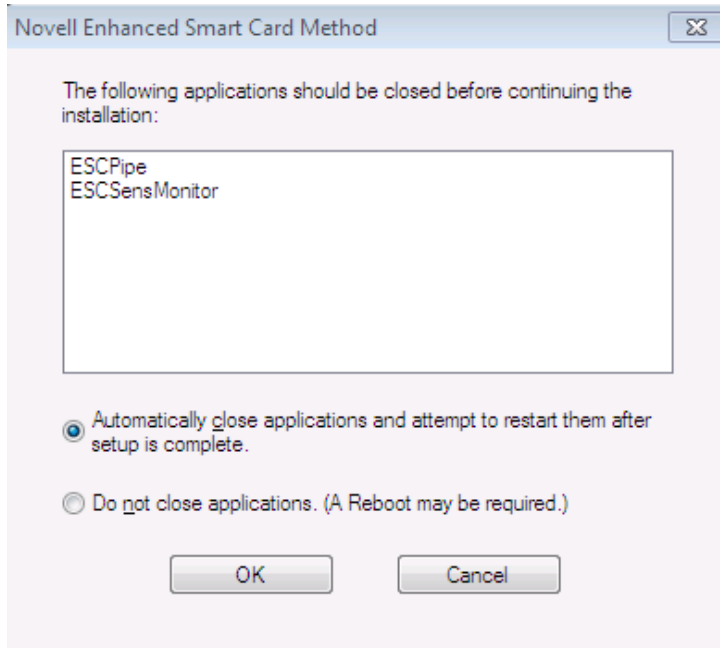
Window	Options
Password Field Descriptor	<p>The Novell Client login dialog box labels the <i>Password</i> field with the word “Password.” When using NESCM, enter the smart card PIN in the <i>Password</i> field. This option allows you to change the label to a more intuitive description, like “PIN.”</p> <p><b>Use Custom Descriptor:</b> Select this option and enter a new label to change the descriptor.</p> <p>This option is only available if the Novell Client is installed.</p> <p>For more information on the Password Field Descriptor, see <a href="#">Section A.3, “Password Field Descriptor,”</a> on page 45.</p>

## 2.3 Uninstalling the Method

You can uninstall NESCM using the *Add or Remove Programs* option in *Control Panel*.

If you have any of the NESCM applications running on Windows Vista and Windows 7, a dialog box appears, as shown in [Figure 2-1](#), indicating you to close the applications. You must select the *Do not close applications* option to continue with the uninstallation.

**Figure 2-1** Uninstallation Dialog Box



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# 3 Configuring the Server

After installing the Novell Enhanced Smart Card Method (NЕСM), you need to configure the server. To do this, use the Novell iManager Smart Card Login plug-in. If the plug-in is not already installed, see [Section 2.2.1, “eDirectory Server Installation,” on page 13](#). Administrators use this plug-in to configure settings for the whole tree, partitions, containers, or individual users.

The plug-in has the following settings:

- ♦ **Global:** The global settings are used to specify policies for the whole tree. Options configured globally apply to all user objects in the tree.
- ♦ **Container:** If the container object is a partition root, the settings are effective for all user objects in the partition. If the container is not a partition root, the settings are effective only for objects in the immediate container. The settings do not affect users in subcontainers below the container.
- ♦ **User:** User settings apply to the individual User object.

Each setting is described below and identified as a global, container, or user level setting. In iManager, in the *Roles and Tasks* view, click *Smart Card Login* to display these settings. Many settings can be configured on all levels. Settings configured at lower levels in the directory hierarchy override higher-level configurations.

- ♦ [Section 3.1, “Configuring Trusted Root Certificates,” on page 19](#)
- ♦ [Section 3.2, “Configuring Certificate Revocation Checking,” on page 22](#)
- ♦ [Section 3.3, “Configuring Certificate Matching,” on page 24](#)
- ♦ [Section 3.4, “Certificate Validation,” on page 30](#)
- ♦ [Section 3.5, “Certificate Expiration Warning,” on page 30](#)
- ♦ [Section 3.6, “Card Removal Behavior,” on page 30](#)
- ♦ [Section 3.7, “Check for Certificate Policy,” on page 30](#)
- ♦ [Section 3.8, “Activating the Method,” on page 30](#)

## 3.1 Configuring Trusted Root Certificates

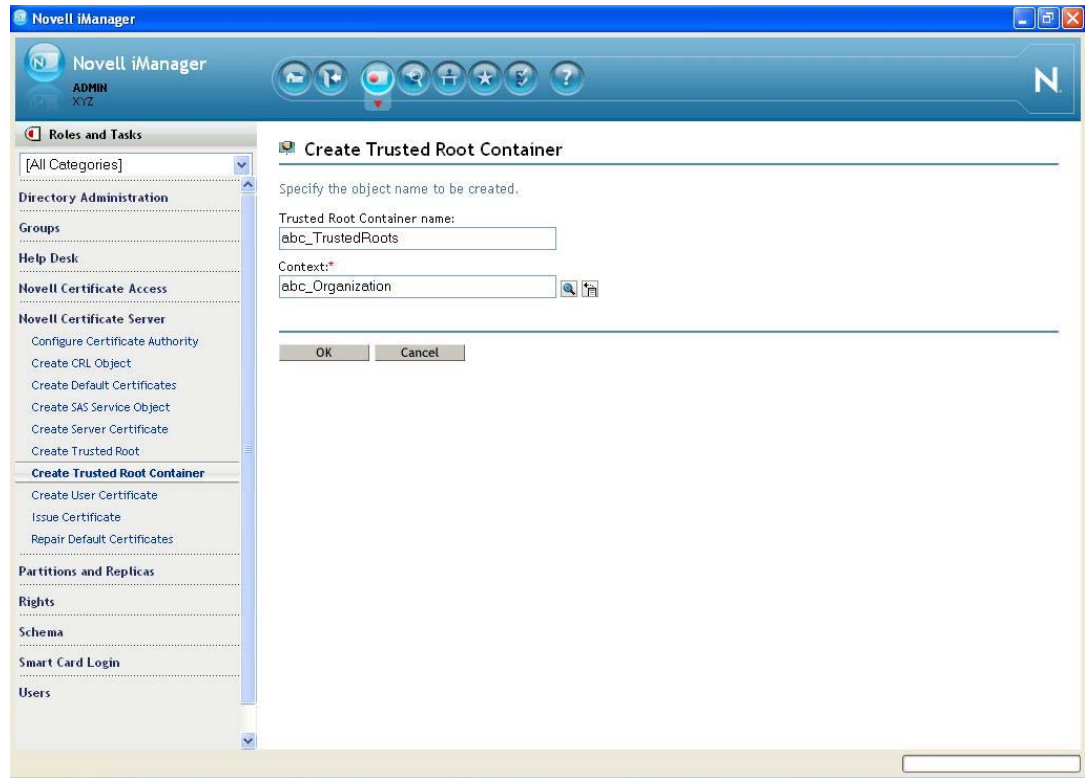
Configuration Level: [Global](#)

The list of trusted root containers is used for certificate validation. During certificate validation, the method builds the certificate chain. In order to be valid, the certificate chain must end with a trusted root certificate. Trusted root certificates are stored in trusted root containers in eDirectory.

The certificate validation process ensures that the login certificate has been issued by a trusted Certificate Authority (CA). This is accomplished by validating that the certificate chain contains only trusted root certificates.

1 In iManager, create a trusted root container:

1a Select *Novell Certificate Server > Create Trusted Root Container*.

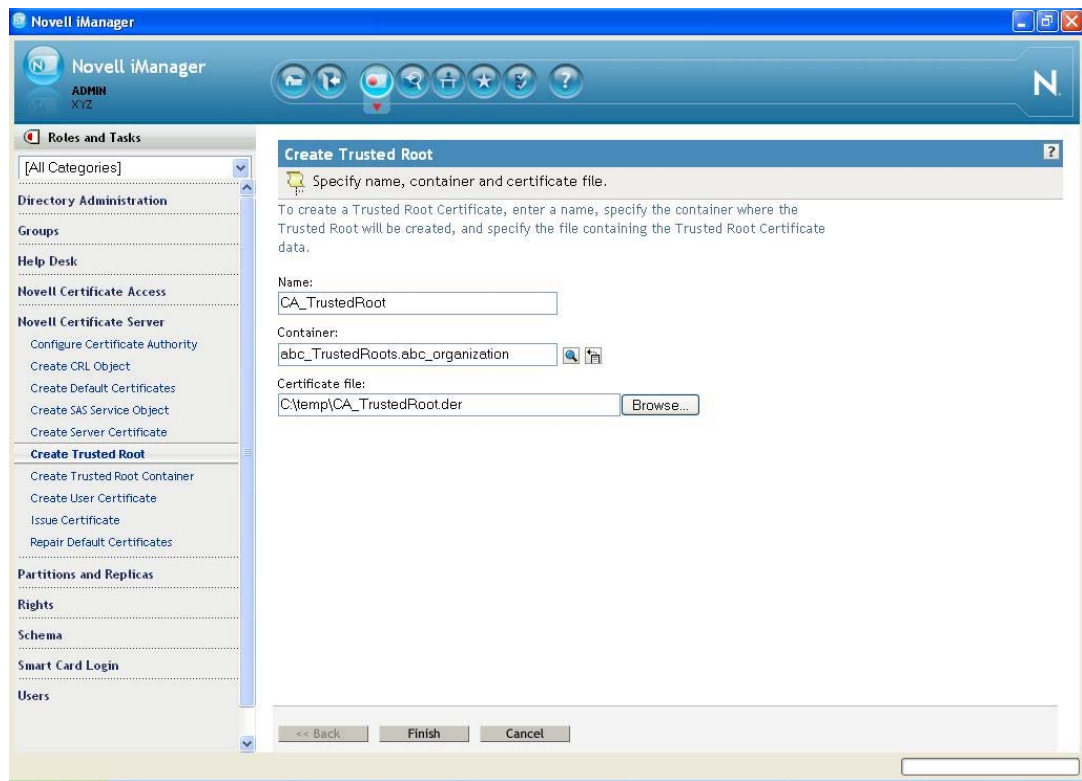


1b Specify the container name and location.

1c Click *OK*.

2 Import trusted root certificates:

2a Select *Novell Certificate Server > Create Trusted Root*.



