

# SafeNet Luna Network HSM 7.0

Administration Guide

## Document Information

<b>Product Version</b>	7.0
<b>Document Part Number</b>	007-013576-002
<b>Release Date</b>	05 June 2017

## Revision History

<b>Revision</b>	<b>Date</b>	<b>Reason</b>
Rev. A	05 June 2017	Initial release.

## Trademarks, Copyrights, and Third-Party Software

Copyright 2001-2017 Gemalto. All rights reserved. Gemalto and the Gemalto logo are trademarks and service marks of Gemalto and/or its subsidiaries and are registered in certain countries. All other trademarks and service marks, whether registered or not in specific countries, are the property of their respective owners.

**Table 1: Third-party software used in this product**

<b>Software</b>	<b>License and copyright</b>
editline	This product incorporates editline licensed under Apache v2.0 Open Software. Copyright 1992, 1993 Simmule Turner and Rich Salz. All rights reserved. You can obtain the full text of the Apache v2.0 Open Software license at the following URL: <a href="https://www.apache.org/licenses/LICENSE-2.0">https://www.apache.org/licenses/LICENSE-2.0</a>
libFDT	Dual License Choice of BSD or GPL-2.0 Copyright (C) 2006 David Gibson, IBM Corporation.
libsodium	ISC License (ISCL) Copyright (C) 2013-2016
Linux Kernel	GPL-2.0
OpenSSH	This product uses a derived version of OpenSSH Copyright 1995 Tatu Ylonen , Espoo, Finland. All rights reserved . Copyright 1995, 1996 by David Mazieres . Copyright 1983, 1990, 1992, 1993, 1995 The Regents of the University of California. All rights reserved You can obtain the full text of the OpenSSH license at the following URL: <a href="https://www.openbsd.org/policy.html">https://www.openbsd.org/policy.html</a>
OpenSSL	SSLeay License Copyright (C) 1995-1998 Eric Young (eay@cryptsoft.com) OpenSSL license

Software	License and copyright
	Copyright (C) 1998-2002 The OpenSSL Project
Software implementation of SHA2	Proprietary license Copyright (C) 2002, Dr Brian Gladman, Worcester, UK.
Software implementation of AES	Proprietary license Copyright (C) 2001, Dr Brian Gladman <brg@gladman.uk.net>, Worcester, UK.

## Disclaimer

All information herein is either public information or is the property of and owned solely by Gemalto and/or its subsidiaries who shall have and keep the sole right to file patent applications or any other kind of intellectual property protection in connection with such information.

Nothing herein shall be construed as implying or granting to you any rights, by license, grant or otherwise, under any intellectual and/or industrial property rights of or concerning any of Gemalto's information.

This document can be used for informational, non-commercial, internal, and personal use only provided that:

- The copyright notice, the confidentiality and proprietary legend and this full warning notice appear in all copies.
- This document shall not be posted on any publicly accessible network computer or broadcast in any media, and no modification of any part of this document shall be made.

Use for any other purpose is expressly prohibited and may result in severe civil and criminal liabilities.

The information contained in this document is provided "AS IS" without any warranty of any kind. Unless otherwise expressly agreed in writing, Gemalto makes no warranty as to the value or accuracy of information contained herein.

The document could include technical inaccuracies or typographical errors. Changes are periodically added to the information herein. Furthermore, Gemalto reserves the right to make any change or improvement in the specifications data, information, and the like described herein, at any time.

Gemalto hereby disclaims all warranties and conditions with regard to the information contained herein, including all implied warranties of merchantability, fitness for a particular purpose, title and non-infringement. In no event shall Gemalto be liable, whether in contract, tort or otherwise, for any indirect, special or consequential damages or any damages whatsoever including but not limited to damages resulting from loss of use, data, profits, revenues, or customers, arising out of or in connection with the use or performance of information contained in this document.

Gemalto does not and shall not warrant that this product will be resistant to all possible attacks and shall not incur, and disclaims, any liability in this respect. Even if each product is compliant with current security standards in force on the date of their design, security mechanisms' resistance necessarily evolves according to the state of the art in security and notably under the emergence of new attacks. Under no circumstances, shall Gemalto be held liable for any third party actions and in particular in case of any successful attack against systems or equipment incorporating Gemalto products. Gemalto disclaims any liability with respect to security for direct, indirect, incidental or consequential damages that result from any use of its products. It is further stressed that independent testing and verification by the person using the product is particularly encouraged, especially in any application in which defective, incorrect or insecure functioning could result in damage to persons or property, denial of service, or loss of privacy.

All intellectual property is protected by copyright. All trademarks and product names used or referred to are the copyright of their respective owners. No part of this document may be reproduced, stored in a retrieval system or transmitted in any form or by any means, electronic, mechanical, chemical, photocopy, recording or otherwise without the prior written permission of Gemalto.

## Regulatory Compliance

This product complies with the following regulatory regulations. To ensure compliancy, ensure that you install the products as specified in the installation instructions and use only Gemalto-supplied or approved accessories.

### USA, FCC

This equipment has been tested and found to comply with the limits for a "Class B" digital device, pursuant to part 15 of the FCC rules.

### Canada

This class B digital apparatus meets all requirements of the Canadian interference-causing equipment regulations.

### Europe

This product is in conformity with the protection requirements of EC Council Directive 2014/30/EU. This product satisfies the CLASS B limits of EN55032.

# CONTENTS

<b>PREFACE</b>	<b>About the Administration Guide</b>	<b>11</b>
Customer Release Notes		12
Audience		12
Document Conventions		12
Notes		12
Cautions		12
Warnings		12
Command syntax and typeface conventions		13
Support Contacts		14
<b>1</b>	<b>Audit Logging</b>	<b>15</b>
Audit Logging Overview		15
The Audit Role		17
Audit Log Records		19
Audit Log Message Format		20
Configuring and Using Audit Logging		22
Configuring Audit Logging		23
Copying Log Files Off the Appliance		25
Exporting the Audit Logging Secret and Importing to a Verifying HSM		25
Deciphering the Audit Log Records		26
Audit Role Authentication Considerations		27
Audit Logging General Advice and Recommendations		27
Audit Log Categories and HSM Events		28
Remote Audit Logging		34
<b>2</b>	<b>Backup and Restore HSMs and Partitions</b>	<b>36</b>
Backup and Restore Overview and Best Practices		36
Objects are Smaller When Stored on Backup HSM		39
About the SafeNet Luna Backup HSM		41
Functionality of the SafeNet Luna Backup HSM		41
Backup HSM Installation, Storage, and Maintenance		49
Backup and Restore From the Client to a Local Backup HSM (LunaCM)		54
Backing Up a Partition to a Locally Connected Backup HSM		55
Restoring a Partition from a Locally Connected Backup HSM		58
Backup and Restore From the Client to a Remote Backup HSM (LunaCM, RBS)		59
Backup and Restore From the Appliance to a Local Backup HSM (LunaSH)		72
Backing Up a Partition to a Locally Connected Backup HSM		73
Restoring a Partition from a Locally Connected Backup HSM		76
Troubleshooting		77
Warning: This token is not in the factory reset (zeroized) state		77
<b>3</b>	<b>Capabilities and Policies</b>	<b>79</b>

HSM Capabilities and Policies .....	79
Partition Capabilities and Policies .....	83
<b>4 Configuration File Summary .....</b>	<b>89</b>
<b>5 Decommissioning, Zeroizing, or Resetting an HSM to Factory Conditions .....</b>	<b>98</b>
Decommissioning the HSM Appliance .....	98
Disabling Decommissioning .....	99
Comparing Zeroize, Decommission, and Factory Reset .....	99
Resetting to Factory Condition .....	100
End of service and disposal .....	101
Comparison of Destruction/Denial Actions .....	102
RMA and Shipping Back to Gemalto .....	103
Zeroization .....	104
<b>6 High-Availability (HA) Configuration and Operation .....</b>	<b>105</b>
High Availability (HA) Overview .....	105
Load Balancing .....	107
Key Replication .....	108
Failover .....	109
Recovery .....	112
Recovery Conditions .....	113
Enabling and Configuring Autorecovery .....	113
Failure of All Members .....	114
Automatic Reintroduction .....	114
Synchronization .....	115
Effect of PED Operations .....	115
Network failures .....	115
Performance .....	117
Maximizing Performance .....	117
HA and FindObjects .....	118
Standby Members .....	118
Planning Your Deployment .....	121
HA Group Members .....	121
High Availability Group Sizing .....	122
Network Requirements .....	123
Upgrading and Redundancy and Rotation .....	123
Configuring HA .....	124
Create the HA Group .....	125
Verification .....	127
HA Standby Mode [Optional] .....	128
Using HA With Your Applications .....	129
HAOnly .....	129
Key Generation .....	129
Application Object Handles .....	129
Adding, Removing, Replacing, or Reconnecting HA Group Members .....	130
Adding or Removing an HA Group Member .....	130
Reconnecting an Offline Unit .....	131
Replacing a Failed SafeNet Luna Network HSM .....	131

Replace a SafeNet Luna Network HSM Using the Same IP .....	133
Summary .....	134
Client-side - Reconfigure HA If a SafeNet Luna Network HSM Must Be Replaced .....	134
Replacing the Secondary HA Group Member .....	138
Managing and Troubleshooting Your HA Groups .....	138
Slot Enumeration .....	138
Determining Which Device is in Use .....	139
Determining Which Devices are Active .....	139
Duplicate Objects .....	139
Frequently Asked Questions .....	139
<b>7 HSM Initialization .....</b>	<b>141</b>
Initializing a New or Factory-reset HSM .....	142
Re-initializing an Existing, Non-factory-reset HSM .....	144
PED-authenticated HSM Initialization Example .....	144
Password-authenticated HSM Initialization Example .....	150
<b>8 HSM Status Values .....</b>	<b>151</b>
<b>9 Partitions .....</b>	<b>153</b>
About HSM Partitions .....	153
Adjusting Default Partition Parameters .....	154
Size of Partitions .....	154
Separation of HSM Workspaces .....	156
Application Partitions .....	156
Operation .....	156
Key Management Commands .....	157
Normal Usage Commands .....	157
Unauthenticated Commands .....	158
Commands That are Valid Only in a Session, But Require Special Handling .....	159
Configured and Registered Client Using an HSM Partition .....	159
Activation and Auto-Activation on PED-Authenticated Partitions .....	160
Auto-Activation .....	164
Security of Your Partition Challenge .....	165
Removing Partitions .....	166
Frequently Asked Questions .....	166
<b>10 PED Authentication .....</b>	<b>168</b>
About the Luna PED .....	168
Using the PED .....	174
Initial Setup .....	179
Performing Prompted Actions .....	180
Creating New PED Keys .....	180
Duplicating Existing PED Keys .....	185
Changing Your Authentication Parameters .....	188
About Remote PED .....	193
Remote PED Architecture .....	193
PED Server-Client Communications .....	194

Remote PED Setup and Configuration .....	198
Using Remote PED .....	203
Relinquishing Remote PED .....	209
Maintaining the Security of Your PED Keys .....	210
Version Control .....	212
Summary of PED Operations .....	213
Troubleshooting .....	216
The PedServer and PedClient Utilities .....	222
The PedServer Utility .....	222
The PedClient Utility .....	222
The PedClient Commands .....	223
pedclient mode assignid .....	224
pedclient mode config .....	225
pedclient mode deleteid .....	227
pedclient mode releaseid .....	228
pedclient mode setid .....	229
pedclient mode show .....	230
pedclient mode start .....	231
pedclient mode stop .....	232
pedclient mode testid .....	233
The PedServer Commands .....	234
pedserver appliance .....	235
pedserver appliance deregister .....	236
pedserver appliance list .....	237
pedserver appliance register .....	238
pedserver mode .....	239
pedserver mode config .....	240
pedserver mode connect .....	242
pedserver mode disconnect .....	243
pedserver mode show .....	244
pedserver mode start .....	246
pedserver mode stop .....	248
pedserver regen .....	249
<b>11 Performance .....</b>	<b>250</b>
HSM Information Monitor .....	250
<b>12 Security Effects of Administrative Actions .....</b>	<b>251</b>
Overt Security Actions .....	251
Actions with Security- and Content-Affecting Outcomes .....	251
Factory Reset HSM .....	251
Zeroize HSM .....	252
Change Destructive HSM Policy .....	252
Apply Destructive CUF Update .....	253
HSM Initialize When Zeroized (hard init) .....	253
HSM Initialize From Non-Zeroized State (soft init) .....	253
Partition Initialize When Zeroized (hard init) .....	254
Partition Initialize From Non-Zeroized State (soft init) .....	254
Elsewhere .....	255



<b>13</b>	<b>Secure Transport Mode</b>	<b>256</b>
	Placing an HSM Into Secure Transport Mode	256
	Recovering an HSM From Secure Transport Mode	257
<b>14</b>	<b>Secure Trusted Channel (STC)</b>	<b>259</b>
	STC Overview	259
	When to Use: Comparing NTLS and STC	259
	Security features	260
	Client and Partition Identities	261
	Secure Tunnel Creation	262
	Secure Message Transport	263
	Enabling or Disabling STC on the HSM	263
	Enabling STC on the HSM	263
	Disabling STC on the HSM	264
	Enabling or Disabling STC on a Partition	265
	Enabling STC on a Partition	265
	Disabling STC on a Partition	266
	Establishing and Configuring the STC Admin Channel on a SafeNet Luna Network HSM Appliance	266
	Using a Hard Token to Store the STC Client Identity	268
	Configuring the Network and Security Settings for an STC Link	273
	Configurable Options	273
	Managing STC Tokens and Identities	275
	Restoring STC After HSM Zeroization	276
	Troubleshooting	278
	Restoring STC After HSM Zeroization	278
	Restoring STC After Regenerating the HSM Server Certificate on the SafeNet Luna Network HSM Appliance	278
	SALogin Error	278
<b>15</b>	<b>Slot Numbering and Behavior</b>	<b>279</b>
	Order of Occurrence for Different SafeNet Luna HSMs	279
	Settings Affecting Slot Order	280
	Effects of Settings on Slot List	280
	Effects of New Firmware on Slot Login State	281
<b>16</b>	<b>Software, Firmware, and Capability Upgrades</b>	<b>282</b>
	Software and Firmware Upgrades	282
	Client Software Upgrades	282
	Appliance Software Upgrades	282
	HSM Firmware Upgrades	284
	Rollback Behavior	285
	HSM Capability and Partition Upgrades	287
<b>17</b>	<b>SNMP Monitoring</b>	<b>288</b>
	Overview and Installation	288
	MIB	288
	SafeNet SNMP Subagent	289
	The SafeNet Chrysalis-UTSP MIB	290

The SafeNet Luna HSM MIB .....	291
hsmPolicyTable .....	294
hsmPartitionPolicyTable .....	294
hsmClientRegistrationTable .....	294
hsmClientPartitionAssignmentTable .....	295
SNMP output compared to SafeNet tools output .....	295
The SafeNet Appliance MIB .....	299
SNMP Operation and Limitations with SafeNet Luna Network HSM .....	299
SNMP-Related Commands .....	299
Coverage .....	300
HSM MIB .....	300
MIBS You Need for Network Monitoring of SafeNet Luna Network HSM .....	301
MIBS You Need for Monitoring the Status of the HSM .....	301
Frequently Asked Questions .....	301
We want to use SNMP to remotely monitor and manage our installation – why do you not support such standard SNMP traps as CPU and Memory exhaustion? .....	302
<b>18 Tamper Events .....</b>	<b>303</b>
Recovering from a Tamper .....	304
<b>19 Troubleshooting .....</b>	<b>306</b>
General Troubleshooting Tips .....	306
System Operational and Error Messages .....	307
Extra slots that say "token not present"? .....	307
Error: 'hsm update firmware' failed. (10A0B : LUNA_RET_OPERATION_RESTRICTED) when attempting to perform hsm update firmware .....	307
KR_ECC_POINT_INVALID Error when decrypting a file encrypted from BSAFE through ECIES using ECC key with any of the curves from the x9_t2 section .....	307
Error during SSL Connect (RC_OPERATION_TIMED_OUT) logged to /var/log/messages by the SafeNet Luna HSM client .....	308
Slow/interrupted response from the HSM, and the "hsm show" command shows LUNA_RET_SM_SESSION_REALLOC_ERROR .....	308
Low Battery Message .....	308
Keycard and Token Return Codes .....	309
Library Codes .....	324
Vendor-Defined Return Codes .....	329
<b>20 User and Password Administration .....</b>	<b>334</b>
About Changing HSM and Partition Passwords .....	334
Failed Logins .....	335
Resetting Passwords .....	337
HSM .....	337

# PREFACE

## About the Administration Guide

This document describes the operational and administrative tasks you can perform to maintain the functionality and efficiency of your HSMs. It contains the following chapters:

- ["Audit Logging" on page 15](#)
- ["Backup and Restore HSMs and Partitions" on page 36](#)
- ["Capabilities and Policies" on page 79](#)
- ["Configuration File Summary" on page 89](#)
- ["Decommissioning, Zeroizing, or Resetting an HSM to Factory Conditions" on page 98](#)
- ["High-Availability \(HA\) Configuration and Operation" on page 105](#)
- ["HSM Initialization" on page 141](#)
- ["HSM Status Values" on page 151](#)
- ["Partitions" on page 153](#)
- ["PED Authentication" on page 168](#)
- ["Performance" on page 250](#)
- ["Security Effects of Administrative Actions" on page 251](#)
- ["Secure Transport Mode" on page 256](#)
- ["Secure Trusted Channel \(STC\)" on page 259](#)
- ["Slot Numbering and Behavior" on page 279](#)
- ["Software, Firmware, and Capability Upgrades" on page 282](#)
- ["SNMP Monitoring" on page 288](#)
- ["Troubleshooting" on page 306](#)
- ["User and Password Administration" on page 334](#)

This preface also includes the following information about this document:

- ["Customer Release Notes" on the next page](#)
- ["Audience" on the next page](#)
- ["Document Conventions" on the next page](#)
- ["Support Contacts" on page 14](#)

For information regarding the document status and revision history, see ["Document Information" on page 2](#).

---

## Customer Release Notes

---

The customer release notes (CRN) provide important information about this release that is not included in the customer documentation. Read the CRN to fully understand the capabilities, limitations, and known issues for this release. You can view or download the latest version of the CRN from the Technical Support Customer Portal at <https://supportportal.gemalto.com>.

---

## Audience

---

This document is intended for personnel responsible for maintaining your organization's security infrastructure. This includes SafeNet Luna HSM users and security officers, key manager administrators, and network administrators.

All products manufactured and distributed by Gemalto are designed to be installed, operated, and maintained by personnel who have the knowledge, training, and qualifications required to safely perform the tasks assigned to them. The information, processes, and procedures contained in this document are intended for use by trained and qualified personnel only.

It is assumed that the users of this document are proficient with security concepts.

---

## Document Conventions

---

This document uses standard conventions for describing the user interface and for alerting you to important information.

### Notes

Notes are used to alert you to important or helpful information. They use the following format:



**Note:** Take note. Contains important or helpful information.

---

### Cautions

Cautions are used to alert you to important information that may help prevent unexpected results or data loss. They use the following format:



**CAUTION:** Exercise caution. Contains important information that may help prevent unexpected results or data loss.

---

### Warnings

Warnings are used to alert you to the potential for catastrophic data loss or personal injury. They use the following format:



**WARNING!** Be extremely careful and obey all safety and security measures. In this situation you might do something that could result in catastrophic data loss or personal injury.

---

## Command syntax and typeface conventions

Format	Convention
<b>bold</b>	<p>The bold attribute is used to indicate the following:</p> <ul style="list-style-type: none"> <li>• Command-line commands and options (Type <b>dir /p</b>.)</li> <li>• Button names (Click <b>Save As</b>.)</li> <li>• Check box and radio button names (Select the <b>Print Duplex</b> check box.)</li> <li>• Dialog box titles (On the <b>Protect Document</b> dialog box, click <b>Yes</b>.)</li> <li>• Field names (<b>User Name</b>: Enter the name of the user.)</li> <li>• Menu names (On the <b>File</b> menu, click <b>Save</b>.) (Click <b>Menu &gt; Go To &gt; Folders</b>.)</li> <li>• User input (In the <b>Date</b> box, type <b>April 1</b>.)</li> </ul>
<i>italics</i>	<p>In type, the italic attribute is used for emphasis or to indicate a related document. (See the <i>Installation Guide</i> for more information.)</p>
<variable>	<p>In command descriptions, angle brackets represent variables. You must substitute a value for command line arguments that are enclosed in angle brackets.</p>
[ <b>optional</b> ] [<optional>]	<p>Represent optional <b>keywords</b> or &lt;variables&gt; in a command line description. Optionally enter the keyword or &lt;variable&gt; that is enclosed in square brackets, if it is necessary or desirable to complete the task.</p>
{ <b>a b c</b> } {<a> <b> <c>}	<p>Represent required alternate <b>keywords</b> or &lt;variables&gt; in a command line description. You must choose one command line argument enclosed within the braces. Choices are separated by vertical (OR) bars.</p>
[ <b>a b c</b> ] [<a> <b> <c>]	<p>Represent optional alternate keywords or variables in a command line description. Choose one command line argument enclosed within the braces, if desired. Choices are separated by vertical (OR) bars.</p>

## Support Contacts

Contact method	Contact	
<b>Phone</b> (Subject to change. An up-to-date list is maintained on the Technical Support Customer Portal)	Global	+1 410-931-7520
	Australia	1800.020.183
	India	000.800.100.4290
	Netherlands	0800.022.2996
	New Zealand	0800.440.359
	Portugal	800.863.499
	Singapore	800.1302.029
	Spain	900.938.717
	Sweden	020.791.028
	Switzerland	0800.564.849
	United Kingdom	0800.056.3158
	United States	(800) 545-6608
<b>Web</b>	<a href="https://safenet.gemalto.com">https://safenet.gemalto.com</a>	
<b>Technical Support Customer Portal</b>	<a href="https://supportportal.gemalto.com">https://supportportal.gemalto.com</a> Existing customers with a Technical Support Customer Portal account can log in to manage incidents, get the latest software upgrades, and access the Knowledge Base. To create a new account, click the <b>Register</b> link at the top of the page. You will need your Customer Identifier number.	

# Audit Logging

This chapter describes how to use audit logging to provide security audits of HSM activity. It contains the following sections:

- ["Audit Logging Overview" below](#)
- ["Configuring and Using Audit Logging" on page 22](#)
- ["Audit Logging General Advice and Recommendations" on page 27](#)
- ["Audit Log Categories and HSM Events" on page 28](#)
- ["Remote Audit Logging" on page 34](#)

## Audit Logging Overview

---

Each event that occurs on the HSM can be recorded in the HSM event log, allowing you to audit your HSM usage. The HSM event log is viewable and configurable only by the **audit** user role. This audit role is disabled by default and must be explicitly enabled.

### Types of events included in the logs

The events that are included in the log is configurable by the audit role. The types of events that can be logged include the following:

- log access attempts (logins)
- log HSM management (init/reset/etc)
- key management events (key create/delete)
- asymmetric key usage (sig/ver)
- first asymmetric key usage only (sig/ver)
- symmetric key usage (enc/dec)
- first symmetric key usage only (enc/dec)
- log messages from CA\_LogExternal
- log events relating to log configuration

Each of these events can be logged if they fail, succeed, or both.

### Event log storage

When the HSM logs an event, the log is stored on the HSM. The audit user cannot view these log entries. Before a log can be viewed, it must be rotated. Log rotation saves the log entries on the HSM to the HSM appliance, where they can be viewed. Log records are HMACed using an audit log secret to ensure their authenticity. The audit log secret is unique to the HSM where the log was created, and is required to view the HSM event logs. The secret can be exported, allowing you to view and verify the logs on another HSM.

## Event logging impacts HSM performance

Each audit log record generated requires HSM resources. Configuring event logging to record most, or all, events may have an impact on HSM performance. You may need to adjust your logging configuration to provide adequate logging without significantly affecting performance. By default, only critical events are logged, imposing virtually no load on the HSM.

## Audit Logging Features

The following list summarizes the functionality of the audit logging feature:

- Log entries originate from the SafeNet Luna HSM - the feature is implemented via HSM firmware (rather than in the library) for maximum security.
- Log origin is assured.
- Logs and individual records can be validated by any SafeNet Luna HSM that is a member of the same domain.
- Audit Logging can be performed on password-authenticated (FIPS 140-2 level 2) and PED-authenticated (FIPS 140-2 level 3) configurations, but these configurations may not validate each other's logs - see the "same domain" requirement, above.
- Each entry includes the following:
  - When the event occurred
  - Who initiated the event (the authenticated entity)
  - What the event was
  - The result of the logging event (success, error, etc.)
- Multiple categories of audit logging are supported, configured by the audit role.
- Audit management is a separate role - the role creation does not require the presence or co-operation of the SafeNet Luna HSM SO.
- The category of audit logging is configurable by (and only by) the audit role.
- Audit log integrity is ensured against the following:
  - Truncation - erasing part of a log record
  - Modification - modifying a log record
  - Deletion - erasing of the entire log record
  - Addition - writing of a fake log record
- Log origin is assured.
- The following critical events are logged unconditionally, regardless of the state of the audit role (initialized or not):
  - Tamper
  - Decommission
  - Zeroization
  - SO creation
  - Audit role creation



## The Audit Role

The audit logging function is controlled by two roles on SafeNet Luna Network HSM, that must be used together:

- The "audit" appliance account (use SSH or PuTTY to log in as "audit", instead of "admin", or "operator", or "monitor", etc.)
- The "audit" HSM account (accessible only if you have logged into the appliance as "audit"; this account must be initialized)

On SafeNet Luna Network HSM, the audit logging is managed by an audit user (an appliance system role), in combination with the HSM audit role, through a set of LunaSH commands. The audit user can perform only the audit-logging related tasks and self-related tasks. Other HSM appliance users, such as admin, operator, and monitor, have no access to the audit logging commands.

A default appliance (LunaSH) audit user is automatically created, but must be enabled. Upon first login, the audit user is asked to change their password. That appliance audit user would need to initialize the HSM audit role first, before being able to administer the audit logging. The SafeNet Luna Network HSM admin user can create more audit users when necessary.

To simplify configuration,

- The maximum log file size is capped at 4 MB.
- The log path is kept internal.
- The rotation offset is set at 0.

### Audit User on the Appliance

The appliance audit user is a standard user account on SafeNet Luna Network HSM, with default password "PASSWORD" (without the quotation marks). By default, the appliance audit user is disabled. Therefore, you must enable it in LunaSH before it becomes available. See ["user enable" on page 1](#) for the command syntax.

### Audit Role on the HSM

A SafeNet Luna HSM Audit role allows complete separation of Audit responsibilities from the Security Officer (SO or HSM Admin), the Partition User (or Owner), and other HSM roles. If the Audit role is initialized, the HSM and Partition administrators are prevented from working with the log files, and auditors are unable to perform administrative tasks on the HSM. As a general rule, the Audit role should be created before the HSM Security Officer role, to ensure that all important HSM operations (including those that occur during initialization), are captured.

Use the LunaSH command **audit init** to initialize the audit role, as described in ["audit init" on page 1](#).

### Password-authenticated HSMs

For SafeNet Luna HSMs with Password Authentication, the auditor role logs into the HSM to perform their activities using a password. After initializing the Audit role on a password-authenticated HSM, log in as the Auditor and set the domain (see ["role setdomain" on page 1](#) for the command syntax). This step is required before setting logging parameters or the log filepath, or importing/exporting audit logs.

### PED-authenticated HSMs

For SafeNet Luna HSMs with PED Authentication, the auditor role logs into the HSM to perform their activities using the Audit (white) PED key.

### Role Initialization

Creating the Audit role (and imprinting the white PED key for PED-authenticated HSMs) does not require the presence or cooperation of the HSM SO.

## Appliance Audit User Available Commands

The Audit role has a limited set of operations available to it, on the HSM, as reflected in the reduced command set available to the "audit" user when logged in to the shell (LunaSH).

```
login as: audit
audit@192.20.11.78's password:
Last login: Fri Mar 31 09:37:53 2017 from 10.124.0.31
```

```
Luna SA 7.0.0 Command Line Shell - Copyright (c) 2001-2017 SafeNet, Inc. All rights reserved.
```

```
lunash:>help
```

The following top-level commands are available:

Name	(short)	Description
help	he	Get Help
exit	e	Exit Luna Shell
hsm	hs	> Hsm
audit	a	> Audit
my	m	> My
network	n	> Network

## Audit Log Secret

The HSM creates a log secret unique to the HSM, computed during the first initialization after manufacture. The log secret resides in flash memory (permanent, non-volatile memory), and is used to create log records that are sent to a log file. Later, the log secret is used to prove that a log record originated from a legitimate HSM and has not been tampered with.

### Log Secret and Log Verification

The 256-bit log secret which is used to compute the HMACs is stored in the parameter area on the HSM. It is set the first time an event is logged. It can be exported from one HSM to another so that a particular sequence of log messages can be verified by the other HSM. Conversely, it can be imported from other HSMs for verification purpose.

To accomplish cross-HSM verification, the HSM generates a key-cloning vector (KCV, a.k.a. the Domain key) for the audit role when it is initialized. The KCV can then be used to encrypt the log secret for export to the HOST.

To verify a log that was generated on another HSM, assuming it is in the same domain, we simply import the wrapped secret, which the HSM subsequently decrypts; any records that are submitted to the host for verification will use this secret thereafter.

When the HSM exports the secret, it calculates a 32-bit checksum which is appended to the secret before it is encrypted with the KCV.

When the HSM imports the wrapped secret, it is decrypted, and the 32-bit checksum is calculated over the decrypted secret. If this doesn't match the decrypted checksum, then the secret that the HSM is trying to import comes from a system on a different domain, and an error is returned.

To verify a log generated on another HSM, in the same domain, the host passes to the target HSM the wrapped secret, which the target HSM subsequently decrypts; any records submitted to the target HSM for verification use this secret thereafter.

Importing a log secret from another HSM does not overwrite the target log secret because the operation writes the foreign log secret only to a separate parameter area for the wrapped log secret.



**CAUTION:** Once an HSM has imported a wrapped log secret from another HSM, it must export and then re-import its own log secret in order to verify its own logs again.

## Audit Log Records

A log record consists of two fields – the log message and the HMAC for the previous record. When the HSM creates a log record, it uses the log secret to compute the SHA256-HMAC of all data contained in that log message, plus the HMAC of the previous log entry. The HMAC is stored in HSM flash memory. The log message is then transmitted, along with the HMAC of the previous record, to the host. The host has a logging daemon to receive and store the log data on the host hard drive.

For the first log message ever returned from the HSM to the host there is no previous record and, therefore, no HMAC in flash. In this case, the previous HMAC is set to zero and the first HMAC is computed over the first log message concatenated with 32 zero-bytes. The first record in the log file then consists of the first log message plus 32 zero-bytes. The second record consists of the second message plus HMAC1 = HMAC (message1 || 0x0000). This results in the organization shown below.

MSG 1	HMAC 0
	...
MSG n-1	HMAC n-2
MSG n	HMAC n-1
...	
MSG n+m	HMAC n+m-1
MSG n+m+1	HMAC n+m
...	
MSG end	HMAC n+m-1
Recent HMAC in NVRAM	HMAC end

To verify a sequence of  $m$  log records which is a subset of the complete log, starting at index  $n$ , the host must submit the data illustrated above. The HSM calculates the HMAC for each record the same way as it did when the record was originally generated, and compares this HMAC to the value it received. If all of the calculated HMACs match the received HMACs, then the entire sequence verifies. If an HMAC doesn't match, then the associated record and all following records can be considered suspect. Because the HMAC of each message depends on the HMAC of the previous one, inserting or altering messages would cause the calculated HMAC to be invalid.

The HSM always stores the HMAC of the most-recently generated log message in flash memory. When checking truncation, the host would send the newest record in its log to the HSM; and, the HSM would compute the HMAC and compare it to the one in flash. If it does not match, then truncation has occurred.



- The “what” is “LUNA\_CREATE\_CONTAINER”.
- The operation status is “LUNA\_RET\_SM\_UNKNOWN\_TOSM\_STATE(0x00300014)”.



**Note:** Log Rotation Categories, Rotation Intervals, and other Configurable Factors are covered here in the *Administration Guide*. Command syntax is in the *Command Reference Guide*.

---

## Timestamping

The HSM has an internal real-time clock (RTC). The RTC does not have a relevant time value until it is synchronized with the HOST system time. Because the HSM and the host time could drift apart over time, periodic re-synchronization is necessary. Only an authenticated Auditor is allowed to synchronize the time.

### Time Reported in Log

When you perform **audit show**, you might see a variance of a few seconds between the reported HSM time and the Host time. Any difference up to five seconds should be considered normal, as the HSM reads new values from its internal clock on a five-second interval. So, typically, Host time would show as slightly ahead.

## Log Capacity

The log capacity of SafeNet Luna HSMs varies depending upon the physical memory available on the device.

The HSM has approximately 16 MB available for Audit logging (or more than 200,000 records, depending on the size/content of each record).

The normal function of Audit logging is to export log entries constantly to the file system. Short-term, within-the-HSM log storage capacity becomes important only in the rare situations where the HSM remains functioning but the file system is unreachable from the HSM.

### Log full condition

In the case of a log full condition on the host, most commands will return CKR\_LOG\_FULL. There are a few exceptions to this, as follows:

- factory reset
- zeroize
- login as audit user
- logout
- open session
- close session
- get audit config
- set audit config

Since the “log full” condition can make the HSM unusable, these commands are required to be able to login as the audit user and disable logging, even if logging for those commands is enabled; and the log is full. All other commands will not execute if their results are supposed to be logged, but can't be, due to a log full condition.

## Configuration Persists Unless Factory Reset is Performed

Audit logging configuration is not removed or reset upon HSM re-initialization or a tamper event. Factory reset or HSM decommission will remove the Audit user and configuration. Logs must be cleared by specific command. Therefore, if your security regime requires decommission at end-of-life, or prior to shipping an HSM, then explicit clearing of HSM logs should be part of that procedure.

This is by design, as part of separation of roles in the HSM. When the Audit role exists, the SO cannot modify the logging configuration, and therefore cannot hide any activity from auditors.

## Audit Logging Stops Working if the Current Log File is Deleted

As a general rule, you should not delete a file while it is open and in use by an application. In Linux, deletion of a file is deletion of an inode, but the actual file itself, while now invisible, remains on the file system until the space is cleaned up or overwritten. If a file is in use by an application - such as audit logging, in this case - the application can continue using and updating that file, unaware that it is now in deleted status.

If you delete the current audit log file, the audit logging feature does not detect that and does not create a new file, so you might lose log entries.

The workaround is to restart the **pedclient** daemon, which creates a new log file.

### Example

1. You've configured audit logging, and the entire audit path is deleted. In Linux, the file isn't actually deleted until the last reference to the file has been destroyed. Since the pedclient has the file open, logging will continue, because technically the log file still exists. Applications, including the pedclient, will have no idea that anything is wrong.
2. On stopping the pedclient, the log file is deleted. When the pedclient gets started again, the HSM tries to tell the pedclient to use the old path. This path doesn't exist anymore, so it will not be able to offload log messages. At this point, it starts storing log messages internally. With 16 MB of Flash dedicated to this purpose, that works out to 198,120 messages max. This can actually fill up very quickly, in as little as a few minutes under heavy load.
3. At this point the user must set the audit log path to a valid value. and the HSM will offload all stored log messages to the host. This will take a couple of minutes, during which time the HSM will be unresponsive.
4. Once all messages have been offloaded, normal operation resumes with messages being sent to the host (i.e. not being stored locally).

## Configuring and Using Audit Logging

This section describes the procedures required to enable audit logging, configure it to specify what is logged and how often the logs are rotated, and how to copy, verify and read the audit logs. It contains the following information:

- ["Configuring Audit Logging" on the next page](#)
- ["Copying Log Files Off the Appliance" on page 25](#)
- ["Exporting the Audit Logging Secret and Importing to a Verifying HSM" on page 25](#)
- ["Deciphering the Audit Log Records" on page 26](#)
- ["Audit Role Authentication Considerations" on page 27](#)

## Configuring Audit Logging

Configure audit logging using the LunaSH audit commands. See "audit" on page 1 in the *LunaSH Command Reference Guide*.

### Prerequisites (HSM SO)

1. Configure the SafeNet Luna Network HSM appliance to use the network time protocol (NTP). See "Timestamping – NTP and Clock Drift" on page 1 in the *Appliance Administration Guide*.
2. Log in to LunaSH as an admin-level user, and enable the audit user. The audit user is necessary to access and work with logs through the LunaSH interface. It is restricted from administrative functions:

```
lunash:> user enable -username audit
```

### To configure audit logging (Auditor)

1. Using an SSH connection (or a local serial connection), login to LunaSH on the SafeNet Luna Network HSM appliance as **audit** (not as **admin**), using the password "PASSWORD".

The first time you login as **audit**, you are prompted to change the password to something more secure. To fulfill the purpose of the Audit role, keep the **audit** user's password separate from, and unknown to, the HSM Security Officer:

The audit user sees a reduced subset of commands suitable to the audit role, only, as follows:

Name	(short)	Description
init	i	Initialize the Audit role
changePwd	ch	Change Audit User Password or PED Key
login	logi	Login as the Audit user
logout	logo	Logout the Audit user
config	co	Set Audit Parameters
sync	sy	Synchronize HSM Time to Host Time
show	sh	Display the Audit logging info
log	l	> Manage Audit Log Files
secret	se	> Export/Import Audit Logging Secret
remotehost	r	> Configure Audit Logging Remote Hosts



**Note:** The audit user's commands are not available to the admin user. The audit user has no administrative control over the SafeNet Luna Network HSM appliance. This is a first layer in the separation of roles. This separation allows a user with no administrative control of the appliance and HSM to have oversight of the HSM logs, while also ensuring that an administrator cannot clear those logs.

2. Initialize the **audit** role on the HSM. This enables logging for all subsequent actions performed by the SO and partition user(s):

```
lunash:> audit init
```

- On password-authenticated HSMs, you are prompted for the password and cloning domain.
- On PED-authenticated HSMs, you are referred to Luna PED, which prompts you for the domain (red PED key) and Audit authentication (white PED key).

3. Now that the audit role exists on the HSM, you can configure the auditing function. However, before you can configure audit logging you must log into the HSM as the **audit** role:

```
lunash:> audit login
```

- On password-authenticated HSMs, you are prompted to enter the password for the audit role.
- On PED-authenticated HSMs, you are referred to Luna PED, which prompts for the white PED key for the audit role.



**Note:** You are now logged into the appliance as the **audit** user and into the HSM (within the appliance) as the **audit** role. Both are required. The **audit** commands, including HSM login as the **audit** role do not appear if you are logged in as any other named appliance-level user.

4. Synchronize the HSM's clock with the host time (which should also be synchronized with the NTP server) so that all subsequent log records will have a valid and accurate timestamp:

```
lunash:> audit sync
```

5. Configure audit logging to specify what you want to log. You can specify the level of audit appropriate for needs of the organization's policy and the nature of the application(s) using the HSM:

```
lunash:> audit config -parameter event -value <event_value>
```



**Note:** The first time you configure audit logging, we suggest using only the **?** option, to see all the available options in the configuration process. See also "[audit config](#)" on page 1 in the *LunaSH Command Reference Guide*.

Security audits can generate a very large amount of data, which consumes HSM processing resources, host storage resources, and makes the job of the Audit Officer quite difficult when it comes time to review the logs. For this reason, ensure that you configure audit logging such that you capture only relevant data, and no more.

For example, the **First Symmetric Key Usage Only** or **First Asymmetric Key Usage Only** category is intended to assist Audit Officers to capture the relevant data in a space-efficient manner for high processing volume applications. On the other hand, a top-level Certificate Authority would likely be required, by policy, to capture all operations performed on the HSM but, since it is typically not an application that would see high volumes, configuring the HSM to audit all events would not impose a significant space and/or performance premium in that situation.

As a further example, the command **audit config -parameter event -value all** will log everything the HSM does. This might be useful in some circumstances, but will quickly fill up log files.

6. Configure audit logging to specify how often you want to rotate the logs:

```
lunash:> audit config -parameter rotation -value <value>
```

For example, the command **audit config -parameter rotate -value hourly** would rotate the logs every hour, cutting down the size of individual log files, even in a situation of high-volume event recording, but would increase the number of files to be handled.

## Log Entries

Log entries are made within the HSM, and are written to the currently active log file on the appliance file system. When a log file reaches the rotation trigger, it is closed, and a new file gets the next log entry. The number of log files on the appliance grows according to the logging settings and the rotation schedule that you configured. At any time, you can copy files to a remote computer and then clear the originals from the HSM, if you wish to free the space.

For SafeNet Luna Network HSM, to simplify configuration within its closed and hardened environment, the following rules apply:

- The maximum log file size is capped at 4 MB.



- The log path is internal to the SafeNet Luna Network HSM appliance.
- The rotation offset is set at 0.

## Copying Log Files Off the Appliance

You can copy the log files off of the appliance for viewing and verification.

### To copy files off the appliance

1. Create an archive of the logs that are ready to archive:

```
lunash:> audit log list
```

```
lunash:> audit log tarlogs
```

2. View a list of the log files currently saved on the appliance:

```
lunash:>my file list
```

For this example, assume that the list includes a file named **audit.tgz**.

3. On the computer where you wish to capture and store the log files, use **scp** (Linux) or **pscp** (Windows) to transfer the file from the appliance:

```
/usr/safenet/lunaclient/logs :> scp audit@myLunaHSM1:audit.tgz mylunsa1_audit_2014-02-28.tgz
```

Provide the audit user's credentials when prompted. This copies the identified file from the remote SafeNet Luna Network HSM's file system (in the **audit** account) and stores the copy on your local computer file system with a useful name.

4. You can view and parse the plain-text portion of the file.
5. You can verify the authenticity of the retrieved file using a connected HSM to which you have imported the Audit logging secret from the originating SafeNet Luna Network HSM.

## Exporting the Audit Logging Secret and Importing to a Verifying HSM

You can export the audit log secret from one HSM and import it to another to allow the first HSM's logs to be viewed and verified on the second. The HSMs must share the same authentication method and Audit cloning domain (password string or red PED key). You can verify logs from a SafeNet Luna PCIe HSM using a SafeNet Luna Network HSM, and vice-versa.

### To export the Audit Logging secret from the HSM and import to the verifying HSM:

1. On the SafeNet Luna Network HSM where HSM audit log files are being created, export the audit logging secret:

```
lunash:> audit secret export
```

The filename is displayed when the secret is exported. You can check the filename with **my file list**.

2. On a computer connected to both HSMs, use **scp** or **pscp** to transfer the logging secret from the appliance.
  - If you are planning to verify logs with a SafeNet Luna PCIe HSM, you can use the PCIe HSM's host computer.
  - If you are planning to verify logs with a second SafeNet Luna Network HSM, you must transfer the logging secret to a client computer, and then to the second appliance.

<b>Linux</b>	<pre>&lt;client_install_dir&gt;:&gt; scp audit@&lt;hostname_or_IP&gt;:&lt;log_secret_file&gt; .</pre> <p>Then, if transferring to a second SafeNet Luna Network HSM:</p>
--------------	--------------------------------------------------------------------------------------------------------------------------------------------------------------------------

	<code>&lt;client_install_dir&gt;:&gt; <b>scp</b> &lt;log_secret_file&gt; <b>audit@</b>&lt;hostname_or_IP&gt;:</code>
<b>Windows</b>	<code>&lt;client_install_dir&gt;:&gt; <b>pscp</b> <b>audit@</b> &lt;hostname_or_IP&gt;:&lt;log_secret_file&gt; .</code> Then, if transferring to a second SafeNet Luna Network HSM: <code>&lt;client_install_dir&gt;:&gt; <b>pscp</b> &lt;log_secret_file&gt; <b>audit@</b>&lt;hostname_or_IP&gt;:</code>

This copies the identified file from the remote SafeNet Luna Network HSM's file system (in the "audit" account) and stores the copy on your local computer file system in the directory from which you issued the command. Provide the audit user's credentials when prompted.

3. Login to the verifying HSM as the audit user. For this example, we will assume that you have already initialized the HSM audit user role, using the same domain/secret as is associated with the source HSM.
  - If you are using a SafeNet Luna Network HSM, connect via SSH and login to LunaSH as the audit user:  
lunash:>**audit login**
  - If you are using a SafeNet Luna PCIe HSM, open LunaCM and login using the Auditor role:  
lunacm:>**role login -name au**
4. Import the audit logging secret to the HSM.
  - SafeNet Luna Network HSM (LunaSH):  
lunash:>**audit secret import -serialtarget** <target\_HSM\_SN> **-serialsource** <source\_HSM\_SN> **-file** <log\_secret\_file>
  - SafeNet Luna PCIe HSM (LunaCM):  
lunacm:> **audit import file** <log\_secret\_file>
5. You can now verify audit log files from the source HSM.
  - SafeNet Luna Network HSM (LunaSH):  
lunash:>**audit log verify -file** <audit\_log\_filename>.**log**
  - SafeNet Luna PCIe HSM (LunaCM):  
lunacm:> **audit verify file** <audit\_log\_filename>.**log**

You might need to provide the full path to the file, depending upon your current environment settings.

## Deciphering the Audit Log Records

In general, the audit logs are self-explanatory. Due to limitations in the firmware, however, some audit log records required further explanation, as detailed in the following sections:

### Determining the serial number of a created partition from the audit log

An audit log entry similar to the following is generated when a partition is created on the HSM:

```
5,12/12/17 16:14:14,S/N 150718 session 1 Access 2147483651:2669 SO container operation LUNA_
CREATE_CONTAINER
returned RC_OK(0x00000000) container=20 (using PIN (entry=LUNA_ENTRY_DATA_AREA))
```

It is not obvious from this entry what the serial number is for the created partition. This information, however, can be derived from the log entry, since the partition serial number is simply a concatenation of the HSM serial number and the partition container number, which are specified in the log entry, as highlighted below:

```
5,12/12/17 16:14:14,S/N 150718 session 1 Access 2147483651:2669 SO container operation LUNA_
CREATE_CONTAINER
returned RC_OK(0x00000000) container=20 (using PIN (entry=LUNA_ENTRY_DATA_AREA))
```

In the example above, the HSM serial number is 150718 and the partition container number is 20. Note that the partition container number is a three-digit number with leading zeros suppressed, so that the actual partition container number is 020. To determine the partition serial number concatenate the two numbers as follows:

```
150718020
```

Use this number to identify the partition in subsequent audit log entries.

## Audit Role Authentication Considerations

- The audit role PED key or password is a critical property to manage the audit logs. If that authentication secret is lost, the HSM must be factory reset (that is, zeroize the HSM) in order to initialize the audit role again.
- Multiple bad logins produce different results for the SO and for the audit role, as follows:
  - After 3 bad SO logins, the LUNA\_RET\_SO\_LOGIN\_FAILURE\_THRESHOLD error is returned and the HSM is zeroized.
  - After 3 bad audit logins, the LUNA\_RET\_AUDIT\_LOGIN\_FAILURE\_THRESHOLD error is returned, but the HSM is unaffected. If a subsequent login attempt is executed within 30 seconds, the LUNA\_RET\_AUDIT\_LOGIN\_TIMEOUT\_IN\_PROGRESS error is returned. If you wait for more than 30 seconds and try login again with the correct password, the login is successful.

## Audit Logging General Advice and Recommendations

The Security Audit Logging feature can produce a significant volume of data. It is expected, however, that Audit Officers will configure it properly for their specific operating environments. The data produced when the feature has been properly configured might be used for a number of reasons, such as:

- Reconstructing a particular action or set of actions (forensics)
- Tracing the actions of an application or individual user (accounting)
- Holding a specific individual accountable for their actions (non-repudiation)

That last bullet point represents the ultimate conclusion of any audit trail – to establish an irrefutable record of the chain of events leading up to a particular incident for the purpose of identifying and holding accountable the individual responsible. Not every organization will want to use security audit to meet the strict requirements of establishing such a chain of events. However, all security audit users will want to have an accurate representation of a particular sequence of events. To ensure that the audit log does contain an accurate representation of events and that it can be readily interpreted when it is reviewed, these basic guidelines should be followed after the audit logging feature has been properly configured:

- Use a shell script to execute the **audit sync** command at least once every 24 hours, provided the host has maintained its connection(s) to its configured NTP server(s).
- Do not allow synchronization with the host's clock if the host has lost connectivity to NTP. This ensures that the HSM's internal clock is not set to a less accurate time than it has maintained internally. In general, the HSM's RTC will drift much less than the host's RTC and will, therefore, be significantly more accurate than the host in the absence of NTP.
- Review logs at least daily and adjust configuration settings if necessary. It is important that any anomalies be identified as soon as possible and that the logging configuration that has been set is effective. If possible, use the

remote logging feature to transmit log data to a Security Information and Event Management (SIEM) system to automatically analyze log data and identify anomalous events.

- Execute the **audit log tarlogs** LunaSH command regularly to archive the audit logs and transfer them to a separate machine for long term storage. Also, execute the **audit log clear** LunaSH command regularly to free up the audit log disk space on SafeNet Luna Network HSM.
- Consider installing and configuring a SafeNet Luna PCIe HSM in (or connected to) the remote log server to act as a “verification engine” for the remote log server. Ensure that the log secret for the operational HSM(s) has been shared with the log server verification HSM.



**Note:** This is not always possible, unless you are physically copying the logs over from the .tgz archive. Because log records do not necessarily appear on the remote log server immediately, the HMAC might be incorrect. Also, if more than one SafeNet Luna HSM is posting log records to a remote server, this could interfere with record counts.

- The audit log records are comma-delimited. We recommend that full use be made of the CSV formatting to import records into a database system or spreadsheet tool for analysis, if an SIEM system is not available.
- The ASCII hex data representing the command and returned values and error code should be examined if an anomaly is detected in log review/analysis. It may be possible to match this data to the HSM's dual-port data. The dual-port, if it is available, will contain additional data that could be helpful in establishing the context surrounding the anomalous event. For example, if an unexpected error occurs it could be possible to identify the trace through the firmware subsystems associated with the error condition. This information would be needed to help in determining if the error was unexpected but legitimate or if it was forced in an attempt to exploit a potential weakness.

An important element of the security audit logging feature is the ‘Log External’ function. See the *SDK Reference Guide* for more information. For applications that cannot add this function call, it is possible to use the LunaCM command-line function **audit log external** within a startup script to insert a text record at the time the application is started.

## Disk Full

In the event that all the audit disk space is used up, audit logs are written to the HSM's small persistent memory. When the HSM's persistent memory is full, normal crypto commands will fail with "disk full" error.

To resolve that situation, the audit user must:

- Archive the audit logs on the host side.
- Move the audit logs to some other location for safe storage.
- Clear the audit log directory.
- Restart the logger daemon.

To prevent the "disk full" situation, we recommend that the audit user should routinely archive the audit logs and clear the audit log directory.

## Audit Log Categories and HSM Events

This section provides a summary of the audit log categories and their associated HSM events.

## HSM Access

HSM Event	Description
LUNA_LOGIN	C_Login. This event must be allowed to proceed even if the result should be logged but cannot (for example, due to a log full condition).
LUNA_LOGOUT	C_Logout. This event must be allowed to proceed even if the result should be logged but cannot (for example, due to a log full condition).
LUNA_MODIFY_OBJECT	C_SetAttributeValue
LUNA_OPEN_SESSION	C_OpenSession. This event must be allowed to proceed even if the result should be logged but cannot (for example, due to a log full condition).
LUNA_CLOSE_ALL_SESSIONS	C_CloseAllSessions
LUNA_CLOSE_SESSION	C_CloseSession This event must be allowed to proceed even if the result should be logged but cannot (for example, due to a log full condition).
LUNA_OPEN_ACCESS	CA_OpenApplicationID
LUNA_CLEAN_ACCESS	CA_Restart, CA_RestartForContainer
LUNA_CLOSE_ACCESS	CA_CloseApplicationID
LUNA_LOAD_CUSTOM_MODULE	CA_LoadModule
LUNA_LOAD_ENCRYPTED_CUSTOM_MODULE	CA_LoadEncryptedModule
LUNA_UNLOAD_CUSTOM_MODULE	CA_UnloadModule
LUNA_EXECUTE_CUSTOM_COMMAND	CA_PerformModuleCall
LUNA_HA_LOGIN	CA_HAGetLoginChallenge, CA_HAAnswerLoginChallenge, CA_HALogin, CA_HAAnswerMofNChallenge, HAActivateMofN

## Log External

HSM Event	Description
LUNA_LOG_EXTERNAL	CA_LogExternal

## HSM Management

HSM Event	Description
LUNA_ZEROIZE	CA_FactoryReset This event is logged unconditionally.
LUNA_INIT_TOKEN	C_InitToken This event is logged unconditionally.
LUNA_SET_PIN	C_SetPIN
LUNA_INIT_PIN	C_InitPIN
LUNA_CREATE_CONTAINER	CA_CreateContainer
LUNA_DELETE_CONTAINER	CA_DeleteContainer, CA_DeleteContainerWithHandle
LUNA_SEED_RANDOM	C_SeedRandom
LUNA_EXTRACT_CONTEXTS	C_GetOperationState
LUNA_INSERT_CONTEXTS	C_SetOperationState
LUNA_SELF_TEST	C_PerformSelfTest
LUNA_LOAD_CERT	CA_SetTokenCertificateSignature
LUNA_HA_INIT	CA_HAInit
LUNA_SET_HSM_POLICY	CA_SetHSMPolicy
LUNA_SET_DESTRUCTIVE_HSM_POLICY	CA_SetDestructiveHSMPolicy
LUNA_SET_CONTAINER_POLICY	CA_SetContainerPolicy
LUNA_SET_CAPABILITY	Internal, for capability update
LUNA_CREATE_LOGIN_CHALLENGE	CA_CreateLoginChallenge
LUNA_REQUEST_CHALLENGE	CA_SIMInsert, CA_SIMMultiSign
LUNA_PED_INIT_RPV	CA_InitializeRemotePEDVector
LUNA_PED_DELETE_RPV	CA_DeleteRemotePEDVector
LUNA_MTK_LOCK	Internal, for manufacturing

HSM Event	Description
LUNA_MTK_UNLOCK_CHALLENGE	Internal, for manufacturing
LUNA_MTK_UNLOCK_RESPONSE	Internal, for manufacturing
LUNA_MTK_RESTORE	CA_MTKRestore
LUNA_MTK_RESPLIT	CA_MTKResplit
LUNA_MTK_ZEROIZE	CA_MTKZeroize
LUNA_FW_UPGRADE_INIT	CA_FirmwareUpdate
LUNA_FW_UPGRADE_UPDATE	CA_FirmwareUpdate
LUNA_FW_UPGRADE_FINAL	CA_FirmwareUpdate
LUNA_FW_ROLLBACK	CA_FirmwareRollback
LUNA_MTK_SET_STORAGE	CA_MTKSetStorage
LUNA_SET_CONTAINER_SIZE	CA_SetContainerSize

## Key Management

HSM Event	Description
LUNA_CREATE_OBJECT	C_CreateObject
LUNA_COPY_OBJECT	C_CopyObject
LUNA_DESTROY_OBJECT	C_DestroyObject
LUNA_DESTROY_MULTIPLE_OBJECTS	CA_DestroyMultipleObjects
LUNA_GENERATE_KEY	C_GenerateKey
LUNA_GENERATE_KEY_PAIR	C_GenerateKeyPair
LUNA_WRAP_KEY	C_WrapKey
LUNA_UNWRAP_KEY	C_UnwrapKey
LUNA_DERIVE_KEY	C_DeriveKey
LUNA_GET_RANDOM	C_GenerateRandom
LUNA_CLONE_AS_SOURCE, LUNA_REPLICATE_AS_SOURCE	CA_CloneAsSource
LUNA_CLONE_AS_TARGET_INIT, LUNA_REPLICATE_AS_TARGET_INIT	CA_CloneAsTargetInit
LUNA_CLONE_AS_TARGET, LUNA_REPLICATE_AS_TARGET	CA_CloneAsTarget

HSM Event	Description
TARGET	
LUNA_GEN_TKN_KEYS	CA_GenerateTokenKeys
LUNA_GEN_KCV	CA_ManualKCV, C_InitPIN, C_InitToken, CA_InitAudit
LUNA_SET_LKCV	CA_SetLKCV
LUNA_M_OF_N_GENERATE	CA_GenerateMofN_Common, CA_GenerateMofN
LUNA_M_OF_N_ACTIVATE	CA_ActivateMofN
LUNA_M_OF_N_MODIFY	CA_ActivateMofN
LUNA_EXTRACT	CA_Extract
LUNA_INSERT	CA_Insert
LUNA_LKM_COMMAND	CA_LKMInitiatorChallenge, CA_LKMReceiverResponse, CA_LKMInitiatorComplete, CA_LKMReceiverComplete.
LUNA_MODIFY_USAGE_COUNT	CA_ModifyUsageCount

## Key Usage and Key First Usage

HSM Event	Description
LUNA_ENCRYPT_INIT	C_EncryptInit
LUNA_ENCRYPT	C_Encrypt
LUNA_ENCRYPT_END	C_EncryptFinal
LUNA_DECRYPT_INIT	C_DecryptInit
LUNA_DECRYPT	C_Decrypt
LUNA_DECRYPT_END	C_DecryptFinal
LUNA_DIGEST_INIT	C_DigestInit
LUNA_DIGEST	C_Digest
LUNA_DIGEST_KEY	C_DigestKey
LUNA_DIGEST_END	C_DigestFinal
LUNA_SIGN_INIT	C_SignInit



HSM Event	Description
LUNA_SIGN	C_Sign
LUNA_SIGN_END	C_SignFinal
LUNA_VERIFY_INIT	C_VerifyInit
LUNA_VERIFY	C_Verify
LUNA_VERIFY_END	C_VerifyFinal
LUNA_SIGN_SINGLEPART	C_Sign
LUNA_VERIFY_SINGLEPART	C_Verify
LUNA_WRAP_CSP	CA_CloneMofN_Common
LUNA_M_OF_N_DUPLICATE	CA_DuplicateMofN
LUNA_ENCRYPT_SINGLEPART	C_Encrypt
LUNA_DECRYPT_SINGLEPART	C_Decrypt

## Audit Log Management

HSM Event	Description
LUNA_LOG_SET_TIME	CA_TimeSync
LUNA_LOG_GET_TIME	CA_GetTime
LUNA_LOG_SET_CONFIG	CA_LogSetConfig This event must be allowed to proceed even if the result should be logged but cannot (for example, due to a log full condition).
LUNA_LOG_GET_CONFIG	CA_LogGetConfig This event must be allowed to proceed even if the result should be logged but cannot (for example, due to a log full condition).
LUNA_LOG_VERIFY	CA_LogVerify
LUNA_CREATE_AUDIT_CONTAINER **	CA_InitAudit The event is logged unconditionally.
LUNA_LOG_IMPORT_SECRET	CA_LogImportSecret
LUNA_LOG_EXPORT_SECRET	CA_LogExportSecret

## Remote Audit Logging

With SafeNet Luna Network HSM, the audit logs can be sent to one or more remote logging servers. Either UDP or TCP protocol can be specified. The default is UDP and port 514.



**Note:** You or your network administrator will need to adjust your firewall to pass this traffic (iptables).

### UDP Considerations

If you are using the UDP protocol for logging, the following statements are required in the `/etc/rsyslog.conf` file:

```
$ModLoad imudp
$InputUDPServerRun (PORT)
```

Possible approaches include the following:

- With templates:

```
$template AuditFile, "/var/log/luna/audit_remote.log"
if $syslogfacility-text == 'local3' then ?AuditFile;AuditFormat
```

- Without templates:

```
local3.* /var/log/audit.log;AuditFormat
```

- Dynamic filename:

```
$template DynFile, "/var/log/luna/%HOSTNAME%.log"
if $syslogfacility-text == 'local3' then ?DynFile;AuditFormat
```



**Note:** The important thing to remember is that the incoming logs go to **local3**, and the port/protocol that is set on the SafeNet appliance must be the same that is set on the server running rsyslog.

### Example using TCP

The following example illustrates how to setup a remote Linux system to receive the audit logs using TCP:

1. Register the remote Linux system IP address or hostname with the SafeNet Luna Network HSM:

```
lunash:> audit remotehost add -host 192.20.9.160 -protocol tcp -port 1660
```

2. Modify the remote Linux system `/etc/rsyslog.conf` file to receive the audit logs:

```
$ModLoad imtcp
$InputTCPServerRun 514
$template AuditFormat, "%msg:F,94:2%\n"
#save log messages from SafeNet Luna Network HSM
local3.* /var/log/luna/audit.log;AuditFormat
```

3. Modify the remote Linux system `/etc/sysconfig/rsyslog` file to receive the remote logs:

```
# Enables logging from remote machines. The listener will listen to the specified port.
SYSLOGD_OPTIONS="-r -m 0"
```

4. Restart the rsyslog daemon on the remote Linux system:

```
# service rsyslog restart
```

5. Monitor the audit logs on the remote Linux system:

```
# tail -f /var/log/luna/audit.log
```

# Backup and Restore HSMs and Partitions

SafeNet Luna HSMs secure the creation, storage, and use of cryptographic data (keys and other objects). However, no device can protect completely against unforeseen damage from various sources, including disaster-scale events. Therefore, the SafeNet Luna HSM product line provides several ways to protect secure copies of your important objects and keys at safe locations and to later restore your important data to your production, or primary HSM, in case of need.

This chapter describes how to backup and restore the contents of your HSMs and HSM partitions. It contains the following sections:

- ["Backup and Restore Overview and Best Practices" below](#)
- ["About the SafeNet Luna Backup HSM" on page 41](#)
- ["Backup HSM Installation, Storage, and Maintenance" on page 49](#)
- ["Backup and Restore From the Client to a Local Backup HSM \(LunaCM\)" on page 54](#)
- ["Backup and Restore From the Client to a Remote Backup HSM \(LunaCM, RBS\)" on page 59](#)
- ["Backup and Restore From the Appliance to a Local Backup HSM \(LunaSH\)" on page 72](#)
- ["Troubleshooting" on page 77](#)

## Backup and Restore Overview and Best Practices

---

This section provides an overview of the various ways you can backup and restore your HSM partitions, and provides some guidance for best practices to ensure that your sensitive key material is protected in the event of a failure or other catastrophic event. It contains the following topics:

- ["Backup and Restore Best Practices" on the next page](#)
- ["Backup and Restore Options" on the next page](#)
- ["How Partition Backup Works" on the next page](#)
- ["Performing a Backup" on page 38](#)
- ["Objects are Smaller When Stored on Backup HSM" on page 39](#)
- ["Comparison of Backup Performance by Medium" on page 39](#)
- ["Compatibility with Other Devices" on page 40](#)
- ["Why is Backup Optional?" on page 40](#)
- ["How Long Does Data Last?" on page 40](#)
- ["Additional Operational Questions" on page 41](#)

## Backup and Restore Best Practices

To ensure that your data is protected in the event of a failure or other catastrophic event, Gemalto recommends that you use the following best practices as part of a comprehensive backup strategy:

- Develop and document a backup and recovery plan. This plan should include the following:
  - What is being backed up
  - The backup frequency
  - Where the backups are stored
  - Who is able to perform backup and restore operations
  - Frequency of exercising the recovery test plan
- Make multiple backups. To ensure that your backups are always available, build redundancy into your backup procedures.
- Use off-site storage. In the event of a local catastrophe, such as a flood or fire, you might lose both your working HSMs and locally stored backup HSMs. To fully protect against such events, always store a copy of your backups at a remote location. You can automate off-site backups using the remote backup feature, See "[Backup and Restore From the Client to a Remote Backup HSM \(LunaCM, RBS\)](#)" on page 59 for more information.
- Regularly exercise your disaster recovery plan. Execute your recovery plan at least semi-annually (every six months) to ensure that you can fully recover your key material. This involves retrieving your stored Backup HSMs and restoring their contents to a test partition, to ensure that the data is intact and that your recovery plan works as documented.




---

**WARNING! Failure to develop and exercise a comprehensive backup and recovery plan may prevent you from being able to recover from a catastrophic event. Although Gemalto provides a robust set of backup hardware and utilities, we cannot guarantee the integrity of your backed-up key material, especially if stored for long periods. Gemalto strongly recommends that you exercise your recovery plan at least semi-annually (every six months) to ensure that you can fully recover your key material.**

---

## Backup and Restore Options

The available options for backing up your SafeNet Luna Network HSM partitions include:

- Local or remote backup to a SafeNet Luna Backup HSM (see "[Local Partition Backup and Restore Using the Backup HSM](#)" on page 1 and "[Backup and Restore From the Client to a Remote Backup HSM \(LunaCM, RBS\)](#)" on page 59)
- Key synchronization among two or more SafeNet Luna HSMs in an HA configuration (see "[High-Availability \(HA\) Configuration and Operation](#)" on page 105)
- Any combination of the above methods, to suit your needs

The backup operation looks a lot like the restore operation, because they are basically the same event, merely in different directions.

## How Partition Backup Works

HSM partition backup securely clones partition objects from a named HSM partition, to a SafeNet Luna Backup HSM (supports remote or local backups). This allows you to safely and securely preserve important keys, certificates, etc.,

away from the primary SafeNet Luna HSM. It also allows you to restore the backup device's contents onto more than one HSM partition, if you wish to have multiple partitions with identical contents.

To back up a partition, you must own it and be able to see it. You can use LunaSH to back up any partitions you own on a SafeNet Luna Network HSM appliance, or LunaCM to backup any SafeNet Luna Network HSM partitions that are visible as slots.

When you backup a partition, the contents of your HSM partition are copied to a matching partition on the SafeNet Luna Backup HSM. You can add to, or replace, objects in the backup archive, as follows:

- Partition backups initiated with the **add** or **append** option add new or changed objects to the partition archive, leaving existing objects intact.
- Partition backups initiated with the **replace** option replace all existing objects in the partition archive with current contents of the partition, destroying the existing objects.

The backup operation can go from a source partition on a SafeNet Luna HSM to an existing partition on the Backup HSM, or if one does not exist, a new partition can be created during the backup. The restore operation, however, cannot create a target partition on a SafeNet Luna HSM; it must already exist.

You can restore a partition backup to the original source HSM or to a different SafeNet Luna HSM. The HSM you restore to must already have a suitable partition created for the restored objects. The partition can have any name - it does not need to match the name of the archive partition on the backup device.

## Backup Devices

You can back up all of your partitions to a SafeNet Luna Backup HSM:

### SafeNet Luna Backup HSM (Backup HSM)



**Note:** The word "Remote" in the product name merely indicates that the SafeNet Luna Backup HSM provides remote backup capability. It also supports local backup and restore. The SafeNet Luna Backup HSM is commonly referred to as the Backup HSM.

The SafeNet Luna Backup HSM (Backup HSM) is a separately powered unit that you can connect as follows:

- To the USB port of a SafeNet Luna Network HSM appliance. This allows a SafeNet Luna Network HSM administrator to use LunaSH to back up any partitions on the appliance that they own (non-PSO partitions).
- To the USB port of a local SafeNet Luna HSM client workstation. This allows the workstation administrator to use LunaCM to back up any SafeNet Luna PCIe HSM devices installed in the workstation or any SafeNet Luna Network HSM partitions registered to the workstation.
- To the USB port of a remote SafeNet Luna HSM client workstation running the Remote Backup Service (RBS). You can then register the Remote Backup HSM with a local SafeNet Luna HSM client workstation so that it sees the Remote Backup HSM as a slot in LunaCM. This allows the administrator of the local SafeNet Luna HSM client workstation to use LunaCM to back up any local slots to the remote Backup HSM.

## Performing a Backup

To perform a backup, you identify the partition to be backed up (source), and the partition that will be created (or added to) on the Backup HSM. You can specify whether to **add/append** only unique objects (objects that have not previously been saved onto the target partition), or to **replace** (overwrite) the objects on the target partition.

## LunaSH

If you are using LunaSH to backup a partition on a SafeNet Luna Network HSM, use:

**partition backup -partition** <partition\_label> **-tokenpar** <backup\_label> **-serial** <backup\_HSM\_SN> [-add] [-replace]

More options are available. See "[partition backup](#)" on page 1 in the *LunaSH Command Reference Guide* for full command syntax.

## LunaCM

If you are using LunaCM on a Client workstation, first login to the partition as Crypto Officer. If the backup device is

- a slot in the current system, use:

**partition archive backup -slot** <backup\_slot> **-partition** <name\_for\_backup> [-append] [-replace]

- in a remote workstation, use:

**partition archive backup -slot remote-hostname** <hostname> **-port** <portnumber> **-partition** <name\_for\_backup> [-append] [-replace]

- a USB-attached HSM, use:

**partition archive backup -slot direct -partition** <backup\_partition> [-append] [-replace]

More options are available. See "[partition archive backup](#)" on page 1 in the *LunaCM Command Reference Guide* for full command syntax.

LunaCM assumes that the target partition already exists with the appropriate domain, while LunaSH expects you to provide the domain, or prompts you if it is not provided (for password-authenticated HSMs).

## Replacing or Appending

If a matching target partition exists and the source partition is being incrementally backed up, choosing the **add/append** option in the command - then the target partition is not erased. Only source objects with unique IDs are copied to the target (backup) partition, adding them to the objects already there.

If a matching target partition exists and the source partition is being fully backed up, choosing the **replace** option in the command. The existing partition is erased and a new one created.

## Objects are Smaller When Stored on Backup HSM

Objects stored on the Backup HSM may be smaller than the same objects stored on the SafeNet Luna Network HSM. For example, symmetric keys are 8 bytes smaller when stored on the Backup HSM. This size difference has no effect on backup and restore operations.

## Comparison of Backup Performance by Medium

For reference, this table shows examples of time required for a backup operation for one partition containing 25 RSA 2048-bit keypairs, or 50 objects in total. The source is a SafeNet Luna Network HSM appliance. The destination backup devices and paths are listed in the table.

Backup Destination	Time Required for Operation	Comment
SafeNet Luna Backup HSM (PW-auth), local	5 seconds	Password is supplied with the command
SafeNet Luna Backup HSM (PED-auth), local	5 seconds plus...	Add any time required for PED key operations

## Compatibility with Other Devices

Backup can co-exist with PKI Bundle operation. That is, multiple devices can be connected simultaneously to a SafeNet appliance (three USB connectors). Thus, you could connect a SafeNet Luna Backup HSM, a SafeNet DOCK 2 (with migration-source tokens in its reader slots), and a SafeNet Luna USB HSM to the three available USB connectors on the SafeNet Luna Network HSM.

## Why is Backup Optional?

In general, a SafeNet Luna HSM or HSM partition is capable of being backed up to a SafeNet Luna Backup HSM. The backup capability is considered a good and desirable and necessary thing for keys that carry a high cost to replace, such as Certificate Authority root keys and root certificates.

However, backup devices are an optional equipment for SafeNet Luna HSMs. There are at least two reasons for this:

1. Some customers don't care. They may be using (for example) SSL within a controlled boundary like a corporation, where it is not a problem to simply tell all employees to be prepared to trust a new certificate, in the event that the previous one is lost or compromised. In fact it might be company policy to periodically jettison old certificates and distribute fresh ones. Other customers might be using software that manages lost profiles, making it straightforward to resume work with a new key or cert. The certificate authority that issued the certificates would need backup, but the individual customers of that certificate authority would not. In summary, it might not be worthwhile to backup keys that are low-cost (from an implementation point of view) to replace. Keys that carry a high cost to replace should be backed up.
2. Some countries do not permit copying of private keys. If you are subject to such laws, and wish to store encrypted material for later retrieval (perhaps archives of highly sensitive files), then you would use symmetric keys, rather than a private/public keypair, for safe and legal backup.

## How Long Does Data Last?

SafeNet Luna HSMs have onboard volatile memory meant for temporary data (disappears when power is removed), and onboard flash memory, used to store permanent material, like PKI Root keys, and critical key material, and the firmware that makes the device work.

No electronic storage is forever. If your SafeNet Luna HSM is operated within an ambient temperature range of 0 degrees Celsius to +40 degrees Celsius, or stored between -20 degrees Celsius and +65 degrees Celsius, then (according to industry-standard testing and estimation methods) your data should be retrievable for twenty years from the time that the token was shipped from the factory. This is a conservative estimate, based on worst-case characteristics of the system components.



## Additional Operational Questions

### Is SafeNet Luna Backup HSM capable of backing up multiple SafeNet Luna HSMs or is it a one-to-one relationship?

For example, if we had two SafeNet Luna Network HSM appliances each with two partitions, or if we had four SafeNet Luna PCIe HSMs, could we backup all four partitions to a single Backup HSM? If yes, do they need to be under the same domain?

#### Answer

One SafeNet Luna Backup HSM can back up multiple SafeNet Luna HSMs. The domains on those SafeNet Luna HSMs do not need to match each other (although they can, if desired), since domains can be partition-specific. The only domains that must match are those on any given SafeNet Luna HSM partition and its backup partition on the SafeNet Luna Backup HSM. With that said, the limits on quantity of backup of partitions from multiple appliances or embedded HSMs is the remaining space available on the Backup HSM, and the remaining number of partitions (base configuration for SafeNet Luna Backup HSM is 20 partitions - you can purchase additional capability).

### Can a SafeNet Luna Backup HSM keep multiple backups of a single partition?

For example, could we perform a backup of an application partition one month and then back it up again next month without overwriting the previous month?

#### Answer

Yes, you can do this as long as each successive backup partition (target) is given a unique name.

## About the SafeNet Luna Backup HSM

This section describes what you can do with the SafeNet Luna Backup HSM (Backup HSM) and outlines the various ways, both local and remote, that you can connect the Backup HSM to perform backup and restore operations. It contains the following topics:

- ["Functionality of the SafeNet Luna Backup HSM" below](#)
- ["Backup and Restore Options and Configurations" on page 43](#)



**Note:** The word "Remote" in the product name merely indicates that the Backup HSM provides remote backup capability. You can use the SafeNet Luna Backup HSM to back up the contents of your HSM to a locally attached Backup HSM, or to a remotely located Backup HSM. The SafeNet Luna Backup HSM is referred to as the Backup HSM in this section.

## Functionality of the SafeNet Luna Backup HSM

You can use the SafeNet Luna Backup HSM to backup multiple partitions from one or more SafeNet Luna Network HSMs or SafeNet Luna PCIe HSMs. Partition domain and authentication attributes are maintained when you back up a partition, which impacts how you can use the Backup HSM.

## Storage Capacity and Supported Number of Partitions

Backup is performed on a per-partition basis. SafeNet Luna PCIe HSM supports one application partition. The SafeNet Luna Network HSM supports multiple application partitions. The size of a SafeNet Luna Network HSM partition is

configurable, but since all partitions share the HSM memory, the more partitions you create, the smaller they must be. The base configuration for SafeNet Luna Backup HSM is 20 partitions and 15.5 Mb of space, allowing you to backup a SafeNet Luna Network HSM with up to twenty partitions, or any combination of partitions on individual SafeNet Luna HSMs, up to the maximum memory available on the Backup HSM. SafeNet Luna Network HSMs can be updated to support up to 100 partitions. You have the option of purchasing and adding capability upgrades for 50 or 100 partitions to SafeNet Luna Network HSM, as well as to the SafeNet Luna Backup HSM.



**Note:** The size of the partition header is different for a SafeNet Luna Network HSM partition and its equivalent backup partition stored on a SafeNet Luna Backup HSM. As a result, the value displayed in the Used column in the output of the **partition list** command (for the backed up SafeNet Luna Network HSM partition) is different than the value displayed in the Used column in the output of the **token backup partition list** command (for the backup partition on the Backup HSM).

### Upgrading the Number of Supported Partitions

The 50 Partitions Capability Upgrade and the 100 Partitions Capability Upgrade are provided in the form of CUFs (capability update files) that can be applied to a SafeNet Luna Backup HSM connected to your workstation, in the same fashion as upgrades are applied to an installed SafeNet Luna PCIe HSM or to a USB-connected SafeNet Luna USB HSM.

The 50 Partitions Capability Upgrade and the 100 Partitions Capability Upgrade are provided in the form of a secure package (.spkg file) that can be uploaded (via scp or pscp) for processing by SafeNet Luna Network HSM to upgrade SafeNet Luna Network HSM partition limit, or to upgrade the partition limit of a SafeNet Luna Backup HSM connected directly to the SafeNet Luna Network HSM appliance for local backup.

When your SafeNet Luna Backup HSM is connected locally to a SafeNet Luna Network HSM appliance, use the upgrade instructions at "[HSM Capability and Partition Upgrades](#)" on page 287 to apply an upgrade to increase the number of HSM partitions that can be backed up to the device.

### Domains and Backups

If the target partition exists on the Backup HSM, then it must already share its partition domain with the source partition.

If the target partition is being created, then it takes the domain of the source partition.

Multiple partitions, with different domains, can exist on a single Backup HSM.

As with backup operations, restore operations can take place only where the source and target partitions have the same domain.

- Full/replace backup or restore creates a new target partition with the same domain as the source partition.
- Partial (additive/incremental) backup or restore requires the existing source and target partitions to have the same domain before the operation can start.

No cross-domain copying (backup or restore) is possible - there is no way to "mix and match" objects from different domains.

### PED or Password Authentication

The Backup HSM creates a partition with matching authentication type to the SafeNet Luna HSM partition that is being backed up. That does not work in the opposite direction, however. The Backup HSM can restore a partition (or contents of a partition) only to a SafeNet Luna HSM of matching authentication type.

You cannot mix partition authentication types on one backup device. That is, if you have a PED-authenticated HSM and a password-authenticated HSM, you require two Backup HSMs in order to have a backup of each HSM's partitions. There is no possibility of backing up data from a higher-security device (Trusted Path, PED-authenticated, FIPS-3) onto a lower-security device (Password protected, FIPS-2). Normally this is not a concern because a given installation is likely to employ all SafeNet Luna HSMs of the same authentication type.

However, for HSMs of the same authentication type, you could backup (or restore) partitions from different HSMs onto a single SafeNet Luna Backup HSM, as long as there is sufficient room. Given that the type matches, the authentication (domain) is handled at the partition level.

## Backup and Restore Options and Configurations

The SafeNet Luna Backup HSM supports local or remote HSM backup. The options for backup of primary/source SafeNet Luna HSMs are:

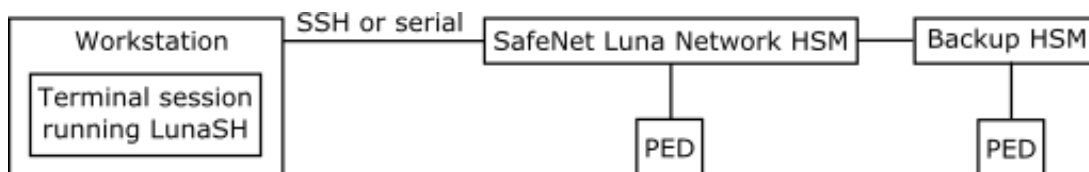
- **Local backup of any SafeNet Luna HSM**, where all components are co-located. This is a possible scenario with all SafeNet Luna HSMs, but is more likely with direct-connect, local-to-the-client HSMs such as SafeNet Luna PCIe HSM. It is unlikely for SafeNet Luna Network HSM, simply because SafeNet Luna Network HSM normally resides in a server rack, distant from its administrators.
- **Local backup of SafeNet Luna Network HSM**, where SafeNet Luna Network HSM is located remotely from a computer that has the SafeNet Luna Backup HSM. This is one of the likely scenarios with SafeNet Luna Network HSM, but requires that the administrator performing backup must have client authentication access to all SafeNet Luna Network HSM partitions.
- **Remote backup of any SafeNet Luna HSM**, where the SafeNet Luna HSM is located remotely from the computer that has the SafeNet Luna Backup HSM. This scenario requires that the administrator of the SafeNet Luna Backup HSM's host computer must connect (via SSH or RDP) to the clients of each HSM partition that is to be backed up. The client performs the backup (or restore) under remote direction.

In local mode, you connect the Backup HSM directly, via USB, to a SafeNet Luna Network HSM appliance or SafeNet Luna PCIe HSM host server. That is, local backup is local to the HSM being backed-up, not necessarily local to the administrator who is directing the process, who might be far away.

For remote backup, you connect the Backup HSM via USB to a computer running vtl and the driver for the device. Backup and restore are then performed over the secure network connection. For PED-authenticated HSMs, you must have a copy of the appropriate red (domain) PED keys to use with the Backup HSM in order to perform the copy/cloning (backup and restore) operation between the HSMs.

### Backing Up a Local HSM to a Directly Connected Backup HSM

The simplest way to backup your SafeNet Luna Network HSM is to connect the Backup HSM directly to the SafeNet Luna Network HSM appliance. To perform a backup/restore, you open an SSH or serial connection from your workstation to the appliance, and then launch LunaSH in a terminal session to perform the backup, as illustrated in the following figure:

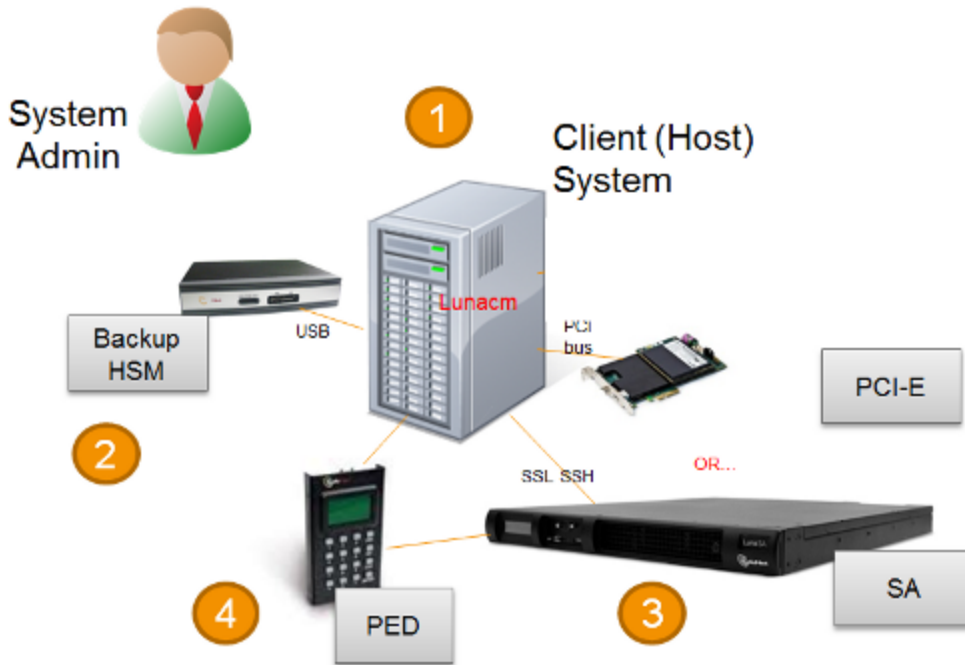


The workstation is simply a display terminal for LunaSH running on the appliance. It does not require the SafeNet Luna Client software.

The PEDs are required only if the SafeNet Luna Network HSM is PED-authenticated. The appropriate SO (blue), partition (black) and domain (red) PED keys are required.

### Backup to a Backup HSM Connected to a Local Client

The following diagram depicts the elements and connections of the local backup (and restore) operation, where everything is in one room.



1	LunaCM on the client (host) system sees the primary and backup slots and controls the backup/restore operation.
2	Backup HSM is a slot visible to the client (host) system when it runs LunaCM.
3	Working HSMs are slots visible to the client (host) system when it runs LunaCM.
4	Every slot on the backup must have same domain (red PED key) as matching slot on the primary HSMs.

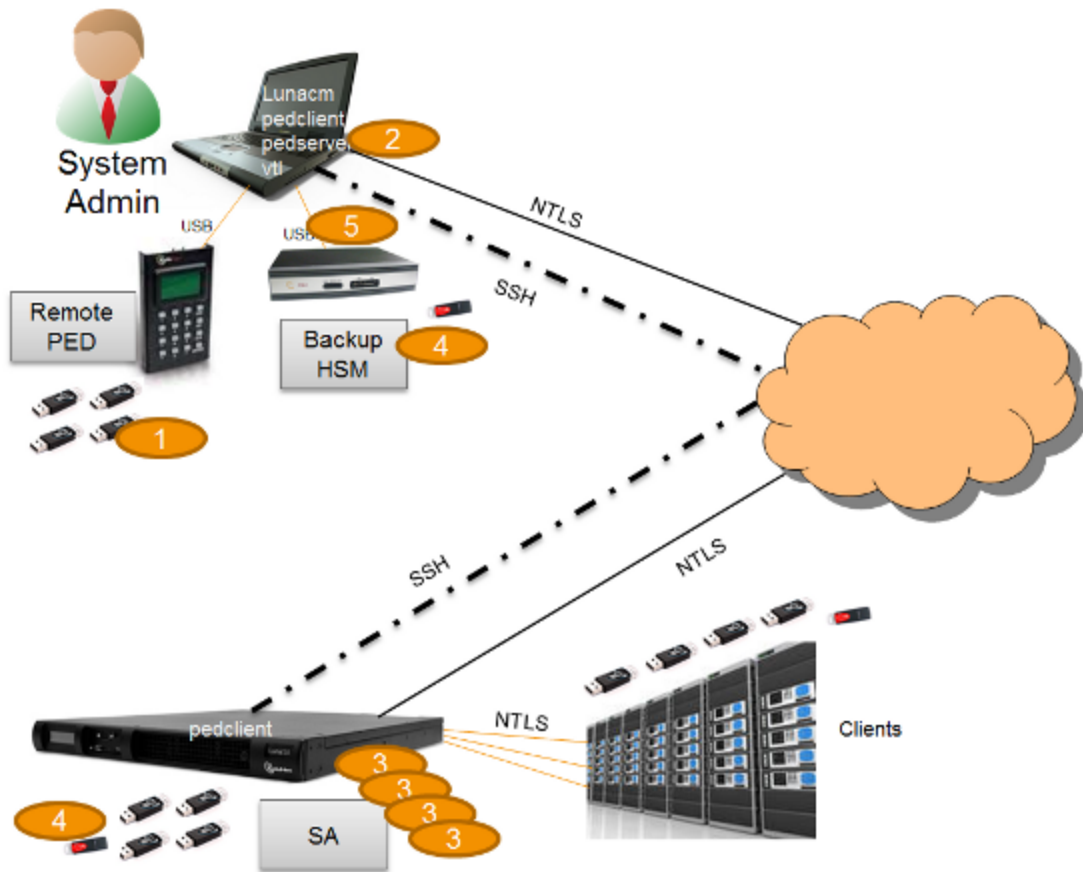
The other two backup and restore options, local backup of a distant SafeNet Luna Network HSM and remote backup of any SafeNet Luna HSM require that PED operations be performed remotely. For that reason, HSMs must be prepared (locally) in advance by having orange Remote PED keys created and matched with each HSM.

### Backing Up a Remote HSM to a Locally-Connected Backup HSM

The diagram below summarizes the elements and setup for backing up partitions of a remote SafeNet Luna Network HSM to a Backup HSM that is attached to the local host. For this example, the system administrator (admin) for the SafeNet Luna Network HSM appliance is also the person doing the backup. The local host is configured as follows:

- The SafeNet Luna HSM client software with the Remote PED options is installed.
- A Remote Luna PED is connected.
- The SafeNet Luna Backup HSM is connected.

Before performing a backup, the admin must open an SSH session to the SafeNet Luna Network HSM appliance and perform a certificate exchange and registration for each SafeNet Luna Network HSM partition to be backed up to make the local host a client of the partitions.



