US007150040B2

(12) **United States Patent**
Brownell

(10) **Patent No.: US 7,150,040 B2**
(45) **Date of Patent: *Dec. 12, 2006**

(54) **AUTHENTICATED FIREWALL TUNNELING FRAMEWORK**

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(*) Notice: Subject to any disclaimer, the term of this patent is extended or adjusted under 35 U.S.C. 154(b) by 229 days.

This patent is subject to a terminal disclaimer.

(21) Appl. No.: **10/846,688**

(22) Filed: **May 17, 2004**

(65) **Prior Publication Data**

US 2004/0215979 A1 Oct. 28, 2004

Related U.S. Application Data

(63) Continuation of application No. 09/203,719, filed on Dec. 1, 1998, now Pat. No. 6,754,831.

(51) **Int. Cl.**
H04L 9/00 (2006.01)
G06F 11/00 (2006.01)

(52) **U.S. Cl.** **726/11**; 726/2; 726/15; 713/153; 713/154; 709/223; 709/224

(58) **Field of Classification Search** 726/2, 726/11, 15; 709/223, 224; 713/153, 154
See application file for complete search history.

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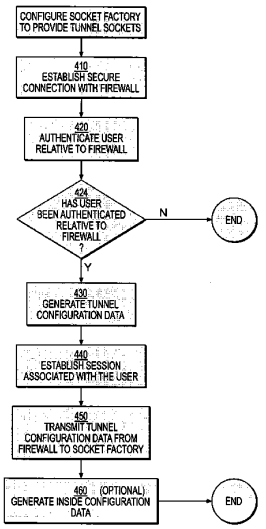
(57) **ABSTRACT**

A method and apparatus for managing network access to internal hosts protected by a firewall is provided. A user on an external host logs in into a firewall. Once the user has been authenticated to the firewall, a session is established for the user, and tunnel configuration is transmitted to the user's process on the external host. The tunnel configuration data indicates the configuration of at least one tunnel for connecting to at least one internal host protected by the firewall. When creating a socket for connecting to the internal host, the socket is configured based on the tunnel configuration data. Tunnel objects and tunnel socket objects may be specially configured to establish a connection in a way that takes advantage of the power and simplicity of the inheritance feature of object oriented software. Various tunnel classes are provided to configure tunnels in a variety of mariners.

12 Claims, 10 Drawing Sheets



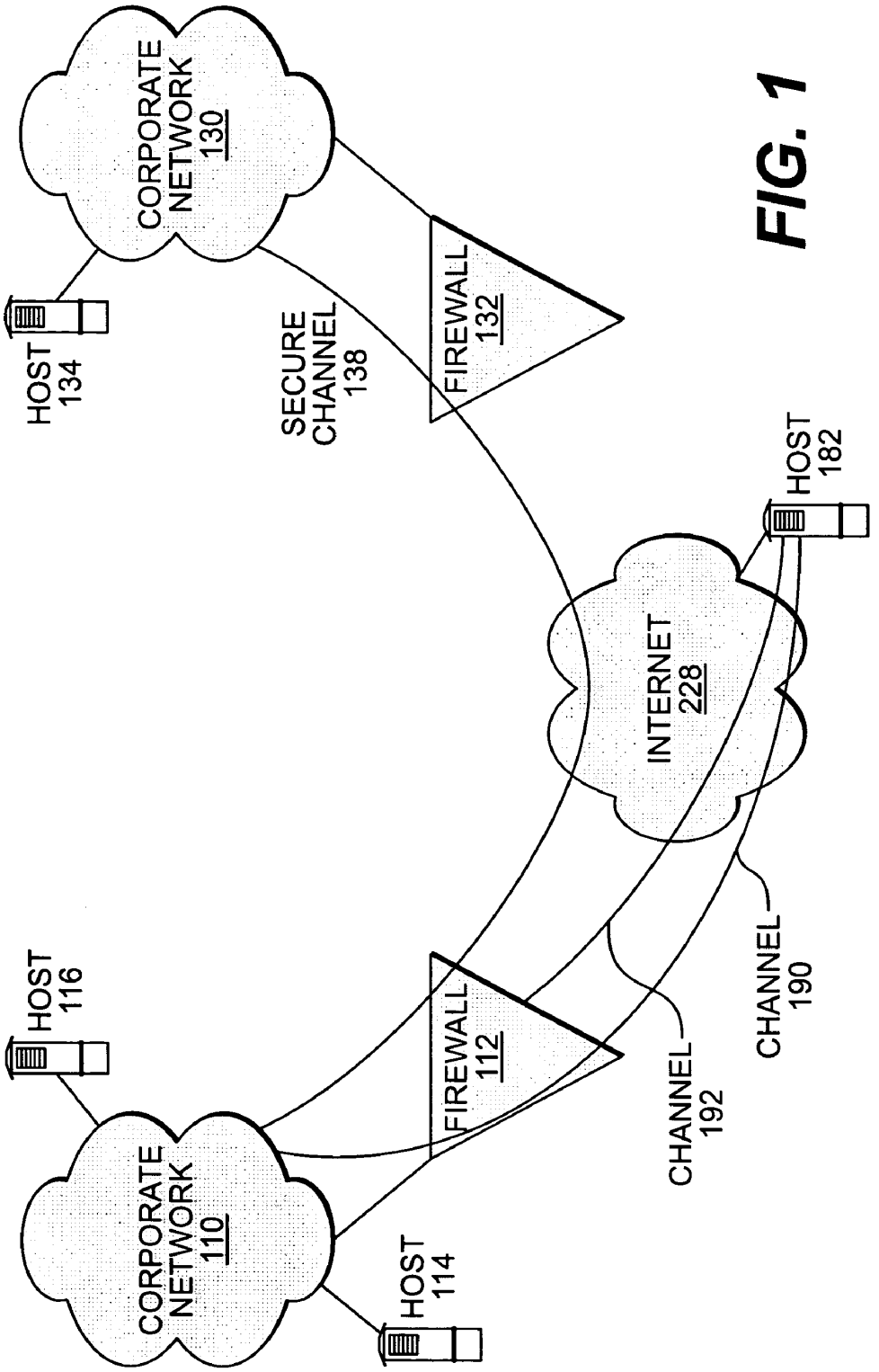

CORPORATE NETWORK 130
HOST 134
SECURE CHANNEL 138
FIREWALL 132
HOST 182
INTERNET 228
HOST 116
FIREWALL 112
CHANNEL 190
CHANNEL 192
CORPORATE NETWORK 110
HOST 114