**2b** Fill in the following fields:

- ◆ **Name:** Specify a name. This name is the Trusted Root object that is created in the directory to hold the certificate material. Choose a name that allows you to recognize which CA this issuing certificate came from.

---

**IMPORTANT:** This name cannot contain any dot characters. If it does, you encounter an NDS-601 error.

---

- ◆ **Container:** Browse to and select the trusted root container created in [Step 1](#).
- ◆ **Certificate:** Browse to and select a standard DER file (\*.der or \*.cer) or Base 64 encoded DER file (\*.b64, \*.pem, or \*.cer). This file contains the material for the issuing certificate.

If you do not already have this file, consult your CA for information and instructions on how to obtain it.

**2c** Click *OK*.

**3** Add the trusted root container to the method's global settings:

- 3a** Select *Smart Card Login > Global Settings*.



- 3b Click the plus sign to add the trusted root container to the *Trusted Root Certificate Containers* list.
- 3c Click *OK*.

## 3.2 Configuring Certificate Revocation Checking

Configuration Level: [Global](#)

Certificate revocation checking is part of the certificate validation process. In order to be considered valid, a certificate must not be revoked. The method supports On-Line Certificate Status Protocol (OCSP) and Certificate Revocation List (CRL) checking. The type of revocation checking performed is configured on a per trusted root container basis.

Trusted root containers are automatically added to the OCSP and CRL certificate revocation checking lists. Modify the lists as necessary and enable the proper revocation checking option.

If a trusted root container is not listed in the OCSP or CRL list, revocation checking is not performed for certificates that chain to the trusted root container. If a trusted root container is listed in both the OCSP and the CRL list, both types of revocation checks are performed.

- ♦ [Section 3.2.1, "OCSP Trusted Root Containers," on page 22](#)
- ♦ [Section 3.2.2, "CRL Trusted Root Containers," on page 23](#)
- ♦ [Section 3.2.3, "Example," on page 23](#)

### 3.2.1 OCSP Trusted Root Containers

Certificates that chain to trusted root certificates in containers in this list use OCSP checking. An OCSP responder URL can be specified for each container in the list. If specified, the responder URL overrides OCSP information in a user's certificate.

An OCSP response is signed by using the responder's certificate, and the responder's certificate must be trusted in order for the response to be considered valid. Place the OCSP responder's certificate in the trusted root container to ensure that the certificate is trusted.

## 3.2.2 CRL Trusted Root Containers

Certificates that chain to trusted root certificates in containers in this list use CRL checking. The CRL distribution point information in the user certificate is used to retrieve the CRL. CRLs are cached in memory on the server after retrieval. This improves the performance of future logins.

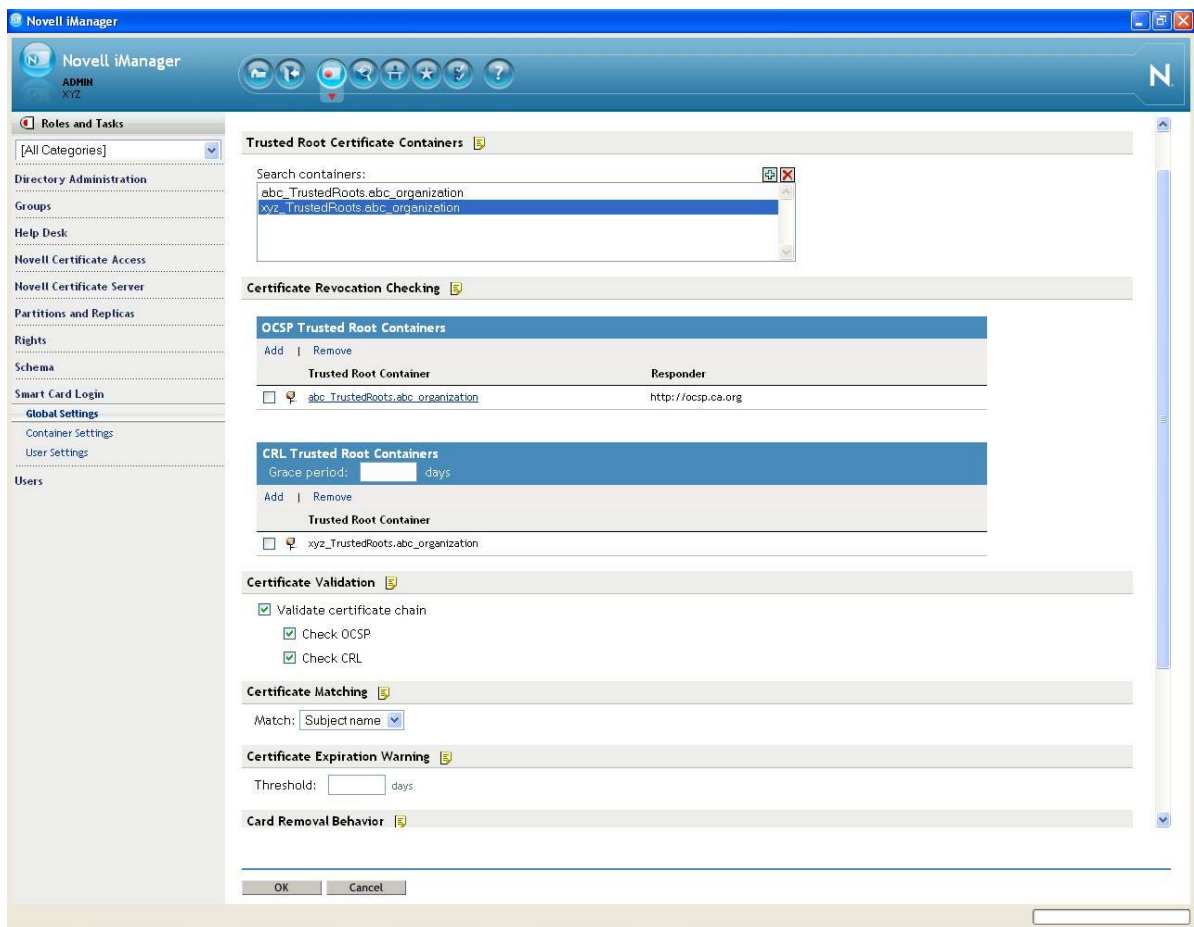
The *Grace Period* setting specifies the number of days after a CRL has expired that it is treated as valid. This allows revocation checking to continue, if a new CRL cannot be retrieved from the CRL Distribution Point. If a grace period is not specified and the CRL expiration date has passed, all certificates are considered invalid until a new CRL can be retrieved from the distribution point.

## 3.2.3 Example

In [Figure 3-1 on page 23](#), both OCSP and CRL revocation checking are enabled. OCSP revocation checking is performed for certificates chaining to the abc\_TrustedRoots container. CRL checking is performed for certificates chaining to the xyz\_TrustedRoots container.

When using OCSP validation, the OCSP response is signed by the responder's certificate. In order for the response to be considered valid, the responder's certificate must be trusted. Place the OCSP responder's trusted root certificate in the trusted root container to identify it as trusted.

**Figure 3-1** Certificate Validation and Search Containers



## 3.3 Configuring Certificate Matching

Configuration Level: [Global](#), [Container](#), [User](#)

User objects must be configured with the proper certificate information for login.

- 1 Using iManager, in the *Roles and Tasks* view, select *Smart Card Login > User Settings*.
- 2 Fill in the information according to the type of certificate matching used.

Certificate matching specifies what part of the certificate presented during login is matched to the target user account. There are four options:

- ♦ [Section 3.3.1, "Subject Name Matching," on page 24](#)
- ♦ [Section 3.3.2, "Certificate Matching," on page 26](#)
- ♦ [Section 3.3.3, "No Matching," on page 28](#)
- ♦ [Section 3.3.4, "Temporary Certificates," on page 29](#)

### 3.3.1 Subject Name Matching

You need to configure the subject name from the login certificate for the user object.

- 1 Click *Add*, then specify the subject name.  
The subject name can be entered directly, read from a smart card in an attached card reader, or read from a certificate file. DER and PEM certificate files are supported.
- 2 If you want to make this a temporary subject, select *Make this a temporary subject*. For more information on temporary subjects and certificates, see [Section 3.3.4, "Temporary Certificates," on page 29](#).
- 3 Click *OK*.