1	The admin must have client access to each partition being backed up. In this scenario, the admin must have black PED keys and passwords for the partitions.
2	The local host is used to control the backup/restore. The SafeNet Luna HSM client vtl software is used to generate and trade certificates with SafeNet Luna Network HSM, to create an NTLS link. The Luna PEDServer software running on the local host, in conjunction with the PEDClient software running on the SafeNet Luna Network HSM, provides remote PED access to the SafeNet Luna Network HSM.
3	The local host can see the SafeNet Luna Network HSM partitions as slots in LunaCM. The Luna PEDClient software runs on the SafeNet Luna Network HSM when it needs to access the Remote PED via the Luna PEDServer software running on the local host.
4	Every slot on the Backup HSM must have same domain (red PED key) as the matching slot on the working HSM. The domain (red) PED keys can be different for each partition or they can share one common domain, re-used for all partitions. The important consideration is that whatever domain situation exists on the primary HSM must be matched on the Backup HSM.

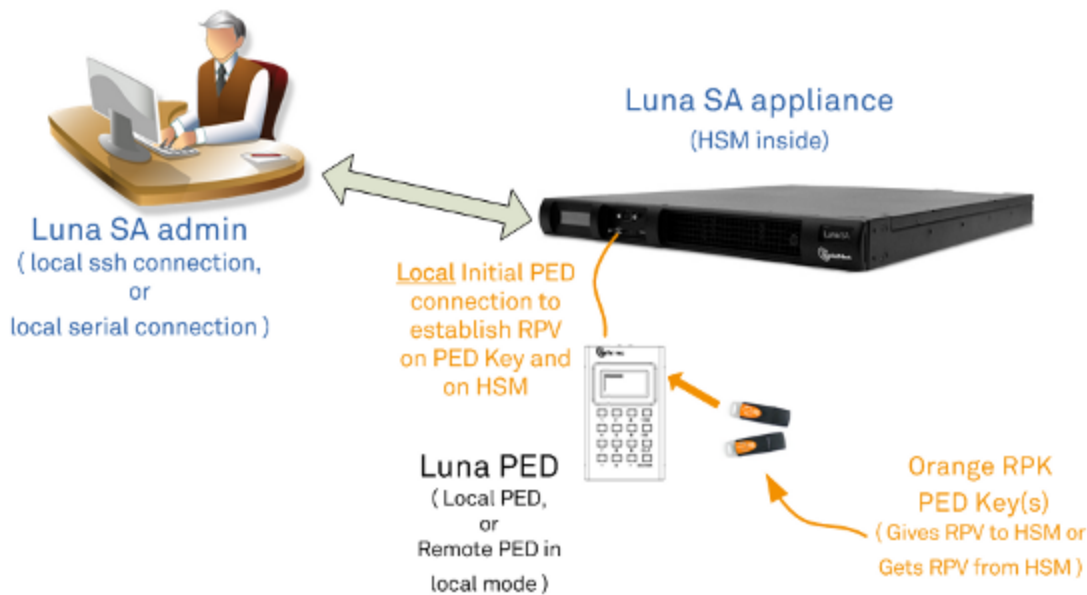
- 5 The local host can see the Backup HSM as a slot in LunaCM. Because the local host views the backup/restore operation in this scenario as a local transaction, between two slots visible to LunaCM on the local host, the remote backup service (RBS) is not needed.

This scenario avoids the complication of an intermediary computer (as would be needed for true remote backup), but at the cost of giving the authentication keys for all client partitions to an administrator. Your security protocol determines whether this is acceptable.

### Backing Up a Remote HSM to a Remotely-Connected Backup HSM

This section describes how to backup a remote HSM to a Backup HSM that is connected over the network to a remote host. In this configuration, you require an orange PED key, imprinted with the Remote PED Vector (RPV) for the HSM you want to back up. To create the orange PED key, you must temporarily connect a PED directly to the HSM you want to back up, as illustrated in the following figure. The figure shows a local admin session to the HSM. You could administer remotely, but this operation nevertheless requires a local PED connection to the HSM and someone there to insert PED keys and press buttons on the PED keypad, so we depict the most likely connection situation - one person doing all jobs at one location. Once the HSM has been matched to an orange Remote PED key, all future authentications can be performed with Remote PED, and the HSM can safely be shipped to its distant location.

**Figure 1: Creating an orange PED key imprinted with the remote PED vector (RPV) for the HSM**



After you have created the orange (RPV) PED key and have the appropriate red (domain) PED keys for the partitions you want to back up, you are ready to configure and use your Remote Backup HSM. In this scenario, you could have as many as three different computers (we depict two for our example) connecting to the SafeNet Luna Network HSM:

- one to run the ssh administrative connection to the shell (lunash:>) on the SafeNet Luna Network HSM appliance
- one to run the Remote PED server, with the Luna PED (in remote mode) connected via USB to the computer and separately connected to the mains electrical power source (see "[Changing Modes](#)" on page 176 for instructions on changing modes on the Luna PED)
- one to run a client session with vtl and the SafeNet Remote Backup driver, and with the SafeNet Luna Backup HSM with its own local Luna PED attached

As noted previously, the orange PED keys contain a Remote PED Vector (RPV) that matches the RPV inside the SafeNet Luna Network HSM. It is the presence of that RPV at both ends that allows the connection to be made between the HSM and the Remote PED. At the same time, the SafeNet Luna Network HSM and the SafeNet Luna Backup HSM must share the same cloning domain, in order for backup and restore (cloning) operations to take place between the two HSMs. Therefore, red PED keys with that cloning domain must be available.

SafeNet Luna HSMs use Remote Backup Service (RBS) to facilitate Remote Backup.

### Required Software

**LunaCM** is required on both the Client (Host) System and on the System Admin computer, but is run on Client (Host) System to launch and manage the backup and restore activity. **PEDClient** is needed on both the Client (Host) System and the System Admin computer, as well as on any SafeNet Luna Network HSM.

**PedClient** is needed on any host that must reach out to a pedserver instance and a Remote PED. PedClient instances can also communicate with each other to facilitate RBS

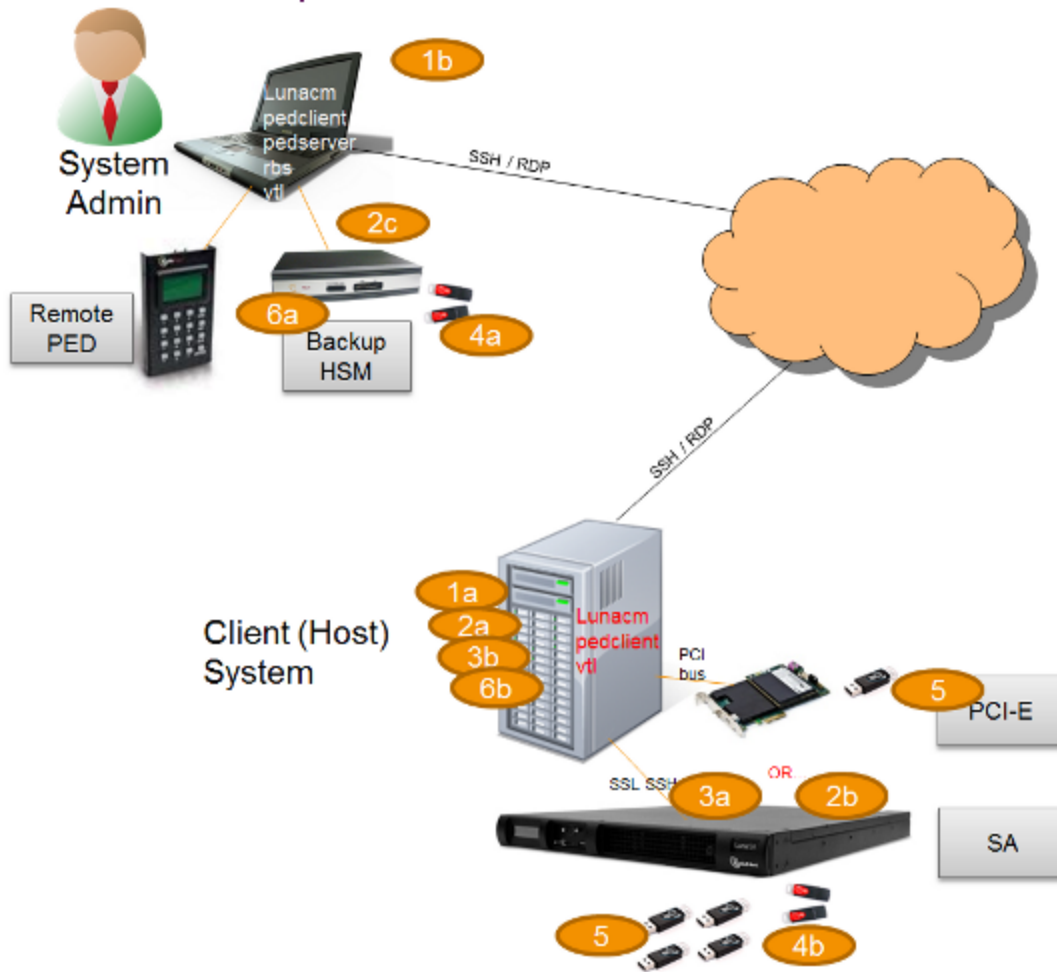
**PedServer** must reside (and run, waiting for calls) on any computer connected to a Remote PED.

**RBS** is required on the computer connected to the SafeNet Luna Backup HSM. RBS is not needed on any other computer in the scenario.

### Example

The following figure provides an example configuration for backing up a remote HSM to a backup HSM connected to a remote host. This scenario adds an intermediate computer (Client (Host) System) to broker the remote backup of the HSM partitions. That could be a special-purpose computer, or it could simply mean that the Admin on the computer with the Remote Backup HSM is given remote access to each client that normally uses a SafeNet Luna HSM partition. The tradeoff is that those clients already have access to their registered partitions, so there is no need for the Remote Backup HSM admin to have client access (PED keys) for those partitions. Your security protocol dictates which scenario is appropriate for you.

Figure 2: Configuration for backing up a remote HSM to a backup HSM connected to a remote host



1	"Client (Host) System" (1a) is a client of the SafeNet Luna Network HSM being backed up, but "System Admin" (1b) is not a client of SafeNet Luna Network HSM.
2	LunaCM on "Client (Host) System" (2a) sees the primary (2b) and backup (2c) slots and controls the backup/restore.
3	Each SafeNet Luna Network HSM (3a) partition is a slot visible to a "Client (Host) System" (3b) when Client (Host) System runs LunaCM.
4	Every slot on the backup (4a) must have same domain (red PED key) as matching slot on the primary HSMs (4b).
5	Every primary HSM slot (partition) that is to be backed up or restored must be in login or activated state (black PED keys (5)), so that the Client (Host) System can access it with LunaCM backup or restore commands.
6	Backup HSM (6a) is a slot visible to "Client (Host) System" (6b) when Client (Host) System runs LunaCM.



## Backup HSM Installation, Storage, and Maintenance

This section describes how to install and maintain your SafeNet Luna Backup HSM (Backup HSM), and prepare it for storage. It contains the following sections:

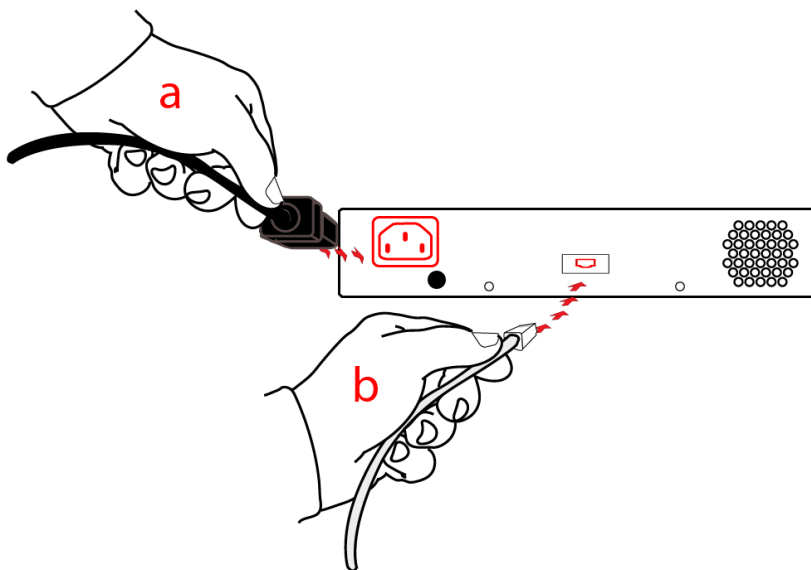
- ["Connecting a Backup HSM" below](#)
- ["Disconnecting a Backup HSM" on the next page](#)
- ["Installing the Battery" on the next page](#)
- ["Backup HSM Storage and Maintenance" on page 53](#)

### Connecting a Backup HSM

For local backup, connect the Backup HSM to a power source, and via USB cable to the SafeNet Luna Network HSM USB port.

For remote backup, connect the Backup HSM to a power source, and via USB cable to a USB port on your computer.

In both cases, the cable attaches to the port on the back panel of the Backup HSM, which requires a mini-USB at that end of the cable (similar cable as used to connect computers to cameras, older cellphones, etc.).



### PED-authenticated HSMs

At the front panel, connect the SafeNet PED, using the supplied cable between the micro-D subminiature (MDSM) receptacle on top of the PED, and the matching MDSM receptacle on the front panel of SafeNet Luna Backup HSM (the receptacle labeled "PED").



## Disconnecting a Backup HSM

The Backup HSM is a USB device. It is not equipped with a power switch. There is no special procedure for disconnecting or shutting down a SafeNet Luna Backup HSM.

If the Backup HSM is used in remote configuration for SafeNet Luna Network HSM (connected to a workstation acting as backup server), then your only action is to do the usual dismount of a USB device (for the benefit of your workstation, not the Backup HSM - "It is now safe to disconnect your USB Device"). Linux and UNIX platforms have their equivalent unmount actions for USB. Then disconnect the cables.

If the Backup HSM is connected to SafeNet Luna Network HSM for local backup, you have no access to the SafeNet Luna Network HSM's internal hardened kernel, so you cannot issue an un-mount instruction. Simply disconnect the cables and the system figures it out at either end. Both SafeNet Luna Network HSM and the Backup HSM accept this treatment very robustly.

## Installing the Battery

The battery that powers the NVRAM and RTC in the SafeNet Luna Backup HSM is shipped uninstalled, in the packaging. This preserves the battery in case the unit spends a long time in transit or is stored in your warehouse as a spare. With the battery not inserted, the real-time clock and NVRAM are not depleting its charge to no purpose. If you are preparing a fresh-from-the-factory Backup HSM to place it into service, then you must install the battery before using the device.

1



Begin by removing the front face-plate. It is held in place by two spring clips. Grasp the face-plate firmly and pull to disengage the clips. Set the face-plate aside.

2



The battery compartment is to the right as you face the unit. The compartment cover is circular and has both raised dots and a recessed slot. Use finger-pressure against the dots, or the edge of a coin in the slot, to twist the battery compartment cover  $\frac{1}{4}$  turn in a counter-clockwise direction. The cover should fall out easily.

3



Remove the battery from its packaging and align it at the opening of the SafeNet Luna USB HSM (or SafeNet Luna Backup HSM) battery compartment. The battery has a “+” sign near the end with the raised nub/bump. The flat end of the battery is the negative pole (-).

4



Insert the battery, negative end first. The positive end (+) should protrude. The compartment is spring-loaded.

5



Use the battery compartment cover to push the battery into the compartment, against the spring tension. Maintaining the pressure, align the two tabs on the inside of the cover with the two recessed indentations at the top and bottom of the compartment opening. With a little jiggling and a few trial pushes, the tabs should settle into those recesses, allowing the cover to seat flush with the front of the SafeNet Luna Backup HSM. Maintain the inward pressure and twist the cover  $\frac{1}{4}$  turn clockwise to lock it in place. The battery is installed.

- 6 Replace the front-panel cover by aligning the clips with their respective posts and pushing until the clips grab the posts and the cover snaps in place.

## Backup HSM Storage and Maintenance

The SafeNet Luna Backup HSM (for backing up and restoring HSM and partition contents) and the SafeNet Luna USB HSM (for PKI options) can be stored, with valuable contents, when not in use. The battery that powers the NVRAM and RTC in either device must be installed for use, but some questions commonly arise if the device is to be stored for long periods.

### Should I take the battery out when storing the HSM in a safe?

It is generally good practice to remove batteries when storing electronic devices, to preclude accidental damage from battery leakage. We use high-quality, industrial-grade batteries, that are unlikely to fail in a damaging fashion, but prudence suggests removing them, regardless. Also, if the unit is not in use, there is no need to maintain power to the RTC and NVRAM, so an externally stored battery will last longer.

### If the battery is out, what happens?

If main power is not connected, and the battery dies, or is removed, then NVRAM and the system's Real Time Clock lose power. The working copy of the MTK is lost.

### If the battery dies during operation, will I lose my key material? Will corruption occur?

The only key material that is lost is session objects (including working copies of stored keys) that are in use at the time. If the "originals" of those same objects are stored as HSM/partition objects, then they reside in non-volatile memory, and those are preserved.

There is no corruption of stored objects.

**Where can I get a spare/replacement battery?**

From any supplier that can match the specifications.

**Technical Specifications:**

- 3.6 V Primary lithium-thionyl chloride (Li-SOCl<sub>2</sub>)
- Fast voltage recovery after long term storage and/or usage
- Low self discharge rate
- 10 years shelf life
- Operating temperature range -55 °C to +85 °C
- U.L. Component Recognition, MH 12193

**Storage Conditions:**

Cells should be stored in a clean & dry area (less than 30 % Relative Humidity)

Temperature should not exceed +30 °C

**How do I know if the battery is dead or about to die? Can I check the status of the battery?**

There is not a low battery indicator or other provision for checking status.

The battery discharge curve is such that the voltage remains constant until the very end of the battery life, at which point the discharge is extremely steep.

**What must I do to recover function, and access to my key material, after battery removal/discharge?**

Insert the battery, connect the HSM, power it up, and resume using it.

The MTK that was deleted by the tamper event (battery removal/discharge) is reconstituted from stored portions as soon as you log in. All your stored material is available for use.

## Backup and Restore From the Client to a Local Backup HSM (LunaCM)

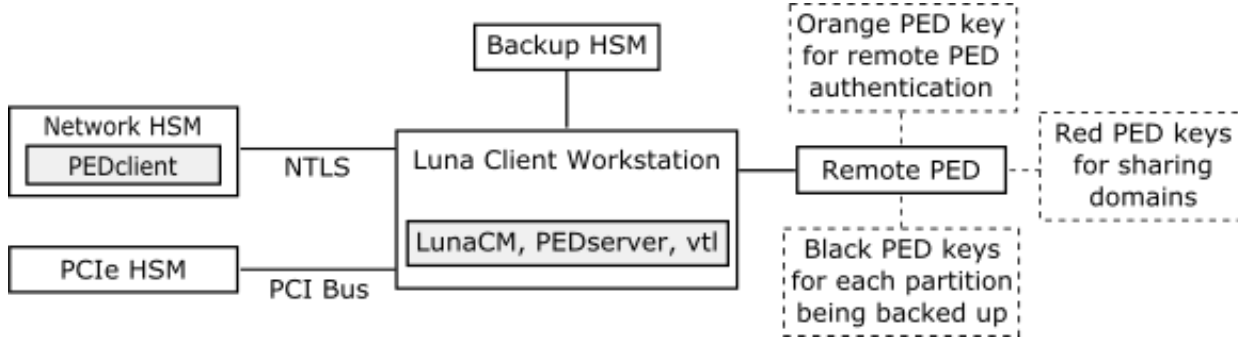
This section describes how to use LunaCM to backup and restore a partition from the client to a locally connected SafeNet Luna Backup HSM (Backup HSM). To perform a local backup, you connect the SafeNet Luna Backup HSM to a USB port on the SafeNet Luna HSM client workstation and use LunaCM to log in as the Crypto Officer (CO) and backup any SafeNet Luna Network HSM or SafeNet Luna PCIe HSM partitions that are visible as slots.

The backup operation can go from a source partition (on a SafeNet Luna Network HSM) to an existing partition on the Backup HSM, or if one does not exist, a new partition can be created during the backup. The restore operation, however, cannot create a target partition on a SafeNet Luna Network HSM; it must already exist.

You can restore a partition backup to the source HSM or to a different SafeNet Luna Network HSM. The HSM you restore to must already have a suitable partition created for the restored objects. The partition can have any name - it does not need to match the name of the source partition on the backup HSM.

You can connect the Backup HSM to a SafeNet Luna HSM client workstation to backup any SafeNet Luna Network HSM or SafeNet Luna PCIe HSM partitions that are visible as slots in LunaCM, as illustrated in the following figure:

**Figure 1: Configuration for SafeNet Luna Network HSM/PCIe partition backup/restore using a Backup HSM connected to a local client workstation**



In this configuration, you connect the Backup HSM and SafeNet Remote PED, via USB, to your SafeNet Luna HSM client workstation. The SafeNet Luna Network HSM appliance is remote to the SafeNet Luna HSM client workstation and is connected using NTLS. Any installed PCIe devices communicate with the SafeNet Luna HSM client over the PCI bus.

Any partitions you want to backup must be registered with the SafeNet Luna HSM client workstation, and be visible as slots in LunaCM. The Backup HSM must also be visible as a slot.

If you are backing up PED-authenticated partitions, you require a PED. If you want to backup SafeNet Luna Network HSM partitions, the PED must have remote capability (Remote PED). Remote PED uses the pedserver/pedclient processes running on the SafeNet Luna HSM client workstation and on the SafeNet Luna Network HSM appliance to provide remote PED services for the network-attached SafeNet Luna Network HSM appliance. The PED provides authentication for all of the attached HSMs (the USB-connected SafeNet Luna Backup HSM, the NTLS-connected SafeNet Luna Network HSM, and the PCI bus-connected SafeNet Luna PCIe HSM). Every slot on the backup must have same domain (red PED key) as the matching slot on the source HSMs.



**Note:** If you have Private Key Cloning switched off for the current partition, then the backup operation proceeds, but skips over any private keys, and clones only the permitted objects onto the Backup HSM. Similarly, if you restore from a token that includes private keys, but the target partition has Private Key Cloning disallowed, then all other objects are recovered to the partition, but the private keys are skipped during the operation.

## Backing Up a Partition to a Locally Connected Backup HSM

You can backup any slots you can see on the client workstation. You must log in as the Crypto Officer to the partition you want to backup.

### To backup an application partition to a Backup HSM connected to a SafeNet Luna HSM client workstation:

1. Configure the remote PED, as described in ["Using Remote PED" on page 203](#).
2. Start the LunaCM utility on the SafeNet Luna HSM client workstation.

```
C:\Program Files\SafeNet\LunaClient>lunacm.exe
```

```
LunaCM V7.0 - Copyright (c) 2006-2017 Gemalto, Inc.
```

```
Available HSM's:
```

```
Slot Id ->          1
```

```

HSM Label -> SA52_P1
HSM Serial Number -> 500409014
HSM Model -> LunaSA
HSM Firmware Version -> 7.0.1
HSM Configuration -> Luna User Partition With SO (PED) Signing With Cloning Mode
HSM Status -> OK

```

```

Slot Id -> 2
HSM Label -> BackupHSM Serial Number -> 700101
HSM Model -> G5Backup
HSM Firmware Version -> 6.26.0
HSM Configuration -> Remote Backup HSM (PED) Backup Device
HSM Status -> OK

```

```
Current Slot Id: 1
```

### 3. Use the **slot set** command to go to the slot you want to back up:

```

lunacm:> slot set slot 1

Current Slot Id: 1 (Luna User Slot 7.0.1 (PED) Signing With Cloning Mode)

Command Result : No Error

```

### 4. Establish that the HSM is listening for a SafeNet Remote PED:

```

lunacm:>ped get

HSM slot 1 listening to local PED (PED id=0).

Command Result : No Error

lunacm:> ped connect ip 192.20.10.190

Command Result : No Error

lunacm:> ped get

HSM slot 1 listening to remote PED (PED id=100).

Command Result : No Error

```

The SafeNet Luna Network HSM is now listening for PED interaction via the link between PedClient on the SafeNet Luna Network HSM appliance and PedServer on the workstation, and is not expecting a PED connected directly at the location of the SafeNet Luna Network HSM.

### 5. Log in as the Crypto Officer (CO) to the partition in the current slot. This is the partition that you want to back up:

```

lunacm:> role login -name Crypto Officer

Option -password was not supplied. It is required.

Enter the password: *****

User is activated, PED is not required.

Command Result : No Error

```



6. Disconnect the PED from your source HSM (slot 1 in this example), and connect to the Backup HSM (slot 2 in this example). The PED remains physically connected by USB cable to the SafeNet Luna HSM client workstation, and remains in Remote mode - you are merely changing slots that are in conversation with that PED.
  - a. First, tell the SafeNet Luna Network HSM to disconnect from Remote PED with the command **ped disconnect**.
  - b. Tell the Backup HSM to connect to Remote PED (it makes no difference that the PED and the Remote Backup HSM are USB-connected to the same workstation/laptop; when use of Remote PED is invoked by command **ped connect** and verified by **ped get**, all HSM-PED interaction takes place between PedClient running on that workstation and PedServer, also running on that workstation).

```
lunacm:> ped connect ip 192.20.10.189 -slot 2
```

```
Command Result : No Error
```

```
lunacm:> ped get -slot 2
```

```
      HSM slot 2 listening to remote PED (PED id=100).
```

```
Command Result : No Error
```

7. Use the **partition archive backup** command to perform the backup from the current slot (slot 1 in the example, see above) to the partition that you designate on the Backup HSM. Now that the Backup HSM is listening correctly for a PED, the target partition can be created, with PED action for the authentication.

```
lunacm:> partition archive backup -slot 2 -par SABck1
```

```
Logging in as the SO on slot 2.
Please attend to the PED.
```

```
Creating partition SABck1 on slot 2.
Please attend to the PED.
```

```
Logging into the container SABck1 on slot 2 as the user.
Please attend to the PED.
```

```
Creating Domain for the partition SABck1 on slot 2.
Please attend to the PED.
```

```
Verifying that all objects can be backed up...
85 objects will be backed up.
```

```
Backing up objects...
Cloned object 99 to partition SABck1 (new handle 19).
Cloned object 33 to partition SABck1 (new handle 20).
Cloned object 108 to partition SABck1 (new handle 23).
Cloned object 134 to partition SABck1 (new handle 24).
Cloned object 83 to partition SABck1 (new handle 25).
Cloned object 117 to partition SABck1 (new handle 26).
Cloned object 126 to partition SABck1 (new handle 27).
Cloned object 65 to partition SABck1 (new handle 28).
Cloned object 140 to partition SABck1 (new handle 29).
Cloned object 131 to partition SABck1 (new handle 30).
Cloned object 94 to partition SABck1 (new handle 31).
Cloned object 109 to partition SABck1 (new handle 35).
Cloned object 66 to partition SABck1 (new handle 36).
Cloned object 123 to partition SABck1 (new handle 39).
```

```
Cloned object 74 to partition SAbck1 (new handle 40).
Cloned object 50 to partition SAbck1 (new handle 44).
Cloned object 43 to partition SAbck1 (new handle 45).
Cloned object 52 to partition SAbck1 (new handle 46).
Cloned object 124 to partition SAbck1 (new handle 47).
Cloned object 115 to partition SAbck1 (new handle 48).
```

```
Backup Complete.
```

```
20 objects have been backed up to partition SAbck1
on slot 2.
```

```
Command Result : No Error
```

8. Backup is complete, and can be verified if you like.

## Restoring a Partition from a Locally Connected Backup HSM

You can restore a backup to any slot you can see on the client workstation. You must log in as the Crypto Officer to the partition you want to restore to.

### To restore an application partition from a Backup HSM connected to a SafeNet Luna HSM client workstation:

1. Create a target partition for the restore operation on the HSM you are restoring to, if it does not already exist, and register the partition with the SafeNet Luna HSM client workstation so that it is visible as a slot in LunaCM.
2. Start the LunaCM utility on the SafeNet Luna HSM client workstation.

```
LunaCM v7.0.0. Copyright (c) 2006-2017 SafeNet.
```

```
Available HSMs:
```

```
Slot Id ->          0
Label ->           parl
Serial Number ->   154438865288
Model ->           LunaSA 7.0.0
Firmware Version -> 7.0.1
Configuration ->   Luna User Partition With SO (PED) Signing With Cloning Mode
Slot Description -> Net Token Slot
```

```
Slot Id ->          21
Label ->           lunabackup
Serial Number ->   496771
Model ->           G5Backup
Firmware Version -> 6.26.0
HSM Configuration -> Remote Backup HSM (PED) Backup Device
HSM Status ->      OK
```

```
Current Slot Id: 0
```

3. Use the **slot set** command to go to the slot you want to restore to.

```
lunacm:> slot set slot 0
```

```
Current Slot Id: 0      (Luna User Slot 7.0.1 (PED) Signing With Cloning Mode)
```

```
Command Result : No Error
```

4. Open a remote PED session to the SafeNet Luna Network HSM you are restoring to:

```
lunacm:> ped connect ip 192.20.10.190
```

```
Command Result : No Error
```

```
lunacm:> ped get
```

```
HSM slot 1 listening to remote PED (PED id=100).
```

```
Command Result : No Error
```

The SafeNet Luna Network HSM is now listening for PED interaction via the link between PEDclient on the SafeNet Luna Network HSM appliance and PEDserver on the workstation, and is not expecting a PED connected directly at the location of the SafeNet Luna Network HSM.

5. Log into the partition in the current slot. This is the partition that you want to restore to.

```
lunacm:> role login -name Crypto Officer
```

```
Option -password was not supplied. It is required.
```

```
Enter the password: *****
```

```
User is activated, PED is not required.
```

```
Command Result : No Error
```

6. Use the **partition archive restore** command restore the partition from the Backup HSM to the current slot, adding to, or replacing, the current partition contents:

```
partition archive restore -slot <backup-hsm-slotnumber> -partition LunaSAPartitionname -password ClientPassword -replace
```



**Note:** In the command above, you can use **-add** instead of **-replace**. Adding might result in unwanted behaviors, such as having two keys with the same label, if one existed in the HSM Partition and one on the backup token. The two would be assigned different handles, however.

## Backup and Restore From the Client to a Remote Backup HSM (LunaCM, RBS)

This section describes how to use LunaCM and the Remote Backup Service (RBS) to backup and restore a partition from the client to a remotely located SafeNet Luna Backup HSM (Backup HSM). It contains the following sections:

- ["Overview" below](#)
- ["Configuring the Remote Backup Service \(RBS\)" on page 61](#)
- ["Backing Up an Application Partition to a Remotely Located Backup HSM" on page 63](#)
- ["Restoring an HSM Partition From a Remotely Located Backup HSM" on page 68](#)

### Overview

Remote backups are enabled by the SafeNet Remote Backup Service (RBS). RBS is a utility, included with the SafeNet Luna HSM client software, that runs as a service (Windows) or daemon (Unix/Linux) on a workstation used to

host one or more remote Backup HSMs.

To use RBS, do the following:

1. Configure it to define which of the Backup HSMs connected to the workstation running RBS that you want to make available to other SafeNet Luna HSM client workstations or SafeNet Luna Network HSM appliances for performing remote backups.
2. Register the workstation running RBS with any SafeNet Luna HSM client workstations or SafeNet Luna Network HSM appliances that you want to be able to use the Remote Backup HSMs.
3. Start the RBS service/daemon.

Once RBS is configured and running, the SafeNet Luna HSM client workstations or SafeNet Luna Network HSM appliances registered with the workstation running RBS can see its available Backup HSMs as slots in LunaCM (SafeNet Luna HSM client workstation) or LunaSH (SafeNet Luna Network HSM appliance). To perform backup and restore operations using the Remote Backup HSMs, you open a LunaCM or LunaSH session, as relevant, on the SafeNet Luna HSM client workstation or SafeNet Luna Network HSM appliance used to host the slot you want to backup, and specify the slot for the Remote Backup HSM as the slot to use for the backup/restore operation.

The backup operation can go from a source partition (on a SafeNet Luna HSM) to an existing partition on the SafeNet Luna Backup HSM, or if one does not exist, a new partition can be created during the backup. The restore operation cannot create a target partition on a SafeNet Luna Network HSM; it must already exist and have a registered NTLS link.

To back up PED-authenticated partitions, you can connect a remote PED to the Backup HSM host workstation, or you can use a separate computer to provide PED operations.

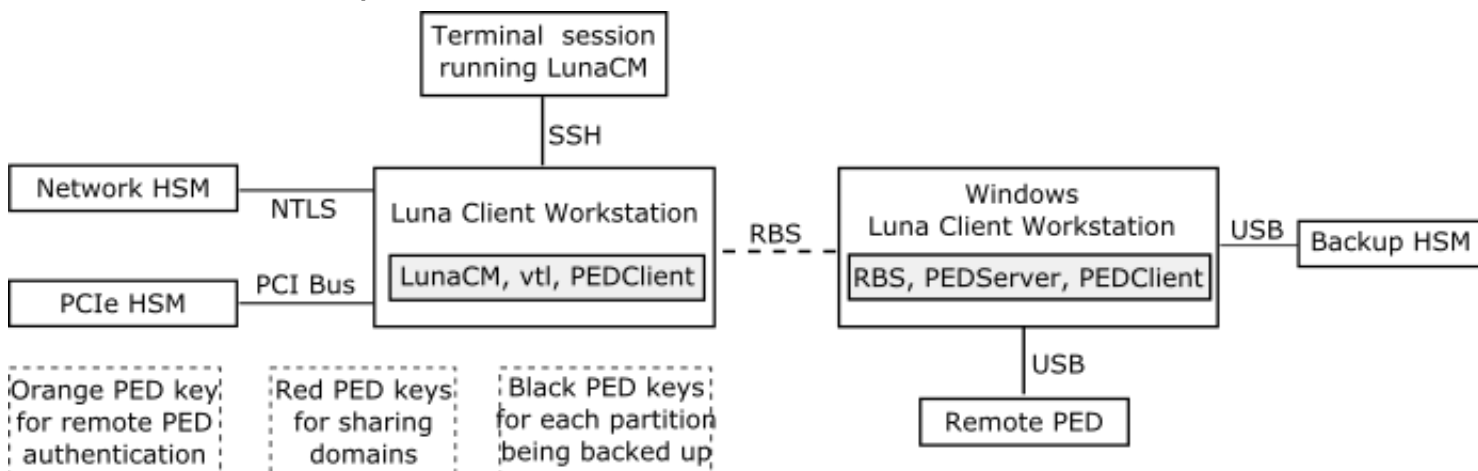


**Note:** Remote PED (PED Server) is supported on Windows only.

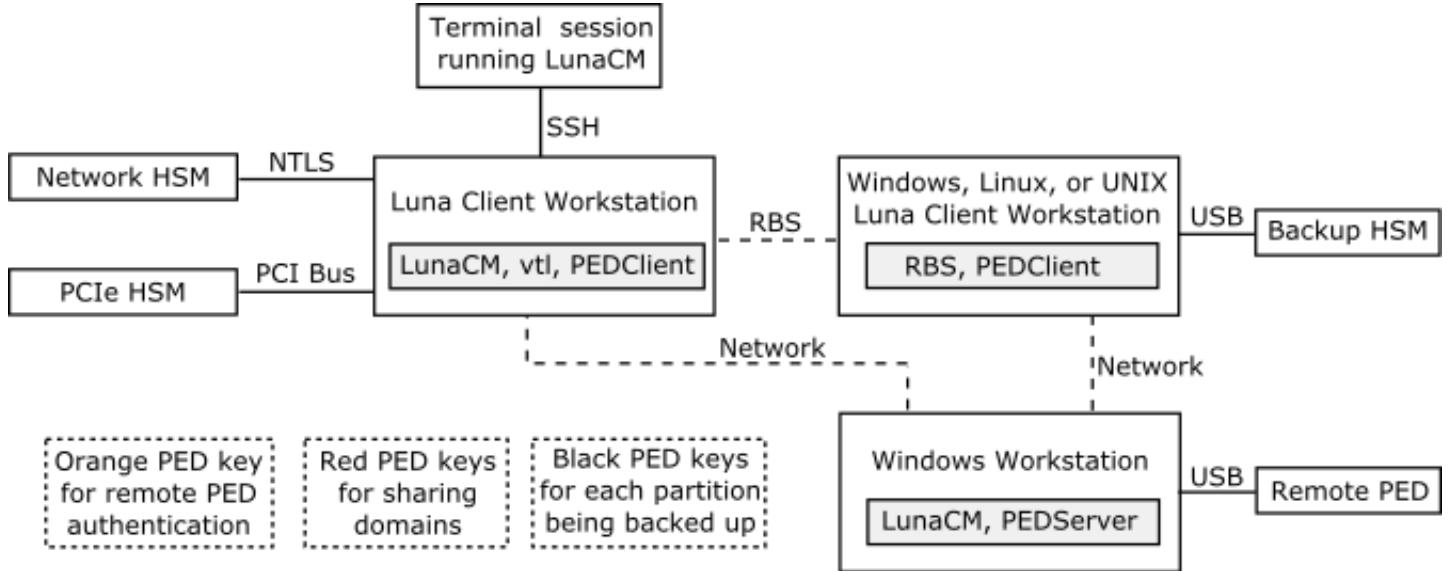
## Configurations for Remote Backup of a SafeNet Luna Client Workstation Slot

The possible configurations for performing a remote backup of a SafeNet Luna HSM client workstation slot are illustrated in the following figures. Only PED-authenticated backup configurations are shown.

**Figure 1: Configuration for remote backup of a SafeNet Luna HSM client workstation slot with the remote PED connected to the backup workstation**



**Figure 2: Configuration for remote backup of a SafeNet Luna HSM client workstation slot with the remote PED connected to a separate workstation**



## Configuring the Remote Backup Service (RBS)

RBS is not a standalone feature. It is a service that facilitates certain scenarios when backing-up HSM partitions or restoring onto those partitions, using a backup HSM that is distant from the primary HSM and its host or client. RBS is run on the computer that hosts the SafeNet Luna Backup HSM, only. RBS is a separate option at software installation time. You do not need it on all client/admin computers, but it doesn't hurt to have it installed. Running RBS also requires running PED Client on that computer, as well as on the distant primary - the paired instances of PED Client form the communications link that makes RBS possible.

RBS requires PED Client on both the RBS client and RBS server ends.

The PEDClient is half of the PEDServer/PEDClient duo that enables Remote PED service.

However, PEDClient is also used in the communication component of Remote Backup Service. So, PEDClient should run on all the platforms that have HSMs - where a SafeNet Luna USB HSM or SafeNet Luna PCIe HSM is installed (PEDClient is already inside SafeNet Luna Network HSM 5.2 and newer...) - and also on any system with the RBS application.

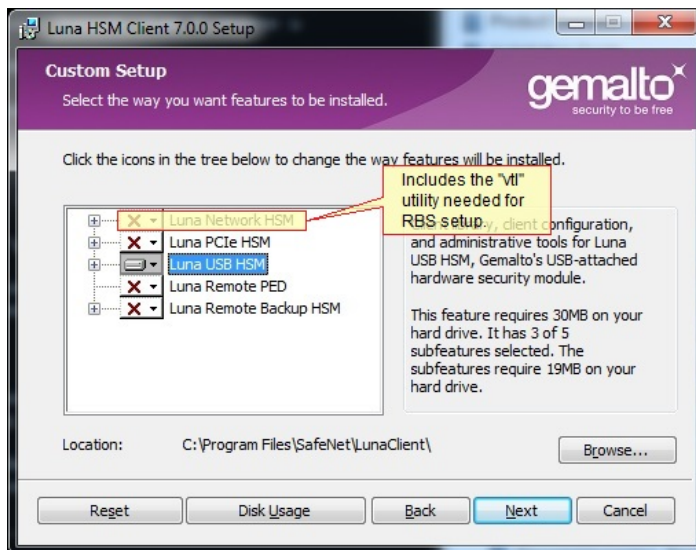
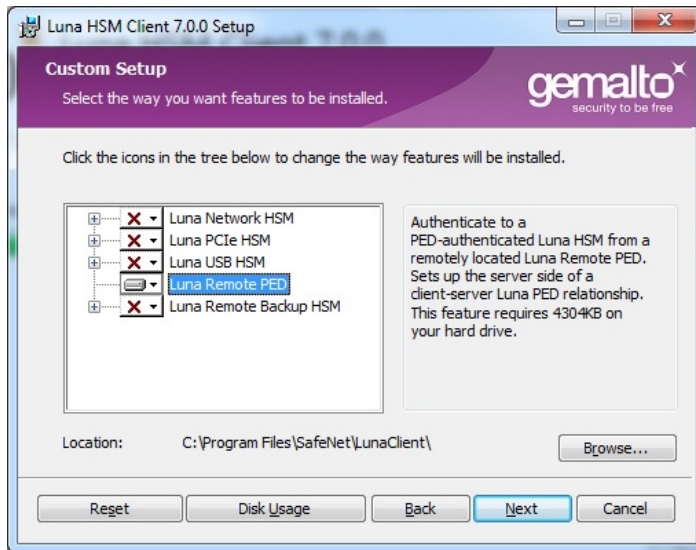
The PEDServer is required only on a computer with the SafeNet Remote PED.

If you consolidate your HSM administration (including Remote PED) on the same computer with your SafeNet Remote Backup HSM, you would have both PEDClient and PEDServer installed there. We observe that a majority of customers combine administrative functions this way, on a laptop or a workstation that is used to administer one-or-many HSM hosts. The HSM host (with SafeNet Luna USB HSM or SafeNet Luna PCIe HSM) or the SafeNet Luna Network HSM appliance resides in a physically secure, possibly remote location, while the administrator works from a laptop in her/his office. Your security policy determines how you do it.

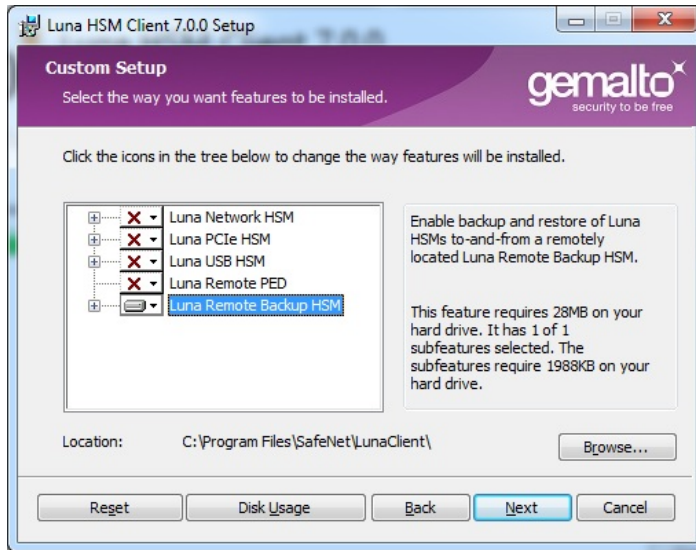
### To configure RBS:

1. Install the SafeNet Luna HSM client software on the computer used to manage the HSMs/partitions you want to back up. If you use PED authentication, ensure that the Remote PED option is installed. You must also install the SafeNet Luna Network HSM client software in addition to the SafeNet Luna USB HSM or SafeNet Luna PCIe HSM software, because the SafeNet Luna Network HSM client is the only one that includes the **vtl** utility, which is

required to perform the certificate exchange that enables Remote Backup Service.



2. Install the SafeNet Luna HSM client software on the workstation used to host your Backup HSM. Select the Remote Backup option. If the workstation is running Windows, and will be used to connect a Remote PED, install the Remote PED option here.



3. Run **rbs --genkey** to generate the **server.pem** to establish the Remote Backup Service between the Backup host and the host/client for the primary HSM. The location of the **server.pem** file can be found in the **Chrystoki.conf /crystoki.ini** file.
4. Run **rbs --config** to specify the devices to support.
5. Run **rbs --daemon** to launch the RBS daemon (Linux and UNIX) or the RBS console application (on Windows, it closes after every use).
6. Create the client certificate (if not already done) with **vtl createCert -n <host\_ip\_address>**.
7. Use **scp** (Unix/Linux) or **pscp** (Windows) to copy the certificate generated earlier (**server.pem**) to your primary HSM host computer (or SafeNet Luna Network HSM appliance):
 

```
# scp root@192.20.9.253:/usr/safenet/lunaclient/rbs/server/server.pem .
root@192.20.9.253's password: *****
server.pem | 1 kB | 1.2 kB/s | ETA: 00:00:00 | 100%
```
8. Run **vtl** on the host computer (or appliance) to add the RBS server to the server list.
 

```
vtl add -n 192.20.9.253 -c server.pem
New server 192.20.9.253 successfully added to server list.
vtl list
Server: 192.20.9.82
Server: 192.20.9.253
```



**Note:** If you encounter problems, try changing the RBS and PED Client ports from the default values. Check that your firewall is not blocking ports used by the service. (Refer to the command syntax pages for default values.)

## Backing Up an Application Partition to a Remotely Located Backup HSM

This section describes how to backup an application partition to a remotely located Backup HSM using RBS.

### Prerequisites

You will need the following components to perform a remote backup:

Quantity	Description
1	SafeNet Luna HSM 5.2 or newer
1	Windows computer with SafeNet Luna Network HSM 5.2 (or newer) client software installed
1	SafeNet Luna Backup HSM
1	Set of PED keys imprinted for the source HSM and partitions
1	Luna PED (Remote PED with f/w 2.7.1 or later)*
1	Power cable for Luna PED (Remote)
2	USB to mini USB cable for Luna PED (Remote) and SafeNet Luna Backup HSM



**Note:** The Luna PED that is connected to the Windows computer, in order to perform Remote PED operations with the distant SafeNet Luna Network HSM appliance, must be a Luna PED (remote-capable version) and is used in Remote mode and in Local mode. You also have the option to connect a second Luna PED, which can be Remote capable or can be a Local-only version, to the SafeNet Luna Backup HSM. This allows you to leave the Remote capable Luna PED connected to the workstation in Remote mode.

## Assumptions

The following examples assume that you have set up RBS, as described in "[Configuring the Remote Backup Service \(RBS\)](#)" on page 61, and have prepared for the backup, as follows:

- The Backup HSM and the HSMs/partitions you want to back up are initialized with appropriate keys (blue SO and black Partition Owner/User PED keys, which can be the same for both devices, or can be different).
- Both devices must share the same domain or red PED key value.
- The workstation (Windows computer) has Remote PED and SafeNet Remote Backup software package installed including the appropriate driver.
- For SafeNet Luna Network HSM, NTLS is established between your workstation computer, acting as a SafeNet Luna Network HSM client, and the distant SafeNet Luna Network HSM - that is, the workstation is registered as a client with the partition.
- A Remote PED session key (orange RPV key) has been created and associated with the distant SafeNet Luna HSM.

## To Backup an Application Partition to a Remotely Located Backup HSM:

The following procedure provides an example illustrating how to remotely backup a PED-authenticated application partition. In this example a single remote PED, attached to the Windows workstation used to host the Backup HSM, is used.

### Set up the remote PED

1. Ensure that your Windows workstation has the PED USB driver (from the **/USBdriver** folder on the software CD) installed, and that the **PEDServer.exe** file (the executable program file that makes Remote PED operation possible) has been copied to a convenient directory on your hard disk.
2. Connect all of the components as follows:



From	Using	To
Workstation	USB	Remote PED (Luna PED IIr in Remote mode)
DC power receptacle on Remote PED	PED Power Supply	Mains AC power (wall socket)
Workstation	USB	SafeNet Luna Backup HSM
SafeNet Luna Backup HSM	Power Cord	Mains AC power (wall socket)

- At the Remote Luna PED (Luna PED with remote capability, connected to the USB port of the workstation), do the following:
  - Press **<** on the PED keypad to navigate to the main menu.
  - Press **7** to enter Remote mode.
- Run **PedServer** to start the Remote PED service on the administrative workstation (Windows) computer, as follows:
  - In a Command Prompt (DOS) window, change directory to the location of the **PEDServer.exe** file and run that file:

```
C:\>cd \Program Files\LunaClient
C:\Program Files\LunaClient>PEDServer -mode start
```

- Open an administrative connection (SSH) to the distant SafeNet Luna HSM (for SafeNet Luna Network HSM appliance, log in as "admin." For another HSM host, log in with the appropriate ID. Start the PED Client (the Remote PED enabling process on the appliance):

```
lunash:> hsm ped connect -ip <workstation_ip_address> -port 1503
```

or

```
lunacm:> hsm ped connect -ip <workstation_ip_address> -port 1503
```

Insert the orange RPV PED key that matches the RPV of the distant SafeNet Luna HSM.

The Remote PED Client in the SafeNet Luna Network HSM appliance or in the SafeNet Luna HSM client workstation establishes a connection with the listening PedServer on your remote PED workstation.

### Backup a slot to the remotely located backup HSM



**Note:** The following steps apply to LunaCM only. For LunaSH, follow the procedure "[To backup a SafeNet Luna Network HSM partition to a directly connected Backup HSM:](#)" on page 1. Use the **token backup list** and **token backup show** commands to ensure that the remote Backup HSM is visible.

- Start the LunaCM utility (in Windows, it resides at **C:\Program Files\SafeNet\LunaClient** - in Linux/UNIX, it resides at **/usr/safenet/lunaclient/bin**).

```
C:\Program Files\SafeNet\LunaClient>lunacm.exe
```

```
LunaCM V7.0.0 - Copyright (c) 2006-2017 Gemalto, Inc.
```

```
Available HSM's:
```

```

Slot Id -> 1
HSM Label -> SA82_P1
HSM Serial Number -> 16298193222733
HSM Model -> LunaSA 7.0.0
HSM Firmware Version -> 7.0.1
HSM Configuration -> Luna User Partition, With SO (PED) Signing With Cloning Mode
HSM Status -> OK

Slot Id -> 2
HSM Label -> G5PKI
HSM Serial Number -> 701968008
HSM Model -> LunaSA
HSM Firmware Version -> 6.10.1
HSM Configuration -> SafeNet Luna Network HSM Slot (PED) Signing With Cloning Mode
HSM Status -> OK

Slot Id -> 3
HSM Label -> G5backup
HSM Serial Number -> 700101
HSM Model -> G5Backup
HSM Firmware Version -> 6.26.01
HSM Configuration -> Luna HSM (PED) Backup Device
HSM Status -> OK

```

```
Current Slot Id: 1
```

7. If the current slot is not the slot that you wish to backup, use the **slot set** command to go to the correct slot.

```
lunacm:> slot set slot 1
```

```
Current Slot Id: 1 (Luna User Slot 6.22.0 (PED) Signing With Cloning Mode)
```

```
Command Result : No Error
```

8. Establish that the HSM is listening for the remote Luna PED at the correct location:



**Note:** The PEDServer must already have been set up at that host.

```
lunacm:>ped get
```

```
HSM slot 1 listening to local PED (PED id=0).
```

```
Command Result : No Error
```

```
lunacm:> ped connect ip 192.20.10.190
```

```
Command Result : No Error
```

```
lunacm:> ped get
```

```
HSM slot 1 listening to remote PED (PED id=100).
```

```
Command Result : No Error
```

9. Skip this step if your source partition is activated.

Log into the partition (this takes place at the currently selected slot). This step is needed only if the partition you are about to backup is not already in the activated state.

```
lunacm:> role login -name Crypto Officer

Option -password was not supplied. It is required.

Enter the password: *****

User is activated, PED is not required.

Command Result : No Error
```

**10. Disconnect the PED from your source HSM (slot 1 in this example), and connect to the remote Backup HSM (slot 3 in this example):**

```
lunacm:> ped disconnect

Are you sure you wish to disconnect the remote ped?
Type 'proceed' to continue, or 'quit' to quit now -> proceed

Command Result : No Error

lunacm:> ped connect ip 192.20.10.190 -slot 3

Command Result : No Error

lunacm:> ped get -slot 3

HSM slot 3 listening to remote PED (PED id=100).

Command Result : No Error
```

**11. Perform the backup from the current slot to the partition that you designate on the Remote Backup HSM. Now that the Backup HSM is listening correctly for a PED, the target partition can be created, with PED action for the authentication.**

```
lunacm:> partition archive backup -slot 3 -par SAbck1

Logging in as the SO on slot 3.
Please attend to the PED.

Creating partition SAbck1 on slot 3.
Please attend to the PED.

Logging into the container SAbck1 on slot 3 as the user.
Please attend to the PED.

Creating Domain for the partition SAbck1 on slot 3.
Please attend to the PED.

Verifying that all objects can be backed up...

85 objects will be backed up.

Backing up objects...
Cloned object 99 to partition SAbck1 (new handle 19).
```

```

Cloned object 33 to partition SAbck1 (new handle 20).
Cloned object 108 to partition SAbck1 (new handle 23).
.
.
.
Cloned object 78 to partition SAbck1 (new handle 128).
Cloned object 88 to partition SAbck1 (new handle 129).
Cloned object 40 to partition SAbck1 (new handle 130).

Backup Complete.

85 objects have been backed up to partition SAbck1
on slot 3.

```

Command Result : No Error

12. The backup operation is complete.

## Restoring an HSM Partition From a Remotely Located Backup HSM

This section describes how to restore an application partition from a remotely located Backup HSM using RBS.

### To restore an application partition from a remotely located backup HSM:

The following procedure provides an example of how to restore a partition from a remotely located Backup HSM. In this example, the partition is restored to a SafeNet Luna Network HSM partition that is not in the activated state. A single remote PED is used to authenticate to the remote Backup HSM and the SafeNet Luna Network HSM partition. If your primary HSM partition (the partition onto which you will restore the backed-up objects) is in the activated state, then only the Backup HSM needs PED activity for authentication during restore.



**Note:** The following steps apply to LunaCM only. For LunaSH, follow the procedure "[To restore a SafeNet Luna Network HSM partition from a directly connected Backup HSM:](#)" on page 1. Use the **token backup list** and **token backup show** commands to ensure that the Remote Backup HSM is visible.

1. In our test setup, we have each of several SafeNet Luna HSM products. An easy way to see an updated summary of all HSMs and slot assignments is to exit LunaCM and restart the utility.

```
C:\Program Files\SafeNet\LunaClient>lunacm.exe
```

```
LunaCM v7.0.0 - Copyright (c) 2006-2017 Gemalto, Inc.
```

```
Available HSMs:
```

```

Slot Id ->          0
Label ->
Serial Number ->    16298193222733
Model ->            LunaSA 7.0.0
Firmware Version -> 7.0.1
Configuration ->    Luna User Partition With SO (PED) Signing With Cloning Mode
Slot Description -> Net Token Slot

Slot Id ->          1
Label ->

```

```

Serial Number -> 16298193222735
Model -> LunaSA 7.0.0
Firmware Version -> 7.0.1
Configuration -> Luna User Partition With SO (PED) Signing With Cloning Mode
Slot Description -> Net Token Slot

Slot Id -> 2
Label -> legacypar1
Serial Number -> 16298193222734
Model -> LunaSA
Firmware Version -> 6.22.0
Configuration -> Luna User Partition, No SO (PED) Signing With Cloning Mode
Slot Description -> Net Token Slot

Slot Id -> 3
Label -> SAbck1
Serial Number -> 700101
Model -> G5Backup
Firmware Version -> 6.26.0
Configuration -> Luna User Partition With SO (PED) Signing With Cloning Mode
Slot Description -> User Token Slot

Slot Id -> 5
Tunnel Slot Id -> 7
Label ->
Serial Number -> 349297122734
Model -> K6 Base
Firmware Version -> 6.22.0
Configuration -> Luna User Partition With SO (PED) Signing With Cloning Mode
Slot Description -> User Token Slot

Slot Id -> 6
Tunnel Slot Id -> 7
Label -> mypcie6
Serial Number -> 150022
Model -> K6 Base
Firmware Version -> 6.22.0
Configuration -> Luna HSM Admin Partition (PED) Signing With Cloning Mode
Slot Description -> Admin Token Slot
HSM Configuration -> Luna HSM Admin Partition (PED)
HSM Status -> OK

Slot Id -> 8
HSM Label -> myG5pw
HSM Serial Number -> 7001312
HSM Model -> G5Base
HSM Firmware Version -> 6.10.4
HSM Configuration -> SafeNet Luna USB HSM (PW) Signing With Cloning Mode
HSM Status -> OK

Current Slot Id: 0

```

## 2. Verify which slot is listening for PED and whether it is expecting local or remote.

```
lunacm:>ped get
```

```
HSM slot 0 listening to local PED (PED id=0).
```

```
Command Result : No Error
```

3. Connect to Remote PED with **ped connect**.
4. Log into the partition to which you want to restore.



**Note:** This would not be necessary if the partition was activated - we are demonstrating that if the partition was not in login state or activated state, it is straightforward to briefly switch the PED to the primary HSM partition before switching the PED back to the Backup HSM.

```
lunacm:> role login -n Crypto Officer
```

```
enter password: *****
```

```
Please attend to the PED.
```

```
Command Result : No Error
```

```
lunacm:> ped disconnect
```

```
Are you sure you wish to disconnect the remote ped?
```

```
Type 'proceed' to continue, or 'quit' to quit now -> proceed
```

```
Command Result : No Error
```

(The current selected slot in LunaCM is still slot 0, and having ensured login status on that slot/partition we have just released the Remote PED connection there. The other end of the Remote PED pair, the PED-connected host computer running PedServer, is now free to accept a Remote PED link from another PedClient, which will be the host attached to the SafeNet Luna Backup HSM.)



**Note:** In this example, the SafeNet Luna Network HSM partition, to which we will restore objects, is visible in LunaCM at slot 0 because it is linked to this SafeNet Luna HSM client by NTLS, while this Client is registered to that partition at the SafeNet Luna Network HSM.

The SafeNet Luna Backup HSM is visible in LunaCM, at slot 3 in this case, because it is linked by the RBS connection that you previously established (see "To Configure RBS" above in this chapter); that is, PedClient is running on this Client, and PedClient and rbs.exe are running on the Backup HSM's host, with each other identified as their partner in the RBS link.

5. Connect the Remote PED to the Backup HSM (which, in this example, is slot 3).

```
lunacm:> ped connect ip 192.20.10.190 slot 3
```

```
Command Result : No Error
```

```
lunacm:> ped get
```

```
HSM slot 0 listening to local PED (PED id=0).
```

Command Result : No Error

```
lunacm:> ped get slot 3
```

```
HSM slot 3 listening to remote PED (PED id=100).
```

Command Result : No Error

The **ped connect** command specifies the slot (now the SafeNet Luna Backup HSM) that makes a new Remote PED connection, because that slot indication is part of the command - and **ped get** verifies the new Remote PED-connected slot. But the focus of the library/LunaCM has not changed from slot 0; any other LunaCM commands that act on a slot will act on slot 0 until you change that with **slot set**. You could verify that current focus, if you wished, by running **slot list** again.

#### 6. Restore to the current slot from the slot that corresponds to the Backup HSM.

```
lunacm:> partition archive restore -slot 3 -par SAbck1
```

```
Logging in to partition SAbck1 on slot 3 as the user.
```

```
Please attend to the PED.
```

```
Verifying that all objects can be restored...
```

```
85 objects will be restored.
```

```
Restoring objects...
```

```
Cloned object 19 from partition SAbck1 (new handle 20).
```

```
Cloned object 20 from partition SAbck1 (new handle 21).
```

```
Cloned object 23 from partition SAbck1 (new handle 22).
```

```
.
```

```
.
```

```
.
```

```
Cloned object 128 from partition SAbck1 (new handle 137).
```

```
Cloned object 129 from partition SAbck1 (new handle 138).
```

```
Cloned object 130 from partition SAbck1 (new handle 139).
```

```
Restore Complete.
```

```
85 objects have been restored from partition SAbck1 on slot 3.
```

Command Result : No Error

Because the LunaCM focus rests with the target partition in slot 0, your **partition archive restore** command must explicitly identify the slot from which backup source objects are to be cloned, slot 3 in this example, onto the target partition, current-slot 0 in this case. You also specified the backup partition name, because a SafeNet Luna Backup HSM can contain more than one archived partition.

#### 7. Verify that the restored slot now looks like it did just before the backup was originally performed.

```
lunacm:> partition archive list -slot 3
```

```
HSM Storage Information for slot 3:
```

```
Total HSM Storage Space:      16252928
```

```
Used HSM Storage Space:       43616
```

```
Free HSM Storage Space:      16209312
```

```
Number Of Allowed Partitions: 20
```

```
Number Of Allowed Partitions: 1
```

```
Partition list for slot 3
```

```
Number of partition: 1
```

```
Name:                SAbck1
Total Storage Size:  41460
Used Storage Size:   41460
Free Storage Size:   0
Number Of Objects:   85
```

```
Command Result : No Error
```

```
lunacm:>
```

8. Remote restore from backup, using RBS, is complete.

To restore onto a different remote SafeNet Luna HSM, the same arrangement is required:

- The remote HSM must already have a suitable partition.
- If the restore-target HSM is a SafeNet Luna Network HSM, the target partition can have any name - it does not need to match the name of the source partition on the backup device.
- Your workstation must be registered as a client to that partition.

## Backup and Restore From the Appliance to a Local Backup HSM (LunaSH)

This section describes how to use LunaSH to backup and restore a partition on the appliance to a locally connected SafeNet Luna Backup HSM (Backup HSM). To perform a local backup, you connect the SafeNet Luna Backup HSM to a USB port on the SafeNet Luna Network HSM appliance and use LunaSH to log in as the Crypto Officer (CO) to the HSM partitions that you want to backup.

The backup operation can go from a source partition (on a SafeNet Luna Network HSM) to an existing partition on the Backup HSM, or if one does not exist, a new partition can be created during the backup. The restore operation, however, cannot create a target partition on a SafeNet Luna Network HSM; it must already exist.

You can restore a partition backup to the source HSM or to a different SafeNet Luna Network HSM. The HSM you restore to must already have a suitable partition created for the restored objects. The partition can have any name - it does not need to match the name of the source partition on the backup HSM.

You can connect the Backup HSM directly to the SafeNet Luna Network HSM appliance to backup some or all of the individual partitions it contains, using LunaSH. You require the Partition Crypto Officer (CO) credentials for each partition you want to backup.



**Note:** You cannot use this method to backup partitions configured to use STC (see "[Secure Trusted Channel \(STC\)](#)" on page 259). To backup a partition configured to use STC, you must use LunaCM, as described in "[Backup and Restore From the Appliance to a Local Backup HSM \(LunaSH\)](#)" above.



To perform a backup/restore, you open an SSH or serial connection from your workstation to the appliance, and use LunaSH to perform a backup to the Backup HSM connected to the appliance, as illustrated in the following figure:

**Figure 1: Partition backup/restore using a Backup HSM connected directly to the appliance**



### Workstation requirements

The workstation is simply a display terminal for LunaSH running on the appliance. It requires an SSH client (ssh on Linux, PuTTY on Windows). It does not require the SafeNet Luna HSM client software.

### PED-authenticated partitions

The PEDs are required only if the SafeNet Luna Network HSM is PED-authenticated. The appropriate SO (blue), partition (black) and domain (red) PED keys are required. The Backup HSM and SafeNet Luna Network HSM must share the same domain (red) PED key value.

Although two PEDs are recommended (one connected to the SafeNet Luna Network HSM and one connected to the Backup HSM) you can use a single PED, if desired. If using a single PED, note that you can connect the PED to only one HSM at a time. You will need to disconnect it from the source (SafeNet Luna Network HSM) HSM and connect to the target (SafeNet Luna Backup HSM) when PED operations are needed at those HSMs respectively.

## Backing Up a Partition to a Locally Connected Backup HSM

You can backup any partitions you can log in to as the Crypto Officer.

### To backup a SafeNet Luna Network HSM partition to a directly connected Backup HSM:

1. Connect all the required components and open a terminal session to the SafeNet Luna Network HSM appliance. See the following topics for details:

- ["Open a Connection" on page 1](#) in the *Configuration Guide*
- ["Backup HSM Installation, Storage, and Maintenance" on page 49](#)

Connect your PED directly to the HSM, and set it to Local PED-USB mode. (For legacy PED-HSM connections via MDSM cable, set your PED to Local PED-SCP mode.) See ["Changing Modes" on page 176](#) for instructions on changing modes on the Luna PED.

Connect your Backup HSM to any USB port on the appliance.

2. Open a LunaSH session on the SafeNet Luna Network HSM appliance.

```
login as: admin
admin@192.20.10.202's password:
Last login: Tue Dec 30 16:03:46 2014 from 192.16.153.111
```

```
SafeNet Luna Network HSM 7.0 Command Line Shell - Copyright (c) 2001-2017 Gemalto, Inc. All
rights reserved.
[myluna] lunash:>
```

3. Use the **token backup list** and **token backup show** commands to determine the serial number of the Backup HSM and to verify its partition and storage configuration:

```
lunash:>token backup list
```

```

Token Details:
=====
Token Label:           BackupHSM
Slot:                 6
Serial #:             7000179
Firmware:             6.26.0
Hardware Model:       G5 Backup

Command Result : 0 (Success)

lunash:> token backup show -serial 700179

Token Details:
=====
Token Label:           BackupHSM
Serial #:             700179
Firmware:             6.22.0
Hardware Model:       SafeNet Luna USB HSM
Authentication Method: PED keys
Token Admin login status: Logged In
Token Admin login attempts left: 3 before Token zeroization!

Partition Information:
=====
Partitions licensed on token: 20
Partitions created on token: 0
-----

There are no partitions.

Token Storage Information:
=====

Maximum Token Storage Space (Bytes): 16252928
Space In Use (Bytes): 0
Free Space Left (Bytes): 16252928

License Information:
=====

621010355-000      621-010355-000 G5 Backup Device Base
621000005-001      621-000005-001 Backup Device Partitions 20
621000006-001      621-000006-001 Backup Device Storage 15.5 MB
621000007-001      621-000007-001 Backup Device Store MTK Split Externally
621000008-001      621-000008-001 Backup Device Remote Ped Enable

Command result : 0 (Success)

```

4. Use the **partition backup** command to backup a specified partition and provide the PED keys as prompted, for example:

```

[myluna] lunash:>par backup -s 7000179 -par p1 -tokenPar bck1

Type 'proceed' to continue the backup, or 'quit'
to abort this operation.
> proceed
Please enter the password for the HSM partition:

```

```
> *****
```

```
Warning: You will need to attach Luna PED to the SafeNet Luna Backup HSM
         to complete this operation.
         You may use the same Luna PED that you used for SafeNet Luna Network HSM.
```

```
Please hit <enter> when you are ready to proceed.
```

```
Luna PED operation required to login to token - use token Security Officer (blue) PED key.
Luna PED operation required to create a partition - use User or Partition Owner (black) PED
key.
```

```
Luna PED operation required to login to user on token - use User or Partition Owner (black)
PED key.
```

```
Luna PED operation required to generate cloning domain on the partition - use Domain (red)
PED key.
```

```
Object "1-User DES Key1" (handle 17) cloned to handle 11 on target
Object "1-User DES Key2" (handle 18) cloned to handle 12 on target
Object "1-User Public RSA Key1-512" (handle 19) cloned to handle 13 on target
```

```
.
.
.
```

```
Object "1-User ARIA Key3" (handle 124) cloned to handle 118 on target
Object "1-User ARIA Key4" (handle 125) cloned to handle 119 on target
Object "1-User ARIA Key5" (handle 126) cloned to handle 120 on target
'partition backup' successful.
```

```
Command Result : 0 (Success)
```

## 5. Use the **token backup show** command to verify the backup:

```
lunash:> token backup show -serial 667788
Token Details:
=====
Token Label:                BackupHSM
Serial #:                   700179
Firmware:                   6.26.0
HSM      Model:             G5Backup
Authentication Method:      PED keys
Token Admin login status:   Logged In
Token Admin login attempts left: 3 before Token zeroization!
```

```
Partition Information:
=====
Partitions licensed on token: 20
Partitions created on token: 1
-----
Partition: 7000179008,      Name: bck1.
```

```
Token Storage Information:
=====
Maximum Token Storage Space (Bytes): 16252928
Space In Use (Bytes):                43616
Free Space Left (Bytes):              16209312
```

```
License Information:
=====
```

```

621010355-000      621-010355-000 G5 Backup Device Base
621000005-001      621-000005-001 Backup Device Partitions 20
621000006-001      621-000006-001 Backup Device Storage 15.5 MB
621000007-001      621-000007-001 Backup Device Store MTK Split Externally
621000008-001      621-000008-001 Backup Device Remote PED Enable

```

```
Command result : 0 (Success)
```

## Restoring a Partition from a Locally Connected Backup HSM

You can backup any partitions you can log in to as the Crypto Officer.

### To restore a SafeNet Luna Network HSM partition from a directly connected Backup HSM:

To restore the partition contents from the SafeNet Remote Backup Device to the same local SafeNet Luna Network HSM, use the same setup described above, but use the **partition backup restore** command instead.

1. Connect all the required components and open a terminal session to the SafeNet Luna Network HSM appliance. See the following topics for details:

- ["Open a Connection" on page 1](#) in the *Installation and Configuration Guide*
- ["Backup HSM Installation, Storage, and Maintenance" on page 49](#)

Connect your PED directly to the HSM, and set it to Local PED-USB mode. (For legacy PED-HSM connections via MDSM cable, set your PED to Local PED-SCP mode.) See ["Changing Modes" on page 176](#) for instructions on changing modes on the Luna PED.

2. Open a LunaSH session on the SafeNet Luna Network HSM appliance.

```

login as: admin
admin@192.20.10.202's password:
Last login: Tue Feb 28 16:03:46 2012 from 192.16.153.111

```

```

SafeNet Luna Network HSM 7.0 Command Line Shell - Copyright (c) 2001-2016 Gemalto, Inc. All
rights reserved.
[myluna] lunash:>

```

3. Use the **partition restore** command to restore a partition:

```

[myluna] lunash:>par restore -s 7000179 -tokenPar bk5 -par p1 -replace
Please enter the password for the HSM partition:
> *****

```

```

CAUTION: Are you sure you wish to erase all objects in the
partition named:          p1
Type 'proceed' to continue, or 'quit' to quit now.
> proceed

```

Warning: You will need to attach Luna PED to the SafeNet Luna Backup HSM to complete this operation.

You may use the same Luna PED that you used for SafeNet Luna Network HSM.

Please hit <enter> when you are ready to proceed.

```

Luna PED operation required to login to user on token - use User or Partition Owner (black)
PED key.
Object "1-User DES Key1" (handle 17) cloned to handle 11 on target
Object "1-User DES Key2" (handle 18) cloned to handle 12 on target

```

```
Object "1-User Public RSA Key1-512" (handle 19) cloned to handle 13 on target
.
.
Object "1-User ARIA Key3" (handle 124) cloned to handle 118 on target
Object "1-User ARIA Key4" (handle 125) cloned to handle 119 on target
Object "1-User ARIA Key5" (handle 126) cloned to handle 120 on target
'partition restore' successful.

Command Result : 0 (Success)
```

## Troubleshooting

This section provides troubleshooting tips for errors you may encounter when performing a partition backup/restore operation.

### Warning: This token is not in the factory reset (zeroized) state

If you insert a backup token that has previously been used on a password-authenticated SafeNet Luna Network HSM into a PED-authenticated SafeNet Luna Network HSM, and attempt to initialize it, the system responds with the message "Warning: This token is not in the factory reset (zeroized) state" as shown in the following example:

```
lunash:>token backup init -label mylunatoken -serial 1234567 -force

Warning: This token is not in the factory reset (zeroized) state.
You must present the current Token Admin login credentials
to clear the backup token's contents.

Luna PED operation required to initialize backup token - use
Security Officer (blue) PED key.

Error: 'token init' failed. (300130 : LUNA_RET_INVALID_ENTRY_TYPE)

Command Result : 65535 (Luna Shell execution)
```

This is a security feature, intended to prevent backup of PED-secured HSM objects onto a less secure Password Authenticated token. To work around this problem, issue the **token factoryreset** command, and then initialize the token, as shown in the following example:

```
lunash:>token backup factoryreset -serial 1234567
CAUTION: Are you sure you wish to reset this backup token to
factory default settings? All data will be erased.

Type 'proceed' to return the token to factory default, or
'quit' to quit now.
> proceed

token factoryReset' successful.
Command Result : 0 (Success)

lunash:>token backup init -label mylunatoken -serial 1234567 -force
Luna PED operation required to initialize backup token - use
Security Officer (blue) PED key.
Luna PED operation required to login to backup token - use
Security Officer (blue) PED key.
Luna PED operation required to generate cloning domain on
```

backup token - use Domain (red) PED key.

'token init' successful.

Command Result : 0 (Success)

# Capabilities and Policies

HSM capabilities describe the SafeNet Luna Network HSM's configuration, and are displayed using the LunaSH command **hsm showpolicies**. They are set at manufacture according to the model you selected at time of purchase. Capabilities can only be modified by purchase and application of capability updates.

HSM policies correspond to a subset of capabilities that allow you to customize the HSM functions. Policies can be modified to provide greater security based on your specific needs. For example, you can restrict the HSM to use only FIPS-approved algorithms by setting HSM policy **12**.

Partitions inherit the capabilities and policy settings of the HSM. Partitions also have policies that can be set to customize the partition functions. Partition policies can never be modified to be less secure than the corresponding HSM capability/policy. For example, if the HSM's cloning policy is disallowed (see HSM policy **7**), partition policies **0** and **4**, which allow cloning of private or secret keys, cannot be set.

The following sections list and describe the HSM and partition capabilities and policies:

- ["HSM Capabilities and Policies" below](#)
- ["Partition Capabilities and Policies" on page 83](#)

## HSM Capabilities and Policies

---

HSM capabilities describe the SafeNet Luna Network HSM's configuration. They are set at manufacture according to the model you selected at time of purchase. Capabilities can only be modified by purchase and application of capability updates.

HSM policies correspond to a subset of capabilities that allow you to modify the HSM functions. Policies can be modified to provide greater security based on your specific needs. They can never be modified to be less secure than the corresponding capability.

To view the HSM capability and policy settings, use the LunaSH command **hsm showpolicies**.

To modify HSM policies, login as HSM SO and use the LunaSH command **hsm changepolicy -policy <policy#> -value <0/1>**.

See ["hsm changepolicy" on page 1](#) in the *LunaSH Command Reference Guide* for command syntax.

To zeroize the HSM and reset the policies to their default values, use **hsm factoryreset**.

## Destructiveness

In some cases, changing an HSM policy zeroizes all application partitions or the entire HSM as a security measure. These policies are listed as **destructive**.

## HSM Capability and Policy Descriptions

The table below summarizes the relationships and provides a brief description of the purpose and operation of each capability and policy.

#	HSM Capability	HSM Policy	Description
0	Enable PIN-based authentication		If allowed, the HSM authenticates all users with keyboard-entered passwords.
1	Enable PED-based authentication		If allowed, the HSM authenticates users with secrets stored on physical PED keys, read by a SafeNet Luna PED. The Crypto Officer and Crypto User roles may also be configured with a secondary, keyboard-entered challenge secret.
2	Performance level		Numerical value indicates the performance level of this HSM, determined by the model you selected at time of purchase: <ul style="list-style-type: none"> <li>• <b>4: Standard</b> performance</li> <li>• <b>8: Enterprise</b> performance</li> <li>• <b>15: Maximum</b> performance</li> </ul>
4	Enable domestic mechanisms & key sizes		Always allowed. All SafeNet Luna HSMs are capable of full-strength cryptography with no US export restrictions.
6	Enable masking		Always disallowed. SIM has been deprecated on all current SafeNet Luna Network HSMs.
7	Enable cloning	Allow cloning <b>Destructive</b>	If allowed, the HSM is capable of cloning cryptographic objects from one partition to another. This policy must be enabled to backup partitions over a network or create HA groups. Partition Security Officers may then enable/disable cloning on individual partitions.
9	Enable full (non-backup) functionality		If allowed, the HSM is capable of full cryptographic functions.  This capability is only disallowed on SafeNet Luna Backup HSMs.
12	Enable non-FIPS algorithms	Allow non-FIPS algorithms <b>Destructive</b>	If allowed, the HSM can use all available cryptographic algorithms.  If disallowed, only algorithms sanctioned by the FIPS 140-2 standard are permitted. The following is displayed in the output from <b>hsm show</b> in LunaSH:  FIPS 140-2 Operation: ===== The HSM is in FIPS 140-2 approved operation mode.
15	Enable SO reset of partition PIN	SO can reset partition PIN	If allowed, a Partition SO can reset the password or PED secret of a Crypto Officer who has been locked out after too



#	HSM Capability	HSM Policy	Description
		<b>Destructive</b>	many bad login attempts. If disallowed, the lockout is permanent and the partition contents are no longer accessible. The partition must be re-initialized, and key material restored from a backup device. See <a href="#">"Failed Logins" on page 335</a> for more information.
16	Enable network replication	Allow network replication	If allowed, cryptographic object cloning is permitted over a network. This is required for HA groups, and for partition backup to a remote or client-connected SafeNet Luna Backup HSM. If disallowed, cloning over a network is not permitted. Partition backup is possible to a locally-connected SafeNet Luna Backup HSM only. Setting this policy to <b>0</b> means that only the HSM SO can backup partitions.
17	Enable Korean Algorithms	Allow Korean algorithms	If allowed, the SafeNet Luna Network HSM can use the Korean algorithm set. This capability may be purchased as an upgrade. See <a href="#">"HSM Capability and Partition Upgrades" on page 287</a> .
18	FIPS evaluated		Always disallowed - deprecated policy. All SafeNet Luna Network HSMs are capable of operating in FIPS Mode.
19	Manufacturing Token		N/A (SafeNet internal use only)
21	Enable forcing user PIN change	Force user PIN change after set/reset	If allowed, when a Partition SO initializes the Crypto Officer role (or resets the password/PED secret), the CO must change the credential with <b>role changepw</b> before any other actions are permitted. The same is true when the CO initializes/resets the Crypto User role. This policy is intended to enforce the separation of roles on the partition. If disallowed, the CO/CU may continue to use the credential assigned by the Partition SO.
22	Enable offboard storage	Allow off-board storage <b>Destructive</b>	On previous HSMs, this policy allowed or disallowed the use of the portable SIM key. SIM is not supported on this version of SafeNet Luna HSM.
23	Enable partition groups		Always disallowed - deprecated policy.
25	Enable Remote PED usage	Allow Remote PED usage	Always enabled on PED-authenticated SafeNet Luna Network HSMs. All PED-authenticated HSMs are capable of connecting to a local PED or a remotely-located PED server. The HSM SO may turn this feature on or off.
27	HSM non-volatile storage space		Displays the non-volatile maximum storage space (in bytes) on the HSM. This is determined by the model of SafeNet

#	HSM Capability	HSM Policy	Description
			Luna Network HSM you selected at time of purchase.
30	Enable Unmasking	Allow unmasking	If allowed, cryptographic material can be migrated from legacy SafeNet appliances that used SIM.
33	Maximum number of partitions		Displays the maximum number of application partitions that can be created on the HSM. This number is determined by the model of SafeNet Luna Network HSM you selected at time of purchase. On some models, the number of allowable partitions can be upgraded with a separate purchase. See <a href="#">"HSM Capability and Partition Upgrades"</a> on page 287 for more information.
35	Enable Single Domain		Not applicable to SafeNet Luna Network HSMs.
36	Enable Unified PED Key		Not applicable to SafeNet Luna Network HSMs.
37	Enable MofN	Allow MofN	If allowed on PED-authenticated SafeNet Luna Network HSMs, this policy enables you to split a PED secret among multiple PED keys (see <a href="#">"MofN Split Secret Keys"</a> on page 182).  If disallowed, users will no longer be asked to split a PED secret (M and N automatically set to 1).  Always disallowed on password-authenticated HSMs.
38	Enable small form factor backup/restore		Not available in this release.
39	Enable Secure Trusted Channel	Allow Secure Trusted Channel	If allowed, this policy enables the use of Secure Trusted Channel for partition-client connections (see <a href="#">"Secure Trusted Channel (STC)"</a> on page 259).  If disallowed, all partition-client connections must use NTLS.
40	Enable decommission on tamper	Decommission on tamper <b>Destructive</b>	If allowed, the HSM will be decommissioned if a tamper event occurs. Decommissioning deletes all partitions and their contents, the audit role, and the audit configuration. The HSM policy settings are retained.  See <a href="#">"Tamper Events"</a> on page 303 for more information.  <b>CAUTION:</b> Setting this policy to 0 will zeroize the entire HSM and it must be re-initialized.
42	Enable partition re-initialize		Not available in this release.
43	Enable low level	Allow low level math	This is enabled by default, and must be enabled to provide

#	HSM Capability	HSM Policy	Description
	math acceleration	acceleration	maximum performance. Do not disable unless instructed to do so by Gemalto Technical Support.
45	Enable Fast-Path		Not available in this release.
46	Allow Disabling Decommission	Disable Decommission <b>Destructive</b>	If enabled, the decommission button is disabled, preventing decommissioning of the HSM. <b>Note:</b> You cannot enable this policy if HSM policy 40: Decommission on Tamper is enabled.
47	Enable Tunnel Slot		Not available in this release.
48	Enable Controlled Tamper Recovery	Do Controlled Tamper Recovery	If allowed, the HSM SO must explicitly clear the tamper before the HSM can resume normal operations. This is the default behavior. If disallowed, the HSM must be restarted before it can resume normal operations. See " <a href="#">Tamper Events</a> " on <a href="#">page 303</a> for more information.

## Partition Capabilities and Policies

Partitions inherit the capabilities and policy settings of the HSM. Partitions also have policies that can be set to customize the partition functions. Partition policies can never be modified to be less secure than the corresponding HSM capability/policy. For example, if the HSM's cloning policy is disallowed (see HSM policy 7), partition policies 0 and 4, which allow cloning of private or secret keys, cannot be set.



**Note:** If you are running more than one LunaCM session against the same partition, and change a partition policy in one LunaCM session, the policy change will be reflected in that session only. You must exit and restart the other LunaCM sessions to display the changed policy settings.

To view the partition capabilities and policy settings, use the LunaCM command **partition showpolicies**.

To modify partition policies, login as Partition SO and use the LunaCM command **partition changepolicy -policy <policy#> -value <0/1/value>**.

See "[partition changepolicy](#)" on [page 1](#) in the *LunaCM Command Reference Guide* for command syntax.

## Destructiveness

In some cases, changing a partition policy forces deletion of all cryptographic objects on the partition as a security measure. These policies are listed as **destructive**. Destructive policies are typically those that change the security level of the objects stored in the partition.

Use the LunaCM command **partition showpolicies -verbose** to check whether the policy you want to enable/disable is destructive.

## Partition Capabilities and Policies List

The table below summarizes the relationships and provides a brief description of the purpose and operation of each capability and policy.

#	Partition Capability	Partition Policy	Description
0	Enable private key cloning	Allow private key cloning <b>Destructive: ON</b>	If enabled, the partition is capable of cloning cryptographic objects to another partition. This policy must be enabled to backup partitions or create HA groups.
1	Enable private key wrapping	Allow private key wrapping <b>Destructive: ON</b>	Always disabled for all partitions on a SafeNet Luna Network HSM. Private keys on the partition may not be wrapped off. The Partition SO cannot change this policy.
2	Enable private key unwrapping	Allow private key unwrapping	If enabled, private keys may be unwrapped onto the partition. The Partition SO can turn this feature on or off. If disabled, private key unwrapping is not available, and the Partition SO cannot change this.
3	Enable private key masking	Allow private key masking <b>Destructive: ON</b>	Always disabled. SIM has been deprecated on all current SafeNet Luna Network HSMs. The Partition SO cannot change this policy.
4	Enable secret key cloning	Allow secret key cloning <b>Destructive: ON</b>	If enabled, secret keys on the partition can be backed up. The Partition SO can turn this feature on or off. The Partition SO may wish to turn this feature on immediately before a scheduled backup, and then turn it off again to prevent unauthorized backup.  If disabled, secret keys cannot be backed up, and the Partition SO cannot change this.. Partition backup or partition network replication is allowed for the SafeNet high availability feature.
5	Enable secret key wrapping	Allow secret key wrapping <b>Destructive: ON</b>	If enabled, secret keys can be wrapped off the partition. The Partition SO can turn this feature on or off. The Partition SO may wish not to allow secret key wrapping, in which case he/she would turn off this policy.  If disabled, the partition does not support secret key wrapping, and the Partition SO cannot change this.
6	Enable secret key unwrapping	Allow secret key unwrapping	If enabled, secret keys can be unwrapped onto the partition. The Partition SO can turn this feature on or off.  If disabled, the partition does not support secret key unwrapping, and the Partition SO cannot change this.
7	Enable secret key masking	Allow secret key masking <b>Destructive: ON</b>	Always disabled. SIM has been deprecated on all current SafeNet Luna Network HSMs. The Partition SO cannot change this policy.
10	Enable multipurpose	Allow multipurpose	If enabled, keys for multiple purposes, such as signing and

#	Partition Capability	Partition Policy	Description
	keys	keys <b>Destructive: ON</b>	decrypting, may be created on the partition. The Partition SO can turn this feature on or off. If disabled, keys created on (or unwrapped onto) the partition must specify only a single function in the attribute template.
11	Enable changing key attributes	Allow changing key attributes <b>Destructive: ON</b>	If enabled, non-sensitive attributes of the keys on the partition are modifiable (the user can change the functions that the key can use). If disabled, keys created on the partition cannot be modified. This policy affects the following "key function attributes": CKA_ENCRYPT CKA_DECRYPT CKA_WRAP CKA_UNWRAP CKA_SIGN CKA_SIGN_RECOVER CKA_VERIFY CKA_VERIFY_RECOVER CKA_DERIVE CKA_EXTRACTABLE
15	Allow failed challenge responses	Ignore failed challenge responses <b>Destructive: ON</b>	This policy applies to PED-authenticated SafeNet Luna HSMs only. The Partition SO can turn the feature on or off. If enabled, failed challenge secret login attempts on an activated partition are not counted towards a partition lockout. Only failed PED key authentication attempts will increment the counter. If disabled, failed login attempts using either a PED key or a challenge secret will count towards a partition lockout. <a href="#">See "Activation and Auto-Activation on PED-Authenticated Partitions" on page 160</a> and <a href="#">"Failed Logins" on page 335</a> for more information.
16	Enable operation without RSA blinding	Operate without RSA blinding <b>Destructive: ON</b>	If enabled, the partition may run in a mode that does not use RSA blinding (a technique that introduces random elements into the signature process to prevent timing attacks on the RSA private key. Use of this technique may be required by certain security policies, but it does reduce performance). The Partition SO can turn this feature on or off. If disabled, the partition will always run in RSA blinding mode; performance will be affected. If the policy is on (set to <b>1</b> ), RSA blinding is not used.
17	Enable signing with non-local keys	Allow signing with non-local keys	If a key was generated on an HSM, CKA_LOCAL is set to 1. With this policy turned off, only keys with CKA_LOCAL=1 can be used to sign data on the HSM.