FIG. 1

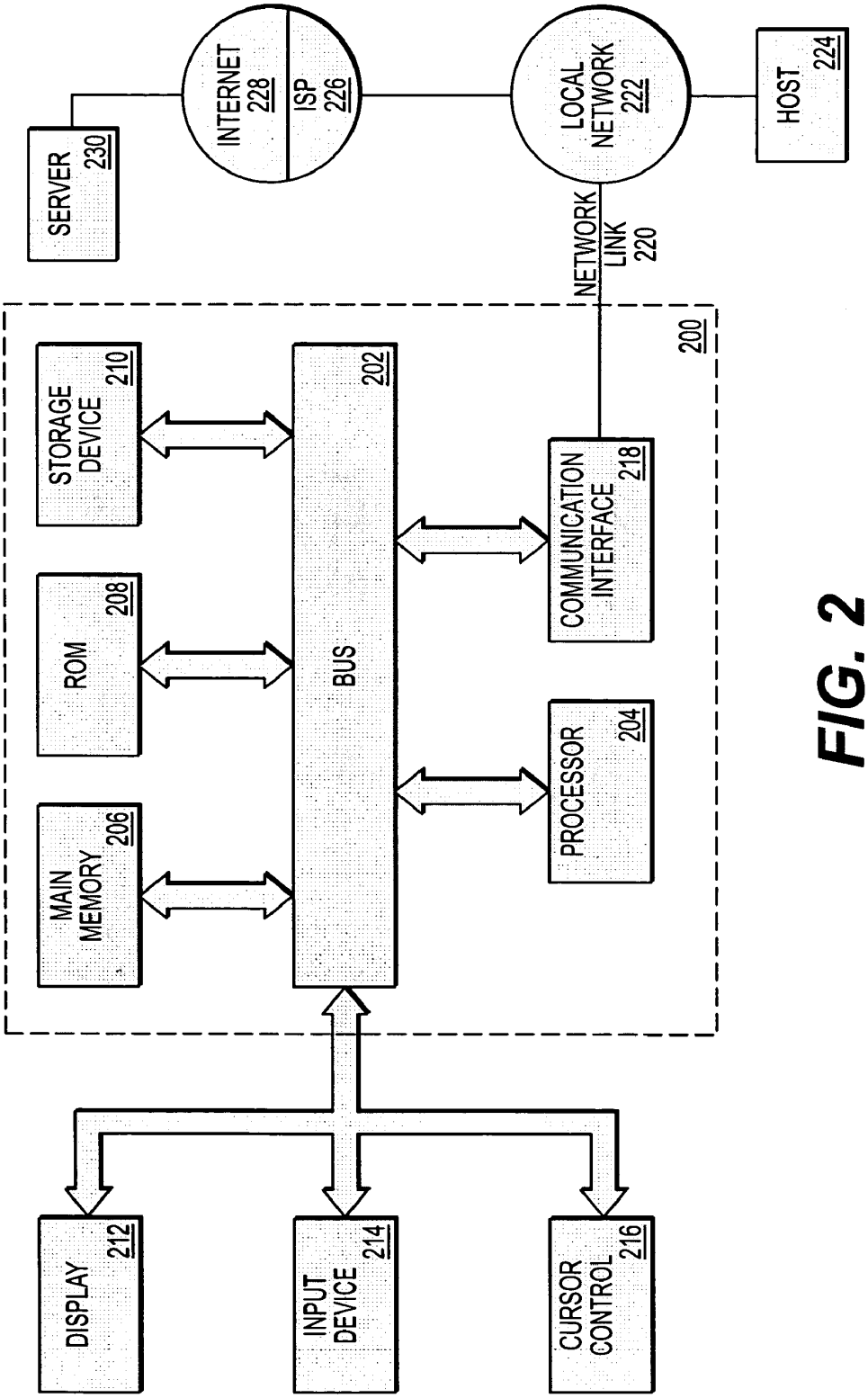


FIG. 2
PRIOR ART

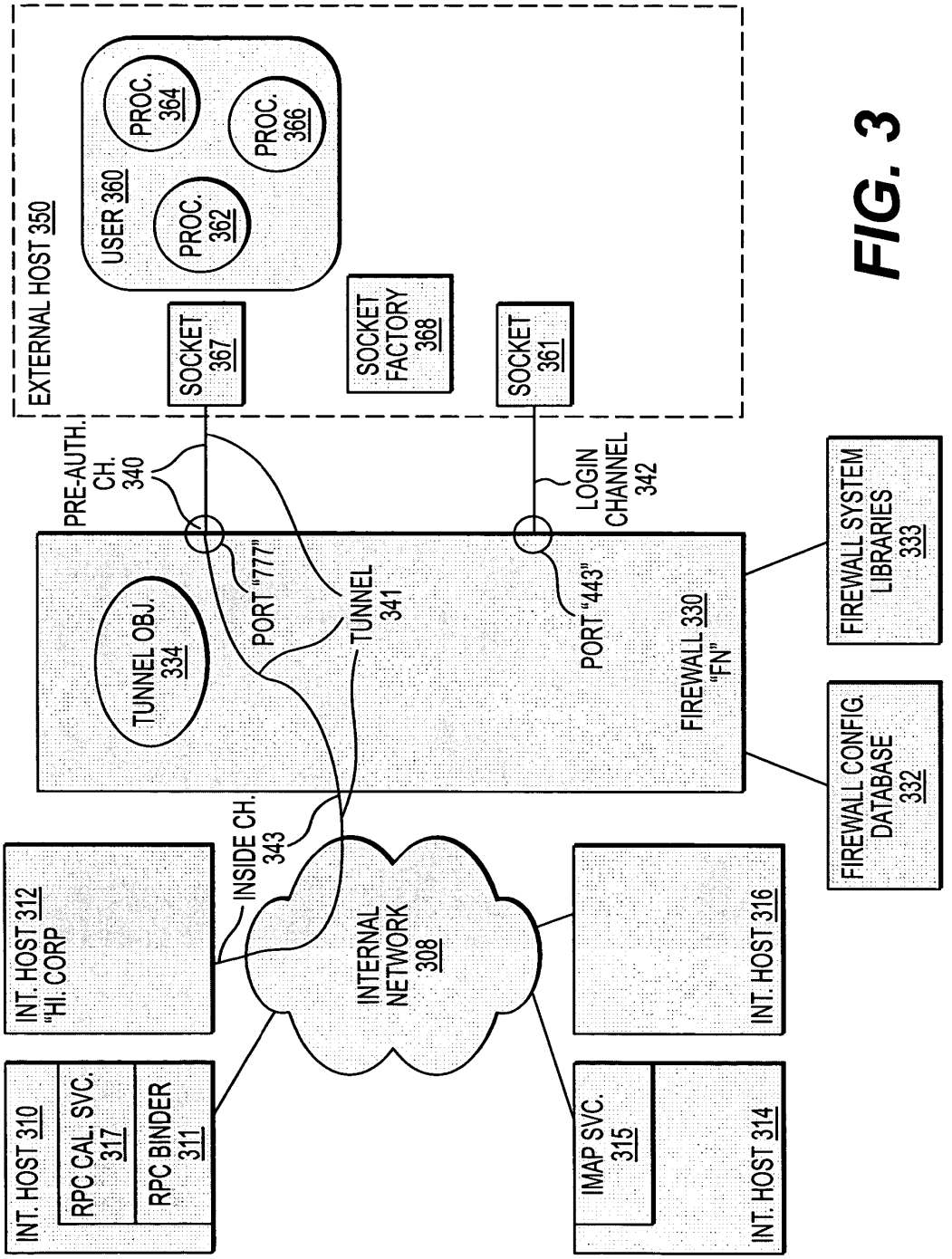

EXTERNAL HOST 350
USER 360
PROC. 364
PROC. 362
PROC. 366
SOCKET 367
SOCKET FACTORY 368
SOCKET 361
PRE-AUTH. CH. 340
LOGIN CHANNEL 342
TUNNEL OBJ. 334
PORT "777"
TUNNEL 341
PORT "443"
FIREWALL 330 "FN"
FIREWALL SYSTEM LIBRARIES 333
FIREWALL CONFIG. DATABASE 332
INSIDE CH. 343
INTERNAL NETWORK 308
INT. HOST 312 "HI. CORP
INT. HOST 316
INT. HOST 310
RPC CAL. SVC. 317
RPC BINDER 311
IMAP SVC. 315
INT. HOST 314

FIG. 3

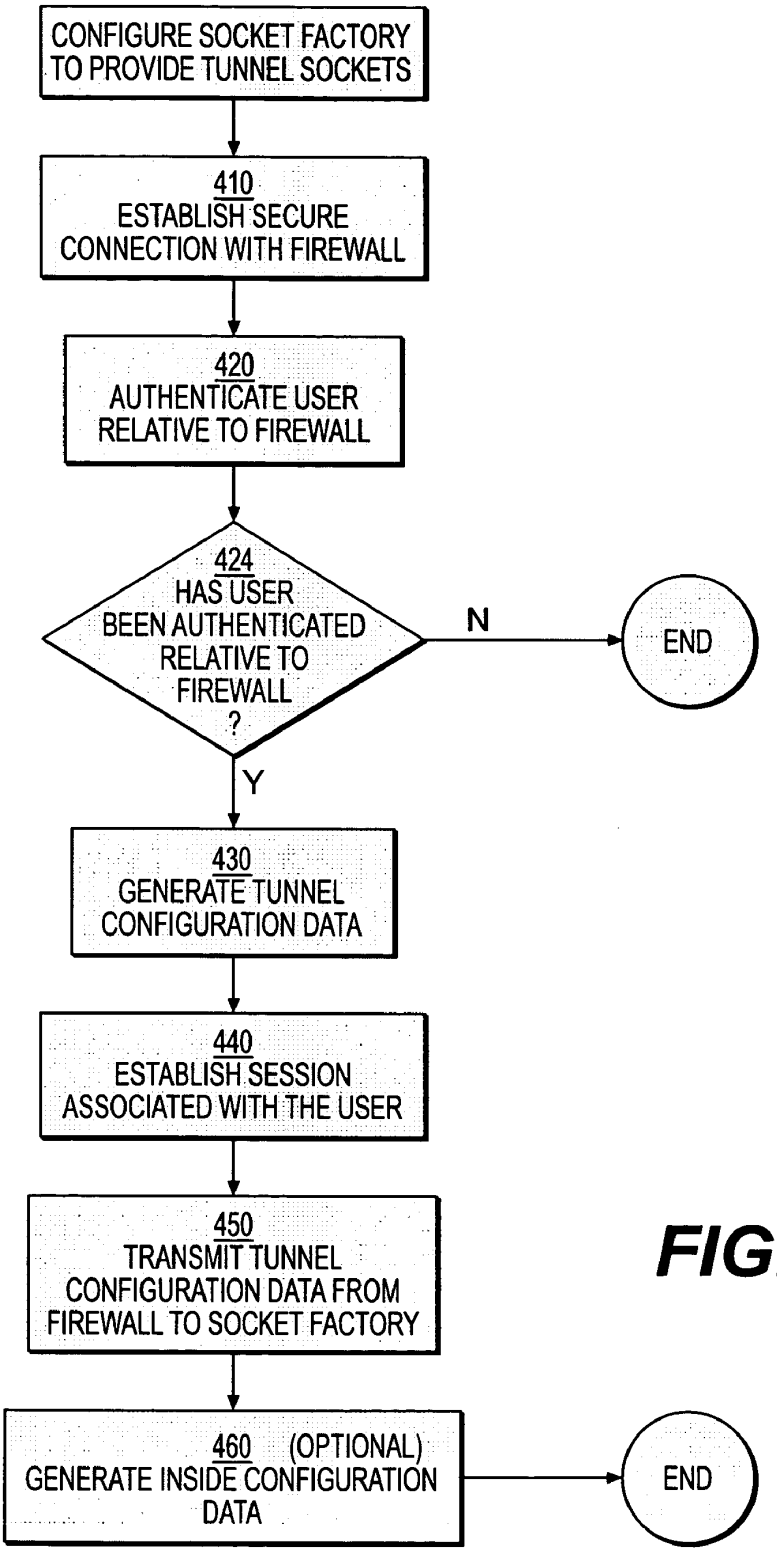

CONFIGURE SOCKET FACTORY TO PROVIDE TUNNEL SOCKETS
410 ESTABLISH SECURE CONNECTION WITH FIREWALL
420 AUTHENTICATE USER RELATIVE TO FIREWALL
424 HAS USER BEEN AUTHENTICATED RELATIVE TO FIREWALL ?
N
END
Y
430 GENERATE TUNNEL CONFIGURATION DATA
440 ESTABLISH SESSION ASSOCIATED WITH THE USER
450 TRANSMIT TUNNEL CONFIGURATION DATA FROM FIREWALL TO SOCKET FACTORY
460 (OPTIONAL) GENERATE INSIDE CONFIGURATION DATA
END

FIG. 4

TUNNEL CONFIGURATION TABLE 510

	INTERNAL HOST 522	INTERNAL PORT 524	FIREWALL HOST 526	TUNNEL ENTRY PORT 528
512	H1. CORP	143	FW1	777
514	H2. CORP	143	FW1	778
516	H3. CORP	143	FW2	779
518	*. CORP	143	FW3	780

FIG. 5A

INSIDE CHANNEL TABLE 550

	FIREWALL HOST 562	FIREWALL PORT 564	INSIDE CHAN. 566
560	FW1	777	INSIDE CHAN 343
	FW1	778	INSIDE CHANNEL X
	FW2	779	INSIDE CHANNEL Y
	FW3	780	INSIDE CHANNEL Z