Figure 3-2 Add Subject Name Page

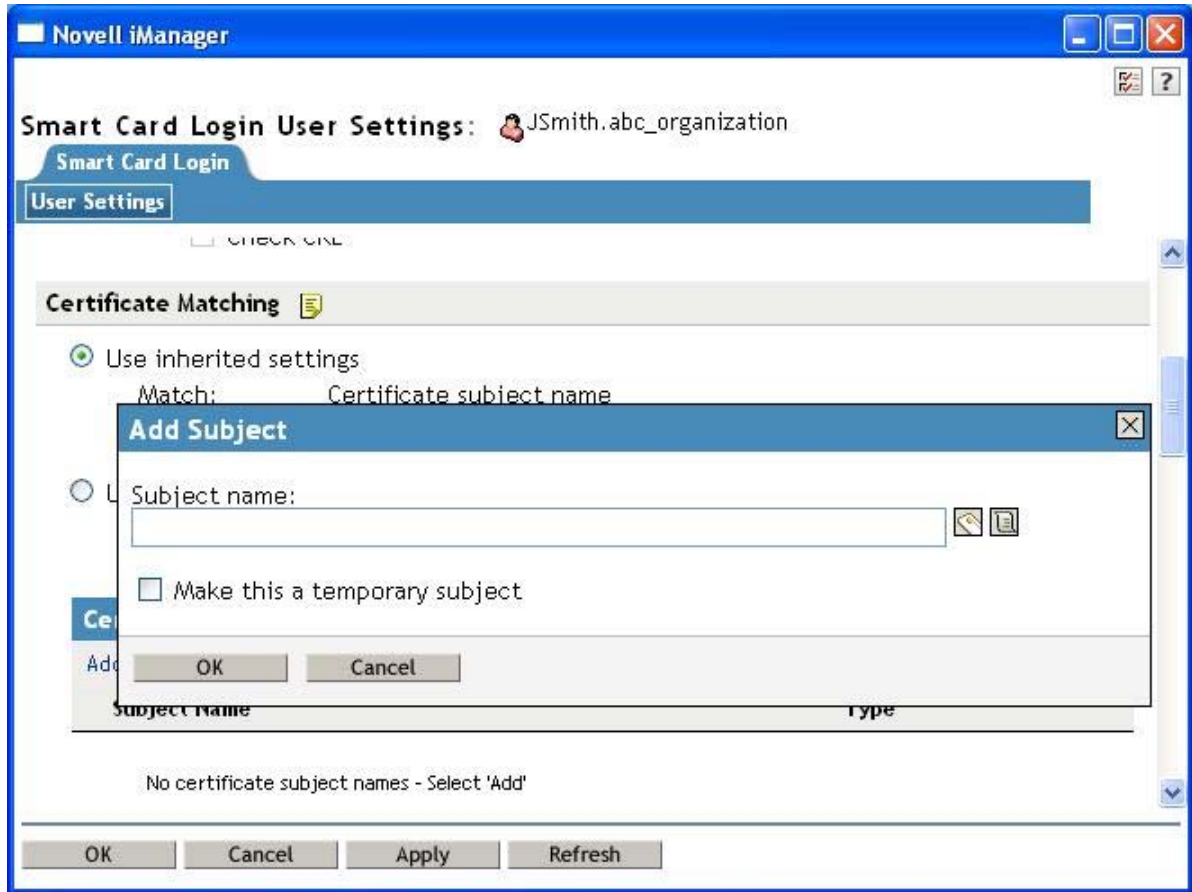
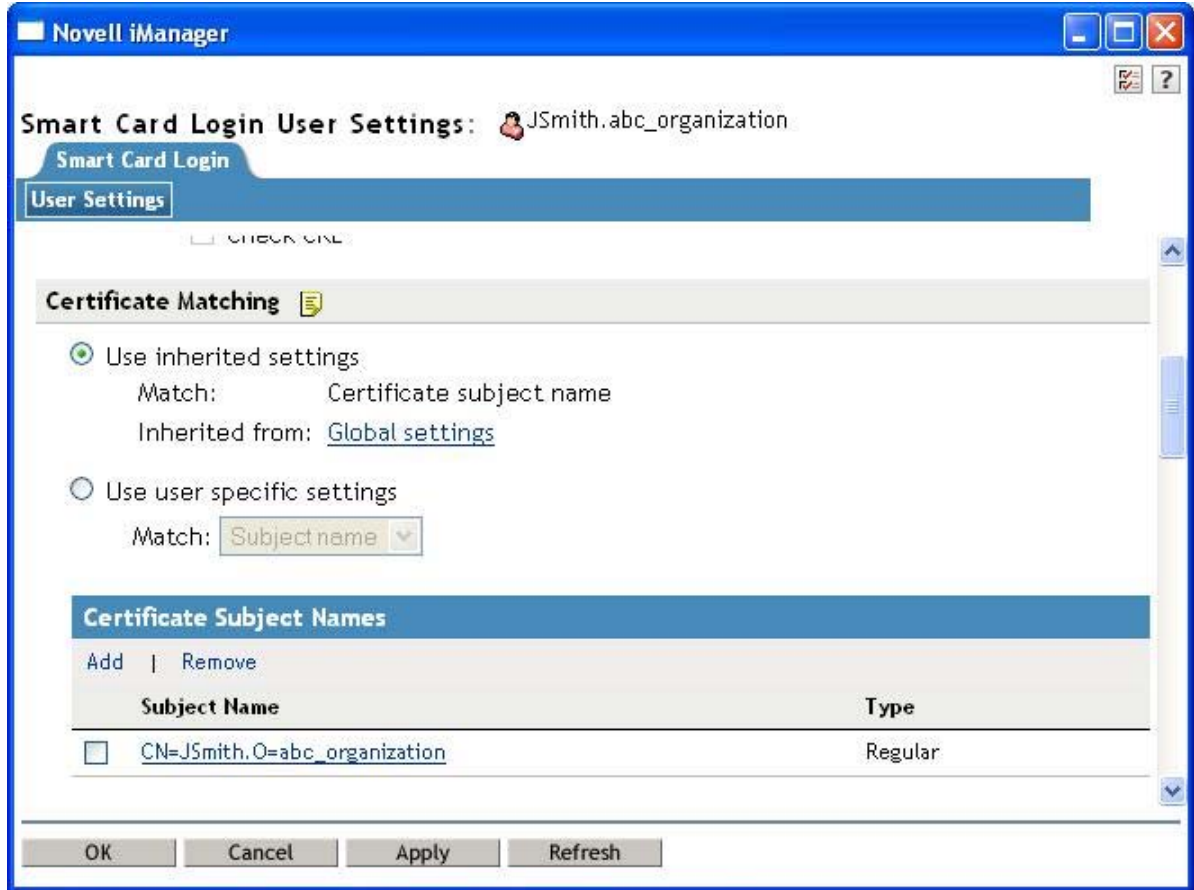


Figure 3-3 is an example of a User object properly configured for subject name matching:

Figure 3-3 Subject Name Matching Page



Subject name matching checks the subject name of the login certificate against the subject names configured for the user object. Matching by a certificate subject name is less restrictive than matching by a specific certificate.

### 3.3.2 Certificate Matching

You need to configure the specific login certificate for the User object.

- 1 Click *Add*, then specify the certificate.

The certificate can be read from a smart card in an attached card reader, or read from a certificate file. DER and PEM certificate files are supported.

- 2 If you want to make this a temporary certificate, select *Make this a temporary certificate*. For more information on subjects and certificates, see [Section 3.3.4, "Temporary Certificates,"](#) on page 29.
- 3 Click *OK*.

Figure 3-4 Add a Certificate Page

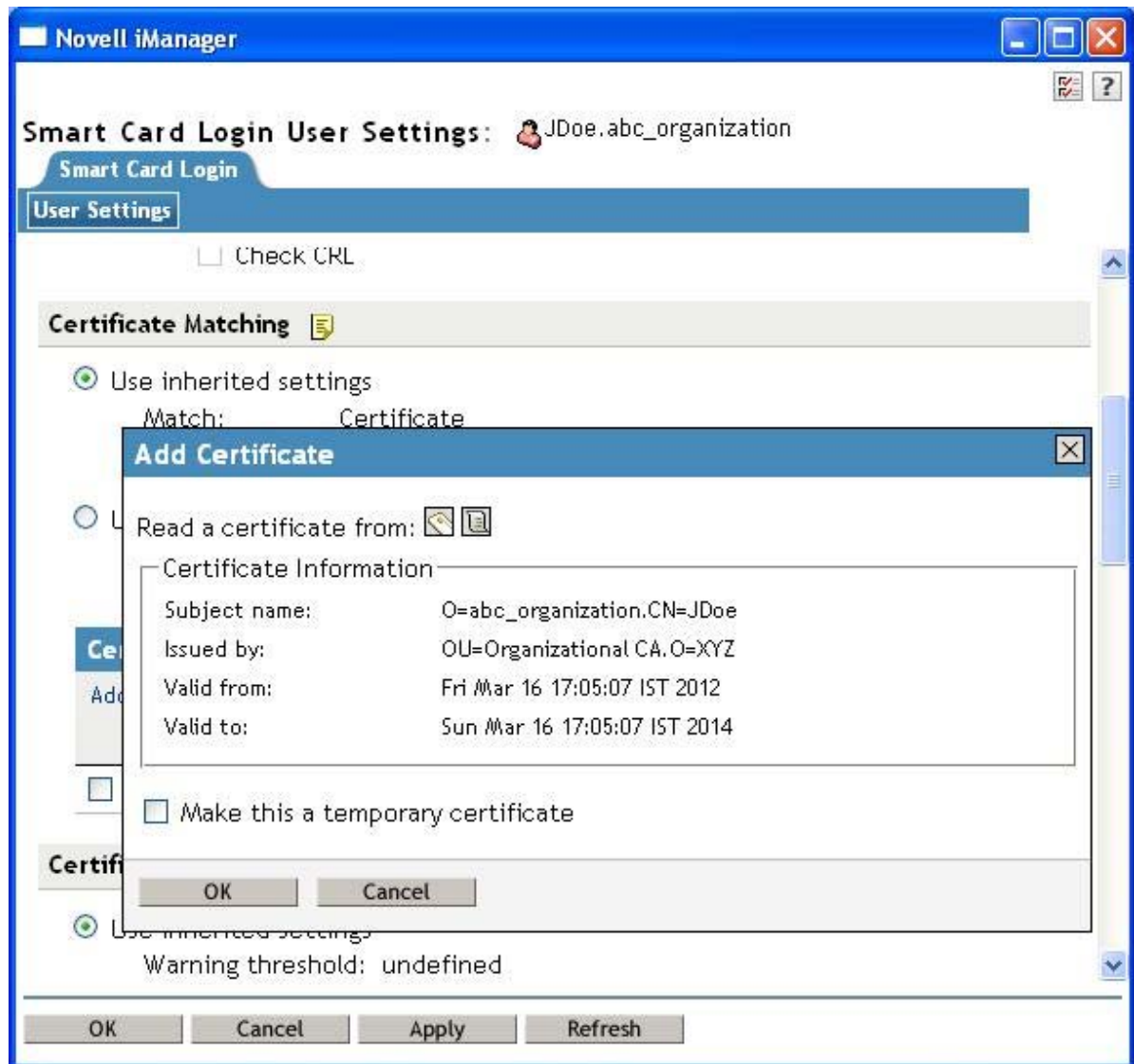
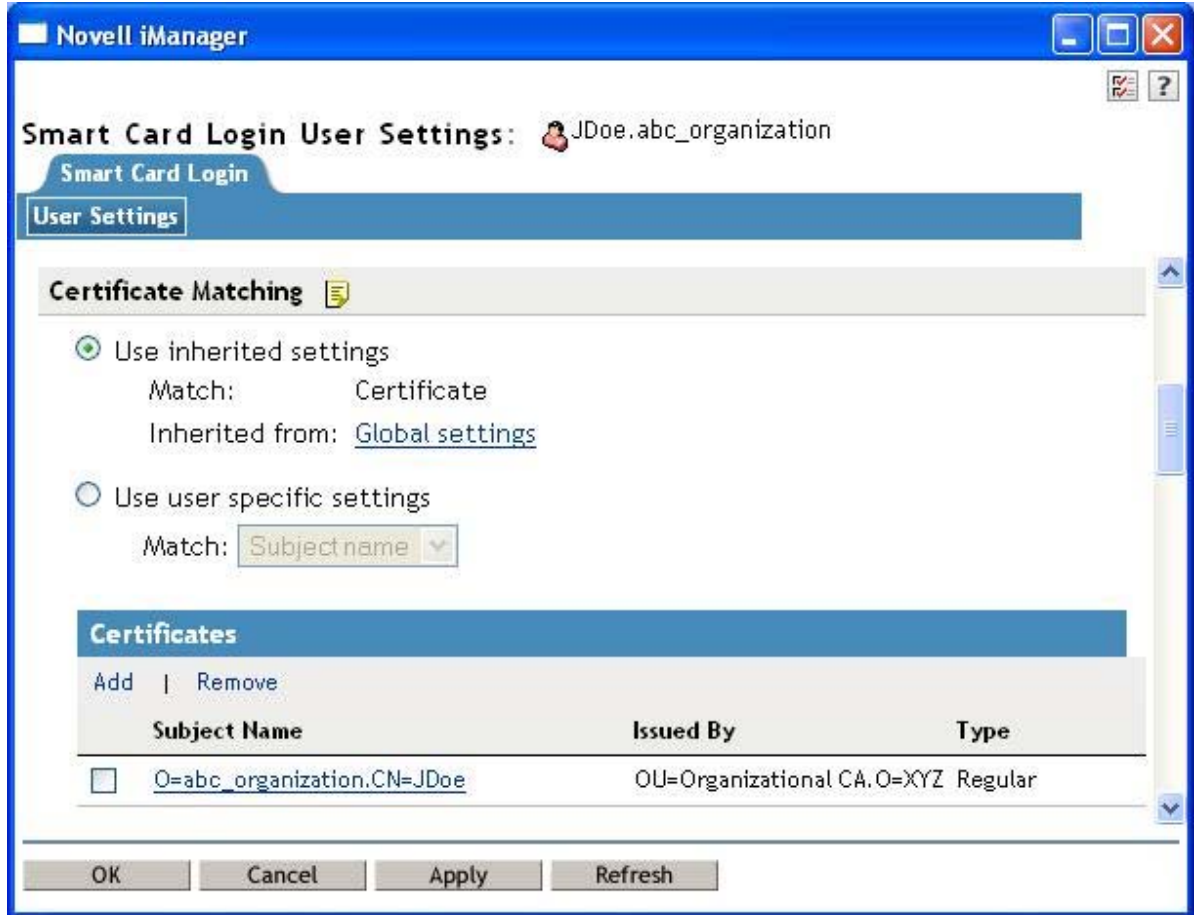