#	Partition Capability	Partition Policy	Description
			<p>Keys that are imported (unwrapped) to the HSM have CKA_LOCAL explicitly set to 0, so they may not be used for signing. Cloning and SIM maintain the value of CKA_LOCAL.</p> <p>With this policy turned on, keys that did not originate on the HSM (CKA_LOCAL=0) may be used for signing, and their trust history is not assured.</p>
18	Enable raw RSA operations	Allow raw RSA operations <b>Destructive: ON</b>	<p>If enabled, the partition may allow raw RSA operations (mechanism CKM_RSA_X_509). This allows weak signatures and weak encryption. The Partition SO can turn this feature on or off.</p> <p>If disabled, the partition will not support raw RSA operations.</p>
20	Max failed user logins allowed	Max failed user logins allowed	<p>Displays the maximum number of failed partition login attempts before the partition is locked out (see <a href="#">"Failed Logins" on page 335</a>).</p> <p>The Partition SO can change the number of failed logins to a value lower than the maximum if desired.</p>
21	Enable high availability recovery	Allow high availability recovery	<p>If enabled, partitions in the same HA group may be used to restore the login state of this partition after power outage or other deactivation. RecoveryLogin must be configured in advance (see <a href="#">"role recoveryinit" on page 1</a> and <a href="#">"role recoverylogin" on page 1</a> in the <i>LunaCM Command Reference Guide</i> for details). The Partition SO can turn this feature on or off.</p>
22	Enable activation	Allow activation	<p>Applies only to PED-authenticated HSMs.</p> <p>If enabled, the black and/or gray PED key secrets may be cached, so that the CO or CU only needs the challenge secret to login. The Partition SO can turn this feature on or off.</p> <p>If disabled (or the policy is turned off), PED keys must be presented at each login, whether the call is local or from a client application.</p> <p>This policy setting is overridden and activation is disabled if a tamper event occurs, or if an uncleared tamper event is detected on reboot. See <a href="#">"Tamper Events" on page 303</a>, and <a href="#">"Activation and Auto-Activation on PED-Authenticated Partitions" on page 160</a> for more information.</p>
23	Enable auto-activation	Allow auto-activation	<p>See Capability 22 above for a description of activation.</p> <p>If enabled, the black or gray PED key secrets may be encrypted and semi-permanently cached to hard disk, so that the partition's activation status can be maintained after a power loss of up to two hours. The Partition SO can turn</p>

#	Partition Capability	Partition Policy	Description
			<p>this feature on or off.</p> <p>If disabled, this partition does not support auto-activation.</p> <p>This policy setting is overridden and auto-activation is disabled if a tamper event occurs, or if an uncleared tamper event is detected on reboot. See <a href="#">"Tamper Events" on page 303</a>, and <a href="#">"Activation and Auto-Activation on PED-Authenticated Partitions" on page 160</a> for more information.</p>
25	Minimum PIN length (inverted: 255 - min)	Minimum PIN length (inverted: 255 - min)	<p>The absolute minimum length for a partition login PIN is 8 characters. This is displayed as a value subtracted from 256. The policy value is determined as follows:</p> <p>Subtract the desired minimum PIN length from 256 (the absolute maximum length), and set policy 25 to that value.</p> <p><b>256 - (min PIN) = (policy value)</b></p> <p>For example, to set the minimum PIN length to 10 characters, the Partition SO should set the value of this policy to 246:</p> <p><b>256 - 10 = 246</b></p> <p>The reason for this inversion is that a policy can only be set to a value equal to or lower than the value set by its capability. If the absolute minimum PIN length was set to 8, the Partition SO would be able to set the preferred minimum to 2, a less-secure policy. The Partition SO may only change the minimum PIN length to increase security by forcing stronger passwords.</p>
26	Maximum PIN length	Maximum PIN length	<p>The absolute maximum length for a partition login PIN is 255 characters. The effective maximum may be changed by the Partition SO, and must always be greater than the value of the minimum PIN length, determined by the formula in the description of policy 25 (above).</p>
28	Enable Key Management Functions	Allow Key Management Functions <b>Destructive: ON</b>	<p>The Partition SO can disable access to any key management functions by the user - all users become Crypto Users (the restricted-capability user) even if logged in as Crypto Officer.</p>
29	Enable RSA signing without confirmation	Perform RSA signing without confirmation <b>Destructive: ON</b>	<p>The HSM can perform an internal verification (confirmation) of a signing operation to validate the signature. This confirmation is disabled by default because it has a performance impact on signature operations.</p>
31	Enable private key unmasking	Allow private key unmasking	Remove encryption with AES 256-bit key from private key
32	Enable secret key unmasking	Allow secret key unmasking	Remove encryption with AES 256-bit key from secret key

#	Partition Capability	Partition Policy	Description
33	Enable RSA PKCS mechanism	Allow RSA PKCS mechanism <b>Destructive: ON</b>	
34	Enable CBC-PAD (un)wrap keys of any size	Allow CBC-PAD (un)wrap keys of any size <b>Destructive: ON</b>	
35	Enable private key SFF backup/restore	Allow private key SFF backup/restore <b>Destructive: ON</b>	Not available in this release.
36	Enable secret key SFF backup/restore	Allow secret key SFF backup/restore <b>Destructive: ON</b>	Not available in this release.
37	Enable Secure Trusted Channel	Force Secure Trusted Channel <b>Destructive: OFF</b>	If enabled, the Partition SO can turn this policy on to require Secure Trusted Channel (STC) for partition access. If disabled, the Client will use NTLS to access the partition. <b>NOTE:</b> It is not possible for a single Client to access some partitions on an appliance using STC and others on the same appliance using NTLS. All connections between a single client and a single SafeNet Luna Network HSM but be either STC or NTLS. See " <a href="#">Secure Trusted Channel (STC)</a> " on <a href="#">page 259</a> in the <i>Administration Guide</i> for more information.
38	Enable Fast-Path		Not available in this release.
39	Enable Start/End Date Attributes		Not available in this release.



# Configuration File Summary

Many aspects of SafeNet Luna HSM configuration and operation are controlled or adjusted by the Chrystoki.conf file (Linux/UNIX) or Crystoki.ini file (Windows). The examples in the table below are from a Windows Chrystoki.ini file.

The configuration file is organized into named sections, under which related configuration-affecting entries might appear. A basic configuration file is always present in the SafeNet Luna Client folder, installed by the SafeNet Luna Client installer, with default values assigned to the populated entries. In addition to the most basic sections and entries, some additional sections and entries can be included at installation time, if you select more than the minimal installation options for your HSM model(s).

In addition, new entries can be added, or existing entries can be adjusted by actions that you perform in SafeNet tools like LunaCM and vtl.

Finally, some sections or entries can be added or adjusted by manual editing of the Chrystoki.conf /Crystoki.ini file.

If you install SafeNet Luna Client where a previous version was installed, then the existing configuration file is saved and the new file adds to the existing content if appropriate. That is, if you have a SafeNet Luna HSM setup, already configured and tweaked to your satisfaction, those settings are preserved when you update to newer SafeNet Luna Client.



**Note:** For SafeNet Luna Network HSM, LunaSH commands use onboard default configuration settings. Clients that are sent to the HSM via SafeNet Luna HSM Client, making use of the client library, include the relevant configuration settings from the client-side Chrystoki.conf /Crystoki.ini configuration file.

The following table lists sections and settings that you are likely to encounter in normal use of SafeNet products. Not all are applicable to every SafeNet Luna HSM. Each setting is named, with default values, allowed range of values, description of the item/setting, and remarks about any interactions between the current setting and others that you might configure.

Where the range is a file path, <luna\_client\_dir> specifies the path to your SafeNet Luna HSM client installation.

Setting	Range (Default)	Description
[Chrystoki2]		
LibNT=	(<luna_client_dir>\cryptoki.dll)	Path to the Chrystoki2 library.
LibNT32=	(<luna_client_dir>\win32\libCryptoki2.dll)	Path to the Chrystoki2 library on 32-bit Windows systems only.
[Luna]		

Setting	Range (Default)	Description
PEDTimeout1=	(100000) ms	Specifies the PED timeout time 1 - defines how long (in milliseconds) the HSM tries to detect if it can talk to the PED before starting the actual communication with it. If the PED is unreachable the HSM returns to the host a result code for the respective HSM command. The result code indicates that the PED is not connected. This timeout is intended to be small so that the user is informed quickly that the PED is not connected.
PEDTimeout2=	(200000) ms	Specifies the PED timeout time 2 - defines how long (in milliseconds) the firmware waits for the local PED to respond to PED commands. PED commands should not be confused with PED-related HSM commands. An HSM sends PED commands to the PED when processing PED-related HSM commands, such as LOGIN or PED_CONNECT. One PED-related HSM command can involve many PED commands being sent by the HSM to the PED (for example, the MofN related commands). If a local PED does not respond to the PED commands within the span of PEDTimeout2 the HSM returns an appropriate result code (such as PED_TIMEOUT) for the respective PED-related HSM command.
PEDTimeout3=	(20000) ms	Specifies the PED timeout time 3 - defines additional time (in milliseconds) the firmware must wait for the remote PED to respond to PED commands. That is, the actual time the firmware waits for a remote PED to respond is PEDTimeout2 + PEDTimeout3.
DefaultTimeOut=	(500000) ms	Sets the default timeout interval - defines how long (in milliseconds) the HSM driver in the host system waits for HSM commands to return a result code. If the result code is not returned in that time, the driver assumes that the HSM

Setting	Range (Default)	Description
		is stuck and halts it, with the DEVICE_ERROR returned to all applications that use the HSM. Most HSM commands use this timeout. Very few exceptions exist, when a command's timeout is hard-coded in the Cryptoki library, or separate timeouts are specified in the Chrystoki.conf for certain classes of HSM commands.
CommandTimeoutPedSet=	(720000) ms	This is an exception to DefaultTimeout (above). It defines timeout (in milliseconds) for all PED-related HSM commands. This class of PED-related commands can take more time than the ordinary commands that subscribe to the DefaultTimeOut value. As a rule of thumb, CommandTimeOutPedSet = DefaultTimeOut + PEDTimeout1 + PEDTimeout2 + PEDTimeout3.
KeypairGenTimeOut=	(2700000) ms	The amount of time (in milliseconds) the library allows for a Keypair generate operation to return a value. Due to the random component, large key sizes can take an arbitrarily long time to generate, and this setting keeps the attempts within reasonable bounds. The default is calculated as the best balance between the inconvenience of occasional very long waits and the inconvenience of restarting a keygen operation. You can change it to suit your situation.
CloningCommandTimeout=	(300000) ms	The amount of time (in milliseconds) the library allows for the HSM to respond to a cloning command.
DomainParamTimeout=	(5400000) ms	Timeout for Domain Parameter Generation.

## [CardReader]

RemoteCommand=	0 = false (1 = true)	This setting was used when debugging older SafeNet products. For modern products it is ignored.
LunaG5Slots=	(3)	Number of SafeNet Luna USB HSM

Setting	Range (Default)	Description
		<p>slots reserved so that the library will check for connected devices.</p> <ul style="list-style-type: none"> <li>Can be set to zero if you have no SafeNet Luna USB HSMs and wish to get rid of the reserved spaces in your slot list.</li> <li>Can be set to any number, but is effectively limited by the number of external USB devices your host can support.</li> </ul>

## [RBS]

HostName=	Any hostname or IP address (0.0.0.0)	The hostname or IP address that the RBS server will listen on. Default is 0.0.0.0 (any IP on the local host).
HostPort=	Any unassigned port (1792)	The port number used by the RBS server.
ClientAuthFile=	(<luna_client_dir>\config\clientauth.dat)	The location of the RBS Client authentication file.
ServerCertFile=	(<luna_client_dir>\cert\server\server.pem)	The location of the RBS Server certificate file.
ServerPrivKeyFile=	(<luna_client_dir>\cert\server\serverkey.pem)	The location of the RBS Server certificate private key file.
ServerSSLConfigFile=	(<luna_client_dir>\openssl.cnf)	The location of the OpenSSL configuration file used by RBS Server or Client.
CmdProcessor=	(<luna_client_dir>\rbs_processor2.dll)	The location of the RBS library.
NetServer=	0 = false 1 = true	If true (default), RBS acts as a Server. If false, RBS acts as a Client.

## [LunaSA Client]

SSLConfigFile=	(<luna_client_dir>\openssl.cnf)	Location of the OpenSSL configuration file.
ReceiveTimeout=	(20000) ms	Time in milliseconds before a receive timeout
TCPKeepAlive=	0 = false 1 = true	<b>TCPKeepAlive</b>

Setting	Range (Default)	Description
		<p>TCPKeepAlive is a TCP stack option, available at the LunaClient, and at the SafeNet Luna Network HSM appliance. For SafeNet purposes, it is controlled via an entry in the Chrystoki.conf /crystoki.ini file on the LunaClient, and in an equivalent file on SafeNet Luna Network HSM. For SafeNet Luna HSM 6.1 and newer, a fresh client software installation includes an entry "TCPKeepAlive=1" in the "LunaSA Client" section of the configuration file Chrystoki.conf (Linux/UNIX) or crystoki.ini (Windows). Config files and certificates are normally preserved through an uninstall, unless you explicitly delete them.</p> <p>As such, if you update (install) LunaClient software where you previously had an older LunaClient that did not have a TCPKeepAlive entry, one is added and set to "1" (enabled), by default. In the case of update, if TCPKeepAlive is already defined in the configuration file, then your existing setting (enabled or disabled) is preserved.</p> <p>On the SafeNet Luna Network HSM appliance, where you do not have direct access to the file system, the TCPKeepAlive= setting is controlled by the LunaSH command <b>ntls tcp_keeplive set</b>.</p> <p>The settings at the appliance and the client are independent. This allows a level of assurance, in case (for example) a firewall setting blocks in one direction.</p>
NetClient=	0 = false (1 = true)	If true, library will search for network slots
ServerCAFile=	(<luna_client_dir>\cert\server\CAFile.pem)	Location, on the client, of the server certificate file (set by vtl or LunaCM command <b>clientconfig deploy</b> ).
ClientCertFile=	(<luna_client_dir>\cert\client\ClientNameCert.pem)	Location of the Client certificate file that is uploaded to SafeNet Luna Network

Setting	Range (Default)	Description
		HSM for NTLS (set by vtl or LunaCM command <b>clientconfig deploy</b> ).
ClientPrivKeyFile=	(<luna_client_dir>\cert\client\ClientNameKey.pem)	Location of the Client private key file (set by vtl or LunaCM command <b>clientconfig deploy</b> ).
ServerName00=192.20.17.200 ServerPort00=1792 ServerName01= ServerPort01=		Entries embedded by vtl utility, when you run the command <b>vtl addserver</b> or the LunaCM command <b>clientconfig deploy</b> . Identifies the NTLS-linked SafeNet Luna Network HSM servers, and determines the order in which they are polled to create a slot list.

**NOTE:** The Presentation section is not created automatically. To change any of the following values, you must first create this section in the configuration file.

[Presentation]

ShowUserSlots=<slot> (<serialnumber>)	Comma-delimited list of <slotnumber> (<serialnumber>), like ShowUserSlots=1(351970018022),2 (351970018021),3(351970018020),....	Sets the starting slot for the identified partition. If one partition slot on an HSM is specified, then any that are not listed from that HSM are not displayed.
ShowAdminTokens=	0/(1)	Admin partitions of local SafeNet Luna PCIe HSMs are not visible/(visible) in a slot listing
ShowEmptySlots=	(0)/1	When the number of partitions on an HSM is not at the limit, unused slots are shown/(not shown).
OneBaseSlotId=	(0)/1	Causes basic slot list to start at slot number 1 instead of (0).

[HAConfiguration]

HAOnly=	(0)/1	When set to 1, shows only the HA virtual slot to the client, and hides the physical partitions/slots that are members of the virtual slot. Setting HAOnly helps prevent synchronization problems among member partitions, by forcing all client actions to be directed against the virtual slot, and dealing with synch transparently. HAOnly also prevents the shifting of slot numbers in the slot list that could occur if a visible
---------	-------	-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

Setting	Range (Default)	Description
		physical partition were to drop out, which could disrupt an application that identifies its client partitions by slot numbers.
reconnAtt=	(10)	Specifies how many reconnection attempts will be made, when a member drops from the group. A value of "-1" is infinite retries.
AutoReconnectInterval=	(60) s	Specifies the interval (in seconds) at which the library will attempt to reconnect with a missing member, until "reconnAtt" is reached, and attempts cease. The default value of 60 seconds is the lowest that is accepted.

## [Misc]

ToolsDir=	(<luna_client_dir>\)	The location of the LunaClient tools.
RSAPre1863KeyGenMechRemap=	(0)/1	Controls what happens on newer firmware, when calls are made to specific older mechanisms that are now discouraged due to weakness. When this item is set to 0, no re-mapping is performed. When the value is set to 1, the following re-mapping occurs if the HSM firmware permits: <ul style="list-style-type: none"> <li>•PKCS Key Gen -&gt; 186-3 Prime key gen</li> <li>•X9.31 Key Gen -&gt; 186-3 Aux Prime key gen</li> </ul> (see " <a href="#">Mechanism Remap for FIPS Compliance</a> " on page 1)
RSAPre1863KeyGenMechRemap=	(0)/1	Controls what happens on older firmware, when specific newer mechanisms are called, that are not supported on the older firmware. When this item is set to 0, no re-mapping is performed. When the value is set to 1, the following re-mapping occurs if the HSM firmware permits: <ul style="list-style-type: none"> <li>• 186-3 Prime key gen -&gt; PKCS Key Gen</li> </ul>

Setting	Range (Default)	Description
		<ul style="list-style-type: none"> <li>• 186-3 Aux Prime key gen -&gt; X9.31 Key Gen</li> </ul> <p>Intended for evaluation purposes, such as with existing integrations that require newer mechanisms, before you update to firmware that actually supports the more secure mechanisms. Be careful with this setting, which makes it appear you are getting a new, secure mechanism, when really you are getting an outdated, insecure mechanism. (see "<a href="#">Mechanism Remap for FIPS Compliance</a>" on page 1)</p>
[Secure Trusted Channel]		
ClientIdentitiesDir=	<luna_client_dir>\data\client_identities	Specifies the directory used to store the STC client identity
PartitionIdentitiesDir=	<luna_client_dir>\data\partition_identities	Specifies the directory used to store the STC partition identities exported using the LunaCM <b>stconfig partitionidexport</b> command
ClientTokenLib= (for 64-bit Windows systems)	<p>For soft token:</p> <ul style="list-style-type: none"> <li>• &lt;luna_client_dir&gt;\softtoken.dll</li> </ul> <p>For hard token:</p> <ul style="list-style-type: none"> <li>• C:\Windows\System32\etoken.dll</li> </ul>	<p>Specifies the location of the token library on 64-bit Windows systems. This value must be correct in order to use a client token.</p> <p>For 32-bit systems, see the <b>ClientTokenLib32</b> entry below.</p> <p>By default, <b>ClientTokenLib</b> points to the location of the soft token library. If you are using a hard token, you must manually change this value to point to the hard token library for your operating system. The exact location of the hard token library may vary depending on your installer. The location provided here is the most common location used.</p>
ClientTokenLib32= (for 32-bit Windows systems)	<p>For soft token:</p> <ul style="list-style-type: none"> <li>• &lt;luna_client_dir&gt;\win32\softtoken.dll</li> </ul> <p>For hard token:</p> <ul style="list-style-type: none"> <li>• C:\Windows\SysWOW64\etoken.dll</li> </ul>	<p>Specifies the location of the token library on 32-bit Windows systems. This entry appears on Windows only. For 64-bit systems, see the <b>ClientTokenLib</b> entry above.</p>



Setting	Range (Default)	Description
		By default, <b>ClientTokenLib32</b> points to the location of the soft token library. If you are using a hard token, you must manually change this value to point to the hard token library for your operating system. The exact location of the hard token library may vary depending on your installer. The location provided here is the most common location used.
SoftTokenDir=	<luna_client_dir>\softtoken	Specifies the location where the STC client soft token ( <b>token.db</b> ) is stored. Each client soft token is stored in its own numbered subdirectory. <b>Note:</b> In this release there is only one client token, which is stored in the <b>001</b> subdirectory.

# Decommissioning, Zeroizing, or Resetting an HSM to Factory Conditions

During the lifetime of a SafeNet Luna HSM, you might have cause to take the HSM out of service, and wish to perform actions to ensure that no trace of your sensitive material remains. Those events might include:

- Placing the unit into storage, perhaps as a spare
- Shipping to another location or business unit in your organization
- Shipping the unit back to Gemalto for repair/re-manufacture
- Removing the HSM permanently from operational use, for disposal at end-of-life

This chapter describes the available options in the following sections:

- ["Decommissioning the HSM Appliance" below](#)
- ["Comparing Zeroize, Decommission, and Factory Reset" on the next page](#)
- ["Resetting to Factory Condition" on page 100](#)
- ["End of service and disposal" on page 101](#)
- ["Comparison of Destruction/Denial Actions" on page 102](#)
- ["RMA and Shipping Back to Gemalto" on page 103](#)
- ["Zeroization" on page 104](#)

## Decommissioning the HSM Appliance

---

This section describes how to decommission the appliance to remove all current key material and configurations, so that it can be safely redeployed.

### To decommission a SafeNet Luna Network HSM:

For full decommission (removing the unit from service, clearing the HSM of all your material, clearing the appliance of all identifying information) of a SafeNet Luna Network HSM appliance, and assuming that you can power the appliance and gain admin access, follow these steps in LunaSH, using a serial connection:

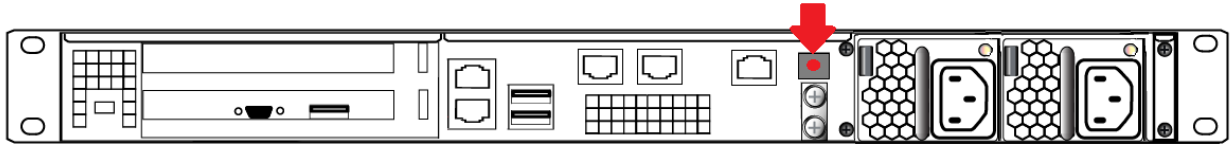
1. Rotate all logs:  
lunash:> **syslog rotate**
2. Delete all files in the SCP directory:  
lunash:> **my file clear**
3. Delete all logs:  
lunash:> **syslog cleanup**
4. Return the appliance to factory-default settings:

```
lunash:> sysconf config factoryreset -service all
```

5. Delete any backups of settings:

```
lunash:> sysconf config clear
```

6. Push the decommission button (small red button, inset in the SafeNet Luna Network HSM back panel).



7. Power down the appliance.
8. Power up the appliance. At this point, the HSM internally issues and executes a **zeroize** command to erase all partitions and objects. This step takes about five minutes. The KEK is already gone at that point – erased as soon as the button is pressed – so the step of erasing partitions and objects is for customers subject to especially rigid decommission protocols.

## Disabling Decommissioning

You can disable the decommissioning feature if you have the factory-installed **HSM Capability 46: Allow Disable Decommission** (see ["HSM Capabilities and Policies" on page 79](#)). The primary reason for disabling decommissioning is to prevent the HSM from being automatically decommissioned due to loss of battery (see ["Tamper Events" on page 303](#)). If decommissioning is disabled, the SafeNet Luna Network HSM has an indefinite shelf life, as far as the battery is concerned.

### To disable decommissioning:

1. Ensure that the Disable Decommissioning capability update (CUF) is installed on the HSM. To verify that the CUF is installed, enter the following command:

```
lunash:> hsm showpolicies
```

If the CUF is installed, **HSM Capability 46: Allow Disable Decommission** and **HSM Policy 46: Disable Decommission** are listed. If they are not, contact technical support to obtain the Disable Decommissioning capability update (CUF).

2. Enter the following command to enable **HSM Policy 46: Disable Decommission**

```
lunash:> hsm changehsmpolicy -policy 46 -value 1
```

## Comparing Zeroize, Decommission, and Factory Reset

You can clear the contents of your HSM on demand, or the HSM may be cleared in response to an event. How this affects the contents and configuration of your HSM depends on whether the user partitions were deleted or whether the HSM was zeroized, decommissioned, or factory reset, as detailed below:

Action	Command/Event	Description
Erase User Partitions	<ul style="list-style-type: none"> <li>• Enable or disable a destructive HSM policy</li> </ul>	Destroy/erase all user partitions, but do not zeroize the HSM. Policy 46 "Disable Decommission" is the exception in that it zeroizes the HSM and erases all user partitions if the policy is changed. To bring the HSM back

Action	Command/Event	Description
		into service, you need to: <ol style="list-style-type: none"> <li>1. Recreate the partitions</li> <li>2. Reinitialize the partition roles</li> </ol>
Zeroize	<ul style="list-style-type: none"> <li>• Too many bad login attempts on the HSM SO account</li> <li>• Perform an HSM firmware rollback</li> <li>• Run the LunaSH command <b>hsm zeroize</b></li> </ul>	Deletes all partitions and their contents, but retains the HSM configuration (audit role and configuration, policy settings). To bring the HSM back into service, you need to: <ol style="list-style-type: none"> <li>1. Reinitialize the HSM</li> <li>2. Recreate the partitions</li> <li>3. Reinitialize the partition roles</li> </ol>
Decommission	<ul style="list-style-type: none"> <li>• Press the decommission button on the rear of the appliance.</li> <li>• Enable <b>HSM Policy 40: Decommission on Tamper</b>, and tamper the HSM.</li> </ul>	Deletes all partitions and their contents, the audit role, and the audit configuration. Retains the HSM policy settings. To bring the HSM back into service, you need to: <ol style="list-style-type: none"> <li>1. Reinitialize the HSM</li> <li>2. Reinitialize the audit role and reconfigure auditing</li> <li>3. Recreate the partitions</li> <li>4. Reinitialize the partition roles</li> </ol>
Factory Reset	Run the LunaSH command <b>hsm factoryreset</b>	Deletes all partitions and their contents, and resets all roles and policy configurations to their factory default values. To bring the HSM back into service, you need to completely reconfigure the HSM as though it were new from the factory.

## Resetting to Factory Condition

These instructions will allow you to restore your SafeNet Luna Network HSM to its original factory configuration. If you have performed firmware and software updates, those remain in place, and are not affected by this procedure. The reset commands affect contents and settings of the HSM and appliance. Reverting of software and firmware is outside their scope. You must access LunaSH via a serial console to execute **hsm factoryreset**.

### To reset the HSM to factory condition:

1. Login as HSM SO.  
**hsm login**
2. Reset the HSM to factory settings.  
**hsm factoryreset**
3. Reset the appliance configuration (network settings, ssh, ntls, etc.) to factory settings.  
**sysconf config factoryreset -service all**
4. Reboot the appliance.

## End of service and disposal

SafeNet Luna HSMs and appliances are deployed into a wide variety of markets and environments. Arranging for the eventual disposal of a SafeNet Luna HSM or appliance that is no longer needed can be a simple accounting task and a call to your local computer recycling service, or it can be a complex and rigorous set of procedures intended to protect very sensitive information.

### Needs Can Differ

Some users of SafeNet Luna HSMs employ cryptographic keys and material that have a very short "shelf life". A relatively short time after the HSM is taken out of service, any objects that it contains are no longer relevant. The HSM could be disposed of, with no concern about any material that might remain in it.

The majority of our customers are concerned with their keys and objects that are stored on the HSM. It is important to them that those items never be exposed. The fact is that they are never exposed, but see below for explanations and actions that address the concerns of auditors who might be more accustomed to other ways of safeguarding HSM contents.

### SafeNet Luna HSM Protects Your Keys and Objects

The design philosophy of our SafeNet Luna HSMs ensures that contents are safe from attackers. Unlike other HSM products on the market, SafeNet Luna HSMs never store sensitive objects, like cryptographic keys, unencrypted. Therefore, SafeNet Luna HSMs have no real need - other than perception or "optics" - to perform active erasure of HSM contents, in case of an attack or tamper event.

Instead, the basic state of a SafeNet Luna HSM is that any stored keys and objects are strongly encrypted. They are decrypted only for current use, and only into volatile memory within the HSM.

If power is removed from the HSM, or if the current session closes, the temporarily-decrypted objects instantly evaporate. The encrypted originals remain, but they are unusable by anyone who does not have the correct HSM keys to decrypt them.

### How the HSM encryption keys protect your sensitive objects

In addition to encryption with the user specific access keys or passwords, all objects on the HSM are encrypted by the HSM's global key encryption key (KEK) and the HSM's unique Master Tamper Key (MTK).

If the HSM experiences a Decommission event (pressing of the small red button on back of SafeNet Luna Network HSM, or shorting of the pins of the decommission header on the HSM card, or removal of the battery while main power is not connected to a SafeNet Luna USB HSM) then the KEK is deleted.

If the HSM experiences a tamper event (physical intrusion, environmental excursion), then the MTK is destroyed.

Destruction of either of those keys instantly renders any objects in the HSM unusable by anyone. In the case of a Decommission event, when the HSM is next powered on, it requires initialization, which wipes even the encrypted remains of your former keys and objects.

We recognize that some organizations build their protocols around assumptions that apply to other suppliers' HSMs - where keys are stored unencrypted and must be actively erased in the event of an attack or removal from service. If your policies include that assumption, then you can re-initialize after Decommission - which actively erases the encrypted objects for which no decrypting key existed. For purposes of security, such an action is not required, but it can satisfy pre-existing protocols that presume a weakness not present in SafeNet Luna HSMs.

Our customers are often very high-security establishments that have rigorous protocols for removing a device from service. In such circumstances, it is not sufficient to merely ensure that all material is gone from the HSM. It is also

necessary to clear any possible evidence from the appliance that contains the HSM, such as IP configuration and addresses, log files, etc.

If you have any concern that simply pressing the Decommission button and running **sysconf config factoryreset** is not sufficient destruction of potentially-sensitive information, then please refer to "[Decommissioning the HSM Appliance](#)" on page 98.

## Comparison of Destruction/Denial Actions

Various operations on the SafeNet Luna HSM are intended to make HSM contents unavailable to potential intruders. The effect of those actions are summarized and contrasted in the following table, along with notes on how to recognize and how to recover from each scenario.

**Scenario 1:** MTK is destroyed, HSM is unavailable, but use/access can be recovered after reboot (See Note 1)

**Scenario 2:** KEK is destroyed (Real-Time Clock and NVRAM), HSM contents cannot be recovered without restore from backup (See Note 2)

**Scenario 3:** Appliance admin password reset

Event	Scen. 1	Scen. 2	Scen. 3	How to discover (See Note 3)	How to recover
<ul style="list-style-type: none"> <li>Three bad SO login attempts</li> <li>lunash:&gt; <b>hsm zeroize</b></li> <li>lunash:&gt; <b>hsm factoryreset</b></li> <li>Any change to a destructive policy</li> <li>Firmware rollback (See Note 4)</li> </ul>	NO	YES	NO	<ul style="list-style-type: none"> <li>Syslog entry</li> <li>"HSM IS ZEROIZED" in HSM Details (from <b>hsm show</b> command)</li> </ul>	Restore HSM objects from Backup
Login to SafeNet Luna Network HSM "recover" account (local serial connection)	NO	NO	YES	Syslog entry shows login by "recover"	Log into appliance as admin, using the reset password "PASSWORD" and change to a secure password
Hardware tamper <ul style="list-style-type: none"> <li>Undervoltage or overvoltage during operation</li> <li>Under-temperature or over-temperature during operation</li> <li>Chassis interference (such</li> </ul>	YES	NO	NO	Parse Syslog for text like "tamper", "TVK was corrupted", or "Generating new TVK", indicating that a tamper event was logged. Example: <pre>RTC: external tamper latched/ MTK: security function was zeroized on previous tamper event and has not been restored yet</pre> Also, keywords in Syslog like: "HSM internal error", "device error"	Reboot [See Note 1]

Event	Scen. 1	Scen. 2	Scen. 3	How to discover (See Note 3)	How to recover
as cover, fans, etc.) Software (command-initiated) tamper <ul style="list-style-type: none"> <li>• <code>lunash:&gt; hsm stm transport</code></li> </ul>				SafeNet Luna Network HSM appliance front panel flashes error 30.	
Decommission <ul style="list-style-type: none"> <li>• Pressing the Decommission button on the back of the appliance</li> </ul>	NO	YES	NO	Look for log entry like: RTC: tamper 2 signal/Zeroizing HSM after decommission...LOG(INFO): POWER-UP LOG DUMP END	Restore HSM objects from Backup

**Note 1:** MTK is an independent layer of encryption on HSM contents, to manage tamper and Secure Transport Mode. A destroyed MTK is recovered on next reboot. If MTK cannot be recovered, only restoring from backup onto a new or re-manufactured HSM can retrieve your keys and HSM data.

**Note 2:** KEK is an HSM-wide encryption layer that encrypts all HSM objects, excluding only MTK, RPK, a wrapping key, and a couple of keys used for legacy support. A destroyed KEK cannot be recovered. If the KEK is destroyed, only restoring from backup can retrieve your keys and HSM data.

**Note 3:** To check the health of a remote HSM, script a frequent login to the HSM host and execution of a subset of HSM commands. If a command fails, check the logs for an indication of the cause.

**Note 4:** These actions all create a situation where `hsm init` is required, or strongly recommended before the HSM is used again.

In addition, another event/action that has a destructive component is HSM initialization. See "[HSM Initialization](#)" on [page 141](#).

## RMA and Shipping Back to Gemalto

Although rare, it could happen that you need to ship a SafeNet appliance back to Gemalto.

Contact your Gemalto representative to obtain the Return Material Authorization (RMA) and instructions for packing and shipping.

You might wish (or your security policy might require you) to take maximum precaution with any contents in your HSM before it leaves your possession.

If so, there are two options available to secure the contents of the SafeNet Luna Network HSM before returning it to Gemalto:

- Decommission the HSM, forcibly clearing all HSM contents (see "[Decommissioning the HSM Appliance](#)" on [page 98](#) for instructions)
- Set the HSM into Secure Transport Mode (see "[Secure Transport Mode](#)" on [page 256](#) for instructions) and provide the verification string and random user string to your Gemalto representative by secure means. This will allow Gemalto to know if the HSM is tampered while in transit.

## Zeroization

In the context of HSMs in general, the term "zeroize" means to erase all plaintext keys. Some HSMs keep all keys in plaintext within the HSM boundary. SafeNet Luna HSMs do not.

In the context of SafeNet Luna HSMs, keys at rest (keys or objects that are stored in the HSM) are encrypted. Keys are decrypted into a volatile working memory space inside the HSM only while they are being used. Items in volatile memory disappear when power is removed. The action that we loosely call "zeroizing", or clearing, erases volatile memory as well as destroying the key that encrypts stored objects.

Any temporarily decrypted keys are destroyed, and all customer keys on the HSM are immediately rendered inaccessible and unrecoverable whenever you:

- perform **hsm factoryreset**
- make too many bad login attempts on the SO account
- press the Decommission button on the SafeNet Luna Network HSM back panel
- set a "destructive" HSM policy
- perform HSM firmware rollback

The KEK (key encryption key that encrypts all user objects, partition structure, cloning vectors, masking vectors, etc.) is destroyed by a zeroization (erasure) or decommission event. At that point, any objects or identities in the HSM become effectively random blobs of bits that can never be decoded.



**Note:** The next HSM power-up following a KEK zeroization automatically erases the contents of user storage, which were already an indecipherable blob without the original KEK. That is, any zeroizing event instantly makes encrypted objects unusable, and as soon as power is re-applied, the HSM immediately erases even the encrypted remains before it allows further use of the HSM.

The HSM must now be re-initialized in order to use it again, and initialization overwrites the HSM with new user parameters. Everything is further encrypted with a new KEK unique to that HSM.

Keys not encrypted by the KEK are those that require exemption and are not involved in user identities or user objects:

- The Master Tamper Key, which enables tamper handling
- The Remote PED Vector, to allow Remote PED-mediated recovery from tamper or from Secure Transport Mode
- The hardware origin key that certifies the HSM hardware as having been built by Gemalto



# High-Availability (HA) Configuration and Operation

This chapter describes how to configure and use SafeNet Luna HSMs to provide load-balancing and redundancy for mission-critical applications. It contains the following sections:

- ["High Availability \(HA\) Overview" below](#)
- ["Load Balancing" on page 107](#)
- ["Key Replication" on page 108](#)
- ["Failover" on page 109](#)
- ["Recovery" on page 112](#)
- ["Performance" on page 117](#)
- ["Standby Members" on page 118](#)
- ["Planning Your Deployment" on page 121](#)
- ["Configuring HA" on page 124](#)
- ["Using HA With Your Applications" on page 129](#)
- ["Adding, Removing, Replacing, or Reconnecting HA Group Members" on page 130](#)
- ["Managing and Troubleshooting Your HA Groups" on page 138](#)

## High Availability (HA) Overview

---

You can use the SafeNet Luna HSM client to group multiple devices, or partitions, into a single logical group – known as an HA (High Availability) group. When you create an HA group, it is listed as a virtual HA slot in the client. Any applications that use the virtual HA slot can access cryptographic services as long as at least one member of the HA group remains functional and connected to the application server. In addition, the client performs load balancing among the HA group members, allowing many cryptographic commands to be automatically distributed across the HA group, and enabling linear performance gains for many applications.

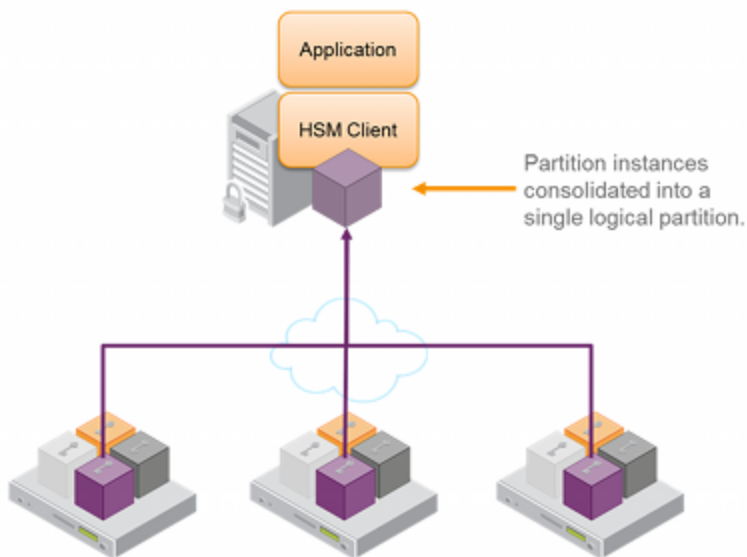
### How HA is Implemented

The HA and load-balancing functionality is implemented in the SafeNet Luna HSM client, and uses the cloning function to replicate/synchronize content across HA-group members. There is no direct connection between the members of an HA group, and all communications between the members of an HA group are managed by the client. The HSMs and appliances are not involved and, except for being instructed to clone objects to certain HSMs during a synchronization operation, are unaware that they might be configured in an HA group. The advantage of this approach is that it allows you to configure HA groups on a per-application (or per-slot) basis.

To create an HA group, you must first register your client with each HSM you want to include in the HA group. You then use the client-side administration commands to define the HA group and set any desired configuration options. You can configure several options including:

- Setting automatic or manual recovery mode
- Setting some HSMs as standby members
- Performing various manual synchronization and recovery operations

Once defined, the SafeNet Luna HSM client presents the HA group as a virtual slot, which is a consolidation of all the physical HSMs in the HA group. Any operations that access the slot are automatically distributed between the group members, to provide load balancing, and all key material is automatically replicated and synchronized between each member of the HA group.



## Example: Database Encryption

This section walks through a specific sample use case of some of the HA logic with a specific application – namely a transparent database encryption.

### Typical Database Encryption Key Architecture

Database engines typically use a two-layered key architecture. At the top layer is a master encryption key that is the root of data protection. Losing this key is equivalent to losing the database, so it obviously needs to be highly durable. At the second layer are table keys used to protect table-spaces and/or columns. These table keys are stored with the database as blobs encrypted by the master encryption key (MEK). This architecture maps to the following operations on the HSM:

1. Initial generation of master key for each database.
2. Generation and encryption of table keys with the master key.
3. Decryption of table keys when the database needs to access encrypted elements.
4. Generation of new master keys during a re-key and then re-encrypting all table keys with it.
5. Generation and encryption of new table keys for storage in the database (often done in a software module).

The HSM is not involved in the use of table keys. Instead it provides the strong protection of the MEK which is used to protect the table keys. Users must follow backup procedures to ensure their MEK is as durable as the database itself. Refer to the backup section of this manual for proper backup procedures.

## HSM High Availability with Database Encryption

When the HSMs are configured as an HA group, the database's master key is automatically and transparently replicated to all the members when the key is created or re-keyed. If an HSM group member was offline or fails during the replication, it does not immediately receive a copy of the key. Instead the HA group proceeds after replicating to all of the active members. Once a member is re-joined to the group the HSM client automatically replicates the new master keys to the recovered member.

With this in mind, before every re-key event the user should ensure the HA group has sufficient redundancy. A re-key will succeed so long as one HA group member exists, but proceeding with too few HSMs will result in an availability risk. For example, proceeding with only one HSM means the new master key will be at risk since it exists only on a single HSM. Even with sufficient redundancy, SafeNet recommends maintaining an offline backup of a database's master key.

## HSM Load Balancing with Database Encryption

While a database is up and running, the master key exists on all members in the HA group. As such, requests to encrypt or decrypt table keys are distributed across the entire group. So the load-balancing feature is able to deliver improved performance and scalability when the database requires a large number of accesses to the table keys. With that said, most deployments will not need much load-balancing as the typical database deployment results in a small number of table keys.

While the table keys are re-keyed, new keys are generated in the HSM and encrypted for storage in the database. Within an HA group, these keys are generated on the primary HSM and then, even though they exist on the HSM for only a moment, they are replicated to the entire HSM group as part of the availability logic. These events are infrequent enough that this extra replication has minimal impact.

## Conclusion

The SafeNet high availability and load balancing features provide an excellent set of tools to scale applications and manage availability of cryptographic services without compromising the integrity of cryptographic keys. A broad range of deployment options are supported that allow solution architects to achieve the availability needed in a manner that optimizes the cost and performance without compromising the assurance of the solution.

## Load Balancing

The default behavior of the client library is to attempt to load-balance the application's cryptographic requests across each active member of an HA group. Any standby members in the HA group are not used to perform cryptographic operations, and are therefore not part of the load-balancing scheme (see "[Standby Members](#)" on page 118).

The top-level algorithm is a round-robin scheme that is modified to favor the least busy device in the set. As each new command is processed, the SafeNet Luna HSM client looks at how many commands it has scheduled on every device in the group. If all devices have an equal number of outstanding commands, the new command is scheduled on the next device in the list – creating a round-robin behavior. However, if the devices have a different number of commands outstanding on them, the new command is scheduled on the device with the fewest commands queued – creating a least-busy behavior. This modified round-robin has the advantage of biasing load away from any device currently performing a lengthy command. In addition to this least-busy bias, the type of command also affects the scheduling algorithm, as follows:

- Single-part (stateless) cryptographic operations are load-balanced.
- Multi-part (stateful) commands that involve cryptographic operations are load-balanced.
- Multi-part (stateful) commands that involve information retrieval are not load-balanced. Multi-part operations carry over several individual commands. The cost of distributing the commands to different HA group members is generally greater than the benefit. For this reason, multi-part commands that involve information retrieval are all targeted at one member. Multi-part operations are typically not used, or are infrequent actions, so most applications are not affected by this restriction.
- Key management commands are not load-balanced. Key management commands affect the state of the keys stored in the HSM. As such, these commands are targeted at all HSMs in the group. That is, the command is performed on the primary HSM and then the result is replicated to all members in the HA group. Key management operations are also an infrequent occurrence for most applications .

It is important to understand that the least-busy algorithm uses the number of commands outstanding on each device as the indication of its busyness. When an application performs a repeated command set, this method works very well. When the pattern is interrupted, however, the type of command can have an impact. For example, when the HSM is performing signing and an atypical asymmetric key generation request is issued, some number of the application's signing commands are scheduled on the same device (behind the key generation). Commands queued behind the key generation therefore have a large latency driven by the key generation. However, the least-busy characteristic automatically schedules more commands to other devices in the HA group, minimizing the impact of the key generation.

It is also important to note that the load-balancing algorithm operates independently in each application process. Multiple processes on the same client or on different clients do not share their "busyness" information while making their scheduling choice. In most cases this is reasonable, but some mixed use cases might cause certain applications to hog the HSMs.

Finally, when an HA group is shared across many servers, different initial members can be selected while the HA group is being defined on each server. The member first assigned to each group becomes the primary. This approach optimizes an HA group to distribute the key management and/or multi-part cryptographic operation load more equally.

In summary, the load-balancing scheme used by SafeNet is a combination of round-robin and least-busy for most operations. However, as required, the algorithm adapts to various conditions and use cases so it might not always emulate a round-robin approach.

## Example

When the client makes a request on a virtual HA slot, the request goes to the first member in the HA group, as listed in the **Chrystoki.conf** file (Linux/UNIX) or **Crystoki.ini** file (Windows), unless it is busy. A member is busy if it has not yet responded to the most recent request that was sent to it. If the primary member is busy, the client sends the request to the next non-busy member of the HA Group.

If you add network latency, or if you increase the key-size, or if you interleave other crypto operations, then performance may drop for individual active members as they become busier.

If you have any group members set to "Standby" status, then they do not contribute to group performance, even if the client can saturate the active members.

## Key Replication

Whenever an application creates key material, the HA functionality transparently replicates the key material to all members of the HA group before reporting back to the application that the new key is ready. The HA library always starts with what it considers its primary HSM (initially the first member defined in an HA group). Once the key is created

on the primary it is automatically replicated to each member in the group. If a member fails during this process the key replication to the failed member is aborted after the fail-over time out. If any member is unavailable during the replication process (that is, the unit failed before or during the operation), the HA library keeps track of this and automatically replicates the key when that member rejoins the group. Once the key is replicated on all active members of the HA group a success code is returned to the application.

Whether automatic or manual, object replication security is based on the use of the SafeNet cloning protocol to provide mutual authentication, confidentiality and integrity for each object that is copied from one partition to another. When partition objects are synchronized, the SafeNet Luna HSM client is used as a secure conduit to coordinate the duplication of these objects across all partitions. An object created on LunaA partition#1A is duplicated on LunaB Partition#1B using the following process:

1. The object is created on LunaA.
2. The duplicated object is then encrypted using a key derived from common Domain material (Red key) shared by each SafeNet Luna HSM in the HA group.
3. LunaA transfers the encrypted object to the SafeNet Luna Client utilizing the encrypted NTL connection between itself and the client (the object is now double encrypted).
4. The client then securely transfers the object to LunaB.
5. LunaB decrypts the object and stores it in the partition

The cloning protocol is such that it must be invoked separately for each object to be cloned and the sequence of calls required to implement the protocol must be issued by an authorized client library (residing on a client platform that has been authenticated to each of the SafeNet Luna HSMs involved in the HA group). This ensures that the use of the cloning function calls is controlled and the protocol cannot be misused to permit the unauthorized transfer of objects to or from one of the partitions in the HA group.

## Manual Synchronization

To manually synchronize the contents of the members of an HA group, use the LunaCM command **hagroup synchronize**.

## Failover

When an HA group is running normally the client library continues to schedule commands across all members as described above. The client continuously monitors the health of each member at two different levels:

- First, the connectivity with the member is monitored at the networking layer. Disruption of the network connection invokes a fail-over event within a twenty second timeout.
- Second, every command sent to a device is continuously monitored for completion. Any command that fails to complete within twenty seconds also invokes a fail-over event. Most commands are completed within milliseconds. However, some commands can take extended periods to complete – either because the command itself is time-consuming (for example, key generation), or because the device is under extreme load. To cover these events the HSM automatically sends “heartbeats” every two seconds for all commands that have not completed within the first two seconds. The twenty second timer is extended every time one of these heartbeats arrives at the client, thus preventing false fail-over events.

A failover event involves dropping a device from the available members in the HA group. All commands that were pending on the failed device are transparently rescheduled on the remaining members of the group. When a failure occurs, the application experiences a latency stall on some of the commands in process (on the failing unit) but

otherwise sees no impact on the transaction flow. Note that the least-busy scheduling algorithm automatically minimizes the number of commands that stall on a failing unit during the twenty second timeout.

If the primary unit fails, clients automatically select the next member in the group as the new primary. Any key management or single-part cryptographic operations are transparently restarted on a new group member. In the event that the primary unit fails, any in-progress, multi-part, cryptographic operations must be restarted by the application, as the operation returns an error code.

As long as one HA group member remains functional, cryptographic service is maintained to an application no matter how many other group members fail. As discussed in ["Failover" on the previous page](#), members can also be put back into service without restarting the application.

### **How Do You (or Software) Know That a Member Has Failed?**

When an HA Group member first fails, the HA status for the group shows "device error" for the failed member. All subsequent calls return "token not present", until the member (HSM Partition or PKI token) is returned to service.

### **At the library level, what happens when a device fails or doesn't respond?**

The client library drops the member and continues with others. It will try to reconnect that member at a minimum retry rate of once per minute (configurable) for the number of times specified in the configuration file, and then stop trying that member. You can specify a number of retries from 3 to an unlimited number.

### **What happens to an application if a device fails mid-operation? What if it's a multi-part operation?**

Multi part operations do not fail over. The entire operation returns a failure. Your application deals with the failure in whatever way it is coded to do so.

Any operation that fails mid-point would need to be re-sent from the calling application. This is more likely to happen in a multi-part operation because those are longer, but a failure could conceivably happen during a single atomic operation as well.

With HA, if the library attempts to send a command to an HSM and it is unavailable, it will automatically retry sending that command to the next HSM in the configuration after the timeout expires.

Multi-part operations would typically be block encryption or decryption, or any other command where the previous state of the HSM is critical to the processing of the next command. It is understandable that these need to be re-sent since the HSMs do not synchronize 'internal memory state,' only stored key material.

## **Reaction to Failures**

This section looks at possible failures in an overall HA system, and what needs to be done. The assumption is that HA has been In a complex system, it is possible to come up with any number of failure scenarios, such as this (partial) list for an HA group:

- Failure at the HSM or appliance
  - HSM card failure
  - HSM re-initialization
  - Deactivated partition
  - Power failure of a member
  - Reboot of member
  - NTL failure
  - STC failure

- Failure at the client
  - Power failure of the client
  - Reboot of client
  - Network keepalive failure
- Failure between client and group members
  - Network failure near the member appliance  
(so only one member might disappear from client's view)
  - Network failure near the client  
(client loses contact with all members)

## HSM-Side Failures

The categories of failure at the HSM side of an HA arrangement are temporary or permanent.

### Temporary

Temporary failures like reboots, or failures of power or network are self-correcting, and as long as you have set HA autorecovery parameters that are sufficiently lenient, then recovery is automatic, shortly after the HSM partition becomes visible to the HA client.

### Permanent

Permanent failures require overt intervention at the HSM end, including possibly complete physical replacement of the unit, or at least initialization of the HSM.

All that concerns the HA service is that the particular unit is gone, and isn't coming back. If an entire SafeNet Luna Network HSM unit is replaced, then you must go through the entire appliance and HSM configuration of a new unit, before introducing it to the HA group. If a non-appliance HSM (resides in the Client host computer, e.g., SafeNet Luna PCIe HSM or SafeNet Luna USB HSM) is replaced, then it must be initialized and a new partition created.

Either way, your immediate options are to use a new name for the partition, or to make the HA SafeNet Luna HSM Client forget the dead member (LunaCM command **hagroup removemember**) so you can reuse the old name. Then, you must ensure that automatic synchronization is enabled (LunaCM command **hagroup synchronize -enable**), and manually introduce a new member to the group (LunaCM command **hagroup addmember**). After that, you can carry on using your application with full HA redundancy.

Because your application should be using only the HA virtual slot (LunaCM command **hagroup haonly**), your application should not have noticed that one HA group member went away, or that another one was added and synchronized. The only visible sign might have been a brief dip in performance, but only if your application was placing high demand on the HSM(s).

## Client-Side Failures

For SafeNet Luna Network HSM, any failure of the client (such as operating system problems), that does not involve corruption or removal of files on the host, should resolve itself when the host computer is rebooted.

If the host seems to be working fine otherwise, but you have lost visibility of the HSMs in LunaCM or your client, verify that the SafeNet drivers are running, and retry. If that fails, reboot. If that fails, restore your configuration from backup of your host computer. If that fails, re-install SafeNet Luna HSM Client, re-perform certificate exchanges, creation of HA group, adding of members, setting HAOnly, etc.

For SafeNet Luna PCIe HSM and SafeNet Luna USB HSM, the client is the host of the HSMs, so if HA has been working, then any sudden failure is likely to be OS or driver related (so restart) or corruption of files (so re-install). If a re-

install is necessary, you will need to recreate the HA group and re-add all members and re-assert all settings (like HAOnly).

### Failures Between the HSM and Client (SafeNet Luna Network HSM only)

The only failure that could likely occur between a SafeNet Luna Network HSM (or multiple HSMs) and a client computer coordinating an HA group is a network failure. In that case, the salient factor is whether the failure occurred near the client or near one (or more) of the SafeNet Luna Network HSM appliances.

If the failure occurs near the client, and you have not set up port bonding on the client, then the client would lose sight of all HA group members, and the client application would fail. The application would resume according to its timeouts and error-handling capabilities, and HA would resume automatically if the members reappeared within the recovery window that you had set.

If the failure occurs near a SafeNet Luna Network HSM member of the HA group, then that member might disappear from the group until the network failure is cleared, but the client would still be able to see other members, and would carry on normally.

If the recovery window is exceeded, then you must manually restart HA.

## Recovery

After a failure, the recovery process is typically straightforward. Depending on the deployment, an automated or manual recovery process might be appropriate. In either case there is no need to restart an application.

### Automatic recovery

With automatic recovery, the client automatically performs periodic recovery attempts while a member is failed. The frequency of these checks is adjustable and the number of re-tries can be limited. Each time a reconnection is attempted, one application command experiences a slight delay while the client attempts to recover. As such, the retry frequency cannot be set any faster than once per minute. Even if a manual recovery process is selected, the application does not need to be restarted. Simply run the client recovery command and the recovery logic inside the client makes a recovery attempt the next time the application uses the HSM. As part of recovery, any key material created while the member was offline is automatically replicated to the recovered unit.

Automatic recovery is disabled by default. Use the command **hagroup retry** to turn it on or off. If `retry=0`, automatic recovery is disabled. Any other retry value enables automatic recovery.

### Failed units

Sometimes a failure of a device is permanent. In this event, the only solution is to deploy a new member to the group. In this case, you can remove the failed unit from the HA group, add a new device to the group and then start the recovery process. The running clients automatically resynchronize keys to the new member and start scheduling operations to it. See ["Adding, Removing, Replacing, or Reconnecting HA Group Members"](#) on page 130 for more information.

### Manual recovery

Finally, sometimes both an HSM and application fail at the same time. If no new key material was created while an HSM was offline, the recovery is straightforward: simply return the HSM to service and then restart the application. However, if new key material was created after an HSM failed but before the application failed, a manual re-synchronization (using the **hagroup synchronize** command) might be required.



To perform a manual recovery, you confirm which member, or members, have the current key material (normally the unit that was online at the time the application failed). Put them back in service with the application. Then, for each member that has stale key material (a copy of an object that was deleted; or an old copy of an object whose attributes were changed), delete all their key material after making sure they are not part of the HA group. Be particularly careful that the member is not part of the HA group or the action might destroy active key material by causing an accidental synchronization during the delete operation. After the HSM is cleared of key material, rejoin it to the group and the synchronization logic automatically repopulates the device's key material from the active units.

## Usage

When a client is configured to use auto recovery the manual recovery commands must not be used. Invoking them can cause multiple concurrent recovery processes which result in error codes and possible key corruption .

Most customers should enable auto-recovery in all configurations. We anticipate that the only reason you might wish to choose manual recovery is if you do not want to change the retry time for periodic transactions. That is, each time a recovery is attempted a single application thread experiences an increased latency while the library uses that thread to attempt the re-connection (the latency impact is a few hundred milliseconds).

## Recovery Conditions

HA recovery is hands-off resumption by failed HA Group members, or it is manual re-introduction of a failed member, if autorecovery is not enabled. Some reasons for a member to fail from the group might be:

- The appliance loses power (but regains power in less than the 2 hours that the HSM preserves its activation state).
- The network link from the unit is lost and then regained.

HA recovery takes place if the following conditions are true:

- HA autorecovery is enabled, or if you detect a unit failure and manually re-introduce the unit (or its replacement)
- HA group has at least 2 nodes
- HA node is reachable (connected) at client startup
- HA node recover retry limit is not reached. Otherwise manual recover is the only option to bring back the downed connection(s)

If all HA nodes fail (no links from client) no recovery is possible.

The HA recovery logic makes its first attempt at recovering a failed member when your application makes a call to its HSM (the HA group). An idle client does not start the recovery-attempt process. As of release 6.22, if the retry count is not 0, then recovery is attempted after the configured HA interval expires.

On the other hand, a busy client would notice a slight pause every minute, as the library attempts to recover a dropped HA group member (or members) until the member has been reinstated or until the timeout has been reached and it stops trying. Therefore, set the number of retries according to your normal situation (the kinds and durations of network interruptions you experience, for example).

## Enabling and Configuring Autorecovery

In previous releases, autorecovery was not on by default, and needed to be explicitly enabled.

Beginning with SafeNet Luna HSM release 6.0, HA autorecovery is automatically enabled when you set the recovery retry count using the LunaCM command **hagroup retry**. Use the command **hagroup interval** to specify the interval, in seconds, between each retry attempt. The default is 60 seconds.

## Failure of All Members

If all members of an HA group were to fail, then all logged-in sessions are gone, and operations that were active when the last group member went down, are terminated. If the client application is able to recover all that state information, then it is not necessary to restart or re-initialize in order to resume client operations with the SafeNet Luna Network HSM HA group. All sessions will be restarted without requiring a restart of the client.

## Automatic Reintroduction

Automatic reintroduction is supported. A failed (and fixed, or replacement) HSM appliance can be re-introduced if the application continues without restart. Restarting the application causes it to take a fresh inventory of available HSMs, and to use only those HSMs within its HA group. You cannot reintroduce a SafeNet Luna Network HSM that was not in the group when the application started.

## Auto-insert

Automatic reintroduction or "auto-insert" is supported. A failed (and fixed, or replacement) HSM appliance can be re-introduced if the application continues without restart. Restarting the application causes it to take a fresh inventory of available HSMs, and to use only those HSMs within its HA group. You cannot [re]introduce a SafeNet Luna Network HSM that was not in the group when the application started.

Auto-insert is now the default behavior (from Client 6.2.1 and later). [list below satisfies LHSM-31162]

1. A running client automatically detects SafeNet Luna Network HSM appliance insertion and removal to/from its configuration.
2. Connection to the new SafeNet Luna Network HSM appliance occurs only if the client HA configuration also has a new HA member or an HA member gone missing.
3. A running client does not automatically disconnect from the appliance that has been removed from its configuration until the appliance goes offline (for example, disconnected or powered down).
4. A running client uses the new HA member that is being added to the HA group configuration and does not require the client to restart to do so.
5. A running client stops attempting to use the removed HA member that is being revoked from the HA configuration and does not require the client to restart to do so.

6. When a new member is added to the HA group, entries similar to the following appear in the client HA Log:

```
Mon Feb 1 11:06:55 2016 : [6619] HA group: 11079656446993 detected new member member:
286668019649
```

```
Mon Feb 1 11:07:25 2016 : [6619] HA group: 11079656446993 recovery attempt #1 succeeded for
member: 286668019649
```

7. When a HA member is removed from the HA group, entries similar to the following appear in the client HA Log:

```
Mon Feb 1 11:07:45 2016 : [6619] HA group: 11079656446993 member: 286668019649 revoked
```

8. When a new SafeNet Luna Network HSM appliance is registered with a client that has HA configured with "Active recovery mode", entries similar to the following appear in the client HA Log:

```
Sun Jan 31 21:01:52 2016 : [3820] HA subsystem detected new server : 192.20.11.175
```

```
Sun Jan 31 21:01:56 2016 : [3820] HA subsystem server 192.20.11.175 connected
```

Entries like these appear only if item 3, above, is true. [LHSM-31294]

9. When an existing SafeNet Luna Network HSM appliance is removed from client that has HA configured with “Active recovery mode”, entries similar to the following appear in the client HA Log:

```
Tue Feb 2 15:45:12 2016 : [28001] HA subsystem detected removal of server : 192.20.11.86
```

## Synchronization

Synchronization of token objects is a manual process using the **hagroup synchronize** command. Synchronization locates any object that exists on any one physical HSM partition (that is a member of the HA group), but not on all others, and replicates that object to any partitions (among the group) where it did not exist.

This is distinct from the replication that occurs when you create or delete an object on the HA virtual slot. Creation or deletion against the virtual slot causes that change to be immediately replicated to all connected members (addition or deletion).

## Effect of PED Operations

PED operations block cryptographic operations, so that while a member of an HA group is performing a PED operation, it will appear to the HA group as a failed member. When the PED operation is complete, failover and recovery HA logic are invoked to return the member to normal operation.

## Network failures

If network connectivity fails to one or more connected SafeNet Luna Network HSM appliances, the HA group will be restored automatically subject to timeouts and retries, as follows:

- While the client application is active, and one HA group member is connected and active, other members can automatically resume in the HA group as long as retries have not stopped.
- If all members fail or if the client does not have a network connection to at least one group member, then the client application must be restarted, unless you have **recoveryMode activeEnhanced** enabled.

## Process interaction

Other events and processes interact at different levels and in different situations as described below.



**Note:** All references to NTLS also apply to STC. Both NTLS and STC provide secure client-appliance connections.

At the lowest communication level, the transport protocol (TCP) is responsible for making and operating the communication connection between client and appliance (whether HA is involved or not). For SafeNet Luna Network HSM, the default protocol timeout of 2 hours was much too long, so SafeNet configured that to 3 minutes when HA is involved. This means that:

- In a period of no activity by client or appliance, the appliance's TCP will wonder if the client is still there, and will send a packet after 3 minutes of silence.
- If that packet is acknowledged, the 3 minute TCP timer restarts, and the cycle repeats indefinitely.
- If the packet is not acknowledged, then TCP sends another after approximately 45 seconds, and then another after a further 45 seconds. At the two minute mark, with no response, the connection is considered dead, and higher

levels are alerted to perform their cleanup.

So altogether, a total of five minutes can elapse since the last time the other participant was heard from. This is at the transport layer.

Above that level, the NTLS layer provides the connection security and some other housekeeping. Any time a client sends a request for a cryptographic operation, the HSM on the appliance begins working on that operation.

While the HSM processes the request, appliance-side NTLS sends a "keep-alive PING" every two seconds, until the HSM returns the answer, which NTLS then conveys across the link to the requesting client. NTLS (nor any layer above) does not perform any interpretation of the ping.

It simply drops a slow, steady trickle of bytes into the pipe, to keep the TCP layer active. This normally has little effect, but if your client requests a lengthy operation like an 8192-bit keygen, then the random-number-generation portion of that operation could take many minutes to complete, during which the HSM would legitimately be sending nothing back to the client. The NTLS ping ensures that the connection remains alive during long pauses.

## Configuration settings

In the SafeNet configuration file, "DefaultTimeout" (default value is 500 seconds) governs how long the client will wait for a result from an HSM, for a cryptographic call. In the case of SafeNet Luna Network HSM, the copy of the config file inside the appliance is not accessible externally. The config file in the client installation is accessible to modify, but "DefaultTimeout" in that file affects only a locally connected HSM (such as might be the case if you had a SafeNet Luna Backup HSM attached to your client computer). The config file in the client has no effect on the configuration inside the network-attached SafeNet Luna Network HSM appliance, and thus can have no effect on the interaction between client and SafeNet Luna Network HSM appliance.

"ReceiveTimeout" is how long the library will wait for a dropped connection to come back.

If "ReceiveTimeout" is tripped, for a given appliance, the HA client stops talking to that appliance and deals with the remaining members of the HA group to serve your application's crypto requests.

A minute later, the HA client tries to contact the member that failed to reply.

If the connection is successfully re-established, the errant appliance resumes working in the group, being assigned application calls as needed (governed by application workload and HA logic).

If the connection is not successfully re-established, the client continues working with the remaining group members. Another minute passes, and the client once again tries the missing appliance to see if it is ready to actively resume working in the HA group.

The retries continue until the missing member resumes, or until the pre-set (by you) number of retries is reached (maximum of 500). If the retry count is reached with no success, the client stops trying that member. The failed appliance is still a member of the group (it is still in the list of HA group members maintained on the client), but the client no longer tries to send it application calls, and no longer encourages it to establish a connection. You must fix the appliance (or its network connection) and manually recover it into the group for the client to resume including it in operations.

## Active Autorecovery on a SafeNet Luna Network HSM



**Note:** All references to NTLS also apply to STC. Both NTLS and STC provide secure client-appliance connections.

Autorecovery uses the HA Active Recovery Thread (ARCT) to manage recovery from a failure. The ARCT sends a non-session-based message that is processed by NTLS. This allows recovery as soon as a failed member returns.

Thus, if a failed member returns to duty before an active member fails, then synchronization occurs immediately, and the secondary member is ready to take over from the active member if that now fails.

Members can reconnect without the need to call `finalize/initialize` in the client application, which allows for multiple services that use a single JVM to recover connections independently.

In the event that all HA members fail to respond to the ARCT probing message, the HA slot is deemed to be unrecoverable.

The recovery mode on a SafeNet Luna Network HSM is the basic active mode. As long as the retry count is not 0, recovery is active basic by default.

The enhanced active recovery mode is optional, and is controlled by the LunaCM `hagroup recoverymode` command.

## Performance

For repetitive operations, like a high volume of signings using the same key, an HA group can expand SafeNet Luna Network HSM performance in linear fashion as HA group members are added. HA groups of 16 members have undergone long-term, full-throttle testing, with excellent results.

Do keep in mind that simply adding more and more SafeNet Luna Network HSM appliances to an HA group is not an infallible recipe for endless performance improvement. For best overall performance, all HA group members should be driven near their individual performance "sweet spot", which for SafeNet Luna Network HSM 5.2 and later is around 30 simultaneous threads per HSM. If you assemble an HA group that is considerably larger than your server(s) can drive, then you might not achieve full performance from all.

The best approach is an HA group balanced in size for the capability of the application servers that will be driving the group, and the expected loads - with an additional unit to provide capacity for bursts of traffic and for redundancy.

## Maximizing Performance

The SafeNet Luna Network HSM used in HA can provide performance improvement for asymmetric single-part operations. Gigabit Ethernet connections are recommended to maximize performance. For example, we have seen as much as a doubling of asymmetric single-part operations in a two-member group in a controlled laboratory environment (without crossing subnet boundaries, without competing traffic or other latency-inducing factors).

Multi-part operations are not load-balanced by the SafeNet HA due to the overhead that would be needed to perform context replication for each part of a multi-part operation.

Single-part cryptographic operations are load-balanced by the SafeNet HA functionality under most circumstances. Load-balancing these operations provides both scalability (better net throughput of operations) and redundancy by supporting transparent fail-over.

## Performance is Dependent on the Type of Operation

Performance is also affected by the kind of operation you are performing. HA is better for performance when all HSM operations are performed on keys and material that reside within the HSM. This changes if part of the operation involves importing and unwrapping of keys; it can be instructive to consider what happens when such HSM operations are performed both with and without HA.

### With HA

- One encryption (to wrap the key)
- One decryption in the HSM (to unwrap the key)
- Object creation on the HSM (the unwrapped key is created and stored as a key object)

- Key replication happens for HA
  - RSA 4096-bit operation used to derive a shared secret between HSM
  - Encryption of the key on the primary HA member using the shared secret
  - Decryption of the key on the secondary HA member HSM using the shared secret
  - Object creation on the second HA member
- One encryption (uses the unwrapped key object to encrypt the data)

### Without HA

- One encryption (to wrap the key)
- One decryption in the HSM (to unwrap the key)
- Object creation on the HSM (the unwrapped key is created and stored as a key object)
- One encryption (uses the unwrapped key object to encrypt the data)

From the above it is apparent that, with HA, many more operations are performed. Most significant in the above case are the RSA 4096-bit operation and the additional object creation performed. Those two operations are by far the slowest operations in the list, and so this type of task would have much better performance without HA.

By contrast, if the task had made use of objects already within the HSM, then at most a single synchronization would have propagated the objects to all HA members, and all subsequent operations would have seen a performance boost from HA operation. The crucial consideration is whether the objects being manipulated are constant or are constantly being replaced.

## HA and FindObjects

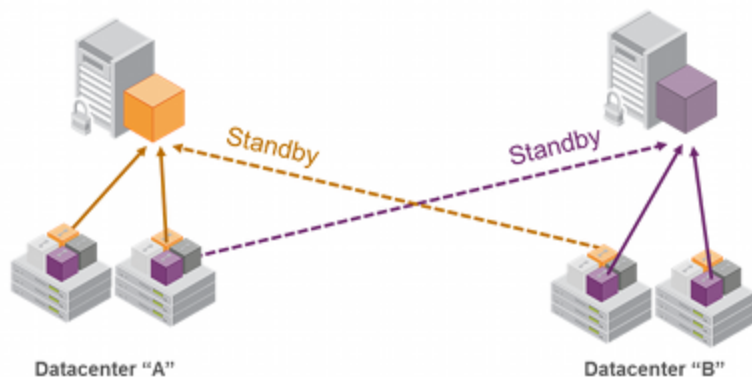
How your application uses the `C_FindObjects` function to search for objects in a virtual HA slot can have a significant impact your application performance. See "[Application Object Handles](#)" on page 129 for more information.

## Standby Members

You can designate some members of an HA group as standby members after you add them to an HA group. Standby members differ from the default active members in that they do not actively participate in the HA group unless perform any cryptographic operations

By default, all members in an HA group are treated as active so that they are kept current with key material and are used to load-balance cryptographic services. In some deployment scenarios, however, it makes sense to define some members as standby. Standby members are registered just like active members except that they are defined as "standby" after they are added to the HA group.

As depicted below, applications can be deployed in geographically dispersed locations. In this scenario, you can use Luna's standby capability to use the HSMs in the remote data center to cost-effectively improve availability. In this mode, only the local units (non-standby) are used for active load-balancing. However, as key material is created, it is automatically replicated to both the active (local) units and standby (remote) unit. In the event of a failure of all local members, the standby unit is automatically promoted to active status. You can use this feature to reduce costs, while improving reliability. This approach allows remote HSMs that have high latency to be avoided when not needed. However, in the worst case scenario where all the local HSMs fail, the remote member automatically activates itself and keeps the application running.



**Note:** In normal operation, the HA standby units do not perform any cryptographic operations. However, the HA service must log into all units in a group (C\_OpenSession/Login is performed against all members), including standby units. This is necessary because, in the case where the standby unit is called into action, it must already be up-to-date with respect to key material that is being used in the group - it cannot synchronize with HSMs that have failed or that have gone off-line. Therefore, when the HA group consists of PED-authenticated HSMs, they must all be Activated, including the standby HSM(s).

## Standby Behavior

Standby members become active only to keep the group alive. In an HA group that includes more than one standby member, if all active members go down/off-line, all available standby members become active in the group. Additional standby members remain on standby until/unless they are needed.

In other words, in an HA group, the load-sharing and redundancy capability is as large as all the active members. If all active members become unavailable to the application, then the group load-sharing and redundancy falls to all available standby members.

### To set an HSM to standby status:

In "Configuring HA" on page 124, we created an HA group with label "myHAGroup" and group number 1154438865297, with two active members, serial number 154438865297 and serial number 1238700701520.

1. Create a third member, as previously described, and add it to the HA group by specifying either its slot or serial number.

```
hagroup addmember -group <grouplabel> {-slot <slotnum> | -serialnumber <serialnum>}
```

For example:

```
lunacm:> hagroup addmember -group myHAGroup -slot 2
```

```
Enter the password: *****
Member 1238700701521 successfully added to group myHAGroup. New group
configuration is:

  HA Group Label:  myHAGroup
  HA Group Number: 1154438865297
  HA Group Slot ID: 6
  Synchronization: enabled
  Group Members:  154438865297, 1238700701520, 1238700701521
  Needs sync:     no
```

Standby Members: <none>

Slot #	Member S/N	Member Label	Status
0	154438865297	HApartment00	alive
1	1238700701520	HApartment01	alive
2	1238700701521	HApartment02	alive

Please use the command "ha synchronize" when you are ready to replicate data between all members of the HA group. (If you have additional members to add, you may wish to wait until you have added them before synchronizing to save time by avoiding multiple synchronizations.)  
Command Result : No Error

- Set the member to standby status, specifying its slot or serial number.

**hagroup addstandby -group <grouplabel> {-slot <slotnum> | -serialnumber <serialnum>}**

For example:

```
lunacm:> hagroup addstandby -group myHAGroup -serialnumber 1238700701521
```

The member 1238700701521 was successfully added to the standby list for the HA Group myHAGroup.

Command Result : No Error

- If you wish, check the new configuration.

**hagroup listgroups**

For example:

```
lunacm:> hagroup listgroups
```

If you would like to see synchronization data for group myHAGroup, please enter the password for the group members. Sync info not available in HA Only mode.

Enter the password: \*\*\*\*\*

```

      HA auto recovery: disabled
      HA recovery mode: activeBasic
Maximum auto recovery retry: 0
Auto recovery poll interval: 60 seconds
      HA logging: disabled
      Only Show HA Slots: no

```

```

      HA Group Label: myHAGroup
      HA Group Number: 1154438865297
      HA Group Slot ID: 6
Synchronization: enabled
      Group Members: 154438865297, 1238700701520, 1238700701521
      Needs sync: no
      Standby Members: 1238700701521

```

Slot #	Member S/N	Member Label	Status
0	154438865297	HApartment00	alive
1	1238700701520	HApartment01	alive
2	1238700701521	HApartment02	alive



Command Result : No Error

## Planning Your Deployment

This section describes the supported configurations and any limitations or constraints to consider when setting up an HA group.

### HA Group Members

It is important that all members in an HA group have the same configuration and version. That means that each HA group member must use the same authentication method, either PED-authenticated or password-authenticated, and be at the same software version. Running HA groups with different versions is unsupported. Ensure that HSMs are configured identically to ensure smooth high availability and load balancing operation. SafeNet Luna HSMs come with various key management configurations: cloning mode, key-export mode, etc. HA functionality is supported with cloning, provided all members in the group have the same configuration. Clients automatically and transparently use the correct secure key replication method based on the group's configuration.

It is also critical that all members in an HA group share the same Security Domain role (Red PED key for PED-authenticated devices, or domain password for password-authenticated devices). The Security Domain defines which HSMs are allowed to share key material. Because HA group members are, by definition, intended to be peers, they must be in the same Security Domain.

The SafeNet HA and load-balancing feature works on per-client and per-partition bases. This provides a lot of flexibility. For example, it is possible to define a different sub-set of HSMs in each client and even in each client's partitions (in the event that a single client uses multiple partitions). SafeNet recommends to avoid these complex configurations and to keep the HA topography uniform for an entire HSM. That is, treat HSM members at the HSM level as atomic and whole. This simplifies the configuration management associated with the HA feature.

### Mix and Match Appliance Software is Not Supported

All SafeNet Luna Network HSM appliances in an HA group must be running the same appliance software version. Before attempting to create an HA group, ensure that all of the appliances used to host the HA members are running the same appliance software. In addition, it is recommended that your client software is at the same software version as the appliance.

### Mix and Match HSM Firmware, Capabilities, and FIPS Setting is Not Recommended

The HSM firmware, capabilities, and FIPS setting define which mechanisms are available, and how they can be used. To ensure that all objects in an HA slot can be successfully cloned to all members of the HA group, ensure that all members of a production HA group are at the same firmware level, have the same set of capabilities installed, and use the same FIPS setting. If mismatches exist between members, HSM operations or HA synchronization might fail if your application attempts to use a mechanism or a capability that not all members support.

To ensure minimal disruption during the during firmware or capability updates, your HA group will continue to function if there are differences in firmware, capabilities, or FIPS setting between the HA group members. Where differences exist, the capability of the group (in terms of features and available algorithms) is that of the member with the oldest firmware. It is recommended that you limit periods where mismatches are present to maintenance windows used to apply firmware or capability upgrades.

### Example

Assume you have an HA group that includes HSMs with two different firmware versions,. In this case, certain capabilities that are part of the newer firmware are unavailable to clients connecting to the HA group. Specifically,

operations that make use of newer cryptographic mechanisms and algorithms would likely fail. The client's calls might be initially assigned to a newer-firmware HSM and could therefore appear to work for a time, but if the task is load-balanced to an HSM that does not support the newer features, it would fail. Similarly, if the newer-firmware HSM dropped out of the group, operations requiring the newer firmware would fail.

### HA Group Members Must Not Be on the Same Appliance

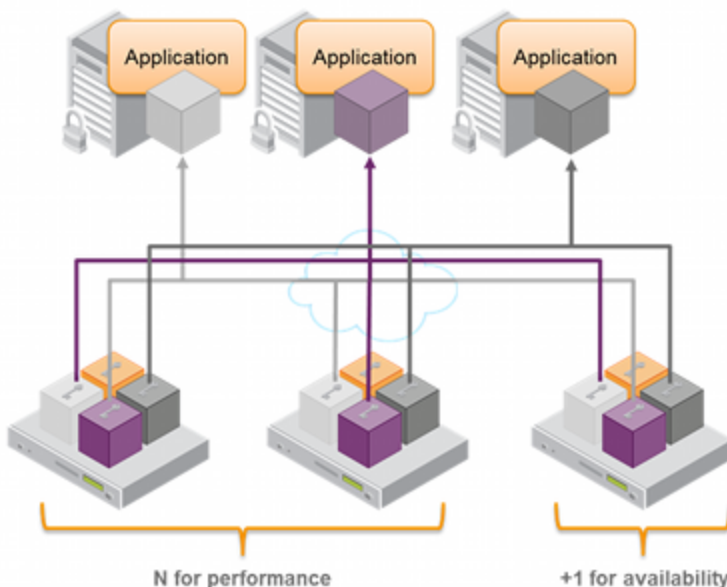
In any one HA group, always ensure that member partitions or member PKI tokens (USB-attached SafeNet Luna USB HSMs, or SafeNet CA4/PCM token HSMs in a USB-attached SafeNet DOCK2 card reader) are on different / separate appliances. Do not attempt to include more than one HSM partition or PKI token (nor one of each) from the same appliance in a single HA group. This is not a supported configuration. Allowing two partitions from one HSM, or a partition from the HSM and an attached HSM (as for PKI), into a single HA group would defeat the purpose of HA by making the SafeNet appliance a potential single-point-of-failure.

### Running HA on a group of export SafeNet Luna Network HSM appliances

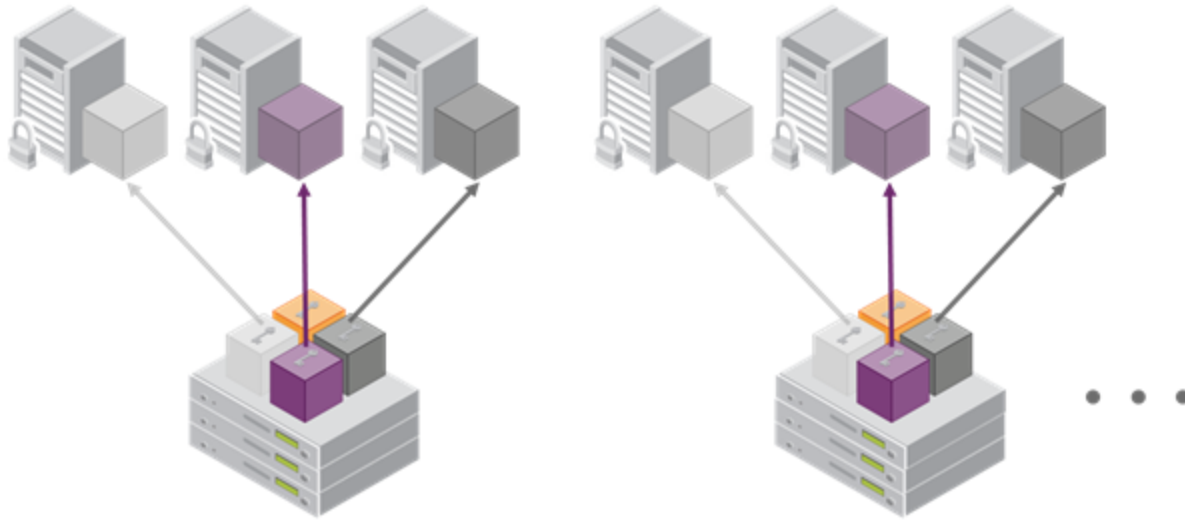
This configuration is supported, although you cannot clone/replicate private keys.

### High Availability Group Sizing

As of SafeNet Luna HSM release 6.x, the high availability function supports the grouping of up to thirty-two members. However, the maximum practical group size for your application is driven by a trade-off between performance and the cost of replicating key material across the entire group. A common practice is to set the group size to  $N+1$  where  $N$  is defined by the desired performance per application server(s). As depicted below, this solution gives the desired performance with a single extra HSM providing the availability requirement. The number of HSMs per group of application servers varies based on the application use case but, as depicted, groups of three are typical.



As performance needs grow beyond the performance capacity of three HSMs, it often makes sense to define a second independent group of application servers and HSMs to further isolate applications from any single point of failure. This has the added advantage of facilitating the distribution of HSM and application sets in different data centers.



## Network Requirements

The network topography of the HA group is generally not important to the proper functioning of the group. As long as the client has a network path to each member the HA logic will function. Keep in mind that having a varying range of latencies between the client and each HA member causes a command scheduling bias towards the low-latency members. It also implies that commands scheduled on the long-latency devices have a larger overall latency associated with each command. In this case, the command latency is a characteristic of the network; to achieve uniform load distribution ensure that latencies to each device in the group are similar (with the exception of standby members, who do not contribute to network load). Gigabit Ethernet network connections are recommended.

## Upgrading and Redundancy and Rotation

For SafeNet Luna Network HSM HA function we suggest that all SafeNet Luna Network HSM appliances in an HA group be at the same appliance software and firmware level. The issue is not about firmware level, per se - what might happen is that a newer firmware could contain newer algorithms that are not supported in the replaced firmware. If your client is configured to take advantage of newer/better algorithms when they become available, it might do so while one member of an HA group has new firmware, but another member has not yet been updated, and therefore does not yet support the requested algorithm. The client might not be able to interpret the resulting imbalance. Therefore, when you intend to upgrade/update any of the SafeNet Luna Network HSM units in an HA group, or when you intend to upgrade/update the SafeNet Luna Network HSM Client software, you might schedule some downtime for your application, if you anticipate a problem.

If the application is so critical that you cannot permit that much scheduled downtime, then you can set up a second complete set of Client computer and associated HA group. One set can service the application load while the other set

is being upgraded or otherwise maintained. For such up-time-critical applications, you might already have such a backup set of Client-plus-HA-group that you would rotate in and out of service during regular maintenance windows.

## Configuring HA

To create an HA group, you need at least two SafeNet Luna Network HSMs with PED Authentication, or two with Password Authentication. You cannot use Password -Authenticated and PED-Authenticated SafeNet Luna Network HSMs simultaneously in an HA group. This section describes how to set up an HA group with partitions on different HSMs. It consists of the following major steps:

- ["Prerequisites" below](#)
- ["Create the HA Group" on the next page](#)
- ["Verification" on page 127](#)
- ["HA Standby Mode \[Optional\]" on page 128](#)

### Prerequisites

You must complete these procedures before setting up an HA group. The prerequisite steps are divided into tasks performed by different roles.

#### HSM SO Prerequisites

1. Perform the network setup on two or more SafeNet Luna Network HSM appliances (see ["Configure the SafeNet Appliance for Your Network" on page 1](#) in the *Configuration Guide*).
2. Ensure that HSM policies **7: Allow Cloning** and **16: Allow Network Replication** are "on" (see ["Set the HSM Policies" on page 1](#) in the *Configuration Guide*). If your HSMs do not have the cloning option, then they will use the Key Export functionality to backup to (and restore from) a file, rather than a hardware Backup token.
3. Initialize the HSMs (see ["HSM Initialization" on page 141](#) in the *Configuration Guide*). All HSMs that will host partitions in the HA group must be initialized with the same cloning domain:
  - PED-authenticated HSMs must share the same red domain PED key
  - Password-authenticated HSMs must share the same domain string
4. Create a partition on each SafeNet Luna Network HSM. They do not need to have the same label.
5. Allow one or more clients to access the partitions using NTLS or STC links (see ["Enable the Client to Access a Partition" on page 1](#) in the *Configuration Guide*).

#### Partition SO Prerequisites

1. Ensure that all the partitions to be included in the HA group are visible in LunaCM (see ["Enable the Client to Access a Partition" on page 1](#) in the *Configuration Guide*).
2. Initialize all the partitions to be included in the HA group (see ["Configure Application Partitions" on page 1](#) in the *Configuration Guide*). The partitions do not need to have the same label, but they must be initialized with the same cloning domain:
  - PED-authenticated partitions must share the same red domain PED key
  - Password-authenticated partitions must share the same domain string

In this example, the partitions have been initialized as HApartment00 (SN 154438865297) and HApartment01 (SN 1238700701520).

- [OPTIONAL] If you are setting up a PED-authenticated HA group, ensure that each Partition is Activated and AutoActivated (see "[Activation and Auto-Activation on PED-Authenticated Partitions](#)" on page 160), so that it can retain/resume its "Activate" (persistent login) state through any brief power failure or other interruption.
- Initialize the Crypto Officer role on all the partitions.

```
role init -name co
```

### Crypto Officer Prerequisites

- Login to each partition as Crypto Officer and change the initial primary credential (password or black PED key). Use the same Crypto Officer credential for each partition to be included in the HA group.

```
role login -name co
```

```
role changepw -name co
```

- If you are setting up a PED-authenticated HA group, change the initial secondary credential (challenge password). Use the same challenge password for each partition to be included in the HA group.

```
role login -name co
```

```
role changepw -name co -oldpw <old_challenge> -newpw <new_challenge>
```

## Create the HA Group



**Note:** Your LunaCM instance needs to update the **Chrystoki.conf** (Linux/UNIX) or **crystoki.ini** file (Windows) when setting up or reconfiguring HA. Ensure that you have sufficient privileges.

After satisfying the prerequisites, use LunaCM to create an HA group on your client, and add member partitions. This procedure is completed by the Crypto Officer.

- Use the **hagroup creatigroup** command to create a new HA group on the client, which requires:
  - a Label for the group (do NOT call the group just "HA").
  - the Serial number OR the slot number of the primary partition.
  - the Crypto Officer password for the partition.

```
hagroup creatigroup -label <label> {-slot <slotnum> | -serialnumber <serialnum>}
```

LunaCM generates and assigns a serial number to the group itself.

For example:

```
lunacm:> hagroup creatigroup -slot 0 -label myHAGroup
```

```
Enter the password: *****
```

```
New group with label "myHAGroup" created with group number 1154438865297.
Group configuration is:
```

```
HA Group Label: myHAGroup
HA Group Number: 1154438865297
HA Group Slot ID: Not Available
Synchronization: enabled
Group Members: 154438865297
Needs sync: no
Standby Members: <none>
```

```

Slot #      Member S/N                Member Label      Status
=====      =====                =====      =====
      0  154438865297                HApartment00     alive

```

Command Result : No Error

LunaCM v7.0.0. Copyright (c) 2006-2017 SafeNet.

Available HSMs:

```

Slot Id ->          0
Label ->            HApartment00
Serial Number ->   154438865297
Model ->           LunaSA 7.0.0
Firmware Version -> 7.0.1
Configuration ->   Luna User Partition With SO (PW) Signing With Cloning Mode
Slot Description -> Net Token Slot

```

```

Slot Id ->          1
Label ->            HApartment01
Serial Number ->   1238700701520
Model ->           LunaSA 7.0.0
Firmware Version -> 7.0.1
Configuration ->   Luna User Partition With SO (PW) Signing With Cloning Mode
Slot Description -> Net Token Slot

```

```

Slot Id ->          5
HSM Label ->       myHAGroup
HSM Serial Number -> 1154438865297
HSM Model ->       LunaVirtual
HSM Firmware Version -> 7.0.1
HSM Configuration -> Luna Virtual HSM (PW) Signing With Cloning Mode
HSM Status ->     N/A - HA Group
HSM Certificates -> *** Test Certs ***

```

Current Slot Id: 0



**Note:** The example above was generated using Password-authenticated SafeNet Luna Network HSMs. For PED-authenticated HSMs, have a Luna PED connected, the partition already activated, and provide the partition challenge secret as the password (must be the same for all members).