FIG. 5B

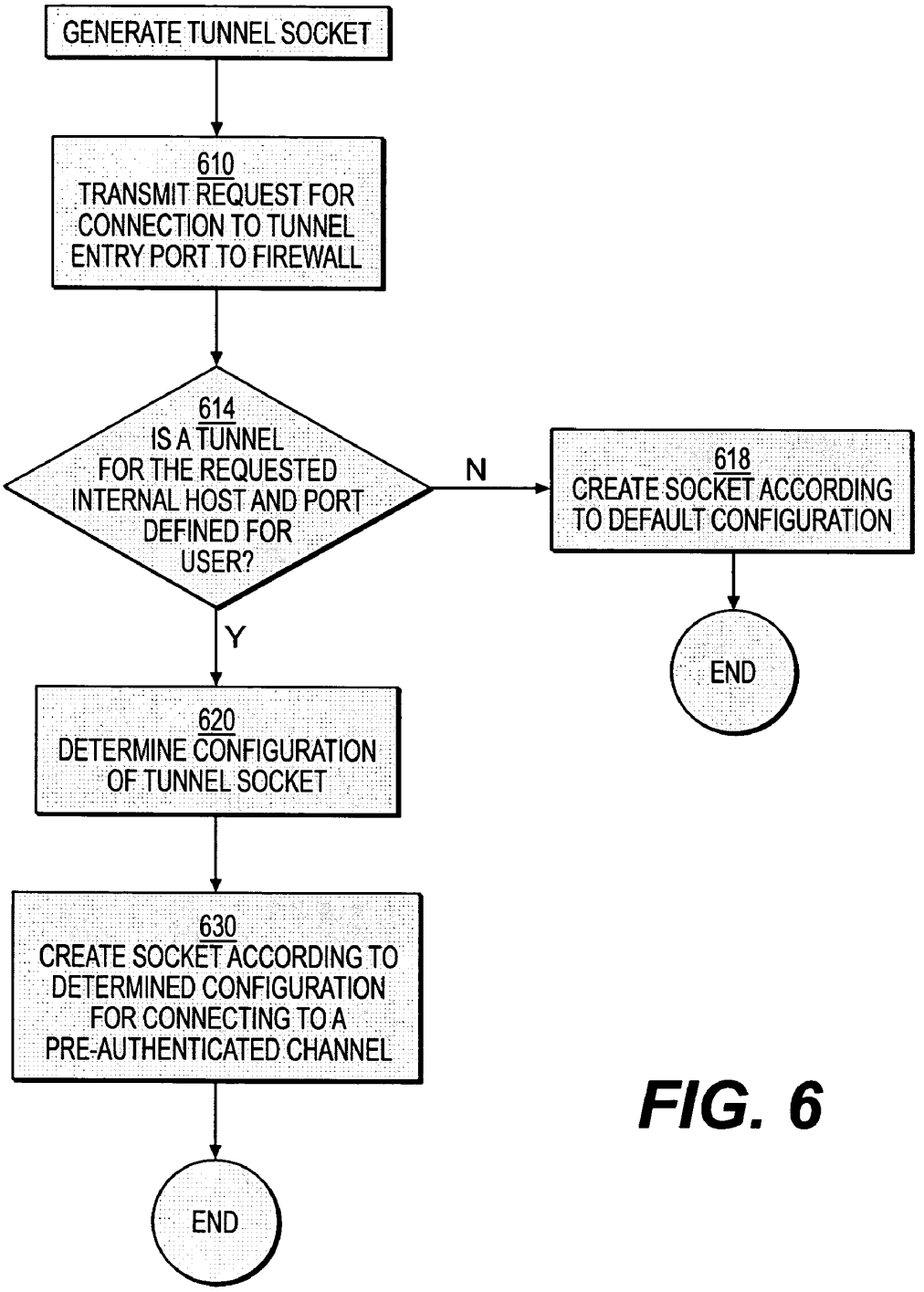

GENERATE TUNNEL SOCKET
610
TRANSMIT REQUEST FOR CONNECTION TO TUNNEL ENTRY PORT TO FIREWALL
614
IS A TUNNEL FOR THE REQUESTED INTERNAL HOST AND PORT DEFINED FOR USER?
N
618
CREATE SOCKET ACCORDING TO DEFAULT CONFIGURATION
END
Y
620
DETERMINE CONFIGURATION OF TUNNEL SOCKET
630
CREATE SOCKET ACCORDING TO DETERMINED CONFIGURATION FOR CONNECTING TO A PRE-AUTHENTICATED CHANNEL
END

FIG. 6

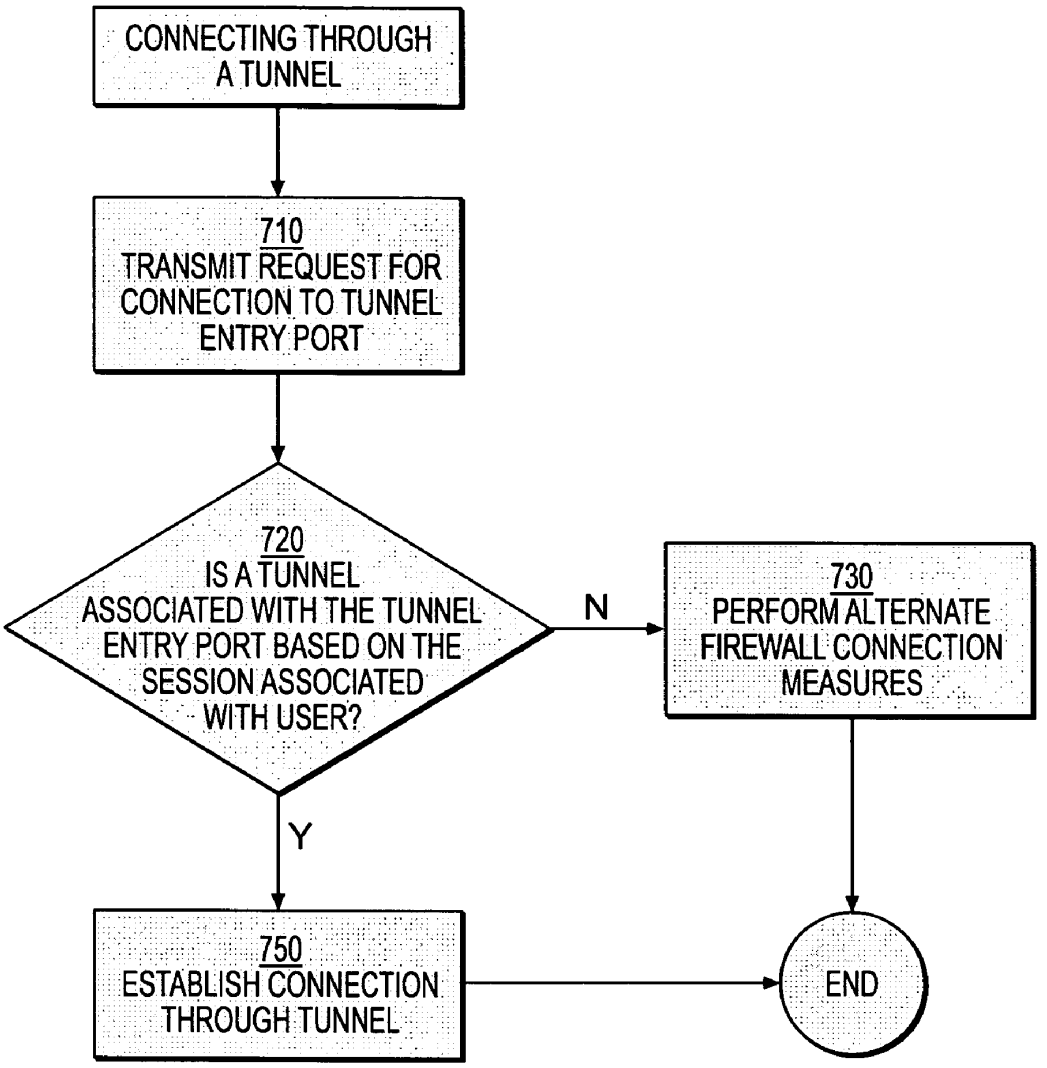

CONNECTING THROUGH A TUNNEL
710
TRANSMIT REQUEST FOR CONNECTION TO TUNNEL ENTRY PORT
720
IS A TUNNEL ASSOCIATED WITH THE TUNNEL ENTRY PORT BASED ON THE SESSION ASSOCIATED WITH USER?
N
730
PERFORM ALTERNATE FIREWALL CONNECTION MEASURES
Y
750
ESTABLISH CONNECTION THROUGH TUNNEL
END

FIG. 7

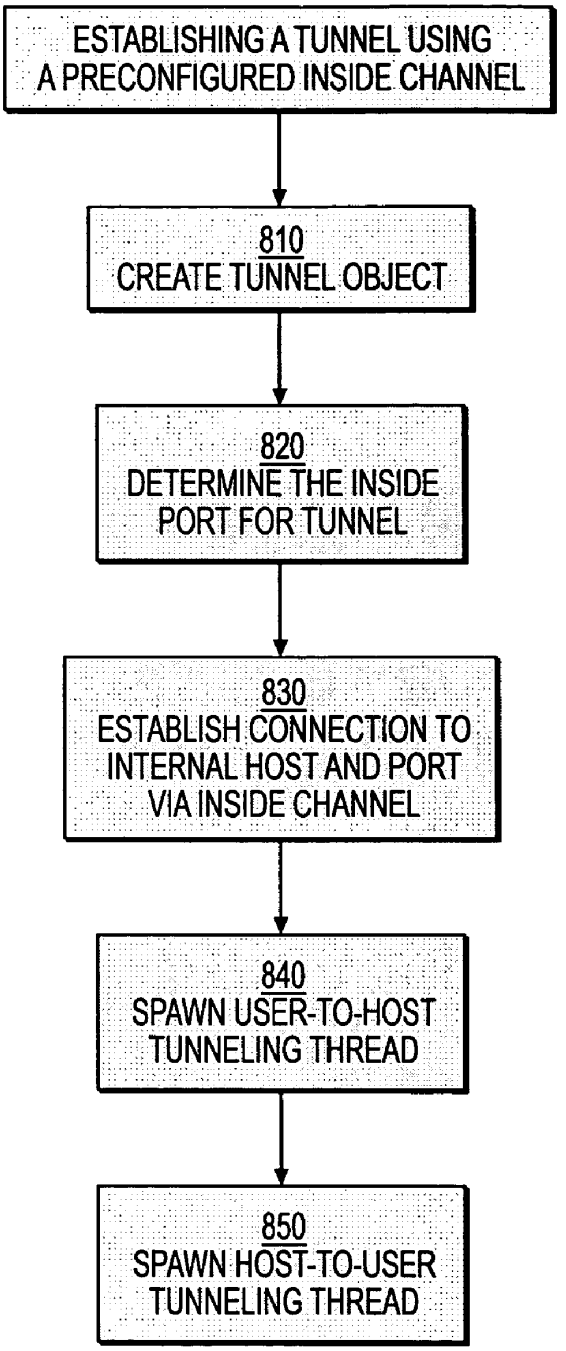

ESTABLISHING A TUNNEL USING A PRECONFIGURED INSIDE CHANNEL
810
CREATE TUNNEL OBJECT
820
DETERMINE THE INSIDE PORT FOR TUNNEL
830
ESTABLISH CONNECTION TO INTERNAL HOST AND PORT VIA INSIDE CHANNEL
840
SPAWN USER-TO-HOST TUNNELING THREAD
850
SPAWN HOST-TO-USER TUNNELING THREAD