Figure 3-5 is an example of a User object properly configured for certificate matching:

Figure 3-5 Certificate Matching Page



Certificate matching checks the login certificate against the list of certificates configured for the user object. Certificate-based matching is more restrictive than subject name matching because only a configured certificate can be used for login.

### 3.3.3 No Matching

No matching means no part of the login certificate must be configured on the target user account. Typically, this option is not used for regular user accounts. A potential use would be for guest accounts. A guest account could be configured as no matching, and then anyone with a valid certificate could log in to the account.

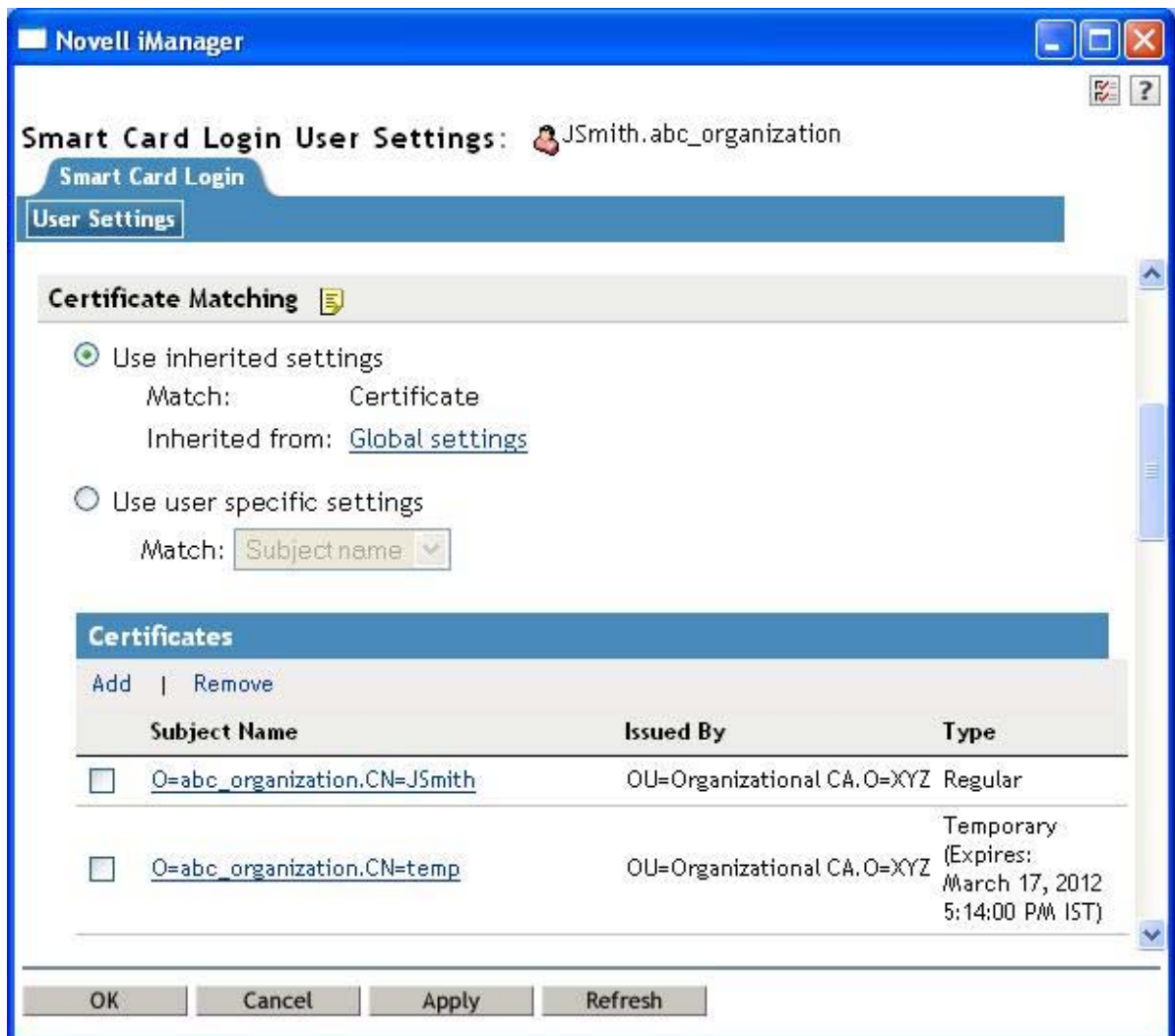
### 3.3.4 Temporary Certificates

A temporary classification can be assigned to certificates or subject names. You do this by selecting the *Make this a temporary subject* check box when adding the certificate information. This can be useful in situations where a temporary smart card is assigned to an individual. A typical case might be when an individual misplaces or forgets his or her regular smart card. In this situation, a temporary smart card can be issued to the individual and configured for a short period of time.

A temporary certificate is valid until the specified expiration date. The user is only able to log in using the temporary certificate. If the user attempts a login by using his or her normal certificate, the login fails. After the temporary certificate expiration date passes, the user can log in again by using the regular certificate. Expired temporary certificate information is automatically deleted from the User object.

Figure 3-6 shows a User object configured with a temporary certificate subject name. The regular information still exists for the user, but the temporary configuration overrides it until the expiration date.

Figure 3-6 Temporary Certificate Subject Name Page



## 3.4 Certificate Validation

Configuration Level: [Global](#), [Container](#), [User](#)

Certificate validation ensures that the user certificate used for login was issued by a trusted Certificate Authority and has not been revoked. In order for certificate validation to work correctly, the settings for trusted root containers and certificate verification must be properly configured.

The certificate chain validation and revocation checking can be enabled or disabled. However, under normal operations there should be no reason to change the default settings.

## 3.5 Certificate Expiration Warning

Configuration Level: [Global](#), [Container](#), [User](#)

During login, a user can be notified of an impending certificate expiration. This setting defines the number of days in advance to notify the user of the upcoming certificate expiration. A value of zero means no certificate expiration warnings are given.

## 3.6 Card Removal Behavior

Configuration Level: [Global](#), [Container](#), [User](#)

Card removal behavior defines the action taken when a user removes the smart card from the card reader. There are three options:

- ♦ **No Action:** Nothing happens when the smart card is removed from the card reader.
- ♦ **Lock Workstation:** The workstation is locked when the smart card is removed from the card reader.
- ♦ **Forced Log Off:** The user is logged out of the workstation when the smart card is removed from the card reader. This setting should be used with caution because it can result in the user losing work when the forced logout occurs.

## 3.7 Check for Certificate Policy

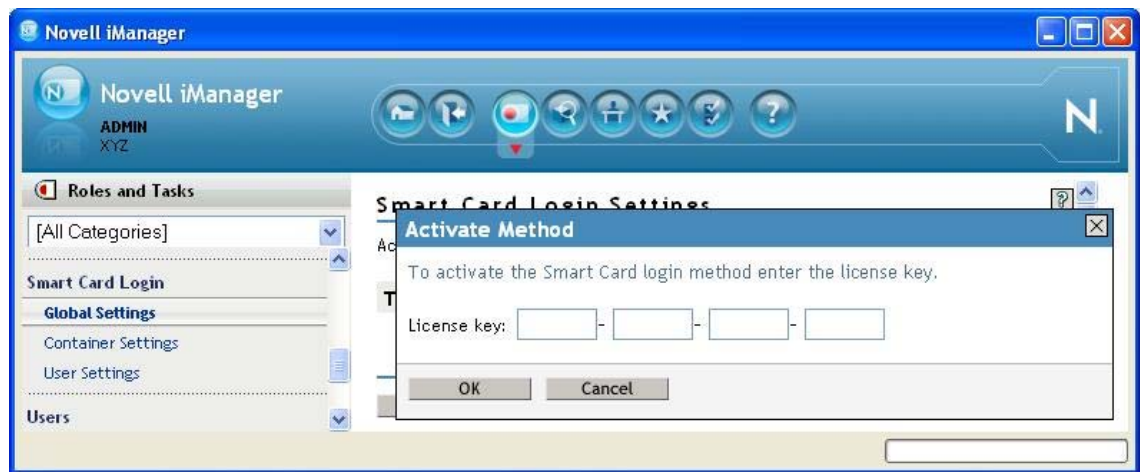
Configuration Level: [Global](#), [Container](#), [User](#)

A certificate policy is used to define a specific policy OID that must exist in a login certificate. If this setting is enabled, login certificates must contain the specified policy OID to be considered valid. The policy name and OID information are defined once globally. The check for certificate policy setting can be enabled or disabled throughout the directory hierarchy.