- Your `chrystoki.conf/crystoki.ini` file should now have a new section:

```

[VirtualToken]
VirtualToken00Label=myHAGroup
VirtualToken00SN=1154438865297
VirtualToken00Members=154438865297

```



**CAUTION:** Never insert TAB characters into the `chrystoki.ini` (Windows) or `crystoki.conf` (UNIX) file.

- Add another partition to the HA group (HApartment01 on sa40).

```
hagroup addmember -group <grouplabel> {-slot <slotnum> | -serialnumber <serialnum>}
```

For example:

```
lunacm:> hgroup addmember -group myHAGroup -slot 1
```

```
Enter the password: *****
Member 1238700701520 successfully added to group myHAGroup. New group
configuration is:
```

```
HA Group Label: myHAGroup
HA Group Number: 1154438865297
HA Group Slot ID: 5
Synchronization: enabled
Group Members: 154438865297, 1238700701520
Needs sync: no
Standby Members: <none>
```

Slot #	Member S/N	Member Label	Status
0	154438865297	HApartment00	alive
1	1238700701520	HApartment01	alive

```
Please use the command "ha synchronize" when you are ready
to replicate data between all members of the HA group.
(If you have additional members to add, you may wish to wait
until you have added them before synchronizing to save time by
avoiding multiple synchronizations.)
```

Command Result : No Error

4. Check `Chrystoki.conf/crystoki.ini` again, the `VirtualToken` section should now look like this:

```
[VirtualToken]
VirtualToken00Label=myHAGroup
VirtualToken00SN=1154438865297
VirtualToken00Members=154438865297,1238700701520
```

5. Use the following command when you are ready to replicate data between/among all members of the HA group.

```
hgroup synchronize -group <grouplabel>
```

If you have additional members to add to the group, do this first to save time by avoiding multiple synchronizations. The 'synchronize' command replicates all objects on all partitions across all other partitions. As there are no objects on our newly-created partitions yet, we do not need to run this command.



**Note:** Do not use this command when recovering a group member that has failed (or was taken down for maintenance). Use the command **hgroup recover -group <grouplabel>**.

## Verification

In LunaCM, we now have three slots available: two physical slots (a partition on each HSM) and a third virtual slot that points at both physical slots at once, via load balancing. To test your HA setup, perform the following steps:

1. Exit LunaCM and run **multitoken** against the HA group slot number (slot 5 in the example) to create some objects on the HA group partitions.

```
./multitoken -mode rsakeygen -key 4096 -nodestroy -slots 5
```

You can hit "Enter" at any time to stop the process before the partitions fill up completely. Any number of created objects will be sufficient to show that the HA group is functioning.

- Run LunaCM and use **partition showinfo** on the two physical slots. Check the object count under "Partition Storage":

```

Current Slot Id: 0

lunacm:> partition showinfo

...(clip)...

Partition Storage:
  Total Storage Space: 325896
  Used Storage Space: 9480
  Free Storage Space: 316416
  Object Count: 206
  Overhead: 9648

Command Result : No Error

lunacm:> slot set slot 1

Current Slot Id: 1 (Luna User Slot 7.0.1 (PW) Signing With Cloning Mode)

Command Result : No Error

lunacm:> partition showinfo

...(clip)...

Partition Storage:
  Total Storage Space: 325896
  Used Storage Space: 9480
  Free Storage Space: 316416
  Object Count: 206
  Overhead: 9648

Command Result : No Error

```

- To remove the test objects, login to the HA virtual slot and clear the virtual partition.

```

slot set slot 5
partition login
partition clear

```

If you are satisfied that your HA setup is working, you can begin using your application against the HA virtual slot ("myHAGroup" in the example). The virtual slot assignment will change depending on how many more application partitions are added to your client configuration. This will not matter to your application, which invokes the HA group label, not a particular slot number.

## HA Standby Mode [Optional]

If you wish to add an additional partition that will be designated a standby member, and not a regular participant in the group, see ["Standby Members" on page 118](#).



## Using HA With Your Applications

This section describes how HA affects your applications, and describes the settings you can use and actions you can take to mitigate any performance or stability issues.

### HAOnly

By default, the client lists both the physical slots and virtual slots for the HA group. Directing applications at the physical slots bypasses the high availability and load balancing functionality. An application must be directed at the virtual slots to activate the high availability and load balancing functionality. A configuration setting referred to as **HAonly** hides the physical slots, and is recommended to prevent incorrect application configurations. Doing so also simplifies the PKCS #11 slot ordering given a dynamic HA group.

#### What is the impact of the 'haonly' flag, and why might you wish to use it?

The "haonly" flag shows only HA slots (virtual slots) to the client applications. It does not show the physical slots. We recommend that you use "haonly", unless you have particular reason for not using it. Having "haonly" set is the proper way for clients to deal with HA groups - it prevents the possible confusion of having both physical and virtual slots available.

Recall that automatic replication/synchronization across the group occurs only if you cause a change (keygen or other addition, or a deletion) via the virtual HA slot. If you/your application changes the content of a physical slot, this results in the group being out-of-sync, and requires a manual re-sync to replicate a new object across all members. Similarly, if you delete from a physical slot directly, the next manual synchronization will cause the deleted object to be repopulated from another group member where that object was never deleted. Therefore, to perform a lasting deletion from a single physical slot (if you choose not to do it via the virtual slot) requires that you manually delete from every physical slot in the group, or risk your deleted object coming back.

Also, from the perspective of the Client, a member of the HA group can fail and, with "haonly" set, the slot count does not change. If "haonly" is not set, and both virtual and physical slots are visible, then failure of unit number 1 causes unit number 2 to become slot 1, and so on. That could cause problems if your application is not designed to deal gracefully with such a change.

### Key Generation

An application that continuously generates key material will need to have its HA group carefully selected since the generated session objects need to be replicated to each member of the HA group, requiring significant processing overhead that does not exist in single slot mode. Contact Technical Support for help in architecting your HA group for this type of application.

### Application Object Handles

Application developers should be aware that the PKCS #11 object handle model is fully virtualized when using an HA slot. As such, the application must not assume fixed handle numbers across instances of an application. A handle's value remains consistent for the life of a process; but it might be a different value the next time the application is executed.

When you use an HA slot with your applications, the client behaves as follows when interacting with the application:

1. Intercept the call from the application.
2. Translate virtual object handles to physical object handles using the mappings specified by the virtual object table. The virtual object table is created and updated for the current session only, and only contains of list of the objects

accessed in the current session.

3. Launch any required actions on the appropriate HSM or partition.
4. Receive the result from the HSM or partition and forward the result to your application,
5. Propagate any changes in objects on the physical HSM that performed the action to all of the other members of the HA group.

### Virtual slots and virtual objects

When an application uses a non-HA physical slot, it addresses all objects in the slot by their physical object handles. When an application uses an HA slot, however, a virtual layer of abstraction overlays the underlying physical slots that make up the HA group, and the HA group is presented to the application as a virtual slot. This virtual slot contains virtual objects that have virtual object handles. The object handles in an HA slot are virtualized since the object handles on each of the underlying physical slots might be different from slot to slot. Furthermore, the physical object handles could change if a member of the HA group drops out (fails or loses communication) and is replaced.

### The virtual object table

HA slots use a virtual object table to map the virtual objects in the virtual HA slot to the real objects in the physical slots that make up the HA group. The HA client builds a virtual object table for each application that loads the library. The table is ephemeral, and only exists for the current session. It is created and updated, if necessary, each time an application makes a request to access an object. To maximize performance and efficiency, the table only contains a list of the objects accessed in the current session. For example, the first time an application accesses an object after application start up, the table is created, a look up is performed to map the virtual object to its underlying physical objects, and an entry for the object is added to the table. For each subsequent request for that object, the data in the table is used and no look up is required. If the application then accesses a different object that is not listed in the table, a new look up is performed and the table is updated to add an entry for the new object.

### C\_FindObjects behavior and application performance

Because the client must perform a look up to create the virtual object table, how you use the C\_FindObjects function can have a significant impact on the performance of your applications. For example, if you use the C\_FindObjects function to ask for specific attributes, the client only needs to update the table to include the requested objects. If, however, you use the C\_FindObjects function to find all objects, the client queries each HSM/partition in the group, for each object, to create the table. This can take a significant amount of time if the slot contains a large number of objects, or if the HA group includes many members.

To mitigate performance degradation when using the C\_FindObjects function to list the objects on an HA slot, we recommend that you structure your applications to search by description, handles, or other attributes, rather than searching for all objects. Doing so minimizes the number of objects returned and the time required to create or update the table. If your application must find all objects, we recommend that you add the C\_FindObjects all function call to the beginning of your application so that the table is built on application start up, so that the table is available to the application for all subsequent C\_FindObjects function calls.

## Adding, Removing, Replacing, or Reconnecting HA Group Members

This section describes how to add a new member to an HA group, reconnect an offline member, or replace a failed unit.

### Adding or Removing an HA Group Member

Use the following LunaCM commands to add or remove a normal or standby member to or from an HA group:

- **hagroup addmember**
- **hagroup addstandby**
- **hagroup removemember**
- **hagroup removestandby**

See "[hagroup](#)" on page 1 in the *LunaCM Command Reference Guide* for detailed descriptions and syntax for each **hagroup** command.



**Note:** You must restart the application to have the added or removed member recognized.

## Reconnecting an Offline Unit

In HA mode, if an HSM appliance goes off-line or drops-out (due to failure, maintenance, or some other reason), the application load is spread over the remaining members of the HA group. When the appliance is restarted, the application does not need to be stopped and restarted before the re-introduced appliance can be used by the application. For the unit that was withdrawn (or for a replacement unit), if it was powered off for more than a short outage, you must re-activate the partitions before they can be re-included into the HA Group.

The following reconnection scenarios are available:

### To recover the same group member

1. Restart the failed member and verify that it has started properly.
2. Do not perform a manual re-synchronization between the members. Instead, use the following LunaCM command:

```
hagroup recover -group <group_name>
```

## Replacing a Failed SafeNet Luna Network HSM

Before getting into replacing HSMs in an HA group, this first section describes relevant system conditions and settings to have a SafeNet Luna Network HSM configured and in an authenticated relationship with a client computer. In particular, we are interested in the client-side config file and the client's certificate folder in ordinary, single-appliance mode, and then in HA. You would already have set up the a SafeNet Luna Network HSM as described in the configuration manual, for network setup and creation of the appliance-side certificate (see "[Generate a New HSM Server Certificate](#)").

### Chrystoki.ini before client-side certificate creation

```
[Chrystoki2]
LibNT=C:\Program Files\SafeNet\LunaClient\cryptoki.dll

[LunaSA Client]
SSLConfigFile=C:\Program Files\SafeNet\LunaClient\openssl.cnf
ReceiveTimeout=20000
NetClient=1
ServerCAFile=C:\Program Files\SafeNet\LunaClient\cert\server\CAFile.pem
ClientCertFile=C:\Program Files\SafeNet\LunaClient\cert\client\ClientNameCert.pem
ClientPrivKeyFile=C:\Program Files\SafeNet\LunaClient\cert\client\ClientNameKey.pem

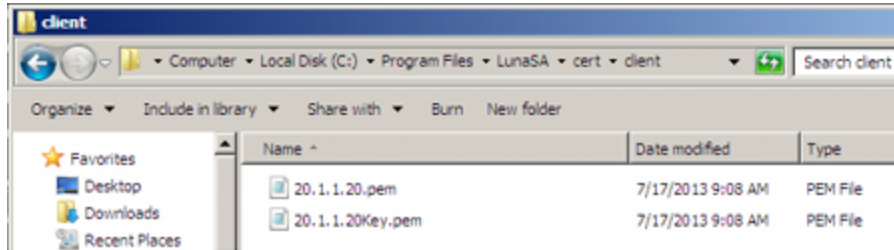
[Luna]
DefaultTimeOut=500000
PEDTimeout1=100000
PEDTimeout2=200000
```

```
PEDTimeout3=10000
```

```
[CardReader]
RemoteCommand=1
```

1. Create client-side certs (see "vtl createCert " on page 1 in the *Utilities Reference Guide*).

### Generated client certificates



### Chrystoki.ini after client-side certificate creation

```
[Chrystoki2]
LibNT=C:\Program Files\SafeNet\LunaClient\cryptoki.dll

[LunaSA Client]
SSLConfigFile=C:\Program Files\SafeNet\LunaClient\openssl.cnf
ReceiveTimeout=20000
NetClient=1
ServerCAFile=C:\Program Files\SafeNet\LunaClient\cert\server\CAFile.pem
ClientCertFile=C:\Program Files\SafeNet\LunaClient\cert\client\20.1.1.20.pem
ClientPrivKeyFile=C:\Program Files\SafeNet\LunaClient\cert\client\20.1.1.20.pem
```

2. Copy the SafeNet Luna Network HSM **server.pem** to the client.

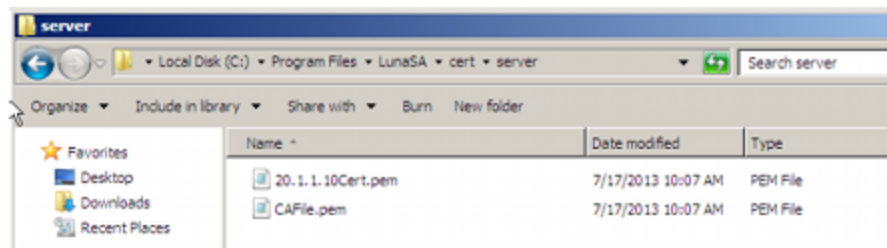


**Note:** At this point there are still no certificates in the **cert\server** directory.

3. Use **vtl addserver** to register the SafeNet Luna Network HSM with the client.

**CAFile.pem** is generated in the **cert\server** directory.

### Cert\server directory after CAFile.pem is generated



### Crystoki.ini after "vtl addserver"

```
[Chrystoki2]
LibNT=C:\Program Files\SafeNet\LunaClient\cryptoki.dll

[LunaSA Client]
SSLConfigFile=C:\Program Files\SafeNet\LunaClient\openssl.cnf
```

```

ReceiveTimeout=20000
NetClient=1
ServerCAFile=C:\Program Files\SafeNet\LunaClient\cert\server\CAFile.pem
ClientCertFile=C:\Program Files\SafeNet\LunaClient\cert\client\20.1.1.20.pem
ClientPrivKeyFile=C:\Program Files\SafeNet\LunaClient\cert\client\20.1.1.20.pem
ServerName00=20.1.1.20
ServerPort00=1792

```

### vtl verify results

```
C:\Program Files\SafeNet\LunaClient>vtl verify
```

The following SafeNet Luna Network HSM Slots/Partitions were found:

Slot	Serial #	Label
====	=====	=====
1	154702010	p1

```
C:\Program Files\SafeNet\LunaClient>
```

## Replace a SafeNet Luna Network HSM Using the Same IP

For an existing HA group, bring in a replacement SafeNet Luna Network HSM.

1. Change the IP of the new appliance to match the one that was removed.
2. Perform RegenCert on the new SafeNet Luna Network HSM.



**Note:** `vtl verify` on client at this time would fail because the cert that the client has is for the old, removed SafeNet Luna Network HSM.

3. Execute `vtl deleteserver -n <original IP>`

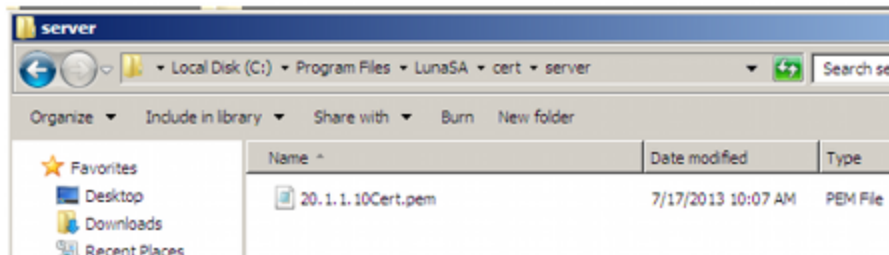
### Deleting old SafeNet Luna Network HSM from Client

```
C:\Program Files\SafeNet\LunaClient>vtl listservers
Server: 20.1.1.20
```

```
C:\Program Files\SafeNet\LunaClient>vtl deleteserver -n 20.1.1.20
Server: 20.1.1.20 successfully removed from server list.
```

```
C:\Program Files\SafeNet\LunaClient>
```

### Contents of cert\server after “deleteserver” (CAFile.pem has been deleted)



4. Copy new `server.pem` to client.

### Copying new server.pem to client

```
C:\Program Files\SafeNet\LunaClient>pscp admin@20.1.1.20:server.pem .
admin@20.1.1.20's password:
server.pem          | 1 kB | 1.1 kB/s | ETA: 00:00:00 | 100%
```

### 5. Run **vtl addserver** using new **server.pem**

vtl addserver using new server.pem

```
C:\Program Files\SafeNet\LunaClient>vtl addserver -n 20.1.1.20 -c server.pem
New server: 20.1.1.20 successfully added to server list.
```

### 6. Run **vtl verify**.

vtl verify results

```
C:\Program Files\SafeNet\LunaClient>vtl verify
```

The following SafeNet Luna Network HSM Slots/Partitions were found:

Slot	Serial #	Label
====	=====	=====
1	154702010	p1

## Summary

If a SafeNet Luna Network HSM must be replaced, the old IP can be used, but the SafeNet Luna Network HSM certificate must be regenerated. The IP must be removed from the server list on the client and then added back using the new **server.pem**.

### Client side requirements review:

- Use **vtl deleteserver** to remove IP from list and delete CAFile.pem from **cert\server**.
- Copy new **server.pem** to client
- Use **vtl addserver** to re-add IP and create **CAFile.pem**.

## Client-side - Reconfigure HA If a SafeNet Luna Network HSM Must Be Replaced

### 1. Note HA partition serial numbers

```
C:\Program Files\SafeNet\LunaClient>vtl verify
The following SafeNet Luna Network HSM Slots/Partitions were found:
Slot  Serial #      Label
====  =====      =====
1     154702011      HA1
1     154702012      HA2
```

### 2. Run **hagroup creatigroup -serialnumber -password** with **lunacm:>**

A group is created with HA1 as Primary.

```
lunacm:>hagroup creatigroup -serialnumber 154702011 -label SomeHAGrp -password PassWd
```

Command Result: No Error

### Crystoki.ini after HA group is created

```
[Chrystoki2]
LibNT=C:\Program Files\SafeNet\LunaClient\cryptoki.dll

[LunaSA Client]
SSLConfigFile=C:\Program Files\SafeNet\LunaClient\openssl.cnf
ReceiveTimeout=20000
NetClient=1
ServerCAFile=C:\Program Files\SafeNet\LunaClient\cert\server\CAFile.pem
ClientCertFile=C:\Program Files\SafeNet\LunaClient\cert\client\20.1.1.20.pem
ClientPrivKeyFile=C:\Program Files\SafeNet\LunaClient\cert\client\20.1.1.20.pem
ServerName00=20.1.1.20
ServerPort00=1792

[Luna]
DefaultTimeout=500000
PEDTimeout1=100000
PEDTimeout2=200000
PEDTimeout3=10000

[CardReader]
RemoteCommand=1

[VirtualToken]
VirtualToken00Label=SomeHAGrp
VirtualToken00SN=1154702011
VirtualToken00Members=154702011

[HASynchronize]
SomeHAGrp=1
```

3. Add a secondary SafeNet Luna Network HSM partition to the HA group with lunacm:> **hagroup addmember -serialnumber -group -password.**

```
lunacm:> hagroup addmember -serialnumber 154702012 -group SomeHAGrp -password PassWd
```

```
Command Result: No Error
```

**Crystoki.ini after second HA member is added**

```
[Chrystoki2]
LibNT=C:\Program Files\SafeNet\LunaClient\cryptoki.dll

[LunaSA Client]
SSLConfigFile=C:\Program Files\SafeNet\LunaClient\openssl.cnf
ReceiveTimeout=20000
NetClient=1
ServerCAFile=C:\Program Files\SafeNet\LunaClient\cert\server\CAFile.pem
ClientCertFile=C:\Program Files\SafeNet\LunaClient\cert\client\20.1.1.20.pem
ClientPrivKeyFile=C:\Program Files\SafeNet\LunaClient\cert\client\20.1.1.20.pem
ServerName00=20.1.1.20
ServerPort00=1792

[Luna]
DefaultTimeout=500000
PEDTimeout1=100000
PEDTimeout2=200000
PEDTimeout3=10000
```

```
[CardReader]
RemoteCommand=1
```

```
[VirtualToken]
VirtualToken00Label=SomeHAGrp
VirtualToken00SN=1154702011
VirtualToken00Members=154702011, 154702012
```

```
[HASynchronize]
SomeHAGrp=1
```

### Crystoki.ini after HA Only is enabled

```
[Chrystoki2]
LibNT=C:\Program Files\SafeNet\LunaClient\cryptoki.dll
```

```
[LunaSA Client]
SSLConfigFile=C:\Program Files\SafeNet\LunaClient\openssl.cnf
ReceiveTimeout=20000
NetClient=1
ServerCAFile=C:\Program Files\SafeNet\LunaClient\cert\server\CAFile.pem
ClientCertFile=C:\Program Files\SafeNet\LunaClient\cert\client\20.1.1.20.pem
ClientPrivKeyFile=C:\Program Files\SafeNet\LunaClient\cert\client\20.1.1.20.pem
ServerName00=20.1.1.20
ServerPort00=1792
```

```
[Luna]
DefaultTimeOut=500000
PEDTimeout1=100000
PEDTimeout2=200000
PEDTimeout3=10000
```

```
[CardReader]
RemoteCommand=1
```

```
[VirtualToken]
VirtualToken00Label=SomeHAGrp
VirtualToken00SN=1154702011
VirtualToken00Members=154702011, 154702012
```

```
[HASynchronize]
SomeHAGrp=1
```

```
[HAConfiguration]
```

```
HAOnly=1
```

### Crystoki.ini after "autorecovery" is enabled

```
[Chrystoki2]
LibNT=C:\Program Files\SafeNet\LunaClient\cryptoki.dll
```

```
[LunaSA Client]
SSLConfigFile=C:\Program Files\SafeNet\LunaClient\openssl.cnf
ReceiveTimeout=20000
NetClient=1
ServerCAFile=C:\Program Files\SafeNet\LunaClient\cert\server\CAFile.pem
ClientCertFile=C:\Program Files\SafeNet\LunaClient\cert\client\20.1.1.20.pem
ClientPrivKeyFile=C:\Program Files\SafeNet\LunaClient\cert\client\20.1.1.20.pem
```



```
ServerName00=20.1.1.20
ServerPort00=1792
```

```
[Luna]
DefaultTimeOut=500000
PEDTimeout1=100000
PEDTimeout2=200000
PEDTimeout3=10000
```

```
[CardReader]
RemoteCommand=1
```

```
[VirtualToken]
VirtualToken00Label=SomeHAGrp
VirtualToken00SN=1154702011
VirtualToken00Members=154702011, 154702012
```

```
[HASynchronize]
SomeHAGrp=1
```

```
[HAConfiguration]
HAOnly=1
reconnAtt=500
```

#### 4. Show HA configuration results with **hagroup listgroups** in **lunacm:>**

```
lunacm:> hagroup listgroups
```

If you would like to see synchronization data for group myHAGroup, please enter the password for the group members. Sync info not available in HA Only mode.

```
Enter the password: *****
```

```
HA auto recovery: disabled
HA recovery mode: activeBasic
Maximum auto recovery retry: 0
Auto recovery poll interval: 65 seconds
HA logging: enabled
HA log_file: /luna_ha_temp/haErrorLog.txt
Maximum HA log file length: 300000 bytes
Only Show HA Slots: no
```

```
HA Group Label: SomeHAGrp
HA Group Number: 1364882803566
HA Group Slot ID: 5
Synchronization: enabled
Group Members: 154702011, 154702012
Needs sync: no
Standby Members: <none>
Slot #  Member S/N  Member Label  Status
=====  =====  =====  =====  =====
0         154702011         HA1  alive
1         154702012         HA2  alive
```

```
Command Result : No Error
```

## Replacing the Secondary HA Group Member

When the SafeNet Luna Network HSM to be replaced, in an HA Group, is a secondary member, the process is similar to above. You must delete the secondary from the HA Group and re-add it with the new partition serial number. It is not necessary to delete and recreate the group.

If a SafeNet Luna Network HSM must be replaced, the old IP address can be used, but the SafeNet Luna Network HSM certificate must be regenerated. The IP address must be removed from the server list on the client and then added back using the new “server.pem” received from the replacement SafeNet Luna Network HSM.

If the SafeNet Luna Network HSM being replaced is the Primary, you must delete the HA Group and recreate it using the new Primary SafeNet Luna Network HSM partition serial number and then add the original Secondary SafeNet Luna Network HSM partition serial number - the cert from the original Secondary is already in place on the client, and no change is needed to that.

## Managing and Troubleshooting Your HA Groups

You can use `vtl` and the LunaCM `hagroup` commands to monitor and manage your HA groups.

### Slot Enumeration

The client-side utility command `vtl listslot` or the LunaCM `slot list` command shows all detected slots, including HSM partitions on the primary HSM, partitions on connected external HSMs, and HA virtual slots. Here is an example:

```
bash-3.2# ./vtl listslot
```

Number of slots: 11

The following slots were found:

Slot #	Description	Label	Serial #	Status
slot #1	LunaNet Slot	-	-	Not present
slot #2	LunaNet Slot	sa76_p1	150518006	Present
slot #3	LunaNet Slot	sa77_p1	150475010	Present
slot #4	LunaNet Slot	G5179	700179008	Present
slot #5	LunaNet Slot	pkil	700180008	Present
slot #6	LunaNet Slot	CA4223	300223001	Present
slot #7	LunaNet Slot	CA4129	300129001	Present
slot #8	HA Virtual Card Slot	-	-	Not present
slot #9	HA Virtual Card Slot	-	-	Not present
slot #10	HA Virtual Card Slot	ha3	343610292	Present
slot #11	HA Virtual Card Slot	G5_HA	1700179008	Present



**Note:** - The deploy/undeploy of a PKI device increments/decrements the SafeNet Luna Network HSM client slot enumeration list (slots appear or disappear from the list, and the slot numbers adjust for the change). HA group virtual slots always appear toward the end of the list, following the physical slots. The actual slot number can vary based on the currently connected external HSMs (tokens, G5).

Due to the above behavior, we generally recommend that you run the `lunacm:> haGroup haonly` command so that only the HA slot is visible and any confusion or improper slot use is eliminated.

## Determining Which Device is in Use

Use the `ntls show` or `stc status` command.

## Determining Which Devices are Active

CA extension call "CA\_GetHAState" lists all active devices. The LunaCM `hagroup listgroup` command also lists members.

## Duplicate Objects

If you create an object on your HA slot, and then duplicate that object in some fashion (for example, by SIM'ing [wrapping] it off and then back on again, or performing a backup/restore with the 'add' option), that object will be seen as only one object on the HA slot because HA uses the object's fingerprint to build an object list. Two objects will in fact exist on each of the physical slots and could be seen by a non-HA utility/query to the HSM.

There are TWO implications from this situation:

- One implication is that repeated duplication (perhaps an application that performs periodic backups, and restores using the 'add' option rather than 'replace') could cause the partition to reach the maximum number of partition objects while seemingly having fewer objects. If the system ever tells you that your partition is full, but HA says otherwise, then use a tool like CKDemo that can view the "physical" slots directly (as opposed to the HA slot) on the HSM, and delete any objects that are unnecessary.
- A second implication is that the HA feature uses object fingerprints to match different instances of an object on different physical HSMs. This can result in error messages if your application does not properly create and destroy session objects, and perhaps creates an object identical to one which has been removed in a separate concurrent session. The problem is self-correcting, but the flurry of error messages could be worrying if you don't understand where they are coming from.

## Frequently Asked Questions

This section provides additional information by answering questions that are frequently asked by our customers.

### Can we manage NTLS connections through a load balancer (like NetScaler, Barracuda, A10, etc.)?

No. NTLS will not work through a load-balancer because it is an end-to-end TLS pipe between client and SafeNet Luna Network HSM.

### We want to use a backup application server that would operate in standby mode until awakened by a failure of our primary application server. Can we use a virtual IP in the SafeNet Luna Network HSM setup, so that both primary and secondary are accepted for NTLS as the same client by SafeNet Luna Network HSM?

Yes. At the client, generate the client cert with the command `vtl createCert -n <any IP address, real or virtual>`.

Both client computers must have the SafeNet Luna Network HSM appliance's server cert in their client-side server-cert folders.

The SafeNet Luna Network HSM appliance must have the client certificate (built with the virtual IP address)

Also the following lines in the `Chrystoki.conf` file must point to the same cert and Keyfile on the clustered application servers:

```
LunaSA Client ={
```

```
ClientCertFile=\usr\LunaClient\cert\client\ClientPrivKeyFile=\usr\LunaClient\cert\client\
```

**Our application keeps the HSM full. Can we double the capacity by creating an HA group and having a second HSM?**

No. HA provides redundancy and can increase performance, but not capacity. Every HSM in an HA group gets synchronized with the other member(s), which means that the content of any one HSM in an HA group must be a clone of the content of any other member of that group. So, with more HA group members, you get more copies, not more space.

# HSM Initialization

Initialization prepares a new HSM for use, or an existing HSM for reuse, as follows. You must initialize the HSM before you can generate or store objects, allow clients to connect, or perform cryptographic operations:

- On a new HSM or factory-reset HSM, initialization sets the HSM SO credentials, the HSM label, and the cloning domain of the HSM Admin partition. This is often referred to as a 'hard' initialization. See ["Initializing a New or Factory-reset HSM" on the next page](#).
- On an existing, non-factory-reset HSM, reinitialization destroys all existing partitions and objects, but retains the SO credentials and cloning domain. You have the option to change or retain the existing label. This is often referred to as a 'soft' initialization. See ["Re-initializing an Existing, Non-factory-reset HSM" on page 144](#).



**Note:** To ensure accurate auditing, perform initialization only after you have set the system time parameters (time, date, timezone, use of NTP (Network Time Protocol)). You can use the `-authtimeconfig` option when initializing the HSM to require HSM SO authorization of any time-related changes once the HSM is initialized.

## Hard versus soft initialization

The following table summarizes the differences between a hard and soft initialization.

Condition/Effect	Soft init	Hard init
HSM SO authentication required	Yes	No
Can set new HSM label	Yes	Yes
Creates new HSM SO identity	No	Yes
Creates new Domain	No	Yes
Destroys partitions	Yes	No (none exist to destroy, since the HSM is new or an <b>hsm factoryreset</b> was performed)
Destroys objects	Yes	No (none exist to destroy, since the HSM is new or an <b>hsm factoryreset</b> was performed)

## Initializing a New or Factory-reset HSM



**Note:** New HSMs are shipped in Secure Transport Mode (STM). You must recover the HSM from STM before you can initialize the HSM. See ["To initialize a new or factory-reset HSM \(hard init\)" on the next page](#) for details.

On a new, or factory reset HSM (using **hsm factoryreset**), you perform a 'hard init' to set the following:

<b>HSM Label</b>	The label is a string of up to 32 characters that identifies this HSM unit uniquely. A labeling convention that conveys some information relating to business, departmental or network function of the individual HSM is commonly used. Labels cannot contain a leading space.
<b>HSM SO credentials</b>	<p>For PED-authicated HSMs, you create a new HSM SO (blue) PED key(set) or re-use an existing key(set) from an HSM you want to share credentials with. If you are using PED authentication, ensure that you have a PED key strategy before beginning. See <a href="#">"PED Authentication" on page 168</a>.</p> <p>For password-authicated HSMs, you specify the HSM SO password. For proper security, it should be different from the appliance admin password, and employ standard password-security characteristics. Password can be between 7 and 256 characters in length:</p> <ul style="list-style-type: none"> <li>Valid characters are <code>!#\$%'+,-./0123456789:;=?@ABCDEFGHIJKLMNPOQRSTUVWXYZ[]^_abcdefghijklmnopqrstuvwxyz{ }~</code> (the first character in that list is the space character)</li> <li>Invalid characters are <code>"&amp;';&lt;&gt;`\ ()</code></li> </ul>
<b>Cloning domain for the HSM Admin partition</b>	<p>The cloning domain is a shared identifier that makes cloning possible among a group of HSM partitions. It specifies the security domain (group of HSM partitions) within which the HSM Admin partition can share cryptographic objects though cloning, backup/restore, or in high availability configurations. Note that the HSM Admin partition cloning domain is independent of the cloning domain specified when creating application partitions on the HSM.</p> <p>For PED-authenticated HSMs, you create a new Domain (red) PED key(set) or re-use an existing key(set) from an HSM you want to be able to clone with.</p> <p>For password-authenticated HSMs, you create a new domain password or re-use an existing password from an HSM you want to be able to clone with. Cloning domain strings can be between 1 and 128 characters in length:</p> <ul style="list-style-type: none"> <li>Valid characters are <code>!#\$%'+,-./0123456789:;=?@ABCDEFGHIJKLMNPOQRSTUVWXYZ[]^_abcdefghijklmnopqrstuvwxyz{ }~</code> (the first character in that list is the space character)</li> <li>Invalid characters are <code>"&amp;';&lt;&gt;`\ ()</code></li> </ul> <hr/> <p><b>Note:</b> Always specify a cloning domain when you initialize a Password-authenticated SafeNet Luna HSM in a production environment. The HSM allows you to specify "defaultdomain" at initialization, the factory-default domain. This is deprecated, as it is insecure. Anyone could clone objects to or from such an HSM. The default domain is provided for benefit of customers who have previously used the default domain, and for migration purposes. When you prepare a SafeNet Luna HSM to go into service in a real production environment, always specify a proper, secure domain string when you initialize the HSM.</p>

## To initialize a new or factory-reset HSM (hard init)



**CAUTION:** Ensure that you are prepared. Once initialized, re-initializing the HSM forces the deletion of all partitions and objects on the HSM.

1. If Secure Transport Mode is set, you must unlock the HSM before proceeding. New SafeNet Luna HSMs are shipped from the factory in Secure Transport Mode (STM). STM allows you to verify whether or not an HSM has been tampered while it is not in your possession, such as when it is shipped to another location, or placed into storage. See "[Secure Transport Mode](#)" on page 256 in the *Administration Guide* for more information.  
To recover your HSM from Secure Transport Mode, proceed as follows:
  - a. As part of the delivery process for your new HSM, you should have received an email from Gemalto Client Services, containing two 16-digit strings, as follows. You will need both of these strings to recover the HSM from STM:  
Random User String: XXXX-XXXX-XXXX-XXXX  
Verification String: XXXX-XXXX-XXXX-XXXX
  - b. Ensure that you have the Random User String and Verification String that were emailed to you for your new HSM.
  - c. Enter the following command to recover from STM, specifying the Random User String that was emailed to you for your new HSM:  
lunash:> **hsm stm recover -randomuserstring** <XXXX-XXXX-XXXX-XXXX>
  - d. You are presented with a verification string. If the verification string matches the original verification string emailed to you for your new HSM, the HSM has not been tampered, and can be safely deployed. If the verification string does not match the original verification string emailed to you for your new HSM, the HSM has been tampered while in STM. If the verification strings do not match, contact Gemalto Technical Support immediately.
  - e. Enter **proceed** to recover from STM (regardless of whether the strings match or not), or enter **quit** to remain in STM.
2. If you are initializing a PED-authenticated HSM, have the Luna PED connected and ready (via USB, in Local PED-USB mode). If your PED is not in USB mode, see "[Changing Modes](#)" on page 176 in the *HSM Administration Guide*.
3. Log into LunaSH as the appliance administrator 'admin'. You can use a serial terminal window or SSH connection.
4. Run the **hsm init** command, specifying a label for your SafeNet Luna Network HSM:  
lunash:> **hsm init** <label>
5. Respond to the prompts to complete the initialization process:
  - on a password-authenticated HSM, you are prompted for the HSM password and for the HSM Admin partition cloning domain string (cloning domains for application partitions are set when the application partitions are initialized).
  - on a PED-authenticated HSM, you are prompted to attend to the PED to create a new HSM SO (blue) PED key for this HSM, re-use an HSM SO PED key from an existing HSM so that you can also use it to log in to this HSM, or overwrite an existing key with a new PED secret for use with this HSM. You are also prompted to create, re-use, or overwrite the Domain (red) PED key. You can create MofN keysets and duplicate keys as required. See "[PED Authentication](#)" on page 168 for more information.

The prompts are self explanatory. New users (especially those initializing a PED-authenticated HSM) may want to refer to the following examples for more information:

- ["PED-authenticated HSM Initialization Example" below](#)
- ["Password-authenticated HSM Initialization Example" on page 150](#) for more information.

## Re-initializing an Existing, Non-factory-reset HSM

On an existing, non-factory-reset HSM, re-initialization clears all existing partitions and objects, but retains the SO credentials and cloning domain. You have the option to change or retain the existing label. Re-initialization is also referred to as a soft init. If you do not want to do a soft init, and also change the SO credentials and cloning domain, you need to use the **hsm factoryreset** command to factory reset the HSM, and then perform the procedure described in ["Initializing a New or Factory-reset HSM" on page 142](#).



**CAUTION:** Ensure you have backups for any partitions and objects you want to keep, before reinitializing the HSM.

### To re-initialize an existing, non-factory-reset HSM (soft init)

1. Log in as the HSM SO.
2. If Secure Transport Mode is set, you must unlock the HSM before proceeding. See ["Secure Transport Mode" on page 256](#) in the *Administration Guide*.
3. If you are initializing a PED-authenticated HSM, have the Luna PED connected and ready (via USB, in Local PED-USB mode). If your PED is not in USB mode, see ["Changing Modes" on page 176](#) in the *HSM Administration Guide*.
4. Log into LunaSH as the appliance administrator 'admin'. You can use a serial terminal window or SSH connection.
5. Run the **hsm init** command, specifying a label for your SafeNet Luna Network HSM:

```
lunash:> hsm init <label>
```

## PED-authenticated HSM Initialization Example

This section provides detailed examples that illustrate your options when initializing a PED-authenticated HSM. It provides the following information:

- ["Detailed procedure" below](#)
- ["Imprinting the Blue HSM SO PED Key" on page 146](#)
- ["Imprinting the Red Cloning Domain PED Key" on page 148](#)
- ["New, reuse, and overwrite options" on page 148](#)



**Note:** Respond promptly to avoid PED timeout Error. If the PED has timed out, press the **CLR** key for five seconds to reset, or switch the PED off, and back on, to get to the "Awaiting command...." state before re-issuing a LunaSH command that invokes the PED.

### Detailed procedure

1. Your Luna PED must be connected to the HSM, either locally/directly in USB mode (see ["Changing Modes" on](#)



page 176), or remotely via Remote PED connection (see ["About Remote PED" on page 193](#)).

**Note:** To operate in Local PED-USB mode, the PED must be connected directly to the HSM card's USB port, and not one of the other USB connection ports on the appliance.



2. When you issue the **hsm init** command, the HSM passes control to the Luna PED, and the command line (lunash:>) directs you to attend to the PED prompts.
3. A "default" login is performed, just to get started (you don't need to supply any authentication for this step).
4. Luna PED asks: "Do you wish to reuse an existing keyset?". If the answer is **No**, the HSM creates a new secret which will reside on both the HSM and the key (or keys) that is (or are) about to be imprinted. If the answer is **Yes**, then the HSM does not create a new secret and instead waits for one to be presented via the PED.
5. Luna PED requests a blue PED key. It could be blank to begin with, or it could have a valid secret from another HSM (a secret that you wish to preserve), or it could have a secret that is no longer useful.
6. Luna PED checks the key you provide. If the PED key is not blank, and your answer to "...reuse an existing keyset" was **Yes**, then Luna PED proceeds to copy the secret from the PED key to the HSM.
7. If the key is not blank, and your answer to "...reuse an existing keyset" was **No**, then the PED inquires if you wish to overwrite its contents with a new HSM secret. If the current content of the key is of no value, you say **Yes**. If the current content of the key is a valid secret from another HSM (or if you did not expect the key to hold any data) you can remove it from the PED and replace it with a blank key or a key containing non-useful data, before you answer **Yes** to the 'overwrite' question.
8. Assuming that you are using a new secret, and not reusing an existing one, Luna PED asks if you wish to split the new HSM secret. It does this by asking for values of "M" and "N". You set those values to "1" and "1" respectively, unless you require MofN split-secret, multi-person access control for your HSM (See ["MofN Split Secret Keys" on page 182](#) for details).
9. Luna PED asks if you wish to use a PED PIN (an additional secret; see ["Using the PED" on page 174](#) for more info).
10. If you just press **Enter** (effectively saying 'no' to the PED PIN option), then the secret generated by the HSM is imprinted on the PED key, that same secret is retained as-is on the HSM, and the same secret becomes the piece needed to unlock the Security Officer/HSM Admin account on the HSM.
11. If you press some digits on the PED keypad (saying 'yes' to the PED PIN option), then the PED combines the HSM-generated secret with your PED PIN and feeds the combined data blob to the HSM. The HSM throws away the original secret and takes on the new, combined secret as its SO/HSM Admin secret.
12. The PED key contains the original HSM-generated secret, but also contains the flag that tells the PED whether to demand a PED PIN (which is either no digits, or a set of digits that you supplied, and must supply at all future uses of that PED key).
13. Luna PED gives you the option to create some duplicates of this imprinted key. You should make at least one duplicate for backup purposes. Make additional duplicates if your security policy permits, and your procedures require them.
14. Next, Luna PED requests a red Domain PED key. The HSM provides a cloning Domain secret and the PED gives you the option to imprint the secret from the HSM, or to use a domain that might already be on the key. You choose

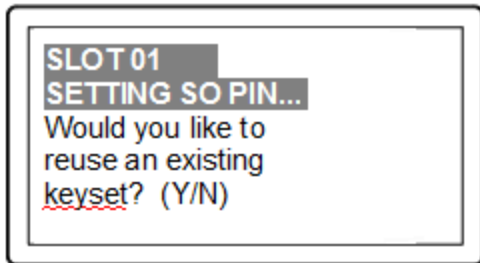
appropriately. If you are imprinting a new Domain secret, you have the same opportunities to split the secret, and to apply a PED PIN "modifier" to the secret. Again, you are given the option to create duplicates of the key.

15. At this point, the HSM is initialized and Luna PED passes control back to LunaSH.

Further actions are needed to prepare for use by your Clients, but you can now log in as SO/HSM Admin and perform HSM administrative actions.

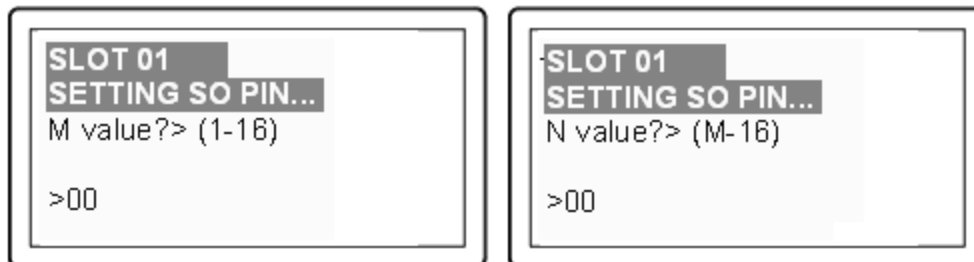
### Imprinting the Blue HSM SO PED Key

1. Decide if you want to reuse a keyset.



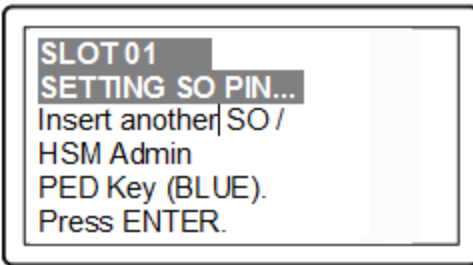
- If you say **No** (on the PED keypad), then you are indicating there is nothing of value on your PED keys to preserve, or you are using blank keys.
- If you say **Yes**, you indicate that you have a PED key (or set of PED keys) from another HSM and you wish your current/new HSM to share the authentication with that other HSM. Authentication will be read from the PED key that you present and imprinted onto the current HSM.

2. Set MofN.

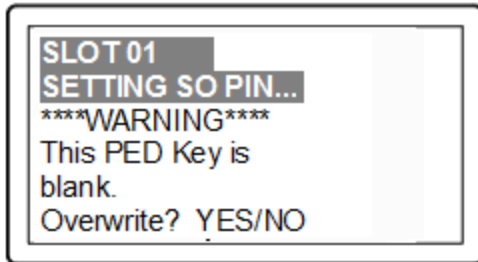


- Setting M and N to **1** means that the authentication is not to be split, and only a single PED key will be necessary when the authentication is called for in future. Input **1** for each prompt if you do not want to use MofN.
- Setting M and N to larger than 1 means that the authentication is split into N different splits, of which quantity M of them must be presented each time you are required to authenticate. MofN allows you to enforce multi-person access control - no single person can access the HSM without cooperation of other holders.

3. Insert your blank key or the key you wish to overwrite.



Insert a blue HSM Admin/SO PED key and press **Enter**.

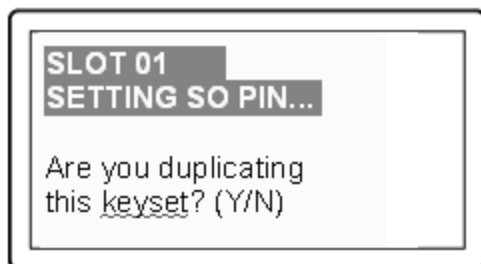


- **Yes:** If the PED should overwrite the PED key with a new SO authentication. If you overwrite a PED key that contains authentication secret for another HSM, then this PED key will no longer be able to access the other HSM, only the new HSM that you are currently initializing with a new, unique authentication secret .
  - **No:** If you have changed your mind or inserted the wrong PED key.
4. For any situation other than reusing a keyset, Luna PED now prompts for you to set a PED PIN. For multi-factor authentication security, the physical PED key is "something you have." You can choose to associate that with "something you know," in the form of a multi-digit PIN code that must always be supplied along with the PED key for all future HSM access attempts.



Type a numeric password on the PED keypad, if you wish. Otherwise, just press **Enter** twice to indicate that no PED PIN is desired.

5. Decide if you want to duplicate your keyset.



- **Yes:** Present one or more blank keys, all of which will be imprinted with exact copies of the current PED key's authentication.
- **No:** Do not make any copies.

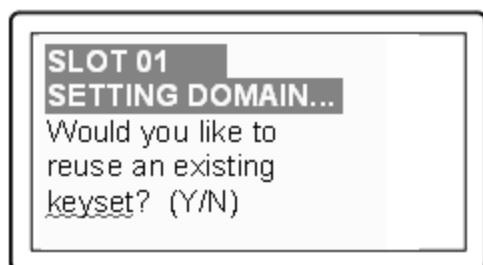


**Note:** You should always have backups of your imprinted PED keys, to guard against loss or damage.

### Imprinting the Red Cloning Domain PED Key

To begin imprinting a Cloning Domain (red PED key), you must first log into the HSM. Insert your blue SO PED key.

1. Decide if you want to reuse a keyset.



- **No:** If this is your first SafeNet Luna HSM, or if this HSM will not be cloning objects with other HSMs that are already initialized
  - **Yes:** If you have another HSM and wish that HSM and the current HSM to share their cloning Domain.
2. Set MofN.
  3. Insert your blank key or the key you wish to overwrite.
  4. Optionally set a PED PIN.
  5. Decide if you want to duplicate your keyset.

Once you stop duplicating the Domain key, or you indicate that you do not wish to make any duplicates, Luna PED goes back to "Awaiting command...". LunaSH says:

```
Command Result : No Error
```

### New, reuse, and overwrite options

The table below summarizes the steps involving Luna PED immediately after you invoke the command **hsm init**. The steps in the table are in the order in which they appear as PED prompts, descending down the column.

The first column is the simplest, and most like what you would encounter the very first time you initialize, using "fresh from the carton" PED keys.

The next two columns of the table show some differences if you are using previously-imprinted PED keys, choosing either to reuse what is found on the key (imprint it on your new HSM - see ["About the Luna PED" on page 168](#)) or, to overwrite what is found and generate a new secret to be imprinted on both the PED key and the HSM.

New PED Keys	Existing PED Keys (Reuse)	Existing PED Keys (Overwrite)
SLOT 01 SETTING SO PIN... Would you like to reuse an existing keyset? (Y/N) <b>No</b>	SLOT 01 SETTING SO PIN... Would you like to reuse an existing keyset? (Y/N) <b>Yes</b>	SLOT 01 SETTING SO PIN... Would you like to reuse an existing keyset? (Y/N) <b>No</b>
SLOT 01 SETTING SO PIN... Insert a SO / HSM Admin PED Key Press ENTER.	SLOT 01 SETTING SO PIN... Insert a SO / HSM Admin PED Key Press ENTER.	Slot 01 SETTING SO PIN... Insert a SO / HSM Admin PED Key Press ENTER.
This PED Key is blank. Overwrite? (YES/NO) <b>Yes</b>	****Warning!**** This PED Key is for SO / HSM Admin Overwrite? (YES/NO) <b>No</b>	****Warning!**** This PED Key is for SO / HSM Admin Overwrite? (YES/NO) <b>Yes</b>
Enter a new PED PIN Confirm new PED PIN <ul style="list-style-type: none"> <li>• Press <b>Enter</b> for no PED PIN</li> <li>• Input 4-16 digits on the PED keypad</li> </ul>	Enter a new PED PIN Confirm new PED PIN <ul style="list-style-type: none"> <li>• Press <b>Enter</b> for no PED PIN</li> <li>• Input 4-16 digits on the PED keypad</li> </ul>	Enter a new PED PIN Confirm new PED PIN <ul style="list-style-type: none"> <li>• Press <b>Enter</b> for no PED PIN</li> <li>• Input 4-16 digits on the PED keypad</li> </ul>
Are you duplicating this keyset? YES/NO <ul style="list-style-type: none"> <li>• <b>Yes</b>: duplicate. This option can be looped for as many duplicates as you need</li> <li>• <b>No</b>: do not duplicate</li> </ul>	Are you duplicating this keyset? YES/NO <ul style="list-style-type: none"> <li>• <b>Yes</b>: duplicate. This option can be looped for as many duplicates as you need</li> <li>• <b>No</b>: do not duplicate</li> </ul>	Are you duplicating this keyset? YES/NO <ul style="list-style-type: none"> <li>• <b>Yes</b>: duplicate. This option can be looped for as many duplicates as you need</li> <li>• <b>No</b>: do not duplicate</li> </ul>
Login SO / HSM Admin... Insert a SO/ HSM Admin PED Key Press ENTER	Login SO / HSM Admin.. Insert a SO/ HSM Admin PED Key Press ENTER	Login SO / HSM Admin.. Insert a SO/ HSM Admin PED Key Press ENTER
SETTING DOMAIN... Would you like to reuse an existing keyset? (Y/N) <ul style="list-style-type: none"> <li>• <b>Yes</b> (unless you have good reason to create a new domain)</li> </ul>	SETTING DOMAIN... Would you like to reuse an existing keyset? (Y/N) <ul style="list-style-type: none"> <li>• <b>Yes</b>: make this HSM part of an existing domain</li> <li>• <b>No</b>: create a new domain for this HSM</li> </ul>	SETTING DOMAIN... Would you like to reuse an existing keyset? (Y/N) <ul style="list-style-type: none"> <li>• <b>Yes</b>: make this HSM part of an existing domain</li> <li>• <b>No</b>: create a new domain for this HSM</li> </ul>

---

## Password-authenticated HSM Initialization Example

---

```
lunash:>hsm init -label myLunaHSM
```

```
  Please enter a password for the HSM Administrator:  
> *****
```

```
  Please re-enter password to confirm:  
> *****
```

```
  Please enter a cloning domain to use for initializing this HSM:  
> *****
```

```
  Please re-enter cloning domain to confirm:  
> *****
```

```
CAUTION: Are you sure you wish to initialize this HSM?
```

```
  Type 'proceed' to initialize the HSM, or 'quit'  
  to quit now.  
> proceed
```

```
'hsm init' successful.
```

```
Command Result : 0 (Success)
```

When activity is complete, the system displays a “success” message.

## HSM Status Values

Each HSM administrative slot shown in a LunaCM slot listing includes an HSM status. Here are the possible values and what they mean, and what is required to recover from each one. In LunaSH, this information is displayed under *HSM Details* by running **hsm show**.

Indicated Status of HSM	Meaning	Recovery
OK	The HSM is in a good state, working properly.	n/a
Zeroized	The HSM is in zeroized state. All objects and roles are unusable.	HSM initialization is required before the HSM can be used again. "Hard init" - HSM SO and domain are gone, no authentication required. (see Note1)
Decommissioned	The HSM has been decommissioned.	HSM initialization is required before the HSM can be used again. "Hard init" - HSM SO and domain are gone, no authentication required. (see Note1)
Transport Mode	The HSM is in Secure Transport Mode.	STM must be disabled before the HSM can be used.
Transport Mode, zeroized	The HSM is in Secure Transport Mode, and is also zeroized.	STM must be disabled, and then HSM initialization is required before the HSM can be used.
Transport Mode, Decommissioned	The HSM is in Secure Transport Mode, and has been decommissioned.	STM must be disabled, and then HSM initialization is required before the HSM can be used.
Hardware Tamper	The HSM has been tampered. (MTK is destroyed and must be rebuilt from recovery vectors.)	Reboot the host or restart the HSM (vreset for SafeNet Luna PCIe HSM, or ureset for SafeNet Luna USB HSM). The event is logged
Hardware Tamper, Zeroized	The HSM has been tampered. (MTK is destroyed and must be rebuilt from recovery vectors.) The HSM is also in zeroized state. All objects and roles are unusable.	Reboot the host or restart the HSM (vreset for SafeNet Luna PCIe HSM, or ureset for SafeNet Luna USB HSM). The event is logged.  HSM initialization is required before the HSM can be used again. HSM SO and domain are gone, no authentication required. (see Note1)
HSM Tamper, Decommissioned	The HSM has been tampered. (MTK is destroyed and must be rebuilt from recovery vectors.)	Reboot the host or restart the HSM (vreset for SafeNet Luna PCIe HSM, or ureset for SafeNet Luna USB HSM). The event is logged.

---

Indicated Status of HSM	Meaning	Recovery
	The HSM has also been decommissioned.	HSM initialization is required before the HSM can be used again. HSM SO and domain are gone, no authentication required. (see Note1)

**NOTE1:** A condition, not reported above, preserves the HSM SO and the associated Domain, while SO objects and all application partitions and contents are destroyed. In this case, HSM SO login is required to perform a "soft init". See ["HSM Initialization" on page 141](#) for more information.

For a comparison of various destruction or denial actions on the HSM, see ["Comparison of Destruction/Denial Actions" on page 102](#).



This chapter describes how to administer HSM administrative and application partitions on the HSM. It contains the following sections:

- ["About HSM Partitions" below](#)
- ["Adjusting Default Partition Parameters" on the next page](#)
- ["Separation of HSM Workspaces" on page 156](#)
- ["Configured and Registered Client Using an HSM Partition" on page 159](#)
- ["Activation and Auto-Activation on PED-Authenticated Partitions" on page 160](#)
- ["Security of Your Partition Challenge" on page 165](#)
- ["Removing Partitions" on page 166](#)
- ["Frequently Asked Questions" on page 166](#)

## About HSM Partitions

---

HSM Partitions are independent logical HSMs that reside within the SafeNet Luna HSM inside, or attached to, your host computer or appliance. Each HSM Partition has its own data, access controls, security policies, and separate administration access, independent from other HSM partitions. HSM Partitions are analogous to 'safe deposit boxes' that reside within a bank's 'vault'. The HSM (vault) itself offers an extremely high level of security for all the contents inside. Each partition (safe deposit box) within the HSM also has its own security and access controls, so that even though the HSM security officer (bank manager) has access to the vault, they still cannot open the individual partitions (safe deposit boxes), because only the owner of the partition (safe deposit box) holds the key that opens it.

HSMs have two types of partitions:

- An administrative partition
- One or more application partitions

### The Administrative Partition

Each HSM has a single administrative partition, which is created when the HSM is initialized. The administrative partition is owned by the HSM security officer (SO). This partition is used by the HSM SO and Auditor roles and is not normally used to store cryptographic objects.

### Application Partitions

Application partitions are used to store the cryptographic objects used by your applications. Application partitions have their own partition SO, distinct from the HSM SO. For instructions on how to create application partitions, see ["Create Application Partitions" on page 1](#) in the *Configuration Guide*.

The HSM SO is responsible for initializing the HSM, setting the HSM-wide policies, and creating empty application partitions. After the HSM SO creates the partition, complete control of the application partition is handed off to the partition SO. The HSM SO has no oversight over application partitions and can do nothing with them except delete them, if required.

The partition SO is responsible for setting the partition policies and for creating the Crypto Officer and optional Crypto User roles, who use the partition for cryptographic operations. Application partitions can be assigned to a single client, or multiple clients can be assigned to, and share, a single application partition.

Depending upon the configuration, each SafeNet Luna Network HSM can contain a number of HSM Partitions (according to your license agreement). Each HSM Partition has the capacity to hold data objects in numbers that depend upon the memory available, divided among number of partitions that your HSM allows. The HSM SO can use the LunaSH **partition resize** command to modify the sizes of individual partitions until all memory on the HSM is allotted to, for example, make room for some larger partitions by shrinking others.

## Adjusting Default Partition Parameters

This is supplementary information. You can create and use HSM partitions, using default parameters, without ever referring to this page. However, if you wish to adjust and control the size of your partitions, the information on this page might be helpful.

For command syntax, see "[partition create](#)" on page 1 in the *LunaSH Command Reference Guide*.

The procedure for creating partitions is described in the *Configuration Guide*.

Use **hsm show** to see:

- Total HSM storage
- Current memory usage
- Current number of partitions
- Maximum number of partitions allowed

Use **partition list** to see:

- All current application partitions
- Total storage allotted to each
- Total used and available storage on each partition

## Size of Partitions

The maximum number of partitions depends on the model of SafeNet Luna Network HSM you purchased. Your HSM can be upgraded with additional partition licenses if your desired configuration calls for them. By default, each partition is assigned an equal share of the total HSM memory. For example, if you purchased a SafeNet Luna Network HSM with 16MB of memory and 10 partition licenses, each partition would have a default size of 1.6 MB. The basic allotment ensures that you can create all licensed partitions, each with enough space to hold at least one RSA key pair.



**Note:** Each partition requires approximately 9KB of memory to store security and identity information. Take this into account when creating very small specialized partitions (for example, a partition containing a single key pair for signing and verification).

## Creating Custom-Sized Partitions

To specify the amount of memory allotted to a new partition, use **partition create**, including the **-size** option and the desired size in bytes:

```
lunash:> partition create -par mypartition -size 100000
```

To create a partition that uses all available remaining memory, include the **-allfreestorage** option:

```
lunash:> partition create -par mypartition -allfreestorage
```

## Resizing Partitions



**CAUTION:** If you intend to resize partitions, be sure to backup the contents of your HSM first. If a partition is at or near capacity, it might be necessary to remove some objects before resizing. You may need to restore the partition from backup after it has been resized.

To specify the amount of memory allotted to an existing partition, use **partition resize**, including the **-size** option and the desired size in bytes:

```
lunash:> partition resize -par mypartition -size 50000
```

You must specify either the **-size** or **-allfreestorage** option when resizing a partition. You can reduce the size of a partition as long as the desired size is not less than the memory currently in use.

## Example with four equal partitions using all storage

If you prefer to have all your partitions sized equally, and to let the HSM do the calculations, the following procedure might be of some value.

### To create four equal-size partitions, using all the available storage:

1. Start by creating 20 partitions (the maximum allowed) – each will have X bytes available to it.
2. Delete 4 of them (leaving 16).
3. Resize one partition to use **-allfreestorage**, which makes that partition large (as large as five small partitions - the four partitions you just deleted, freeing their allotment, plus the one you are currently resizing) and leaves the HSM with 15 partitions having X bytes each, plus the large one.
4. Delete another four small partitions.
5. Resize one small partition to use **-allfreestorage**, which makes that partition large (there are now two large partitions) and leaves the HSM with 10 partitions having X bytes each, plus the two large ones.
6. Delete another four small partitions.
7. Resize one small partition to use **-allfreestorage**, which makes that partition large (there are now three large partitions) and leaves the HSM with 5 partitions having X bytes each, plus the three large ones.
8. Delete another four small partitions.
9. Resize the single remaining small partition to use **-allfreestorage**, which makes that partition large and leaves 0 (zero) of the original partitions with X bytes each, and the four large partitions of equal size, and no unallocated space on the HSM.

For the example, we chose conveniently round numbers. You might have a few bytes left over, or one partition slightly larger or smaller than the others, depending on the actual configuration of your HSM.

## Separation of HSM Workspaces

Depending on the SafeNet Luna HSM and its configuration, the HSM can have three, or more, logical partitions.

- One for the Security Officer (SO)
- One for the Auditor
- One (or more) for applications and Clients

In rare circumstances, the Security Officer might create and keep cryptographic objects, Normally it is not used for "production" cryptographic operations - the SO space is intended for overall HSM-level administration.

The Auditor partition is used to enable and manage secure audit logging activities, and generally has no other function in the HSM.

### Application Partitions

An initialized partition has its own SO. The Partition SO manages what happens inside the partition. The HSM SO creates the partition, and deletes it when necessary, but has no other oversight or control of the partition. This distinction is particularly important in cloud scenarios, but is a significant element in separation of roles for any use of an HSM.

### Operation

Crypto operations are normally performed from a logged-in session on the HSM. It is possible to create objects without logging in, so long as the CKA\_PRIVATE attribute is set to 0 - that is, public objects. You can also delete any object that has CKA\_PRIVATE=0. This is as defined in PKCS#11, and is not a security issue.

The restrictions that you expect come into play for objects that are created with CKA\_PRIVATE=1, where only the owner is able to delete (or the SO could delete the entire partition containing the objects).

These distinctions can be demonstrated with **CKDemo** commands 1) Open Session, and 3) Login.

The "Open Session" prompt has three options, to choose the partition that you wish to use:

1. Enter your choice (99 or 'FULL' for full help): 1

SO[0], normal user[1], or audit user[2]?

If you select "normal user [1]", when opening a session, you are telling the library that you choose to use the user partition which is owned by the partition User (or is shared by the Crypto-Officer and Crypto-User if the partition User has been separated into those two sub-entities).

The session is started, but you have not yet authenticated, and so cannot perform most operations in the session.

The Login prompt has four options, to perform the needed authentication (log into the session that you started above):

1. Enter your choice (99 or 'FULL' for full help): 3

Security Officer[0]

Crypto-Officer [1]

Crypto-User [2]:

Audit-User [3]:

2. Enter PIN :

If you have chosen the "normal user [1]" partition, when opening the session, then the valid login authentication options are:

- Crypto-Officer (which is the same as partition User (the black PED key for PED-authenticated HSMs) if the Crypto-Officer/Crypto-User distinction is not in force) or
- Crypto User (which is the limited user when the Crypto-Officer/Crypto-User distinction has been invoked).

If you attempt one of the other two authentications, "Security Officer [0]" or "Audit-User [3]", an error message is returned because those are not applicable to the session type (therefore, the partition type) that you selected earlier.

If certificates are created as private objects (CKA\_PRIVATE=1), the Crypto User cannot delete them. Also, the Crypto User cannot create fake private objects with CKA\_PRIVATE=1. The Crypto User limitations are focused on restricting access to sensitive and/or private keys and objects.

## Key Management Commands

LUNA\_CREATE\_OBJECT:

LUNA\_COPY\_OBJECT:

LUNA\_DESTROY\_OBJECT:

LUNA\_MODIFY\_OBJECT:

LUNA\_DESTROY\_MULTIPLE\_OBJECTS:

LUNA\_GENERATE\_KEY:

LUNA\_GENERATE\_KEY\_W\_VALUE:

LUNA\_GENERATE\_KEY\_PAIR:

LUNA\_WRAP\_KEY:

LUNA\_UNWRAP\_KEY:

LUNA\_UNWRAP\_KEY\_W\_VALUE:

LUNA\_DERIVE\_KEY:

LUNA\_DERIVE\_KEY\_W\_VALUE:

LUNA\_MODIFY\_USAGE\_COUNT:

## Normal Usage Commands

LUNA\_ENCRYPT\_INIT:

LUNA\_ENCRYPT:

LUNA\_ENCRYPT\_END:

LUNA\_ENCRYPT\_SINGLEPART:

LUNA\_DECRYPT\_INIT:

LUNA\_DECRYPT:

LUNA\_DECRYPT\_END:

LUNA\_DECRYPT\_RAW\_RSA:

LUNA\_DECRYPT\_SINGLEPART:

LUNA\_DIGEST\_INIT:  
LUNA\_DIGEST:  
LUNA\_DIGEST\_KEY:  
LUNA\_DIGEST\_END:  
LUNA\_SIGN\_INIT:  
LUNA\_SIGN:  
LUNA\_SIGN\_END:  
LUNA\_SIGN\_SINGLEPART:  
LUNA\_VERIFY\_INIT:  
LUNA\_VERIFY:  
LUNA\_VERIFY\_END:  
LUNA\_VERIFY\_SINGLEPART:  
LUNA\_GET\_OBJECT\_SIZE:  
LUNA\_SEED\_RANDOM:

## Unauthenticated Commands

LUNA\_GET:  
LUNA\_GET\_CONTAINER\_LIST:  
LUNA\_GET\_CONTAINER\_NAME:  
LUNA\_LOGIN:  
LUNA\_OPEN\_SESSION:  
LUNA\_PARTITION\_SERNUM\_GET:  
LUNA\_FIND\_OBJECTS:  
LUNA\_GET\_RANDOM:  
LUNA\_OPEN\_ACCESS:  
LUNA\_GET\_MECH\_LIST:  
LUNA\_GET\_MECH\_INFO:  
LUNA\_SELF\_TEST:  
LUNA\_GET\_HSM\_CAPABILITY\_SET:  
LUNA\_GET\_HSM\_POLICY\_SET:  
LUNA\_GET\_CONTAINER\_CAPABILITY\_SET:  
LUNA\_GET\_CONTAINER\_POLICY\_SET:  
LUNA\_GET\_CONFIGURATION\_ELEMENT\_DESCRIPTION:  
LUNA\_RETRIEVE\_LICENSE\_LIST:  
LUNA\_QUERY\_LICENSE:  
LUNA\_GET\_CONTAINER\_STATUS:

LUNA\_GET\_OUID:  
LUNA\_GET\_CONTAINER\_STORAGE\_INFO:  
LUNA\_GET\_ATTRIBUTE\_VALUE:  
LUNA\_GET\_ATTRIBUTE\_SIZE:  
LUNA\_GET\_HANDLE:  
LUNA\_INIT\_TOKEN:  
LUNA\_PARTITION\_INIT:  
LUNA\_CLOSE\_ACCESS:  
LUNA\_DEACTIVATE:  
LUNA\_MTK\_GET\_STATE:  
LUNA\_MTK\_RESPLIT:  
LUNA\_MTK\_RESTORE:  
LUNA\_MTK\_UNLOCK\_CHALLENGE:  
LUNA\_MTK\_UNLOCK\_RESPONSE:  
LUNA\_MTK\_ZEROIZE:  
LUNA\_CLEAN\_ACCESS:  
LUNA\_PED\_GET\_SET\_RAW\_DATA:  
LUNA\_ZEROIZE:  
LUNA\_FACTORY\_RESET:  
LUNA\_HA\_LOGIN:  
LUNA\_CONFIGURE\_SP:  
LUNA\_LOG\_POLL\_HOST:  
LUNA\_LOG\_EXTERNAL:  
LUNA\_ROLE\_STATE\_GET:

## Commands That are Valid Only in a Session, But Require Special Handling

LUNA\_LOGOUT:  
LUNA\_CLOSE\_ALL\_SESSIONS:  
LUNA\_CLOSE\_SESSION:  
LUNA\_GET\_SESSION\_INFO:

## Configured and Registered Client Using an HSM Partition

Following the instructions in the previous sections, you have already registered and assigned a Client to a SafeNet Luna Network HSM partition.

All that is required for a Client application to begin using a SafeNet Luna Network HSM partition (to which the Client has been assigned) is the standard handshake sequence:

1. The Client establishes a Network Trust Link connection with the SafeNet Luna Network HSM (port 1792).
2. The Client requests a list of available partitions (if not already known).
3. SafeNet Luna Network HSM responds with a list of only those partitions assigned to the requesting Client.
4. The Client chooses a partition from the available, assigned partitions.
5. SafeNet Luna Network HSM demands the credential (password or PED key) for the selected partition.
6. The Client (which may also be called Crypto User if you are using the Crypto Officer/Crypto User authentication and access model) provides the appropriate credential.
7. SafeNet Luna Network HSM grants access, and the Client application begins using the partition.

Your application should be capable of performing the above actions.

## Simple Troubleshooting

If your Client application is having difficulty using SafeNet Luna Network HSM, and you have already verified the connection and the configuration (using multitoken and CMU utilities - see "[Multitoken](#)" on page 1 or "[About the CMU Functions](#)" on page 1 in the *Utilities Guide*), then there may be a problem with the configuration of your Client application. Try the following suggestions before calling Gemalto Technical Support.

### Password Authentication Model

If you have a password-authenticated SafeNet Luna Network HSM, look to your application setup for the source of the problem. It might require special configuration. If SafeNet Luna Network HSM has replaced another HSM product (including a SafeNet product), you may need to modify the application to recognize the new device.



**Note:** Refer to the *SDK Reference Guide* and to the application integration documents provided by Gemalto Technical Support for information on integrating many popular applications and services with SafeNet Luna Network HSM.

### PED Authentication Model

If you have a PED-authenticated SafeNet Luna Network HSM, having the Client application present the partition password is not sufficient to access the partition. The partition must also be activated (see "[Activation and Auto-Activation on PED-Authenticated Partitions](#)" below). To ensure that the HSM Partition is always in the desired state, we recommend that you enable AutoActivation on the partition, so that it can accept Client authentication and access at any time without presenting a PED key at the SafeNet Luna Network HSM appliance.

If you want minute-by-minute control of a client's ability to access the HSM, without the need to access the appliance at its location, use the Remote PED feature (see "[About Remote PED](#)" on page 193).

## Activation and Auto-Activation on PED-Authenticated Partitions

By default, PED-authenticated partitions require that a PED key and PED PIN be provided each time a user or application authenticates to the HSM. For some use cases, such as key vaulting, it may be desirable to require a physical key to access the HSM. For most application use cases, however, it is impractical to require this credential every time.

To address this limitation, you can enable **partition policy 22: Allow activation** on PED-authenticated HSM partitions. When partition policy 22 is enabled, the PED key secret for the CO or CU role is cached on the HSM the first



time you authenticate. Clients can then connect to the partition without presenting the PED key. All that is required to authenticate is the PED challenge secret (password) for the activated role.



**Note:** Activation requires that a challenge secret is set for the role you want to activate. If the role does not have a challenge secret, you will continue to be prompted for the PED key, regardless of the policy setting.

Activation is not a big advantage for clients that connect and remain connected. It is an indispensable advantage in cases where clients repeatedly connect to perform a task and then disconnect or close the cryptographic session following completion of each task.

### Tamper events and activation/auto-activation

When a tamper event occurs, or if an uncleared tamper event is detected on reboot, the cached PED key data is zeroized, and activation/auto-activation is disabled. See ["Tamper Events" on page 303](#) and ["Partition Capabilities and Policies" on page 83](#) for more information.

## Enabling Activation on a Partition

Activation is controlled by **partition policy 22: Allow activation**. The Partition SO can set this policy in LunaCM, using the **partition changepolicy** command. When partition policy 22 is enabled, the HSM checks for the following conditions each time the Crypto Officer (CO) or Crypto User (CU) perform an action that requires authentication:

- Is PED key secret for the role cached on the HSM?
- Has a challenge secret been created for the role?

The HSM responds as follows:

- If the PED key secret is not currently cached, you are prompted for the PED key. The PED key secret is cached when you provide the PED key.
- If the PED key secret is already cached, but a challenge secret has not been created for the role, you are prompted for the PED key.
- If the PED key secret is already cached, and a challenge secret has been created for the role, you are prompted to enter the challenge secret.

After the role is activated and a challenge secret is set, the PED key is no longer required for that role to login to the partition, and it can be stored safely. The CO or CU can connect to the partition and perform role-specific operations from any registered client, using only the PED challenge password.

### To enable activation on an application partition:

1. Log in to the partition as the Partition SO.  
**role login -name Partition SO**
2. Enable **partition policy 22: Allow activation**.  
**partition changepolicy -slot <slot number> -policy 22 -value 1**

## Activating a Role

After enabling partition policy 22, activate the CO and/or CU roles on the partition. You must set a PED challenge password for each role you want to activate. The Partition SO must set the initial challenge secret for the Crypto Officer, who must set it for the Crypto User. The role will become activated the first time the role logs in to the partition.

**To activate a role (Partition SO):**

1. Ensure that **partition policy 22: Allow activation** is enabled (set to 1):

**partition showpolicies**

If it is not set, log in as the Partition SO and use the **partition changepolicy** command to enable the policy, as described in ["Enabling Activation on a Partition" on the previous page](#).

2. Create an initial challenge secret for the Crypto Officer.

**role createchallenge -name co**

```
lunacm:>role createchallenge -name co

Please attend to the PED.

enter new challenge secret: *****

re-enter new challenge secret: *****

Command Result : No Error
```

3. Provide the initial challenge secret to the Crypto Officer by secure means. The CO will need to change the challenge secret before using the partition for any crypto operations.
4. Log out as Partition SO.

**role logout****To activate a role (Crypto Officer):**

1. Login as Crypto Officer (or enter any command that requires authentication).

**role login -name co**

```
lunacm:>role login -n co

enter password: *****

Please attend to the PED.

Command Result : No Error
```

The Crypto Officer PED secret is cached, and the role is now activated.

2. Change the initial CO challenge secret. You must include the **-oldpw** option to indicate that you wish to change the challenge secret (referred to as the secondary credential), rather than the black PED key (primary credential).

**role changepw -name co -oldpw <initial\_challenge> -newpw <new\_challenge>**

```
lunacm:>role changepw -name co -oldpw password -newpw Pa$$w0rd

This role has secondary credentials.
You are about to change the secondary credentials.
Are you sure you wish to continue?

Type 'proceed' to continue, or 'quit' to quit now ->proceed

Please attend to the PED.

Command Result : No Error
```

3. [Optional] Create an initial challenge secret for the Crypto User.

**role createchallenge -name cu**

```
lunacm:>role createchallenge -name cu

Please attend to the PED.

enter new challenge secret: *****

re-enter new challenge secret: *****
```

Command Result : No Error

4. [Optional] Provide the initial challenge secret to the Crypto User by secure means. The CU will need to change the challenge secret before using the partition for any crypto operations.
5. Log out as Crypto Officer.

**role logout**

With activation in place, you can log in once and put your black CO PED key away in a safe place. The cached credentials will allow your application(s) to open and close sessions and perform their operations within those sessions.

**To activate a role (Crypto User):**

1. Login to the partition as the Crypto User. When prompted, enter the initial challenge secret.

**role login -name cu**

```
lunacm:>role login -n cu

enter password: *****

Please attend to the PED.
```

Command Result : No Error

2. Change the initial CU challenge secret. You must include the **-oldpw** option to indicate that you wish to change the challenge secret (referred to as the secondary credential), rather than the gray PED key (primary credential).

**role changepw -name cu -oldpw <initial\_challenge> -newpw <new\_challenge>**

```
lunacm:>role changepw -name cu -oldpw password -newpw Pa$$w0rd

This role has secondary credentials.
You are about to change the secondary credentials.
Are you sure you wish to continue?

Type 'proceed' to continue, or 'quit' to quit now ->proceed

Please attend to the PED.
```

Command Result : No Error

With activation in place, you can log in once and put your gray CO PED key away in a safe place. The cached credentials will allow your application(s) to open and close sessions and perform their operations within those sessions.

**Deactivating a Role on an Activated Partition**

An activated role on a partition remains activated until one of the following actions occurs:

- You explicitly deactivate the role using the LunaCM **role deactivate** command. The role is deactivated until the

next time you perform an action (such as **role login**) that requires authentication for the role, at which time the authentication credential is re-cached.

- Power is lost to the HSM. You can use auto-activation to automatically reactivate a partition after a short power loss, if desired. See "[Auto-Activation](#)" below.

### To deactivate a role on a partition (Partition SO):

1. Enter the following command to deactivate an activated role on a partition:

```
role deactivate -name <role>
```

This deletes the cached authentication credential for the role. The next time a login or activation is performed, the credential is re-cached.

2. If you wish to disable activation entirely, so that credentials are not re-cached at the next login, the Partition SO can disable **partition policy 22: Allow activation**.

```
partition changepolicy -policy 22 -value 0
```

3. If partition policy 22 is disabled, auto-activation is also disabled (even though **partition policy 23: Allow auto-activation** is set to 1). When partition policy 22 is enabled again, auto-activation resumes. To turn off auto-activation, you must disable partition policy 23.

```
partition changepolicy -policy 23 -value 0
```

## Auto-Activation

Auto-activation enables PED key credentials to be cached even in the event of a restart or a short power outage (up to 2 hours). Clients can re-connect and continue using the application partition without needing to re-authenticate using a PED key.

The ability to auto-activate a partition is controlled by **partition policy 23: Allow auto-activation**. To enable auto-activation, the Partition SO can use the LunaCM **partition changepolicy** command to set partition policy 23 to 1.

When partition policy 23 is enabled, auto-activation is set for the partition the first time an activated role (CO or CU) logs in. If the authentication data requires refreshing, the PED prompts you for the appropriate black or gray PED key and PIN. Once login is complete, the PED credential is cached, and the client can begin using the activated application partition.

### To auto-activate an application partition (Partition SO):

1. Ensure that **partition policy 22: Allow activation** is enabled.
2. Login to the partition as Partition SO.

```
role login -name po
```

3. Set **partition policy 23: Allow auto-activation** to 1.

```
partition changepolicy -policy 23 -value 1
```

Auto-activation will begin for each affected role (CO or CU) the next time the role is authenticated.

## Other Measures

For best reliability and up-time, in conjunction with the auto-activation option, you can also set "[sysconf appliance rebootonpanic enable](#)" on page 1.

## Security of Your Partition Challenge

For SafeNet Luna Network HSMs with Password Authentication, the partition password used for administrative access by the Crypto Officer is also the partition challenge secret or password used by client applications.

For SafeNet Luna Network HSMs with PED Authentication, the partition authentication used for administrative access by the Crypto Officer is the secret on the black PED key(s) for that partition. The partition challenge secret or password used by client applications is a separate character string, set by the Partition SO and then changed by the Crypto Officer (mandatory) for the CO's use. This is one way in which we implement separation of roles in the SafeNet Luna HSM security paradigm.

### How Secure Is the Challenge Secret or Password?

The underlying concern is that a password-harvesting attack might eventually crack the secret that protects the partition. Layers of protection are in place, to minimize or eliminate such a risk.

**First**, such an attack must be run from a SafeNet Luna Client computer. For interaction with HSM partitions on a SafeNet network appliance, like SafeNet Luna Network HSM, a SafeNet Luna Client computer is one with SafeNet software installed, on which you have performed the exchange of certificates to create a Network Trust Link (NTL). That exchange requires the knowledge and participation of the appliance administrator and the Partition SO (who might, or might not, be the same person). It is not possible to secretly turn a computer into a Client of a SafeNet Luna HSM partition - an authorized person within your organization must participate.

**Second**, for SafeNet Luna HSMs with Password Authentication, you set the partition password directly when you create the partition, so you can make it as secure as you wish (for an example of guidance on password strength, see <http://howsecureismypassword.net/> or <http://xkcd.com/936/>)

For SafeNet Luna HSMs with PED Authentication, an optional partition password (also called a challenge secret) may be added for the initialized Crypto Officer (CO) and/or Crypto User (CU) roles. See "[role createchallenge](#)" on page 1 of the *LunaCM Command Reference Guide* for the proper command syntax.

Using LunaCM or LunaSH, you can change the partition password (or challenge secret) if you suspect it has been compromised, or if you are complying with a security policy that dictates regular password changes.

As long as you replace any password/challenge secret with one that is equally secure, the possible vulnerability is extremely small.

Conversely, you can choose to replace a secure, random password/challenge-secret with one that is shorter or more memorable, but less secure - you assume the risks inherent in such a tradeoff.

**Third**, SafeNet Luna HSM **partition policy 15: Ignore failed challenge responses** can be set to **0** (off). When that policy is off, the HSM stops ignoring bad challenge responses (that is, attempts to submit the partition secret) and begins treating them as failed login attempts. Each bad login attempt is counted. **Partition policy 20: Max failed user logins allowed** determines how high that count can go before the partition is locked out.

Once a partition is locked by bad login attempts, it cannot be accessed until the HSM Security Officer (SO) unlocks it. This defeats an automated harvesting attack that relies on millions of attempts occurring at computer-generated speeds. As well, after one or two lockout cycles, the HSM SO would realize that an attack was under way and would rescind the NTL registration of the attacking computer. That computer would no longer exist as far as the HSM partition was concerned. The SO or your security organization would then investigate how the client computer had been compromised, and would correct the problem before allowing any new NTL registration from that source. See "[Failed Logins](#)" on page 335 for more information.

As the owner/administrator of the HSM, you determine any tradeoffs with respect to security, convenience, and other operational parameters.

## Removing Partitions

Only the HSM Security Officer can remove HSM partitions. When a partition is removed, it is cleared from the HSM and all of its contents are deleted.

This is in contrast to revoking a partition from a Client. When a partition's assignment is revoked using the LunaSH command **client revokepartition**, it still exists, but is no longer available to that Client. The partition and its contents could still be used by other Clients, or reassigned to the original Client. See "[client revokepartition](#)" on page 1 in the *LunaSH Command Reference Guide* for correct syntax.

### To remove a partition from the HSM:

1. Login to LunaSH as admin and list the existing HSM partitions.

#### partition list

```
lunash:>partition list
```

Partition	Name	Storage (bytes)			
		Objects	Total	Used	Free
154438865287	myLunapar	0	325896	0	325896
154438865290	myLunapar2	0	325896	0	325896

```
Command Result : 0 (Success)
```

2. Login to the HSM as HSM SO.

#### hsm login

3. Delete the partition by specifying its label.

#### partition delete -partition <label>

```
lunash:>partition delete -partition myLunapar2
```

```
CAUTION: Are you sure you wish to delete the partition named:
          myLunapar2
          Type 'proceed' to delete the partition, or 'quit'
          to quit now.
          > proceed
'partition delete' successful.
```

```
Command Result : 0 (Success)
```

## Frequently Asked Questions

This section provides additional information by answering questions that are frequently asked by our customers.

### Why do I get an error when I attempt to set the partition policies for activation (22) and auto-activation (23) on my password authenticated SafeNet Luna Network HSM?

Those policies apply to PED-authenticated SafeNet Luna Network HSM, only.

For both PED-authenticated and password-authenticated HSMs, your client authenticates to a partition with a challenge password.

For PED-authenticated HSMs, the application partition must be in a state where it is able to accept that challenge password. The extra layer of authentication - the partition Crypto Officer's black PED key or the Crypto User's gray PED key - must have been presented first before the partition can be receptive to the challenge/password.

Password-authenticated HSMs have only the single layer of authentication - the challenge/password is all that is needed. The password is both the client authentication and the partition administrator (Crypto Officer/Crypto User) authentication.

For PED-authenticated HSMs, Activation and Auto-Activation enable caching of the first layer of authentication to provide a level of operational convenience similar to that of the password-authenticated HSMs.

### **So, what is the difference in security, once Activation and Auto-Activation are started?**

From the convenience point of view, none. But, whereas the password-authenticated partition is "open for business" to anybody with that partition's password, as soon as the partition is created, a PED-authenticated partition is not. One implication is that all partitions of a multi-partition password-authenticated HSM are available whenever any of them are available, which is essentially whenever the HSM is powered on.

The owner of a PED-authenticated HSM partition can disable client access to just one partition by deactivating (de-caching) just that one partition's PED key authentication, so that the challenge/password is not accepted. Any other partitions on that HSM that are not deactivated (i.e., still have their black PED key or gray PED key authentication cached) are still able to accept challenge/password from their clients.

You are not required to cache the PED key data in order to use a partition. You could, if you preferred, simply leave the PED key for that partition inserted in a connected Luna PED, and press keypad keys on the PED whenever first-level authentication for partition access was required. Since this would defeat much of the reason for having a powerful networked HSM server, generally nobody does this with SafeNet Luna Network HSM in a production environment. As well, if you have created both a Crypto Officer and a Crypto User for your partition, you would need to switch out the black PED key or the gray PED key, whenever the other entity needed to PED-authenticate while the PED key authentications are not cached.

You also have the option of partially engaging the PED key caching feature by enabling Activation without enabling Auto-activation. In that case, you present your PED key to activate the partition - which allows it to accept its partition challenge/password from clients - and the cached black PED key or gray PED key authentication data is retained while the HSM has power (or until you explicitly de-cache). But the cached authentication does not survive a power outage or an intentional power cycle (because you chose to Activate, but not to autoActivate as well). Thus, by applying different policy settings, you could have some partitions on your PED-authenticated HSM able to return to client availability immediately following a power-cycle/outage (no human intervention needed), while others would wait for your intervention, with a black PED key (Crypto Officer) or a gray PED key (Crypto User), before becoming client-available.

Finally, Activation and Auto-Activation are partition-level policy settings, not role-level. Therefore, if the policy is on, it is on for all roles. If the policy is off, it is off for all roles. You cannot individually cache authentication data from a gray PED key, but not from a black PED key (or the opposite) within a single partition.

# PED Authentication

This chapter describes PED-based HSM authentication. It contains the following sections:

- ["About the Luna PED" below](#)
- ["Using the PED" on page 174](#)
- ["Initial Setup" on page 179](#)
- ["Creating New PED Keys" on page 180](#)
- ["Duplicating Existing PED Keys" on page 185](#)
- ["Changing Your Authentication Parameters" on page 188](#)
- ["About Remote PED" on page 193](#)
- ["Remote PED Setup and Configuration" on page 198](#)
- ["Using Remote PED" on page 203](#)
- ["Relinquishing Remote PED" on page 209](#)
- ["Maintaining the Security of Your PED Keys" on page 210](#)
- ["Version Control" on page 212](#)
- ["Summary of PED Operations" on page 213](#)
- ["Troubleshooting" on page 216](#)
- ["The PedServer and PedClient Utilities" on page 222](#)

## About the Luna PED

---

Luna PED is a PIN Entry Device, where PIN stands for Personal Identification Number. It provides PIN entry to SafeNet Luna HSMs and to backup tokens via secure data port, as part of FIPS 140-2 level 3 security (the Trusted Path).

The PED is shipped separately from your HSM product, because one PED can be used with any Trusted Path HSM.

This section contains the following:

- ["PED Features" on the next page](#)
- ["Local and Remote Connection" on the next page](#)
- ["About PED keys" on page 170](#)
- ["Types of PED keys" on page 170](#)
- ["PED keys and Operational Roles" on page 172](#)
- ["Compare Password vs PED Authentication" on page 173](#)



## PED Features

The figure below shows a front view of the PED, with some important features indicated.