FIG. 8

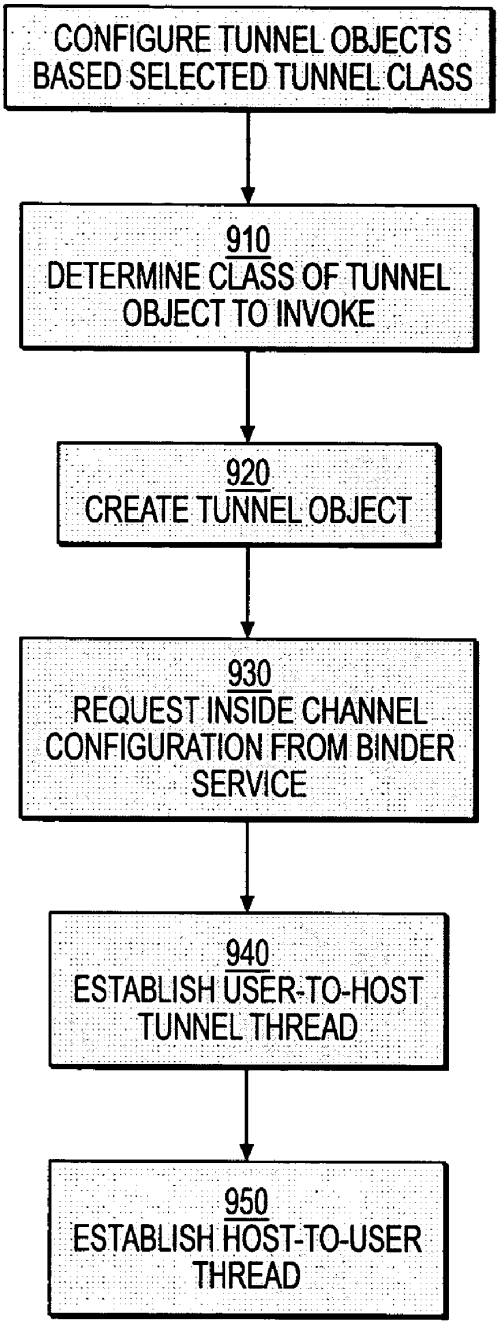

CONFIGURE TUNNEL OBJECTS BASED SELECTED TUNNEL CLASS
910
DETERMINE CLASS OF TUNNEL OBJECT TO INVOKE
920
CREATE TUNNEL OBJECT
930
REQUEST INSIDE CHANNEL CONFIGURATION FROM BINDER SERVICE
940
ESTABLISH USER-TO-HOST TUNNEL THREAD
950
ESTABLISH HOST-TO-USER THREAD

FIG. 9

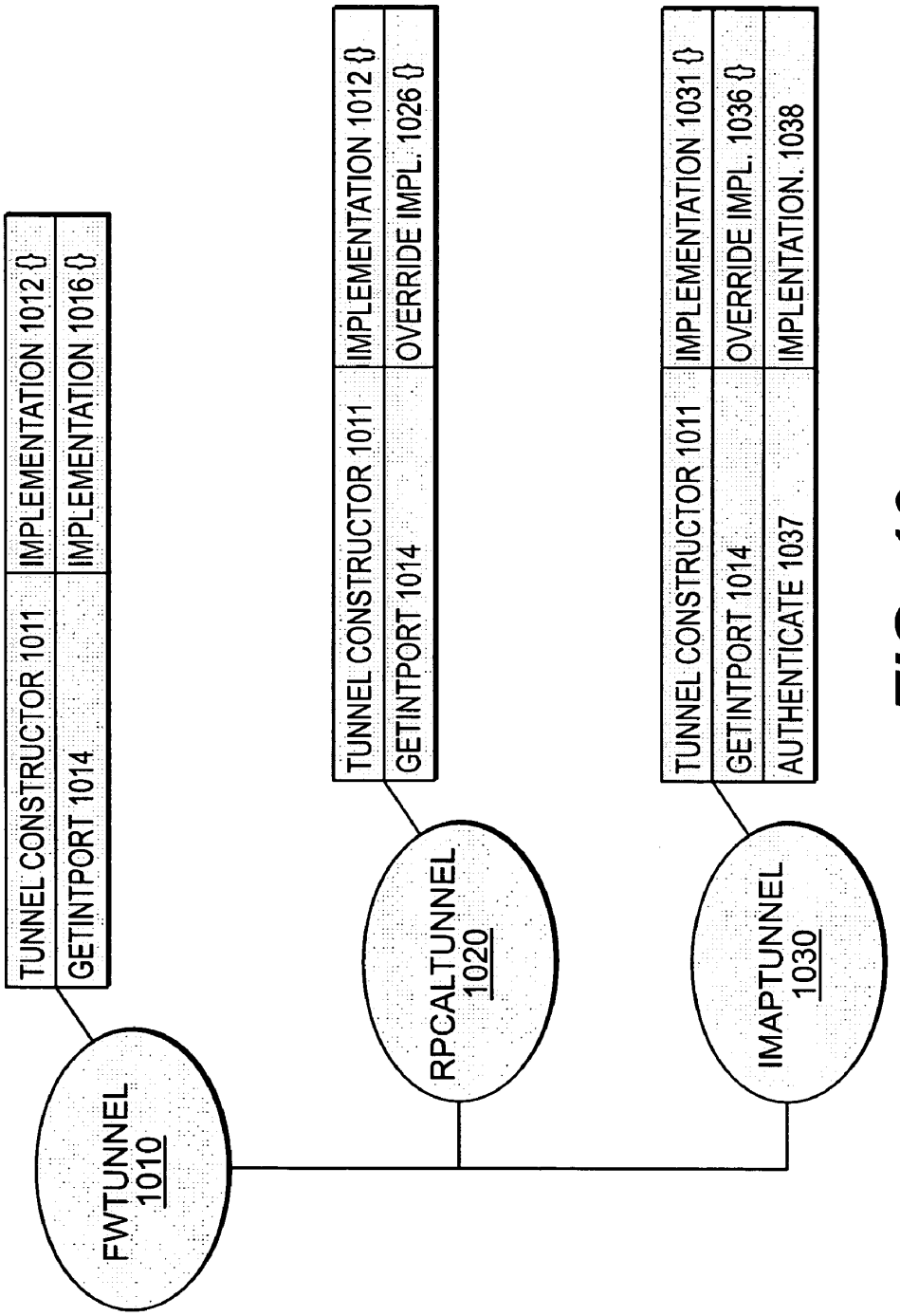

FWTUNNEL
1010
TUNNEL CONSTRUCTOR 1011
IMPLEMENTATION 1012 {}
GETINTPORT 1014
IMPLEMENTATION 1016 {}
RPCALTUNNEL
1020
TUNNEL CONSTRUCTOR 1011
IMPLEMENTATION 1012 {}
GETINTPORT 1014
OVERRIDE IMPL. 1026 {}
IMAPTUNNEL
1030
TUNNEL CONSTRUCTOR 1011
IMPLEMENTATION 1031 {}
GETINTPORT 1014
OVERRIDE IMPL. 1036 {}
AUTHENTICATE 1037
IMPLENTATION. 1038

FIG. 10

AUTHENTICATED FIREWALL TUNNELING FRAMEWORK

This is a continuation of application Ser. No. 09/203,719, filed Dec. 1, 1998, which is incorporated herein by reference now U.S. Pat. No. 6,754,831.

FIELD OF THE INVENTION

The present invention relates to the security of networks and, in particular, to the security of hosts communicating through a firewall.

BACKGROUND OF THE INVENTION

The number of organizations linking their internal networks to the Internet is growing at what appears to be an exponential rate. Access to the Internet enables computers on the organization's internal network to access the computers on other networks linked to the Internet. Likewise, the computers on the other networks linked to the Internet may access the computers on the organization's internal network, thus rendering a organization's computer resources vulnerable to unwelcome and potentially malicious outsiders.

For the purpose of explanation, entities to which network traffic may be directed are referred to herein as "hosts". Examples of hosts include computers and printers.

One mechanism providing security against unwelcome outsiders is a firewall. A firewall is a combination of software and one or more network devices (e.g. routers) through which network traffic is directed. Firewalls are used to screen traffic between "internal" networks and "external" networks (e.g. networks linked to the Internet) for security purposes. Typically, a firewall protects resources on "internal" networks from undesired access via external networks by blocking or re-directing certain kinds of network traffic.

For example, referring to FIG. **1**, corporate network **110** is protected by firewall **112** and thus corporate network **110** is internal relative to firewall **112**. Host **182** is on an external network (not illustrated) that is linked to the Internet **228**, and is external relative to firewall **112** and corporate network **110**. Channel **192** represents a channel through which host **182** has attempted to connect to a web server on host **114**, which is on corporate network **110**. A web server is a server that communicates, for example, using the hypertext transfer protocol (HTTP). Firewall **112** prevents external host **182** from accessing the web server on host **114** by blocking the attempted connection. Channel **190**, on the other hand, represents a connection by internal host **114** to a web server on external host **182** which is not blocked by firewall **112**, thus permitting internal host **114** to access the web server on external host **182**. Firewall **112** thus allows internal hosts to access web servers on external hosts, but does not allow an external host to access a web server on the internal network.