## 3.8 Activating the Method

The method has a 90-day trial period. After the trial period, a valid license key must be entered to activate the method. A license key can be obtained from your Novell sales representative.

- 1 To enter a license key in iManager, in the *Roles and Tasks* view, click *Smart Card Login > Global Setting*. Click *Activate Method* and specify a valid license key.



2 Click OK.





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# 4 Troubleshooting

In order for a user to successfully log in, the Novell Enhanced Smart Card Method and the smart card must be properly configured. This section describes common issues and techniques to help diagnose problems.

- ♦ [Section 4.1, “Method Tracing,” on page 33](#)
- ♦ [Section 4.2, “Workstation Issues,” on page 34](#)
- ♦ [Section 4.3, “Method Configuration Issues,” on page 35](#)

## 4.1 Method Tracing

When diagnosing problems, it is often helpful to enable the method's trace functionality. The method reports many problems and failures in the trace logs.

- ♦ [Section 4.1.1, “Enabling Server Tracing,” on page 33](#)
- ♦ [Section 4.1.2, “Enabling Client Tracing,” on page 33](#)

### 4.1.1 Enabling Server Tracing

On the server, the method reports information to the NMAS trace functionality, which is integrated with eDirectory tracing. To turn on tracing, use the Novell eDirectory iMonitor tool and select the NMAS option in the trace configuration settings. For more information about iMonitor, see “Using Novell iMonitor”, in the *Novell eDirectory 8.8 SP5 Administration Guide* (<http://www.novell.com/documentation/edir88/edir88/data/agwkqyb.html>).

### 4.1.2 Enabling Client Tracing

On the client, the method reports information to the NMAS Client trace functionality. To turn on tracing, use the NMAS Client Configuration tool (`ncc.exe`).

The following example enables tracing:

```
ncc.exe -ta file=trace_file status=on mode=append
```

After turning tracing on, reboot the workstation to ensure that all processes use the new settings. The trace messages are written to the specified file.

## 4.2 Workstation Issues

The following issues apply to workstations:

- ♦ [Section 4.2.1, “Smart Card Issues,” on page 34](#)
- ♦ [Section 4.2.2, “User Account Lookup \(Identity Plug-In\) Issues,” on page 34](#)

### 4.2.1 Smart Card Issues

If the login fails with an error message of No Certificates Found, the method failed to read the smart card's certificates. Check the following items:

- ♦ The smart card reader is installed and functional.
- ♦ The smart card is configured with a valid certificate and associated private key.
- ♦ Ensure that the smart card is not locked. Smart cards require a valid PIN to access them. Most smart cards lock after three invalid PIN attempts.
- ♦ The proper smart card middleware is installed and operational. Most middleware includes tools for viewing the information on the smart card.
- ♦ The method is properly configured to communicate with the middleware. During installation, a smart card communication interface is selected. The recommended setting is PC/SC. If PC/SC communication is failing, you might want to try PKCS#11. When using PKCS#11, you must also specify the correct vendor library (DLL). The library must be in the system path so it can be loaded by the method. You might need to contact the middleware vendor for the specific PKCS#11 library name. For a list of common vendors and PKCS#11 libraries, see [Table A-1 on page 44](#).

### 4.2.2 User Account Lookup (Identity Plug-In) Issues

- ♦ Because the User Account Lookup searches the directory before the actual login, it requires anonymous browse rights to be enabled in eDirectory. If the directory restricts anonymous browse, User Account Lookup does not work.
- ♦ If the ID plug-in does not find a user account on the first server, it does not search for the user account in other servers that are specified in the Identity plug-in configuration and displays an error.
- ♦ Sometimes Identity plug-in might not return users associated with the smart card when the system is restarted. To work around this issue,
  1. Manually enter the user name  
or  
Wait for sometime, then click the *Workstation only Logon* option.
  2. Click the *Novell Logon* option.  
The Identity plug-in displays the correct user names.

## 4.3 Method Configuration Issues

The following issues apply to method configuration:

- ♦ [Section 4.3.1, “Method Activation,” on page 35](#)
- ♦ [Section 4.3.2, “Certificate Validation,” on page 35](#)

### 4.3.1 Method Activation

If a valid license key is not entered by using iManager, the method stops functioning after the 90-day trial period has expired. Enter a valid license key to enable the method. For information on how to enable the method, see [Section 3.8, “Activating the Method,” on page 30](#).

### 4.3.2 Certificate Validation

If the method fails with an Invalid Certificate or Certificate Validation Failed message, the method was unable to validate the certificate sent by the workstation. Check the following items:

- ♦ The certificate on the smart card is not expired or has not been revoked by the issuing Certificate Authority.
- ♦ The method is properly configured with a trusted root container that contains a valid trusted root certificate. See [Section 3.1, “Configuring Trusted Root Certificates,” on page 19](#) for information about configuring the trusted root container.
- ♦ Certificate revocation checking is properly configured. See [Section 3.2, “Configuring Certificate Revocation Checking,” on page 22](#) for more information.
- ♦ CRL and OCSP revocation checking requires connectivity to the CRL Distribution Point or OCSP Responder. If the information is unavailable, the validation process fails.

When using OCSP validation, the OCSP response is signed by the responder's certificate. In order for the response to be considered valid, the responder's certificate must be trusted. Place the OCSP responder's trusted root certificate in the trusted root container to identify it as trusted.



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# 5 Security Guidelines

As with any system, good security requires proper configuration. This section lists recommendations to ensure that the Novell Enhanced Smart Card Method functions securely.

- ◆ [Section 5.1, “Trusted Root Containers,” on page 37](#)
- ◆ [Section 5.2, “Certificate Validation/Revocation Checking,” on page 37](#)
- ◆ [Section 5.3, “Smart Card Enrollment eDirectory Attributes,” on page 37](#)
- ◆ [Section 5.4, “Certificate Matching,” on page 38](#)
- ◆ [Section 5.5, “Restricting Authentication Methods,” on page 38](#)
- ◆ [Section 5.6, “User Account Lookup \(Identity Plug-In\),” on page 38](#)
- ◆ [Section 5.7, “Workstation Only Login \(Disconnected Login\),” on page 38](#)

## 5.1 Trusted Root Containers

These containers must include only certificates from trusted Certificate Authorities. Administration of the certificates in these containers should be restricted.

## 5.2 Certificate Validation/Revocation Checking

Certificate validation should be enabled and revocation checking properly configured. If a CRL Grace Period is used, the grace period should be limited to a few days. Do not use the CRL Grace Period as a mechanism to work around a dysfunctional CRL infrastructure.

## 5.3 Smart Card Enrollment eDirectory Attributes

Administration of the user attributes used for smart card authentication should be restricted to administrators who are enrolling smart cards for users.

When matching by subject names, the attributes are:

- ◆ `sasAllowableSubjectNames`
- ◆ `nclTmpCertSubject`
- ◆ `nclTmpCertExpiration`

When matching by certificates, the attributes are:

- ◆ `userCertificate`
- ◆ `nclTmpCert`
- ◆ `nclTmpCertExpTime`

## 5.4 Certificate Matching

The certificate matching settings should be set to *Subject name* matching or *Certificate* matching. Certificate matching is more restrictive because it checks the login certificate against the list of certificates configured for the user. The *No matching* option should be used only in specific guest account scenarios as described in [Section 3.3.3, “No Matching,” on page 28](#). For information on how to configure certificate matching options by using iManager, see [Section 3.3, “Configuring Certificate Matching,” on page 24](#).

## 5.5 Restricting Authentication Methods

Users can be restricted to using the smart card authentication method only. This is accomplished by restricting the user to a specified NMAS™ authentication sequence. “Managing Login Sequences” in the *NMAS Administration Guide* (<http://www.novell.com/documentation/nmas33/pdfdoc/admin/admin.pdf>) describes how to do this.

## 5.6 User Account Lookup (Identity Plug-In)

User Account Lookup searches the directory by using an anonymous LDAP clear text connection. This should be a consideration when choosing whether to use the User Account Lookup functionality.

## 5.7 Workstation Only Login (Disconnected Login)

The Workstation Only Login functionality encrypts the password used to log in to the Windows local account and stores it in the registry. The password is encrypted by using a 128-bit AES key generated by using the private key on the smart card. This should be a consideration when choosing whether to use the Workstation Only Login functionality.

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# 6 Using NЕСM for Access Manager Authentication

Novell Access Manager is a comprehensive access management solution that provides secure access to Web and enterprise applications. Access Manager also provides single sign-on across technical and organizational boundaries, and uses Secure Assertions Markup Language (SAML) and Liberty Alliance protocols.

You can use the Novell Enhanced Smart Card Method (NЕСM) to authenticate to Access Manager.

The following prerequisites apply:

- ♦ Be able to authenticate to eDirectory.
- ♦ Install the Novell Enhanced Smart Card Method. For information on how to install NЕСM, see [Section 2.2, “Installing the Method,” on page 13](#). These instructions require you to install the method on the eDirectory server and on the client workstation, and assume that a functioning smart card reader is already installed. Follow instructions from your manufacturer and verify the workstation's ability to read data from your card.
- ♦ Configure the NЕСM server by following the guidelines presented in [Chapter 3, “Configuring the Server,” on page 19](#).
- ♦ Properly provision your smart card according to your company policy.
- ♦ Make sure you have a basic Access Gateway configuration with a protected resource that you want to protect with a smart card. For more information, see the *Novell Access Manager Installation Guide* (<http://www.novell.com/documentation/novellaccessmanager/installation/data/bookinfo.html>) and the *Novell Access Manager Setup Guide* (<http://www.novell.com/documentation/novellaccessmanager/basicconfig/data/bookinfo.html>).

To integrate NЕСM as an authentication agent to Novell Access Manager, complete the tasks described in the *Novell Access Manager Administration Guide* (<http://www.novell.com/documentation/novellaccessmanager/adminguide/data/bdptdqh.html>).