**Figure 1: Luna PED**

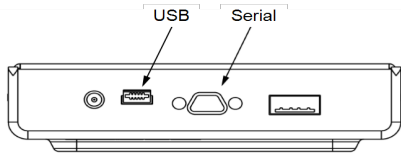


1. On the lower front face is the keypad for command and data entry.
2. On the upper front face is the 8-line liquid crystal display (LCD).
3. At the top on the far left is a DC power-adaptor connector.
4. At the top, second from the left is a USB mini-B connector for connection to the HSM, and file transfer to/from the PED.
5. At the top in the middle is a micro-D subminiature (MDSM) connector (not used in Luna release 7.x).
6. At the top, on the far right, is the USB A-type connector for iKey-style PED keys.
7. Also shown is an iKey PED key, for insertion in the PED key connector.

## Local and Remote Connection

### PED local

A locally-connected PED is connected directly to the HSM via USB (or serial cable in legacy PED versions). You must place the PED in USB mode when using it locally. See ["Changing Modes"](#) on page 176. It needs a dedicated power connection via the provided power block.



That connection is the only data path between the HSM and the PED and therefore is considered much more secure than any authentication path that passes through the appliance's computer data paths. The Trusted Path cannot be monitored by any software (whether authorized by you or not) on your administrative or client computer.

### PED remote

A Remote PED uses a Luna PED connected to a separate computer, at a convenient location, to serve PED interactions over a network connection with **PedServer.exe** workstation software. It uses a USB connection for data exchange, and also needs a dedicated power connection via the provided power block.

## About PED keys

Figure 2: PED Key



A PED key is an electrically-programmed authentication device, with USB interface, embedded in a molded plastic body for ease of handling. In conjunction with PED or PED Remote, a PED key can be electronically imprinted with a generated secret that might unlock one or more HSMs, which it retains until deliberately changed.

The PED and PED keys are the only means of authenticating and permitting access to the administrative interface of the PED-authenticated HSM, and are the first part of the two-part Client authentication of the FIPS 140-2 level 3 compliant SafeNet Luna HSM with Trusted Path Authentication. FIPS is the Federal Information Processing Standards of the United States government's National Institute of Standards and Technology – FIPS 140-2 is an internationally recognized standard regarding security requirements for cryptographic modules, and level 3 is its second-highest level of security features/assurance.

The PED does not hold the HSM authentication secrets. The PED facilitates the creation and communication of those secrets, but the secrets themselves reside on the portable PED keys.

## Types of PED keys

The current-model PED uses iKey USB-fob type PED keys for all functions. You can visually differentiate your PED keys by attaching tags or labels supplied with them.

The roles and uses of the PED keys employed with SafeNet Luna HSMs and the PED are as follows:

### Security Officer (SO)

Security Officer (SO)'s PED key. The first actions with a new SafeNet Luna HSM involve initializing an HSM SO identity and imprinting an HSM SO PED key. The SO identity is used for further administrative actions on the HSMs, such as creating HSM Partition Users and changing passwords, backing up HSM objects, controlling HSM Policy settings, etc. The HSM SO is responsible for activating and verifying codes for Secure Transport Mode.

## Crypto Officer (CO)



Crypto Officer Key. The Crypto Officer performs partition maintenance, creation and destruction of key objects, etc. Creates the optional Crypto User.

## Crypto User (CU)



The Crypto User has restricted read-only administrative access to application partition objects. The challenge secret generated in conjunction with the Crypto User can grant client applications restricted, sign-verify access to partition objects.



**Note:** Creation of a challenge secret is forced for an application partition owned by the HSM SO, but is not forced for an application partition with its own SO.

## Domain or Key Cloning Vector (KCV)



Key Cloning Vector (KCV) or Domain ID key. This PED key carries the domain identifier for any group of HSMs for which key-cloning/backup is to be used. The red PED key is imprinted upon HSM initialization. Another is imprinted with each HSM Partition. Once imprinted, that domain identifier is intended to be permanent on the red Domain PED key and on any HSM Partitions or tokens that share its domain.

## Remote PED



This PED key is required when you need to perform PED operations at a distance. The Remote PED key (RPK) carries the Remote PED Vector (RPV) and allows a Luna PED connected to a properly configured computer to substitute for a PED connected directly to the SafeNet appliance/HSM, when that local connection is not convenient.

## Audit



Audit is an HSM role that takes care of audit logging, under independent control. The audit role is initialized and imprints a white PED key, without need for the SO or other role. The Auditor configures and maintains the

audit logging feature, determining what HSM activity is logged, as well as other logging parameters such as rollover period, etc.

For SafeNet Luna USB HSM and SafeNet Luna PCIe HSM, see the **audit** commands in the *LunaCM Command Reference Guide*.

### Mandatory keys for use with your PED-authenticated HSM are:





- Blue HSM SO Key
- Red Domain Key
- Black Crypto Officer Key




### Optional keys for use with your PED-authenticated HSM are:

- Gray Crypto User key: in case you need a limited-capability client
- White Audit user key: if your situation requires audit logging
- Orange Remote PED key: if you expect to administer the HSM remotely

## PED keys and Operational Roles

Below are some suggested holders of PED keys by role.

Lifecycle	PED Key	Operational Role	Function	Custodian
HSM Admin		Security Officer	Manages provisioning activities and global security policies for the HSM: <ul style="list-style-type: none"> <li>• HSM initialization,</li> <li>• Partition provisioning,</li> <li>• Global policy for the HSM and the partition within it.</li> </ul>	<ul style="list-style-type: none"> <li>• CSO</li> <li>• CIO</li> </ul>
		Domain Cloning Token Backup	Cryptographically defines the set of HSMs or partitions that can participate in cloning for the purposes of backup and high availability.	<ul style="list-style-type: none"> <li>• Domain Administrator</li> <li>• WAN Administrator</li> </ul>
		Remote PED	Establish a Remote PED connection.	System Administrator
Partition Admin		Security Officer	Manages provisioning activities and global security policies for the partition: <ul style="list-style-type: none"> <li>• Partition initialization,</li> <li>• Role setting,</li> <li>• Policy setting.</li> </ul>	

Lifecycle	PED Key	Operational Role	Function	Custodian
Daily Operation		Crypto Officer	This is the full user role associated with a partition. This role can perform both cryptographic services and key management functions on keys within the partition.	System Administrator
		Crypto User	This is a restricted user role on a partition. This role can perform cryptographic services using keys already existing within the partition only.*	System Administrator
Ongoing Auditing		Audit User	An independent role responsible for audit log management. This role has no access to other HSM services.	Auditor



**Note:** \*Functionally, the Crypto User (gray) PED key is a black PED key. The PED does not distinguish gray from black; the label is provided only for convenience. If administrative separation is not important in your setting, you can use a single black key that authenticates to both roles and still have two separate challenge secrets to distinguish read-write and read-only role privileges.

## Compare Password vs PED Authentication

	Password-authenticated HSM	PED-authenticated HSM
<b>Ability to restrict access to cryptographic keys</b>	<ul style="list-style-type: none"> <li>Knowledge of Partition Password is sufficient</li> <li>For backup/restore, knowledge of partition domain password is sufficient</li> </ul>	<ul style="list-style-type: none"> <li>Ownership of the black PED key is mandatory</li> <li>For backup/restore, ownership of both black and red PED keys is necessary</li> <li>The Crypto User role is available to restrict access to usage of keys, with no key management</li> <li>Option to associate a PED PIN (something you know) with any PED key (something you have), imposing a two-factor authentication requirement on any role</li> </ul>
<b>Dual Control</b>	<ul style="list-style-type: none"> <li>Not available</li> </ul>	<ul style="list-style-type: none"> <li>MofN (split-knowledge secret sharing) requires "M" different holders of portions of the role secret in order to authenticate to an HSM role - can be applied to any, all, or none of the administrative and management operations required on the HSM</li> </ul>

	Password-authenticated HSM	PED-authenticated HSM
<b>Key-custodian responsibility</b>	<ul style="list-style-type: none"> <li>Linked to password knowledge only</li> </ul>	<ul style="list-style-type: none"> <li>Linked to partition password knowledge</li> <li>Linked to black PED key(s) ownership</li> </ul>
<b>Role-based Access Control (RBAC) - ability to confer the least privileges necessary to perform a role</b>	Roles limited to: <ul style="list-style-type: none"> <li>Auditor</li> <li>HSM Admin (SO)</li> <li>Partition Owner</li> </ul>	Available roles: <ul style="list-style-type: none"> <li>Auditor</li> <li>HSM Admin (Security Officer)</li> <li>Domain (Cloning/Token-Backup)</li> <li>Remote PED</li> <li>Partition Owner (or Crypto Officer)</li> <li>Crypto User (usage of keys only, no key management)</li> </ul> For all roles, two-factor authentication (selectable option) and MofN (selectable option)
<b>Two-factor authentication for remote access</b>	<ul style="list-style-type: none"> <li>Not available</li> </ul>	<ul style="list-style-type: none"> <li>Remote PED and orange (Remote PED Vector) PED key deliver highly secure remote management of HSM, including remote backup</li> </ul>

## Using the PED

This section contains the following:

- ["Overview" below](#)
- ["Luna PED Keypad Functions" on the next page](#)
- ["Changing Modes" on page 176](#)
- ["Using PED Keys" on page 177](#)



**Note:** Your PED must be in USB mode when connected to a Release 7.x SafeNet Luna Network HSM. Otherwise you will get a CKR\_DEVICE\_ERROR when attempting to authenticate. See ["Changing Modes" on page 176](#) for instructions on how to switch modes.

## Overview

A Luna PED is used to authenticate to an HSM that requires PED (Trusted Path) Authentication.

The requirement for Trusted Path Authentication, as opposed to Password Authentication, is part of the specific model of HSM as configured at the factory.



**Note:** Exception – The SafeNet Luna Backup HSM configures itself at backup time as either Password-authenticated or PED-authenticated depending on the type primary HSM is it backing up.

Figure 1: PED front view

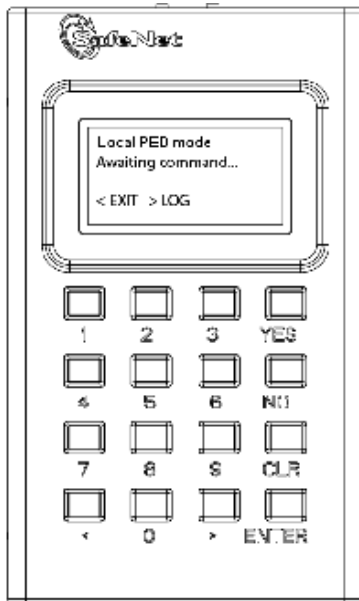
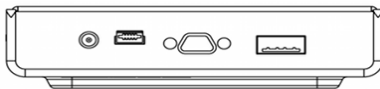


Figure 2: PED top view



## Luna PED Keypad Functions

Key	Function
CLR or Clear	<ul style="list-style-type: none"> <li>Clear the current entry, such as when inputting a PED PIN - wipes the entire entry.</li> <li>* Reset the PED - hold the key down for five seconds. Useful if a PED operation timed out.</li> </ul>
<	<ul style="list-style-type: none"> <li>Backspace; clear the most recent digit that you have typed on the PED.</li> <li>"Exit"; navigate to a higher level menu in the PED.</li> </ul>
>	<ul style="list-style-type: none"> <li>"Log"; shows most recent PED actions (since being in Local or Remote Mode).</li> </ul>
Numeric keys	<ul style="list-style-type: none"> <li>Select numbered menu items.</li> <li>Input PED PINs.</li> </ul>
Yes and No	<ul style="list-style-type: none"> <li>Respond to Yes or No questions from the PED.</li> </ul>
Enter	<ul style="list-style-type: none"> <li>Confirm an action.</li> </ul>



**Note:** \*Pressing (and holding) **CLR** causes reset only if the PED is engaged in an operation or is actively prompting you for action. Pressing **CLR** has no effect in the main menu, in the Admin Mode menu, or when "Awaiting command..."

## Changing Modes

The Luna PED automatically detects the active interface that it is plugged into, and defaults to the appropriate mode after the first command is sent to it. The Luna PED waits in either Remote PED-USB mode (if the PED is connected to a USB port) or in its Scanning state (if the PED is connected to an SCP port) until a command is received from the HSM.

- If the PED is directly connected to the HSM via USB port, it enters Local PED-USB mode.
- If the PED is remotely connected to the HSM via remote host, it enters Remote PED-USB mode.
- If the PED is directly connected to the HSM via SCP port, it enters Local PED-SCP mode.

### Manually Changing Modes

You can also manually change modes by choosing a mode from the main menu. To navigate to the main menu, press the < key. The main menu shows you all the modes available to you as well as the PED's firmware version. To enter a given mode, press the number corresponding to it on screen.

### Local PED

In Local PED mode, the Luna PED is connected directly to the HSM.

Initial HSM configuration must be done in Local PED mode, in order to set its authentication and create a relationship between the HSM and an orange PED key (RPK, or Remote PED Vector Key).

#### Local PED-USB

SafeNet Luna HSM versions 7.0 and later use USB mode, where the PED is connected to the HSM by the USB mini-B connector cable.

1. Press < to navigate to the main menu.
2. Press 0 to enter Local PED-USB mode.

In Local PED mode, the Luna PED is connected directly to the HSM.

Initial HSM configuration must be done in Local PED mode, in order to set its authentication and create a relationship between the HSM and an orange PED key (RPK, or Remote PED Vector Key).

#### Local PED-SCP

Local PED-SCP mode is reserved for SafeNet Luna HSM versions that use a MDSM cable to connect the PED to the HSM.

1. Press < to navigate to the main menu.
2. Press 1 to enter Local PED-SCP mode.

In Local PED mode, the Luna PED is connected directly to the HSM.

Initial HSM configuration must be done in Local PED mode, in order to set its authentication and create a relationship between the HSM and an orange PED key (RPK, or Remote PED Vector Key).

### Admin

1. Press < to navigate to the main menu.
2. Press 4 to enter Admin mode.

This mode is for the administration of your PED alone, for diagnostic tests, and for standalone or offline operations with PED keys. To implement a given menu item, press the number corresponding to it on screen.



## PED Key

The PED Key menu allows you to identify and login to your PED keys.

Press **1** to login, and follow the on screen instructions to perform operations on your PED keys without the SafeNet Luna HSM appliance. See for further information.

Press **3** to identify the role imprinted on a PED key you insert.

## Backup Devices

The Backup Devices menu is only compatible with SafeNet Luna Network HSMs and SafeNet Luna PCIe HSMs with firmware versions 6.21.0 and newer, excluding 7.x. This mode is incompatible with 7.x firmware.

## Software Update

The Software Update menu is rarely used and requires that you be sent a PED software file from SafeNet, along with directions on how to use it.

## Self Test

The Self Test menu allows you to test the PED's functionality.

Follow the on screen instructions to test button functions, display, cable connections, and ability to properly read PED keys. The PED returns a PASS/FAIL report once it concludes the test.

## Remote PED

1. Press **<** to navigate to the main menu.
2. Press **7** to enter Remote PED mode.

The Remote PED menu allows you to connect your workstation and PED to your HSM or partition remotely. Where obtaining local physical access to the appliance might be difficult, Remote PED provides the convenience of authenticating remotely from any configured workstation after initialization.

For more information on Remote PED and its setup and configuration, see "[About Remote PED](#)" on page 193.

## Using PED Keys

When you perform an HSM operation that requires a PED key, you should already have the PED connected to the HSM or appliance. When the command is issued, the system tells you when to look to the PED.

When prompted, insert the indicated PED key into the connector at the top of the PED, immediately to right of the PED cable connection, then respond to further instructions on the PED display until control is returned to the administrative command line.

In conjunction with PED or PED Remote, a PED key can be electronically imprinted with a generated secret that might unlock one or more HSMs, which it retains until deliberately changed.

- A PED key can contain only one HSM authentication secret at a time.
- PED keys are completely interchangeable before they are imprinted by your action - the PED checks for an existing authentication secret, and tells you if the currently presented key is blank.
- PED keys are imprinted by Luna PED during HSM initialization and Partition creation and other HSM actions that create HSM roles or invoke certain HSM functions.
- PED keys can be re-imprinted with new HSM authentication secrets. Imprinting a new secret overwrites any HSM authentication secret that was already present on a PED key.



**Note:** The PED has no way to know if an authentication secret it finds on a key is valid for some role on the current HSM (or on some other HSM), or if a contained authentication secret is no longer valid, and therefore safe to overwrite.

## Secure Transport Mode

For transport of the SafeNet Luna Network HSM, Secure Transport Mode can be enabled by the HSM SO.

1. Before shipment, login as the HSM SO.
2. Turn on Secure Transport Mode and take note of the unique verification code returned by the HSM.
3. The HSM and verification code are shipped via separate channels so that no attacker could obtain access to both while they are in transit.
4. Upon receipt, the administrator logs in to the HSM and compares the HSM verification code to the code provided to them. If the codes match, no tamper has occurred. If the codes do not match, then the HSM was intercepted and is no longer secure.

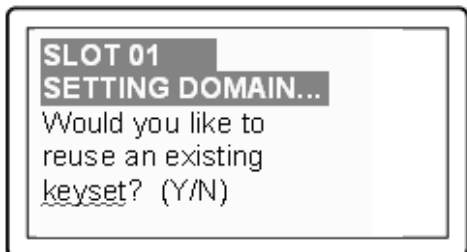
Further details are available in "[Secure Transport Mode](#)" on page 256.

## Domain PED Keys

A red domain PED key carries the key-cloning vector (the domain identifier) that allows cloning to take place among HSMs and tokens. Cloning is a secure method of copying HSM (or Partition) or token objects, such that they can be replicated between HSMs and tokens, but:

- Strongly encrypted, and
- Only between HSMs and tokens that share a cloning domain.

When you initialize an HSM, and are prompted for a red PED key, Luna PED first asks:



If you answer **No**:

- You are telling Luna PED that it should retrieve a new domain (key-cloning vector) from the HSM and prepare to overwrite that new domain secret onto the Key that you are about to insert.
- This was your last chance (short of aborting the procedure) to make the current HSM part of an existing cloning group. Further prompts in this sequence will give you the opportunity to remove keys that you have mistakenly offered and substitute another, but you get no more opportunity to change the **No** to a **Yes**.
- If the red PED key was already in use on an operational HSM (and Backup device), then that HSM (as well as the Backup device) carries the old domain and the newly overwritten red PED key can no longer be used with it — therefore, unless you have a duplicate red PED key with the old cloning domain (key-cloning vector), then that previous HSM cannot be backed up, and its Backup cannot be restored.

If you answer **Yes**:

- Luna PED prepares to preserve the domain (key-cloning vector) value that it expects to find on the red PED key, and store it onto the HSM – this causes the current HSM to share the domain with the previous HSM and/or Backup device.
- With two or more HSMs (and at least one Backup HSM) sharing the same cloning domain, it is possible to clone the contents from one to another by means of backup and restore operations.



**Note:** An HSM or token can be a member of only one domain. To make an HSM or token become a member of a different domain, you must initialize the HSM or token and imprint the new key-cloning vector. This destroys any previous content, including the old key-cloning vector.

Each partition in an HSM has a domain of its own - this is created when the partition is initialized. Partitions contain customer-owned keys used in client operations, as well as data objects. Objects on a partition can be cloned to another partition (whether on the same HSM or on another HSM) only if both partitions share the same domain.

It is not possible for a partition or an SO space to be a member of more than one domain. It is possible for different partitions on the same HSM to be members of mutually exclusive domains. There is no limit to the number of partitions or HSMs that can share a common domain.

The following pages summarize PED setup and operations:

- ["Initial Setup" below](#)
- ["Changing Your Authentication Parameters" on page 188](#)
- ["Summary of PED Operations" on page 213](#)

## Initial Setup

As soon as it receives power, the PED performs its start-up and self-test routines and then goes into its normal operating mode.

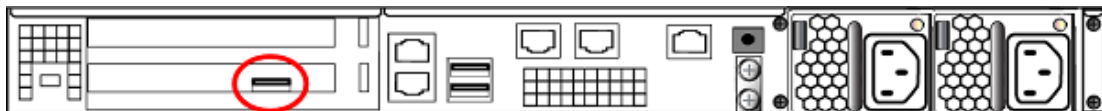
The Luna PED automatically detects the active interface that it is plugged into, and defaults to the appropriate mode after the first command is sent to it. The Luna PED waits in either Remote PED-USB mode (if the PED is connected to the USB port in the back of the HSM card) or in its Scanning state (if the PED is connected to an SCP port) until a command is received from the HSM.

- If the PED is directly connected to the HSM via USB port, it enters Local PED-USB mode.
- If the PED is remotely connected to the HSM via remote host, it enters Remote PED-USB mode.
- If the PED is directly connected to the HSM via SCP port, it enters Local PED-SCP mode.

If you need to switch between these modes, press **<** to navigate to the main menu. Then, press **1** to enter Local PED-SCP mode or press **0** to enter Local PED-USB mode.



**Note:** To operate in Local PED-USB mode, the PED must be connected directly to the HSM card's USB port, and not one of the other USB connection ports on the appliance.



## PED Actions

There are several things that you can do with the PED at this point:

- Wait for a prompt, which results when a program has caused the HSM to request authentication.
- Imprint new PED keys. See ["Creating New PED Keys" below](#).
- Create copies of your PED keys. See ["Duplicating Existing PED Keys" on page 185](#).
- Change to the Remote Mode (which expects encrypted commands from a computer USB connection, where you would be running PED Server, rather than from a direct PED-HSM connection). See ["Changing Menus" on page 1](#).
- Change to the Admin Mode to run tests or update PED software. See ["Changing Menus" on page 1](#).

## Login

When you perform an HSM operation that requires a PED key, you should already have the PED connected to the HSM or appliance.

When the command is issued, the system tells you when to look to the PED. The PED prompts you when to insert various PED keys, appropriate to the task. When prompted, insert the indicated PED key into the PED, then respond to further instructions on the PED display.

## Performing Prompted Actions

To perform prompted actions, just do what is asked on the PED screen. Normally the prompts are:

- Insert a PED key
- Press **Yes**, **No** or **Enter** on the keypad

The authentication information for your HSM roles is contained on the PED key, and Luna PED is the device that provides the interface so that authentication data can pass between PED key and HSM.

You should have the PED connected and in Local PED-USB mode when you issue a command that invokes the PED.

The keypad on the PED is used to acknowledge prompts on the PED screen and to optionally input a "something you know" PED PIN to augment the "something you have" secret contained in the PED key.

If you are using the Activation/Auto-Activation feature then, after authentication, the data is cached on the HSM, where it remains until you deactivate or remove power to the HSM. In that case, once the authentication is performed, you can disconnect the PED and store it until the next time it is required. See ["Activation and Auto-Activation on PED-Authenticated Partitions" on page 160](#).

If you are not using Activation, then authentication data is not cached and every time you or your client application needs access to the HSM, the HSM will look to the PED, which must remain connected.

Upon successful authentication, you can continue with your operations (initializing the HSM, using the shell or LunaCM, duplicating keys, etc.).

## Creating New PED Keys

You can perform this operation locally or remotely.

The Luna PED automatically detects the active interface that it is plugged into, and defaults to the appropriate mode after the first command is sent to it. The Luna PED waits in either Remote PED-USB mode (if the PED is connected to

a USB port) or in its Scanning state (if the PED is connected to an SCP port) until a command is received from the HSM.

- If the PED is directly connected to the HSM via USB port, it enters Local PED-USB mode.
- If the PED is remotely connected to the HSM via remote host, it enters Remote PED-USB mode.
- If the PED is directly connected to the HSM via SCP port, it enters Local PED-SCP mode.

If you need to manually switch between these modes, press < to navigate to the main menu. Then, press **1** to enter Local PED-SCP mode or press **0** to enter Local PED-USB mode.

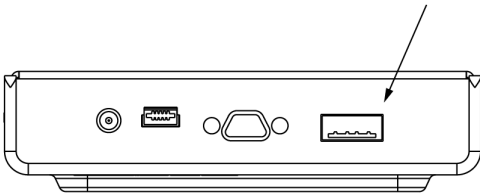
If you wish to perform this operation remotely, see "[Remote PED Setup and Configuration](#)" on page 198

## Setting up PED Keys

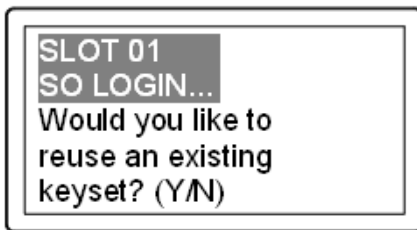
This section describes the following aspects of setup and imprinting your PED keys:

- "[Reusing an Existing Key Set](#)" below
- "[MofN Split Secret Keys](#)" on the next page
- "[PED PINs](#)" on page 184

Insert your PED key:



## Reusing an Existing Key Set



The first question from the PED is whether you wish to "Reuse" an existing SO/HSM Admin authentication secret. This means that you have a PED key from another HSM, or you have a PED key from a previous initialization of this HSM. The PED is asking if you wish to import the secret from that key onto the HSM. Options at this point are:

- You have only fresh blank PED keys that have not been used previously with any HSM (**No** - do not reuse).
- You have a previously used PED key, but the secret it contains is not one you wish to preserve or reuse (**No** - do not reuse).
- You have a previously used PED key, with a secret from this HSM, and you don't mind reusing it (**Yes** - reuse).
- You have a previously used PED key, from another HSM, and you wish to reuse it so that the key can unlock both the current HSM and the other HSM (**Yes** - reuse).

If you choose to not reuse the content of an existing key, then the secret that the current HSM generated is imprinted onto the key that is currently inserted into the PED.

## Shared or Group PED keys

If you elect to reuse the content of an existing key, then the secret that the current HSM generated is discarded, and the secret from the reused PED key overwrites onto the HSM. This ensures that the PED key and the HSM have the same authentication secret, and the key can unlock the HSM. If the secret on the key was from another HSM that is still operational, then the PED key has become a group PED key that unlocks the equivalent aspects of both HSMs. In this manner, you can include as many HSMs as you wish in a group.

You can reuse an existing secret only for the same type of secret that is currently being requested by the HSM and the PED. If you say **Yes** to "Would you like to reuse an existing keyset?" while preparing to set the HSM's Security Officer (SO) secret, then you must present a valid, imprinted blue PED key. Any other type, or a blank key, is rejected.

This "group" of HSMs is related only by the convenience of being able to use one PED key to unlock any of them. This "group" concept is not the same as the HA Group concept for high availability. The HSM slots that form an HA group interact with their client(s) via a virtual HSM slot, such that any of the real HSM slots behind the HA group is interchangeable and can be swapped in and out as needed. But members of an HA group do not need to be members of a PED key group. In an HA group, any or all of the members could have the same or different authentication secrets, without affecting the HA function. Only the cloning domain must be identical across all HA group members.

## MofN Split Secret Keys



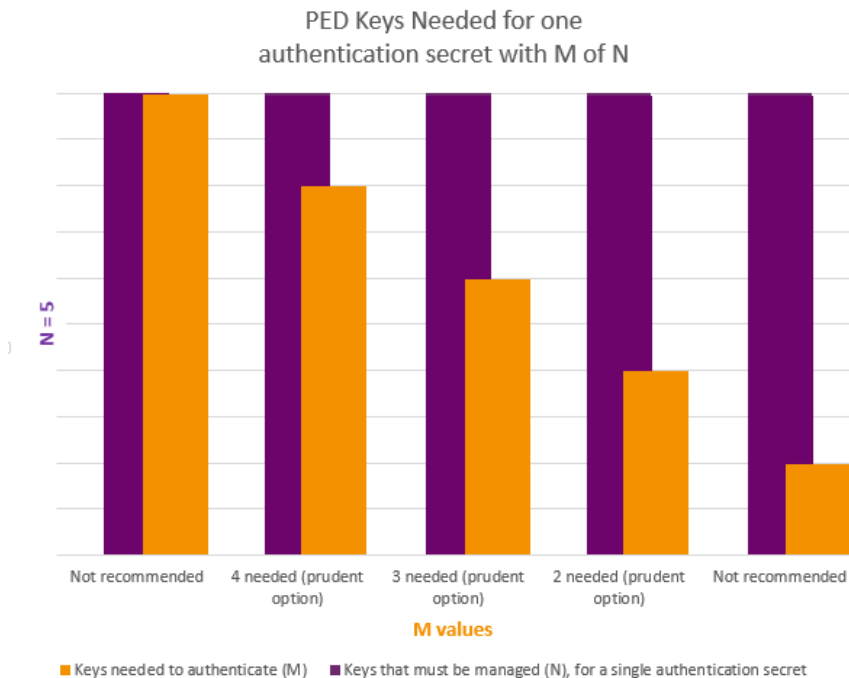
These questions from the PED prompt for M and N values, so that you could set up MofN split-secret, multi-person access control for an extra layer of security when authenticating.

M and N both set to 1 indicate to the PED that you will not invoke the MofN security measure.

If you invoke MofN, two or more of a given color of PED keys (up to a maximum of 16 splits of each secret) would be needed to access that role or that secure function on each HSM.

For example, if you decide that you want 3 different people to be present whenever a particular role authenticates to the HSM, you should also allow a few extra splits of that secret to accommodate accidents, illness, vacations, business travel, or other reasons that would take some key-holders away from the HSM site. Perhaps you settle on 2 additional splits as sufficient additional key-holders.

You have thus specified MofN to be 3 of 5. If this example applied to the HSM SO, then each HSM's SO secret might be split into 5 components or partial secrets imprinted onto a set of 5 blue PED keys, of which any 3 from that set can combine to reconstitute the SO secret, but never less than 3.



The purple bars show  $N=5$  for every choice of  $M$ , the orange bars in this example.

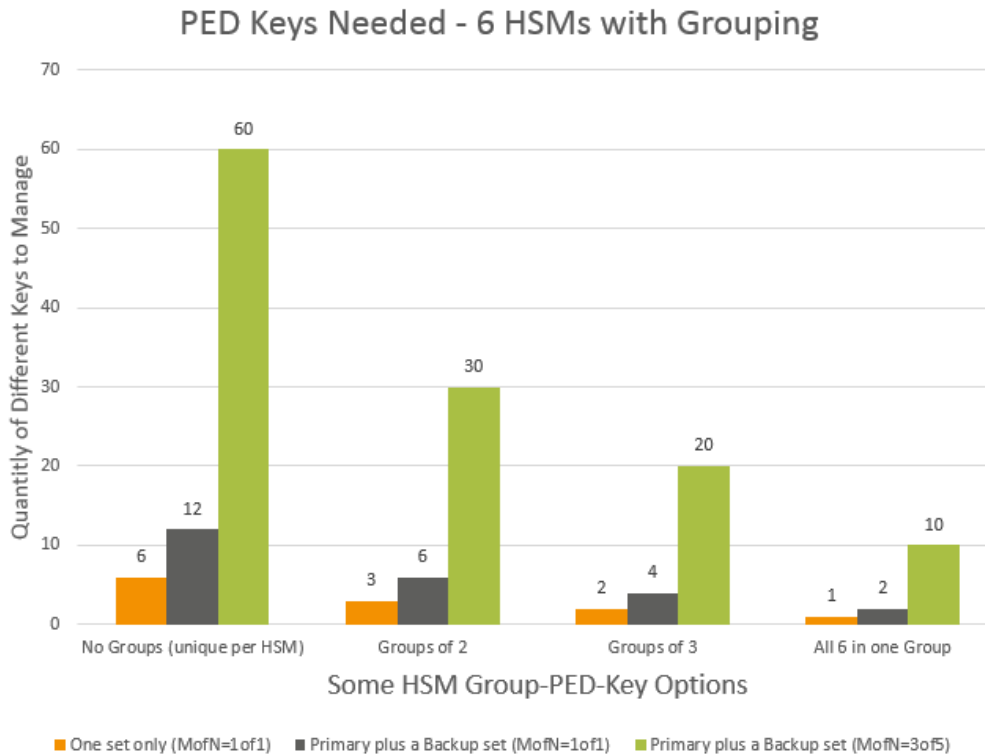
- $M=N$  is not recommended because it allows no scope for one of the holders to be unavailable, while still allowing you to access your HSM.
- $M=1$  is not recommended, because it is no more secure than if there were no splits of the secret - a single person can unlock the HSM role or function without oversight.
- Any choice where  $N>M>1$  is prudent and useful, as it ensures oversight but allows for at least one split-holder to be unavailable, while still permitting authorized access to the HSM roles and functions.

You can elect to split none of the HSM roles and secrets, some of them, or all of them. If you do elect to impose MofN for roles and secrets, you can set different values of  $M$  and  $N$ , independently per HSM role or secret.

### Combining MofN with Grouped/Unique Authentication

Keeping in mind the need for backup sets, if you impose MofN for some or all secrets, that choice can drastically increase the number of PED keys that must be imprinted, tracked, and managed, while the ability to group authentication secrets across some or all of your HSMs can help reduce the numbers of PED keys in play.

The chart below shows how the two options interact:



## Partition Activation and MofN

It is frequently the case that the HSM and its server(s) are kept in a locked facility and either accessed remotely by secure channels or accessed directly and physically only under specific conditions.

To satisfy these design requirements we have a concept of Partition Activation (See ["Activation and Auto-Activation on PED-Authenticated Partitions"](#) on page 160). This allows administrators of the HSM to put it into a state the calling application is responsible for its own connections and sessions with the HSM, without requiring the presence of the operators. This is important when an application or operating system might be rebooted for maintenance, or a power outage and it would be the 3 or 5 management personnel together to present the MofN keys.

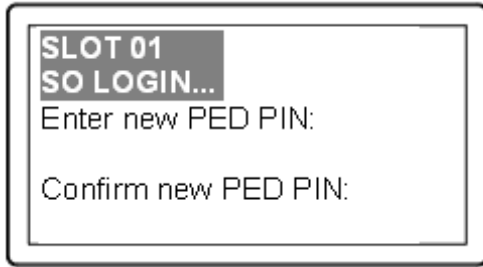
To achieve Partition Activation:

- The black PED key(s) is presented in order to set the partition into a state of "open for business". When that is true, clients can connect.
- Clients must still provide their own credentials (certificates were exchanged, to register the link) and present a challenge secret (previously distributed) to enable them to perform cryptographic operations on the partition.
- At any time, the holder of the partition User/Owner black PED keys can close the partition to access (deactivate it) and clients can no longer access the partition, regardless of their registered status and their possession of the challenge secret.

## PED PINs

The PED provides the opportunity to add an additional layer of authentication security to the current secret.





A PED PIN is a numeric secret typed on the PED keypad. For two-factor authentication, a PED PIN is "something you know" and is associated with "something you have," or the PED key. The PED PIN is combined with the secret stored on the key, and the resulting PinKey is sent to the HSM. The combined secret-and-PED-PIN is what the HSM recognizes as its unlocking secret.

#### For no PED PIN:

Press **Enter** when prompted by the PED. No PED PIN flag is set on the current PED key.

#### To invoke a PED PIN:

Type in some digits on the PED's keypad. That sequence becomes a PED PIN that must be typed whenever you wish to use that key in future.

Whatever your response, the PED asks you to confirm by typing it in again.



**Note:** Do not use zero for the first digit. When the leading digit is zero, the PED ignores any digits following the exact PED PIN. An attacker attempting to guess the PED PIN must get the first digits correct, but does not need to know the exact length of the PED PIN. If the PED PIN is started with any digit other than zero, extra digits are detected as an incorrect attempt.

The PED PIN is optional only for the first PED key imprinted at initialization time - if you choose to make duplicates of that PED key, then they all get the flag for the PED PIN (or no PED PIN if you so choose) that you gave for the first key. PED PINs can be invoked for some, all, or none of the PED key types.

If you are using MofN, each member of the MofN key set may have a different PED PIN, just like any regular key.

## Duplicating Existing PED Keys

You can perform this operation locally, remotely, or offline via the Admin menu.

The Luna PED automatically detects the active interface that it is plugged into, and defaults to the appropriate mode after the first command is sent to it. The Luna PED waits in either Remote PED-USB mode (if the PED is connected to a USB port) or in its Scanning state (if the PED is connected to an SCP port) until a command is received from the HSM.

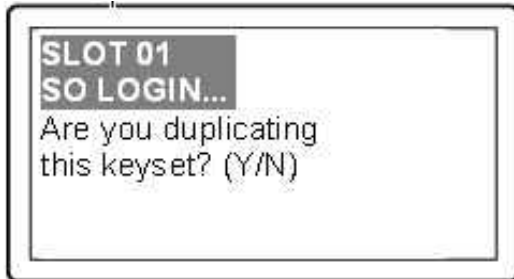
- If the PED is directly connected to the HSM via USB port, it enters Local PED-USB mode.
- If the PED is remotely connected to the HSM via remote host, it enters Remote PED-USB mode.
- If the PED is directly connected to the HSM via SCP port, it enters Local PED-SCP mode.

If you need to switch between these modes, press **<** to navigate to the main menu. Then, press **1** to enter Local PED-SCP mode or press **0** to enter Local PED-USB mode.

If you wish to perform this operation remotely, see "[Remote PED Setup and Configuration](#)" on page 198. If you wish to perform this operation offline, see "[Duplicating PED Keys without an HSM](#)" below.

## Duplicating PED Keys

When you have imprinted any PED key, having set its parameters, you are prompted:



**Note:** The word "keyset" is used in case you chose to invoke MofN, splitting the HSM secret across several keys.

The first opportunity to make copies is at initialization time. Your answer ends the process for the current PED key secret. The Luna PED (and the associated HSM) does not know how many copies you have made, so you are given the option to duplicate every time you initialize an HSM or create a role or secret.

### If you answer Yes:

- This invokes the duplication of the PED key, so that all duplicates can be interchangeable (for backups).
- You can now use the original or any of the duplicates to access this HSM or Partition, and distribute the others to other personnel or to secure storage.

If you are duplicating a set of MofN keys, you must have access to all of the keys.

### If you answer No:

- You are indicating that no duplicates/backups are necessary.
- If you eventually require duplicate/backups for your SO PED keys, you can create them when you initialize another HSM or when you perform an "hsm so-ped-key change" (saying **No** to the "reusing" question, and then saying **Yes** to the "duplicating" question at that time).
- If you eventually require duplicate/backups for your Partition User/Crypto Officer PED keys, you can create them when you create another Partition (saying **No** to the "reusing" question, and then saying **Yes** to the "duplicating" question at that time).
- The same possibility is presented whenever you imprint any of the other key types.
- You can create duplicates of any PED key by means of Luna PED's Admin menu.

## Duplicating PED Keys without an HSM

You can duplicate PED keys without being connected to an HSM.

On the Luna PED, press < to navigate to the main menu. Then, press **4** to enter Admin mode.

1. At the PED Key Mode menu you have options to Login (which you have just done, but the prompt is available in

case you might wish to login to a different PED key), Logout, or Duplicate the PED key. Only the "Duplicate" option is meaningful for your iKey 1000 PED key. To duplicate the contents of the currently connected PED key to another PED key, press **7** on the PED keypad.

2. When prompted, insert a blank target PED key, or a non-blank whose data is no longer needed. Press **Enter**.
3. If data already exists on the target PED key, you are warned and required to press **Yes** two times, to confirm that you really do wish to overwrite whatever is on the PED key that is currently connected to the PED.  
If the source PED key had an optional PED PIN assigned, then that PED PIN is automatically applied to the duplicate during this process.
4. Remove the newly imprinted PED key and press **Enter**. The PED goes back to PED key mode awaiting further commands. If you wish to duplicate another PED key, repeat the above steps. Otherwise, press **<** to go back to Admin mode, and press **<** again to reach the main menu, and finally press **1** to resume Local mode, which is the normal operating mode of the PED, awaiting commands from the connected HSM.
5. Identify the new PED key with a tag or other marker, and record a PED PIN (if any) in secure fashion, according to your security policies.

The PED does not prompt you for a PED PIN. If the PED PIN flag was not set on the source key, then the new copy also has that flag unset. If the PED PIN flag was set on the original key, then that setting is automatically recorded on the duplicate. No HSM is involved in this transaction, so entering a PED PIN would have no effect. Yet the correct PED PIN will be requested when you later use a duplicate to access the HSM.



**Note:** Exception – The Remote PED functions as described earlier, when it is in Local or Admin mode. However, when it is placed in Remote mode, it is capable of setting up a secure connection, via a specially-configured computer workstation, to a remotely located HSM. The remote functionality is described separately in ["About Remote PED" on page 193](#).

## Compare Duplication via PED Admin menu versus Duplication when Initializing

In the sequence when you are initializing you are prompted for a PED PIN and can make several "duplicate" keys that have different PED PINS unlock the same HSM; this is called a "raw" duplication.

	Requires HSM	Launched from command line	Prompt (option) to set PED PIN	"Copies" are identical	"Copies" unlock same HSM
"Duplicating" (creating new PED keys during initialization)	Yes	Yes	Yes	Only if no PED PIN or if same PED PIN is repeatedly entered	Yes, as long as you know the correct PED PIN for the key you have
Duplicating "raw" key content via PED menu	No (only a power connection needed)	No	No	Yes	Yes, PED PIN is the same for all raw duplicates

## Compare Duplication versus MofN

Duplicate PED keys are not the same as MofN-split PED keys. A duplicate of a key is a complete, self-contained copy of its secret, and either the original or the duplicate is fully sufficient to authenticate.

If you choose to split a secret when creating it, by selecting “M value” and “N value” greater than one, then a duplicate of that secret must create duplicates of all the splits.

## Changing Your Authentication Parameters

After you have created your PED keys, you may wish to change how you use the PED keys to authenticate, as follows:

- ["Revoking, Adding or Changing MofN" below](#)
- ["Revoking, Adding or Changing PED PINs" on the next page](#)
- ["Updating PED Keys for a Backup Token" on page 192](#)

You can perform these operations locally or remotely.

The Luna PED automatically detects the active interface that it is plugged into, and defaults to the appropriate mode after the first command is sent to it. The Luna PED waits in either Remote PED-USB mode (if the PED is connected to a USB port) or in its Scanning state (if the PED is connected to an SCP port) until a command is received from the HSM.

- If the PED is directly connected to the HSM via USB port, it enters Local PED-USB mode.
- If the PED is remotely connected to the HSM via remote host, it enters Remote PED-USB mode.
- If the PED is directly connected to the HSM via SCP port, it enters Local PED-SCP mode.

If you need to manually switch between these modes, press **<** to navigate to the main menu. Then, press **1** to enter Local PED-SCP mode or press **0** to enter Local PED-USB mode.

If you wish to perform this operation remotely, see ["Remote PED Setup and Configuration" on page 198](#)

## Revoking, Adding or Changing MofN

If you decided that you wanted to stop using MofN, or that you wanted to have MofN, but with a different total number of split-keys (N) or a different minimum quantity of keys that must be presented (M) to re-construct the secret, then you would need to zeroize and re-initialize the HSM. For individual partitions, you would need to delete the partition and create a new one with the new authentication. To preserve the HSM and partition contents, you would perform backup before re-initializing the HSM, and then restore from backup afterward.

If you wish to have two HSMs share the same MofN scheme, you must initialize one with the desired scheme, then initialize the second HSM and have it re-use the secret splits from the first HSM.

At secret-creation time for the HSM, when the PED is invoked, the PED asks if you wish to re-use an existing secret. If you say **Yes** to that question, then the PED expects you to offer a PED key that is already imprinted with a suitable secret. If you offer a key that contains a partial secret – a split from your other HSM – the PED accepts that key. The connected HSM recognizes that the secret is only a split, not a full SO secret, so the PED demands additional keys from that set, until it has received M of them, enough to reconstitute the secret. It will not accept fewer than M different portions of the secret, and it will not accept members of another set.

Once the reconstituted secret has been imprinted on the new HSM, then that HSM can accept any M splits out of the full set of N, even though it has never seen some of those splits. Both HSMs now accept the same MofN authentication secret.



**Note:** The PED requires different splits when combining quantity M splits to recreate the authentication secret. If you offer it one split and then a copy of the same split (because they all look alike and you accidentally gathered them into incorrect groups), the PED will reject the identical offering.

## Revoking, Adding or Changing PED PINs

You can remove the requirement for a PED PIN by using the **hsm changepw** command (described in greater detail below). A new secret is generated on the HSM, and is imprinted onto the PED key (you are asked if you want to overwrite the existing data and you say **Yes**). You are given the opportunity to add a PED PIN and you just press **Enter** on the PED keypad to decline a PED PIN.



**CAUTION:** This action must be performed on all the PED keys associated with that HSM. If you have a group of HSMs that share the same authentication secret (meaning they can all be unlocked by the same PED keys then you must keep one unchanged PED key until you have logged in and performed the **hsm changepw** command on all the HSMs in that group.

Similarly, if you decide to increase the stringency of your security, you can use the **hsm changepw** command to change the secret on your PED keys and HSM(s) and at the same time, add new PED PINs.

You could leave some PED keys with the old secret. The result would be two groups of HSMs and associated PED keys that could not be interchanged (for authentication). In other words, you could use the technique to split a group of HSMs.

This does not apply to all PED key types:

- It does apply to the black PED key – use the LunaSH command **partition changepw**. This change is non-destructive to the HSM partition or its contents.
- For the orange PED key, you can use the LunaSH command **hsm ped vector init** to create a new Remote PED vector on the HSM and on the current orange PED key, or you can import a different RPV from a different orange key and imprint that RPV onto the HSM in place of the current one. This change is not destructive to the HSM or its contents.
- You cannot change an HSM Domain without a hard initialization of the HSM (destroys all contents), and you cannot change a partition Domain without deleting the current partition and creating a new partition.

## PIN-Change Procedure for Multiple HSMs Using the Same Credentials



**CAUTION:** You must retain at least one old-PIN PED key until all HSMs have the new PIN, or you will find yourself unable to access old-PIN HSMs.

1. Choose an HSM and login as SO (with a blue PED key).
2. Request a change of SO PED key:

```
lunash:> hsm changePw
```

3. Respond to the PED prompts as follows:

```
Getting current SO PIN...
Reading SO PIN...
```

Insert a blue Key

This is where you insert a currently valid SO PED key to confirm that you are the key holder.

<Press ENT>

The PED requests the key because an indeterminate amount of time might have elapsed since the last HSM login and confirmation is needed that the person asking for a change of secret is the person who logged in (and not an unauthorized person taking advantage of an unattended login session).

Reading SO PIN

Please wait...

Would you like to reuse an existing keyset? (Y/N)

Here you respond **No** so that a new SO secret is generated.

M value (1-16)

>0

M value (1-16)

>0

Writing SO PIN...

Insert an SO Key

This is where you insert the first SO PED key to be overwritten; it might be the same one that you just inserted to authenticate as SO

<Press ENT>

Writing SO PIN...

PED key will be overwritten

The PED detects existing (old) data on the key and warns you that it will be overwritten if you proceed.

<Press ENT>

Writing SO PIN...

Enter new PED PIN

This is a new secret, so you have the opportunity to add a PED PIN to it, if you wish.

Writing PED PIN...

Confirm new PED PIN

Are you duplicating this keyset? (Y/N)

Answer **Yes** because you want to overwrite the old secret on two of the remaining three PED keys (in this example).

Writing SO PIN...

Insert SO key

This is where you insert the second SO PED key.

<Press ENT>

Writing SO PIN...

PED key will be overwritten.

<Press ENT>

Writing SO PIN...

Enter new PED PIN

You can add a PED PIN to this duplicate key if you wish, or not. If you add a PED PIN it does not need to be the same as on the other key.

```
Writing PED PIN..
Confirm new PED PIN
Would you like to
make another
duplicate set? (Y/N)
```

Respond **Yes** and make the change on the third SO key, but leave the fourth key with the old secret for now.

```
Command Result : 0 (Success)
[luna22] lunash:>
```

At this point, you have one HSM and three of your four SO keys imprinted with the new SO authentication secret. Ensure that you keep the keys separate and well identified. One PED key must retain the old secret until all HSMs are updated to the new secret.

4. Go to the second of your SafeNet appliances, login as admin.
5. Request a change of SO PED key (this time you will not be changing key contents, you will be logging in with the old secret, then copying the new secret from one of the updated keys onto the second HSM):

```
lunash:> hsm changePw
```

6. Respond to the PED prompts as follows:

```
SO login...
```

This step shows that if you had not already logged in prior to requesting **hsm changepw** then a login is forced.



**Note:** You can explicitly login (with **hsm login**) before issuing **hsm changepw**, or you can wait until you issue the change command and be prompted to login.

```
Insert blue PED Key
```

Insert the old-secret PED key, to login – this HSM still has the old secret.

```
<Press ENT>
Getting current SO PIN..
Reading SO PIN..
Insert a blue PED key
```

The system does not track how long ago the login occurred, so before a key change is permitted, it requires you to prove that you are the valid key holder by producing the key again.

```
<Press ENT>
Reading SO PIN
Please wait...
Setting SO PIN
Would you like to
reuse an existing
keyset? (Y/N)
```

Here you respond **Yes** so that the new SO secret will be read from the new-secret-containing key.

```
Reading SO PIN..
Insert a blue PED Key
```

Insert a new-secret SO PED key so that its secret can be read and then imprinted on this second HSM.

```
<Press ENT>
Would you like to
make another
duplicate set? (Y/N)
```

Respond **No**. This HSM now has the new secret.

```
Command Result : 0 (Success)
[luna22] lunash:>
```

At this point, you have two HSMs and three of your four SO keys imprinted with the new SO authentication secret. Ensure that you keep the keys separate and well identified. One PED key must retain the old secret until all HSMs are updated to the new secret.

7. Remove the new-secret key from the PED and place it with the other new-secret keys.
8. Bring a PED and the remaining old-secret key to the third appliance and repeat steps 4 to 6.

When prompted:

```
<Press ENT>
Would you like to
make another
duplicate set? (Y/N)
```

Respond **Yes** and supply the last old-secret PED key as the “blank” to overwrite it.

```
Command Result : 0 (Success)
[luna22] lunash:>
```

At this point, you have all three HSMs and all four SO keys imprinted with the new SO authentication secret.

If you prefer to be more cautious, you could leave the final PED key with the old secret until you that all three HSMs are unlockable by the new secret, only then imprinting the last key with the new secret.

Alternatively, you can perform iKey PED key copying or duplication without invoking commands at the HSM (however you still require a connection between PED and HSM to power the PED).



**Note:** You can perform the same operations with blue SO PED keys in similar circumstances. This operation could be scaled up for larger groups of HSMs duplicate PED keys.

## Updating PED Keys for a Backup Token

If you need to have new authentication for your Backup Tokens, then perform a new Backup operation.

Performing an HSM Backup or a Partition Backup will initialize the token and allow you either:

- Imprint a new authentication secret (say **No** to the “reuse ID” question, which causes a new random secret to be created and imprinted on both the PED key and the token),

Or else

- Share the authentication secret (say **Yes** to the “reuse ID” question, which takes the token authentication from the PED key you insert) that is already in use on other tokens or on a SafeNet Luna HSM.



## About Remote PED

Luna PED with Remote Capability (Remote PED) allows you to administer HSMs that are housed away from their owners/administrators, at physically remote sites or inside heavily-secured premises, where obtaining local physical access to the HSM is difficult or time-consuming. Remote PED provides administrative convenience similar to remotely accessing a Password-authenticated HSM, but with the added security and role separation of PED authentication.

To use remote PED, you require the following:

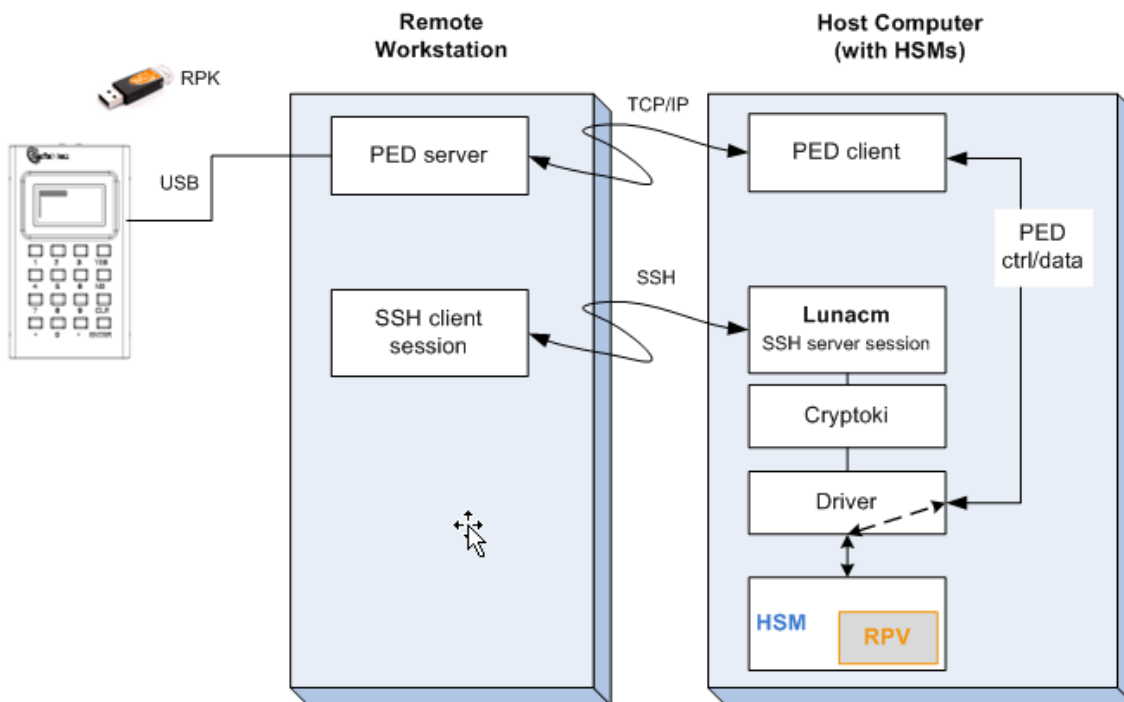
- a Remote PED Server instance running on your local workstation. The remote PED server connects over a secure network link with a Remote PED client in the computer or appliance that contains the HSM to which you want to authenticate.
- A Luna PED with firmware 2.7.1 or newer
- An orange PED key that provides the authentication for the Remote PED connection between
  - The workstation computer (with Luna PED connected and PED Server running), and
  - The remotely located SafeNet Luna HSM with the PED Client running on the HSM's host.

## Remote PED Architecture

The PED Client and Server are software components that allow the HSM and PED to communicate via a TCP/IP network:

- The PED Server resides on the host computer where a remote-capable Luna PED is USB connected. The PED Server acts as an intermediary, accepting requests and serving PED prompts and actions and data to requesting HSMs (usually located at a distance).
- The PED Client resides on the system hosting the HSM. That could be a workstation or server with a SafeNet Luna USB HSM connected or a SafeNet Luna PCIe HSM embedded, or it could be a SafeNet Luna Network HSM appliance, any of which can request PED services from the PED Server through the network connection.

Figure 1: PED Client and PED Server interaction for Remote PED



<b>Remote PED</b>	A Luna PED, with Remote capability, connected, powered on, and set to Remote mode.
<b>RPV</b>	Remote PED Vector - a randomly generated, encrypted value used to authenticate between a Remote PED (via PED Server) and a distant SafeNet Luna HSM (PED Client).
<b>RPK</b>	Remote PED key - an orange PED key, the portable repository of an RPV value, for use in the Remote PED process.
<b>PED Server</b>	The PED server program that resides on a workstation and mediates between a locally-connected Remote PED and a distant PED Client (running at a distant SafeNet Luna HSM).
<b>PED Client</b>	The PED client program. For a SafeNet Luna Network HSM appliance, PED Client is embedded. For SafeNet Luna PCIe HSM, SafeNet Luna USB HSM, or SafeNet Luna Backup HSM, PED Client must be installed on the HSM's host computer. The PED client anchors the HSM end of the Remote PED service and initiates the contact with a PED Server instance, on behalf of its HSM.

## PED Server-Client Communications

All communication between the Remote PED and the HSM in its host is transmitted within an AES-256 encrypted channel using session keys based on secrets that are shared out-of-band via the Remote PED role. This is considered a very secure query/response mechanism. The authentication conversation is between the HSM and the PED. Authentication data retrieved from the PED keys never exists unencrypted outside of the PED or the HSM. PED Client and PED Server provide the communication pathway between the PED and the HSM but along that path, the data remains encrypted.

Once the data path is established and the PED and HSM are communicating, they establish a common Data Encryption Key (DEK). DEK establishment is based on the Diffie-Hellman key establishment algorithm and an RPV

(Remote PED Vector), shared between the HSM and the PED via the orange Remote PED iKey (RPK). Once a common Diffie-Hellman value is established between the parties via the Diffie-Hellman handshake, the RPK is mixed into the value to create a 256-bit AES DEK on each side. If the PED and the HSM do not hold the same RPK, the resulting DEKs will be different between them, and the parties won't be able to communicate.

Mutual authentication is achieved by exchanging random nonces, encrypted using the derived data encryption key. The authentication scheme operates as follows:

HSM	–	Remote PED
Send 8 bytes random nonce, R1, encrypted using the derived encryption key.	$\{R1 \parallel \text{padding}\}_{Ke} \rightarrow$	
	$\leftarrow \{R2 \parallel R1\}_{Ke}$	Decrypt R1. Generate an 8 byte random nonce, R2. Concatenate R2    R1 and encrypt the result using the derived encryption key.
Decrypt R2    R1. Verify that received R1 value is the same as the originally generated value. Re-encrypt R2 and return it to Remote PED.	$\{\text{padding} \parallel R2\}_{Ke} \rightarrow$	Verify that received R2 value is the same as the originally generated value.

Following successful authentication, the random nonce values are used to initialize the feedback buffers needed to support AES-OFB mode encryption of the two communications streams (one for each direction).

Sensitive data in transition between a PED and an HSM is end-to-end encrypted: plaintext security-relevant data is never exposed beyond the HSM and the PED boundaries at any time. The sensitive data is also hashed, using a SHA-256 digest, to protect its integrity during transmission.

## Remote PED Features

### Priority and Lockout

When a Remote PED connection is in force, the Local PED interface to the HSM is disabled. If a Local PED operation is in progress, it is not possible to start a Remote PED connection until the currently active Local-PED-mediated HSM operation completes. For example, if you had started an HSM command that began using a connected Local PED and PED key for authentication, and you started an SSH session in which you issued the **ped connect** (LunaCM) command or **hsm ped connect** (LunaSH) command, one of the following two things would happen:

- The remote PED connect command would begin executing, but would pause while the Local PED operation started in the other command session was in progress, and resume when the Local PED operation terminated.
- The remote PED connect command would begin executing, but would pause while the Local PED operation was in progress, and eventually time-out if the Local PED operation did not terminate sufficiently quickly.

If a Remote PED connection is in force, then the Local PED is ignored, and all PED requests are routed to the Remote PED. Attempts to start a different connection are refused until the current connection times out or is deliberately stopped.

## Remote PED Timeout

In Local PED mode, one Luna PED is connected directly to the HSM. Timeouts are governed by the configuration of the appliance or host computer and the HSM and are not generally modifiable.

In Remote PED mode, the PED Server on each remote workstation has a timeout setting, and the HSM has a Remote PED timeout setting that can be shown (LunaSH command **hsm ped timeout show** on SafeNet Luna Network HSM) and modified (LunaSH command **hsm ped timeout set** on SafeNet Luna Network HSM). If nothing has been set, then the default value for the Remote PED connection timeout (1800 seconds) is in effect.

The Remote PED Server instances on workstations, and the Remote PED Client inside the SafeNet Luna Network HSM appliance or on an HSM host computer, are not aware of each other's timeout values. For a given Remote PED connection, the shorter timeout value rules.

Remote PED (via PedClient.exe) can provide PED services to only one HSM slot at a time. To provide PED interaction (remotely) to another slot, you must close PedClient.exe for that first slot/HSM and then open PedClient.exe for the next slot/HSM.

Once a slot has been set up with its authentication data cached (autoActivation), and PED Client has closed, you must not issue any command to that original slot that would require PED interaction. If you issue a command that invokes a PED operation when no PED is connected to the HSM, the affected HSM pauses until the requested operation times out. This means that client applications using that HSM stop for the duration of the timeout.

## Bi-directionality

You can also initiate the connection between PED Server and HSM from the side of the PED Server. This is further detailed in "[Remote PED Connections](#)" below. You can use either the legacy or the peer-to-peer method to connect your Remote PED.

Legacy connections between the Remote PED and the HSM require the connection between PED Server and HSM to be initiated by the HSM. The connection can only be made in this direction.

## Remote PED Connections

A SafeNet Luna HSM running the PED Client can establish a Remote PED connection with any workstation that meets the following criteria:

- It is running PedServer.exe.
- It has a suitable Remote PED connected.
- It has the correct PED keys (including the orange key) for that HSM.

### Only one connection at a time

The SafeNet Luna HSM can make only a single connection for Remote PED operation at one time. The current session must timeout or be deliberately stopped before another workstation can be called into a Remote PED connection with that SafeNet Luna HSM.

Similarly, a given workstation can enter into a Remote PED connection with any SafeNet Luna HSM with PED Client, but it can make only one such connection at a time. This contrasts with SSH connections, where a workstation could have multiple SSH windows open to multiple admin sessions on a single or multiple SafeNet Luna HSMs.

There is no requirement for the workstation providing the Remote PED connection to be the same one that provides SSH administrative access to the HSM, nor is there any requirement that they be different workstations.

## Legacy vs Peer-to-peer Remote PED Connections

PED Client runs on the computer that hosts the SafeNet Luna HSM, while the PED Server runs on the computer that hosts the Luna PED. Historically, this meant that PED Client was launched and tried to open a connection to a specified instance of PED Server. However, in some cases the network and firewall rules that surround the HSM host forbid that host from initiating the connection from inside the firewall. For those situations, PED Server now supports the ability to initiate the Remote PED connection from the PED Server side, over a link secured by means of the HSM host's server certificate.

Peer-to-peer connection is supported by **pedserver -mode connect** and **-mode disconnect** commands. The rules governing the connections are as follows:

- The default mode when PED Server starts is legacy mode (where PED Server waits for a connection to be initiated from an instance of PED Client).
- When you type the **-mode connect** command for PED Server (requesting the start of peer-to-peer mode), that command requires the registered HSM appliance name, which is stored in the PED Server configuration file. Each appliance name is associated with an IP address. That information, along with the appliance certificate is used to create the connection to an instance of PED Client on the HSM host computer.
- The **-mode connect** command detects if legacy mode is running.
  - If legacy mode is not running, the **-mode connect** command initiates a connection to the indicated HSM host (normally SafeNet Luna Network HSM appliance).
  - If legacy mode is running, then **pedserver -mode connect** checks if a legacy-mode connection currently exists. If it does, then **-mode connect** presents an error message informing you to terminate that connection before retrying the requested peer-to-peer connection. A **-mode connect** request for peer connection does not override an existing legacy connection; it just tells you about it and lets you make the decision.
  - If legacy mode is running and **pedserver -mode connect** does not discover an existing legacy connection in effect, then the legacy mode is shut down and the peer-to-peer connection is initiated.
- The **-mode disconnect** command terminates an existing peer connection and returns the PED Server to legacy mode. If the PED Server is already in legacy mode, the **-mode disconnect** command is ignored.

## Limitations

Regardless of whether you use legacy mode or peer-to-peer, the connection is one-on-one. While a Remote PED connection is active between one HSM and one remote PED workstation, neither entity is able to make a similar connection with a different partner. The connection must time out, or be deliberately stopped before the HSM can connect with another PED Server workstation and enter a new remote PED authentication arrangement.

When an RPV is created, it is a randomly-generated value that exists nowhere else. You control which (and how many) HSMs will contain that RPV, and which (and how many) orange RPK PED keys will contain copies of it.

## Constraints

The following constraints apply to Remote PED connections:

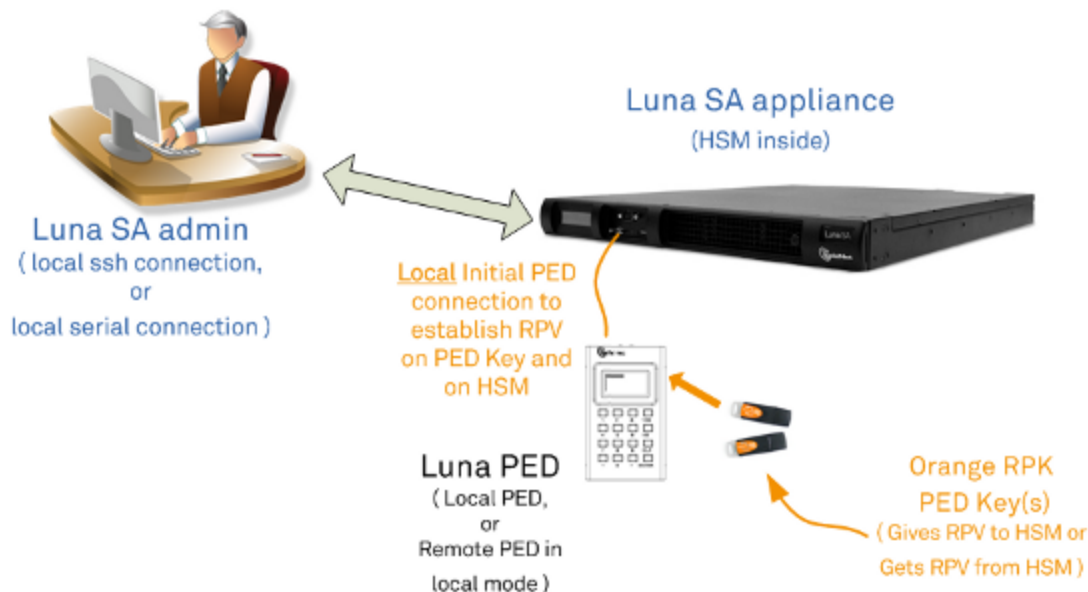
- A maximum of twenty connections is supported on the PED Client.
- A maximum of 80 Network HSM appliances can be registered in PED Server.
- If the connection is terminated abnormally (for example, a router switch died), there is no auto-connection. The PED Server automatically restarts and runs in legacy mode.

- When running in peer connection mode, the PED Server does not engage the listening service, for security reasons and to simplify usability.
- Once the PED Server connection to the PED Client is established, the connection remains up until
  - The **-mode disconnect** command is executed from the PED Server, or
  - PED Client terminates the connection.

## Remote PED Setup and Configuration

The HSM must initially be configured with a local PED, in order to set its authentication and create a relationship between the HSM and an orange PED key (RPV, or Remote PED Vector). "Remote PED connections during imprinting" below shows the preliminary imprinting step, where the HSM and (at least one) orange PED key are made to share an RPV. The administrator could be co-located with the HSM, or could be elsewhere issuing the commands, but someone must be present at the HSM to present the orange PED key for the RPV imprinting. Once that is completed, further PED operations can be moved anywhere along with the RPV-bearing orange PED key.

**Figure 1: Remote PED connections during imprinting**



The HSM is then shipped and installed at its remote location.

Using SSH, open an administrative session (connect and log in as "admin") on the remote HSM. Tell the HSM to expect a remote PED, rather than local PED.

Remote PED is supported (and requires installation/configuration) in two parts:

- PED Client, which runs on the HSM host and allows the HSM to seek PED key data from a remotely located Luna PED. PED Client is part of the SafeNet Luna HSM Client software installation for every type of SafeNet Luna HSM except SafeNet Luna Network HSM (because PED Client is already present, by default, within the SafeNet Luna Network HSM appliance).
- PED Server, which runs on the Remote PED host. PED Server is installed if the "Remote PED" option is selected during SafeNet Luna Client software installation, and it includes PedServer.exe, along with the SafeNet PED device drivers. If the target computer is intended to be a PED Server, but is not going to be a Client to your SafeNet Luna HSM, then you can use SafeNet Luna HSM Client installer to install only the Remote PED option.

## Requirements

- An HSM host, configured as described elsewhere in this document, with PED Client available, and with its own working network connection
- A remote PED host computer with a supported operating system (see the Customer Release Notes for supported platforms) to run PED Server
- Sufficient privileges on the remote PED host, depending on platform and location (local network, WAN, VPN...)
- Current SafeNet Luna HSM Client installer (LunaClient.msi)
- Luna PED V.2.7.1 or newer (see the bottom of the PED's **Select Mode** menu for the version)
- The power block and cord that accompanied your Remote PED, and the USB-A to USB-Mini-b cable
- A complete set of PED keys, including an orange Remote PED key (either new/empty or already containing a Remote PED Vector)
- A network connection
- Local access to the SafeNet Luna HSM (for the first session only)

## Configuring the PED Client and PED Server

This configuration takes place in two locations:

- On the HSM host
- On the Remote PED host

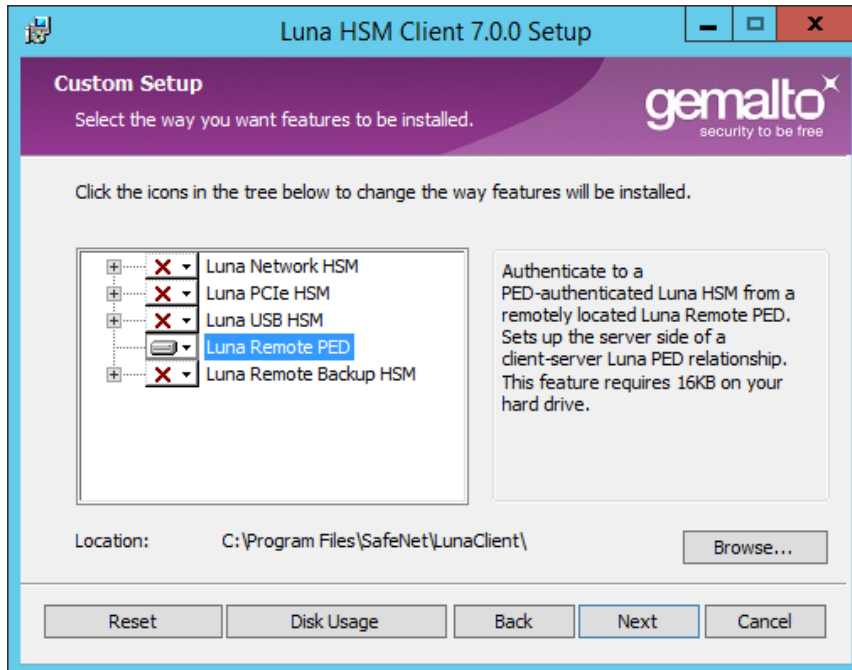
### To configure the HSM host computer:

1. Install/configure your HSM host.
2. With a Luna PED connected locally via USB, initialize a Remote PED Vector for the HSM and for an orange PED key.
3. Type **hsm ped vector init** and respond to the Luna PED prompts.  
You can choose to have the HSM generate a new RPV to be held by both the HSM and a new orange PED key, or you can re-use an RPV already on an existing orange PED key, and imprint that on the HSM.
4. Bring an orange PED key, containing the RPV for this HSM, from the HSM to the location of the Remote PED server.

### To configure the Remote PED host computer:

Luna PED should not yet be connected to the PED Server computer.

1. Install the SafeNet Luna HSM Client software, selecting the Remote PED option - for the purposes of Remote PED. Any additional SafeNet Luna HSM Client installation choices are optional for this host system.



2. Click **Install** when prompted to install the driver.



3. Reboot the computer to ensure that the LunaPED driver is accepted by the operating system. This is not required for Windows Server Series.
4. Connect the Remote Capable Luna PED to AC power using the supplied power block, and to the PED Server computer using the supplied USB-A to USB-mini-b cable.

The Luna PED automatically detects the active interface that it is plugged into, and defaults to the appropriate mode after the first command is sent to it. The Luna PED should wait in Remote PED-USB mode until a command is received from the HSM it is connected to.

If you wish to manually change to Remote PED-USB mode instead of waiting for the PED to do so, press the < key to navigate to the main menu. Then, press **7** to enter Remote PED mode.

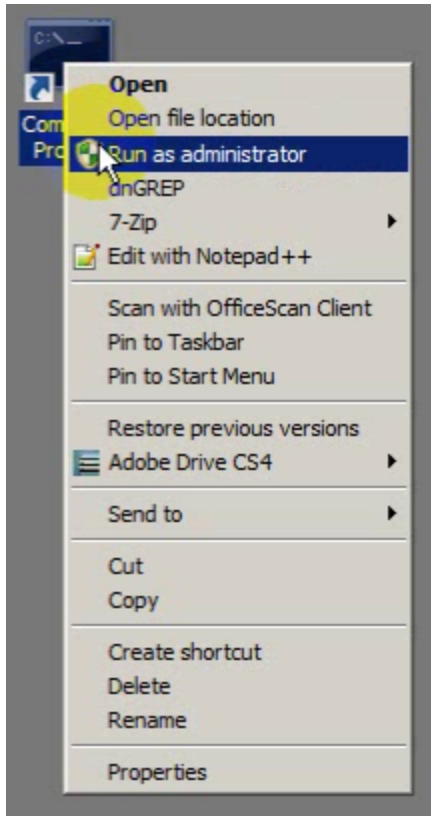
5. Ensure that your firewall does not block communication between PED Client and PED Server. If switching off the firewall for Home and Public Network is not an option, see "[Troubleshooting](#)" on page 216.
6. Open a Command Prompt window.

If PedServer.exe attempts to access the pedServer.ini file in **C:\Program Files\...** that is treated as an action in a restricted area in some versions of Windows. In that case, you should open the Command Prompt as Administrator, rather than as your normal user. To do so, right-click the Command Prompt icon and, from the pop-up menu, select **Run as administrator**.





**Note:** Windows Server 2008 launches Command Prompt as Administrator by default, so no special steps are necessary.



**Note:** By default, PedServer.exe attempts to access pedServer.ini if such a file exists in the expected location. If it does not exist, then default values are used by PedServer.exe until you perform a **-mode config -set** operation to create a pedServer.ini.

7. Go to the installed SafeNet Luna HSM Client directory by typing **cd "Program Files\SafeNet\LunaClient"**.
8. Launch the PED Server by typing **pedserver -mode start**.
9. Verify that the service has started by typing **pedserver -mode show**.

Look for mention of the default port "1503" (or other, if you specified a different listening port). In addition, "Ped2 Connection Status:" should say "Connected." This indicates that the Luna PED that you connected was found by PED Server.



**Note:** If a port other than the default 1503 was specified in **pedserver -mode start**, for example **pedserver -mode start -port 1523**, then the **pedserver -mode show** command should pass in the same port, for example **pedserver -mode show -port 1523**.

10. Note the IP address of the PED Server host. We generally recommend using static IP, but if you are operating over a VPN, you will likely need to ascertain the current address each time you connect to the VPN server.

```
C:\windows\system32>ipconfig
[...]
IPv4 Address. . . . . : 182.16.153.114 <--- this one, in our example
[...]
```



**Note:** We advise not specifying the IP address when starting the PED server unless you have a specific reason to set an address there. In a volatile network or VPN situation, this means that when the host IP changes on the PED server, only PED Client needs restarting with the new PED Server IP address. Once started, PedServer.exe remains on, and listening until you explicitly tell it to stop, or until the host computer stops.

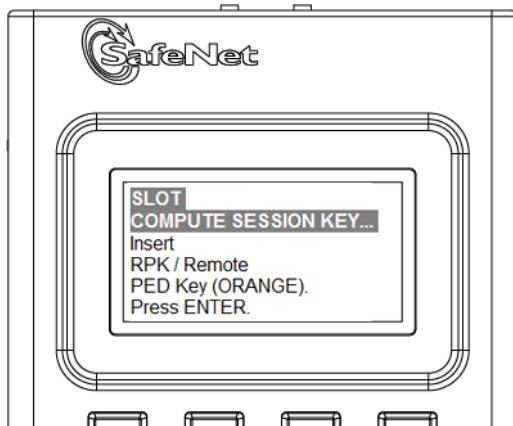
### To configure the HSM to use the remote PED:



**Note:** For the purposes of the PED Client you can specify the PED Server's IP address and listening port each time you connect. Or you can use the **hsm ped set** command to configure either, or both of those parameters, which are then picked up by the **hsm ped connect** command when you wish to establish the connection.

1. Launch the PED Client on your HSM server, identifying the PED Server instance to which the HSM is to connect for its authentication requirements. Type **hsm ped connect -ip <pedserver\_IP> -port <pedserver\_listening\_port>** where <pedserver> is your PED Server IP and <pedserver\_listening\_port> is your port.

At this point, the remote Luna PED should come to life, briefly saying "Token found..." followed by this prompt:



2. Insert the orange PED key that you brought from the HSM to the PED, and press **Enter** on the PED keypad.

Once you have reached this point, you can continue to issue HSM or Partition commands, and whenever authentication is needed, the Remote PED will prompt for the required PED key and associated key-presses.



**Note:** If the HSM host has more than one SafeNet Luna HSM connected, then you might need to specify the **-serial** option to identify the desired HSM by its serial number. If **-serial** is not specified then the action defaults to the first HSM that is found.

## Windows 7

PedServer.exe (on the computer to which your Remote PED is attached) is run from the command line. If you accepted default locations when installing LunaClient (or Remote PED option from within LunaClient installer), then the software is installed on your **C:** drive under **Program Files**. This has implications regarding the permissions you have on the system.

To use PED Server from within a protected location on a Windows 7 computer, right-click the Command Prompt icon, and from the resulting menu select **Run as Administrator**.



**Note:** If you lack system permissions to operate as Administrator on the computer that is to host the PED Server, contact your IT department to address the situation. Alternatively, install LunaClient (or a subset of it, such as Remote PED) in a non-default location in your computer that is not subject to permission restrictions.

If you open a command-prompt window as an ordinary user in Windows 7, and run PedServer.exe, the program detects if it lacks access and permissions, and returns an error like the following:

```
C:\Program Files\SafeNet\LunaClient>pedserver mode start
Ped Server Version 1.0.6 (10006)

Failed to load configuration file. Using default settings.

Ped Server launched in startup mode.
Starting background process
InternalRead: 10 seconds timeout
Failed to recv query response command: RC_OPERATION_TIMED_OUT c0000303
Background process startup timed out after 10 seconds.
Startup failed. : 0xc0000303 RC_OPERATION_TIMED_OUT

C:\Program Files\SafeNet\LunaClient>
```

If you encounter the error above, use Windows Task Manager to select the PED Server process, right-click, and select **End process**, before cleanly retrying PedServer.exe via an Administrator Command Prompt.

## Using Remote PED

This section contains the following:

- ["Prepare a Remote PED Vector" on the next page](#)
- ["Client-initiated Remote PED Connections" on page 205](#)
- ["Server-initiated \(Peer-to-Peer\) Remote PED Connections" on page 206](#)

Stopping Remote PED is described in ["Relinquishing Remote PED" on page 209](#).

You will need physical access to your SafeNet Luna Network HSM when first setting up Remote PED because the Remote PED vector must be created by the HSM and imprinted, or it must be acquired from a previously imprinted key and stored in the HSM. Thereafter, the orange PED key is used with the Remote PED from a remote location, and the connection is secured by having the matching Remote PED Vector at both the HSM and the Remote PED server (your remote workstation with Remote PED attached).



**Note:** If you encounter timeout problems you can adjust timeout values to allow for a more relaxed pace. For PedServer.exe, type **pedserver -mode config set -socketreadrsptimeout <seconds>** and replace <seconds> with your desired time. You also need to increase the timeout in the crystoki.ini client software configuration file. The **pedserver -socketreadrsptimeout** must always be larger than the timeout in the configuration file.

## Prepare a Remote PED Vector

You require a remote PED (orange) key imprinted with the remote PED vector for the HSM you want to connect to. Use the following procedure to create the orange key.

1. Initialize the HSM - the creation of the orange Remote PED key requires HSM login; HSM login requires an initialized HSM, all of which must be done with a Local PED connection the first time.
2. Connect the Luna PED to the PED port of the HSM. The PED must be in Local mode, as follows:
  - Set to Local PED-USB mode for USB connections (release 7).
  - Set to Local PED-SCP mode for SCP connections (legacy).

If you need to switch between modes, press **<** to navigate to the main menu. Press **0** to enter Local PED-USB mode, or **1** to enter Local PED-SCP mode.

3. Login as SO with the command **hsm login**.
4. Have an orange PED key ready. Create and imprint the RPV (Remote PED Vector):

### hsm ped vector init

```
lunash:>hsm ped vector init
```

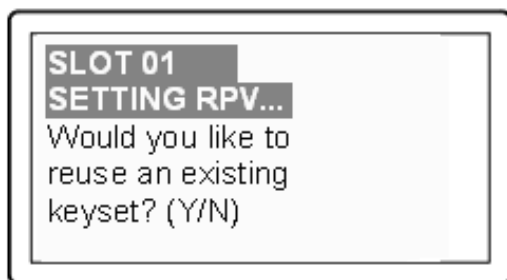
```
If you are sure that you wish to initialize remote PED vector (RPV), then enter 'proceed',
otherwise type 'quit'.
```

```
> proceed
Proceeding...
```

```
Luna PED operation required to initialize remote PED key vector - use orange PED key(s).
```

```
Command Result : 0 (Success)
```

At this time, go to the Luna PED and respond to the prompts by providing an orange PED key along with additional blanks if you intend to make duplicates.



- If this is the first RPV that you are creating, then answer **No**.
- If you have an existing RPV on an orange PED key, then answer **Yes** if you want to preserve it and add it to

this current HSM, or **No** if you have made a mistake and wish to find a different blank (or outdated) key to imprint.

Continue following the prompts for MofN, duplication, and PED PIN options (described in detail in ["Using the PED" on page 174](#)).

To initiate a legacy Remote PED connection, proceed to ["Using Remote PED" on page 203](#).

To initiate a peer-to-peer Remote PED connection, proceed to ["Using Remote PED" on page 203](#).

## Client-initiated Remote PED Connections

At this point, you have a Remote PED Vector (RPV) shared between at least one orange PED key and at least one HSM.

If you have firewall or other constraints that prevent the initiation of a connection from your HSM host out to the PED Server in the external network, then see ["Using Remote PED" on page 203](#) instead.

1. Bring a Luna PED with Remote PED capability, PED keys (blue and black and red), and at least one imprinted orange PED key to the location of your workstation computer. You should already have the most recent PED driver software and the PedServer.exe software installed on that computer.

The software and driver are provided on the SafeNet Luna Client CD, but are optional during the installation process. If you intend to use Remote PED, ensure that Remote PED is among the options selected during installation. Alternatively, you can launch the installer at a later time and modify the existing SafeNet Luna HSM Client installation to include Remote PED at that time.

2. Connect the Remote PED to its power source via the power adapter.
3. Connect the Remote PED to the workstation computer via the USB cable.
4. When the PED powers on and completes its self-test, it automatically detects the active interface that it is plugged into and defaults to the appropriate mode after the first command is sent to it. The Luna PED waits in Remote PED-USB mode until a command is received from the HSM.

If you wish to manually change to Remote PED-USB mode instead of waiting for the PED to do so, press the < key to navigate to the main menu. Then, press **7** to enter Remote PED mode.

5. Open a Command Prompt window on the computer (for Windows 7, this must be an Administrator Command Prompt). Locate and run PedServer.exe. Set PedServer.exe to its "listening" mode.

```
c: > PedServer -m start
Ped Server Version 1.0.6 (10006)
Ped Server launched in startup mode.
Starting background process
Background process started
Ped Server Process created, exiting this process.
c:\PED\ >
```



**Note:** If you encounter a message "Failed to load configuration file..." this is not an error. It just means that you have not changed the default configuration, so no file has been created. The server default values are used.

6. Open an SSH session to the SafeNet Luna Network HSM appliance and login as admin.
7. Start the PED Client (the Remote PED enabling process on the appliance):

```
lunash:> hsm ped connect -i 183.21.12.161 -port 1503
Luna PED operation required to connect to Remote PED - use orange PED key(s).
```

```
Ped Client Version 1.0.0 (10000)
Ped Client launched in startup mode.
Starting background process
Background process started
Ped Client Process created, exiting this process.
Command Result : 0 (Success)
[luna27] lunash:>
```



**Note:** The serial number option on command **hsm ped connect** is needed if you are using Remote PED with an HSM other than the on-board SafeNet Luna Network HSM (such as a connected SafeNet Luna USB HSM for PKI). If a serial number is not specified, the internal HSM is assumed by default.

Optionally configure a default IP address and/or port that are used by the **hsm ped connect** command by using **ped set -ip <ip\_address> -port <port>**.

- To verify that the Remote PED connection is functional, try some HSM commands that require PED action and PED key authentication - the simplest is **hsm login**.



**Note:** If you want to use the PED for any other purpose than the current connection with one remote HSM, you have to drop the current session to make such other use of the PED, and then have the appropriate RPK available when you are ready to re-establish the prior Remote PED connection. To drop the current session, disconnect your PED with the command **hsm ped disconnect**.

## Server-initiated (Peer-to-Peer) Remote PED Connections

If you have firewall or other constraints that prevent the initiation of a connection from your HSM host out to the PED Server in the external network, follow these steps. Otherwise, see "[Using Remote PED](#)" on page 203.

By default, when Remote PED is needed, a SafeNet Luna HSM uses a local instance of PED Client to initiate a connection with a distant instance of PED Server. In cases where a SafeNet Luna Network HSM resides behind a firewall with rules prohibiting the HSM host from initiating external connections, or if your IT policy forbids an IP port being open on the PED Server computer, it is possible to have the PED Server perform the initial call toward the HSM host in peer-connection mode.

Peer-connection mode is configured by two commands:

- pedserver -appliance register**
- pedserver -appliance delete**

## Secure Network Connection

Before you begin, retrieve the SafeNet Luna Network HSM server certificate (the same certificate used for STC and NTLS configuration). The certificate is required to create an SSL connection from the PED Server to the PED Client. If the PED Server host does not have a certificate, create one with command **pedserver -regen -commonname <unique\_name>**.

- Secure copy (SCP or PSCP) the host certificate to the admin account on the SafeNet Luna Network HSM appliance.
- Secure copy (SCP or PSCP) the server.pem from SafeNet Luna Network HSM appliance to the PED Server host.

3. Register the server.pem by using the PED Server command:

```
pedserver -appliance register -name <unique_name> -certificate <server.pem_file> -ip <Network_HSM_IP> [-port <port_number>]
```

4. Log in to LunaSH as admin on the appliance, and register the PED server host certificate:

```
hsm ped server register -certificate <certificate_filename>
```

5. Connect the PED to the PED Server host. See "[Remote PED Setup and Configuration](#)" on page 198.

6. Connect to the PED Client with command **pedserver -mode connect -name <HSM\_unique\_name>**



**Note:** The **pedserver -mode disconnect** command is used to terminate any existing peer connection with the intended HSM host, before a new connection can be launched. Once the peer connection is dropped, the PED Server returns to legacy mode and you can disconnect your PED via **hsm ped disconnect**. The **hsm ped disconnect** command is only applicable in legacy mode.

Optionally configure a default IP address and/or port that are used by the **hsm ped connect** command by using **ped set -ip <ip\_address> -port <port>**.

The PED Client receives the SSL connection from the PED Server by listening at port 9697. PED Client validates the PED Server client certificate, and sends the client information identity to the PED Server. PED Server receives the client information identity and sends its own identity to the PED Client. PED Client receives the server information identity and adds it to the connection table, then sends a message back to PED Server saying that the SSL connection is initialized and ready to go.

At this point, the secure network connection is in place between the PED Server and PED Client, but the current PED Server is not selected to perform PED actions for the HSM associated with that PED Client.



**Note:** If your Remote PED connections are server-initiated (peer-to-peer), you must restart the Call-Back Service (CBS) anytime you regenerate the SafeNet Luna Network HSM server certificate, or new peer-to-peer PedServer connections to the appliance will fail. In LunaSH, use the command **service restart cbs**.