The terms "channel" and "connection" are used herein. A "channel" is a path of communication though which two or more processes may direct communication (as used herein, the term "process" refers to a process under the control of an operating system). For example, a process on internal host **114** may communicate to a process on external host **182** through a network link to firewall **112**, and then through the Internet **228** to external host **182**. This path of communication is referred to as channel, or more specifically, channel **192**. A "connection" is a channel that two active processes are currently using to communicate. These processes need not communicate using HTTP. For example, a connection exists on channel **190** when a process on internal host **114** is using channel **190** to communicate with a process on host **182**.

Channels may be constructed from one or more connections. For example, a "tunnel" is a kind of channel which is built from one connection from an external host to a firewall, and another from that firewall to an internal host. Data from one host to the other travels through both connections (and the firewall). The two hosts involved generally treat this channel just like they would treat a simple connection, except for the tunnel setup phase.

The typical steps to establish a connection between a first process and a second process include (1) the first process requesting the connection to the second process, and (2) receiving acknowledgement that the second process will accept and transmit data to the first process over the connection. A host is considered to be "connected to" another host when a process on the host is connected to a process on the other host. Under these conditions, the host is also considered to be "connected to" the process that is on the other host.

Referring again to FIG. **1**, internal host **114** may be accessed by internal host **116** without going through the firewall. Internal hosts on a network are said to be "behind" the firewall because network traffic flowing between them does not pass through the firewall. External hosts are said to be "outside" the firewall because traffic between external hosts and internal hosts passes through the firewall.

Often, it is desirable to treat some external hosts as hosts that are "virtually" behind the firewall, thus providing those external hosts a higher level of access to the internal network than is provided to other external hosts. For example, an organization may operate a first network **110** at a first physical location (e.g., the organization's headquarters) and a second network **130** at a second physical location that is remote relative to the first location. The first network and second network are both external relative to each other and are both linked to the Internet **228**. The services available on internal hosts **114**, **116** on the first network include corporate electronic mail servers and corporate business applications. Because the second network **130** serves the same organization, it is desirable to provide hosts (e.g., host **134**) on the second network **130** the same level of access that is provided the hosts **114**, **116** on the first network **110**. By giving hosts on the second network **130** the same level of access as hosts on the first network **110**, electronic mail servers and corporate business applications may be accessed by hosts **134** on the second network **130**, even though the hosts **134** on the second network **130** are external to the first network **110**.

One mechanism of providing such access is referred to as a virtual private network. In a virtual private network, one or more secure channels interconnect two or more networks. Secure channels usually provide for the secure transmission of data by, for example, encrypting data that flows through the secure channel. Secure channels often pass through public networks such as the Internet.

FIG. **1** shows an example of a virtual private network. Corporate network **110** and corporate network **130** form a virtual private network and are interconnected by secure channel **138**.

Network traffic between networks within a virtual private network passes through one of the secure channels without being blocked by the firewall. For example, traffic between host **134** and host **114** is not blocked by firewall **132** or firewall **112**. Thus host **134** is treated as if host **134** is behind firewall **112**.

It is possible that an unwelcome outsider may, by gaining access to one network within a virtual private network, compromise the security of every network within a virtual private network. For example, an unwelcome outsider may, by gaining access to host **134**, gain access to corporate network **130** and corporate network **110**.

To prevent a virtual private network from being compromised in this fashion, network traffic to and from hosts outside a virtual private network (i.e. a host connected to a network not part of the virtual private network) is often "consolidated" through one network. Specifically, all network traffic to and from members of a virtual private network is "funneled" through one network and its firewall. The network whose firewall is used to funnel the traffic between the members of the virtual private network is referred to as the "primary" network. The other networks within the virtual private network are referred to herein as "subsidiary" networks. A host on the subsidiary network is referred to as a subsidiary host.

For example, corporate network **110** is the primary network. Firewall **112** prevents network traffic between corporate network **110** and any network outside of the virtual private network. All network traffic between the hosts on corporate network **110** and corporate network **130** and hosts outside the virtual private network comprised of corporate network **110** and **130** is "funneled" through corporate network **110** and firewall **112**.

One disadvantage of a virtual private network is that a virtual private network requires low-level changes to the operating system. Another disadvantage of most kinds of virtual private networks is the overhead incurred in funneling through the primary network all network traffic that travels between subsidiary hosts and hosts outside the virtual private network. Specifically, network traffic between a subsidiary host to a host outside the virtual private network must pass through the secure channel, through the firewall into the primary network, then back out the firewall of the primary network to the outside host. Furthermore, any network traffic through the secure channel is encrypted, even though such traffic may not need the level of security provided by encryption. The overhead involved in encrypting would not have occurred had the same network traffic been sent from the subsidiary host directly to the outside host.

For example, consider network traffic flowing from host **134** (FIG. **1**) to host **182**. Network traffic from host **134** to host **182** is encrypted and directed through secure channel **138** to corporate network **110**. Network traffic then passes from corporate network **110** through firewall **112**, and then through the Internet **228** to host **182**. Note that encryption of the network traffic occurred for transmission over secure channel **138** even though encryption is not performed for the same network traffic as it passes from corporate network **110** to host **182**.

Another disadvantage of most kinds of virtual private network is that all hosts on the virtual private network are provided the same level of network access as any other host on the virtual private network. Thus, such virtual private networks are unsuitable for common situations where it is desirable to "selectively" provide network access for external hosts to some internal hosts on a network but not to other internal hosts. For example, it may desirable for a business organization to allow the external hosts of customers to access an internal host providing "customer-ordering" services but prevent the external hosts from accessing the internal hosts on which the business organization's internal accounting services reside. If the networks of the customer are made part of a virtual private network that includes the network of the business organization, a host on the customer's network would have the same level of network access as an internal host on the business organization's network, and thus may be able to access the business organization's internal accounting services.

Yet another disadvantage of most kinds of virtual private networks is that users outside the primary network are granted similar access to the corporate network. Thus, such virtual private networks are unsuitable for common situations where it is desirable to "selectively" provide network access to various users on the same host, or to provide the same level of access to the same user on different external hosts. For example, an internal host ("clinical information server") in a hospital provides clinical information to clinical users. Patient confidentiality requires that access is generally denied to external hosts (i.e. hosts external to the hospital's network). Most virtual private networks do not concurrently prevent network access to the clinical server by one set of users, while permitting access to another set of users, e.g. doctors.

Based on the foregoing, it is desirable to provide a method which avoids the overhead caused by the consolidation of network traffic to and from networks outside a virtual private network through the primary network. It is further desirable to provide a method that selectively permits one type of network traffic from a set of hosts outside a firewall but blocks another type of network traffic from the same set of hosts.

SUMMARY OF THE INVENTION

A method and apparatus for managing network access to internal hosts protected by a firewall is described. According to an aspect of the present invention, a user on an external host logins into a firewall. Once the user has been authenticated to the firewall, a session is established for the user, and tunnel configuration data is transmitted to the user's process on the external host. The tunnel configuration data indicates the configuration of at least one tunnel for connecting to at least one internal host. When creating a socket for connecting to the internal host, the socket is configured based on the tunnel configuration data.

According to another aspect of the present invention, tunnel objects and tunnel socket objects may be specially configured to establish a connection in a way that takes advantage of the power and simplicity of the inheritance feature of object oriented software. Various tunnel classes are provided to configure tunnels in a variety of manners.

The present invention provides the ability to flexibly support a variety of "strategies" within the same basic application framework, and on the same host. The kind of IP packets that are sent do not have to be modified at the operating system level. Virtual private networks which focus on low level (IP) mechanisms do not have application information sufficient to provide comparable flexibility. The framework presented herein works from the low levels to the high levels in the network communications protocol stack.

According to another aspect of the present invention, the firewall may be managed at a finer level of granularity, because access may be based at least in part on the configuration data particular to the user, rather than solely based on configuration data particular to a host. For example, the same user can use different hosts at different times, and be granted the same level of access.

BRIEF DESCRIPTION OF THE DRAWINGS

The present invention is illustrated by way of example, and not by way of limitation, in the figures of the accompanying drawings and in which like reference numerals refer to similar elements and in which:

FIG. **1** is a block diagram showing a private virtual network;

FIG. **2** is a block diagram that illustrates a computer system **200** upon which a firewall or networked host may be implemented according to an embodiment of the present invention;

FIG. **3** is a block diagram showing an exemplary network architecture upon which an embodiment of the present invention may implemented;

FIG. **4** is a flow chart showing steps for configuring a socket factory to provide tunnel sockets in accordance with an embodiment of the present invention;

FIG. **5**A is a block diagram showing an exemplary tunnel configuration table in accordance with an embodiment of the present invention;

FIG. **5**B is a block diagram showing an exemplary inside channel table in accordance with an embodiment of the present invention;

FIG. **6** is flow chart showing steps for generating a tunnel socket according to an embodiment of the present invention;

FIG. **7** is a flow chart showing steps for connecting through a tunnel in accordance with an embodiment of the present invention;

FIG. **8** is a flow chart showing steps for establishing a connection through a tunnel using the "firewall-mapped" approach in accordance with an embodiment of the present invention;

FIG. **9** is a flow chart showing steps for establishing a connection through a tunnel using the "class-based" approach in accordance with an embodiment of the present invention; and

FIG. **10** is a block diagram of an exemplary hierarchy of tunnel classes which may implemented for use according to the class-based approach in an embodiment of the present invention.

DETAILED DESCRIPTION

A method and apparatus for providing firewall tunnels is described. In the following description, for the purposes of explanation, numerous specific details are set forth in order to provide a thorough understanding of the present invention. It will be apparent, however, to one skilled in the art that the present invention may be practiced without these specific details. In other instances, well-known structures and devices are shown in block diagram form in order to avoid unnecessarily obscuring the present invention.