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# 7 Reporting Login Events

On Windows XP, the Novell Enhanced Smart Card Method can report login events to the Novell Audit system. The smart card login events include specific information about the certificate used for login (Serial Number, Subject Name, Issuer, Expiration Date).

In order to report audit events, the audit system must be installed and properly configured for eDirectory. The method includes an audit configuration file (`esc_en.lsc`), which is used to create an audit log application. See the [Novell Audit Documentation Web site \(http://www.novell.com/documentation/novellaudit20/index.html\)](http://www.novell.com/documentation/novellaudit20/index.html) for specifics on configuring audits and creating log applications.

On Windows Vista, Windows 7, and Windows Server 2008, the Novell Audit system is not supported. The login events are captured by the Windows Event system where the event source is Nescm Audit.



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# A Client Configuration Options

When you install the method, you select configuration options for each workstation. The following sections provide additional information about the workstation configuration options:

- ♦ [Section A.1, “Smart Card Interface,” on page 43](#)
- ♦ [Section A.2, “Smart Card PIN Validation,” on page 44](#)
- ♦ [Section A.3, “Password Field Descriptor,” on page 45](#)
- ♦ [Section A.4, “Workstation Only Login \(Disconnected Support Login\),” on page 45](#)
- ♦ [Section A.5, “User Account Lookup \(Identity Plug-In Functionality\),” on page 48](#)
- ♦ [Section A.6, “Novell Client Options,” on page 48](#)

For information on how to set these configuration options using the NESCM setup program, see [Section 2.2.2, “Client Workstation Installation,” on page 14](#). Or, if you are installing the method silently, see [Appendix B, “Silently Installing and Configuring the Method on Workstations,” on page 51](#).

## A.1 Smart Card Interface

- ♦ [Section A.1.1, “CSP with PC/SC Interfaces,” on page 43](#)
- ♦ [Section A.1.2, “PKCS#11 Library,” on page 43](#)

### A.1.1 CSP with PC/SC Interfaces

The recommended way for NESCM to communicate with the smart card is by using PC Smart Card interfaces (PC/SC). When using PC/SC interfaces, the smart card middleware vendor provides a Windows Cryptographic Service Provider (CSP). The method automatically detects the uses of the proper CSP.

CSP with PC/SC interfaces works with most smart card middleware on Windows.

### A.1.2 PKCS#11 Library

If CSP with PC/SC interfaces communication is failing or you know that your smart card vendor doesn't provide a CSP, you might want to try a PKCS#11 library. When you use a PKCS#11 library, you must specify the correct library (DLL) name. PKCS#11 libraries are vendor-specific, so you need to check with your vendor for the name of the library.

If the library file is not present in the default system path, you must provide the file path of the library file.

[Table A-1](#) lists common PKCS#11 libraries:

**Table A-1** Common Vendors and PKCS#11 Libraries

Vendor	PKCS#11 Library Name
ActivCard	acpkcs211.dll
Netsign	core32.dll
GemPlus	gc1ib.dll
eToken	eTpkcs11.dll
Cryptovision	cvP11.dll
Rainbow iKey*	ckdk201.dll (Only the PKCS#11 mode is functional for iKey devices)

For information on choosing the smart card interface, see [“Smart Card Interface” on page 14](#).

## A.2 Smart Card PIN Validation

During the login process, the smart card method needs access to the keys on the smart card. The method obtains access by opening a session with the card and specifying the PIN. The card validates the PIN and grants appropriate access.

- ♦ [Section A.2.1, “Turning Off PIN Validation,” on page 44](#)
- ♦ [Section A.2.2, “Hiding the Password Field When PIN Validation is Off,” on page 44](#)

### A.2.1 Turning Off PIN Validation

The default procedure is to always validate the PIN, but this functionality can be turned off. Turning off PIN validation might be desirable if another application has established a public session and has previously validated the PIN.

If PIN validation is turned off, a session with the smart card is established, but the PIN is not presented to the smart card for validation. This prevents the user from needing to enter the PIN a second time.

When smart card PIN validation is off, however, the method still needs access to the keys on the smart card in order to successfully log in. If access is not granted by the smart card, login fails. Therefore, it is recommended that you turn off PIN validation only if you know another application has already validated the PIN for the card. For information on how to turn off PIN validation, see [“Smart Card PIN” on page 15](#).

### A.2.2 Hiding the Password Field When PIN Validation is Off

If you are using the Novell Client and are turning off PIN validation, you might also want to set the Novell Client properties to hide the login dialog box *password* field. This is because the smart card PIN is not used during the login, so there is no need to show the field. For information on how to hide the login dialog box *password* field, see [“\(Conditional: Novell Client Login Dialog Options\) Identity Plug-in Configuration” on page 17](#).

## A.3 Password Field Descriptor

The password field descriptor is only available if NESCM is installed with the Novell Client.

The Password field descriptor is applicable during login, from Red N Menu, unlock the workstation for Novell Client for Windows 5.x (that is XP). For Windows 6.x (that is Vista/7/Server 2003/Server 2008), the password field descriptor is only applicable during login from the Red N Menu. For other login and unlocking workstation use cases, currently, the Novell Client does not change the *Password* label.

The Novell Client login dialog box uses the *Password* string as the label for the password entry field. When using a smart card for login, the user enters the smart card PIN to log in. To help eliminate confusion, a custom string can be specified and used instead of the "Password" string.

For example, `&PIN:` could be specified. The ampersand (&) in the string is used to enable the Windows Alt+letter focus functionality. The setup program uses a default descriptor string of `"&PIN:"`.

For information on changing the password field descriptor, see ["Password Field Descriptor" on page 17](#).

## A.4 Workstation Only Login (Disconnected Support Login)

Smart card workstation login is only available if NESCM is installed with the Novell Client.

Windows workstation login is usually password-based; however, the method supports using the smart card for Windows workstation logins. Workstation smart card login is designed to provide the basic smart card login experience for users when they are not able to connect to the network. An example of this is laptop users who switch between connected and disconnected states.

- ♦ [Section A.4.1, "Certificate Validation," on page 45](#)
- ♦ [Section A.4.2, "Local Account Information," on page 46](#)
- ♦ [Section A.4.3, "Fall-Back Procedure," on page 46](#)
- ♦ [Section A.4.4, "Disconnected Workstation Unlock," on page 46](#)
- ♦ [Section A.4.5, "Workstation Only Login Exception," on page 47](#)

### A.4.1 Certificate Validation

Because Workstation Only Login is designed to work in limited connectivity conditions, only limited certificate validation is performed. Therefore, a successful eDirectory™ smart card authentication must occur before workstation smart card authentication is available. This ensures that the certificate used for login is valid. During a Workstation Only Login, the method verifies that the certificate has not expired and that it was used previously in a successful eDirectory authentication.

## A.4.2 Local Account Information

When smart card workstation login is enabled, the method integrates with the Novell Client and stores information on the local machine. This information identifies the Windows account and the certificate used for authentication. The account password is also stored encrypted with a 128-bit AES key.

The 128-bit AES key is generated by using random seed data and the certificate's private key. This links the AES key to the certificate's private key and ensures that each account password is encrypted with a unique encryption key. The random seed data used in the key generation process is stored locally, along with the account information. However, the private key itself is never stored.

During a workstation only login, the encryption key is regenerated and the stored password is decrypted. To successfully generate the encryption key and decrypt the password, the smart card must be present and the user must know the PIN. The account name and decrypted password are then passed to Windows to complete the workstation login.

## A.4.3 Fall-Back Procedure

If the workstation only login attempt fails with the smart card, for any reason, the process automatically falls back and attempts a password-based local login. This allows users who know their local account information to log in locally without using a smart card. If *Require Smart Card for Workstation Only Login* is turned on, the method does not fall back and attempt a password-based login, and users are required to use a smart card for a local login. Enabling *Require Smart Card for Workstation Only Login* forces all local logins to use a smart card; no password-based logins are allowed. This means that successful eDirectory smart card logins must occur before any workstation only logins can occur.

In Window XP, if *Require Smart Card for Workstation Only Login* is turned on, it is recommended to set the *Workstation Only Login after Network Login Failed* to *Never* from the *Advanced Login* tab from the Novell Client Configuration page. With this setting, the Novell Client does not allow an automatic Windows-only login when a network login fails.

Workstation Only Login works best when the local account and eDirectory account names are synchronized. This is because when the account names are synchronized, the user does not need to remember different names for connected (eDirectory) and disconnected (local workstation) logins.

For information on how to implement Workstation Only Login, see [“Workstation Only Login” on page 15](#).

## A.4.4 Disconnected Workstation Unlock

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**NOTE:** This option is available only on Windows XP.

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If *Disconnected\_Required* is set to 0, users are allowed to fall-back to the password based login. Also, during workstation unlock, if the user had logged into eDirectory by using the smart card (NESCM) and if the *Windows* option is selected, it is possible to unlock workstation using the workstation password.

However, in some cases it may be required to enforce smart card only during workstation unlock and the *Disconnected\_Required\_Unlock* registry key (located in `HKEY_LOCAL_MACHINE\SOFTWARE\Novell\NMAS\MethodData\enhanced_smartcard`) can be used.

If *Disconnected\_Required\_Unlock* is set to 1 and smart card mechanism is used during login or within the logged session; then the user is not allowed to fall back to password when the *Windows* option is selected during unlock.

## A.4.5 Workstation Only Login Exception

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**NOTE:** This section contains configuration information applicable for Windows XP. To configure workstation only login exception list for other Windows Client platforms, see “[Creating an Exception List \(http://www.novell.com/documentation/windows\\_client/windows\\_client\\_admin/data/bzgxlql.html\)](http://www.novell.com/documentation/windows_client/windows_client_admin/data/bzgxlql.html)” in the *Novell Client 2 SP2 for Windows Administration Guide (http://www.novell.com/documentation/windows\_client/windows\_client\_admin/data/h4rudg93.html)*.

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During workstation only login, the *Disconnected\_Required* registry key determines whether to enforce smart card login for all users on that workstation. If *Disconnected\_Required* is set to 1, all the users must use smart card during workstation login.

However, there may be certain local users, who may not use smart card during login and there must be an exception on these users to not enforce smart card login. This is enabled using the *Disconnected\_Required\_ExceptionList* registry key (located in `HKEY_LOCAL_MACHINE\SOFTWARE\Novell\NMAS\MethodData\enhanced_smartcard`), which allows multiple user identities to be populated. Every line represents the user for whom the exception can be applied.