## HSM Selection

As a user of the HSM (or an application partition on that HSM) wanting to perform an HSM operation that requires a PED operation, do the following:

1. From LunaSH, run command **hsm ped select -h <hostname>**. The <hostname> is the PED Server hostname.



**Note:** The two LunaSH commands **hsm ped deselect -host <hostname>** and **hsm ped select -host <hostname> -serial <serial number>** both support peer-connection mode.

- PED Client sends a message to the PED Server with the HSM serial number to notify that the PED Server is now selected for PED operations.
  - PED Server receives the message and updates the processing status from waiting to process commands (read and write commands from and to the PED).
2. A user of the HSM (or an application partition of the HSM) executes an operation that requires authentication via PED. The behavior is the same as for non-peer mode if the connection was initiated from the HSM side.



**Note:** There is no timeout for the connection between PED Server and PED Client when using the server-initiated (peer-to-peer) mode of connection.

If you need to deselect the PED Server, run **hsm ped deselect –host <hostname>**.

1. PED Client sends a message to the PED Server that it is no longer selected.
2. PED Server acknowledges the message and resets the PED to clear the current session ID and the generated Diffie-Hellman key.
3. PED Server sets the PED to stand-by. Any additional read and write command from PED Client is ignored and is logged for security and debugging purposes.

If the user executes the disconnect command in PED Server, or if the connection is terminated abnormally, the PED Client receives the message and removes that PED Server from the connection table.

## Constraints

The following constraints apply:

- A maximum of twenty connections is supported on the PED Client.
- If the connection is terminated abnormally (for example, router switch died), there will be no auto-connection.
- When running in peer connection mode, or server-initiated connection, the PED Server stops listening for a PED Client to attempt a connection.
- Once the PED Server connection to the PED Client is established, the connection remains up until
  - A **disconnect** command is executed from the PED Server.
  - PED Client terminates the connection.

## PedServer Configuration File

Peer-to-peer Remote PED introduces a `pedServer.conf` or `pedServer.ini` file.

```
RemotePed = {
PongTimeout = 5;
PingInterval = 1;
LogFileTrace = 0;
LogFileError = 1;
LogFileWarning = 1;
LogFileInfo = 1;
MaxLogFileSize = 4194304;
LogFileName = ./remotePedServerLog.log;
BGProcessShutdownTimeoutSeconds = 25;
BGProcessStartupTimeoutSeconds = 10;
InternalShutdownTimeoutSeconds = 10;
SocketWriteTimeoutSeconds = 50;
SocketReadRspTimeoutSeconds = 180;
SocketReadTimeoutSeconds = 100;
ExternalServerIF = 1;
ServerPortValue = 1503;
ExternalAdminIF = 0;
AdminPort = 1502;
IdleConnectionTimeoutSeconds = 1800;
RpkSerialNumberQueryTimeout = 15;
}
```



```

Appliances = {
SSLConfigFile = /usr/safenet/lunaclient/bin/openssl.cnf;
ServerCAFile = /root/CAFile.pem;
ServerIP00 = 192.20.11.86;
ServerPort00 = 9696;
ServerName00 = eddiebox;
CommonCertName00 = test1;
ServerName01 = devbox;
ServerIP01 = 192.20.9.46;
ServerPort01 = 9697;
CommonCertName01 = test2;
}

```

The Appliances section manages registered appliances.

A new entry in the main **Crystoki.ini/chrystoki.conf** file points to the location of the pedServer.ini or pedServer.conf file.

```

[Ped Server]
PedConfigFile = /usr/safenet/lunaclient/data/ped/config

```

## Configuration File

Peer-to-peer Remote PED introduces a pedServer.conf or pedServer.ini file in SafeNet Luna HSM Client. An entry in the main **Crystoki.ini/chrystoki.conf** file points to the location of the pedServer.ini or pedServer.conf file.



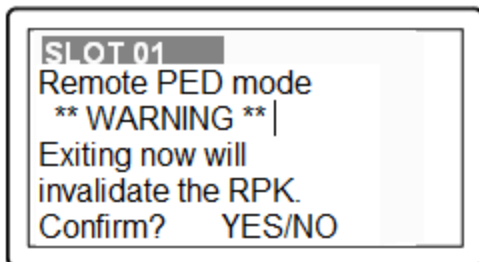
**CAUTION:** Do not edit the pedServer.conf or pedServer.ini file. If you have any issues, contact Gemalto Technical Support.

## Relinquishing Remote PED

The PED Server utility continues to run until explicitly stopped.

On the HSM end, PED Client (launched by the **hsm ped connect** command) continues to run until you explicitly stop with the **hsm ped disconnect** command, or the link is broken. At any time, you can run the command in show mode to see what state it is in.

- If you physically disconnect the Remote PED from its host, the link between PED Client and PED Server is dropped.
- If the network connection is disrupted, or if your VPN closes, the link between PED Client and PED Server is dropped.
- If you attempt to change menus on the Remote PED, the PED warns you:



If you persist, the link between PED Client and PED Server is dropped.

- If the "IdleConnectionTimeoutSeconds" is reached, the link between PED Client and PED Server is dropped. The default is 1800 seconds, or 30 minutes. You can modify the default value with the **-idletimeout** option.

Any time the link is dropped, as long as the network connection is intact (or is resumed), you can restart PED Client and PED Server to reestablish the Remote PED link. In a stable network situation, the link should remain available until timeout.

## Maintaining the Security of Your PED Keys

This section contains suggestions for your handling of PED keys. Naturally you should be guided primarily by your organization's security policies. At a minimum, in an operational environment, have at least one working set and one full backup set, and a way to tell them apart. You will require additional PED keys if you decide to use the MofN security feature.

For both Local and Remote PED use, the only way for another person to discover a PED PIN password while you input it is if you allow that person to observe while you use the PED keypad.

The use of PED and PED keys prevents key-logging exploits on the host HSM, because the authentication information is delivered directly from the hand-held PED into the HSM via the independent, trusted-path interface. You do not type the authentication information at a computer keyboard, and the authentication information does not pass through the internals of the computer, where it could possibly be intercepted by spy software.

This section contains the following:

- ["Combining MofN and PED PINs" below](#)
- ["Risks of using PED PINs" below](#)
- ["Maintaining Your PED keys" on the next page](#)
- ["Forcing Automatic Password Input" on the next page](#)

## Combining MofN and PED PINs

For every split of every HSM secret, you have the option - or not - to declare a PED PIN that must be entered at the keypad when that PED key is presented.

As each PED key is unique, it can be given:

- No PED PIN
- The same PED PIN as other members of a set
- A completely different PED PIN

Combining permutations of MofN with permutations of PED PINs could make for a very complicated security scheme. It is up to you to choose and combine them in ways that meet your security needs without over-complicating the lives of your personnel.

## Risks of using PED PINs

When you initialize a PED-authenticated HSM (or create a partition, or perform any action that imprints a PED key), and you choose to associate a PED PIN with the PED key secret, you must ensure that the PED PIN will be remembered when it is needed. That normally means writing it down on paper or recording it electronically. This represents a security risk to not record the PED PIN and be unable to remember it.

Before you tuck that yellow-sticky with the PED PIN into your safe, try it once, to verify that you did set the PED PIN that you think you set (or that you correctly recorded what you actually set). In the case of a red key, that would mean you would need to attempt a cloning or backup/restore operation before storing your record of the PED PIN.

## Maintaining Your PED keys

Other than tracking

- Where PED keys are,
- To which HSMs they apply,
- Who is in possession of, or has access to, each PED key,

Maintaining your PED keys means

- Making new copies if any suffer damage, and
- Ensuring that the secrets on the keys, and any associated passwords (PED PINs, client challenge secrets) are updated in a prompt and orderly fashion, in case of suspected compromise, and in compliance with any "password-change" security policy requirements at your organization.

Consider some of the examples like PED PIN and MofN combination, and how much logistical and organizational effort would be involved in a mass password change for one secret.

These considerations are important when you develop your authentication and security schemes around SafeNet Luna HSMs and PED keys.

## Forcing Automatic Password Input

If you have a service running, in limited circumstances you can force your application's administrator to provide the partition's password each time the service or application server is restarted.

If an application directly accesses the HSM partition, must initialize the library and open a session on the HSM. Then the application provides the partition authentication when needs to perform actions on partition contents. For either Password-authenticated or PED-authenticated HSMs, the partition password (or partition challenge) secret must be available to the application so that it can provide that secret when access to partition objects is needed. The application provides the partition secret to say that it has the right to perform partition-object actions. This usually means that the secret is stored somewhere on the host's file system or registry (most likely encrypted) for retrieval when needed.

The application, then, is already providing the partition password (or challenge secret) string whenever it is demanded by the HSM.

For PED-authenticated HSMs, the PED key data for that partition must be provided to the HSM before the partition secret string is provided. In almost all cases, for PED-authenticated HSMs, customers would Activate the partition when first setting up, so the PED key data for that partition would be cached. That is, the customer would be making an authenticated administrative declaration that the partition was "open for business" and an application with the partition challenge secret could then access partition objects at any time.

The application could open and close sessions at will, and whenever it needed to manipulate partition objects, the application would provide the partition (challenge) secret. Once the Partition PED key data is available, the action of accessing and using partition objects is identical for PED-authenticated or Password-authenticated HSMs.

If the partition is autoActivated, then the black PED key data is cached in the HSM, just as for Activation, except it is now protected against power failure for as much as two hours.

So, for the direct application-to-HSM scenario, if you want to force the application owner to perform an authentication beyond what already performs with each access to partition objects, then you would need to:

1. Use a PED-authenticated HSM, and
2. Ensure that the PED key data for that partition was NOT cached - therefore, no Activation or autoActivation (Partition Policies 22 and 23 would be set to **off**).

The application still has access to the partition challenge secret, but the partition is not "open for business" A PED key must be provided (possibly a PED PIN as well, if you set one). However, the drawback is that EVERY access of partition objects now requires PED key authentication, in addition to the partition challenge secret. The PED would remain connected to the HSM, the key for that partition would remain inserted, and somebody would have to press the PED's **Enter** key every time the application needed to manipulate a partition object.

The above is the situation for direct access to the HSM by an application; it is only for very specialized situations where the partition is rarely accessed, and extremely close control is required.

If you insert a service between your application(s) and the HSM, then the application no longer needs to know anything about HSM and its authentication. Instead, the service must handle all that, translating between the application and the HSM. The conditions described earlier now apply to the service.

Similarly, if you insert a provider (a translation layer like our CSP or KSP or JSP) between your application and the HSM, or between your service and the HSM, then the provider takes care of safeguarding and using the partition password (or partition challenge) secret as needed.

In either case, the need for PED key presentation and PED button pressing is determined by the state of Partition Policies 22 and 23.

## Version Control

### Firmware

HSM firmware version 6.24.0 introduced a change in how ongoing PED operations interact with cryptographic operations requested simultaneously.

#### **PED Behavior before HSM firmware version 6.24.0**

PED operations interrupt other operations occurring at the same time on the HSM. The HSM waits for a PED operation to complete before processing requests for other operations. This can cause delays in production.

#### **PED Behavior after HSM firmware version 6.24.0**

PED operations no longer interrupt other operations occurring at the same time on the HSM in most cases. The most beneficial effect is that PED operations acting on a partition no longer block operations occurring on other partitions on the same HSM. In this way, you can perform maintenance and configuration on your HSM without interrupting important client applications. PED operations might still block cryptographic operations occurring on the same partition, especially high volumes of write object requests.

PEDs are generally unit-interchangeable (with limitations within the version range, PED 2.x, see table), and more specifically interchangeable within the same PED-firmware version. That is, if a Luna PED with a given firmware supports your current operation with your current HSM version, then any Luna PED with the same, or newer, firmware can replace it.



**Note:** Exception - If you are using the Remote PED feature, only another PED with Remote capability can support that operation, regardless of firmware version.

PED 2.x is the current generation. A migration path is available if you have the legacy Luna PED 1.x - contact Gemalto Technical Support.

Newer PED firmware versions are compatible with HSM versions shown in their row in the table, and backward compatible with any earlier HSM that requires a version 2.x PED.

PED firmware version	Local PED operation and Remote PED capable	PED-mediated MofN per secret (with HSM f/w 6.x/7.x)	Field updates	Audit User (white PED key)	Small Form-factor Backup	PED version is feature-compatible with SafeNet Luna HSM firmware version(s)
2.2.0	Yes	No	No	No	No	<ul style="list-style-type: none"> <li>SafeNet Luna HSM 4, f/w 4.x</li> </ul>
2.4.0-3	Yes	Yes	To 2.5.0	No	No	<ul style="list-style-type: none"> <li>SafeNet Luna 5.0, f/w 6.0.8</li> <li>SafeNet Luna 5.1.x, f/w 6.2.1</li> </ul>
2.5.0-3	Yes	Yes	To 2.6.0	Yes	No	<ul style="list-style-type: none"> <li>SafeNet Luna 5.2, f/w 6.10.2</li> <li>SafeNet Luna 5.3.1 f/w 6.20.0</li> </ul>
2.6.0-6	Yes	Yes	Yes	Yes	Yes	<ul style="list-style-type: none"> <li>SafeNet Luna 5.4, f/w 6.21.0</li> <li>SafeNet Luna 6.0, f/w 6.22.0</li> </ul>
2.7.1-5	Yes	Yes	Yes	Yes	No	<ul style="list-style-type: none"> <li>SafeNet Luna 6.x, f/w 6.22.0</li> <li>SafeNet Luna 7.x, f/w 7.x</li> </ul>

## Legacy HSMs and Partitions

HSMs before the K6 (the HSM inside SafeNet Luna Network HSM 6.x) and G5 (the HSM for PKI with SafeNet Luna Network HSM, the core of the SafeNet Luna Backup HSM) used an older, smaller domain secret, incompatible with current HSMs.

To provide a one-way migration path to move HSM objects from legacy HSMs to modern HSMs, a command **partition setlegacydomain** allows an old-style domain to be linked to a new-style domain on a K7, K6 or G5.

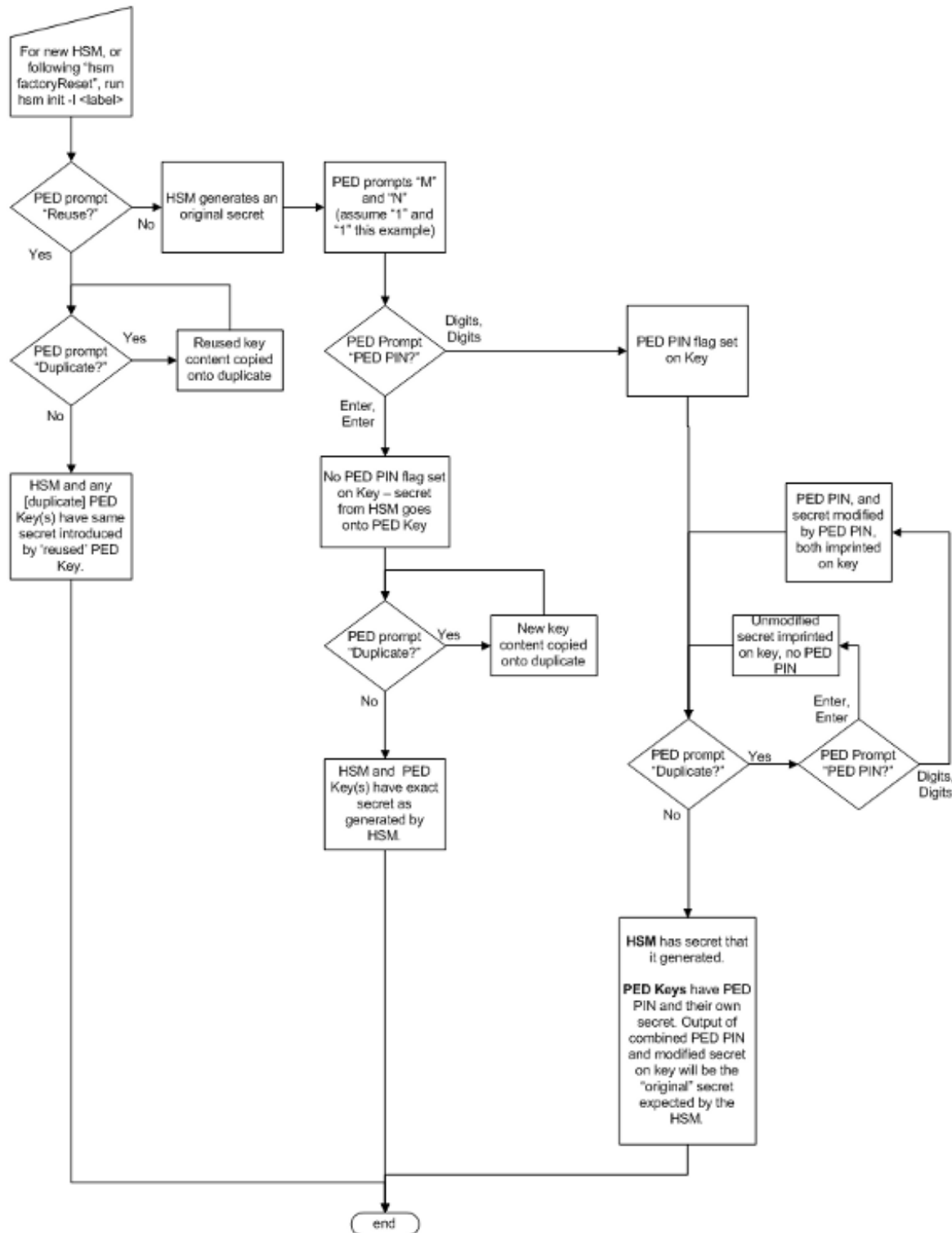
## Summary of PED Operations

See the table below for a simple breakdown of the normal tasks and if/how the PED and PED keys might apply.

Situation	Needs	Action with PED and PED keys
Setup/configuration	<ul style="list-style-type: none"> <li>Appliance admin password (only for</li> </ul>	You perform the HSM initialization, create Partition

Situation	Needs	Action with PED and PED keys
	<p>SafeNet Luna Network HSM), blue, red and black PED keys and PED.</p> <ul style="list-style-type: none"> <li>• Network connection to the appliance from your administrative PC, and preferably also a local serial connection.</li> <li>• Optionally an orange PED key if an RPK was already created and you are performing these actions remotely.</li> </ul>	<p>Groups, and set up a redundant, load-sharing HA group with other SafeNet Luna HSM appliances. This is performed before first putting the unit into “production.”</p> <p>The PED keys are required at several stages, as well as the PED.</p>
Occasional Maintenance of HSM	<ul style="list-style-type: none"> <li>• Appliance admin password</li> <li>• Blue and black PED keys, possibly the red if you need to initialize a new cluster member, and the PED.</li> <li>• Network connection to the appliance.appliance.</li> </ul>	<p>Add and remove HA-group members, modify number and assignment of Partitions/Groups, enable and disable.</p> <p>You might need some or all PED keys for authentication, depending on the activity.</p>
Occasional Maintenance of appliance (non-HSM part)	<ul style="list-style-type: none"> <li>• Appliance admin password</li> </ul>	<p>None. You just login as appliance admin and perform any needed task related to network settings, logging, snmp, or other non-HSM chores. No PED key or PED use is needed when you are not logging into the HSM, within the appliance.</p>
Client access to their assigned cluster partitions	<ul style="list-style-type: none"> <li>• Clients need their own authentication that is set up when clients are registered; no PED key or PED required.</li> <li>• Network connection from the client (s) – which, depending on your application, might be other servers serving further downstream clients, or might be end-user client computers.</li> </ul>	<p>None. You would normally have activated/auto-activated the HA-group members (in other sections of this table), and put the PED and PED keys away in safe storage.</p>
PED key administration	<ul style="list-style-type: none"> <li>• A PED and whichever PED keys you wish.</li> </ul> <p>You can connect to any SafeNet Luna HSM that has the proper connector – This is to power the PED only. Alternatively, you can use the PED power supply kit provided with Remote PED.</p>	<p>While you can perform some PED key administration during HSM operations (mentioned elsewhere).</p> <p>You can also just power up the PED, go to Admin mode (instead of the default Local PED mode), and perform actions like creating duplicates of your existing, imprinted PED keys. No HSM access is required.</p>

## Workflow Summary



If you ever discover a situation where our implementation seems inconsistent, please let us know by contacting [support@safenet-inc.com](mailto:support@safenet-inc.com). We will either fix it or explain why it is not considered a problem.

## Troubleshooting

### Device error (CKR\_DEVICE\_ERROR) when trying to authenticate

If you receive a CKR\_DEVICE\_ERROR when trying to authenticate, you may be using the wrong mode. Your PED must be in USB mode when connected to a Release 7.x SafeNet Luna Network HSM. Otherwise you will get a CKR\_DEVICE\_ERROR when attempting to authenticate. See ["Changing Modes" on page 176](#) for instructions on how to switch modes.

### Lost PED key or forgotten password

#### Passwords

Go to the secure lockup (a safe, an off-site secure deposit box, other) where you keep such important information, read and memorize the password. Return to the HSM and resume using it.

#### PED Keys

Retrieve one of its copies from your on-site secure storage, or from your off-site disaster-recovery secure storage. Make any necessary replacement copies, using Luna PED, and resume using your HSM(s).

If you have lost a blue PED key, someone else might have found it. Consider **lunacm:>changePw** or **lunash:>hsm changePw**, as appropriate to invalidate the current blue key secret, which might be compromised, and to safeguard your HSM with a new SO secret, going forward. HSM and partition contents are preserved.

### Lost PED key or forgotten password and No Backup

#### Blue PED Key or SO Password

If you truly have not kept a securely stored written backup of your HSM SO Password, or for PED-authenticated HSM, your blue SO PED key, then you are out of luck. If you have access to your partition(s), then immediately make backups of all partitions that have important content. When you have done what you can to safeguard partition contents, then perform **hsm factoryReset**, followed by **hsm init** - this is a "hard initialization" that wipes your HSM (destroying all partitions on it) and creates a new HSM SO password or blue PED key. You can then create new partitions and restore contents from backup. Any object that was in HSM SO space (rather than within a partition) is irretrievably lost.

#### Red PED Key or HSM/Partition Domain Secret

If you have the red PED key or the HSM-or-Partition domain secret for another HSM or Partition that is capable of cloning (or backup/restore) with the current HSM or Partition, then you have the domain that you need - just make a copy. Cloning or backup/restore can take place only between entities that have identical domains, so that other domain must be the same as the one you "lost".

If you truly have not kept a secured written backup of your HSM or partition cloning domain, or for PED-authenticated HSM, your domain PED key(s), then you are out of luck. Any keys or objects that exist under that domain can still be used, but cannot be cloned or backed-up or restored. Begin immediately to phase in new/replacement keys/objects on another HSM, for which you have the relevant domain secret(s) or red PED key(s). Ensure that you have copies of the red PED keys, or that you have a written record of any text domain string, in secure on-site and off-site backup locations. Phase out the use of the old keys/objects, as you have no way to protect them against a damaged or lost HSM.



## Orange Remote PED Key

You will need to generate a new Remote PED Vector on one affected HSM with **lunacm:>ped vector init** or **lunash:>hsm ped vector init** to have that HSM and an orange key (plus backups) imprinted with the new RPV. Then you must physically go to all other HSMs that had the previous (lost) RPV and do the same, except you must say **Yes** to the PED's "Do you wish to reuse an existing keyset?" question, in order to bring the new RPV to all HSMs. If you forget and say **No** to the PED's "...reuse..." question, then you must start over.

## White Audit PED Key

You will need to initialize the audit role on any affected HSM. This creates a new Audit identity for that HSM, which orphans all records and files previously created under the old, lost audit role. The audit files that were previously created can still be viewed, but they can no longer be cryptographically verified. Remember, when performing **Audit init** on the first HSM, you can say **Yes** or **No** to Luna PED's "Do you wish to reuse an existing keyset?" question, as appropriate, but for any additional HSMs that share that audit role, you must answer **Yes**.

## Lost MofN Split

If you have lost one of the keys part of your MofN split-secret scheme and have enough remaining splits to login, retrieve its copy from your on-site secure storage, or from your off-site disaster-recovery secure storage. Make any necessary replacement copies, using Luna PED, and resume using your HSM(s).

## Lost MofN Split and No Backup

If you have lost one of the keys part of your MofN split-secret scheme and have enough remaining splits to login, but you do not have a copy of that split, you must create a new set of keys. Login using the required number of MofN keys, and execute the HSM (or Partition) **changePw** command. When prompted to reuse an existing key set, answer **No**. Set your M and N values, and optional PED PINs. This overwrites the secret splits currently on the PED keys. Old splits can no longer be used with new splits.

## Lost MofN split and Not Enough Remaining Splits

If you have lost one of the keys part of your MofN split-secret scheme and do not have enough remaining splits to login, then you are out of luck. See "[Lost PED key or forgotten password and No Backup](#)" on the previous page for options in each situation.

## Forgotten PED PIN

Forgetting a PED PIN is the same as not having the correct PED key. See "[Lost PED key or forgotten password and No Backup](#)" on the previous page for options in each situation.

Once a PED PIN is imposed, it is a required component of role authentication unless you arrange otherwise. You can remove the requirement for a PED PIN on a given HSM role only if you are currently able to authenticate (login) to that role. For black PED keys, you can have the SO reset your authentication. For other roles you cannot.

For blue PED keys, forgetting a PED PIN is fatal.

For red PED keys, forgetting the PED PIN is eventually fatal, but you can work in the meantime while you phase out your orphaned keys and objects.

Forgetting PED PINs for other roles, like losing their PED keys is just more-or-less inconvenient, but not fatal.

For secrets split into several keys using the MofN scheme, you need all N splits to set a new PED PIN. Login using the required number of MofN keys, and duplicate all three keys. Set new PED PINs and overwrite your set of keys. If you do not have all N splits, you cannot use the key whose PIN you have forgotten.

## Forgotten which PED Key Goes With Which HSM/Partition

See your options, above. The most serious one is the blue PED key or the PED PIN for the SO role. You have only three tries to get it right. On the third wrong attempt, the HSM contents are lost. Wrong attempts are counted if you present the wrong blue PED key, or if you type the wrong PED PIN with the right PED key.

For black User PED keys, and their PED PINS (if applicable) you have ten tries to get the right key or the right combination, unless the SO has changed from the default number of retries. If you are getting close to that maximum number of bad attempts, stop, and ask the SO to reset your partition PW.

For other PED keys, there is no restriction on re-tries.

## Does it Matter Which PED Key is Imprinted First in Initialization?

For your first HSM, you must initialize a blue PED key for the HSM Admin.

If this HSM is not the first, then you can initialize a new blue PED key for it, or you can reuse the authentication data on another blue PED key. The HSM requires an imprinted blue PED key when you access it, but you decide whether that blue PED key should be unique to this particular HSM, or shared among two or more.

After the blue PED key, the other mandatory keys (red and black) can be added in any order. Additional optional keys are also added in any order.



**Note:** The person or persons charged with ownership of the HSM, are responsible safeguard the authentication secrets, ensuring that no unrecorded duplicates are made. Similarly, for application partitions with their own SO, the SO of each partition is responsible for securing the authentication secrets and copies.

## How Many Wrong Attempts Do I Have Before Lockout?

Presenting a PED key from a wrong set, when MofN is not involved, can result in a lockout of a role or zeroization of content depending upon which secret is attempted. For SO PED keys, you have three tries, for other roles the default is ten tries, but HSM or partition policies can adjust that number.

Presenting a PED key from a wrong MofN set, or presenting the same split twice because members of primary and backup sets were accidentally mingled, does not allow the splits to successfully combine. That error does not increment the bad-login-attempt counter for that secret. Instead, it results in looping prompts on the PED until it gets enough of the correct splits or until the operation times out.

## Are PED PINs or MofN Mandatory With Each PED Key or Keypad?

No, PED PIN and MofN are optional additional security level items when you first initialize an HSM or create a partition, etc. Your organization's security requirements determine the level of security your HSM(s) operate in.

## How Should Luna PED Keys be Stored?

Physically, they are electronic devices, and should be stored in environments that are not subjected to extremes of temperature, humidity, dust, or vibration.

With that said, PED keys that have their caps on when not immediately in use have survived years of daily use being carried around in office-workers' pockets here at SafeNet's labs.

Procedurally, they should be labeled and stored (filed) so that they are readily identifiable according to the HSM(s), the partitions, and the roles with which they have been associated.

## Windows Fails to Detect Remote PED

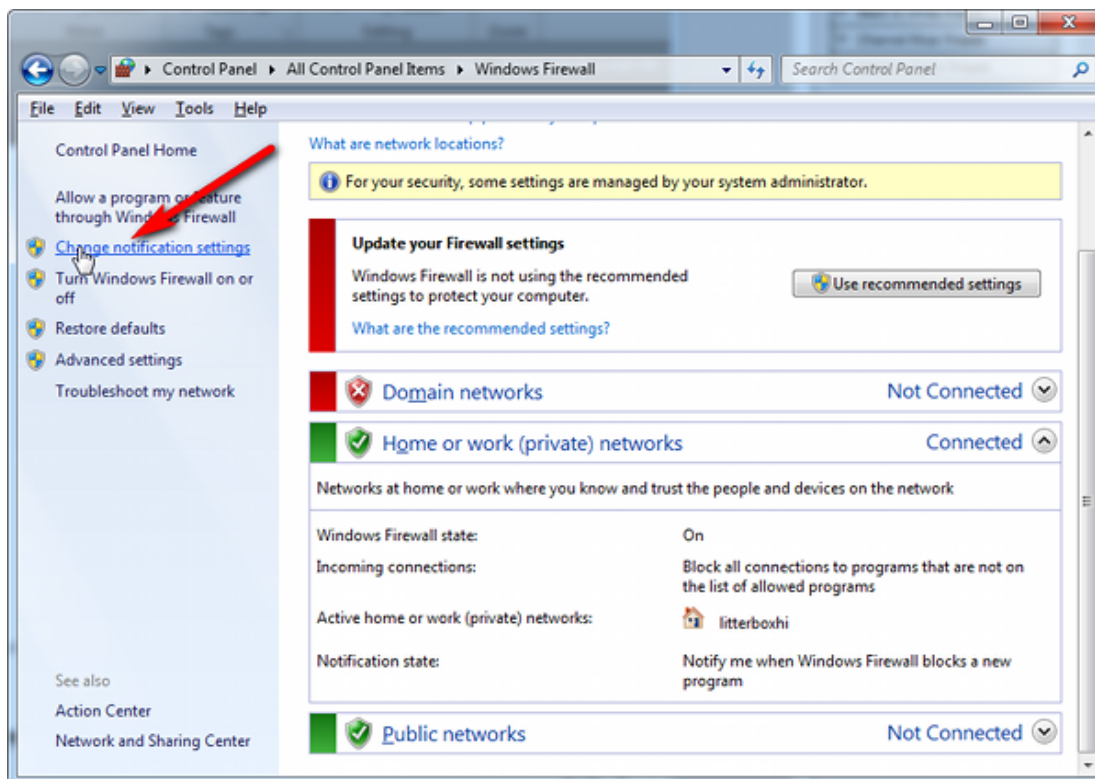
If you find that Windows fails to detect Luna PED, especially if you have disconnected and reconnected the PED's USB cable to your computer the PED may not be receiving adequate power. Luna PED is powered by PED port connection only when it is connected to a SafeNet Luna HSM. When Luna PED is used for Remote PED, it is connected to a computer USB port, which does not have the same electrical characteristics as the PED port on a SafeNet Luna HSM. The PED switches on, but might not receive sufficient power to operate.

- If you are connecting locally, always connect the PED to the SafeNet Luna HSM.
- If you are connecting to a computer for use as a Remote PED server, always connect the PED power supply in addition to the USB connection.

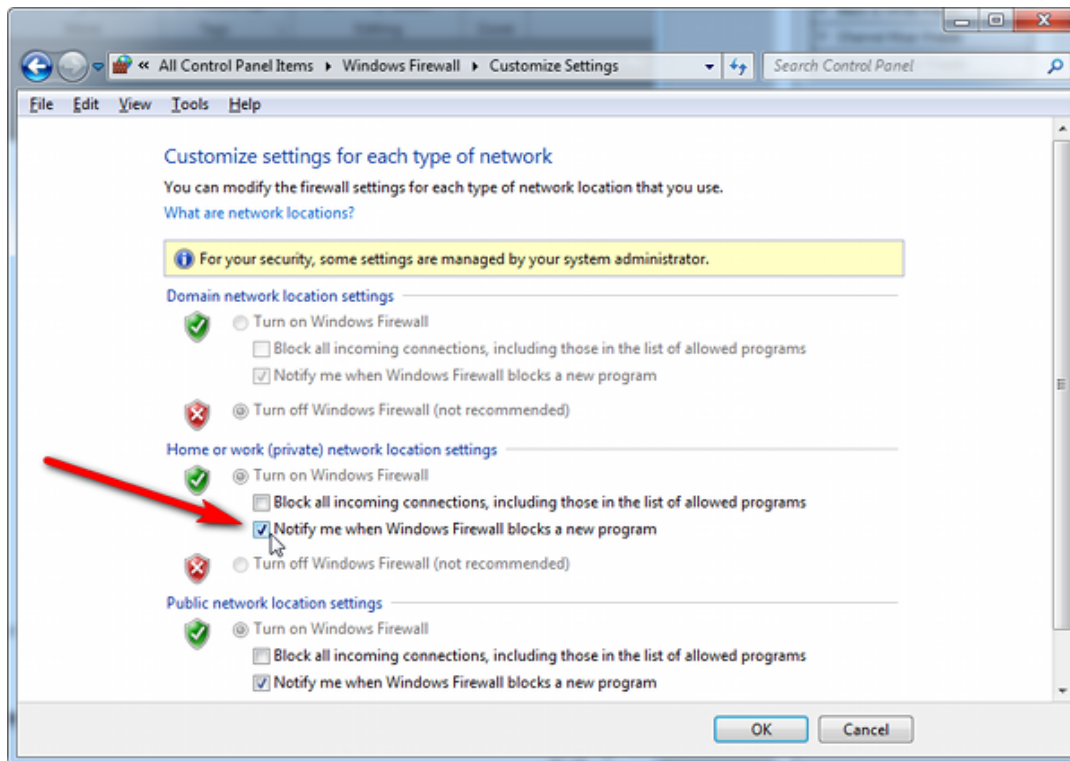
## Remote PED Firewall Blocking

If you experience problems while attempting to configure a SafeNet Remote PED session over VPN, you might need to adjust Windows Firewall settings.

1. From the Windows Start Menu, select **Control Panel**.
2. From the Control Panel, select **Windows Firewall**.
3. From the Windows Firewall dialog, select **Change notification settings**.



4. In the dialog **Customize settings for each type of network**, go to the appropriate section and activate **Notify me when Windows Firewall blocks a new program**.



With notification turned on, a dialog box pops up whenever Windows Firewall blocks a program, allowing you to override the block as Administrator, which permits the SafeNet Remote PED connection to successfully listen for PED Client connections.

## Remote PED Blocked Port Access

Some networks might be configured to block access to certain ports. If such policy on your network includes ports 1503 (the default PED Server listening port) and 1502 (the administrative port), then you might need to choose a port other than the default when starting PED Server, and similarly when you launch the connection from the HSM end and provide the IP and port where it should look for the PED Server. Otherwise, perhaps your network administrator can assist.

### "Jump" Server Option

An option that some customers use is a port-forwarding "jump" server, co-located with the SafeNet Luna HSM appliances, on the datacenter side of the firewall. The datacenter is usually a very stable network environment. A client host on a desktop in a corporate office is more likely to be separated from the internet by switches, firewalls, routers, etc. that are subject to change. Implementing a jump server can be a low-cost and useful addition:

- To get around port-blocking problems, or to be able to react quickly to shifts in the corporate port and routing environment,
- As a way to implement a PKI authentication layer for Remote PED, and optionally for other SSH access, by (for example) setting up smart-card access control to the jump server.

For our own test of the solution, we used a standard Ubuntu Server distribution, with OpenSSH installed. No other changes were made to the system from the standard installation.

1. Connect a Luna PED to a Windows host with SafeNet Luna HSM Client installed and PED Server running.

The Luna PED automatically detects the active interface that it is plugged into, and defaults to the appropriate mode after the first command is sent to it. The Luna PED should wait in Remote PED-USB mode until a command is received from the HSM it is connected to.

If you wish to manually change to Remote PED-USB mode instead of waiting for the PED to do so, press the < key to navigate to the main menu. Then, press **7** to enter Remote PED mode.

2. From the Windows host in an Administrator Command Prompt, run **plink -ssh -N -T -R 1600:localhost:1503 <user>@<IP of Linux Server>**.
3. From the SafeNet Luna Network HSM, run **hsm ped connect -ip <IP of Linux Server> -port 1600**.

The connection is made to the Windows host running PED Server, via the Linux Server, through the SSH session that was initiated out-bound from the Windows host.

A variant of this arrangement has port 22 also routed through the jump server, which allows you to bring administrative access to the SafeNet appliance under the PKI access-control scheme.

## PED Connect Fails if IP is Not Accessible

On a system with two network connections, if PED Server attempts to use an IP address that is not accessible externally, then command **lunacm:>ped connect** can fail.

### To resolve this problem:

1. Ensure that PED Server is listening on the IP address that is accessible from outside.
2. If that condition (step 1) is not the case then disable the network connection on which PED Server is listening.
3. Restart PED Server and confirm that PED Server is listening on the IP address that is accessible from outside.

## PED Server on VPN fails

If PED Server is running on a laptop that changes location, the active network address changes even though the laptop is not shutdown. If you unplugged from working at home, over the corporate VPN, commuted to the office, and reconnected the laptop there, PED Server is still configured with the address you had while using the VPN. Running **pedserver -mode stop** does not completely clear all settings, so running **pedserver -mode start** again fails with a message like "Startup failed. : 0x0000303 RC\_OPERATION\_TIMED\_OUT".

### To resolve this problem:

1. Close the current Command Prompt window.
2. Open a new Command Prompt.
3. Verify the current IP address with command **ipconfig**.
4. Run **pedserver -mode start -ip <new-ip-address> -port <port-number>** and it should now succeed.

## Remote PED Link Timeout

The default timeout for a Remote PED link between PED Client at the HSM and PED Server at the Remote PED, is 1800 seconds, or 30 minutes. If no Remote PED activity is requested for the entire timeout duration, the link ends and must be reestablished. While that link is down, and the HSM remains set to expect Remote PED operation, any requested PED operations simply fail. We recommend performing a **disconnect** before performing a **connect** to ensure that the old link is cleanly severed and that a new link is cleanly established.

## PED Server Fails to Start With "LOGGER\_init failed"

The PedServer.exe process must be run using Administrator privileges. If you launch PedServer.exe in a non-privileged-user command-prompt window, the PED Server fails to work, but the process is launched and continues in the background. If you then attempt to launch PedServer.exe from an Administrator command prompt, it fails with message "LOGGER\_init failed". The logger has failed to initialize for the new attempt because the earlier, non-functional instance of PED Server has locked the logger.

### To resolve this problem:

1. Check that the PED Server process is not already running.
2. If it is, stop the process (to free the logger service).
3. Start the PED Server process again, as Administrator.

## The PedServer and PedClient Utilities

You can use the PedServer and PedClient utilities to manage your remote PED devices.

### The PedServer Utility

PedServer is required to run on any computer that has a SafeNet Remote PED attached, and is providing PED services.

The PedServer utility has one function. It resides on a computer with an attached Luna PED (in Remote Mode), and it serves PED operations to an instance of PedClient that operates on behalf of an HSM. The HSM could be local to the computer that has PedServer running, or it could be on another HSM host computer at some distant location.

PedServer can also run in peer-to-peer mode, where the server initiates the connection to the Client. This is needed when the Client (usually SafeNet Luna Network HSM) is behind a firewall that forbids outgoing initiation of connections. See "[Backup and Restore From the Client to a Remote Backup HSM \(LunaCM, RBS\)](#)" on page 59 for more information.

See "[The PedServer Commands](#)" on page 234.

### The PedClient Utility

PedClient is required to run on any host of an HSM that needs to be served by a Remote Luna PED. PedClient must also run on any host of a Remote Backup HSM that will be serving remote primary HSMs.

The PedClient utility performs the following functions:

- It mediates between the HSM where it is installed and the Luna PED where PedServer is installed, to provide PED services to the requesting HSM(s).
- It resides on a computer with RBS and an attached SafeNet Luna Backup HSM, and it connects with another instance of PedClient on a distant host of an HSM, to provide the link component for Remote Backup Service.
- It acts as the logging daemon for HSM audit logs.



**Note:** PedClient exists on the SafeNet Luna Network HSM appliance, but is not directly exposed. Instead, the relevant features are accessed via LunaSH **hsm ped** commands. See "[hsm ped](#)" on page 1 in the *LunaSH Command Reference Guide*.

Thus, for example, in the case where an administrative workstation or laptop has both a Remote PED and a Remote Backup HSM attached, PedClient would perform double duty. It would link with a locally-running instance of PedServer, to convey HSM requests from the locally-connected Backup HSM to the locally-connected PED, and return the PED responses. As well, it would link a locally-running instance of RBS and a distant PedClient instance to mediate Remote Backup function for that distant HSM's partitions. See ["Backup and Restore From the Client to a Remote Backup HSM \(LunaCM, RBS\)" on page 59](#) in the *Administration Guide* for more information.

See ["The PedClient Commands" below](#).

## The PedClient Commands

Use the **pedclient** commands to start, stop, and configure the PED Client service.

### Syntax

#### pedclient mode

**assignid**  
**config**  
**deleteid**  
**releaseid**  
**setid**  
**show**  
**start**  
**stop**  
**testid**

Option	Description
<b>assignid</b>	Assigns a PED ID mapping to an HSM. See <a href="#">"pedclient mode assignid" on the next page</a> .
<b>config</b>	Modifies or shows existing configuration file settings. See <a href="#">"pedclient mode config" on page 225</a> .
<b>deleteid</b>	Deletes a PED ID mapping. See <a href="#">"pedclient mode deleteid" on page 227</a> .
<b>releaseid</b>	Releases a PED ID mapping from an HSM. See <a href="#">"pedclient mode releaseid" on page 228</a> .
<b>setid</b>	Creates a PED ID mapping. See <a href="#">"pedclient mode setid" on page 229</a> .
<b>show</b>	Queries if a PED Client is currently running and gets details about the PED Client. See <a href="#">"pedclient mode show" on page 230</a> .
<b>start</b>	Starts up the PED Client. See <a href="#">"pedclient mode start" on page 231</a> .
<b>stop</b>	Shuts down an existing PED Client. See <a href="#">"pedclient mode stop" on page 232</a> .
<b>testid</b>	Tests a PED ID mapping. See <a href="#">"pedclient mode testid" on page 233</a> .

## pedclient mode assignid

Assigns a PED ID mapping to a specified HSM.

### Syntax

**pedclient mode assignid -id <pedid> -id\_serialnumber <serial> [-logfile <filename>] [-loginfo <0 or 1>] [-logwarning <0 or 1>] [-logerror <0 or 1>] [-logtrace <0 or 1>] [-maxlogfilesize <size>] [-locallogger]**

Option	Description
<b>-id &lt;pedid&gt;</b>	Specifies the ID of the PED to be assigned.
<b>-id_serialnumber &lt;serial&gt;</b>	Specifies the serial number of the HSM to be linked to the specified PED ID.
<b>-logfile &lt;filename&gt;</b>	Optional. Specifies the log file name to which the logger should log messages.
<b>-loginfo &lt;0 or 1&gt;</b>	Optional. Specifies if the logger should log "info" messages. Set to 0 for no, 1 for yes.
<b>-logwarning &lt;0 or 1&gt;</b>	Optional. Specifies if the logger should log "warning" messages. Set to 0 for no, 1 for yes.
<b>-logerror &lt;0 or 1&gt;</b>	Optional. Specifies if the logger should log "error" messages. Set to 0 for no, 1 for yes.
<b>-logtrace &lt;0 or 1&gt;</b>	Optional. Specifies if the logger should log "trace" messages. Set to 0 for no, 1 for yes.
<b>-maxlogfilesize &lt;size&gt;</b>	Optional. Specifies the maximum log file size in KB.
<b>-locallogger</b>	Optional. Specifies that the Remote PED logger should be used, not the IS logging system.

### Example

```
C:\Program Files\Safenet\LunaClient>pedClient -mode assignid -id 1234 -id_serialnumber 123456789
```



## pedclient mode config

Modifies or shows existing configuration file settings.

### Syntax

```
pedclient mode config -show -set [-eadmin <0 or 1>] [-idletimeout <int>] [-ignoreidletimeout] [-socketreadtimeout <int>] [-socketwritetimeout <int>] [-shutdowntimeout <int>] [-pstartuptimeout <int>] [-pshutdowntimeout <int>] [-logfilename <filename>] [-loginfo <0 or 1>] [-logwarning <0 or 1>] [-logtrace <0 or 1>] [-maxlogfilesize <size>] [-locallogger]
```

Option	Description
<b>-show</b>	Displays the contents of the configuration file.
<b>-set</b>	Updates the configuration file to be up to date with other supplied options.
<b>-eadmin &lt;0 or 1&gt;</b>	Optional. Specifies if the administration port is on "localhost" or on the external host name.
<b>-idletimeout &lt;int&gt;</b>	Optional. Specifies the idle connection timeout, in seconds.
<b>-ignoreidletimeout</b>	Optional. Specifies that the idle connection timeout should not apply to the connection established between the PED and HSM during their assignment.
<b>-socketreadtimeout &lt;int&gt;</b>	Optional. Specifies the socket read timeout, in seconds.
<b>-socketwritetimeout &lt;int&gt;</b>	Optional. Specifies the socket write timeout, in seconds.
<b>-shutdowntimeout &lt;int&gt;</b>	Optional. Specifies the shutdown timeout for internal services, in seconds.
<b>-pstartuptimeout &lt;int&gt;</b>	Optional. Specifies the startup timeout for the detached process, in seconds.
<b>-pshutdowntimeout &lt;int&gt;</b>	Optional. Specifies the shutdown timeout for the detached process, in seconds.
<b>-logfilename &lt;filename&gt;</b>	Optional. Specifies the log file name to which the logger should log messages.
<b>-loginfo &lt;0 or 1&gt;</b>	Optional. Specifies if the logger should log "info" messages. Set to 0 for no, 1 for yes.
<b>-logwarning &lt;0 or 1&gt;</b>	Optional. Specifies if the logger should log "warning" messages. Set to 0 for no, 1 for yes.
<b>-logerror &lt;0 or 1&gt;</b>	Optional. Specifies if the logger should log "error" messages. Set to 0 for no, 1 for yes.
<b>-logtrace &lt;0 or 1&gt;</b>	Optional. Specifies if the logger should log "trace" messages. Set to 0 for no, 1 for yes.
<b>-maxlogfilesize &lt;size&gt;</b>	Optional. Specifies the maximum log file size in KB.
<b>-locallogger</b>	Optional. Specifies that the Remote PED logger should be used, not the IS logging system.

## Example

```
C:\Program Files\Safenet\LunaClient>pedClient -mode config -show
```

## pedclient mode deleteid

Deletes a PED ID mapping between a specified PED and PED Server.

### Syntax

**pedclient mode deleteid -id <pedid> [-logfile <filename>] [-loginfo <0 or 1>] [-logwarning <0 or 1>] [-logerror <0 or 1>] [-logtrace <0 or 1>] [-maxlogfilesize <size>] [-locallogger]**

Option	Description
<b>-id &lt;pedid&gt;</b>	Specifies the ID of the PED to be deleted from the map.
<b>-logfile &lt;filename&gt;</b>	Optional. Specifies the log file name to which the logger should log messages.
<b>-loginfo &lt;0 or 1&gt;</b>	Optional. Specifies if the logger should log "info" messages. Set to 0 for no, 1 for yes.
<b>-logwarning &lt;0 or 1&gt;</b>	Optional. Specifies if the logger should log "warning" messages. Set to 0 for no, 1 for yes.
<b>-logerror &lt;0 or 1&gt;</b>	Optional. Specifies if the logger should log "error" messages. Set to 0 for no, 1 for yes.
<b>-logtrace &lt;0 or 1&gt;</b>	Optional. Specifies if the logger should log "trace" messages. Set to 0 for no, 1 for yes.
<b>-maxlogfilesize &lt;size&gt;</b>	Optional. Specifies the maximum log file size in KB.
<b>-locallogger</b>	Optional. Specifies that the Remote PED logger should be used, not the IS logging system.

### Example

```
C:\Program Files\Safenet\LunaClient>pedClient -mode deleteid -id 1234
```

## pedclient mode releaseid

Releases a PED ID mapping from the HSM it was assigned to.

### Syntax

**pedclient mode releaseid -id <pedid> [-logfilename <filename>] [-loginfo <0 or 1>] [-logwarning <0 or 1>] [-logerror <0 or 1>] [-logtrace <0 or 1>] [-maxlogfilesize <size>] [-locallogger]**

Option	Description
<b>-id &lt;pedid&gt;</b>	Specifies the ID of the PED to be released.
<b>-logfilename &lt;filename&gt;</b>	Optional. Specifies the log file name to which the logger should log messages.
<b>-loginfo &lt;0 or 1&gt;</b>	Optional. Specifies if the logger should log "info" messages. Set to 0 for no, 1 for yes.
<b>-logwarning &lt;0 or 1&gt;</b>	Optional. Specifies if the logger should log "warning" messages. Set to 0 for no, 1 for yes.
<b>-logerror &lt;0 or 1&gt;</b>	Optional. Specifies if the logger should log "error" messages. Set to 0 for no, 1 for yes.
<b>-logtrace &lt;0 or 1&gt;</b>	Optional. Specifies if the logger should log "trace" messages. Set to 0 for no, 1 for yes.
<b>-maxlogfilesize &lt;size&gt;</b>	Optional. Specifies the maximum log file size in KB.
<b>-locallogger</b>	Optional. Specifies that the Remote PED logger should be used, not the IS logging system.

### Example

```
C:\Program Files\Safenet\LunaClient>pedClient -mode releaseid -id 1234
```

## pedclient mode setid

Creates a PED ID mapping between a specified PED and PED Server.

### Syntax

**pedclient mode setid -id <pedid> -id\_ip <hostname> -id\_port <port> [-logfile <filename>] [-loginfo <0 or 1>] [-logwarning <0 or 1>] [-logerror <0 or 1>] [-logtrace <0 or 1>] [-maxlogfilesize <size>] [-locallogger]**

Option	Description
<b>-id &lt;pedid&gt;</b>	Specifies the ID of the PED to be mapped.
<b>-id_ip &lt;hostname&gt;</b>	Specifies the IP address or hostname of the PED Server to be linked with the PED ID.
<b>-id_port &lt;port&gt;</b>	Specifies the PED Server port to be linked with the PED ID.
<b>-logfile &lt;filename&gt;</b>	Optional. Specifies the log file name to which the logger should log messages.
<b>-loginfo &lt;0 or 1&gt;</b>	Optional. Specifies if the logger should log "info" messages. Set to 0 for no, 1 for yes.
<b>-logwarning &lt;0 or 1&gt;</b>	Optional. Specifies if the logger should log "warning" messages. Set to 0 for no, 1 for yes.
<b>-logerror &lt;0 or 1&gt;</b>	Optional. Specifies if the logger should log "error" messages. Set to 0 for no, 1 for yes.
<b>-logtrace &lt;0 or 1&gt;</b>	Optional. Specifies if the logger should log "trace" messages. Set to 0 for no, 1 for yes.
<b>-maxlogfilesize &lt;size&gt;</b>	Optional. Specifies the maximum log file size in KB.
<b>-locallogger</b>	Optional. Specifies that the Remote PED logger should be used, not the IS logging system.

### Example

```
C:\Program Files\Safenet\LunaClient>pedClient -mode setid -id 1234 -id_ip myhostname -id_port 3456
```

## pedclient mode show

Queries if a PED Client is currently running and gets details about the PED Client.

### Syntax

**pedclient mode show** [-admin <admin port number>] [-eadmin <0 or 1>] [-socketreadtimeout <int>] [-socketwritetimeout <int>] [-logfile <filename>] [-loginfo <0 or 1>] [-logwarning <0 or 1>] [-logtrace <0 or 1>] [-maxlogfilesize <size>] [-locallogger]

Option	Description
<b>-admin</b> <admin port number>	Optional. Specifies the administration port number to use.
<b>-eadmin</b> <0 or 1>	Optional. Specifies if the administration port is on "localhost" or on the external host name.
<b>-socketreadtimeout</b> <int>	Optional. Specifies the socket read timeout, in seconds.
<b>-socketwritetimeout</b> <int>	Optional. Specifies the socket write timeout, in seconds.
<b>-logfile</b> <filename>	Optional. Specifies the log file name to which the logger should log messages.
<b>-loginfo</b> <0 or 1>	Optional. Specifies if the logger should log "info" messages. Set to 0 for no, 1 for yes.
<b>-logwarning</b> <0 or 1>	Optional. Specifies if the logger should log "warning" messages. Set to 0 for no, 1 for yes.
<b>-logerror</b> <0 or 1>	Optional. Specifies if the logger should log "error" messages. Set to 0 for no, 1 for yes.
<b>-logtrace</b> <0 or 1>	Optional. Specifies if the logger should log "trace" messages. Set to 0 for no, 1 for yes.
<b>-maxlogfilesize</b> <size>	Optional. Specifies the maximum log file size in KB.
<b>-locallogger</b>	Optional. Specifies that the Remote PED logger should be used, not the IS logging system.

### Example

```
C:\Program Files\Safenet\LunaClient>pedClient -mode show
```

## pedclient mode start

Starts up the PED Client.

### Syntax

**pedclient mode start** [-winservice] [-eadmin <0 or 1>] [-idletimeout <int>] [-socketreadtimeout <int>] [-socketwritetimeout <int>] [-shutdowntimeout <int>] [-pstartuptimeout <int>] [-pshutdowntimeout <int>] [-logfilename <filename>] [-loginfo <0 or 1>] [-logwarning <0 or 1>] [-logtrace <0 or 1>] [-maxlogfilesize <size>] [-locallogger]

Option	Description
<b>-winservice</b>	Starts the PED Client for Windows service. The standard parameters used for <b>pedclient mode start</b> can be used for <b>pedclient mode start -winservice</b> as well.
<b>-eadmin</b> <0 or 1>	Optional. Specifies if the administration port is on "localhost" or on the external host name.
<b>-idletimeout</b> <int>	Optional. Specifies the idle connection timeout, in seconds.
<b>-socketreadtimeout</b> <int>	Optional. Specifies the socket read timeout, in seconds.
<b>-socketwritetimeout</b> <int>	Optional. Specifies the socket write timeout, in seconds.
<b>-shutdowntimeout</b> <int>	Optional. Specifies the shutdown timeout for internal services, in seconds.
<b>-pstartuptimeout</b> <int>	Optional. Specifies the startup timeout for the detached process, in seconds.
<b>-pshutdowntimeout</b> <int>	Optional. Specifies the shutdown timeout for the detached process, in seconds.
<b>-logfilename</b> <filename>	Optional. Specifies the log file name to which the logger should log messages.
<b>-loginfo</b> <0 or 1>	Optional. Specifies if the logger should log "info" messages. Set to 0 for no, 1 for yes.
<b>-logwarning</b> <0 or 1>	Optional. Specifies if the logger should log "warning" messages. Set to 0 for no, 1 for yes.
<b>-logerror</b> <0 or 1>	Optional. Specifies if the logger should log "error" messages. Set to 0 for no, 1 for yes.
<b>-logtrace</b> <0 or 1>	Optional. Specifies if the logger should log "trace" messages. Set to 0 for no, 1 for yes.
<b>-maxlogfilesize</b> <size>	Optional. Specifies the maximum log file size in KB.
<b>-locallogger</b>	Optional. Specifies that the Remote PED logger should be used, not the IS logging system.

### Example

```
C:\Program Files\Safenet\LunaClient>pedClient -mode start
```

## pedclient mode stop

Shuts down the PED Client.

### Syntax

**pedclient mode stop** [-eadmin <0 or 1>] [-socketreadtimeout <int>] [-socketwritetimeout <int>] [-shutdowntimeout <int>] [-pstartuptimeout <int>][-pshutdowntimeout <int>] [-logfilename <filename>] [-loginfo <0 or 1>] [-logwarning <0 or 1>] [-logtrace <0 or 1>] [-maxlogfilesize <size>] [-locallogger]

Option	Description
<b>-eadmin</b> <0 or 1>	Optional. Specifies if the administration port is on "localhost" or on the external host name.
<b>-socketreadtimeout</b> <int>	Optional. Specifies the socket read timeout, in seconds.
<b>-socketwritetimeout</b> <int>	Optional. Specifies the socket write timeout, in seconds.
<b>-shutdowntimeout</b> <int>	Optional. Specifies the shutdown timeout for internal services, in seconds.
<b>-pstartuptimeout</b> <int>	Optional. Specifies the startup timeout for the detached process, in seconds.
<b>-pshutdowntimeout</b> <int>	Optional. Specifies the shutdown timeout for the detached process, in seconds.
<b>-logfilename</b> <filename>	Optional. Specifies the log file name to which the logger should log messages.
<b>-loginfo</b> <0 or 1>	Optional. Specifies if the logger should log "info" messages. Set to 0 for no, 1 for yes.
<b>-logwarning</b> <0 or 1>	Optional. Specifies if the logger should log "warning" messages. Set to 0 for no, 1 for yes.
<b>-logerror</b> <0 or 1>	Optional. Specifies if the logger should log "error" messages. Set to 0 for no, 1 for yes.
<b>-logtrace</b> <0 or 1>	Optional. Specifies if the logger should log "trace" messages. Set to 0 for no, 1 for yes.
<b>-maxlogfilesize</b> <size>	Optional. Specifies the maximum log file size in KB.
<b>-locallogger</b>	Optional. Specifies that the Remote PED logger should be used, not the IS logging system.

### Example

```
C:\Program Files\Safenet\LunaClient>pedClient -mode stop
```



## pedclient mode testid

Tests a PED ID mapping between a specified PED and PED Server.

### Syntax

**pedclient mode testid -id <pedid> [-logfile <filename>] [-loginfo <0 or 1>] [-logwarning <0 or 1>] [-logerror <0 or 1>] [-logtrace <0 or 1>] [-maxlogfilesize <size>] [-locallogger]**

Option	Description
<b>-id &lt;pedid&gt;</b>	Specifies the ID of the PED to be tested.
<b>-logfile &lt;filename&gt;</b>	Optional. Specifies the log file name to which the logger should log messages.
<b>-loginfo &lt;0 or 1&gt;</b>	Optional. Specifies if the logger should log "info" messages. Set to 0 for no, 1 for yes.
<b>-logwarning &lt;0 or 1&gt;</b>	Optional. Specifies if the logger should log "warning" messages. Set to 0 for no, 1 for yes.
<b>-logerror &lt;0 or 1&gt;</b>	Optional. Specifies if the logger should log "error" messages. Set to 0 for no, 1 for yes.
<b>-logtrace &lt;0 or 1&gt;</b>	Optional. Specifies if the logger should log "trace" messages. Set to 0 for no, 1 for yes.
<b>-maxlogfilesize &lt;size&gt;</b>	Optional. Specifies the maximum log file size in KB.
<b>-locallogger</b>	Optional. Specifies that the Remote PED logger should be used, not the IS logging system.

### Example

```
C:\Program Files\Safenet\LunaClient>pedClient -mode testid -id 1234
```

## The PedServer Commands

Use the **pedserver** commands to manage certificates in PedServer and the appliance, initiate connections between the PED and HSM, and select the PED for HSM operation.



**Note:** The **pedserver** commands are available on Windows only.

To run PedServer from the command line, you must specify one of the following three options.

### Syntax

**pedserver**

**appliance**

**mode**

**regen**

Option	Description
<b>appliance</b>	Registers or deregisters an appliance, or lists the registered appliances. Applies to server-initiated (peer-to-peer) mode only. See " <a href="#">pedserver appliance</a> " on the next page.
<b>mode</b>	Specifies the mode that the PED Server will be executed in. See " <a href="#">pedserver mode</a> " on page 239.
<b>regen</b>	Regenerates the client certificate. Applies to server-initiated (peer-to-peer) mode only. See " <a href="#">pedserver regen</a> " on page 249.

## pedserver appliance

Registers or deregisters an appliance, or lists the registered appliances. These commands apply to server-initiated (peer-to-peer) mode only.

### Syntax

#### pedserver appliance

**register**  
**deregister**  
**list**

Option	Description
<b>register</b>	Registers an appliance. See " <a href="#">pedserver appliance register</a> " on page 238
<b>deregister</b>	Deregisters an appliance. See " <a href="#">pedserver appliance deregister</a> " on the next page.
<b>list</b>	Lists the registered appliances. See " <a href="#">pedserver appliance list</a> " on page 237.

---

## pedserver appliance deregister

---

Deregister an appliance certificate from PED Server.

### Syntax

**pedserver appliance deregister -name <unique name> [-force]**

Option	Description
<b>-name</b> <unique name>	Specifies the name of the appliance to be deregistered from PED Server.
<b>-force</b>	Optional parameter. Suppresses any prompts.

### Example

```
C:\Program Files\Safenet\LunaClient>pedServer -appliance register -name hello -force
```

---

## pedserver appliance list

---

Displays a list of appliances registered with PED Server.

### Syntax

**pedserver appliance list**

### Example

```
C:\Program Files\Safenet\LunaClient>pedServer -appliance list
```

```
>
```

Server Name	IP Address	Port Number	Certificate Common Name
abox	192.20.1.23	9697	test2
bbox	192.20.12.34	9696	test1
hello	192.20.1.34	9876	hellocert

## pedserver appliance register

Register an appliance certificate with PED Server.

### Syntax

**pedserver appliance register** **-name** <unique name> **-certificate** <appliance certificate file> **-ip** <appliance server IP address> [**-port** <port number>]

Option	Description
<b>-name</b> <unique name>	Specifies the name of the appliance to be registered to PED Server.
<b>-certificate</b> <appliance certificate file>	Specifies the full path and filename of the certificate that was retrieved from the appliance.
<b>-ip</b> <appliance server IP address>	Specifies the IP address of the appliance server.
<b>-port</b> <port number>	Optional field. Specifies the port number used to connect to the appliance (directly or indirectly according to network configuration). <b>Range:</b> 0-65525

### Example

```
C:\Program Files\Safenet\LunaClient>pedServer -appliance register -name hello -certificate the-best-appliance.pem -ip 123.321.123.321 -port 9697
```

## pedserver mode

Specifies the mode that the PedServer will be executed in.

### Syntax

#### pedserver mode

```

config
connect
disconnect
show
start
stop

```

Option	Description
<b>config</b>	Modifies or shows existing configuration file settings. See <a href="#">"pedserver mode config" on the next page</a> .
<b>connect</b>	Connects to the appliance. See <a href="#">"pedserver mode connect" on page 242</a> .
<b>disconnect</b>	Disconnects from the appliance. See <a href="#">"pedserver mode disconnect" on page 243</a> .
<b>show</b>	Queries if a PED Server is currently running, and gets details about the PED Server. See <a href="#">"pedserver mode show" on page 244</a> .
<b>start</b>	Starts the PED Server. See <a href="#">"pedserver mode start" on page 246</a> .
<b>stop</b>	Shuts down an existing PED Server. See <a href="#">"pedserver mode stop" on page 248</a> .

## pedserver mode config

Shows and modifies internal PedServer configuration file settings.

### Syntax

```
pedserver mode config -name <registered appliance name> -show -set [-port <server port>] [-set][-configfile
<filename>] [-admin <admin port number>] [-eserverport <0 or 1>] [-eadmin <0 or 1>] [-idletimeout <int>] [-
socketreadtimeout <int>] [-socketwritetimeout <int>] [-internalshutdowntimeout <int>] [-
bgprocessstartuptimeout <int>] [-bgprocessshutdowntimeout <int>] [-logfile <filename>] [-loginfo <0 or 1>]
[-logwarning <0 or 1>] [-logerror <0 or 1>] [-logtrace <0 or 1>] [-maxlogfilesize <size>] [-pinginterval <int>] [-
pingtimeout <int>]
```

Option	Description
<b>-name</b> <registered appliance name>	Specifies the name of the registered appliance to be configured.
<b>-show</b>	Displays the contents of the PED Server configuration file.
<b>-set</b>	Updates the PED Server configuration file to be up to date with other supplied options.
<b>-port</b> <server port>	Optional. Specifies the server port number.
<b>-configfile</b> <filename>	Optional. Specifies which PED Server configuration file to use.
<b>-admin</b> <admin port number>	Optional. Specifies the administration port number.
<b>-eserverport</b> <0 or 1>	Optional. Specifies if the server port is on "localhost" or listening on the external host name.
<b>-eadmin</b> <0 or 1>	Optional. Specifies if the administration is on "localhost" or listening on the external host name.
<b>-idletimeout</b> <int>	Optional. Specifies the idle connection timeout, in seconds.
<b>-socketreadtimeout</b> <int>	Optional. Specifies the socket read timeout, in seconds.
<b>-socketwritetimeout</b> <int>	Optional. Specifies socket write timeout, in seconds.
<b>-internalshutdowntimeout</b> <int>	Optional. Specifies the shutdown timeout for internal services, in seconds.
<b>-bgprocessstartuptimeout</b> <int>	Optional. Specifies the startup timeout for the detached process, in seconds.
<b>-bgprocessshutdowntimeout</b> <int>	Optional. Specifies the shutdown timeout for the detached process, in seconds.
<b>-logfile</b> <filename>	Optional. Specifies the log file name to which the logger should log messages.
<b>-loginfo</b> <0 or 1>	Optional. Specifies if the logger should log "info" messages. Set to 0 for no, 1 for yes.



Option	Description
<b>-logwarning</b> <0 or 1>	Optional. Specifies if the logger should log "warning" messages. Set to 0 for no, 1 for yes.
<b>-logerror</b> <0 or 1>	Optional. Specifies if the logger should log "error" messages. Set to 0 for no, 1 for yes.
<b>-logtrace</b> <0 or 1>	Optional. Specifies if the logger should log "trace" messages. Set to 0 for no, 1 for yes.
<b>-maxlogfilesize</b> <size>	Optional. Specifies the maximum log file size in KB.
<b>-pinginterval</b> <int>	Optional. Specifies the time interval between ping commands, in seconds.
<b>-pingtimeout</b> <int>	Optional. Specifies timeout of the ping response, in seconds.

## Example

```
C:\Program Files\Safenet\LunaClient>pedServer -mode config -name hellohi -show
```

## pedserver mode connect

Connects to the appliance by retrieving information (IP address, port, PED Server certificate) from the PED Server configuration file.

If the running mode is legacy, an error is returned. **pedserver mode connect** is not a valid command for legacy connections.

The **connect** command will try connecting to the PED Client 20 times before giving up.

### Syntax

**pedserver mode connect -name** <registered appliance name> [-**configfile** <filename>] [-**logfile** <filename>] [-**loginfo** <0 or 1>] [-**logwarning** <0 or 1>] [-**logerror** <0 or 1>] [-**logtrace** <0 or 1>] [-**maxlogfilesize** <size>]

Option	Description
<b>-name</b> <registered appliance name>	Specifies the name of the registered appliance to be connected to PED Server.
<b>-configfile</b> <filename>	Optional. Specifies which PED Server configuration file to use.
<b>-logfile</b> <filename>	Optional. Specifies the log file name to which the logger should log messages.
<b>-loginfo</b> <0 or 1>	Optional. Specifies if the logger should log "info" messages. Set to 0 for no, 1 for yes.
<b>-logwarning</b> <0 or 1>	Optional. Specifies if the logger should log "warning" messages. Set to 0 for no, 1 for yes.
<b>-logerror</b> <0 or 1>	Optional. Specifies if the logger should log "error" messages. Set to 0 for no, 1 for yes.
<b>-logtrace</b> <0 or 1>	Optional. Specifies if the logger should log "trace" messages. Set to 0 for no, 1 for yes.
<b>-maxlogfilesize</b> <size>	Optional. Specifies the maximum log file size in KB.

### Example

```
C:\Program Files\Safenet\LunaClient>pedServer -mode connect -name hellohi
>Connecting to Luna SA. Please wait....
>Successfully connected to Luna SA.
```

## pedserver mode disconnect

Disconnects the PED Server from the appliance.

If the running mode is legacy, an error is returned. **pedserver mode disconnect** is not a valid command for legacy connections.

Termination of the connection may take a few minutes.

### Syntax

```
pedserver mode disconnect -name <registered appliance name> [-configfile <filename>] [-logfile <filename>] [-loginfo <0 or 1>] [-logwarning <0 or 1>] [-logerror <0 or 1>] [-logtrace <0 or 1>] [-maxlogfilesize <size>]
```

Option	Description
<b>-name</b> <registered appliance name>	Specifies the name of the registered appliance to be disconnected from PED Server.
<b>-configfile</b> <filename>	Optional. Specifies which PED Server configuration file to use.
<b>-logfile</b> <filename>	Optional. Specifies the log file name to which the logger should log messages.
<b>-loginfo</b> <0 or 1>	Optional. Specifies if the logger should log "info" messages. Set to 0 for no, 1 for yes.
<b>-logwarning</b> <0 or 1>	Optional. Specifies if the logger should log "warning" messages. Set to 0 for no, 1 for yes.
<b>-logerror</b> <0 or 1>	Optional. Specifies if the logger should log "error" messages. Set to 0 for no, 1 for yes.
<b>-logtrace</b> <0 or 1>	Optional. Specifies if the logger should log "trace" messages. Set to 0 for no, 1 for yes.
<b>-maxlogfilesize</b> <size>	Optional. Specifies the maximum log file size in KB.

### Example

```
C:\Program Files\Safenet\LunaClient>pedServer -mode disconnect -name hellohi
>Connection to Luna SA terminated.
```

## pedserver mode show

Queries if a PED Server is currently running, and gets details about the PED Server.

### Syntax

**pedserver mode show** [-name <registered appliance name>] [-configfile <filename>] [-logfile <filename>] [-loginfo <0 or 1>] [-logwarning <0 or 1>] [-logerror <0 or 1>] [-logtrace <0 or 1>] [-maxlogfilesize <size>]

Option	Description
<b>-name</b> <registered appliance name>	Specifies the name of the registered appliance to be queried. Applies to server-initiated (peer-to-peer) mode only.
<b>-configfile</b> <filename>	Optional. Specifies which PED Server configuration file to use.
<b>-logfile</b> <filename>	Optional. Specifies the log file name to which the logger should log messages.
<b>-loginfo</b> <0 or 1>	Optional. Specifies if the logger should log "info" messages. Set to 0 for no, 1 for yes.
<b>-logwarning</b> <0 or 1>	Optional. Specifies if the logger should log "warning" messages. Set to 0 for no, 1 for yes.
<b>-logerror</b> <0 or 1>	Optional. Specifies if the logger should log "error" messages. Set to 0 for no, 1 for yes.
<b>-logtrace</b> <0 or 1>	Optional. Specifies if the logger should log "trace" messages. Set to 0 for no, 1 for yes.
<b>-maxlogfilesize</b> <size>	Optional. Specifies the maximum log file size in KB.

### Example

```
C:\Program Files\Safenet\LunaClient>pedServer -mode show -name hellohi
>Ped Server launched in status mode.
  Server Information:
    Hostname:                ABC1-123123
    IP:                      192.10.10.123
    Firmware Version:       2.5.0-1
    PedII Protocol Version: 1.0.1-0
    Software Version:       1.0.5 (10005)
    Ped2 Connection Status: Connected
    Ped2 RPK Count          1
    Ped2 RPK Serial Numbers (1a123456789a1234)
  Client Information:      Not Available
  Operating Information:
    Server Port:            1234
    External Server Interface: Yes
    Admin Port:            1235
    External Admin Interface: No
    Server Up Time:        8 (secs)
    Server Idle Time:     8 (secs) (100%)
    Idle Timeout Value:   1800 (secs)
    Current Connection Time: 0 (secs)
```

```
Current Connection Idle Time:      0 (secs)
Current Connection Total Idle Time: 0 (secs) (100%)
Total Connection Time:            0 (secs)
Total Connection Idle Time:       0 (secs) (100%)
>Show command passed.
```

## pedserver mode start

Starts up the PED Server.

### Syntax

**pedserver mode start** [-name <registered appliance name>] [-port <server port>] [-configfile <filename>] [-admin <admin port number>] [-eserverport <0 or 1>] [-eadmin <0 or 1>] [-idletimeout <int>] [-socketreadtimeout <int>] [-socketwritetimeout <int>] [-internalshutdowntimeout <int>] [-bgprocessstartuptimeout <int>] [-bgprocessshutdowntimeout <int>] [-logfile <filename>] [-loginfo <0 or 1>] [-logwarning <0 or 1>] [-logerror <0 or 1>] [-logtrace <0 or 1>] [-maxlogfilesize <size>] [-pinginterval <int>] [-pingtimeout <int>] [-force]

Option	Description
<b>-name</b> <registered appliance name>	Specifies the name of the registered appliance to be started with PED Server. Applies to server-initiated (peer-to-peer) mode only.
<b>-port</b> <server port>	Optional. Specifies the server port number.
<b>-configfile</b> <filename>	Optional. Specifies which PED Server configuration file to use.
<b>-admin</b> <admin port number>	Optional. Specifies the administration port number.
<b>-eserverport</b> <0 or 1>	Optional. Specifies if the server port is on "localhost" or listening on the external host name.
<b>-eadmin</b> <0 or 1>	Optional. Specifies if the administration is on "localhost" or listening on the external host name.
<b>-idletimeout</b> <int>	Optional. Specifies the idle connection timeout, in seconds.
<b>-socketreadtimeout</b> <int>	Optional. Specifies the socket read timeout, in seconds.
<b>-socketwritetimeout</b> <int>	Optional. Specifies socket write timeout, in seconds.
<b>-internalshutdowntimeout</b> <int>	Optional. Specifies the shutdown timeout for internal services, in seconds.
<b>-bgprocessstartuptimeout</b> <int>	Optional. Specifies the startup timeout for the detached process, in seconds.
<b>-bgprocessshutdowntimeout</b> <int>	Optional. Specifies the shutdown timeout for the detached process, in seconds.
<b>-logfile</b> <filename>	Optional. Specifies the log file name to which the logger should log messages.
<b>-loginfo</b> <0 or 1>	Optional. Specifies if the logger should log "info" messages. Set to 0 for no, 1 for yes.
<b>-logwarning</b> <0 or 1>	Optional. Specifies if the logger should log "warning" messages. Set to 0 for no, 1 for yes.
<b>-logerror</b> <0 or 1>	Optional. Specifies if the logger should log "error" messages. Set to 0 for no, 1 for yes.

Option	Description
<b>-logtrace</b> <0 or 1>	Optional. Specifies if the logger should log "trace" messages. Set to 0 for no, 1 for yes.
<b>-maxlogfilesize</b> <size>	Optional. Specifies the maximum log file size in KB.
<b>-pinginterval</b> <int>	Optional. Specifies the time interval between ping commands, in seconds.
<b>-pingtimeout</b> <int>	Optional. Specifies timeout of the ping response, in seconds.
<b>-force</b>	Optional parameter. Suppresses any prompts.

## Example

```
C:\Program Files\Safenet\LunaClient>pedServer -mode start -name hellohi -force
>Ped Server launched in startup mode.
>Starting background process
>Background process started
>Ped Server Process created, exiting this process.
```

## pedserver mode stop

Stops the PED Server.

### Syntax

**pedserver mode stop** [-name <registered appliance name>] [-configfile <filename>] [-socketwritetimeout <int>] [-internalshutdowntimeout <int>] [-bgprocessstartuptimeout <int>] [-bgprocessshutdowntimeout <int>] [-logfile <filename>] [-loginfo <0 or 1>] [-logwarning <0 or 1>] [-logerror <0 or 1>] [-logtrace <0 or 1>] [-maxlogfilesize <size>]

Option	Description
<b>-name</b> <registered appliance name>	Specifies the name of the registered appliance to be on which PED Server will be stopped. Applies to server-initiated (peer-to-peer) mode only.
<b>-configfile</b> <filename>	Optional. Specifies which PED Server configuration file to use.
<b>-socketreadtimeout</b> <int>	Optional. Specifies the socket read timeout, in seconds.
<b>-socketwritetimeout</b> <int>	Optional. Specifies socket write timeout, in seconds.
<b>-internalshutdowntimeout</b> <int>	Optional. Specifies the shutdown timeout for internal services, in seconds.
<b>-bgprocessstartuptimeout</b> <int>	Optional. Specifies the startup timeout for the detached process, in seconds.
<b>-bgprocessshutdowntimeout</b> <int>	Optional. Specifies the shutdown timeout for the detached process, in seconds.
<b>-logfile</b> <filename>	Optional. Specifies the log file name to which the logger should log messages.
<b>-loginfo</b> <0 or 1>	Optional. Specifies if the logger should log "info" messages. Set to 0 for no, 1 for yes.
<b>-logwarning</b> <0 or 1>	Optional. Specifies if the logger should log "warning" messages. Set to 0 for no, 1 for yes.
<b>-logerror</b> <0 or 1>	Optional. Specifies if the logger should log "error" messages. Set to 0 for no, 1 for yes.
<b>-logtrace</b> <0 or 1>	Optional. Specifies if the logger should log "trace" messages. Set to 0 for no, 1 for yes.
<b>-maxlogfilesize</b> <size>	Optional. Specifies the maximum log file size in KB.

### Example

```
C:\Program Files\Safenet\LunaClient>pedServer -mode stop -name hellohi
```



## pedserver regen

Regenerates the client certificate. This command is available in server-initiated (peer-to-peer) mode only.

Existing links (PedServer, NTLS or STC) will not be affected until they are terminated. Afterwards, the user is required to re-register the client certificate to NTLS and PedServer.



**Note:** The **pedserver regen** command should be used only when there is no SafeNet Luna HSM Client installed. When SafeNet Luna HSM Client is installed on the host computer, use the LunaCM command **clientconfig deploy** with the **-regen** option (see "[clientconfig deploy](#)" on page 1 in the *LunaCM Command Reference Guide*) or, if necessary, **vtl createcert** (see "[vtl createCert](#)" on page 1 in the *Utilities Reference Guide*).

### Syntax

```
pedserver regen -commonname <commonname> [-force]
```

Option	Description
<b>-commonname</b> <commonname>	The client's common name (CN).
<b>-force</b>	Optional parameter. Suppresses any prompts.

### Example

```
C:\Program Files\SafeNet\LunaClient>pedServer -regen -commonname win2016_server -force
Ped Server Version 1.0.6 (10006)
```

```
Private Key created and written to: C:\Program Files\SafeNet\LunaClient\cert\client\win2016_
serverKey.pem
Certificate created and written to: C:\Program Files\SafeNet\LunaClient\cert\client\win2016_serv-
er.pem
```

```
Successfully regenerated the client certificate.
```

This chapter describes how to monitor the performance of your HSMs. It contains the following sections:

- ["HSM Information Monitor" below](#)

## HSM Information Monitor

---

An HSM administrator might find it helpful to know how busy the HSM is and at what percentage of its capacity it has been running.

The HSM Information Monitor is a use counter that provides an indication of momentary and cumulative resource usage on the HSM, in the form of a percentage. The HSM firmware tracks the overall time elapsed since the last reset (Up-Time), and the overall time during which the processor was not performing useful work (Idle-Time).

On request, the HSM calculates "Busy-time" over an interval, by subtracting Idle-time for that interval from Up-time for the interval. Then, the load on the processor is calculated as the Busy-time divided by the Up-time, and expressed as a percentage.

You can use the available commands for a single, one-off query, which actually takes an initial reading and then another, five seconds later (the default setting), in order to calculate and show the one-time difference.

You can specify a sampling interval (five seconds is the shortest) and a number of repetitions for an extended view of processor activity/resource usage. The resulting records, showing the time of each measurement, the percentage value at that time, and the difference from the previous measurement, can be output to a file that you import into other tools to analyze and graph the trends.

By watching trends and correlating with what your application is doing, you can:

- Determine the kinds of loads you are placing on the HSM.
- Seek efficiencies in how your applications are coded and configured.
- Plan for expansion or upgrades of your existing HSM infrastructure.
- Plan for upgrades of electrical capacity and HVAC capacity.

## Notes about Monitor/Counter Behavior

When performing certain operations the HSM reaches its maximum performance capability before the counter reaches 100%. This occurs because the counter measures the load on the HSM's CPU and the CPU is able to saturate the asymmetric engines and still have capacity to perform other actions.

Also, symmetric cryptographic operations cause the counter to quickly rise to 90% even though there is significant remaining capacity. This behavior occurs because, as the HSM receives more concurrent symmetric commands, its CPU is able to handle them more efficiently (by performing them in bulk) – thus achieving more throughput from the same number of CPU cycles.

See ["hsm information"](#) on page 1 in the *LunaSH Reference Guide*.

# Security Effects of Administrative Actions

Actions that you take, in the course of administering your SafeNet Luna HSM, can have effects, including destruction, on the roles, the spaces, and the contents of your HSM and its application partition(s). It is important to be aware of such consequences before taking action.

## Overt Security Actions

Some actions in the administration of the HSM, or of an application partition, are explicitly intended to adjust specific security aspects of the HSM or partition. Examples are:

- Changing a password
- Modifying a policy to make a password or other attribute more stringent than the original setting

Those are discussed in their own sections.

## Actions with Security- and Content-Affecting Outcomes

Other administrative events have security repercussions as included effects of the primary action, which could have other intent. Some examples are:

- HSM factory reset
- HSM zeroization
- Change of a destructive policy
- Installation/application of a destructive Capability Update
- HSM initialization
- Application partition initialization

This table lists some major administrative actions that can be performed on the HSM, and compares relevant security-related effects. Use the information in this table to help decide if your contemplated action is appropriate in current circumstances, or if additional preparation (such as backup of partition content, collection of audit data) would be prudent before continuing.

### Factory Reset HSM

<b>Domain</b>	Destroyed
<b>HSM SO Role</b>	Destroyed
<b>Partition SO Role</b>	Destroyed

<b>Auditor Role</b>	Destroyed
<b>Partition Roles</b>	Destroyed
<b>HSM or Partition/Contents</b>	HSM/Destroyed
<b>HSM Policies</b>	Reset
<b>RPV</b>	Destroyed
<b>Messaging</b>	You are about to factory reset the HSM. All contents of the HSM will be destroyed. HSM policies will be reset and the remote PED vector will be erased.

## Zeroize HSM

<b>Domain</b>	Destroyed
<b>HSM SO Role</b>	Destroyed
<b>Partition SO Role</b>	Destroyed
<b>Auditor Role</b>	Unchanged
<b>Partition Roles</b>	Destroyed
<b>HSM or Partition/Contents</b>	HSM/Destroyed
<b>HSM Policies</b>	Unchanged
<b>RPV</b>	Unchanged
<b>Messaging</b>	You are about to zeroize the HSM. All contents of the HSM will be destroyed. HSM policies, remote PED vector and Auditor left unchanged.

## Change Destructive HSM Policy

<b>Domain</b>	Unchanged
<b>HSM SO Role</b>	Unchanged
<b>Partition SO Role</b>	Destroyed
<b>Auditor Role</b>	Unchanged
<b>Partition Roles</b>	Destroyed
<b>HSM or Partition/Contents</b>	HSM/Destroyed
<b>HSM Policies</b>	Unchanged except for new policy
<b>RPV</b>	Unchanged
<b>Messaging</b>	You are about to change a destructive HSM policy. All partitions of the HSM will be destroyed.

## Apply Destructive CUF Update

<b>Domain</b>	Destroyed
<b>HSM SO Role</b>	Destroyed
<b>Partition SO Role</b>	Destroyed
<b>Auditor Role</b>	Unchanged
<b>Partition Roles</b>	Destroyed
<b>HSM or Partition/Contents</b>	HSM/Destroyed
<b>HSM Policies</b>	Unchanged
<b>RPV</b>	Unchanged
<b>Messaging</b>	You are about to apply a destructive update. All contents of the HSM will be destroyed.

## HSM Initialize When Zeroized (hard init)

<b>Domain</b>	Destroyed
<b>HSM SO Role</b>	Destroyed
<b>Partition SO Role</b>	Destroyed
<b>Auditor Role</b>	Unchanged
<b>Partition Roles</b>	Destroyed
<b>HSM or Partition/Contents</b>	HSM/Destroyed
<b>HSM Policies</b>	Unchanged
<b>RPV</b>	Unchanged
<b>Messaging</b>	You are about to initialize the HSM. All contents of the HSM will be destroyed.

## HSM Initialize From Non-Zeroized State (soft init)

<b>Domain</b>	Unchanged
<b>HSM SO Role</b>	Unchanged
<b>Partition SO Role</b>	Destroyed
<b>Auditor Role</b>	Unchanged
<b>Partition Roles</b>	Destroyed

<b>HSM or Partition/Contents</b>	HSM/Destroyed
<b>HSM Policies</b>	Unchanged
<b>RPV</b>	Unchanged
<b>Messaging</b>	You are about to initialize the HSM that is already initialized. All partitions of the HSM will be destroyed. You are required to provide the current SO password.

### Partition Initialize When Zeroized (hard init)

<b>Domain</b>	Unchanged
<b>HSM SO Role</b>	Unchanged
<b>Partition SO Role</b>	Destroyed
<b>Auditor Role</b>	Unchanged
<b>Partition Roles</b>	Destroyed
<b>HSM or Partition/Contents</b>	Partition/Destroyed
<b>HSM Policies</b>	Unchanged
<b>RPV</b>	Unchanged
<b>Messaging</b>	You are about to initialize the partition. All contents of the partition will be destroyed.

### Partition Initialize From Non-Zeroized State (soft init)

<b>Domain</b>	Unchanged
<b>HSM SO Role</b>	Unchanged
<b>Partition SO Role</b>	Destroyed
<b>Auditor Role</b>	Unchanged
<b>Partition Roles</b>	Destroyed
<b>HSM or Partition/Contents</b>	Partition/Destroyed
<b>HSM Policies</b>	Unchanged
<b>RPV</b>	Unchanged
<b>Messaging</b>	You are about to initialize the partition that is already initialized. All contents of the partition will be destroyed. You are required to provide the current Partition SO password.

## Elsewhere

---

Certain other actions can sometimes cause collateral changes to the HSM, like firmware rollback and update. They usually do not affect contents, unless a partition is full and the action changes the size of partitions or changes the amount of space-per-partition that is taken by overhead/infrastructure. These are discussed elsewhere.

## Secure Transport Mode

Secure Transport Mode (STM) provides a method for verifying whether or not an HSM has been tampered while not in your possession, such as when you ship the HSM to another location, or place it in storage. For example, you could use STM in a workflow where you pre-configure the capabilities for your HSMs at a central location before deploying them to a regional location. Enabling STM before shipping the HSMs allows you to confirm that they have not been tampered between the time they were configured at the central location to the time they were received at the regional location.

Only the HSM SO can place an initialized HSM into STM, or recover the HSM from STM. When you enable STM, it temporarily locks the HSM, retaining its current configuration and key material, and recording its current state. STM generates a unique 16-character verification string and a 16-character random user string. These unique strings allow you to verify whether or not the HSM has been tampered while in STM. When recovering from STM, you will be asked to provide the random user string:

- If the verification string generated matches the verification string generated when you placed the HSM in STM, the HSM has not been tampered while in STM.
- If the verification string generated does not match the verification string generated when you placed the HSM in STM, the HSM has been tampered while in STM, or a different random user string has been entered.



**Note:** The string is for verification purposes only. Entering a different string will not prevent you from recovering the HSM from STM.