Hardware Overview

FIG. **2** is a block diagram that illustrates a computer system **200** upon which a firewall or networked host may be implemented according to an embodiment of the present invention. Computer system **200** includes a bus **202** or other communication mechanism for communicating information, and a processor **204** coupled with bus **202** for processing information. Computer system **200** also includes a main memory **206**, such as a random access memory (RAM) or other dynamic storage device, coupled to bus **202** for storing information and instructions to be executed by processor **204**. Main memory **206** also may be used for storing temporary variables or other intermediate information during execution of instructions to be executed by processor **204**. Computer system **200** further includes a read only memory (ROM) **208** or other static storage device coupled to bus **202** for storing static information and instructions for processor **204**. A storage device **210**, such as a magnetic disk or optical disk, is provided and coupled to bus **202** for storing information and instructions.

Computer system **200** may be coupled via bus **202** to a display **212**, such as a cathode ray tube (CRT), for displaying information to a computer user. An input device **214**, including alphanumeric and other keys, is coupled to bus **202** for communicating information and command selections to processor **204**. Another type of user input device is cursor control **216**, such as a mouse, a trackball, or cursor direction keys for communicating direction information and command selections to processor **204** and for controlling cursor movement on display **212**. This input device typically has two degrees of freedom in two axes, a first axis (e.g., x) and a second axis (e.g., y), that allows the device to specify positions in a plane.

The invention is related to the use of computer system **200** for providing firewall tunnels. According to one embodiment of the invention, firewall tunnels are provided by computer system **200** in response to processor **204** executing one or more sequences of one or more instructions contained in main memory **206**. Such instructions may be read into main memory **206** from another computer-readable medium, such as storage device **210**. Execution of the sequences of instructions contained in main memory **206** causes processor **204** to perform the process steps described herein. In alternative embodiments, hard-wired circuitry may be used in place of or in combination with software instructions to implement the invention. Thus, embodiments of the invention are not limited to any specific combination of hardware circuitry and software.

The term "computer-readable medium" as used herein refers to any medium that participates in providing instructions to processor **204** for execution. Such a medium may take many forms, including but not limited to, non-volatile media, volatile media, and transmission media. Non-volatile media includes, for example, optical or magnetic disks, such as storage device **210**. Volatile media includes dynamic memory, such as main memory **206**. Transmission media includes coaxial cables, copper wire and fiber optics, including the wires that comprise bus **202**. Transmission media can also take the form of acoustic or light waves, such as those generated during radio-wave and infra-red data communications.

Common forms of computer-readable media include, for example, a floppy disk, a flexible disk, hard disk, magnetic tape, or any other magnetic medium, a CD-ROM, any other optical medium, punchcards, papertape, any other physical medium with patterns of holes, a RAM, a PROM, and EPROM, a FLASH-EPROM, any other memory chip or cartridge, a carrier wave as described hereinafter, or any other medium from which a computer can read.

Various forms of computer readable media may be involved in carrying one or more sequences of one or more instructions to processor **204** for execution. For example, the instructions may initially be carried on a magnetic disk of a remote computer. The remote computer can load the instructions into its dynamic memory and send the instructions over a telephone line using a modem. A modem local to computer system **200** can receive the data on the telephone line and use an infra-red transmitter to convert the data to an infra-red signal. An infra-red detector coupled to bus **202** can receive

the data carried in the infra-red signal and place the data on bus **202**. Bus **202** carries the data to main memory **206**, from which processor **204** retrieves and executes the instructions. The instructions received by main memory **206** may optionally be stored on storage device **210** either before or after execution by processor **204**.

Computer system **200** also includes a communication interface **218** coupled to bus **202**. Communication interface **218** provides a two-way data communication coupling to a network link **220** that is connected to a local network **222**. For example, communication interface **218** may be an integrated services digital network (ISDN) card or a modem to provide a data communication connection to a corresponding type of telephone line. As another example, communication interface **218** may be a local area network (LAN) card to provide a data communication connection to a compatible LAN. Wireless links may also be implemented. In any such implementation, communication interface **218** sends and receives electrical, electromagnetic or optical signals that carry digital data streams representing various types of information.

Network link **220** typically provides data communication through one or more networks to other data devices. For example, network link **220** may provide a connection through local network **222** to a host computer **224** or to data equipment operated by an Internet Service Provider (ISP) **226**. ISP **226** in turn provides data communication services through the world wide packet data communication network now commonly referred to as the "Internet" **228**. Local network **222** and Internet **228** both use electrical, electromagnetic or optical signals that carry digital data streams. The signals through the various networks and the signals on network link **220** and through communication interface **218**, which carry the digital data to and from computer system **200**, are exemplary forms of carrier waves transporting the information.

Computer system **200** can send messages and receive data, including program code, through the network(s), network link **220** and communication interface **218**. In the Internet example, a server **230** might transmit a requested code for an application program through Internet **228**, ISP **226**, local network **222** and communication interface **218**. In accordance with the invention, one such downloaded application provides for firewall tunnels as described herein.

The received code may be executed by processor **204** as it is received, and/or stored in storage device **210**, or other non-volatile storage for later execution. In this manner, computer system **200** may obtain application code in the form of a carrier wave.

Exemplary Network Archectecture

FIG. **3** is a block diagram that shows an exemplary network architecture used to illustrate an embodiment of the invention. Internal network **308** is a LAN that is protected from other external networks, such as the Internet **228**, by a firewall **330**. Firewall **330** may consist of one or more cooperating hosts. Host **310**, host **312**, host **314**, host **316** are several of the hosts and resources on internal network **308**. External host **350** is a host linked to the Internet **228**. A process running on external host **350** may connect to a host on internal network **308** in manner which shall be described in more detail. Firewall **330**, host **310**, host **312**, host **314**, host **316**, and external host **350** are each associated with a network address, such as an Internet Protocol ("IP") address.

A user, such as user **360**, is an entity on whose behalf one or more processes are executing. A user may be, an individual, or another process. For example, process **362** may be a web browser displaying web pages to user **360**. Web browsers are processes running software that sends and receives data from servers that participate in the World Wide Web. Web browsers may also load code, such as Java™ code, and execute such code or launch processes which execute the code. Examples of browsers are Microsoft Corporation's Internet Explorer, or Netscape Corporation's Navigator. Process **364** and process **366** are Java applications executing code loaded by process **362**. Such Java applications include the HotJava™ browser, available from Sun Microsystems, Incorporated.

A process that is associated with the user is referred to as a user process. Process **362**, process **364**, and process **366** are each examples of user processes.

Socket factory **368** resides on external host **350**. A socket factory provides sockets. A socket is a set of code modules and related data that serves as an interface for communicating between processes, including processes on two or more hosts linked by a network. Sockets typically provide an interface to a channel, such as a connection, between two processes. Sockets insulate users of sockets (e.g. processes) from the complexities of communicating with other processes.

In one embodiment of the present invention, a socket factory and a socket are objects which are instantiations of classes developed in object-oriented software. For example, socket factory **368** is an instantiation of a socket factory class.

A socket may be an object that provides a set of methods which may be invoked for the purposes of communicating with another process. For example, one method may be invoked to establish a connection with a process associated with a particular IP address and a port. Another method may be invoked to transmit data to the other process, and yet another method may be invoked to terminate the connection.

The techniques described herein are not limited to object oriented software. For example, object classes correspond to abstract data types, objects correspond to instances of abstract data types, and the methods of an object correspond to the functions that are used to perform operations on data contained in instances of abstract data types.

Firewall configuration data **332** is data that is used to configure firewall **330**. A portion of firewall configuration data **332** may reside on other hosts, including internal hosts. For example, firewall configuration data **332** may include data (1) specifying that network traffic from one source be blocked, (2) network traffic from another source be rerouted to another network, (3) user profile data, and (4) data available through user authentication services. Firewall configuration data **332** contains other types of configuration data which shall be described later.

Overview

FIG. **3** shows a tunnel according to an embodiment of the present invention. Tunnel **341** is an exemplary tunnel through which a user process may connect to an internal host behind firewall **330**.

In accordance with an embodiment of the present invention, one or more tunnels are associated with a user. Access through a firewall is based on the user associated with a process. Thus, once it has been determined that access may be granted to the user associated with a process, access may be securely permitted even though the process may reside on an external host. Security may be managed at a finer level of control than that provided by mechanisms based solely on a

user's host. Furthermore, the overhead by operating firewall **132** to consolidate traffic through a primary network becomes optional so that users on a partially trusted host **182** (or **350**) can be granted selective access.

Login channel **342** is used to authenticate a user to the firewall. Usually the login channel is to a well known login port on firewall **330**, such as port **443**. A login channel can be set up without user authentication. After setting up the channel, login is performed.

Tunnel **341** includes a user-authenticated channel **340**. A user-authenticated channel is a secure channel through which a user process associated with an unterminated session on a firewall may connect to the firewall through a tunnel entry port (e.g. port **777**). A tunnel entry port is the port on a firewall corresponding to a particular user-authenticated channel. Tunnel **341** also includes inside channel **343**, which represents the portion of a tunnel **341** between the firewall and the respective internal host. A port corresponding to an inside channel on the internal host is referred to as an inside port.

A user process on an external host **350** may establish a tunnel **341** after logging in to access a service provided by the internal host **312**. A service is a set of processes that provides functionality for other processes, including processes on a different host. Examples of services are an FTP server (a server which sends/receives according to the "file transfer protocol"), an IMAP **315** server (an electronic mail server that follows the internet mail access protocol) or RPC Calendar **317** (a scheduling service that uses remote procedure calls). The functionality provided by a service can be made available to a process by connecting to a particular host at a designated port. For example, the RPC calendar service **317** is available on host **310**.

User process **362** on external host **350** may communicate to internal host **312** behind the firewall **330** by requesting a socket from socket factory **368** configured to connect the user process **362** to the internal host **312** via a tunnel. A socket **367** which is configured to connect a user process **362** to an internal host **312** through a tunnel **341** is referred to as a tunnel socket. From the perspective of the user process **362**, tunnel socket **367** is requested as a connection to the internal host **312** and appears as a connection to the internal host **312**, even though the tunnel socket **367** is configured to use a tunnel **341**.