The user identity must be in the following format:

- ♦ **Windows 2000 Professional and later versions:** <UserName@DomainName>

For example, user1@domain1

- ♦ **Versions prior to Windows 2000:** <NetBIOS\_Domain\user>

For example, domain1\user1

The domain name is the Active Directory domain name if the machine is joined to AD or the host name in case of a standalone machine (to get the host name, use the `hostname` command at the Windows command prompt).

This *Disconnected\_Required\_ExceptionList* registry key contradicts to the *Disconnected\_Required* registry that is used to enforce smart card login or not. For example:

- ♦ If *Disconnected\_Required* is set to 1, smart card login is not enforced on the users mentioned in the exception list.
- ♦ If *Disconnected\_Required* is set to 0, smart card login is enforced on the users mentioned in the exception list.

## A.5 User Account Lookup (Identity Plug-In Functionality)

User Account Lookup is only available if NESCM is installed with the Novell Client.

Users are typically required to enter their username and password in order to authenticate. NESCM provides the functionality to look up the user account in eDirectory that is associated with the smart card, eliminating the requirement for users to enter their login names.

- ♦ [Section A.5.1, “LDAP Search,” on page 48](#)
- ♦ [Section A.5.2, “Optimizing Search Results,” on page 48](#)

### A.5.1 LDAP Search

NESCM looks up the user account in eDirectory that is associated with the smart card by running the account lookup functionality before the login. It performs an LDAP search by using the certificate information and an anonymous clear-text connection.

In order to successfully perform the LDAP search, the User Account Lookup settings must be properly configured. See “[\(Conditional: LDAP Search Options - Page 1\) Identity Plug-in Configuration](#)” on page 15 for a list of settings and how to configure them.

### A.5.2 Optimizing Search Results

Searching large directories spread across numerous servers can take a long time. To optimize search results, create servers that host read-only replicas of all partitions in a sub-tree. You can also configure groups of clients to use these lookup servers.

You should create indexes to optimize search performance. When you search by *Certificate Subject Name*, the *sasAllowableSubjectNames* attribute should be indexed. When you search by *Certificate*, the *userCertificate* attribute should be indexed. See “[\(Conditional: LDAP Search Options - Page 2\) Identity Plug-in Configuration](#)” on page 16 for information on how to choose search performance options.

## A.6 Novell Client Options

- ♦ [Section A.6.1, “Single Sign-On,” on page 48](#)
- ♦ [Section A.6.2, “Passive Mode Login,” on page 49](#)

### A.6.1 Single Sign-On

When using the smart card method, users enter the card's PIN for eDirectory login and are then prompted to enter a password for the workstation login. The Novell Client Single Sign-On feature can be used to automatically log in to the workstation after the eDirectory login. This is accomplished by securely storing the workstation credentials in eDirectory and using them for future logins.

During Single Sign-On, the Novell Client prompts for the workstation password the first time and stores it in eDirectory. On subsequent logins, the user is not prompted for the workstation password. This improves the user's login experience and is recommended for all advanced eDirectory authentication methods.



This option is applicable only for Windows XP. For other Windows Client platforms except Windows XP, refer to [Setting Up Single Sign-On \(SSO\) \(http://www.novell.com/documentation/windows\\_client/windows\\_client\\_admin/data/bxii3sl.html\)](http://www.novell.com/documentation/windows_client/windows_client_admin/data/bxii3sl.html) in the *Novell Client 2 SP2 for Windows Administration Guide*.

## A.6.2 Passive Mode Login

Passive Mode Login is functionality added to the Novell Client 4.91 SP3. In passive mode, the Novell Client defers to the default MS GINA for the initial Windows login. After authentication to the workstation, the Novell Client attempts to authenticate to the Novell environment. The functionality was added to the Novell Client to allow environments that use Windows Active Directory\* smart card authentication to function correctly. It allows the smart card to be used to authenticate to Active Directory and eDirectory.

In passive mode, the Windows username used for workstation authentication is also used for eDirectory authentication. In order to successfully authenticate, the username must exist in eDirectory, and the client's default location profile must be properly configured with the tree and context information.

To enable passive mode login, the following registry keys must be set:

```
[HKEY_LOCAL_MACHINE\SOFTWARE\Novell\NWGINA]
"PassiveMode"=dword:00000001

[HKEY_LOCAL_MACHINE\SOFTWARE\Novell>Login]
"PassiveModeNDSLogin"=dword:00000001
"PassiveModeNDSLoginSilent"=dword:00000000 or 00000001
"PassiveModeNDSLoginRequired"=dword:00000000 or 00000001
```

Registry setting descriptions:

PassiveMode: (0/1) default is 0

0 = normal mode  
1 = passive mode

PassiveModeNDSLogin: (0/1) default is 0

0 = don't do Novell login  
1 = do Novell login

PassiveModeNDSLoginSilent: (0/1) default is 0

0 = report Novell login errors  
1 = don't report Novell login errors

PassiveModeNDSLoginRequired: (0/1) default is 0

0 = don't require Novell login  
1 = require Novell login

- ◆ If PassiveModeNDSLoginRequired is set to True (1), the login experience requires a successful Novell authentication in order to succeed.

Login scripts are not processed by NWGINA in passive mode. The workaround is to run them after the GINA login. You can do this by placing a run entry in the registry, or you can create an entry in the startup file for Novell login:

```
[HKEY_LOCAL_MACHINE\SOFTWARE\Microsoft\Windows\CurrentVersion\Run]
```

```
"nwscript=reg_expand_sz:loginw32.exe %username% /NA /CONT
```

- ♦ In passive mode, the method's card monitoring functionality does not work when the card removal behavior is set to *Lock workstation*. This is because MSGINA (not NWGINA) is used for the workstation Lock/Unlock functionality.

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**NOTE:** This option is applicable only for Windows XP.

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# B Silently Installing and Configuring the Method on Workstations

Versions of the Novell Enhanced Smart Card Method (NЕСM) prior to 3.0.4 required you to enter options on a command line in order to silently install the method. However, because NЕСM 3.0.4 has so many options that are configured during an interactive install, the recommended procedure is to silently install the method with the default options, and then change the configuration settings as needed, after the method is installed.

- ♦ [Section B.1, “Installing the Method,” on page 51](#)
- ♦ [Section B.2, “Configuring the Method,” on page 52](#)

Before silently installing NЕСM from a command line, you should become familiar with the graphical install and its options. For more information on the graphical install, see [Section 2.2.2, “Client Workstation Installation,” on page 14](#).

## B.1 Installing the Method

- ♦ [Section B.1.1, “Installing on a Machine without the Novell Client,” on page 51](#)
- ♦ [Section B.1.2, “Installing on a Machine with the Novell Client,” on page 51](#)
- ♦ [Section B.1.3, “Default Installation Options,” on page 52](#)

### B.1.1 Installing on a Machine without the Novell Client

If you are installing on a machine without the Novell Client, use the following command to install the method silently with the default options.

```
setup.exe /S/v"/qn"
```

To see what the default installation options are, see [Section B.1.3, “Default Installation Options,” on page 52](#).

### B.1.2 Installing on a Machine with the Novell Client

If you are installing on a machine with the Novell Client, the install sets the Windows Installer REBOOT flag to trigger a reboot at the end of the install. You can suppress the reboot by specifying a reboot option on the command line. The following example demonstrates installing silently and setting the REBOOT option:

```
setup.exe /S/v"/qn REBOOT=reallysuppress"
```

## B.1.3 Default Installation Options

*Table B-1 Default Installation Options*

Functionality	Option
Smart Card Interface	CSP with PC/SC Interfaces
Smart Card PIN	Require Smart Card PIN Validation = TRUE
Password Field Descriptor	Use Custom Descriptor = TRUE Custom Descriptor: &PIN:
Workstation Only Login - Disconnected Login	Use Smart Card for Workstation Only Login = FALSE
User Account Lookup - Identity Plug-in Support	Automatically look up the user account = FALSE

## B.2 Configuring the Method

There are two ways to configure NESCM when installing silently.

- ♦ [Section B.2.1, “Using the Registry to Configure NESCM After Installation \(Recommended\),” on page 52](#)
- ♦ [Section B.2.2, “Using the Command Line to Configure NESCM During Installation,” on page 52](#)

### B.2.1 Using the Registry to Configure NESCM After Installation (Recommended)

In order to facilitate modifying the configuration after an install, the `nescm.reg` registry file is included with the install. This file documents the method's options. All registry settings in the file are initially commented out. To configure NESCM, uncomment and modify the desired settings, then apply the settings to the registry.

### B.2.2 Using the Command Line to Configure NESCM During Installation

The setup program allows options to be specified on the command line. If you need to change only a few of the default options during an install, you can specify them on the command line. (See [Table B-3](#) for details.) However, if you need to specify numerous options, you might find it easier to install with the default settings, and then modify the `nescm.reg` file, as described in [Section B.2.1, “Using the Registry to Configure NESCM After Installation \(Recommended\),” on page 52](#).

For additional information about installation options for all client platforms (Windows Vista/7/XP), see [Table 2-2, “Setup Program Options for all Client Platforms,” on page 14](#).

For additional information about installation options for Windows XP client, see [Table 2-3, “Setup Program Options for Windows XP Client,” on page 17](#).