---

See also "[Tamper Events](#)" on page 303.

For command syntax, see "[hsm stm](#)" on page 1.

### Placing an HSM Into Secure Transport Mode

Only the HSM SO can place an initialized HSM into STM. When the HSM is zeroized, HSM SO log in is not required.



**CAUTION:** If the HSM contains sensitive key material, ensure that you have a full backup of the HSM contents before proceeding.

---

#### To place an HSM into Secure Transport Mode:

1. Log in as the HSM SO.
2. Backup the HSM contents. See "[Backup and Restore HSMs and Partitions](#)" on page 36 for details.
3. Enter the following command to place the HSM into STM:

```
hsm stm transport
```

4. After confirming the action, you are presented with:
  - **Verification String:** <XXXX-XXXX-XXXX-XXXX>
  - **Random User String:** <XXXX-XXXX-XXXX-XXXX>



Record both strings. They are required to verify that the HSM has not been tampered while in STM.



**CAUTION:** Transmit the verification string and random user string to the receiver of the HSM using a secure method, distinct from the transport of the physical HSM, so that it is not possible for an attacker to have access to both the HSM and the verification codes while the HSM is in STM.

## Recovering an HSM From Secure Transport Mode

Only the HSM SO can recover an initialized HSM that has been placed into STM. When the HSM is zeroized, HSM SO log in is not required.

### New HSMs

New HSMs are shipped from the factory in Secure Transport Mode (STM). You must recover from STM before you can initialize the HSM.

As part of the delivery of your new HSM, you should have received an email from Gemalto Client Services containing two 16-digit strings:

- Random User String: XXXX-XXXX-XXXX-XXXX
- Verification String: XXXX-XXXX-XXXX-XXXX

You will need both of these strings to recover from STM.

### To recover an HSM from STM and verify its integrity:

1. Ensure that you have the two strings that were presented when the HSM was placed into STM, or that were emailed to you if this is a new HSM.
2. If the HSM is initialized, log in as the HSM SO. If this is a new or zeroized HSM, skip to the next step.
3. Enter the following command to recover from STM, using the random user string that was displayed when the HSM was placed in STM, or that was emailed to you if this is a new HSM.:  

```
lunash:> hsm stm recover -randomuserstring <XXXX-XXXX-XXXX-XXXX>
```
4. You are presented with a verification string:
  - if the verification string matches the original verification string, the HSM has not been tampered, and can be safely re-deployed.
  - if the verification string does not match the original verification string, the HSM has been tampered while in STM.
5. Enter **proceed** to recover from STM (regardless of whether the strings match or not), or enter **quit** to remain in STM.

### If the verification strings do not match:

1. If this is a new HSM, contact Gemalto Technical Support. Otherwise, proceed with the following steps.
2. Enter the following command to determine the cause of the tamper condition:

**hsm tamper show**

See "[Tamper Events](#)" on page 303 for more information.

3. Take the appropriate action. If you decide that the tamper condition warrants resetting the HSM, enter the following commands to reset the HSM to its factory settings.

**hsm factoryreset**

**sysconf config factoryreset -service all**

4. Following a factory reset, restore your settings and key material from backup. See "[Backup and Restore HSMs and Partitions](#)" on [page 36](#) for details.

# Secure Trusted Channel (STC)

This chapter describes Secure Trusted Channel (STC). It contains the following sections:

- ["STC Overview" below](#)
- ["Enabling or Disabling STC on the HSM" on page 263](#)
- ["Enabling or Disabling STC on a Partition" on page 265](#)
- ["Establishing and Configuring the STC Admin Channel on a SafeNet Luna Network HSM Appliance" on page 266](#)
- ["Using a Hard Token to Store the STC Client Identity" on page 268](#)
- ["Configuring the Network and Security Settings for an STC Link" on page 273](#)
- ["Managing STC Tokens and Identities" on page 275](#)
- ["Restoring STC After HSM Zeroization" on page 276](#)
- ["Troubleshooting" on page 278](#)

See ["Creating an STC Link Between a Client and a Partition" on page 1](#) in the *Configuration Guide* for detailed procedures that describe how to set up an STC link.

## STC Overview

---

STC protects your HSM/client communications using endpoint and message authentication, verification, and encryption. With STC, HSM/client message integrity is ensured, even when those messages are sent over public or otherwise unsecured networks. You can use STC links to confidently deploy HSM services in cloud environments, or in situations where message integrity is paramount.

## When to Use: Comparing NTLS and STC

NTLS and STC connections are best suited for different practical applications. Here are some examples:

### NTLS

- Ideally suited for high-performance applications and environments, executing many cryptographic operations per second.
- Best used in traditional data center environments, where the client can be identified by its IP address or hostname.

### STC

- Suited for applications with moderate performance requirements
- Preferred where applications are running on physical servers and HSM client credentials are stored on a physical token

- Suited for higher-assurance applications requiring session protection beyond TLS; STC's message integrity and optional additional layer of encryption offers additional protection of client-to-HSM communications
- Best for virtual and cloud environments where virtual machines are frequently cloned, launched, and stopped -- such as when virtual machine auto-scaling is implemented to meet SLAs
- Preferred in "HSM as a Service" environments where multiple customers, departments, or groups all access partitions on a common HSM and want communication to be terminated on the SafeNet Luna HSM card within the appliance

## Performance consideration while using STC

STC introduces additional overhead to the communication channel. Depending on the application use case and cryptographic algorithms employed, this could have an impact on application performance.

## Security features

STC offers the following security features to ensure the privacy and integrity of your HSM/client communications:

- **Symmetric encryption.** This ensures that only the STC end-points can read data transmitted over an STC link.
- **Message authentication.** Message authentication codes are used to ensure the integrity of the communicated data, to prevent attacks that attempt to add, delete, or modify the messages sent over an STC link.
- **Bi-directional endpoint authentication.** Each endpoint (HSM or client) is assigned a unique identity, which is stored as a hardware or software token. This ensures that only authorized entities can establish an STC connection, and eliminates the risk of a man-in-the-middle attack. See ["Client and Partition Identities" on the next page](#).

## Secure tunneling and messaging

STC connections are established in two distinct phases:

1. **Secure tunnel creation.** To ensure client integrity, STC performs bi-directional HSM/client authentication, and creates unique session keys for each STC connection, as described in ["Secure Tunnel Creation" on page 262](#).
2. **Secure message transport.** To ensure message integrity, STC uses symmetric data encryption and message integrity verification, ensuring that any attempt to alter, insert, or drop messages is detected by both end-points, resulting in immediate termination of the connection, as described in ["Secure Message Transport" on page 263](#).

## All messages protected outside the HSM

When STC is fully enabled on an HSM, all sensitive communications with the HSM are protected all the way into the HSM. That is, any messages exchanged between a client application and the HSM use STC encryption, authentication, and verification from the client interface to the HSM interface, regardless of whether those links traverse a network, or are internal to an HSM appliance (LunaSH to HSM) or SafeNet Luna HSM client workstation (SafeNet Luna Client to HSM). All STC links that use a network connection also have the same network protection as NTLS links, that is, they are wrapped using SSL.

On a SafeNet Luna Network HSM appliance, there are two separate STC link types, which are configured separately:

- Between the client and a partition. These links are configured as described in ["Creating an STC Link Between a Client and a Partition" on page 1](#) in the *Configuration Guide*. Each client-partition link is configured separately.
- Between the local services and applications running on the appliance (such as LunaSH, NTLS, and the STC service) and the HSM SO partition. This link is called the STC admin channel, and is configured as described in ["Establishing and Configuring the STC Admin Channel on a SafeNet Luna Network HSM Appliance" on page 266](#).

The STC admin channel is local to the appliance, and is used to transmit data between the local services and applications running on the appliance (such as LunaSH, NTLS, and the STC service) and the HSM SO partition.

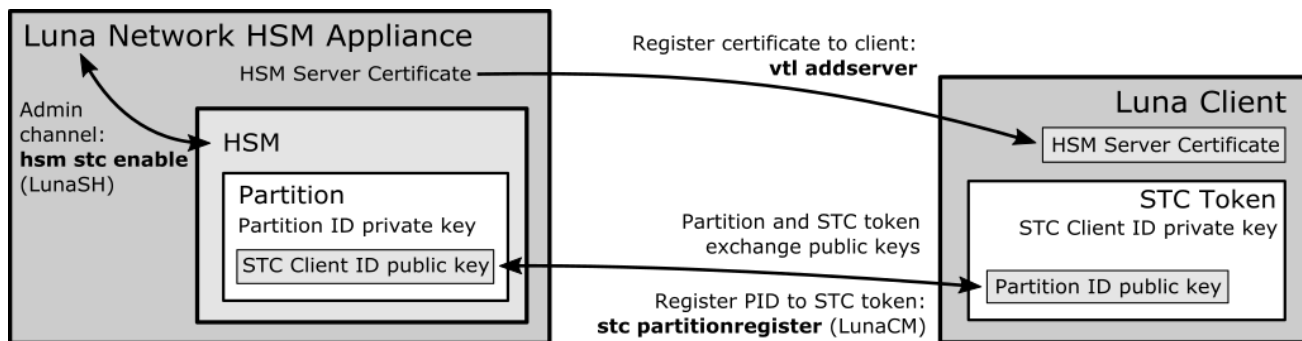
### Configurable options

The security features offered by STC are configurable, allowing you to specify the level of security you require, and achieve the correct balance between security and performance. Client/partition STC link parameters are configured using LunaCM. LunaSH/partition STC link parameters are configured using LunaSH.

## Client and Partition Identities

The identity of a client or partition at an STC endpoint is defined by a 2048-bit RSA asymmetric public/private key pair, unique to each endpoint. Before you can establish an STC link, you must exchange public keys between the client and partition to establish trust.

**Figure 1: Creating an STC Link Between a Client and a Partition**



### Partition Identities

The partition private key is always kept in the HSM and is strongly associated with its partition. Only the partition security officer can retrieve the partition's public key for delivery to a client. Upon receipt, the client administrator can use the public key hash to confirm its authenticity, before registering it. You can register multiple partition public keys to a client.

### Client Identities

By default, the client's identity pair is stored in a software token on the client's file system, protected by the operating system's access control systems. When using a software token, the client's private key can be moved or copied to another host and used – so any client that possesses this identity pair is considered the authentic client. This enables an elastic client model for many applications.

If you require stronger client authentication, you can choose to use a SafeNet eToken 7300 hardware token to protect the client's private key. When using hard tokens, the client's private key is marked as non-extractable, so only a host with the hard token inserted can successfully authenticate to the HSM partition. The SafeNet eToken 7300 is a FIPS 140-2 Level 3 device.



**Note:** After establishing an STC link, the hardware token can be removed from the host computer for safe storage. If the STC link goes down, the hardware token is required to re-establish the link.

## Secure Tunnel Creation

Each STC connection is established between a client application and a specific partition on the HSM. As such, each application and partition pair goes through STC tunnel establishment individually. Before STC can create secure tunnels, trust must be established between the client and the partition through the manual exchange of public keys. Once trust has been established, STC links between the client applications and the partition are created.

### Establishing Trust Between the Client and the Partition

The trust relationship between the client and the partition is built as follows:

1. When you create a partition, the STC partition identity asymmetric key pair is generated automatically, and stored in the partition.
2. The partition SO extracts the partition's STC public key and provides it (out of band) to the client administrator.
3. The client administrator enables STC on the client machine if not already done.
4. The client administrator registers the partition identity provided in step 2 to the client token (software token or hardware token, as configured). The client administrator can verify the hash of the partition public key before registering it to the client, if desired.
5. The client administrator creates the STC client identity asymmetric key pair, on the client token. This will also automatically export the generated STC client public key to a file.
  - If you are the partition SO, connecting to your un-initialized PSO partition, skip to step 8. Your STC client registration will occur automatically when you initialize the partition.
  - For all others, proceed to step 6.
6. The client administrator takes the client identity public key that was exported automatically during step 5, and provides it (out of band) to the partition SO.
7. The partition SO registers the client's STC identity public key to the partition.
8. The client can now connect to the partition.



**Note:** For the partition SO, if this the first time connecting to your uninitialized partition, your client identity will be automatically registered to the partition when you issue the LunaCM **partition initialize** command.

9. Once bi-directional STC public key registration is complete, registered and authorized client applications can establish fully authenticated and confidential STC tunnels with the partition.

Once this sequence is completed the partition will only accept authenticated STC connections from a registered client. You can register additional partitions with this client machine by repeating this process. You can register additional clients to a partition, but any additional client identities need to be registered by the partition SO from a pre-registered client machine.

### Recovering lost clients

It is not possible to recover lost clients for PSO partitions as the HSM security officer has no access to the partition once it has been initialized. Therefore, if all registered client tokens to a PSO partition are lost, the only recourse is to have the HSM security officer delete and recreate the partition. The partition objects are lost in this case.

## Establishing a Secure Tunnel Between a Client Application and a Partition

Once public keys have been exchanged between a client and a partition, STC is able to establish a secure tunnel between a client application and the partition. To establish a tunnel, the client and partition use secret handshaking to exchange credentials, establish a unique session ID for the tunnel, and create unique message authentication and message encryption keys for the session.

### Session Re-Negotiation

Session keys for tunnel are periodically renegotiated, as specified by the STC rekey threshold set for a partition. The rekey threshold specifies the number of API calls, or messages, that can be transmitted over an STC link to the partition before the session keys are renegotiated. You can adjust this value based on your application use cases and security requirements. See ["Configuring the Network and Security Settings for an STC Link" on page 273](#) for more information.

### Abnormal Termination

When a client shuts down a connection under normal conditions, it sends a secured message informing the HSM that the connection can be terminated. If a client terminates abnormally, or the network link is lost, the STC Daemon (STCD) detects the abnormal termination, and sends a message to the HSM informing it that the connection has ended, and the connection is closed. If the STCD sends an incorrect connection termination message, the client transparently re-establishes a new STC tunnel.

## Secure Message Transport

Once a secure tunnel is established, any messages sent over the STC link are encrypted and authenticated using the unique session keys created when the tunnel is established. In addition, as with NTLS, all STC links use the TLS protocol to secure the link when it traverses a network.

Messages traversing an STC link are protected using Symmetric Encryption and Message Integrity Verification. These features are configurable for each partition and are used for each STC link to that partition. See ["Configuring the Network and Security Settings for an STC Link" on page 273](#) for more information.

## Enabling or Disabling STC on the HSM

The STC functionality is enabled or disabled by setting HSM policy 39: Allow Secure Trusted Channel (see ["HSM Capabilities and Policies" on page 79](#)). The following instructions are for the HSM SO.



**Note:** Enabling **HSM policy 39: Allow Secure Trusted Channel** allows the appliance to use STC or NTLS links between the appliance and its registered partitions. It does not enable STC on the link between the appliance and the HSM (the STC admin channel). If you want to use STC end-to-end (client to HSM) then you must also enable the STC admin channel. See ["Establishing and Configuring the STC Admin Channel on a SafeNet Luna Network HSM Appliance" on page 266](#) for more information.

### Enabling STC on the HSM

You can enable STC on the HSM by turning on HSM policy 39: Allow Secure Trusted Channel. Enabling HSM policy 39 allows you to use STC or NTLS to provide the network link between an application partition and a client application. To use STC on a partition, you must also enable STC on the partition by turning on partition policy 37: Force Secure Trusted Channel. See ["Enabling or Disabling STC on a Partition" on page 265](#).



**Note:** If you do not plan to use STC in your appliance configuration, do not enable HSM policy 39.



**Note:** STC links are not supported over an IPv6 network. You must use NTLS to make partition-client connections via IPv6.

When you enable HSM policy 39: Allow Secure Trusted Channel, the following LunaSH STC commands are blocked, to protect the integrity of any existing STC links:

- **hsm stc identity create**
- **hsm stc identity initialize**
- **hsm stc identity delete**
- **hsm stc identity partition deregister**



**Note:** HSM zeroization disables partition policy 39: Allow Secure Trusted Channel. After zeroization, you will need to re-establish your STC links, as described in ["Restoring STC After HSM Zeroization" on page 278](#) and in ["Creating an STC Link Between a Client and a Partition" on page 1](#) in the *Configuration Guide*.

## To enable STC on the HSM

1. Login as HSM SO.

**hsm login**

2. Turn on HSM policy 39: Allow Secure Trusted Channel, which enables STC on the HSM. Enabling the policy is non-destructive.

**hsm changepolicy -policy 39 -value 1**

3. Verify that the policy is enabled:

**hsm showpolicies**

For example:

```
lunash:>hsm showpolicies
```

```
.
Description                               Value      Code      Destructive
.
Allow MofN                                 On         37        No
Allow Secure Trusted Channel               On         39        No
Allow partition re-initialize              Off        42        No
```

```
Command Result : 0 (Success)
```

4. (Optional) Enable the STC admin channel, as described in ["Establishing and Configuring the STC Admin Channel on a SafeNet Luna Network HSM Appliance" on page 266](#).

## Disabling STC on the HSM

You can disable STC on the HSM by turning off HSM policy 39: Allow Secure Trusted Channel. Disabling this policy is destructive. It zeroizes the HSM and turns off the ability to use STC to provide the network link between an application



partition and a client application, so that only NTLS links are permitted.

### To disable STC on the HSM:

1. Login as HSM SO.

**hsm login**

2. Turn off HSM policy 39: Allow Secure Trusted Channel, which disables STC on the HSM and zeroizes the HSM.

**hsm changepolicy -policy 39 -value 0**

You are prompted to confirm the action.

3. Verify that the policy is disabled:

**hsm showpolicies**

```
lunash:>hsm showpolicies
```

```
.
Description                               Value      Code      Destructive
.
Allow MofN                                 On         37        No
Allow Secure Trusted Channel               Off        39        No
Allow partition re-initialize              Off        42        No
```

```
Command Result : 0 (Success)
```

## Enabling or Disabling STC on a Partition

If STC is enabled on the HSM, you can enable STC on the specific partitions on which you want to use STC instead of NTLS. This allows you to use both NTLS and STC links on different partitions on the same HSM. The following instructions are for the Partition SO.

### Enabling STC on a Partition

Before you can enable STC on a partition, the HSM SO must enable STC on the HSM, as described in ["Enabling or Disabling STC on the HSM" on page 263](#). The partition SO can then enable STC on a partition by turning on partition policy 37: Force Secure Trusted Channel. Enabling partition policy 37 disables NTLS for the partition and forces it to use STC to provide the network link between the partition and a client application.

To use STC on a partition, you must also create a client token and client identity key pair and exchange and register the partition and client identity public keys between the partition and client, as described in ["Secure Trusted Channel \(STC\) Links" on page 1](#) in the *Configuration Guide*. Note that the partition token and identity is created automatically when you create a partition, regardless of whether STC is enabled or not.



**Note:** HSM zeroization disables partition policy 37: Force Secure Trusted Channel. After zeroization, you will need to re-establish your STC links, as described in ["Restoring STC After HSM Zeroization" on page 278](#) and in ["Creating an STC Link Between a Client and a Partition" on page 1](#) in the *Configuration Guide*.

### To enable STC on a partition:

1. Confirm with the HSM SO that STC is enabled on the HSM, as described in ["Enabling or Disabling STC on the HSM" on page 263](#).
2. Run LunaCM, set the active slot to the desired partition, and login as Partition SO.

```
slot set slot <slotnum>
```

```
role login -name po
```

- Turn on partition policy 37: Force Secure Trusted Channel, which enables STC on the specified partition.

```
partition changepolicy -policy 37 -value 1
```

- Verify that the policy is enabled:

```
partition showpolicies
```

```
lunash:>partition showpolicies
```

```
.
Description                               Value      Code
.
Allow CBC-PAD (un)wrap keys of any size   On         34
Force Secure Trusted Channel              On         37
```

```
Command Result : 0 (Success)
```

## Disabling STC on a Partition

The Partition SO can disable STC on a partition by turning off partition policy 37: Force Secure Trusted Channel. Disabling this policy terminates the existing STC connection to the partition and turns off the ability to use STC to provide the network link between the partition and a client application, so that only NTLS links are permitted.

### To disable STC on a partition:

- In LunaCM, set the active slot to the desired partition, and login as Partition SO:

```
slot set slot <slotnum>
```

```
role login -name po
```

- Turn off HSM policy 37: Allow Secure Trusted Channel, which terminates the existing STC connection to the partition.

```
partition changepolicy -policy 37 -value 0
```

You are prompted to confirm the action.

- Verify that the policy is disabled:

```
partition showpolicies
```

```
lunacm:>partition showpolicies
```

```
.
Description                               Value      Code
.
Allow CBC-PAD (un)wrap keys of any size   On         34
Force Secure Trusted Channel              Off        37
```

```
Command Result : 0 (Success)
```

## Establishing and Configuring the STC Admin Channel on a SafeNet Luna Network HSM Appliance

STC allows you to protect all communications to the HSM, including those that originate on the SafeNet Luna Network HSM appliance, by enabling the STC admin channel. The STC admin channel is local to the appliance, and is used to

transmit data between the local services and applications running on the appliance (such as LunaSH, NTLS, and the STC service) and the HSM SO partition. The STC admin channel link is configured separately from the client-partition links, and can be enabled or disabled as required. The following instructions are for the HSM SO.



**Note:** Enabling the STC admin channel forces all client-partition links (NTLS or STC) to use STC on the portion of the link from the appliance to the HSM. This may affect NTLS link performance.

## Enabling the STC Admin Channel on a SafeNet Luna Network HSM Appliance

When enabled, all communications from the appliance operating system to the HSM are transmitted over the STC admin channel.



**CAUTION:** Enabling the STC admin channel is service-affecting. It causes an STC service restart, which temporarily terminates all existing STC links to the appliance. It also terminates the existing HSM login session.

### To enable the STC admin channel on a SafeNet Luna Network HSM appliance:

1. Open a LunaSH session on the appliance and log in as the HSM SO.

**hsm login**

2. Enable the STC admin channel:

**hsm stc enable**

```
lunash:>hsm stc enable
```

```
Enabling local STC will require a restart of STC service.
Any existing STC connections will be terminated.
```

```
Type 'proceed' to enable STC on the admin channel, or 'quit'
to quit now. > proceed
```

```
Successfully enabled STC on the admin channel.
```

```
Command Result : 0 (Success)
```

## Disabling the STC Admin Channel on a SafeNet Luna Network HSM Appliance

When disabled, all communications from the appliance operating system to the HSM are transmitted, unencrypted, over the local bus.



**Note:** Disabling the STC admin channel is service affecting. It causes an STC service restart, which temporarily terminates all existing STC links to the appliance. It also terminates the existing HSM login session.

### To disable the STC admin channel on a SafeNet Luna Network HSM appliance:

1. Open a LunaSH session on the appliance and log in as the HSM SO.

**hsm login**

2. Disable the STC admin channel:

**hsm stc disable**

```
lunash:>hsm stc disable
```

```
Disabling STC on the admin channel will require a restart of STC service.
Any existing STC connections will be terminated.
```

```
Type 'proceed' to disable STC on the admin channel, or 'quit'
to quit now. > proceed
```

```
Successfully disabled STC on the admin channel.
```

```
Command Result : 0 (Success)
```

## Configuring the STC Admin Channel on a SafeNet Luna Network HSM Appliance

STC provides several configurable options that define the network settings for an STC link, and the security settings for the messages transmitted over the link. Although default values are provided that provide the optimal balance between security and performance, you can override the defaults, if desired. See ["Configuring the Network and Security Settings for an STC Link" on page 273](#) for more information.

## Using a Hard Token to Store the STC Client Identity

By default, STC uses a software token to store the client identity. When using a software token, the client's private key is intentionally portable. That is, it can be moved or copied to another host and used – so any client that possesses this identity pair is considered the authentic client. Allowing this enables an elastic client model – an important capability for many applications.

Alternatively, you can choose to use a SafeNet eToken 7300 hardware token to protect the client's private key. When using hard tokens, the client's private key is marked as non-extractable, so only a host with the hard token inserted can successfully authenticate to the HSM partition. The SafeNet eToken 7300 is a FIPS 140-2 Level 3 device. The eToken 7300 comes pre-configured for one of two certification types, Common Criteria or FIPS. STC supports the Common Criteria version only.

If you want to use a SafeNet eToken 7300 hardware token to store the client identity, you must initialize the hard token to prepare it for use with STC, as described in ["Initializing a SafeNet eToken 7300 Hardware Token" below](#).

If you want to recover a SafeNet eToken 7300 hardware token that is in a bad state, you must use the SafeNet Authentication Client software to re-initialize the token and reset the default password, as described in ["Recovering a SafeNet eToken 7300 Hardware Token" on page 270](#).

## Initializing a SafeNet eToken 7300 Hardware Token

This section describes how to initialize a new (out of the box) SafeNet eToken 7300 for use with STC. Hard token initialization is supported in Windows only. Once the hard token is initialized, you can use it with a Windows, Linux, or Solaris SafeNet Luna Client.

### Prerequisites

You require the following software on the workstation used to initialize a SafeNet eToken 7300 hardware token:

- A supported Windows 64-bit operating system
- The SafeNet Luna Client software (6.0 or higher)

- The SafeNet Authentication Client software (64 bit, 8.3 or higher)

### To initialize a SafeNet eToken 7300 hardware token:

1. Ensure that the required software is installed on the workstation you are going to use to initialize the token.
2. Edit the **C:\Program Files\SafeNet\LunaClient\crystoki.ini** file to specify the path to the client token library:
  - a. Go to the **Secure Trusted Channel** section and add or update the **ClientTokenLib** entry as follows:
 

```
ClientTokenLib=C:\Windows\System32\etoken.dll
```
3. Insert the SafeNet eToken 7300 token into an available USB slot.
4. Launch LunaCM and enter the following command to verify that the token is recognizable:

#### stc tokenlist

For example:

#### – Uninitialized token:

```
lunacm:> stc tokenlist
```

Token Slot ID	Token Label	Serial Number	Initialized
1		51ea973112	No

#### – Previously initialized token

```
lunacm:> stc tokenlist
```

Token Slot ID	Token Label	Serial Number	Initialized
1	stcHWtoken	51ea973112	Yes

5. Enter the following command to initialize the token:

#### stc tokeninit -label <label>

For example:

#### – Uninitialized token:

```
lunacm:> stc tokeninit stcHWtoken
```

```
Successfully initialized the client token.
```

#### – Previously initialized token

```
lunacm:> stc tokenlist
```

```
The client token stcHWtoken is already initialized.
Are you sure you want to re-initialize?
Type 'proceed' to continue, or 'quit' to quit now --> proceed
Successfully initialized the client token.
```

6. You can now take the token and use it for STC purposes. You can use it in Solaris, Linux, and Windows at this point. You must perform the following tasks on any SafeNet Luna Client workstations on which you intend to use the SafeNet eToken 7300 hardware token:
  - a. Install the SafeNet Authentication Client software (8.3 or higher)
  - b. Add the following line to the **Secure Trusted Channel** section of the **crystoki.ini** (Windows) or **Chrystoki.conf** (UNIX/Linux) file, to specify the path to the SafeNet Authentication Client eToken library:

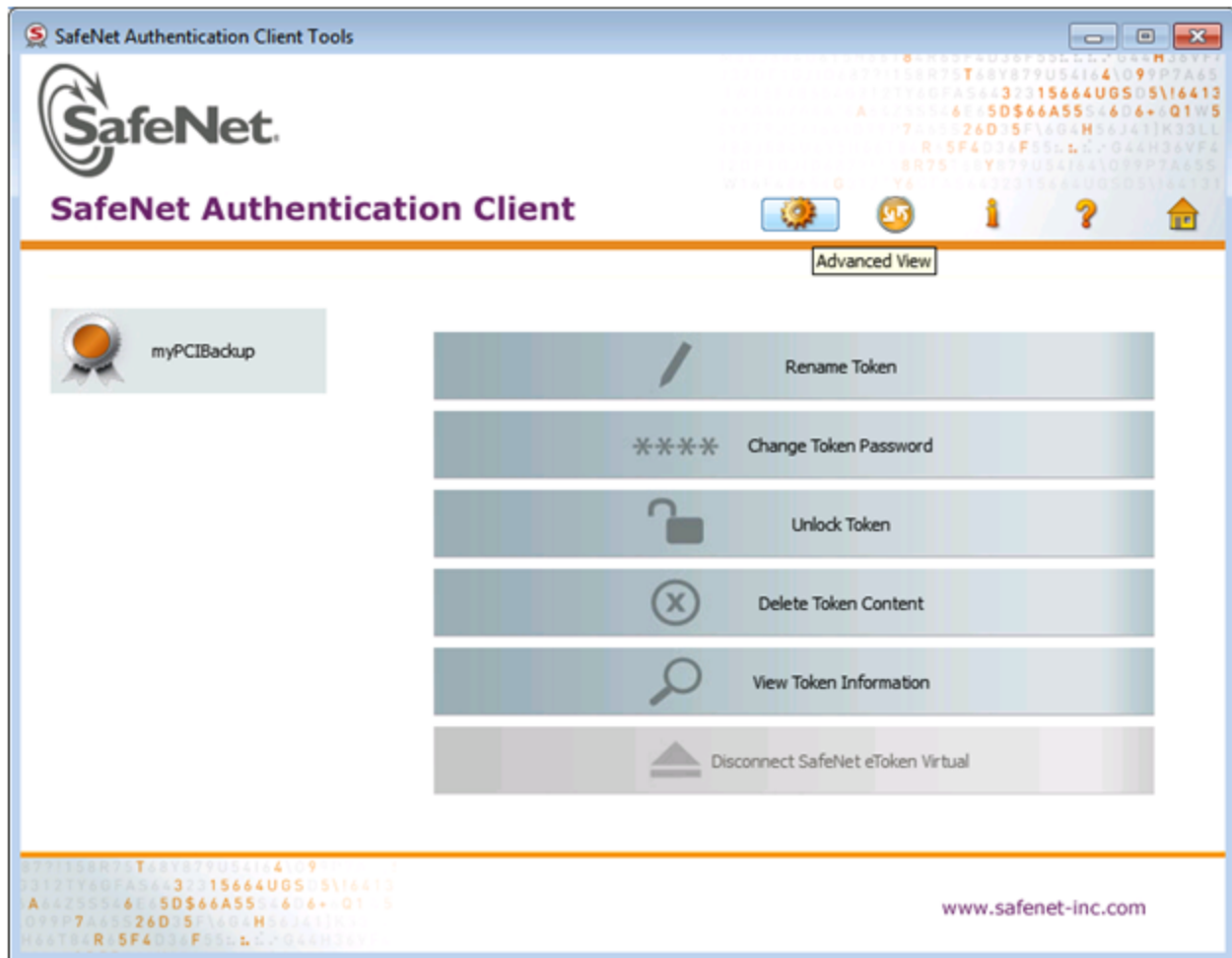
<b>Windows</b>	<b>ClientTokenLib=C:\Windows\System32\leToken.dll</b>
<b>Linux/UNIX</b>	<b>ClientTokenLib=&lt;path_to_libeToken.so&gt;</b> For example, on CentOS, the path is <b>/usr/lib/libeToken.so</b>

## Recovering a SafeNet eToken 7300 Hardware Token

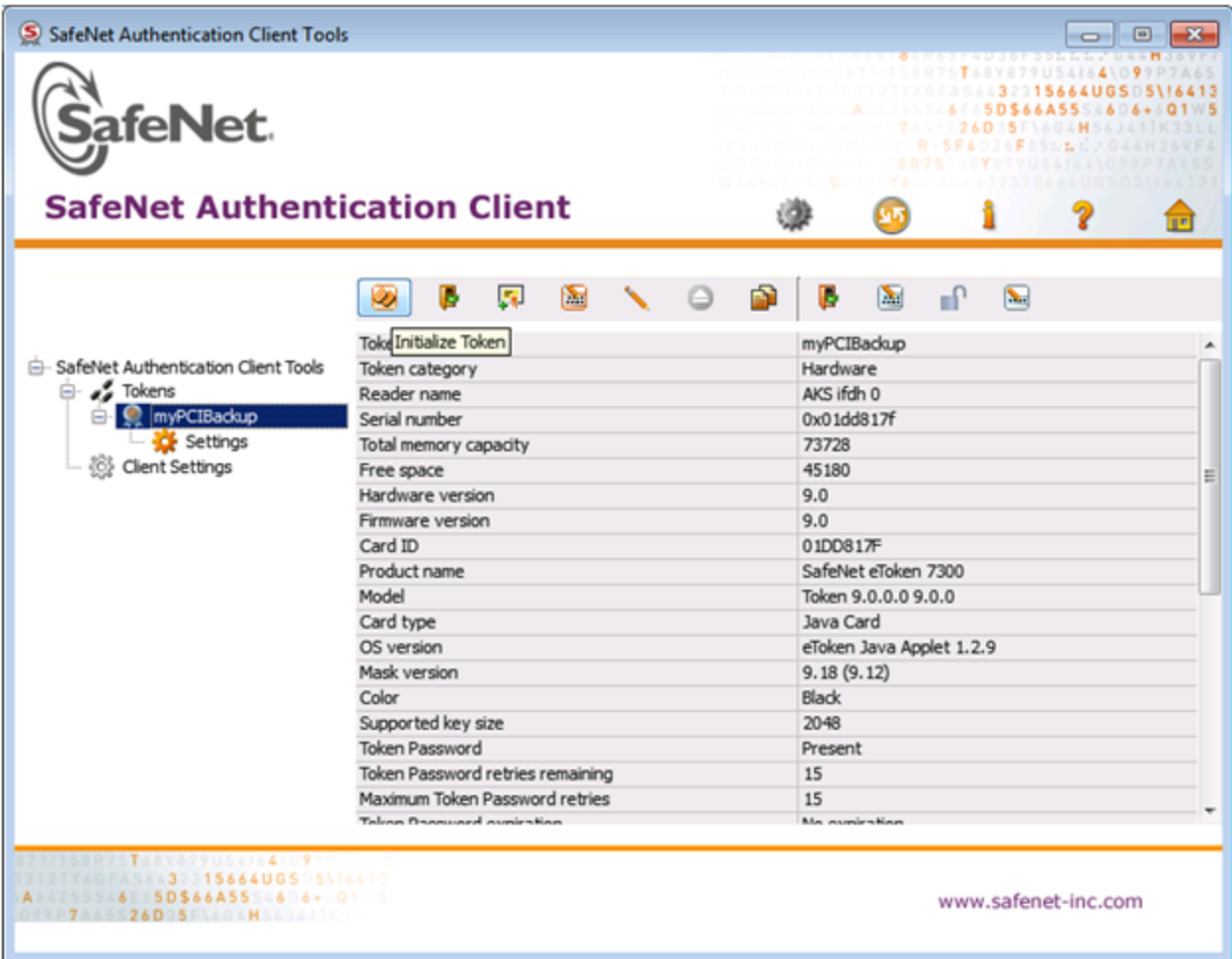
You can use the Windows SafeNet Authentication Client software (8.3 or higher, 64-bit) to recover a SafeNet eToken 7300 that is in an unresponsive state.

### To recover an unresponsive SafeNet eToken 7300:

- Update the registry to add or modify the following entries:
  - HKEY\_CURRENT\_USER\Software\SAFENET\AUTHENTICATION\SAC\Init\KeepTokenInit = 1
  - HKEY\_LOCAL\_MACHINE\Software\policies\SAFENET\AUTHENTICATION\SAC\PQ\pqMaxPin = 64
  - HKEY\_LOCAL\_MACHINE\Software\policies\SAFENET\AUTHENTICATION\SAC\PQ\pqWarnPeriod = 0
- Launch **SafeNet Authentication Client Tools** from Windows > All Programs > SafeNet > **SafeNet Authentication Client**, and click the **Advanced View** icon.



3. Under the **Tokens** heading in the left-hand column, select the eToken you want to initialize, and click the **Initialize Token** icon to start the initialization.

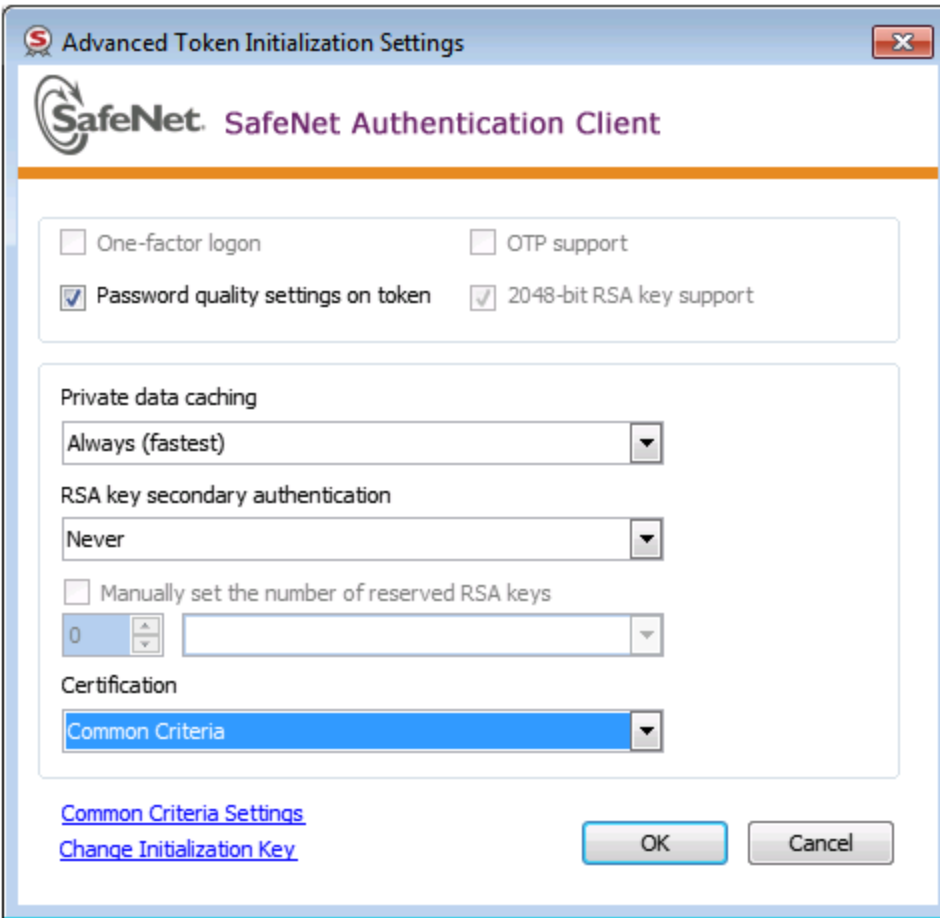


4. On the **Token Initialization** dialog, apply a token name to distinguish this eToken 7300 from other SafeNet STC tokens, and reset the password as follows:
  - a. Set the new token password to **password**.
  - b. Uncheck the **Token Password must be changed on first logon** checkbox.

The screenshot shows the 'Token Initialization' dialog box of the SafeNet Authentication Client. The window title is 'Token Initialization' and the client name is 'SafeNet Authentication Client'. The 'Token Name' field contains 'My Token'. There are two sections for password creation: 'Create Token Password' (unchecked) and 'Create Administrator Password' (checked). Each section has fields for 'New Password', 'Confirm', and 'Logon retries before token is locked' (set to 15). A note states: 'Note: Many tokens can be unlocked only if they have an Administrator Password.' At the bottom, there is a checkbox for 'Token Password must be changed on first logon' (unchecked), the text 'Current Language: EN', and two buttons: 'Start' and 'Close'. There are also two links: 'Partitioning Settings' and 'Advanced Settings'.

5. Select **Advanced Settings** at the bottom left of the dialog.
6. In the **Advanced Settings** dialog, ensure that the **Certification** type matches the type of the eToken (in this case, Common Criteria) and click **OK** to return to the **Token Initialization** dialog.





7. In **Token Initialization**, click **Start** to launch token initialization. Two progress bars are shown followed by a success announcement.

## Configuring the Network and Security Settings for an STC Link

STC provides several configurable options that define the network settings for an STC link, and the security settings for the messages transmitted over the link. Although default values are provided that provide the optimal balance between security and performance, you can override the defaults, if desired.

The configurable options are set at the partition level and apply to all STC links to a specific partition. This allows you to configure different settings for individual partitions. You must have SO privileges to the partition to configure its STC options.

For the STC admin channel, the configurable options apply to all communications between the HSM and the local services and applications on the appliance, such as LunaSH and NTLS.

### Configurable Options

You can configure the following options for partition/client STC links, or for the STC link between the HSM and the appliance operating system for local services and applications on the appliance, such as LunaSH and NTLS (the

STC admin channel).

Use LunaCM to configure the STC options for partitions with SO. Use LunaSH to configure the STC options for partitions owned by the HSM SO, and to configure the link between LunaSH and the HSM.

### Link Activation Timeout

The activation timeout is the maximum time allowed to establish the STC link before the channel request is dropped. You can configure this option to specify the activation timeout for all STC links to a partition.

See ["stcconfig activationtimeoutset" on page 1](#) in the *LunaCM Command Reference Guide*.

See the following commands in the *LunaSH Command Reference Guide*:

- ["stc activationtimeout set" on page 1](#) for client-partition links.
- ["hsm stc activationtimeout set" on page 1](#) for the LunaSA admin channel link.

### Message Encryption

By default, all messages traversing an STC link are encrypted. You can configure this option to specify the level of encryption used (AES 128, AES 192, or AES 256) on all STC links to a partition, or to disable encryption on all STC links to a partition.

See ["stcconfig cipherset" on page 1](#) in the *LunaCM Command Reference Guide*.

See the following commands in the *LunaSH Command Reference Guide*:

- ["stc cipher enable" on page 1](#) for client-partition links.
- ["hsm stc cipher enable" on page 1](#) for the appliance admin channel link.

### Message Integrity Verification

By default, the integrity of all messages traversing an STC link is verified using an HMAC message digest algorithm. You can configure this option to specify the algorithm used (HMAC with SHA 256, or HMAC with SHA 512).

See ["stcconfig hmacset" on page 1](#) in the *LunaCM Command Reference Guide*.

See the following commands in the *LunaSH Command Reference Guide*:

- ["stc hmac enable" on page 1](#) for client-partition links.
- ["hsm stc hmac enable" on page 1](#) for the appliance admin channel link.

### Rekey Threshold

The session keys and encryption keys created when an STC tunnel is established are automatically regenerated after the number of messages specified by the rekey threshold have traversed the link. You can configure this option to specify the key life for the session and encryption keys used on all STC links to a partition.

See ["stcconfig rekeythresholdset" on page 1](#) in the *LunaCM Command Reference Guide*.

See the following commands in the *LunaSH Command Reference Guide*:

- ["stc rekeythreshold set" on page 1](#) for client-partition links.
- ["hsm stc rekeythreshold set" on page 1](#) for the appliance admin channel link.

## Managing STC Tokens and Identities

Each SafeNet Luna HSM client and partition, (including the HSM SO partition and the SafeNet Luna Network HSM operating system, for the admin channel link) that serves as an STC endpoint has a unique identity, defined by a 2048-bit RSA asymmetric public/private key pair. The STC identity key pair is stored in the STC token associated with the client or partition. Before STC can create secure tunnels, trust must be established between the client and the partition, through the exchange of public keys.

Partition tokens and identities are created automatically.

Client tokens and identities are created manually, using LunaCM. The Client can use either a software token (the default) or a SafeNet eToken 7300 Hardware Token (see ["Using a Hard Token to Store the STC Client Identity" on page 268](#)).

Under normal operating conditions, you should not need to recreate the STC tokens or identities. If, however, you want or need to re-create the STC tokens or identities for operational or security reasons, STC provides commands to do so, as follows:

### Client Tokens and Identities

Refer to the following commands in the *LunaCM Command Reference Guide*:

Command	Description
<b>stc identitycreate</b>	Create a client identity on the STC client token. See <a href="#">"stc identitycreate" on page 1</a> .
<b>stc identitydelete</b>	Delete a client identity from the STC identity token. See <a href="#">"stc identitydelete" on page 1</a> .
<b>stc identityexport</b>	Export the STC client identify to a file. See <a href="#">"stc identityexport" on page 1</a> .
<b>stc identityshow</b>	Display the client name, public key hash, and registered partitions for the STC client token. See <a href="#">"stc identityshow" on page 1</a> .
<b>stc partitionderegister</b>	Remove a partition identity from the STC client token. See <a href="#">"stc partitionderegister" on page 1</a> .
<b>stc partitionregister</b>	Register a partition to the STC client token. See <a href="#">"stc partitionregister" on page 1</a> .
<b>stc tokeninit</b>	Initialize a client token. See <a href="#">"stc tokeninit" on page 1</a> .
<b>stc tokenlist</b>	List the available STC client identity tokens. See <a href="#">"stc tokenlist" on page 1</a> .

### STC Admin Channel Identity

Refer to the following commands in the *LunaSH Command Reference Guide*:

Command	Description
<b>hsm stc identity create</b>	Create a STC client identity for the STC admin channel. See <a href="#">"hsm stc identity create" on page 1</a> .
<b>hsm stc identity delete</b>	Delete the STC admin channel client identity. See <a href="#">"hsm stc identity delete" on page 1</a> .
<b>hsm stc identity initialize</b>	Initialize the STC admin channel client token. See <a href="#">"hsm stc identity</a>

Command	Description
	<a href="#">initialize</a> on page 1.
<b>hsm stc identity partition deregister</b>	Remove the HSM SO partition identity public key that is currently registered with the STC admin channel client token. See <a href="#">"hsm stc identity partition deregister"</a> on page 1.
<b>hsm stc identity partition register</b>	Register the HSM SO partition identity public key with the STC admin channel client token. See <a href="#">"hsm stc identity partition register"</a> on page 1.
<b>hsm stc identity show</b>	Display the client name, public key hash, and registered partitions for the STC admin channel client token. See <a href="#">"hsm stc identity show"</a> on page 1.

## Restoring STC After HSM Zeroization

The HSM partitions contain the registered client identities used to validate STC clients. Since these are not crypto objects, they are not backed up as part of a normal partition backup. When you perform a destructive operation that results in the HSM being zeroized, such as a login failure, application of a destructive capability upgrade (CUF), factory reset, or HSM decommission, the registered client identities are lost. The partitions must be recreated and STC client connections re-established. The Partition SO can then restore the partition objects from backup using the procedure described in ["Backup and Restore HSMs and Partitions"](#) on page 36.

If the HSM or partition is zeroized, the following actions occur:

- HSM policy 39: Allow Secure Trusted Channel is turned off.
- If the STC admin channel is enabled, the STC admin partition identity is deleted, breaking the STC link between LunaSH and the HSM SO partition (the admin channel) on the SafeNet Luna Network HSM appliance.
- The STC application partition identities are deleted, breaking the STC links between the application partitions and their registered clients.

See ["Creating an STC Link Between a Client and a Partition"](#) on page 1 in the *Configuration Guide* for a detailed description of how to reconfigure your STC links. You do not need to recreate client tokens or identities. Below is a simplified version of the process to reconfigure STC after HSM zeroization:

### HSM SO (LunaSH):

1. Login as HSM SO and enable Policy 39: Allow Secure Trusted Channel.  
**hsm changepolicy -policy 39 -value 1**
2. Create the new partition.  
**partition create -partition <label>**
3. Export the partition identity public key to the file system.  
**stc partition export -partition <label>**
4. Use **scp** or **pscp** to transfer the partition identity public key (\*.pid) from the appliance and provide it to the client (Partition SO) by secure means.



**Note:** If you restored the appliance's NTLS configuration from backup, you do not need to provide the HSM Server Certificate (**server.pem**). If you choose to regenerate the HSM identity using **sysconf regencert**, you must provide the new certificate to the Partition SO along with the partition identity public key.

- Optionally, reestablish STC on the HSM admin channel.

```
hsm stc enable
service restart stc
```

### Partition SO:

- If you received a new HSM Server Certificate (**server.pem**) from the HSM SO, delete the original server identity and register the new one.

```
vtl deleteserver -n <server_IP_or_hostname>
vtl addserver -n <server_IP_or_hostname> -c <server_certificate_filename>
```

- Run LunaCM and register the new partition identity public key to the STC client identity.

```
stc partitionregister -file <partition_identity> [-label <partition_label>]
```

- Restart LunaCM to see the partition slot.

```
clientconfig restart
```

- If you registered a new HSM Server Certificate, find the correct server ID and enable STC.

```
clientconfig listservers
stc enable -id <server_ID>
```

- Initialize the partition.

```
partition init -label <partition_label>
```

- Login as Partition SO and register any additional client identity public keys to the partition. You can use the original public key files, unless the client identities have been recreated. If so, the client administrators must provide them.

```
stcconfig clientregister -label <client_label> -file <client_identity>
```

- Provide the partition identity public key (and, if applicable, the HSM Server Certificate) to each additional client administrator by secure means.

### Additional Client Administrators:

- If you received a new HSM Server Certificate (**server.pem**) from the Partition SO, delete the original server identity and register the new one.

```
vtl deleteserver -n <server_IP_or_hostname>
vtl addserver -n <server_IP_or_hostname> -c <server_certificate_filename>
```

- Run LunaCM and register the new partition ID public key to the STC client identity.

```
stc partitionregister -file <partition_identity>
```

- If you registered a new HSM Server Certificate, find the correct server ID and enable STC. If not, restart LunaCM to see the partition slot.

```
- clientconfig listservers
stc enable -id <server_ID>
```

- **clientconfig restart**

## Troubleshooting

### Restoring STC After HSM Zeroization

The STC client identities are not backed up with the HSM configuration and you must re-register them manually after HSM zeroization. See "[Restoring STC After HSM Zeroization](#)" on page 276 for an outline of this process.

### Restoring STC After Regenerating the HSM Server Certificate on the SafeNet Luna Network HSM Appliance

If you regenerate the HSM Server Certificate on the appliance (using the command "[sysconf regencert](#)" on page 1 in the *LunaSH Command Reference Guide*), you must complete the following steps to restore any STC links to the appliance:

#### HSM SO:

- Using LunaSH, restart the NTLS and STC services.
 

```
service restart ntl
service restart stc
```
- Provide the new HSM Server Certificate (**server.pem**) to each client by **scp**, **pscp**, or other secure means.

#### Clients:

- Delete the original server identity from the client using the **vtl** utility.
 

```
vtl deleteserver -n <server_IP_or_hostname>
```
- Register the new HSM Server Certificate you received from the HSM SO.
 

```
vtl addserver -n <server_IP_or_hostname> -c <server_certificate_filename>
```
- Run LunaCM, find the new Server ID, and enable STC for the server.
 

```
clientconfig listservers
stc enable -id <server_ID>
```

### SALogin Error

The **salogin** utility is compatible with NTLS-enabled slots only. If you attempt to use the **salogin** utility with an STC-enabled slot, you will get an error similar to the following. See "[Using the salogin Utility](#)" on page 1 in the *Utilities Reference Guide* for more information:

```
# ./salogin -o -s 0 -i 1:1 -p userpin
CA_OpenApplicationID: failed to open application id. err 0x80000030
token not present or app id already open?
```

# Slot Numbering and Behavior

Administrative partitions and application partitions are identified as PKCS#11 cryptographic slots in SafeNet utilities, such as LunaCM and multitoken, and for applications that use the SafeNet library.

## Order of Occurrence for Different SafeNet Luna HSMs

A host computer with SafeNet Luna HSM Client software and SafeNet libraries installed can have SafeNet Luna HSMs connected in any of three ways:

- PCIe embedded/inserted SafeNet Luna PCIe HSM card (one or multiple HSMs installed - administrative partitions and application partitions are shown separately)
- USB-connected SafeNet Luna USB HSMs (one or multiple - administrative partitions and application partitions are shown separately)
- SafeNet Luna Network HSM application partitions(\*), registered and connected via NTLS or STC.

Any connected HSM partitions are shown as numbered slots. Slots are numbered from zero or from one, depending on configuration settings (see "[Settings Affecting Slot Order](#)" on the next page, below), and on the firmware version of the HSM(s).

(\*One or multiple application partitions. Administrative partitions on SafeNet Luna Network HSMs are not visible via LunaCM or other client-side tools. Only registered, connected application partitions are visible. The number of visible partitions (up to 100) depends on your model's capabilities. That is, a remote SafeNet Luna Network HSM might support 100 application partitions, but your application and LunaCM will only see partitions that have established certificate-exchange NTLS links with the current Client computer.)

In LunaCM, a slot list would normally show:

- SafeNet Luna Network HSM application partitions for which NTLS links are established with the current host, followed by
- SafeNet Luna PCIe HSM cards, followed by
- SafeNet Luna USB HSMs

For SafeNet Luna Network HSM, as seen from a client (via NTLS), only application partitions are visible. The HSM administrative partition of a remote SafeNet Luna Network HSM is never seen by a SafeNet Luna HSM Client. The SafeNet Luna Network HSM slots are listed in the order they are polled, dictated by the entries in the **SafeNet Luna Network HSM** section of the `Crystoki.ini / chrystoki.conf` file, like this:

```
ServerName00=192.20.17.200
ServerPort00=1792
ServerName01=192.20.17.220
ServerPort01=1793
```

For SafeNet Luna PCIe HSM and SafeNet Luna USB HSM, if you have multiple of either HSM type connected on a single host, then the order in which they appear is the hardware slot number, as discovered by the host computer.

For SafeNet Luna PCIe HSM and SafeNet Luna USB HSM, the HSM administrative slot always appears immediately after the application partition. If no application partition has yet been created, a space is reserved for it, in the slot numbering.

## Settings Affecting Slot Order

Settings in the **Presentation** section of the configuration file (Chrystoki.conf for UNIX/Linux, crystoki.ini for Windows) can affect the numbering that the API presents to SafeNet tools (like LunaCM) or to your application.

[Presentation]

ShowUserSlots=<slot>(<serialnumber>)

- Sets starting slot for the identified partition.
- Default, when ShowUserSlots is not specified, is that all available partitions are visible and appear in default order.
- Can be applied, individually, to multiple partitions, by a single entry containing a comma-separated list (with partition serial numbers in brackets):  
ShowUserSlots=1(351970018022), 2(351970018021), 3(351970018020),....
- Affects only PSO partitions (f/w 6.22.0 or newer)
- If multiple partitions on the same HSM are connected to the SafeNet Luna HSM Client host computer, redirecting one of those partitions with ShowUserSlots= causes all the others to disappear from the slot list, unless they are also explicitly re-ordered by the same configuration setting.

ShowAdminTokens=yes

- Default is yes. Admin partitions of local HSMs are visible in a slot listing.
- Remotely connected partitions (SafeNet Luna Network HSM) are not affected by this setting, because NTLS connects only application partitions, not HSM SO (Admin) partitions to clients, so a SafeNet Luna Network HSM SO administrative partition would never be visible in a client-side slot list, regardless.

ShowEmptySlots=1

- Controls how C\_GetSlotList - as used by lunacm slot list command, or ckdemo command 14, and by your PKCS#11 application - displays, or does not display unused potential slots, when the number of partitions on an HSM is not at the limit.

OneBaseSlotId=1

- Causes basic slot list to start at slot number 1 (one) instead of default 0 (zero).  
(Any submitted number other than zero is treated as "1". Any letter or other non-numeric character is treated as "0".)

## Effects of Settings on Slot List

Say, for example, you have multiple HSMs connected to your host computer (or installed inside), with any combination of firmware 6.22.0 (and newer) or pre-6.22.0 firmware, and no explicit entries exist for slot order in the config file. The defaults prevail and the slot list would start at zero.

If you set OneBaseSlotId=1 in the configuration file, then the slot list starts at "1" instead of at "0". You could set this for personal preference, or according to how your application might expect slot numbering to occur (or if you have existing scripted solutions that depend on slot numbering starting at zero or starting at one). OneBaseSlotId affects the starting number for all slots, regardless of firmware.

If you set ShowUserSlots=20(17923506), then the identified token or HSM or application partition would appear at slot 20, regardless of the locations of other HSMs and partitions.



## Effects of New Firmware on Slot Login State

Slots retain login state when current-slot focus changes. You can use the LunaCM command **slot set** to shift focus among slots, and whatever login state existed when you were previously focused on a slot is still in effect when you return to that slot.

# Software, Firmware, and Capability Upgrades

This chapter describes how to maintain and update the functionality of your HSMs by performing the following tasks:

- ["Software and Firmware Upgrades" below](#)
- ["HSM Capability and Partition Upgrades" on page 287](#)

## Software and Firmware Upgrades

---

Your system consists of components that might, from time to time, require updating to newer versions. The newer version might have fixes or functional improvements that are useful or important for your application. The components that might be affected are:

- Client software. See ["Client Software Upgrades" below](#)
- SafeNet Luna Network HSM appliance software (the LunaSH command-line shell and its underlying software). See ["Appliance Software Upgrades" below](#).
- SafeNet Luna Network HSM firmware upgrades. See ["HSM Firmware Upgrades" on page 284](#).
- SafeNet Luna Backup HSM firmware. See ["Upgrading the SafeNet Luna Backup HSM Firmware" on page 285](#).



**CAUTION:** If you require that your SafeNet Luna Network HSM be FIPS-certified, you must use FIPS-certified firmware. Refer to ["Customer Release Notes" on page 12](#) for more information.

---

## Client Software Upgrades

To upgrade the SafeNet Luna HSM Client software, first uninstall any previous version of the Client. Then, run the new installer the same way you performed the original installation (see ["SafeNet Luna HSM Client Software Installation" on page 1](#) in the *Installation Guide*).

The client uninstaller, when invoked on Windows, removes libraries, utilities and other material related to the client, but does not remove configuration files and certificates. This allows you to install the newer version and be able to resume operation without need to manually restore configuration settings and without need to recreate, re-exchange, and re-register client and appliance certificates for NTLS.

## Appliance Software Upgrades

Appliance software updates may include an image of the latest HSM firmware, which you may need to install to take advantage of all of the features in a release. If so, when you install the software, a firmware image is also installed onto the appliance file system. This image becomes the default upgrade firmware, and replaces the existing default upgrade

firmware stored on the appliance. Note that firmware installation is a separate process (see "[HSM Firmware Upgrades](#)" on the next page).



**Note:** Appliance software upgrade is a one-way operation. There is currently no way to downgrade the appliance software once a new version is applied. This contrasts with the SafeNet Luna HSM client software, which can be replaced with any version by uninstalling the current version and installing a desired version, and the SafeNet Luna HSM firmware, which can be rolled back to the version that was installed before the currently-installed version.

### To upgrade the appliance software:

To update system software and firmware, you must move the updates, in the form of update package files, to SafeNet Luna Network HSM and apply them. Updates are accompanied by instructions that provide detailed update instructions for each component. System and firmware updates require an authentication code, which is provided in a text file accompanying the update package. See "[package](#)" on page 1 in the *LunaSH Command Reference Guide* for command syntax.

1. Copy the appliance software package file to the SafeNet Luna Network HSM, as follows:

<b>Linux/UNIX</b>	<b>scp &lt;path&gt;/&lt;packagename&gt;.spkg admin@&lt;appliance_host_or_IP&gt;:</b>
<b>Windows</b>	<b>pscp &lt;path&gt;\&lt;packagename&gt;.spkg admin@&lt;appliance_host_or_IP&gt;:</b>

2. Stop all client applications connected to the SafeNet Luna Network HSM appliance.
3. At the "login as:" prompt, login to the appliance as admin.
4. At the LunaSH prompt, login as HSM SO:

**hsm login**

5. [Optional Step] Verify that the file that you copied is present on the SafeNet Luna Network HSM:

**package listfile**

6. [Optional Step] Verify the package on the SafeNet Luna Network HSM:

**package verify <filename>.spkg -authcode <code\_string>**

where <code> is the authorization code from <filename>.auth.

7. Install the software upgrade package on the SafeNet Luna Network HSM:

**package update <filename>.spkg -authcode <code\_string>**

where <code> is the authorization code from <filename>.auth.

The installation/update process requires approximately one and a half minutes. During that time, a series of messages shows the progress of the update.

8. At the end of this process, a message "Software update completed!" appears. If the software update also included a firmware update, then the latest firmware upgrade package is now on the appliance, waiting to be installed in the HSM.
9. Perform a reboot of the SafeNet Luna Network HSM appliance before you update the firmware:

**sysconf appliance reboot**

## HSM Firmware Upgrades

In general, a new SafeNet Luna Network HSM is delivered with the current FIPS- validated firmware installed on the HSM card, and with the most recent firmware version included - waiting, but not yet installed - on the SafeNet Luna Network HSM hard drive as an optional update. Similarly, when you install a software update package that includes a firmware component, the software is changed and the accompanying new firmware goes into the waiting area on the appliance hard disk, replacing any previous optional firmware.

You can install the firmware image that is waiting on the appliance, or you can download and install a different version, if desired.

If you want to upgrade the firmware on a SafeNet Luna Backup HSM, see ["Upgrading the SafeNet Luna Backup HSM Firmware" on the next page](#).



**Note:** It is strongly recommended that your SafeNet Luna Network HSM be powered from an uninterruptible power supply (UPS) when you perform the firmware update. There is a small chance that a power failure during the update command could leave your SafeNet Luna Network HSM in an unrecoverable condition.

### To upgrade the HSM firmware:

1. If you are not installing the default upgrade firmware that is waiting on the appliance, obtain the firmware update secure package from Technical Support. Use scp/pscp to upload the package to the SafeNet Luna Network HSM appliance. See ["package" on page 1](#) in the *LunaSH Command Reference Guide* for command syntax.

<b>Linux/UNIX</b>	<b>scp</b> <path>/<packagename>.spkg admin@<appliance_host_or_IP>:
<b>Windows</b>	<b>pscp</b> <path>\<packagename>.spkg admin@<appliance_host_or_IP>:

2. Stop all client applications connected to the SafeNet Luna Network HSM appliance.
3. At the login prompt, log in to the SafeNet Luna Network HSM appliance as admin.
4. Log in as HSM SO:

**hsm login**

5. [Optional Step] If you uploaded a new firmware version to the appliance, verify that the file that you copied is present on the SafeNet Luna Network HSM:

**package listfile**

6. [Optional Step] If you uploaded a new firmware version to the appliance, verify the package on the SafeNet Luna Network HSM:

**package verify** <filename>.spkg -authcode <code\_string>

where <code> is the authorization code from <filename>.auth.

7. Install the firmware upgrade package on the SafeNet Luna Network HSM.



**Note:** For customers using a service provider model, you can use the **-useevp** option to specify use of OpenSSL EVP (Digital EnVeloPe library) API to validate the update package, rather than invoking the HSM to do so (which would require HSM SO login). See ["package update" on page 1](#) in the *LunaSH Command Reference Guide*.

**package update** <filename>.spkg-authcode <code\_string>

where `<code_string>` is the authorization code from `<filename>.auth`.

The package update process completes in seconds. The firmware package is now on the appliance, waiting to be installed in the HSM.

8. Run the firmware upgrade command:

```
hsm firmware upgrade
```

9. Log in to the HSM:

```
hsm login
```

10. Verify that the change has taken place. The installed firmware should show the desired target version:

```
hsm show
```

## Upgrading the SafeNet Luna Backup HSM Firmware

To upgrade the firmware on a SafeNet Luna Backup HSM, use LunaCM on a SafeNet Luna HSM client computer that is connected to the SafeNet Luna HSM and contains a copy of the firmware upgrade (.fuf) file with its associated firmware authentication code (.txt) file.

### To upgrade the SafeNet Luna Backup HSM firmware:

1. Copy the firmware file (`<fw_filename>.fuf`) to the client root directory. Defaults are:
  - Windows: `C:\Program Files\SafeNet\LunaClient`
  - Linux: `/usr/safenet/lunaclient/bin`
2. Obtain the firmware authorization code:
  - a. Contact Gemalto Technical Support. The firmware authorization code is provided as a text file.
  - b. Copy the `<fw_authcode_filename>.txt` file to the client root directory. Defaults are:
    - Windows: `C:\Program Files\SafeNet\LunaClient`
    - Linux: `/usr/safenet/lunaclient/bin`
3. Launch LunaCM.
4. If more than one HSM is installed, note which slot is assigned to that HSM and select it.
 

```
slot set -slot <slot_number>
```
5. Login as HSM SO.
 

```
role login -name so
```
6. Enter the following command to upgrade the firmware on the HSM:
 

```
hsm updatefirmware -fuf <fw_filename>.fuf -authcode <fw_authcode_filename>.txt
```

## Rollback Behavior

When rolling HSM firmware back to an earlier version, the order of the steps you perform is important.

An HSM that receives a firmware update arrives at that condition with any capabilities/features that were part of the HSM before the update was installed. The pre-update record of `<firmware version+configuration>` is set. If you rollback, you return the HSM to exactly the state that was recorded, prior to the update. All the same capabilities/features would be available, because they were present before the firmware update.

Any capability that you added after a firmware update would be lost, if you then rolled back the firmware, because the pre-update record of <firmware version+configuration> did not include any capability that you added only post-update. In that case:

- If the late-installed capability **is not** dependent on the newer firmware, then you can simply install it again, on the HSM at the rolled-back firmware version, and it will become part of the pre-update record the next time you update firmware.
- If the late-installed capability **is** dependent on the newer firmware, then you must do without that feature/capability until you once more update to a firmware version that can support it. At that time, you will need to re-install that capability upgrade.

The following table summarizes the options comparatively.

	Start with this	If you do this...	Result is this	If you next do this...	Result is this	If you next do this...	Result is this	If you next do this...	Result is this
<b>Example 1</b> (Read across ==>)		Update to f/w Y	f/w Y and Capabilities A, B, C	Roll back to f/w X	f/w X and Capabilities A, B, C				
<b>Example 2</b> (Read across ==>)		Add Capability D (no dependency)	f/w X and Capabilities A, B, C, D	Update to f/w Y	f/w Y and Capabilities A, B, C, D	Roll back to f/w X	f/w X and Capabilities A, B, C, D		
<b>Example 3</b> (Read across ==>)	f/w X and Capabilities A, B, C	Update to f/w Y	f/w Y and Capabilities A, B, C	Add Capability D (no dependency)	f/w Y and Capabilities A, B, C, D	Roll back to f/w X	f/w X and Capabilities A, B, C		
<b>Example 4</b> (Read across ==>)		Capability E depends on f/w Y; Attempt to add Capability	f/w X and Capabilities A, B, C (unchanged)	Update to f/w Y	f/w Y and Capabilities A, B, C	Add Capability E (depends on f/w Y)	f/w Y and Capabilities A, B, C, E	Roll back to f/w X	f/w X and Capabilities A, B, C

	Start with this	If you do this...	Result is this	If you next do this...	Result is this	If you next do this...	Result is this	If you next do this...	Result is this
		E fails							

In Example 1, no capabilities change; only the firmware version.

In Example 2, D is added **before** firmware update; therefore the pre-update record includes capability D, so **D survives** firmware update and firmware rollback.

In Example 3, D is added **after** firmware update, the pre-update record does not include capability D, so **D does not survive** firmware rollback.

In Example 4, the pre-update record does not include capability E, so E does not survive firmware rollback.

## HSM Capability and Partition Upgrades

SafeNet Luna Network HSMs are shipped from the factory in specific configurations with capabilities to suit your requirements, based on your selections at time of purchase. It can happen that your requirements change over time. You can purchase capability or partition upgrades to enhance your SafeNet Luna Network HSM.

Gemalto provides Capability and Partition upgrades for SafeNet Luna Network HSM through a web-based Entitlement Management System (EMS). Instructions for applying upgrades through this system can be found here:

[SafeNet Luna Network HSM Upgrade Guide](#)

You require Admin-level access to the SafeNet Luna Network HSM to apply upgrades.

# SNMP Monitoring

This chapter describes Simple Network Management Protocol (SNMP v3) support for remote monitoring of conditions on a local HSM that might require administrative attention. It contains the following sections:

- ["Overview and Installation" below](#)
- ["The SafeNet Chrysalis-UTSP MIB" on page 290](#)
- ["The SafeNet Luna HSM MIB" on page 291](#)
- ["The SafeNet Appliance MIB" on page 299](#)
- ["SNMP Operation and Limitations with SafeNet Luna Network HSM" on page 299](#)
- ["Frequently Asked Questions" on page 301](#)

## Overview and Installation

This section provides an overview of the SNMP implementation and describes how to install the SNMP subagent.

### MIB

We provide the following MIBs (management information base):

MIB Name	Description
CHRYSALIS-UTSP-MIB.txt	Defines SNMP access to information about the SafeNet appliance.
SAFENET-HSM-MIB.txt	Defines SNMP access to information about the SafeNet Luna HSM.
SAFENET-GLOBAL-MIB.txt	Must be found in your system path so that symbols can be resolved.
SAFENET-APPLIANCE-MIB.txt	Reports the software version of SafeNet Luna Network HSM appliance.

Copy all MIBs in **<luna client install dir>** to the MIB directory on your system.

For SafeNet Luna Network HSM, the host is the appliance, so all the above MIBs are in the appliance, to support SNMP.



**Note:** Your SNMP application also requires the standard SNMP MIB **SNMPv2-SMI.txt**. Most applications include the MIB. If you do not have it, however, contact your application vendor. It is also freely available for download from the internet.



## SafeNet SNMP Subagent

We find that most customers choosing to use SNMP already have an SNMP infrastructure in place. Therefore, we provide a subagent that you can install on your managed workstations, and which can point to your agent via the socket created by the agent. This applies to SafeNet Luna USB HSM and SafeNet Luna PCIe HSM - for SafeNet Luna Network HSM, the subagent is already on the appliance.

The SNMP subagent (`luna-snmp`) is an AgentX SNMP module that extends an existing SNMP agent with support for SafeNet Luna HSM monitoring. It is an optional component of the SafeNet Luna HSM client installation. The subagent has been tested against `net-snmp`, but should work with any SNMP agent that supports the AgentX protocol.

### To install the SNMP subagent:

After selecting one or more products from the main SafeNet Luna HSM Client installation menu, you are presented with a list of optional components, including the SNMP subagent. It is not selected by default, but can be installed with any product except the SafeNet Luna Network HSM client installed in isolation.

1. In the installation media, go to the appropriate folder for your operating system.
2. Run the installer (`install.sh` for Linux and UNIX, `LunaClient.msi` for Windows).
3. Choose the SafeNet products that you wish to install, and include SNMP among your selections. The subagent is installed for any SafeNet product except SafeNet Luna Network HSM in isolation.
4. Proceed to Post-installation configuration.

### Post-installation configuration

After the SafeNet Luna HSM client is installed, complete the following steps to configure the SNMP subagent:

1. Copy the SafeNet MIBs from `<install dir>/snmp` to the main SNMP agent's MIB directory. Or copy to another computer (your SNMP computer) if you are not running SNMP from the same computer where SafeNet Luna Client software is installed.
2. If running on Windows, configure the subagent via the file `<install dir>/snmp/luna-snmp.conf` to point to the AgentX port where the main SNMP agent is listening. The file must then be copied to the same directory as `snmpd.conf`. (This assumes `net-snmp` is installed; the setup might differ if you have another agent.)

If running on a UNIX-based platform, the subagent should work without extra configuration assuming that the primary SNMP agent is listening on the default local socket (`/var/agentx/master`). You still have the option of editing and using `luna-snmp.conf`.

3. After configuration is complete, start the agent. Then start the subagent via the service tool applicable to your platform (for example, **service luna-snmp start** on Linux, or start SafeNet SNMP Subagent Service from the services in Windows).

Normally the agent is started first. However, the subagent periodically attempts to connect to the agent until it is successful. The defaults controlling this behavior are listed below. They can be overridden by changing the appropriate entries in `luna-snmp.conf`.

### Troubleshooting

If you encounter the following warning:

#### **Warning: Failed to connect to the agentx master agent ([NIL]):**

you must enable AgentX support by adding **master agentx** to your SNMPD configuration file. Refer to the man page for `snmpd.conf` for more information.

## Configuration Options In the luna-snmp.conf File

Option	Description	Default
agentXSocket [<transport-specifier>:] <transport-address> [,...]	Defines the address to which the subagent should connect. The default on UNIX-based systems is the Unix Domain socket "/var/agentx/master". Another common alternative is tcp:localhost:705. See the section LISTENING ADDRESSES in the snmpd man page for more information about the format of addresses ( <a href="http://www.net-snmp.org/docs/man/snmpd.html">http://www.net-snmp.org/docs/man/snmpd.html</a> ).	The default, for Linux, is "/var/agentx/master". In the file, you can choose to un-comment "tcp:localhost:705" which is most commonly used with Windows.
agentXPingInterval <NUM>	Makes the subagent try to reconnect every <NUM> seconds to the master if it ever becomes (or starts) disconnected.	15
agentXTimeout <NUM>	Defines the timeout period (NUM seconds) for an AgentX request.	1
agentXRetries <NUM>	Defines the number of retries for an AgentX request.	5

## The SafeNet Chrysalis-UTSP MIB





**Note:** The Chrysalis MIB is the SafeNet MIB for all SafeNet Luna HSM products - the Chrysalis name is retained for historical continuity.

To illustrate accessing data, the command "snmpwalk -v 3 -u admin -l authPriv -a SHA1 -A 12345678 -x AES -X 87654321 myLuna19 private" produced this output:

- CHRYSALIS-UTSP-MIB::hsmOperationRequests.0 = Counter64: 3858380
- CHRYSALIS-UTSP-MIB::hsmOperationErrors.0 = Counter64: 385838
- CHRYSALIS-UTSP-MIB::hsmCriticalEvents.0 = Counter64: 0
- CHRYSALIS-UTSP-MIB::hsmNonCriticalEvents.0 = Counter64: 5
- CHRYSALIS-UTSP-MIB::ntlsOperStatus.0 = INTEGER: up(1)
- CHRYSALIS-UTSP-MIB::ntlsConnectedClients.0 = Gauge32: 0
- CHRYSALIS-UTSP-MIB::ntlsLinks.0 = Gauge32: 0
- CHRYSALIS-UTSP-MIB::ntlsSuccessfulClientConnections.0 = Counter64: 16571615927115620
- CHRYSALIS-UTSP-MIB::ntlsFailedClientConnections.0 = Counter64: 1657161592711562

The various counts are recorded since the last restart.

Item	Description
hsmOperationRequests	The total number of HSM operations that have been requested.

Item	Description
hsmOperationErrors	The total number of HSM operations that have been requested, that have resulted in errors.
hsmCriticalEvents	The total number of critical HSM events that have been detected (Tamper, Decommission, Zeroization, SO creation, or Audit role creation).   <b>Note:</b> Not implemented in this release. hsmCriticalEvents always reports 0.
hsmNonCriticalEvents	The total number of NON-critical HSM events that have been detected (any that are not among the critical list, above).   <b>Note:</b> Not implemented in this release. hsmNonCriticalEvents always reports 0.
ntlsOperStatus	The current operational status of the NTL service, where the options are: 1 = up, 2 = not running, and 3 = status cannot be determined.
ntlsConnectedClients	The current number of connected clients using NTLS.
ntlsLinks	The current number of links in NTLS - can be multiple per client, depending on processes.
ntlsSuccessfulClientConnections	The total number of successful client connections.
ntlsFailedClientConnections	The total number of UNsuccessful client connections.

## The SafeNet Luna HSM MIB

The SAFENET-HSM-MIB defines HSM status information and HSM Partition information that can be viewed via SNMP.

To access tables, use a command like:

```
snmptable -a SHA -A snmppass -u snmpuser -x AES -X snmppass -l authPriv -v 3 192.20.11.59
SAFENET-HSM-MIB::hsmTable
```

The information is defined in tables, as detailed in the following sections.

### SNMP Table Updates

The SNMP tables are updated and cached every 60 seconds. Any changes made on the HSM may therefore take up to 60 seconds to be included in the tables. When a query is received to view the tables, the most recent cached version is displayed. If a change you were expecting is not displayed, wait 60 seconds and try again.



**Note:** Some values may not get updated automatically, such as the HSM firmware version (hsmFirmwareVersion) following a firmware upgrade. To force an update, restart the SNMP agent.

## hsmTable

This table provides a list of all the HSM information on the managed element.

Item	Type	Description	Values
hsmSerialNumber	DisplayString	Serial number of the HSM - used as an index into the tables.	From factory
hsmFirmwareVersion	DisplayString	Version of firmware executing on the HSM.	As found
hsmLabel	DisplayString	Label associated with the HSM.	Provided by SO at init time
hsmModel	DisplayString	Model identifier for the HSM.	From factory
hsmAuthenticationMethod	INTEGER	Authentication mode of the HSM.	unknown(1), -- not known password(2), -- requires passwords pedKeys(3) -- requires PED
hsmRpvInitialized	INTEGER	Remote ped vector initialized flag of the HSM.	notSupported(1), -- rpv not supported uninitialized(2), -- rpv not initialized initialized(3) -- rpv initialized
hsmFipsMode	TruthValue	FIPS 140-2 operation mode enabled flag of the HSM.	Factory set
hsmPerformance	INTEGER	Performance level of the HSM.	
hsmStorageTotalBytes	Unsigned32	Total storage capacity in bytes of the HSM	Factory set
hsmStorageAllocatedBytes	Unsigned32	Number of allocated bytes on the HSM	Calculated
hsmStorageAvailableBytes	Unsigned32	Number of available bytes on the HSM	Calculated
hsmMaximumPartitions	Unsigned32	Maximum number of partitions allowed on the HSM	2, 5, 10, 15, or 20, per license
hsmPartitionsCreated	Unsigned32	Number of partitions created on the HSM	As found

Item	Type	Description	Values
hsmPartitionsFree	Unsigned32	Number of partitions that can still be created on the HSM	Calculated
hsmBackupProtocol	INTEGER	Backup protocol used on the HSM	unknown(1), none(2), cloning(3), keyExport(4)
hsmAdminLoginAttempts	Counter32	Number of failed Administrator login attempts left before HSM zeroized	As found, calculated
hsmAuditRoleInitialized	INTEGER	Audit role is initialized flag	notSupported(0), yes(1), no(2)
hsmManuallyZeroized	TruthValue	Was HSM manually zeroized flag	As found
hsmUpTime	Counter64	Up time in seconds since last HSM reset	Counted
hsmBusyTime	Counter64	Busy time in seconds since the last HSM reset	Calculated
hsmCommandCount	Counter64	HSM commands processed since last HSM reset	Counted

### The hsmPartitionTable

This table provides a list of all the partition information on the managed element.

Item	Type	Description	Values
hsmPartitionSerialNumber	DisplayString	Serial number for the partition	Generated
hsmPartitionLabel	DisplayString	Label assigned to the partition	Provided at partition creation
hsmPartitionActivated	TruthValue	Partition activation flag	Set by policy
hsmPartitionStorageTotalBytes	Unsigned32	Total storage capacity in bytes of the partition	Set or calculated at partition creation or re-size
hsmPartitionStorageAllocatedBytes	Unsigned32	Number of allocated (in use) bytes on the partition	Calculated
hsmPartitionStorageAvailableBytes	Unsigned32	Number of available (unused) bytes on the partition	Calculated
hsmPartitionObjectCount	Unsigned32	Number of objects in the partition	Counted

## hsmLicenseTable

This table provides a list of all the license information on the managed element. More than one HSM might be connected to a Host, so they are accessed with two indices; the first index identifies the HSM for which the license entry corresponds (hsmSerialNumber), the second is the index for the corresponding license (hsmLicenseID).

Item	Type	Description	Values
hsmLicenseID	DisplayString	License identifier	Set at factory or at capability update
hsmLicenseDescription	DisplayString	License description	Set at factory or at capability update

## hsmPolicyTable

This table provides a list of all the HSM policy information on the managed element.

Item	Type	Description	Values
hsmPolicyType	INTEGER	Type of policy	capability(1), policy(2)
hsmPolicyID	Unsigned32	Policy identifier	Numeric value identifies policy and is used as a index into the policy table
hsmPolicyDescription	DisplayString	Description of the policy	Brief text description of what the policy does
hsmPolicyValue	DisplayString	Current value of the policy	Brief text description to show current state/value of policy

## hsmPartitionPolicyTable

This table provides a list of all the partition policy information on the managed element.

Item	Type	Description	Values
hsmPartitionPolicyType	INTEGER	Capability or policy	capability(1), policy(2)
hsmPartitionPolicyID	Unsigned32	Policy identifier	Numeric value identifies policy and is used as a index into the policy table
hsmPartitionPolicyDescription	DisplayString	Description of the policy	Brief text description of what the policy does
hsmPartitionPolicyValue	DisplayString	Current value of the policy	Brief text description to show current state/value of policy

## hsmClientRegistrationTable

This table provides a list of registered clients.

Item	Type	Description	Values
hsmClientName	DisplayString	Name of the client	Name provided on client cert
hsmClientAddress	DisplayString	Address of the client	IP address of the client
hsmClientRequiresHTL	TruthValue	Flag specifying if HTL required for the client	Flag set at HSM host side to control client access <b>Note:</b> HTL is not available in release 7.x. This value will always return <b>false</b> for 7.x HSMs.
hsmClientOTTEpiry	INTEGER	OTT expiry time (-1 if not provisioned)	Expiry time, in seconds, for HTL OneTimeToken (range is 0-3600); -1 indicates not provisioned, 0 means never expires <b>Note:</b> HTL is not available in release 7.x. This value will always return <b>-1</b> for 7.x HSMs.

## hsmClientPartitionAssignmentTable

This table provides a list of assigned partitions for a given client.

Item	Type	Description	Values
hsmClientHsmSerialNumber	DisplayString	Index into the HSM table	--
hsmClientPartitionSerialNumber	DisplayString	Index into the Partition Table	--

## SNMP output compared to SafeNet tools output

For comparison, the following shows LunaCM or LunaSH command outputs that provide HSM information equivalent to the SNMP information depicted in the tables above (from the HSM MIB).

### HSM Information

At the HSM level the information in the outputs of **hsm show** and **hsm showp** and **hsm di** includes the following:

- SW Version
- FW Version
- HSM label
- Serial #
- HW Model
- Authentication Method
- RPV state
- FIPS mode
- HSM storage space (bytes)
- HSM storage space used (bytes)
- HSM storage free space (bytes)

- Performance level
- Max # of partitions
- # of partitions created
- # of free partitions
- Configuration (Cloning/CKE)
- License information similar to the output of the "hsm displayLicenses" command
- Policies as shown below.

```

Description Value
=====
Enable PIN-based authentication Allowed
Enable PED-based authentication Disallowed
Performance level 15
Enable domestic mechanisms & key sizes Allowed
Enable masking Disallowed
Enable cloning Allowed
Enable special cloning certificate Disallowed
Enable full (non-backup) functionality Allowed
Enable non-FIPS algorithms Allowed
Enable SO reset of partition PIN Allowed
Enable network replication Allowed
Enable Korean Algorithms Allowed
FIPS evaluated Disallowed
Manufacturing Token Disallowed
Enable Remote Authentication Allowed
Enable forcing user PIN change Allowed
Enable portable masking key Allowed
Enable partition groups Disallowed
Enable remote PED usage Disallowed
Enable External Storage of MTK Split Disallowed
HSM non-volatile storage space 2097152
Enable HA mode CGX Disallowed
Enable Acceleration Allowed
Enable unmasking Allowed
Enable FW5 compatibility mode Disallowed
Unsupported Disallowed
Unsupported Disallowed
Enable ECIES support Disallowed
The following policies are set due to current configuration of
this HSM and cannot be altered directly by the user.

```

```

Description Value
=====
PIN-based authentication True
The following policies describe the current configuration of
this HSM and may be changed by the HSM Administrator.
Changing policies marked "destructive" will zeroize (erase
completely) the entire HSM.

```

Description	Value	Code	Destructive
Allow cloning	On	7	Yes
Allow non-FIPS algorithms	On	12	Yes
SO can reset partition PIN	On	15	Yes
Allow network replication	On	16	No
Allow Remote Authentication	On	20	Yes



Force user PIN change after set/reset	Off	21	No
Allow offboard storage	On	22	Yes
Allow Acceleration	On	29	Yes
Allow unmasking	On	30	Yes

## Partition Information

At the HSM Partition level the information in the outputs of **partition show** and **partition showp** includes the following:

- Partition Name
- Partition Serial #
- Activation State
- AutoActivation State
- Partition storage space (bytes)
- Partition storage space used (bytes)
- Partition storage free space (bytes)
- Partition Object Count
- Partition Policies from the Partition showpolicies command

```
lunash:> partition showPolicies -partition mypartition
```

```
Partition Name: mypartition
Partition Num: 65038002
```

The following capabilities describe this partition and can never be changed.

Description	Value
=====	=====
Enable private key cloning	Allowed
Enable private key wrapping	Disallowed
Enable private key unwrapping	Allowed
Enable private key masking	Disallowed
Enable secret key cloning	Allowed
Enable secret key wrapping	Allowed
Enable secret key unwrapping	Allowed
Enable secret key masking	Disallowed
Enable multipurpose keys	Allowed
Enable changing key attributes	Allowed
Enable PED use without challenge	Allowed
Allow failed challenge responses	Allowed
Enable operation without RSA blinding	Allowed
Enable signing with non-local keys	Allowed
Enable raw RSA operations	Allowed
Max failed user logins allowed	10
Enable high availability recovery	Allowed
Enable activation	Allowed
Enable auto-activation	Allowed
Minimum pin length (inverted: 255 - min)	248
Maximum pin length	255
Enable Key Management Functions	Allowed

```

Enable RSA signing without confirmation Allowed
Enable Remote Authentication           Allowed
Enable private key unmasking           Allowed
Enable secret key unmasking            Allowed
Enable RSA PKCS mechanism               Allowed
Enable CBC-PAD (un)wrap keys of any size Allowed
Enable Secure Trusted Channel           Allowed

```

The following policies are set due to current configuration of this partition and may not be altered directly by the user.

```

Description                               Value
=====                               =====
Challenge for authentication not needed False

```

The following policies describe the current configuration of this partition and may be changed by the HSM Administrator.

```

Description                               Value           Code
=====                               =====           =====
Allow private key cloning                  On              0
Allow private key unwrapping               On              2
Allow secret key cloning                   On              4
Allow secret key wrapping                  On              5
Allow secret key unwrapping                On              6
Allow multipurpose keys                      On              10
Allow changing key attributes               On              11
Ignore failed challenge responses           On              15
Operate without RSA blinding                On              16
Allow signing with non-local keys          On              17
Allow raw RSA operations                    On              18
Max failed user logins allowed              10              20
Allow high availability recovery             On              21
Allow activation                           Off             22
Allow auto-activation                       Off             23
Minimum pin length (inverted: 255 - min)  248              25
Maximum pin length                          255              26
Allow Key Management Functions              On              28
Perform RSA signing without confirmation On              29
Allow Remote Authentication                 On              30
Allow private key unmasking                 On              31
Allow secret key unmasking                  On              32
Allow RSA PKCS mechanism                    On              33
Allow CBC-PAD (un)wrap keys of any size On              34
Force Secure Trusted Channel                Off             37

```

```

Command Result : 0 (Success)
[myluna] lunash:>

```

## The SafeNet Appliance MIB

The SAFENET-APPLIANCE-MIB defines appliance status information that can be viewed via SNMP. Currently, that consists of the appliance software version number.

### The appliance Table

This table provides a list of all the non-HSM host-specific information on the appliance.

Item	Type	Description	Values
appSoftwareVersion	DisplayString	Appliance Software Version number.	-- from factory

For information about the HSM inside the appliance, see "[The SafeNet Luna HSM MIB](#)" on page 291.

## SNMP Operation and Limitations with SafeNet Luna Network HSM

This page applies only to SafeNet Luna Network HSM which, as a closed system, has its own agent. This contrasts with other SafeNet Luna HSMs that are installed inside a host computer, or USB-connected to a host, and therefore require you to provide an SNMP agent and configure for use with our subagent.

Various LunaSH commands govern the setup and use of SNMP with the SafeNet appliance. You provide your own SNMP application – a standard, open-source tool like net-snmp, or a commercial offering, or one that you develop yourself – and use the commands described below (and on the following pages) to enable and adjust the SNMP agent on-board the SafeNet appliance.