Before tunnel socket **367** may be created for user process **362**, a secure session associated with the respective user **360** must be established with the firewall **330**. When the user logs in and establishes a secure session, information on how to configure tunnel sockets is transmitted to user process **362**. The tunnel configuration data received includes, for example, a tunnel entry port to which to connect in order to connect to a particular internal service. When a user process on an external host requests a socket to the particular internal host, the socket factory uses the tunnel configuration data to configure a tunnel socket.

When user process **362** attempts to establish a connection to internal host **312** and port using tunnel socket **367**, firewall **330** determines whether a tunnel is permitted to connect user process **362** to the sought internal host **312** and port. If so, the firewall **330** determines the configuration of a channel between firewall **330** and the sought internal host **312** and port, and establishes a connection through the channel accordingly. Thus, user process **362** communicates to internal host **312** through user-authenticated channel **340** between firewall **330** and user process **362**, and through inside channel **343** between firewall **330** and internal host **312**.

When a connection through a tunnel is established, a tunnel object **334** is created for user channel **340** and inside channel **343**. One or more methods of the tunnel object are executed to configure and establish inside channel **343**. Through the power and simplicity of the inheritance feature of object oriented programming, a set of classes may be implemented to configure inside channels in a variety of manners. For example, a firewall may authenticate in turn to another firewall, could monitor traffic to ensure that some particular security policy is obeyed, or use a particular encryption protocol. Likewise, a set of classes may be implemented to configure sockets in a variety of manners.

Establishing Session and Configuring the Socket Factory

FIG. **4** shows the steps performed to establish a session and to configure socket factory **368** to provide tunnel sockets. The steps may be performed in response to user process **362** on external host **350** logging into firewall **330** for the purposes of accessing a service on internal host **132**. The steps in FIG. **4** are illustrated using the exemplary network architecture shown in FIG. **3**. Assume user process **362** is initiating a connection to internal host **312**.

At step **410**, a secure connection between the external host **350** and firewall **330** is established through login channel **342**. A secure connection provides for the secure transmission of data by, for example, the encryption of data. A secure connection may be established using the Secure Sockets Layer (SSL) protocol for establishing secure connections as originally defined by Netscape Corporation. Those skilled in the art will recognize that there are many techniques for establishing secure connections, and those techniques shall not be further described. In this example, assume user process **362** creates socket **361** to establish a secure connection through login channel **342** to firewall **330**.

At step **420**, the user is authenticated relative to the firewall **330**. Authentication, as referred to herein, is the process of receiving information used to identify a user, and using the information to verify that the user is what or who the user has been identified to be. The user's authenticated identify is used to determine the what acts may be performed by or on behalf of the user, which act is referred to as "authorization." Authenticating the user is a central part of setting up the user session. It generally involves either secrets known to the user, or secrets held by the user in a privacy protected file, hardware token, or both.

Authentication relative to the firewall **330** refers to authenticating user **360** and determining whether user **360** may traverse the firewall **330**. If the user **360** is what or who it has been identified to be, the user **360** is considered verified. If the user **360** is verified, and it is determined that the user **360** may traverse the firewall **330**, the user is considered authenticated relative to the firewall **330**. The present invention is not limited to any particular technique for authenticating users. In fact, user authentication can be delegated to a separate user authentication service module, which can support a variety of authentication schemes.

One well known authentication technique is the "Basic Username/Passphrase" authentication. In "Basic Username/Passphrase" authentication, a user supplies a name and phrase to the firewall **330** over a secure channel. The firewall **330** then looks up the name and phrase pair in a database of valid pairs of names and phrases. If the name and phrase match valid pairs stored in the database, then the user **360** is considered to be authenticated relative to the firewall **330**.

Another well known technique is "Challenge/Response" authentication. In the challenge response authentication, a user supplies a user name and is then challenged by being prompted for another response. The firewall **330** calculates a correct response according to a mechanism supplied to both the firewall **330** and authentic users. If the user response matches the correct response, then the user is considered verified.

Another authentication technique is the SSL authentication protocol, available from Netscape corporation and others. SSL authentication provides for "strong" authentication. In strong authentication, a certificate and a digital signature generated from digitally encrypted randomly generated data is transmitted to the firewall. A certificate is data about a user, and includes data identifying the user and data used for encryption purposes (e.g. public key). Firewall **330** uses the certificate and the digital signature to verify the user using encryption-based techniques well known to those skilled in the art, including those described in Schneier, "Applied Cryptography", 1996.

At step **424**, a determination is made as to whether the user has been authenticated relative to firewall **330**. If the user has not been authenticated relative to the firewall, then execution of the steps ceases. Otherwise, control passes to step **430**.

In this example, assume user **360**, the user associated with user process **362**, is authenticated using strong authentication. After user **360** is verified, firewall **330** looks-up user **360** in the database, based on data identifying the user received in the certificate sent to firewall **330** in accordance with the SSL protocol. Execution of the steps thus flows to step **430**.

At step **430**, tunnel configuration data is generated. Tunnel configuration data describes the tunnels through which connections may be established for a particular user. Tunnel configuration data includes the session id of the current session associated with a user, data defining the tunnels through which connections may be established for a particular user, and, for each tunnel, the manner in which the tunnel is created. For example, tunnel configuration data may include, for each tunnel, data indicating the tunnel entry port, and which encryption protocols to use. The configuration data may specify which third party digital signature authenticators to use, (e.g. Verisign Incorporated), whether to use a low level security mechanism, (e.g. Internet Protocol Security Protocol, "IPSEC", a set of low level security protocols established by the Internet Engineering Task Force), or a high level mechanism, (e.g. Transport Layer Security, "TLS", a modified version of SSL), whether weak 40 bit ciphers are allowed, and which ciphers to use, for example, RC**4** or DES. Tunnel configuration data may be generated from firewall configuration data **332** (e.g. user profile data), the internal state of the firewall, and information about the host from which the user is accessing the firewall.

At step **440**, a session with the firewall **330** is established. A session is a set of zero or more tunnels that are associated with a user, the user's user profile data, and tunnel configuration data. A session is said to be established upon the occurrence of a session enabling event, and terminated upon the occurrence of a session terminating event. A session which has been established and not terminated is referred to as an active session. An example of a session enabling event is the authentication of a user relative to the firewall which occurs while no session associated with the user is active. An example of a session terminating event is the lapse of a period of time in which no connection associated with a user is established.

For example, a first process associated with user **360** transmits a first request to connect to a firewall **330** over a first channel. The connection request includes information identifying a first session which is no longer active. The user **360** is then authenticated again relative to firewall **330** using login channel **342**. The authentication of user **360** represents a session enabling event because user **360** is associated with a session that is no longer active. Thus, a first session, as well as the new connection, are established.

Assume that after the first connection is established, another user process associated with user **360** transmits another request for a second connection over a second channel **340**. The request would include information identifying the first session. When the requested second connection is established, the second connection is associated with the first session. Then assume that the first and second connections are terminated, and a period of time lapses, at which point the first session is terminated. The lapse of a period of time in which there is no connection associated with an active session represents one kind of session terminating event. Other kinds of session terminating events include explicit action by the user (e.g. "log out") or firewall administrator.

Session data is maintained for each session. Session data includes the identity of the user (user id) associated with the session, user profile data, a session identifier ("session id"), and tunnel configuration data. Firewall **330** generates session data, including the session id and the user id.

The session established in step **440** is referred to as the current session. The session data and session id associated with the current session are referred to as the current session data and current session id. In this example, a current session associated with user **360** is established.

Referring to FIG. **5**A, tunnel configuration table **510** is an example of session specific data included in tunnel configuration data. Tunnel configuration data maps internal services to specific tunnel entry ports. Tunnel configuration table **510** is associated with a login session for user **360**, and contains four entries. Each entry corresponds to a tunnel through which a user process associated with user **360** may connect to a particular service, and maps a particular internal service to the respective tunnel entry port of the tunnel. Each entry has four fields, an internal host **522**, internal port **524**, firewall host **526**, and tunnel entry port **528**. In this example, internal host **522** and internal port **524** are used to identify the service mapped to firewall host **526** and tunnel entry port **528**. It is not necessary that a host and port be used to identify a service mapped to a specific tunnel entry port. For example, a service name can be used to identify the internal service.

For the tunnel represented by a particular entry, the internal host and port specified by the values of internal host field **522** and internal port field **524** is considered mapped to the tunnel entry port specified by the values of the firewall host field **526** and firewall port field **528**. A connection through a tunnel may be established for a user process to a port on an internal host by creating a connection from the host on which the user process resides to the tunnel entry port mapped to the internal host and port. This connection represents a connection through the user-authenticated channel of the tunnel.

For example, consider entry **512**. Entry **512** represents tunnel **341** (FIG. **3**), and maps port **143** on h1.corp (host **312**) to the tunnel entry port represented by port **777** (FIG. **3**) on

FW1 (firewall **330**). H1.corp is the domain name for host **312** and FW1 is the domain name for firewall **330**. A domain name is a string representing a particular network address, such as an IP address. A domain name includes one or more sub-names (e.g. "H1", "corp"), delimited by a punctuation character, such as a period (".."). A connection through tunnel **341** may be created for user process **362** associated with user **360** to port **143** on an internal host **312** (h1.corp) by creating a connection, from a port on the external host, to the tunnel entry port represented by port **777** on firewall **330**. This connection represents a connection through user-authentication channel **340** (FIG. **3**) With respect to tunnel **341**, channel **340** is referred to as a user-authenticated channel.

At step **450**, the tunnel configuration data is transmitted to user process **362** using login channel **342**. User process **362** then configures socket factory **368** by invoking one or more of its methods (e.g. constructor method). In this example, the tunnel configuration data is transmitted to user process **362**. The tunnel configuration data includes the current session id of user **360** and tunnel configuration table **510**. User process **362** then invokes a method of socket factory **368**, passing in the tunnel configuration data needed for configuration.

Step **460** is optional. At step **460**, inside configuration data is generated for the user and stored as part of the session associated with the user. Inside configuration data is used to define the configuration for each tunnel defined for a particular user. Inside configuration data may be generated by retrieving from firewall configuration data **332** the inside configuration data associated with a particular user.

In one embodiment of present invention, the configuration of the inside channel is determined on demand. Specifically, when a user process attempts to access an internal server through firewall **330** by connecting to a tunnel entry port, the firewall examines firewall configuration data **332** to determine the configuration of the appropriate inside channel. Determining the configuration on demand may be more efficient because computer resources are not expended determining and storing configurations of inside channels that may never be used.