**Table B-2** Installation Command Line Options for all Client Platforms

Functionality	Options
Smart Card Interface	<ul style="list-style-type: none"><li>◆ <b>NESCM_SCINTERFACE:</b> The possible values are:<ul style="list-style-type: none"><li>◆ PCSC (Default)</li><li>◆ PKCS11</li></ul></li><li>◆ <b>NESCM_PKCS11LIBRARY:</b> The value of the PKCS#11 library is:<ul style="list-style-type: none"><li>◆ PKCS#11 library name</li></ul></li></ul> <p>The following example changes the interface mode to PKCS#11 on the command line:</p> <p><b>Windows XP (32-Bit):</b> <code>setup.exe /S/v" /qn NESCM_SCINTERFACE=PKCS11 NESCM_PKCS11LIBRARY=abc.dll"</code></p>
Smart Card PIN Validation	<ul style="list-style-type: none"><li>◆ <b>NESCM_CARD_LOGIN:</b> The possible values are:<ul style="list-style-type: none"><li>◆ 1 = True, validate smart card PIN (Default)</li><li>◆ 0 = False</li></ul></li></ul> <p>The following example turns off smart card PIN validation:</p> <p><b>Windows XP (32-Bit):</b> <code>setup.exe /S/v" /qn NESCM_CARD_LOGIN=0"</code></p>
Workstation Only Login - Disconnected Login	<ul style="list-style-type: none"><li>◆ <b>NESCM_DISCONNECTED_SUPPORT:</b> The possible values are:<ul style="list-style-type: none"><li>◆ 1 = True, enable disconnected support</li><li>◆ 0 = False (Default)</li></ul></li><li>◆ <b>NESCM_DISCONNECTED_REQUIRED:</b> The possible values are:<ul style="list-style-type: none"><li>◆ 1 = True, require disconnected support</li><li>◆ 0 = False (Default)</li></ul></li></ul> <p>The following example turns on disconnected support and makes it required:</p> <p><b>Windows XP (32-Bit):</b> <code>setup.exe /S/v" /qn NESCM_DISCONNECTED_SUPPORT=1 NESCM_DISCONNECTED_REQUIRED=1"</code></p>

Functionality	Options
User Account Lookup - Identity Plug-in Support	<ul style="list-style-type: none"> <li>◆ <b>NESCM_IDPLUGIN_SUPPORT:</b> The possible values are: <ul style="list-style-type: none"> <li>◆ 1 = True, enable Identity Plug-in support</li> <li>◆ 0 = False (Default)</li> </ul> </li> <li>◆ <b>NESCM_IDPLUGIN_SERVERS:</b> The value is: <ul style="list-style-type: none"> <li>◆ LDAP server address or DNS name</li> </ul> </li> <li>◆ <b>NESCM_IDPLUGIN_SEARCHBASE:</b> The value is: <ul style="list-style-type: none"> <li>◆ Search container</li> </ul> </li> <li>◆ <b>NESCM_IDPLUGIN_SEARCHTIMEOUT:</b></li> <li>◆ <b>NESCM_IDPLUGIN_SEARCHBY:</b> The possible values are: <ul style="list-style-type: none"> <li>◆ 1 = Search by certificate subject name (Default)</li> <li>◆ 2 = Search by certificate</li> </ul> </li> <li>◆ <b>NESCM_IDPLUGIN_USEFIRSTMATCH:</b> The possible values are: <ul style="list-style-type: none"> <li>◆ 1 = True, use first account returned</li> <li>◆ 0 = False, do a complete search (Default)</li> </ul> </li> <li>◆ <b>NESCM_IDPLUGIN_PROMPTMSG:</b> The value is: <ul style="list-style-type: none"> <li>◆ Status message string</li> </ul> </li> <li>◆ <b>NESCM_IDPLUGIN_WAITMSG:</b> The value is: <ul style="list-style-type: none"> <li>◆ Wait message string</li> </ul> </li> <li>◆ <b>NESCM_IDPLUGIN_AUTOLOGIN:</b> The possible values are: <ul style="list-style-type: none"> <li>◆ 1 = True, begin login when plug-in returns</li> <li>◆ 0 = False (Default)</li> </ul> </li> <li>◆ <b>NESCM_IDPLUGIN_AUTORESTART:</b> The possible values are: <ul style="list-style-type: none"> <li>◆ 1 = True, restart plug-in if login fails</li> <li>◆ 0 = False (Default)</li> </ul> </li> <li>◆ <b>NESCM_IDPLUGIN_HIDEOK:</b> The possible values are: <ul style="list-style-type: none"> <li>◆ 1 = True, hide <i>OK</i> button</li> <li>◆ 0 = False - (Default)</li> </ul> </li> <li>◆ <b>NESCM_IDPLUGIN_HIDECANCEL:</b> The possible values are: <ul style="list-style-type: none"> <li>◆ 1 = True, hide <i>Cancel</i> button</li> <li>◆ 0 = False (Default)</li> </ul> </li> <li>◆ <b>NESCM_IDPLUGIN_HIDEADVANCED:</b> The possible values are: <ul style="list-style-type: none"> <li>◆ 1 = True, hide <i>Advanced</i> button</li> <li>◆ 0 = False (Default)</li> </ul> </li> </ul>

Functionality	Options
(Continued) User Account Lookup - Identity Plug-in Support	<ul style="list-style-type: none"> <li>◆ <b>NESCM_IDPLUGIN_HIDEUSERNAME:</b> The possible values are: <ul style="list-style-type: none"> <li>◆ 1 (Hide <i>Username</i> field)</li> <li>◆ 0 (Default)</li> </ul> </li> <li>◆ <b>NESCM_IDPLUGIN_HIDEPASSWORD:</b> <ul style="list-style-type: none"> <li>◆ 1 (Hide <i>Password</i> field)</li> <li>◆ 0 (Default)</li> </ul> </li> </ul> <p><b>NOTE:</b> String values are enclosed in double quotes and the quotes are escaped with a backslash.</p> <p>The following example enables Identity Plug-in support and sets parameters, while having unspecified parameters use the default values:</p> <pre>setup.exe/S/v"/qn NESCM_IDPLUGIN_SUPPORT=1 NESCM_DISCONNECTED_REQUIRED=1 " setup.exe/s/v"/qn NESCM_IDPLUGIN_SUPPORT=1 NESCM_IDPLUGIN_SERVERS="\192.168.43.113:389\" NESCM_IDPLUGIN_SEARCHBASE="\ou=searchbase\" NESCM_IDPLUGIN_SEARCHTIMEOUT=20 NESCM_IDPLUGIN_AUTOLOGIN=0 NESCM_IDPLUGIN_AUTOSTART=0 "</pre>

**Table B-3** Installation Command Line Options for Windows XP Client

Functionality	Options
Password Field Descriptor	<ul style="list-style-type: none"> <li>◆ <b>NESCM_PWDFIELD_DESC:</b> The value is: <ul style="list-style-type: none"> <li>◆ Description string</li> </ul> <p>The default value is "&amp;PIN:". To remove the default, specify an empty string. If nothing is specified, the Novell Client uses the string "Password:". If the new string contains spaces, the string must be enclosed in double quotes and the quotes must be escaped with a backslash</p> <p>The following example specifies a new value that contains spaces:</p> <p><b>Windows XP (32-Bit):</b> <code>setup.exe/S/v"/qn NESCM_PWDFIELD_DESC-\ "Card PIN\" "</code></p> </li> </ul>





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# C How the Authentication Works

In order to successfully log in, the smart card must contain an X.509 certificate and the certificate's private key. The following information details the process used by the method during the login:

1. The Login Client Module (LCM) enumerates the certificates on the smart card and sends them to the Login Server Module (LSM).
2. The LSM selects the certificate to use for login. In order to be selected, a certificate must be valid and must be associated with the user account. The validation process uses the PKI functionality in eDirectory™ to verify that the certificate meets the following requirements:
  - ◆ It has been issued by a trusted authority
  - ◆ It has not been revoked
  - ◆ It has not expired

CRL and OCSP revocation checking are supported.

3. The LSM sends a message to the LCM telling it which certificate to use and challenge. The challenge is random data, and is used in step 5.
4. The LCM presents the PIN to the smart card for validation.
5. The LCM requests for the smart card to sign the challenge (received in Step 3), using the certificate's private key. The signature is SHA1 with RSA encryption or MD5 with RSA encryption.

The LCM proves it has access to the certificate's private key by being able to successfully sign the LSM challenge.

6. The LCM sends the signed challenge to the LSM for verification. The LSM can verify the signature because it has the X.509 certificate from Step 1, which contains the certificate's public key. If the challenge is verified, the LSM reports login success to the NMAST™ service.



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# D Registry Configuration Settings

NESCM configuration settings are stored in the Windows registry. The `nescm.reg` file, which is included with the client setup program, documents the registry settings. For more information, see [Section B.2.1, “Using the Registry to Configure NESCM After Installation \(Recommended\),”](#) on page 52



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# E Documentation Updates

This document was updated on the following dates:

- ♦ [Section E.1, “March 30, 2012,”](#) on page 61
- ♦ [Section E.2, “March 18, 2010,”](#) on page 61
- ♦ [Section E.3, “December 09, 2009,”](#) on page 62
- ♦ [Section E.4, “January 20, 2009,”](#) on page 62

## E.1 March 30, 2012

- ♦ Updated [Table 2-2 on page 14](#) and [Table 2-3 on page 17](#).
- ♦ Updated iManager screenshots in [Chapter 3, “Configuring the Server,”](#) on page 19.
- ♦ Added more issues in [Chapter 4, “Troubleshooting,”](#) on page 33.
- ♦ Replaced the earlier audit chapter with new [Chapter 7, “Reporting Login Events,”](#) on page 41.
- ♦ Updated [Section A.4.3, “Fall-Back Procedure,”](#) on page 46 to include support only for Windows XP.
- ♦ Updated [Section A.5, “User Account Lookup \(Identity Plug-In Functionality\),”](#) on page 48 to include support only for Windows XP.

## E.2 March 18, 2010

- ♦ Updated [Section 1.2.1, “Workstation Only Login,”](#) on page 9.
- ♦ Updated [Section 2.1, “Minimum Requirements,”](#) on page 11
- ♦ Updated [Section 2.2.2, “Client Workstation Installation,”](#) on page 14.
- ♦ Updated [Section 2.2.2, “Client Workstation Installation,”](#) on page 14 to update the commands. Also divided [Table 2-2 on page 14](#) into two tables.
- ♦ Updated [Table 2-1 on page 12](#) to include the newly supported Middleware, Smart Card Readers, and Smart Cards.
- ♦ Divided [Table B-2 on page 53](#) into two tables.

## E.3 December 09, 2009

Added the following two sub-sections to the section [Section A.4, "Workstation Only Login \(Disconnected Support Login\),"](#) on page 45:

- ♦ [Section A.4.4, "Disconnected Workstation Unlock,"](#) on page 46
- ♦ [Section A.4.5, "Workstation Only Login Exception,"](#) on page 47

## E.4 January 20, 2009

Changes have been made to the following sections. The changes are explained below.

**Table E-1** *Document Changes*

Location	Change
<a href="#">Chapter 1, "Overview,"</a> on page 9	Divided this chapter into sections.
<a href="#">Section 2.2.1, "eDirectory Server Installation,"</a> on page 13	Removed screenshots in procedure.
<a href="#">Chapter 3, "Configuring the Server,"</a> on page 19	Combined information from two chapters to create this chapter.
<a href="#">Appendix A, "Client Configuration Options,"</a> on page 43	Moved this information from a chapter to an Appendix.