### SNMP-Related Commands

Please refer to the LunaSH Appliance Commands in the Reference Section of this Help for syntax and usage descriptions of the following:

- The **sysconf snmp** command has subcommands **enable**, **disable**, **notification**, **show**, **trap**, and **user**.
  - The **sysconf snmp notification** command allows viewing and configuring the notifications that can be sent by the SNMP agent. At least one user must be configured before the SNMP agent can be accessed.
  - The **sysconf snmp enable** command enables and starts the SNMP service.
  - The **sysconf snmp disable** command stops the service.
  - The **sysconf snmp show** command shows the current status of the service.
  - The **sysconf snmp trap** command has sub-commands to set, show, and clear trap host information.
  - The **sysconf snmp user** command allows viewing and configuring the users that can access the SNMP agent. At least one user must be configured before the SNMP agent can be accessed.
- The **service list** command reports a service: "snmpd - SNMP agent service".
- The **service status**, **service stop**, **service start** and **service restart** commands accept the value "snmp" as a **<servicename>** parameter (that is, you can start, stop or restart the snmp service – this represents some overlap with the **sysconf enable** and **disable** commands, but is provided for completeness).

## Coverage

The following are some points of interest, with regard to our reporting.

### Memory

Swap usage - Covered by UCD-SNMP-MIB under memTotalSwap, memAvailSwap and memMinimumSwap OID

Physical Memory usage - Covered by UCD-SNMP-MIB under memTotalRea, memAvailReal, memTotalFree OID

Errors - Covered by UCD-SNMP-MIB under memSwapError and memSwapErrorMsg OID

### Paging

Size of page file - Not covered

Page file usage - Not covered

Paging errors - Not covered

Note: UCD-SNMP-MIB/memory will report all the data that we get from the "free" command.

### CPU

% Utilization Threads - Not covered

%user time - Covered by UCD-SNMP-MIB under ssCpuUsr OID

%system time - Covered by UCD-SNMP-MIB under ssCpuSystem OID

Top running processes - Not covered

### Network

Interface status - Covered

% utilization - Covered

Bytes in - Not covered

Bytes Out - Not covered

Errors - Covered

Note: All of the above are already covered by the RFC1213-MIB.

### Monitoring Internal Hardware failure

We do not currently keep any status on hardware failure.

### Environmental

We support only CPU and mother board temperature.

### HSM MIB

The above concerns status of various elements of the appliance, outside the contained HSM.

HSM status is separately handled by the SAFENET-HSM-MIB.

In the current implementation, the object `ntlsCertExpireNotification` has no value. If you query this object, the response is "Snmp No Such Object".

Information about the HSM, retrievable via SNMP, is similar to executing the following commands:

From SafeNet Luna Network HSM (LunaSH) commands:

- **hsm show**
- **hsm showPolicies**
- **partition show**
- **partition showPolicies**
- **hsm displayLicense**
- **client show**

From the Luna HSM Client (LunaCM) commands:

- **partition showinfo**
- **partition showpolicies**

## MIBS You Need for Network Monitoring of SafeNet Luna Network HSM

The following MIBs are not supplied as part of the SafeNet Luna Network HSM build, but can be downloaded from a number of sources. How they are implemented depends on your MIB utility. Support is restricted to active queries (trap captures only reboots).

- LM-SENSORS-MIB
- RFC1213-MIB
- SNMP-FRAMEWORK-MIB
- SNMP-MPD-MIB
- SNMP-TARGET-MIB
- SNMP-USER-BASED-SM-MIB
- SNMPv2-MIB
- SNMP-VIEW-BASED-ACM-MIB

In addition, the `SAFENET-APPLIANCE-MIB` is included within the SafeNet Luna Network HSM appliance, to report Software Version.

## MIBS You Need for Monitoring the Status of the HSM

You require the following MIB to monitor the status of the HSM:

- `SAFENET-HSM-MIB.mib`

## Frequently Asked Questions

This section provides additional information by answering questions that are frequently asked by our customers.

---

## **We want to use SNMP to remotely monitor and manage our installation – why do you not support such standard SNMP traps as CPU and Memory exhaustion?**

Those sorts of traps were specifically excluded because they can be used to establish a covert channel (an illicit signaling channel that can be used to communicate from a high assurance “area” to a lower assurance one in an effort to circumvent the security policy). Resource exhaustion events/alerts are the oldest known form of covert channel signaling. Exercise care with any HSM product that does allow such traps - what other basic security holes might be present?

## Tamper Events

SafeNet Luna HSMs detect hardware anomalies (such as card over-temperature) and physical events (such as card removal or chassis intrusion), and register them as tamper events. A tamper event is considered a security breach, and effectively locks the HSM.


If your HSM provides the capability **Enable Decommission on Tamper** (available as a factory option only), you can enable **Policy 40: Decommission on Tamper** to decommission the HSM in the event of a tamper. See "[HSM Capabilities and Policies](#)" on page 79 and "[Comparing Zeroize, Decommission, and Factory Reset](#)" on page 99 for more information.

Unless **Policy 40: Decommission on Tamper** is enabled, the contents of the HSM are not affected by the tamper event. The HSM, however, remains locked until the HSM is reset (some low-severity events do not require a reset).

If **Policy 48: Do Controlled Tamper Recovery** is enabled (the default), the HSM SO must clear the tamper condition before the HSM is reset, to return the HSM to normal operation (see "[HSM Capabilities and Policies](#)" on page 79). While the HSM is in the tamper state, only the subset of LunaSH commands required to view or clear the tamper condition are available.

When a tamper event occurs, the HSM halts. For PED-authenticated HSMs, the cached PED key data that allows activation is zeroized, and activation is disabled. All commands, except those required to view the HSM status and clear the tamper, are disabled. When an HSM is in the tamper state, only the HSM SO is able to log in to the HSM.

There are several conditions that can result in a tamper. The tamper state is indicated by the **HSM Tamper State** field in the output of the LunaSH **hsm show** command. If tamper events have been detected and not cleared, the tamper state will be **Tamper(s) detected**. Use the **hsm tamper show** command to view detailed information for the tamper, including whether the tamper event requires an HSM reset, in addition to a tamper clear.

Tamper event	Response
Chassis intrusion	<p>Halt the HSM. Deactivate activated partitions. Decommission the HSM if policy 40: Decommission on Tamper is enabled.</p> <hr/> <p> <b>Note:</b> Chassis Open resets the HSM hardware, including the PCIe logic. This prevents the HSM from reporting any of the statuses including the Chassis Open condition. The only thing which is detected in this case is k7pf0: ALM0015: PCIe Link Failure.</p> <hr/>
Card removal	<p>Halt the HSM. Deactivate activated partitions. Decommission the HSM if policy 40: Decommission on Tamper is enabled.</p>
Over/under temperature	<p>Halt the HSM. Deactivate activated partitions. Decommission the HSM if policy 40: Decommission on Tamper is enabled. Warnings are logged for mild over/under temperature events. Warnings are self-clearing if the condition is resolved.</p>

Tamper event	Response
Over/under voltage	Halt the HSM. Deactivate activated partitions. Decommission the HSM if policy 40: Decommission on Tamper is enabled. Warnings are logged for mild over/under voltage events. Warnings are self-clearing if the condition is resolved.
Battery removal/depletion	Halt the HSM. Deactivate activated partitions. Decommission the HSM. Warnings are logged for low battery conditions.

## Recovering from a Tamper

How you recover from a tamper depends on how the following HSM policies are set. See ["HSM Capabilities and Policies" on page 79](#) for more information:

<b>Policy 40: Decommission on tamper</b>	If enabled, the HSM is decommissioned in the event of a tamper. If the HSM is decommissioned on tamper, you must re-initialize the HSM SO, clear the tamper, re-create your partitions, restore the partition contents from backup, and re-initialize the partition roles (Partition SO, Crypto Officer, and Crypto User, and Audit, as relevant).
<b>Policy 48: Do Controlled Tamper Recovery</b>	If enabled, the tamper that halted the HSM must be cleared by the HSM SO (by issuing the <b>tamper clear</b> command), before the HSM can be reset to resume normal operations.

### Activation and auto-activation is disabled on tamper

If you are using activation or auto-activation on your PED-authenticated partitions, it is disabled when a tamper is detected, or if any uncleared tamper conditions are detected on reboot. See ["Activation and Auto-Activation on PED-Authenticated Partitions" on page 160](#) and ["Partition Capabilities and Policies" on page 83](#) for more information.

### To recover from a tamper

1. If the HSM was decommissioned as a result of the tamper, you must reinitialize the HSM, as described in ["HSM Initialization" on page 141](#) in the *Configuration Guide*.
2. Log in to the HSM as the HSM SO.
3. Use the **hsm tamper show** command to display the last tamper event.



**Note:** The **hsm tamper show** command only shows the last tamper event, even if several tampers have occurred. To view a complete list of the tamper events that have occurred on the HSM, use the LunaSH **hsm supportinfo** command.

4. Resolve the issue(s) that caused the tamper event.
5. If **Policy 48: Do Controlled Tamper Recovery** is enabled, clear the tamper condition. Otherwise, go to the next step:

```
lunash:> hsm tamper clear
```



6. If the tamper message indicates that a reset is required, use the LunaSH **sysconf appliance reboot** command to reboot the HSM:

```
lunash:> sysconf appliance reboot
```

7. Verify that all tampers have been cleared:

```
lunash:> hsm tamper show
```

8. If the HSM was decommissioned as a result of the tamper, you must re-create your partitions, re-initialize the partition roles (Partition SO, Crypto Officer, and Crypto User, and Audit as relevant), and restore the partition contents from backup See the following sections in the Configuration Guide .
  - a. To re-create your partitions, see ["Create Application Partitions" on page 1](#).
  - b. To re-initialize the partition roles, see ["Configure Application Partitions" on page 1](#).
  - c. To restore the partition contents from backup, see ["Backup and Restore HSMs and Partitions" on page 36](#).
9. If the **Policy 22: Allow Activation** and/or **Policy 23: Allow AutoActivation** are enabled on your PED-authenticated partitions, the CO and CU (if enabled) must log in to reactivate those roles:

```
lunacm:> role login -name <role>
```

# Troubleshooting

This chapter lists the HSM error codes and offers troubleshooting tips for some common issues. It contains the following sections:

- ["General Troubleshooting Tips" below](#)
- ["System Operational and Error Messages" on the next page](#)
- ["Keycard and Token Return Codes" on page 309](#)
- ["Library Codes" on page 324](#)
- ["Vendor-Defined Return Codes" on page 329](#)

## General Troubleshooting Tips

---

Here are just a few quick things to check if you are experiencing problems:

- Ensure that the date and time are set correctly.
- Check that NTLS is bound to the correct Ethernet port. It must be bound to a port if it is to work, and that port must be the one that is connected for NTLS.
- Ensure that the client is registered with the correct ip/hostname (or that you spelled it correctly, didn't accidentally transpose any characters, used only valid characters, etc.).
- Ensure that the client is given access to the correct partition (again, be sure that it is spelled correctly; be careful of similarly named or numbered partitions).
- Ensure that the **sysconf regencert** command was properly executed (with the IP address, if using IP mode).



---

**Note:** If your Remote PED connections are server-initiated (peer-to-peer), you must restart the Call-Back Service (CBS) anytime you regenerate the SafeNet Luna Network HSM server certificate, or new peer-to-peer PedServer connections to the appliance will fail. In LunaSH, use the command **service restart cbs**.

---

- Check the output of the syslog for any information on potential problems with **syslog tail**.
- If you see an apparent 'hang' condition, connect and check the PED - it may be waiting for a PED action.
- Check if you allowed the PED to time out, or if you started a command that needed PED action while the PED was not connected. You will need to re-issue the failed command after re-inserting the token, and pay attention to the PED.
- If RSA signing seems slow, check the Capabilities and Policies to ensure that Confirmation (policy #29) is switched off - if your security policy demands that signing operations must be verified on the HSM, then expect almost a 50% performance reduction.
- If you perform a Restore from Backup operation and some or all of the objects are shown with an error message like

"LUNA\_RET\_SM\_ACCESS\_DOES\_NOT\_VALIDATE", you might have interrupted the restore operation (even a **partition contents** command could have this effect). Re-issue the Restore command, ensuring that no other commands are run against the partition while the operation is in progress - if other persons might be using their own SSH sessions to access the appliance, it might be best to disconnect the network cable and perform your restore operation from the local (serial) console.

## System Operational and Error Messages

### Extra slots that say "token not present"?

This happens for two reasons:

- PKCS#11 originated in a world of software cryptography, which only later acknowledged the existence of Hardware Security Modules, so initially it did not have the concept of physically removable crypto slots. PKCS#11 requires a static list of slots when an application starts. The cryptographic "token" can be inserted into, or removed from a slot dynamically (by a user), for the duration of the application.
- When the token is inserted, the running application must be able to detect that token. When the token is removed, the running application gets "token not present". Because we allow for the possibility of backup, we routinely declare 'place-holder' slots that might later be filled by a physical SafeNet Luna USB HSM or a SafeNet Luna Backup HSM.

In the `Chrystoki.conf` file (or the Windows `crystoki.ini` file), for SafeNet Luna USB HSM, you can remove the empty slots by modifying the `CardReader` entry, like this:

```
CardReader = {
  LunaG5Slots=0;
}
```

For SafeNet Luna Network HSM, which has its configuration file internal to the appliance, and not directly accessible for modification, you cannot change the default cryptographic slot allotments.

### Error: 'hsm update firmware' failed. (10A0B : LUNA\_RET\_OPERATION\_RESTRICTED) when attempting to perform hsm update firmware

You must ensure that STM is disabled before you run the firmware update.

Also, as with any update, you should backup any important HSM contents before proceeding.

### KR\_ECC\_POINT\_INVALID Error when decrypting a file encrypted from BSAFE through ECIES using ECC key with any of the curves from the x9\_t2 section

As indicated on the BSAFE web site, they support only the NIST-approved curves (prime, Binary, and Koblitz). That includes most/all the curves from test items 0 through 37 in CK Demo: the "secp", "X9\_62\_prime", and "sect" curves.

The X9.62 curves that are failing in this task are X9.62 binary/char2 curves which do not appear to be supported by BSAFE. So, you appear to be encountering a BSAFE limitation and not a SafeNet Luna HSM problem.

## Error during SSL Connect (RC\_OPERATION\_TIMED\_OUT) logged to /var/log/messages by the SafeNet Luna HSM client

It means that the client did not receive the SSL handshake response from the appliance within 20 seconds (hard coded).

The following is a list of some potential causes:

- Network issue.
- Appliance is under heavy load with connection requests - this can happen at startup/restart, if client applications attempt to (re-)assert hundreds of connections all at once, without staging or staggering them, and the initial setup handshakes take too long for some transactions (start-up bottleneck). After a large number of simultaneous connections has been successfully established, they can be maintained without further problem.
- Appliance is under heavy load servicing connected clients crypto requests.
- Appliance was powered down (perhaps the power plug was pulled) in the middle of the handshake.
- There might be high CPU load on the client computer causing it to occasionally delay responses to the appliance.

## Slow/interrupted response from the HSM, and the "hsm show" command shows LUNA\_RET\_SM\_SESSION\_REALLOC\_ERROR

```
Appliance Details:
=====
Software Version:          7.0.0
Error: 'hsm show' failed. (310102 : LUNA_RET_SM_SESSION_REALLOC_ERROR)

Command Result : 65535 (Luna Shell execution)
```

The error LUNA\_RET\_SM\_SESSION\_REALLOC\_ERROR means the HSM cannot expand the session table.

The HSM maintains a table for all of the open sessions. For performance reasons, the table is quite small initially. As sessions are opened (and not closed) the table fills up. When the table gets full, the HSM tries to expand the table. If there is not enough available RAM to grow the table, this error is returned.

RAM can be used up by an application that creates and does not delete a large number of session objects, as well as by an application that opens and fails to close a large number of sessions.

The obvious solution is proper housekeeping. Your applications must clean up after themselves, by closing sessions that are no longer in use - this deletes session objects associated with those sessions. If your application practice is to have long-lived sessions, and to open many objects in a given session, then your application should explicitly delete those session objects as soon as each one is no longer necessary.

By far, we see more of the former problem - abandoned sessions - and very often in conjunction with Java-based applications. Proper garbage collection includes deleting session objects when they are no longer useful, or simply closing sessions as soon as they are not required. Formally closing a session (or stopping/restarting the HSM) deletes all session objects within each affected session. These actions keep the session table small, so it uses the least possible HSM volatile memory.

## Low Battery Message

The K7 HSM card, used in the SafeNet Luna Network HSM and SafeNet Luna PCIe HSM products, is equipped with a non-replaceable battery that is expected to last the life of the product. If you notice a log message or other warning about 'battery low', or similar, contact SafeNet Technical Support.

## Keycard and Token Return Codes

The following table summarizes HSM error codes (last updated for firmware 7.0.1):

HSM Error	Hex Code	PKCS#11 or SFNT Defined CKR Error
LUNA_RET_OK	0x00000000	CKR_OK
LUNA_RET_CANCEL	0x00010000	CKR_CANCEL
LUNA_RET_FLAGS_INVALID	0x00040000	CKR_FLAGS_INVALID, removed from v2.0
LUNA_RET_TOKEN_NOT_PRESENT	0x00E00000	CKR_TOKEN_NOT_PRESENT
LUNA_RET_FORMER_INVALID_ENTRY_TYPE	0x00300130	CKR_DEVICE_ERROR
LUNA_RET_SP_TX_ERROR	0x00300131	CKR_DEVICE_ERROR
LUNA_RET_SP_RX_ERROR	0x00300132	CKR_DEVICE_ERROR
LUNA_RET_PED_ID_INVALID	0x00300140	CKR_DEVICE_ERROR
LUNA_RET_PED_UNSUPPORTED_PROTOCOL	0x00300141	CKR_DEVICE_ERROR
LUNA_RET_PED_UNPLUGGED	0x00300142	CKR_PED_UNPLUGGED
LUNA_RET_PED_ERROR	0x00300144	CKR_DEVICE_ERROR
LUNA_RET_PED_UNSUPPORTED_CRYPTO_PROTOCOL	0x00300145	CKR_DEVICE_ERROR
LUNA_RET_PED_DEK_INVALID	0x00300146	CKR_DEVICE_ERROR
LUNA_RET_PED_CLIENT_NOT_RUNNING	0x00300147	CKR_PED_CLIENT_NOT_RUNNING
LUNA_RET_CL_ALIGNMENT_ERROR	0x00300200	CKR_DEVICE_ERROR
LUNA_RET_CL_QUEUE_LOCATION_ERROR	0x00300201	CKR_DEVICE_ERROR
LUNA_RET_CL_QUEUE_OVERLAP_ERROR	0x00300202	CKR_DEVICE_ERROR
LUNA_RET_CL_TRANSMISSION_ERROR	0x00300203	CKR_DEVICE_ERROR
LUNA_RET_CL_NO_TRANSMISSION	0x00300204	CKR_DEVICE_ERROR
LUNA_RET_CL_COMMAND_MALFORMED	0x00300205	CKR_DEVICE_ERROR
LUNA_RET_CL_MAILBOXES_NOT_AVAILABLE	0x00300206	CKR_DEVICE_ERROR
LUNA_RET_MM_NOT_ENOUGH_MEMORY	0x00310000	CKR_DEVICE_ERROR
LUNA_RET_MM_INVALID_HANDLE	0x00310001	CKR_DEVICE_ERROR
LUNA_RET_MM_USAGE_ALREADY_SET	0x00310002	CKR_DEVICE_ERROR

HSM Error	Hex Code	PKCS#11 or SFNT Defined CKR Error
LUNA_RET_MM_ACCESS_OUTSIDE_ALLOCATION_RANGE	0x00310003	CKR_DEVICE_ERROR
LUNA_RET_MM_INVALID_USAGE	0x00310004	CKR_DEVICE_ERROR
LUNA_RET_MM_ITERATOR_PAST_END	0x00310005	CKR_DEVICE_ERROR
LUNA_RET_MM_FATAL_ERROR	0x00310006	CKR_DEVICE_ERROR
LUNA_RET_TEMPLATE_INCOMPLETE	0x00D00000	CKR_TEMPLATE_INCOMPLETE
LUNA_RET_TEMPLATE_INCONSISTENT	0x00D10000	CKR_TEMPLATE_INCONSISTENT *
LUNA_RET_ATTRIBUTE_TYPE_INVALID	0x00120000	CKR_ATTRIBUTE_TYPE_INVALID
LUNA_RET_ATTRIBUTE_VALUE_INVALID	0x00130000	CKR_ATTRIBUTE_VALUE_INVALID
LUNA_RET_ATTRIBUTE_READ_ONLY	0x00100000	CKR_ATTRIBUTE_READ_ONLY
LUNA_RET_ATTRIBUTE_SENSITIVE	0x00110000	CKR_ATTRIBUTE_SENSITIVE
LUNA_RET_OBJECT_HANDLE_INVALID	0x00820000	CKR_OBJECT_HANDLE_INVALID
LUNA_RET_MAX_OBJECT_COUNT	0x00820001	CKR_MAX_OBJECT_COUNT_EXCEEDED
LUNA_RET_ATTRIBUTE_NOT_FOUND	0x00120010	CKR_ATTRIBUTE_TYPE_INVALID
LUNA_RET_CAN_NOT_CREATE_SECRET_KEY	0x00D10011	CKR_TEMPLATE_INCONSISTENT
LUNA_RET_CAN_NOT_CREATE_PRIVATE_KEY	0x00D10012	CKR_TEMPLATE_INCONSISTENT
LUNA_RET_SECRET_KEY_MUST_BE_SENSITIVE	0x00130013	CKR_ATTRIBUTE_VALUE_INVALID
LUNA_RET_SECRET_KEY_MUST_HAVE_SENSITIVE_ATTRIBUTE	0x00D00014	CKR_TEMPLATE_INCOMPLETE
LUNA_RET_PRIVATE_KEY_MUST_BE_SENSITIVE	0x00130015	CKR_ATTRIBUTE_VALUE_INVALID
LUNA_RET_PRIVATE_KEY_MUST_HAVE_SENSITIVE_ATTRIBUTE	0x00D00016	CKR_TEMPLATE_INCOMPLETE
LUNA_RET_SIGNING_KEY_MUST_BE_LOCAL	0x00680001	CKR_KEY_FUNCTION_NOT_PERMITTED
LUNA_RET_MULTI_FUNCTION_KEYS_NOT_ALLOWED	0x00D10018	CKR_TEMPLATE_INCONSISTENT
LUNA_RET_CAN_NOT_CHANGE_KEY_FUNCTION	0x00100019	CKR_ATTRIBUTE_READ_ONLY

HSM Error	Hex Code	PKCS#11 or SFNT Defined CKR Error
LUNA_RET_KEY_SIZE_RANGE	0x00620000	CKR_KEY_SIZE_RANGE
LUNA_RET_KEY_TYPE_INCONSISTENT	0x00630000	CKR_KEY_TYPE_INCONSISTENT
LUNA_RET_KEY_INVALID_FOR_OPERATION	0x00630001	CKR_KEY_TYPE_INCONSISTENT
LUNA_RET_KEY_PARITY	0x00630002	CKR_KEY_TYPE_INCONSISTENT
LUNA_RET_KEY_UNEXTRACTABLE	0x006a0000	CKR_KEY_UNEXTRACTABLE
LUNA_RET_KEY_EXTRACTABLE	0x006a0001	KR_KEY_UNEXTRACTABLE
LUNA_RET_KEY_INDIGESTIBLE	0x00670000	CKR_KEY_INDIGESTIBLE
LUNA_RET_KEY_NOT_WRAPPABLE	0x00690000	CKR_KEY_NOT_WRAPPABLE
LUNA_RET_KEY_NOT_UNWRAPPABLE	0x00690001	CKR_KEY_NOT_WRAPPABLE
LUNA_RET_ARGUMENTS_BAD	0x00070000	CKR_ARGUMENTS_BAD
LUNA_RET_INVALID_ENTRY_TYPE	0x00070001	CKR_INVALID_ENTRY_TYPE
LUNA_RET_DATA_INVALID	0x00200000	CKR_DATA_INVALID
LUNA_RET_SM_DATA_INVALID	0x00200002	CKR_DATA_INVALID
LUNA_RET_NO_RNG_SEED	0x00200015	CKR_DATA_INVALID
LUNA_RET_FUNCTION_NOT_SUPPORTED	0x00540000	CKR_FUNCTION_NOT_SUPPORTED
LUNA_RET_NO_OFFBOARD_STORAGE	0x00540001	CKR_FUNCTION_NOT_SUPPORTED
LUNA_RET_CL_COMMAND_NON_BACKUP	0x00540002	CKR_FUNCTION_NOT_SUPPORTED
LUNA_RET_BUFFER_TOO_SMALL	0x01500000	CKR_BUFFER_TOO_SMALL
LUNA_RET_DATA_LEN_RANGE	0x00210000	CKR_DATA_LEN_RANGE
LUNA_RET_GENERAL_ERROR	0x00050000	CKR_GENERAL_ERROR
LUNA_RET_DEVICE_ERROR	0x00300000	CKR_DEVICE_ERROR
LUNA_RET_UNKNOWN_COMMAND	0x00300001	CKR_FUNCTION_NOT_SUPPORTED
LUNA_RET_TOKEN_LOCKED_OUT	0x00300002	CKR_PIN_LOCKED
LUNA_RET_RNG_ERROR	0x00300003	CKR_DEVICE_ERROR

HSM Error	Hex Code	PKCS#11 or SFNT Defined CKR Error
LUNA_RET_DES_SELF_TEST_FAILURE	0x00300004	CKR_DEVICE_ERROR
LUNA_RET_CAST_SELF_TEST_FAILURE	0x00300005	CKR_DEVICE_ERROR
LUNA_RET_CAST3_SELF_TEST_FAILURE	0x00300006	CKR_DEVICE_ERROR
LUNA_RET_CAST5_SELF_TEST_FAILURE	0x00300007	CKR_DEVICE_ERROR
LUNA_RET_MD2_SELF_TEST_FAILURE	0x00300008	CKR_DEVICE_ERROR
LUNA_RET_MD5_SELF_TEST_FAILURE	0x00300009	CKR_DEVICE_ERROR
LUNA_RET_SHA_SELF_TEST_FAILURE	0x0030000a	CKR_DEVICE_ERROR
LUNA_RET_RSA_SELF_TEST_FAILURE	0x0030000b	CKR_DEVICE_ERROR
LUNA_RET_RC2_SELF_TEST_FAILURE	0x0030000c	CKR_DEVICE_ERROR
LUNA_RET_RC4_SELF_TEST_FAILURE	0x0030000d	CKR_DEVICE_ERROR
LUNA_RET_RC5_SELF_TEST_FAILURE	0x0030000e	CKR_DEVICE_ERROR
LUNA_RET_SO_LOGIN_FAILURE_THRESHOLD	0x0030000f	CKR_SO_LOGIN_FAILURE_THRESHOLD
LUNA_RET_RNG_SELF_TEST_FAILURE	0x00300010	CKR_DEVICE_ERROR
LUNA_RET_SM_UNKNOWN_COMMAND	0x00300011	CKR_DEVICE_ERROR
LUNA_RET_UM_TSN_MISSING	0x00300012	CKR_DEVICE_ERROR
LUNA_RET_SM_TSV_MISSING	0x00300013	CKR_DEVICE_ERROR
LUNA_RET_SM_UNKNOWN_TOSM_STATE	0x00300014	CKR_DEVICE_ERROR
LUNA_RET_DSA_PARAM_GEN_FAILURE	0x00300015	CKR_DEVICE_ERROR
LUNA_RET_DSA_SELF_TEST_FAILURE	0x00300016	CKR_DEVICE_ERROR
LUNA_RET_SEED_SELF_TEST_FAILURE	0x00300017	CKR_DEVICE_ERROR
LUNA_RET_AES_SELF_TEST_FAILURE	0x00300018	CKR_DEVICE_ERROR
LUNA_RET_FUNCTION_NOT_SUPPORTED_BY_HARDWARE	0x00300019	CKR_DEVICE_ERROR
LUNA_RET_HAS160_SELF_TEST_FAILURE	0x0030001a	CKR_DEVICE_ERROR
LUNA_RET_KCDSA_PARAM_GEN_FAILURE	0x0030001b	CKR_DEVICE_ERROR
LUNA_RET_KCDSA_SELF_TEST_FAILURE	0x0030001c	CKR_DEVICE_ERROR
LUNA_RET_HSM_INTERNAL_BUFFER_TOO_	0x0030001d	CKR_DEVICE_ERROR



HSM Error	Hex Code	PKCS#11 or SFNT Defined CKR Error
SMALL		
LUNA_RET_COUNTER_WRAPAROUND	0x0030001e	CKR_DEVICE_ERROR
LUNA_RET_TIMEOUT	0x0030001f	CKR_TIMEOUT
LUNA_RET_NOT_READY	0x00300020	CKR_DEVICE_ERROR
LUNA_RET_RETRY	0x00300021	CKR_DEVICE_ERROR
LUNA_RET_SHA1_RSA_SELF_TEST_FAILURE	0x00300022	CKR_DEVICE_ERROR
LUNA_RET_SELF_TEST_FAILURE	0x00300023	CKR_DEVICE_ERROR
LUNA_RET_INCOMPATIBLE	0x00300024	CKR_DEVICE_ERROR
LUNA_RET_RIPEMD160_SELF_TEST_FAILURE	0x00300034	CKR_DEVICE_ERROR
LUNA_RET_TOKEN_LOCKED_OUT_CL	0x00300100	CKR_DEVICE_ERROR
LUNA_RET_TOKEN_LOCKED_OUT_MM	0x00300101	CKR_DEVICE_ERROR
LUNA_RET_TOKEN_LOCKED_OUT_UM	0x00300102	CKR_DEVICE_ERROR
LUNA_RET_TOKEN_LOCKED_OUT_SM	0x00300103	CKR_DEVICE_ERROR
LUNA_RET_TOKEN_LOCKED_OUT_RN	0x00300104	CKR_DEVICE_ERROR
LUNA_RET_TOKEN_LOCKED_OUT_CA	0x00300105	CKR_DEVICE_ERROR
LUNA_RET_TOKEN_LOCKED_OUT_PM	0x00300106	CKR_DEVICE_ERROR
LUNA_RET_TOKEN_LOCKED_OUT_OH	0x00300107	CKR_DEVICE_ERROR
LUNA_RET_TOKEN_LOCKED_OUT_CCM	0x00300108	CKR_DEVICE_ERROR
LUNA_RET_TOKEN_LOCKED_OUT_SHA_DIGEST	0x00300109	CKR_DEVICE_ERROR
LUNA_RET_SM_ACCESS_REALLOC_ERROR	0x00310101	CKR_DEVICE_ERROR
LUNA_RET_SM_SESSION_REALLOC_ERROR	0x00310102	CKR_DEVICE_ERROR
LUNA_RET_SM_MEMORY_ALLOCATION_ERROR	0x00310103	CKR_DEVICE_ERROR
LUNA_RET_ENCRYPTED_DATA_INVALID	0x00400000	CKR_ENCRYPTED_DATA_INVALID
LUNA_RET_ENCRYPTED_DATA_LEN_RANGE	0x00410000	CKR_ENCRYPTED_DATA_LEN_RANGE
LUNA_RET_FUNCTION_CANCELED	0x00500000	CKR_FUNCTION_CANCELED
LUNA_RET_KEY_HANDLE_INVALID	0x00600000	CKR_KEY_HANDLE_INVALID
LUNA_RET_MECHANISM_INVALID	0x00700000	CKR_MECHANISM_INVALID

HSM Error	Hex Code	PKCS#11 or SFNT Defined CKR Error
LUNA_RET_MECHANISM_PARAM_INVALID	0x00710000	CKR_MECHANISM_PARAM_INVALID
LUNA_RET_OPERATION_ACTIVE	0x00900000	CKR_OPERATION_ACTIVE
LUNA_RET_OPERATION_NOT_INITIALIZED	0x00910000	CKR_OPERATION_NOT_INITIALIZED
LUNA_RET_UM_PIN_INCORRECT	0x00a00000	CKR_PIN_INCORRECT
LUNA_RET_UM_PIN_INCORRECT_CONTAINER_ZEROIZED	0x00a00001	CKR_PIN_INCORRECT
LUNA_RET_UM_PIN_INCORRECT_CONTAINER_LOCKED	0x00a00002	CKR_PIN_INCORRECT
LUNA_RET_UM_PIN_LEN_RANGE	0x00a20000	CKR_PIN_LEN_RANGE
LUNA_RET_SM_PIN_EXPIRED	0x00a30000	CKR_PIN_EXPIRED
LUNA_RET_SM_EXCLUSIVE_SESSION_EXISTS	0x00b20000	CKR_SESSION_EXCLUSIVE_EXISTS
LUNA_RET_SM_SESSION_HANDLE_INVALID	0x00b30000	CKR_SESSION_HANDLE_INVALID
LUNA_RET_SIGNATURE_INVALID	0x00c00000	CKR_SIGNATURE_INVALID
LUNA_RET_SIGNATURE_LEN_RANGE	0x00c10000	CKR_SIGNATURE_LEN_RANGE
LUNA_RET_UNWRAPPING_KEY_HANDLE_INVALID	0x00f00000	CKR_UNWRAPPING_KEY_HANDLE_INVALID
LUNA_RET_UNWRAPPING_KEY_SIZE_RANGE	0x00f10000	CKR_UNWRAPPING_KEY_SIZE_RANGE
LUNA_RET_UNWRAPPING_KEY_TYPE_INCONSISTENT	0x00f20000	CKR_UNWRAPPING_KEY_TYPE_INCONSISTENT
LUNA_RET_USER_ALREADY_LOGGED_IN	0x01000000	CKR_USER_ALREADY_LOGGED_IN
LUNA_RET_SM_OTHER_USER_LOGGED_IN	0x01000001	CKR_USER_ALREADY_LOGGED_IN
LUNA_RET_USER_NOT_LOGGED_IN	0x01010000	CKR_USER_NOT_LOGGED_IN
LUNA_RET_SM_NOT_LOGGED_IN	0x01010001	CKR_USER_NOT_LOGGED_IN
LUNA_RET_USER_PIN_NOT_INITIALIZED	0x01020000	CKR_USER_PIN_NOT_INITIALIZED
LUNA_RET_USER_TYPE_INVALID	0x01030000	CKR_USER_TYPE_INVALID

HSM Error	Hex Code	PKCS#11 or SFNT Defined CKR Error
LUNA_RET_WRAPPED_KEY_INVALID	0x01100000	CKR_WRAPPED_KEY_INVALID
LUNA_RET_WRAPPED_KEY_LEN_RANGE	0x01120000	CKR_WRAPPED_KEY_LEN_RANGE
LUNA_RET_WRAPPING_KEY_HANDLE_INVALID	0x01130000	CKR_WRAPPING_KEY_HANDLE_INVALID
LUNA_RET_WRAPPING_KEY_SIZE_RANGE	0x01140000	CKR_WRAPPING_KEY_SIZE_RANGE
LUNA_RET_WRAPPING_KEY_TYPE_INCONSISTENT	0x01150000	CKR_WRAPPING_KEY_TYPE_INCONSISTENT
LUNA_RET_CERT_VERSION_NOT_SUPPORTED	0x00300300	CKR_DEVICE_ERROR
LUNA_RET_SIM_AUTHFORM_INVALID	0x0020011e	CKR_SIM_AUTHFORM_INVALID
LUNA_RET_CCM_TOO_LARGE	0x00210001	CKR_DATA_LEN_RANGE
LUNA_RET_TEST_VS_BSAFE_FAILED	0x00300820	CKR_DEVICE_ERROR
LUNA_RET_SFNT3120_ERROR	0x00300821	CKR_DEVICE_ERROR
LUNA_RET_SFNT3120_SELFTEST_FAILED	0x00300822	CKR_DEVICE_ERROR
LUNA_RET_SFNT3120_CRC	0x00300823	CKR_DEVICE_ERROR
LUNA_RET_SFNT3120_ALG_NO_SOFTWARE_SUPPORT	0x00300824	CKR_DEVICE_ERROR
LUNA_RET_ISES_ERROR	0x00300880	CKR_DEVICE_ERROR
LUNA_RET_ISES_INIT_FAILED	0x00300881	CKR_DEVICE_ERROR
LUNA_RET_ISES_LNAU_TEST_FAILED	0x00300882	CKR_DEVICE_ERROR
LUNA_RET_ISES_RNG_TEST_FAILED	0x00300883	CKR_DEVICE_ERROR
LUNA_RET_ISES_CMD_FAILED	0x00300884	CKR_DEVICE_ERROR
LUNA_RET_ISES_CMD_PARAMETER_INVALID	0x00300885	CKR_DEVICE_ERROR
LUNA_RET_ISES_TEST_VS_BSAFE_FAILED	0x00300886	CKR_DEVICE_ERROR
LUNA_RET_RM_ELEMENT_VALUE_INVALID	0x00200a00	CKR_DATA_INVALID
LUNA_RET_RM_ELEMENT_ID_INVALID	0x00200a01	CKR_DATA_INVALID
LUNA_RET_RM_NO_MEMORY	0x00310a02	CKR_DEVICE_MEMORY
LUNA_RET_RM_BAD_HSM_PARAMS	0x00300a03	CKR_DEVICE_ERROR

HSM Error	Hex Code	PKCS#11 or SFNT Defined CKR Error
LUNA_RET_RM_POLICY_ELEMENT_DESTRUCTIVE	0x00200a04	CKR_DATA_INVALID
LUNA_RET_RM_POLICY_ELEMENT_NOT_DESTRUCTIVE	0x00200a05	CKR_DATA_INVALID
LUNA_RET_RM_CONFIG_CHANGE_ILLEGAL	0x00010a06	CKR_CANCEL
LUNA_RET_RM_CONFIG_CHANGE_FAILS_DEPENDENCIES	0x00010a07	CKR_CANCEL
LUNA_RET_LICENSE_ID_UNKNOWN	0x00200a08	CKR_DATA_INVALID
LUNA_RET_LICENSE_CAPACITY_EXCEEDED	0x00010a09	CKR_LICENSE_CAPACITY_EXCEEDED
LUNA_RET_RM_POLICY_WRITE_RESTRICTED	0x00010a0a	CKR_CANCEL
LUNA_RET_OPERATION_RESTRICTED	0x00010a0b	CKR_OPERATION_NOT_ALLOWED
LUNA_RET_CANNOT_PERFORM_OPERATION_TWICE	0x00010a0c	CKR_CANCEL
LUNA_RET_BAD_PPID	0x00200a0d	CKR_DATA_INVALID
LUNA_RET_BAD_FW_VERSION	0x00200a0e	CKR_DATA_INVALID
LUNA_RET_OPERATION_SHOULD_BE_DESTRUCTIVE	0x00200a0f	CKR_DATA_INVALID
LUNA_RET_RM_CONFIG_ILLEGAL	0x00200a10	CKR_DATA_INVALID
LUNA_RET_BAD_SN	0x00200a11	CKR_DATA_INVALID
LUNA_RET_CHALLENGE_TYPE_INVALID	0x00200b00	CKR_DATA_INVALID
LUNA_RET_CHALLENGE_REQUIRES_PED	0x00010b01	CKR_CANCEL
LUNA_RET_CHALLENGE_NOT_REQUIRED	0x00010b02	CKR_CANCEL
LUNA_RET_CHALLENGE_RESPONSE_INCORRECT	0x00a00b03	CKR_PIN_INCORRECT
LUNA_RET_OH_OBJECT_VERSION_INVALID	0x00300c00	CKR_DEVICE_ERROR
LUNA_RET_OH_OBJECT_TYPE_INVALID	0x00300c01	CKR_DEVICE_ERROR
LUNA_RET_OH_OBJECT_ALREADY_EXISTS	0x00010c02	CKR_CANCEL
LUNA_RET_OH_OBJECT_OWNER_DOES_NOT_EXIST	0x00200c03	CKR_DATA_INVALID

HSM Error	Hex Code	PKCS#11 or SFNT Defined CKR Error
LUNA_RET_STORAGE_TYPE_INCONSISTENT	0x00200c04	CKR_DATA_INVALID
LUNA_RET_CONTAINER_CAN_NOT_HAVE_MEMBERS	0x00200c05	CKR_DATA_INVALID
LUNA_RET_SAVED_STATE_INVALID	0x01600000	CKR_SAVED_STATE_INVALID
LUNA_RET_STATE_UNSAVEABLE	0x01800000	CKR_STATE_UNSAVEABLE
LUNA_RET_ERROR	0x80000000	CKR_GENERAL_ERROR
LUNA_RET_CONTAINER_HANDLE_INVALID	0x80000001	CKR_CONTAINER_HANDLE_INVALID
LUNA_RET_INVALID_PADDING_TYPE	0x80000002	CKR_DATA_INVALID
LUNA_RET_NOT_FOUND	0x80000007	CKR_FUNCTION_FAILED
LUNA_RET_TOO_MANY_CONTAINERS	0x80000008	CKR_TOO_MANY_CONTAINERS
LUNA_RET_CONTAINER_LOCKED	0x80000009	CKR_PIN_LOCKED
LUNA_RET_CONTAINER_IS_DISABLED	0x8000000a	CKR_PARTITION_DISABLED
LUNA_RET_SECURITY_PARAMETER_MISSING	0x8000000b	CKR_SECURITY_PARAMETER_MISSING
LUNA_RET_DEVICE_TIMEOUT	0x8000000c	CKR_DEVICE_TIMEOUT
LUNA_RET_OBJECT_DELETED	0x8000000d	HSM Internal ONLY
LUNA_RET_INVALID_FUF_TARGET	0x8000000e	CKR_INVALID_FUF_TARGET
LUNA_RET_INVALID_FUF_HEADER	0x8000000f	CKR_INVALID_FUF_HEADER
LUNA_RET_INVALID_FUF_VERSION	0x80000010	CKR_INVALID_FUF_VERSION
LUNA_RET_KCV_PARAMETER_ALREADY_EXISTS	0x80000100	CKR_CLONING_PARAMETER_ALREADY_EXISTS
LUNA_RET_KCV_PARAMETER_COULD_NOT_BE_ADDED	0x80000101	CKR_DEVICE_MEMORY
LUNA_RET_INVALID_CERTIFICATE_DATA	0x80000102	CKR_CERTIFICATE_DATA_INVALID
LUNA_RET_INVALID_CERTIFICATE_TYPE	0x80000103	CKR_CERTIFICATE_DATA_INVALID
LUNA_RET_INVALID_CERTIFICATE_VERSION	0x80000104	CKR_CERTIFICATE_DATA_INVALID

HSM Error	Hex Code	PKCS#11 or SFNT Defined CKR Error
LUNA_RET_INVALID_MODULUS_SIZE	0x80000105	CKR_ATTRIBUTE_VALUE_INVALID
LUNA_RET_WRAPPING_ERROR	0x80000107	CKR_WRAPPING_ERROR
LUNA_RET_UNWRAPPING_ERROR	0x80000108	CKR_UNWRAPPING_ERROR
LUNA_RET_INVALID_PRIVATE_KEY_TYPE	0x80000109	CKR_DATA_INVALID
LUNA_RET_TSN_MISMATCH	0x8000010a	CKR_DATA_INVALID
LUNA_RET_KCV_PARAMETER_MISSING	0x8000010b	CKR_CLONING_PARAMETER_MISSING
LUNA_RET_TWC_PARAMETER_MISSING	0x8000010c	CKR_CERTIFICATE_DATA_MISSING
LUNA_RET_TUK_PARAMETER_MISSING	0x8000010d	CKR_CERTIFICATE_DATA_MISSING
LUNA_RET_CPK_PARAMETER_MISSING	0x8000010e	CKR_KEY_NEEDED
LUNA_RET_MASKING_NOT_SUPPORTED	0x8000010f	CKR_FUNCTION_NOT_SUPPORTED
LUNA_RET_INVALID_ACCESS_LEVEL	0x80000110	CKR_ARGUMENTS_BAD
LUNA_RET_MAC_MISSING	0x80000111	CKR_MAC_MISSING
LUNA_RET_DAC_POLICY_PID_MISMATCH	0x80000112	CKR_DAC_POLICY_PID_MISMATCH
LUNA_RET_DAC_MISSING	0x80000113	CKR_DAC_MISSING
LUNA_RET_BAD_DAC	0x80000114	CKR_BAD_DAC
LUNA_RET_SSK_MISSING	0x80000115	CKR_SSK_MISSING
LUNA_RET_BAD_MAC	0x80000116	CKR_BAD_MAC
LUNA_RET_DAK_MISSING	0x80000117	CKR_DAK_MISSING
LUNA_RET_BAD_DAK	0x80000118	CKR_BAD_DAK
LUNA_RET_HOK_MISSING	0x80000119	CKR_CERTIFICATE_DATA_MISSING
LUNA_RET_CITS_DAK_MISSING	0x8000011a	CKR_CITS_DAK_MISSING
LUNA_RET_SIM_AUTHORIZATION_FAILED	0x8000011b	CKR_SIM_AUTHORIZATION_FAILED
LUNA_RET_SIM_VERSION_UNSUPPORTED	0x8000011c	CKR_SIM_VERSION_

HSM Error	Hex Code	PKCS#11 or SFNT Defined CKR Error
		UNSUPPORTED
LUNA_RET_SIM_CORRUPT_DATA	0x8000011d	CKR_SIM_CORRUPT_DATA
LUNA_RET_ECC_MIC_MISSING	0x8000011e	CKR_CERTIFICATE_DATA_MISSING
LUNA_RET_ECC_HOK_MISSING	0x8000011f	CKR_CERTIFICATE_DATA_MISSING
LUNA_RET_ECC_HOC_MISSING	0x80000120	CKR_CERTIFICATE_DATA_MISSING
LUNA_RET_ECC_DAK_MISSING	0x80000121	CKR_CERTIFICATE_DATA_MISSING
LUNA_RET_ECC_DAC_MISSING	0x80000122	CKR_CERTIFICATE_DATA_MISSING
LUNA_RET_ROOT_CERT_MISSING	0x80000123	CKR_CERTIFICATE_DATA_MISSING
LUNA_RET_HOC_MISSING	0x80000124	CKR_CERTIFICATE_DATA_MISSING
LUNA_RET_INVALID_CERTIFICATE_FUNCTION	0x80000125	CKR_CERTIFICATE_DATA_INVALID
LUNA_RET_N_TOO_LARGE	0x80000200	CKR_ARGUMENTS_BAD
LUNA_RET_N_TOO_SMALL	0x80000201	CKR_ARGUMENTS_BAD
LUNA_RET_M_TOO_LARGE	0x80000202	CKR_ARGUMENTS_BAD
LUNA_RET_M_TOO_SMALL	0x80000203	CKR_ARGUMENTS_BAD
LUNA_RET_WEIGHT_TOO_LARGE	0x80000204	CKR_ARGUMENTS_BAD
LUNA_RET_WEIGHT_TOO_SMALL	0x80000205	CKR_ARGUMENTS_BAD
LUNA_RET_TOTAL_WEIGHT_INVALID	0x80000206	CKR_ARGUMENTS_BAD
LUNA_RET_MISSING_SPLITS	0x80000207	CKR_ARGUMENTS_BAD
LUNA_RET_SPLIT_DATA_INVALID	0x80000208	CKR_ARGUMENTS_BAD
LUNA_RET_SPLIT_ID_INVALID	0x80000209	CKR_ARGUMENTS_BAD
LUNA_RET_M_OF_N_PARAMETER_NOT_AVAILABLE	0x8000020a	CKR_OPERATION_NOT_INITIALIZED
LUNA_RET_M_OF_N_ACTIVATION_REQUIRED	0x8000020b	CKR_OPERATION_NOT_

HSM Error	Hex Code	PKCS#11 or SFNT Defined CKR Error
		INITIALIZED
LUNA_RET_TOO_MANY_WEIGHTS	0x8000020e	CKR_ARGUMENTS_BAD
LUNA_RET_MISSING_WEIGHT_VALUE	0x8000020f	CKR_ARGUMENTS_BAD
LUNA_RET_MISSING_VALUE_FOR_M	0x80000210	CKR_ARGUMENTS_BAD
LUNA_RET_MISSING_VALUE_FOR_N	0x80000211	CKR_ARGUMENTS_BAD
LUNA_RET_MISSING_NUMBER_OF_VECTORS	0x80000212	CKR_ARGUMENTS_BAD
LUNA_RET_MISSING_VECTOR	0x80000213	CKR_ARGUMENTS_BAD
LUNA_RET_VECTOR_TOO_LARGE	0x80000214	CKR_ARGUMENTS_BAD
LUNA_RET_VECTOR_TOO_SMALL	0x80000215	CKR_ARGUMENTS_BAD
LUNA_RET_TOO_MANY_VECTORS_PROVIDED	0x80000216	CKR_ARGUMENTS_BAD
LUNA_RET_INVALID_VECTOR_SIZE	0x80000217	CKR_ARGUMENTS_BAD
LUNA_RET_M_OF_N_PARAMETER_EXIST	0x80000218	CKR_FUNCTION_FAILED
LUNA_RET_VECTOR_VERSION_INVALID	0x80000219	CKR_DATA_INVALID
LUNA_RET_VECTOR_OF_DIFFERENT_SET	0x8000021a	CKR_ARGUMENTS_BAD
LUNA_RET_VECTOR_DUPLICATE	0x8000021b	CKR_ARGUMENTS_BAD
LUNA_RET_VECTOR_TYPE_INVALID	0x8000021c	CKR_ARGUMENTS_BAD
LUNA_RET_MISSING_COMMAND_PARAMETER	0x8000021d	CKR_ARGUMENTS_BAD
LUNA_RET_M_OF_N_CLONING_IS_NOT_ALLOWED	0x8000021e	CKR_FUNCTION_NOT_SUPPORTED
LUNA_RET_M_OF_N_IS_NOT_REQUIRED	0x8000021f	CKR_OPERATION_NOT_INITIALIZED
LUNA_RET_M_OF_N_IS_NOT_INITIALIZED	0x80000220	CKR_OPERATION_NOT_INITIALIZED
LUNA_RET_M_OF_N_SECRET_INVALID	0x80000221	CKR_GENERAL_ERROR
LUNA_RET_CCM_NOT_PRESENT	0x80000300	CKR_FUNCTION_NOT_SUPPORTED
LUNA_RET_CCM_NOT_SUPPORTED	0x80000301	CKR_FUNCTION_NOT_SUPPORTED
LUNA_RET_CCM_UNREMOVABLE	0x80000302	CKR_DATA_INVALID



HSM Error	Hex Code	PKCS#11 or SFNT Defined CKR Error
LUNA_RET_CCM_CERT_INVALID	0x80000303	CKR_DATA_INVALID
LUNA_RET_CCM_SIGN_INVALID	0x80000304	CKR_DATA_INVALID
LUNA_RET_CCM_UPDATE_DENIED	0x80000305	CKR_DATA_INVALID
LUNA_RET_CCM_FWUPDATE_DENIED	0x80000306	CKR_DATA_INVALID
LUNA_RET_SM_ACCESS_ID_INVALID	0x80000400	CKR_DATA_INVALID
LUNA_RET_SM_ACCESS_ALREADY_EXISTS	0x80000401	CKR_DATA_INVALID
LUNA_RET_SM_MULTIPLE_ACCESS_DISABLED	0x80000402	CKR_FUNCTION_NOT_SUPPORTED
LUNA_RET_SM_UNKNOWN_ACCESS_TYPE	0x80000403	CKR_ARGUMENTS_BAD
LUNA_RET_SM_BAD_ACCESS_HANDLE	0x80000404	CKR_DATA_INVALID
LUNA_RET_SM_BAD_CONTEXT_NUMBER	0x80000405	CKR_DATA_INVALID
LUNA_RET_SM_UNKNOWN_SESSION_TYPE	0x80000406	CKR_DATA_INVALID
LUNA_RET_SM_CONTEXT_ALREADY_ALLOCATED	0x80000407	CKR_DATA_INVALID
LUNA_RET_SM_CONTEXT_NOT_ALLOCATED	0x80000408	CKR_DEVICE_MEMORY
LUNA_RET_SM_CONTEXT_BUFFER_OVERFLOW	0x80000409	CKR_DEVICE_MEMORY
LUNA_RET_SM_TOSM_DOES_NOT_VALIDATE	0x8000040A	CKR_USER_NOT_LOGGED_IN
LUNA_RET_SM_ACCESS_DOES_NOT_VALIDATE	0x8000040B	CKR_USER_NOT_AUTHORIZED
LUNA_RET_MTK_ZEROIZED	0x80000531	CKR_MTK_ZEROIZED
LUNA_RET_MTK_STATE_INVALID	0x80000532	CKR_MTK_STATE_INVALID
LUNA_RET_MTK_SPLIT_INVALID	0x80000533	CKR_MTK_SPLIT_INVALID
LUNA_RET_INVALID_IP_PACKET	0x80000600	CKR_DEVICE_ERROR
LUNA_RET_INVALID_BOARD_TYPE	0x80000700	CKR_DEVICE_ERROR
LUNA_RET_ECC_NOT_SUPPORTED	0x80000601	CKR_FUNCTION_NOT_SUPPORTED
LUNA_RET_ECC_BUFFER_OVERFLOW	0x80000602	CKR_DEVICE_ERROR
LUNA_RET_ECC_POINT_INVALID	0x80000603	CKR_ECC_POINT_INVALID **
LUNA_RET_ECC_SELF_TEST_FAILURE	0x80000604	CKR_DEVICE_ERROR

HSM Error	Hex Code	PKCS#11 or SFNT Defined CKR Error
LUNA_RET_ECC_UNKNOWN_CURVE	0x80000605	CKR_ECC_UNKNOWN_CURVE
LUNA_RET_HA_NOT_SUPPORTED	0x80000900	CKR_FUNCTION_NOT_SUPPORTED
LUNA_RET_HA_USER_NOT_INITIALIZED	0x80000901	CKR_OPERATION_NOT_INITIALIZED
LUNA_RET_HSM_STORAGE_FULL	0x80000902	CKR_HSM_STORAGE_FULL
LUNA_RET_CONTAINER_OBJECT_STORAGE_FULL	0x80000903	CKR_CONTAINER_OBJECT_STORAGE_FULL
LUNA_RET_KEY_NOT_ACTIVE	0x80000904	CKR_KEY_NOT_ACTIVE
LUNA_RET_CB_NOT_SUPPORTED	0x80000a01	CKR_FUNCTION_NOT_SUPPORTED
LUNA_RET_CB_PARAM_INVALID	0x80000a02	CKR_CALLBACK_ERROR
LUNA_RET_CB_NO_MEMORY	0x80000a03	CKR_DEVICE_MEMORY
LUNA_RET_CB_TIMEOUT	0x80000a04	CKR_CALLBACK_ERROR
LUNA_RET_CB_RETRY	0x80000a05	CKR_CALLBACK_ERROR
LUNA_RET_CB_ABORTED	0x80000a06	CKR_CALLBACK_ERROR
LUNA_RET_CB_SYS_ERROR	0x80000a07	CKR_CALLBACK_ERROR
LUNA_RET_CB_HIOS_HANDLE_INVALID	0x80000a10	CKR_CALLBACK_ERROR
LUNA_RET_CB_HIOS_ID_INVALID	0x80000a11	CKR_CALLBACK_ERROR
LUNA_RET_CB_HIOS_CLOSED	0x80000a12	CKR_CALLBACK_ERROR
LUNA_RET_CB_HIOS_CANCELED	0x80000a13	CKR_CALLBACK_ERROR
LUNA_RET_CB_HIOS_IO_ERROR	0x80000a14	CKR_CALLBACK_ERROR
LUNA_RET_CB_HIOS_SEND_TIMEOUT	0x80000a15	CKR_CALLBACK_ERROR
LUNA_RET_CB_HIOS_RECV_TIMEOUT	0x80000a16	CKR_CALLBACK_ERROR
LUNA_RET_CB_HIOS_STATE_INVALID	0x80000a17	CKR_CALLBACK_ERROR
LUNA_RET_CB_HIOS_OUTPUT_BUFFER_TOO_SMALL	0x80000a18	CKR_CALLBACK_ERROR
LUNA_RET_CB_HIOS_INPUT_BUFFER_TOO_SMALL	0x80000a19	CKR_CALLBACK_ERROR

HSM Error	Hex Code	PKCS#11 or SFNT Defined CKR Error
LUNA_RET_CB_HANDLE_INVALID	0x80000a20	CKR_CALLBACK_ERROR
LUNA_RET_CB_ID_INVALID	0x80000a21	CKR_CALLBACK_ERROR
LUNA_RET_CB_REMOTE_ABORT	0x80000a22	CKR_CALLBACK_ERROR
LUNA_RET_CB_REMOTE_CLOSED	0x80000a23	CKR_CALLBACK_ERROR
LUNA_RET_CB_REMOTE_ABANDONED	0x80000a24	CKR_CALLBACK_ERROR
LUNA_RET_CB_MUST_READ	0x80000a25	CKR_CALLBACK_ERROR
LUNA_RET_CB_MUST_WRITE	0x80000a26	CKR_CALLBACK_ERROR
LUNA_RET_CB_INVALID_CALL_FOR_THE_STATE	0x80000a27	CKR_CALLBACK_ERROR
LUNA_RET_CB_SYNC_ERROR	0x80000a28	CKR_CALLBACK_ERROR
LUNA_RET_CB_PROT_DATA_INVALID	0x80000a29	CKR_CALLBACK_ERROR
LUNA_RET_LOG_FILE_NOT_OPEN	0x80000d00	CKR_LOG_FILE_NOT_OPEN
LUNA_RET_LOG_FILE_WRITE_ERROR	0x80000d01	CKR_LOG_FILE_WRITE_ERROR
LUNA_RET_LOG_BAD_FILE_NAME	0x80000d02	CKR_LOG_BAD_FILE_NAME
LUNA_RET_LOG_FULL	0x80000d03	CKR_LOG_FULL
LUNA_RET_LOG_NO_KCV	0x80000d04	CKR_LOG_NO_KCV
LUNA_RET_LOG_BAD_RECORD_HMAC	0x80000d05	CKR_LOG_BAD_RECORD_HMAC
LUNA_RET_LOG_BAD_TIME	0x80000d06	CKR_LOG_BAD_TIME
LUNA_RET_LOG_AUDIT_NOT_INITIALIZED	0x80000d07	CKR_LOG_AUDIT_NOT_INITIALIZED
LUNA_RET_LOG_RESYNC_NEEDED	0x80000d08	CKR_LOG_RESYNC_NEEDED
LUNA_RET_AUDIT_LOGIN_TIMEOUT_IN_PROGRESS	0x80000d09	CKR_AUDIT_LOGIN_TIMEOUT_IN_PROGRESS
LUNA_RET_AUDIT_LOGIN_FAILURE_THRESHOLD	0x80000d0a	CKR_AUDIT_LOGIN_FAILURE_THRESHOLD

\* This error (CKR\_TEMPLATE\_INCONSISTENT) might be encountered when using CKDemo in a new client with firmware older than version 6.22.0. Try CKDemo option 98, sub-option 16. If it is set to "enhanced roles", try selecting it to set it to "legacy Luna roles". The setting is a toggle, and flips every time you select it.

\*\* This error, or "unable to read public key", might be encountered when using BSAFE to encrypt data with ECC public key using curves from the Brainpool suite. As indicated on the BSAFE website (May 2012) they do not appear to support Brainpool curves. Therefore, your own applications should not attempt that combination, and you should avoid attempting to specify Brainpool curves with BSAFE ECC when using SafeNet's CKDemo utility.

## Library Codes

Hex value	Decimal value	Return code/error description
0	0	OKAY, NO ERROR
0xC0000000	3221225472	PROGRAMMING ERROR: RETURN CODE
0xC0000001	3221225473	OUT OF MEMORY
0xC0000002	3221225474	NON-SPECIFIC ERROR
0xC0000003	3221225475	UNEXPECTED NULL POINTER
0xC0000004	3221225476	PROGRAMMING ERROR: LOGIC
0xC0000005	3221225477	OPERATION WOULD BLOCK IF ATTEMPTED
0xC0000006	3221225478	BUFFER IS TOO SMALL
0xC0000100	3221225728	OPERATION CANCEL
0xC0000101	3221225729	INVALID SLOT IDENTIFIER
0xC0000102	3221225730	INVALID DATA
0xC0000103	3221225731	INVALID PIN
0xC0000104	3221225732	NO TOKEN PRESENT
0xC0000105	3221225733	FUNCTION IS NOT SUPPORTED
0xC0000106	3221225734	NON-CRYPTOKI ELEMENT CLONE
0xC0000107	3221225735	INVALID BUFFER SIZE FOR CHALLENGE
0xC0000108	3221225736	PIN IS LOCKED
0xC0000109	3221225737	INVALID VERSION

Hex value	Decimal value	Return code/error description
0xC000010a	3221225738	NEEDED KEY NOT PROVIDED
0xC000010b	3221225739	USER NAME IS IN USE
0xC0000200	3221225984	INVALID DISTINGUISHED ENCODING RULES CLASS
0xC0000303	3221226243	OPERATION TIMED OUT
0xC0000304	3221226244	RESET FAILED
0xC0000400	3221226496	INVALID TOKEN STATE
0xC0000401	3221226497	DATA APPEARS CORRUPTED
0xC0000402	3221226498	INVALID FILENAME
0xC0000403	3221226499	FILE IS READ-ONLY
0xC0000404	3221226500	FILE ERROR
0xC0000405	3221226501	INVALID OBJECT IDENTIFIER
0xC0000406	3221226502	INVALID SOCKET ADDRESS
0xC0000407	3221226503	INVALID LISTEN SOCKET
0xC0000408	3221226504	CACHE IS NOT CURRENT
0xC0000409	3221226505	CACHE IS NOT MAPPED
0xC000040a	3221226506	OBJECT IS NOT IN LIST
0xC000040b	3221226507	INVALID INDEX
0xC000040c	3221226508	OBJECT ALREADY EXISTS
0xC000040d	3221226509	SEMAPHORE ERROR

Hex value	Decimal value	Return code/error description
0xC000040e	3221226510	END OF LIST ENCOUNTERED
0xC000040f	3221226511	WOULD ASSIGN SAME VALUE
0xC0000410	3221226512	INVALID GROUP NAME
0xC0000411	3221226513	NOT HSM BACKUP TOKEN
0xC0000412	3221226514	NOT PARTITION BACKUP TOKEN
0xC0000413	3221226515	SIM NOT SUPPORTED
0xC0000500	3221226752	SOCKET ERROR
0xC0000501	3221226753	SOCKET WRITE ERROR
0xC0000502	3221226754	SOCKET READ ERROR
0xC0000503	3221226755	CLIENT MESSAGE ERROR
0xC0000504	3221226756	SERVER DISCONNECTED
0xC0000505	3221226757	CLIENT DISCONNECTED
0xC0000506	3221226758	SOCKET WOULD BLOCK
0xC0000507	3221226759	SOCKET ADDRESS IS IN USE
0xC0000508	3221226760	SOCKET BAD FILE DESCRIPTOR
0xC0000509	3221226761	HOST RESOLUTION ERROR
0xC000050a	3221226762	INVALID HOST CERTIFICATE
0xC0000600	3221227008	NO BUFFER AVAILABLE
0xC0000601	3221227009	INVALID ENUMERATION OPTION

Hex value	Decimal value	Return code/error description
0xC0000700	3221227264	SSL ERROR
0xC0000701	3221227265	SSL CTX ERROR
0xC0000702	3221227266	SSL CIPHER LIST ERROR
0xC0000703	3221227267	SSL CERT VERIFICATION LOCATION ERROR
0xC0000704	3221227268	SSL LOAD SERVER CERT ERROR
0xC0000705	3221227269	SSL LOAD SERVER PRIVATE KEY ERROR
0xC0000706	3221227270	SSL VALIDATE SERVER PRIVATE KEY ERROR
0xC0000707	3221227271	SSL CREATE SSL ERROR
0xC0000708	3221227272	SSL LOAD CLIENT CERT ERROR
0xC0000709	3221227273	SSL GET CERTIFICATE ERROR
0xC000070a	3221227274	SSL INVALID CERT STRUCTURE
0xC000070b	3221227275	SSL LOAD CLIENT PRIVATE KEY ERROR
0xC000070c	3221227276	SSL GET PEER CERT ERROR
0xC000070d	3221227277	SSL WANT READ ERROR
0xC000070e	3221227278	SSL WANT WRITE ERROR
0xC000070f	3221227279	SSL WANT X509 LOOKUP ERROR
0xC0000710	3221227280	SSL SYSCALL ERROR
0xC0000711	3221227281	SSL FAILED HANDSHAKE
0xC0000800	3221227520	INVALID CERTIFICATE TYPE

Hex value	Decimal value	Return code/error description
0xC000900	3221227776	INVALID PORT
0xC000901	3221227777	SESSION SCRIPT EXISTS
0xC0001000	3221229568	PARTITION LOCKED
0xC0001001	3221229569	PARTITION NOT ACTIVATED
0xc0002000	3221233664	FAILED TO CREATE THREAD
0xc0002001	3221233665	CALLBACK ERROR
0xc0002002	3221233666	UNKNOWN CALLBACK COMMAND
0xc0002003	3221233667	SHUTTING DOWN
0xc0002004	3221233668	REMOTE SIDE DISCONNECTED
0xc0002005	3221233669	SOCKET CLOSED
0xC0002006	3221233670	INVALID COMMAND
0xC0002007	3221233671	UNKNOWN COMMAND
0xC0002008	3221233672	UNKNOWN COMMAND VERSION
0xC0002009	3221233673	FILE LOCK FAILED
0xC0002010	3221233680	FILE LOCK ERROR
0xc0002011	3221233681	FAILED TO CREATE PROCESS
0xc0002012	3221233682	USB PED NOT FOUND
0xc0002013	3221233683	USB PED NOT RESPONDING
0xc0002014	3221233684	USB PED OPERATION CANCELLED



Hex value	Decimal value	Return code/error description
0xc0002015	3221233685	USB PED TOO MANY CONNECTED
0xc0002016	3221233686	USB PED OUT OF SYNC
0xC0001100	3221229824	UNABLE TO CONNECT

## Vendor-Defined Return Codes

Code	Name
0x00000141	CKR_INSERTION_CALLBACK_NOT_SUPPORTED
0x0052	CKR_FUNCTION_PARALLEL
0x00B2	CKR_SESSION_EXCLUSIVE_EXISTS
(CKR_VENDOR_DEFINED + 0x04)	CKR_RC_ERROR
(CKR_VENDOR_DEFINED + 0x05)	CKR_CONTAINER_HANDLE_INVALID
(CKR_VENDOR_DEFINED + 0x06)	CKR_TOO_MANY_CONTAINERS
(CKR_VENDOR_DEFINED + 0x07)	CKR_USER_LOCKED_OUT
(CKR_VENDOR_DEFINED + 0x08)	CKR_CLONING_PARAMETER_ALREADY_EXISTS
(CKR_VENDOR_DEFINED + 0x09)	CKR_CLONING_PARAMETER_MISSING
(CKR_VENDOR_DEFINED + 0x0a)	CKR_CERTIFICATE_DATA_MISSING
(CKR_VENDOR_DEFINED + 0x0b)	CKR_CERTIFICATE_DATA_INVALID
(CKR_VENDOR_DEFINED + 0x0c)	CKR_ACCEL_DEVICE_ERROR
(CKR_VENDOR_DEFINED + 0x0d)	CKR_WRAPPING_ERROR
(CKR_VENDOR_DEFINED + 0x0e)	CKR_UNWRAPPING_ERROR
(CKR_VENDOR_DEFINED + 0x0f)	CKR_MAC_MISSING
(CKR_VENDOR_DEFINED + 0x10)	CKR_DAC_POLICY_PID_MISMATCH
(CKR_VENDOR_DEFINED + 0x11)	CKR_DAC_MISSING
(CKR_VENDOR_DEFINED + 0x12)	CKR_BAD_DAC
(CKR_VENDOR_DEFINED + 0x13)	CKR_SSK_MISSING

Code	Name
(CKR_VENDOR_DEFINED + 0x14)	CKR_BAD_MAC
(CKR_VENDOR_DEFINED + 0x15)	CKR_DAK_MISSING
(CKR_VENDOR_DEFINED + 0x16)	CKR_BAD_DAK
(CKR_VENDOR_DEFINED + 0x17)	CKR_SIM_AUTHORIZATION_FAILED
(CKR_VENDOR_DEFINED + 0x18)	CKR_SIM_VERSION_UNSUPPORTED
(CKR_VENDOR_DEFINED + 0x19)	CKR_SIM_CORRUPT_DATA
(CKR_VENDOR_DEFINED + 0x1a)	CKR_USER_NOT_AUTHORIZED
(CKR_VENDOR_DEFINED + 0x1b)	CKR_MAX_OBJECT_COUNT_EXCEEDED
(CKR_VENDOR_DEFINED + 0x1c)	CKR_SO_LOGIN_FAILURE_THRESHOLD
(CKR_VENDOR_DEFINED + 0x1d)	CKR_SIM_AUTHFORM_INVALID
(CKR_VENDOR_DEFINED + 0x1e)	CKR_CITS_DAK_MISSING
(CKR_VENDOR_DEFINED + 0x1f)	CKR_UNABLE_TO_CONNECT
(CKR_VENDOR_DEFINED + 0x20)	CKR_PARTITION_DISABLED
(CKR_VENDOR_DEFINED + 0x21)	CKR_CALLBACK_ERROR
(CKR_VENDOR_DEFINED + 0x22)	CKR_SECURITY_PARAMETER_MISSING
(CKR_VENDOR_DEFINED + 0x23)	CKR_SP_TIMEOUT
(CKR_VENDOR_DEFINED + 0x24)	CKR_TIMEOUT
(CKR_VENDOR_DEFINED + 0x25)	CKR_ECC_UNKNOWN_CURVE
(CKR_VENDOR_DEFINED + 0x26)	CKR_MTK_ZEROIZED
(CKR_VENDOR_DEFINED + 0x27)	CKR_MTK_STATE_INVALID
(CKR_VENDOR_DEFINED + 0x28)	CKR_INVALID_ENTRY_TYPE
(CKR_VENDOR_DEFINED + 0x29)	CKR_MTK_SPLIT_INVALID
(CKR_VENDOR_DEFINED + 0x2a)	CKR_HSM_STORAGE_FULL
(CKR_VENDOR_DEFINED + 0x2b)	CKR_DEVICE_TIMEOUT
(CKR_VENDOR_DEFINED + 0x2C)	CKR_CONTAINER_OBJECT_STORAGE_FULL
(CKR_VENDOR_DEFINED + 0x2D)	CKR_PED_CLIENT_NOT_RUNNING
(CKR_VENDOR_DEFINED + 0x2E)	CKR_PED_UNPLUGGED

Code	Name
(CKR_VENDOR_DEFINED + 0x2F)	CKR_ECC_POINT_INVALID
(CKR_VENDOR_DEFINED + 0x30)	CKR_OPERATION_NOT_ALLOWED
(CKR_VENDOR_DEFINED + 0x31)	CKR_LICENSE_CAPACITY_EXCEEDED
(CKR_VENDOR_DEFINED + 0x32)	CKR_LOG_FILE_NOT_OPEN
(CKR_VENDOR_DEFINED + 0x33)	CKR_LOG_FILE_WRITE_ERROR
(CKR_VENDOR_DEFINED + 0x34)	CKR_LOG_BAD_FILE_NAME
(CKR_VENDOR_DEFINED + 0x35)	CKR_LOG_FULL
(CKR_VENDOR_DEFINED + 0x36)	CKR_LOG_NO_KCV
(CKR_VENDOR_DEFINED + 0x37)	CKR_LOG_BAD_RECORD_HMAC
(CKR_VENDOR_DEFINED + 0x38)	CKR_LOG_BAD_TIME
(CKR_VENDOR_DEFINED + 0x39)	CKR_LOG_AUDIT_NOT_INITIALIZED
(CKR_VENDOR_DEFINED + 0x3A)	CKR_LOG_RESYNC_NEEDED
(CKR_VENDOR_DEFINED + 0x3B)	CKR_AUDIT_LOGIN_TIMEOUT_IN_PROGRESS
(CKR_VENDOR_DEFINED + 0x3C)	CKR_AUDIT_LOGIN_FAILURE_THRESHOLD
(CKR_VENDOR_DEFINED + 0x3D)	CKR_INVALID_FUF_TARGET
(CKR_VENDOR_DEFINED + 0x3E)	CKR_INVALID_FUF_HEADER
(CKR_VENDOR_DEFINED + 0x3F)	CKR_INVALID_FUF_VERSION
(CKR_VENDOR_DEFINED + 0x40)	CKR_ECC_ECC_RESULT_AT_INF
(CKR_VENDOR_DEFINED + 0x41)	CKR_AGAIN
(CKR_VENDOR_DEFINED + 0x42)	CKR_TOKEN_COPIED
(CKR_VENDOR_DEFINED + 0x43)	CKR_SLOT_NOT_EMPTY
(CKR_VENDOR_DEFINED + 0x44)	CKR_USER_ALREADY_ACTIVATED
(CKR_VENDOR_DEFINED + 0x45)	CKR_STC_NO_CONTEXT
(CKR_VENDOR_DEFINED + 0x46)	CKR_STC_CLIENT_IDENTITY_NOT_CONFIGURED
(CKR_VENDOR_DEFINED + 0x47)	CKR_STC_PARTITION_IDENTITY_NOT_CONFIGURED
(CKR_VENDOR_DEFINED + 0x48)	CKR_STC_DH_KEYGEN_ERROR
(CKR_VENDOR_DEFINED + 0x49)	CKR_STC_CIPHER_SUITE_REJECTED

Code	Name
(CKR_VENDOR_DEFINED + 0x4a)	CKR_STC_DH_KEY_NOT_FROM_SAME_GROUP
(CKR_VENDOR_DEFINED + 0x4b)	CKR_STC_COMPUTE_DH_KEY_ERROR
(CKR_VENDOR_DEFINED + 0x4c)	CKR_STC_FIRST_PHASE_KDF_ERROR
(CKR_VENDOR_DEFINED + 0x4d)	CKR_STC_SECOND_PHASE_KDF_ERROR
(CKR_VENDOR_DEFINED + 0x4e)	CKR_STC_KEY_CONFIRMATION_FAILED
(CKR_VENDOR_DEFINED + 0x4f)	CKR_STC_NO_SESSION_KEY
(CKR_VENDOR_DEFINED + 0x50)	CKR_STC_RESPONSE_BAD_MAC
(CKR_VENDOR_DEFINED + 0x51)	CKR_STC_NOT_ENABLED
(CKR_VENDOR_DEFINED + 0x52)	CKR_STC_CLIENT_HANDLE_INVALID
(CKR_VENDOR_DEFINED + 0x53)	CKR_STC_SESSION_INVALID
(CKR_VENDOR_DEFINED + 0x54)	CKR_STC_CONTAINER_INVALID
(CKR_VENDOR_DEFINED + 0x55)	CKR_STC_SEQUENCE_NUM_INVALID
(CKR_VENDOR_DEFINED + 0x56)	CKR_STC_NO_CHANNEL
(CKR_VENDOR_DEFINED + 0x57)	CKR_STC_RESPONSE_DECRYPT_ERROR
(CKR_VENDOR_DEFINED + 0x58)	CKR_STC_RESPONSE_REPLAYED
(CKR_VENDOR_DEFINED + 0x59)	CKR_STC_REKEY_CHANNEL_MISMATCH
(CKR_VENDOR_DEFINED + 0x5a)	CKR_STC_RSA_ENCRYPT_ERROR
(CKR_VENDOR_DEFINED + 0x5b)	CKR_STC_RSA_SIGN_ERROR
(CKR_VENDOR_DEFINED + 0x5c)	CKR_STC_RSA_DECRYPT_ERROR
(CKR_VENDOR_DEFINED + 0x5d)	CKR_STC_RESPONSE_UNEXPECTED_KEY
(CKR_VENDOR_DEFINED + 0x5e)	CKR_STC_UNEXPECTED_NONCE_PAYLOAD_SIZE
(CKR_VENDOR_DEFINED + 0x5f)	CKR_STC_UNEXPECTED_DH_DATA_SIZE
(CKR_VENDOR_DEFINED + 0x60)	CKR_STC_OPEN_CIPHER_MISMATCH
(CKR_VENDOR_DEFINED + 0x61)	CKR_STC_OPEN_DHNIST_PUBKEY_ERROR
(CKR_VENDOR_DEFINED + 0x62)	CKR_STC_OPEN_KEY_MATERIAL_GEN_FAIL
(CKR_VENDOR_DEFINED + 0x63)	CKR_STC_OPEN_RESP_GEN_FAIL
(CKR_VENDOR_DEFINED + 0x64)	CKR_STC_ACTIVATE_MACTAG_U_VERIFY_FAIL

Code	Name
(CKR_VENDOR_DEFINED + 0x65)	CKR_STC_ACTIVATE_MACTAG_V_GEN_FAIL
(CKR_VENDOR_DEFINED + 0x66)	CKR_STC_ACTIVATE_RESP_GEN_FAIL
(CKR_VENDOR_DEFINED + 0x67)	CKR_CHALLENGE_INCORRECT
(CKR_VENDOR_DEFINED + 0x68)	CKR_ACCESS_ID_INVALID
(CKR_VENDOR_DEFINED + 0x69)	CKR_ACCESS_ID_ALREADY_EXISTS
(CKR_VENDOR_DEFINED + 0x6a)	CKR_KEY_NOT_KEKABLE
(CKR_VENDOR_DEFINED + 0x6b)	CKR_MECHANISM_INVALID_FOR_FP
(CKR_VENDOR_DEFINED + 0x6c)	CKR_OPERATION_INVALID_FOR_FP
(CKR_VENDOR_DEFINED + 0x6d)	CKR_SESSION_HANDLE_INVALID_FOR_FP
(CKR_VENDOR_DEFINED + 0x6e)	CKR_CMD_NOT_ALLOWED_HSM_IN_TRANSPORT
(CKR_VENDOR_DEFINED + 0x6f)	CKR_OBJECT_ALREADY_EXISTS
(CKR_VENDOR_DEFINED + 0x70)	CKR_PARTITION_ROLE_DESC_VERSION_INVALID
(CKR_VENDOR_DEFINED + 0x71)	CKR_PARTITION_ROLE_POLICY_VERSION_INVALID
(CKR_VENDOR_DEFINED + 0x72)	CKR_PARTITION_ROLE_POLICY_SET_VERSION_INVALID
(CKR_VENDOR_DEFINED + 0x73)	CKR_REKEK_KEY
(CKR_VENDOR_DEFINED + 0x74)	CKR_KEK_RETRY_FAILURE
(CKR_VENDOR_DEFINED + 0x75)	CKR_RNG_RESEED_TOO_EARLY
(CKR_VENDOR_DEFINED + 0x76)	CKR_HSM_TAMPERED
(CKR_VENDOR_DEFINED + 0x77)	CKR_CONFIG_CHANGE_ILLEGAL
(CKR_VENDOR_DEFINED + 0x78)	CKR_SESSION_CONTEXT_NOT_ALLOCATED
(CKR_VENDOR_DEFINED + 0x79)	CKR_SESSION_CONTEXT_ALREADY_ALLOCATED
(CKR_VENDOR_DEFINED + 0x7a)	CKR_INVALID_BL_ITB_AUTH_HEADER
(CKR_VENDOR_DEFINED + 0x114)	CKR_OBJECT_READ_ONLY
(CKR_VENDOR_DEFINED + 0x136)	CKR_KEY_NOT_ACTIVE

## User and Password Administration

This section describes tasks related to identities in the HSM or HSM partitions, including changing and resetting passwords, events or actions that cause HSM contents to be lost, and so on. It contains the following sections:

- ["About Changing HSM and Partition Passwords" below](#)
- ["Failed Logins" on the next page](#)
- ["Resetting Passwords" on page 337](#)

### About Changing HSM and Partition Passwords

From time to time, you might have reason to change the various passwords on the appliance and HSM. This might be because a password has possibly been compromised, lost, or forgotten, or it might be because you have security procedures that mandate password-change intervals.

The two options are:

Action	Description	When used
<b>Resetting PW</b>	A higher authority sets a user's credentials back to a known default value (without requiring the knowledge or cooperation of the affected user).	<ul style="list-style-type: none"> <li>• Current holder has lost or forgotten his/her credential (forgot a password, misplaced a PED key)</li> <li>• Current credential is known or suspected to have become compromised</li> <li>• Current holder has departed organization</li> </ul>
contrasts with...		
<b>Changing PW</b>	The legitimate holder of the credential is able to log in with current credentials before directing the HSM, under the current logged-in user's own authority, to change that user's credential to a new value.	<ul style="list-style-type: none"> <li>• Credential holder suspects possible compromise of credential</li> <li>• Credential holder is complying with organization security provisions (such as mandatory password-change interval)</li> </ul>

## HSM Passwords

### Resetting HSM SO Password

There is no provision to reset the HSM Admin password (for Password Authentication) or PED key (for Trusted Path), except to re-initialize the HSM, which zeroizes the contents of the HSM and of all Partitions on that HSM.

Resetting the password/authentication of a role or user requires a higher authority to invoke the reset. On the HSM, there is no authority higher than the SO/HSM Admin.

### Changing HSM SO Password

To change the HSM password (for Password Authentication) or the secret on the blue PED key (for Trusted Path), use the **hsm changepw** command. You will be prompted for the current HSM SO credential, so you do not need to log in separately:

```
lunash:> hsm changepw
```

```
Luna PED operation required to login as HSM Administrator - use Security Officer (blue) PED key.
```

```
Command result : (0) success
```

## Partition Passwords

The Partition SO can use the LunaCM command **role resetpw** to reset the Crypto Officer password or black PED key only if HSM policy 15: Enable SO reset of partition PIN is enabled. By default, this policy is not enabled.

## Failed Logins and Forgotten Passwords

See "[Failed Logins](#)" below.

## Appliance

For password changes affecting the appliance, not including the HSM, see "[Users and Passwords](#)" on page 1 in the *Appliance Administration Guide*.

## Failed Logins

If you fail three consecutive login attempts as HSM Security Officer (or SO), the HSM contents are rendered unrecoverable. This is a security feature meant to thwart repeated, unauthorized attempts to access your cryptographic material. The number is not adjustable.



**Note:** The system must actually receive some erroneous/false information before it logs a failed attempt -- if you merely forget to insert a PED key (for PED-authenticated HSMs), or inserted the wrong color key, that is not counted as a failed attempt.

To fail a login attempt on a Password-authenticated HSM, you would need to type an incorrect password. To fail a login attempt on a PED-authenticated HSM, you would need to insert an incorrect PED key of the correct color, type an incorrect PED PIN, or enter an incorrect challenge secret on an activated partition (see "[Control the Outcome](#)" on page 337).

As soon as you successfully authenticate, the counter is reset to zero.



**CAUTION:** SafeNet Luna 7.0's default settings have HSM policy 15: Enable SO reset of partition PIN set to 0. This policy causes the Crypto Officer role to be permanently locked out after too many bad login attempts (default: 10). If this is not the desired outcome, ensure that the HSM SO sets this destructive policy to 1 *before* creating and assigning partitions to clients.

To view a table that compares and contrasts various "deny access" events or actions that are sometimes confused, see "[Comparison of Destruction/Denial Actions](#)" on page 102.

Other roles and functions that need authentication on the HSM have their own responses to too many bad authentication attempts. Some functions do not keep a count of bad attempts; the simple failure of a multi-step or time-consuming operation is considered sufficient deterrent to a brute-force attack. The table in the next section summarizes the responses.

## HSM Response When You Reach the Bad-attempt Threshold

Role	Threshold (number of tries)	Result of too many bad login attempts	Recovery
HSM SO	3	HSM is zeroized (all HSM objects identities, and all partitions are gone)	HSM must be reinitialized. Contents can be restored from backup(s).
Partition SO	10	Partition is zeroized.	Partition must be reinitialized. Contents can be restored from backup.
Audit	10	Lockout	Unlocked automatically after 10 minutes.
Crypto Officer	10 (can be decreased by Partition SO)	If HSM policy 15: Enable SO reset of partition PIN is set to 1 (enabled), the CO and CU roles are locked out.	CO role must be unlocked and the credential reset by the Partition SO, using <b>role resetpw -name co</b> .
		If HSM policy 15: Enable SO reset of partition PIN is set to 0 (disabled), the CO and CU roles are permanently locked out and the partition contents are no longer accessible. This is the default setting.	The partition must be re-initialized, and key material restored from a backup device.
Crypto User	10 (can be decreased by Partition SO)	The CU role is locked out.	CU role must be unlocked and the credential reset by the Crypto Officer, using <b>role resetpw -name cu</b> .
Domain	n/a	Operation fails	Retry the operation with the correct Domain - usually that would be a backup or restore
Remote PED	n/a	Operation fails	Retry establishing a



Role	Threshold (number of tries)	Result of too many bad login attempts	Recovery
Key			Remote PED connection, providing the correct orange PED key (PED-authenticated only).

**Note:** The Crypto User role is initialized by the Crypto Officer. Therefore, only the Crypto Officer, and not the Partition SO, is able to reset the Crypto User credential.

## Control the Outcome

The configurable HSM policy 15: SO can reset User PIN allows the Partition SO to control the HSM's response to a set number of consecutive bad Crypto Officer authentication attempts. When the threshold of bad attempts is reached, the CO is locked out of the partition. If HSM policy 15 is set to 1 (enabled), the partition and its contents can be accessed again after the Partition SO resets the CO's password. If HSM policy 15 is set to 0 (disabled), then the partition is permanently locked and the contents are no longer accessible. The partition must be re-initialized and cryptographic material must be restored from backup by the Partition SO.

The configurable partition policy 15: Ignore failed challenge responses can be set by the Partition SO. This policy applies to Activated PED-authenticated partitions only (see "[Activation and Auto-Activation on PED-Authenticated Partitions](#)" on page 160). When partition policy 15 is set to 1 (enabled), incorrect partition challenge secret attempts will not apply toward the "failed login attempt" counter.

## Resetting Passwords

Resetting is normally done by a higher authority when an authentication secret is lost/forgotten, or compromised, and is discussed separately from merely changing authentication when the user is in legitimate possession of the current authentication.

### HSM

There is no provision to reset the HSM SO password (for Password Authenticated HSMs) or the blue PED key (for PED Authenticated or Trusted Path HSMs), except by re-initializing the HSM, which destroys the contents of the HSM and of any HSM partitions. You can change the password (or the secret on the appropriate blue PED key) with the **hsm changepw** command, but that requires that you know the current password (or have the current blue PED key).

The assumption, from a security standpoint, is that if you no longer have the ability to authenticate to the HSM (because you forgot the password or lost the PED key, or because an unauthorized person has changed the password or PED key), then the HSM is effectively compromised and must be re-initialized. Thus, no explicit "reset" command is provided.

The **hsm init** command does not require a login, and the **hsm login** command is not accepted if the HSM is in zeroized state.

For command syntax, see "[hsm changepw](#)" on page 1 in the *LunaSH Command Reference Guide*.

## Partition

The Partition SO is able to reset the Crypto Officer password or black PED key only if HSM policy 15: Enable SO reset of partition PIN is enabled. By default, this policy is not enabled.

If HSM policy 15: Enable SO reset of partition PIN is enabled and the Partition Crypto Officer is locked out after 10 bad login attempts, then the Partition SO can use the LunaCM **role resetpw** command to reset the Crypto Officer password or black PED key.

For command syntax, see "[role resetpw](#)" on page 1 in the *LunaCM Command Reference Guide*.