Referring to FIG. **5**B, inside channel table **550** is an example of predetermined inside configuration data stored as part of the session data of a session associated with a user. Each entry in inside channel table **550** corresponds to a tunnel defined for user **360**, and maps the tunnel entry port of the respective tunnel to the inside channel for the tunnel. Each entry has three fields, a firewall field **562**, firewall port field **564**, and inside channel field **566**. For a particular entry, the tunnel entry port specified by the values of the firewall field **562** and firewall port field **564** is considered mapped to the inside channel field **566**. For example, entry **560** maps the tunnel entry port represented by port **777** (FIG. **3**) on firewall **330** to inside channel **343**. In this example, inside channel table **550** is stored as part of the current session associated with user **360**.

Generating a Tunnel Socket

In order to connect with an internal service from an external host, a tunnel socket is created on the external host. To create a tunnel socket, a user process transmits to a socket factory data specifying the internal host (e.g. host and port) with which to establish a connection. In response, the socket factory creates and configures a tunnel socket to connect to the internal host through the tunnel via the tunnel entry port for the tunnel. The tunnel socket is configured based on the tunnel configuration data known to both the client and the firewall. FIG. **6** shows the steps for generating a tunnel socket. FIG. **6** shall be explained with reference to the example provided for FIG. **4**.

At step **610**, a user process transmits a request for a socket to socket factory **368**, for example, by invoking a method of the socket factory. The request includes data specifying the internal host and port to which to establish a connection, herein referred to as the requested host and port. The request also includes data identifying the user session associated with the user process.

In this example, user process **362** transmits a request for a socket to socket factory **368** by invoking a method of socket factory **368**. The request includes the data specifying that the requested host and port is h1.corp (host **312**), port **143**. Data identifying the session for user **360** is also available as part of the request.

At step **614**, a determination is made as to whether a tunnel for connecting to the requested host and port is defined for the user. If a tunnel for connecting to the requested host and port is not defined, then control flows to step **618**. At step **618**, a tunnel is created according to a default configuration, such as a socket configuration for connecting to the requested host and port for a host on some network not protected by the firewall according to standard TCP/IP protocols. If, on the other hand, a tunnel for connecting to the requested host and port is defined, control flows to step **620**.

The determination as to whether a tunnel for connecting to the requested host and port is made by examining the tunnel configuration data associated with the user, and determining whether the tunnel configuration data specifies a tunnel for the requested host and port. In this example, the determination of whether the tunnel configuration data specifies a tunnel for the requested host and port is made by searching for an entry in the tunnel configuration table **510** (FIG. **5**A) that has a host field and internal port field that matches the requested host and port. If a match is found, then the tunnel configuration data specifies a tunnel for the requested host and port.

Referring to FIG. **5**A, the values of internal host and internal port of entry **512** explicitly match the h1.corp, port **143** (the requested internal host and port). Entry **518** matches as well. The wild card character "*" in "*.corp", the value of the internal host field of entry **518**, specifies that the value matches any sequence of subnames followed by ".corp". The use of wild card characters and techniques for determining values that match a value containing one or more wild card characters are well known to those skilled in the art. Because at least one match was found, control flows to step **620**.

At step **620**, the configuration of the tunnel socket is determined. Determining the configuration of the tunnel socket includes determining the tunnel entry port for the tunnel to the requested host and port.

In one embodiment of the invention, the tunnel entry port is the tunnel entry port mapped to the requested internal host and port that most closely matches the requested internal host and port in the user's tunnel configuration table. The closest matching entry is the entry having the value for the internal port field that equals the requested port, and a value for internal host field that most expressly matches the domain name of the requested host. In this example, internal port values of both entries **512** and **518** in tunnel configuration table **510** both match the internal port. However, the domain name of the requested host ("h1.corp") more expressly matches the internal host value of entry **512** ("h1.corp") than the internal host value of entry **518**

("*.corp"). Thus, FW**1** and port **777** represent the firewall and port of the required user-authenticated channel.

In addition to configuring the tunnel socket for the tunnel entry port, the configuration of other aspects of sockets may be determined. For example, as mentioned earlier tunnel configuration data may specify a particular encryption protocol to be used for a particular tunnel. The configuration of the tunnel socket's encryption protocol may be determined based on tunnel configuration data.

At step **630**, the tunnel socket is generated according to the configuration determined in step **620**. Generating a socket includes allocating memory to data structures and objects defined by the class to which the socket belongs, and initializing those data structures and objects, which may be initialized according to the configuration determined in step **620**.

When generating a socket, a constructor method associated with the socket class may be invoked. Values for parameters passed to the constructor method may be based on the configuration determined in step **620**. The constructor method, in turn, may base the configuration of the socket on the values passed in as parameters. In this example, a constructor method is invoked to create a tunnel socket **367** (FIG. **3**), passing in the values for the tunnel entry port corresponding to the required user-authentication channel i.e. "FW**1**" and **777**.

Creating a Connection Through a Tunnel

Once a user-authenticated channel is established by a socket factory as an interface to a tunnel, it may be used to establish a connection to the internal host and port for which the tunnel socket is configured. The tunnel consists of two connections: a first one established by the client to the firewall, and a second one established by the firewall to the inside host. Those connections actualize channels which are identified in tunnel configuration data shared between client and firewall systems.

Typically, that first connection is established by invoking a connection method of the tunnel socket. In response to host **350** invoking the connection method, a request is transmitted, via the creation of a user authenticated channel for which the socket is configured, for the establishment of a connection with the firewall. When the firewall receives the request, the firewall determines whether a connection **341** to the tunnel entry port **528** should be established. If a tunnel should be established, the firewall establishes a second connection to the internal host. The second connection is the inside channel.

FIG. **7** shows steps performed for connecting to an internal host through a tunnel. The steps are explained with reference to the example described above in which user **360** is attempting to connect to host **312**.

At step **710**, a request for a connection to a tunnel entry port ("requested tunnel entry port") is transmitted to the firewall. The request is transmitted in response to, for example, a user process invoking a "connect" method of a tunnel socket configured for the tunnel. The request includes data indicating the session id of the session associated with the respective user. The request is herein referred to as the connection request. In this example, the connect method of tunnel socket **367** is invoked.

At step **720**, a determination is made as to whether a tunnel has been defined that is associated with the requested tunnel entry port, based on the session associated with the user. The firewall makes this determination by examining the tunnel configuration data stored as part of the session data associated with the user. If the tunnel data indicates that a tunnel has been defined for the user, then control flows to step **750**. Otherwise, control flows to step **730**, where alternate firewall connection request management measures are followed, such as measures for failing the connection request.

In this example, firewall **330** examines tunnel configuration table **510** (FIG. **5**A), the tunnel configuration data stored as part of the session data associated with the user. If tunnel configuration table **510** contains an entry that corresponds to the requested tunnel entry port, then a tunnel has been defined for the tunnel entry port.

Inside the firewall, associated with the tunnel configuration data is an inside channel table **550** (FIG. **5**B) which may contain entries identifying the inside connections associated with the defined inside channels. For example, corresponding to entry **512** is entry **560**, recording that a connection **343** has already been created to support that particular tunnel. In this case the tunnel has not only been defined, but it has also been fully established.

As mentioned before, in alternate embodiments of the present invention, the inside configuration may be determined on demand. The on demand determination is made by techniques shortly to be described.

At step **750**, a connection through the tunnel is established. Several exemplary methods for establishing a connection are shown in FIG. **8** and FIG. **9**, and shall be described in further detail.

Firewall-mapped Inside Channels

FIG. **8** shows steps for establishing a tunnel according to the method referred to herein as the "firewall-mapped" approach. To establish a connection through a tunnel under the "Firewall-mapped" approach, first a determination is made as to the inside channel through which to establish a connection between the firewall and the requested internal host and port. Under the "firewall-mapped" approach, this determination is based on an inside port-to-tunnel-entry-port mapping that resides within firewall **330** for the user of the current session (e.g. inside configuration data stored in firewall configuration data **332**).

Next, a connection is established from firewall **330** to the requested internal host and port through the just determined tunnel inside channel, and recorded in inside channel configuration table. Once the connection is established, firewall **330** receives data from the respective user process via the user-authenticated channel for the tunnel and transmits the data to the respective internal host via the inside channel. The respective internal host transmits data to firewall **330** via the inside channel. Firewall **330**, in turn, transmits the data to the respective user process on which the user resides via the user-authenticated channel.

At step **810**, a tunnel object is created. A tunnel object is an instantiation of a class referred to as a tunnel class. The definition and implementation (i.e. code) of a tunnel class is stored in the firewall system libraries **333**. In this example, tunnel object **334** is created as an instantiation of a tunnel class.

Steps **820** through **850** are performed during the execution of the constructor method invoked in step **810**. The steps may be executed by code that is part of the implementation of the constructor method, or by code in methods, functions, or other procedures invoked directly or indirectly by the constructor method.

At step **820**, a determination is made as to the inside channel that corresponds to the requested tunnel by exam-

ining the inside configuration data. As mentioned before, the inside configuration data is part of the session data. In this example, the inside channel table **550** is examined. Entry **560** indicates that the required tunnel entry port is mapped to inside channel **343**.

At step **830**, a connection to the requested internal host and port is established via the inside channel, using any number of techniques well known to those skilled in the art. In this example, a tunnel socket is created for connecting through inside channel **343**. During execution of the constructor method, the connection through inside channel **343**, is established.

At step **840**, a user-to-host tunneling thread is spawned. A user-to-host tunneling thread receives data from a user process via the user-authenticated channel and transmits the data to the internal host via the inside channel. In this example, a user-host tunneling thread is spawned.

At step **850**, a host-to-user tunneling thread is spawned. A host-to-user tunneling thread receives data from the internal host via the inside channel and transmits the data to the internal host via the user-authenticated channel. In this example, a host-user tunneling thread is spawned.

Rather than spawning two threads to transfer data between the internal and external hosts through the firewall (i.e. as in steps **840** and **850**), an asynchronous I/O scheme may be used. The asynchronous scheme requires far fewer threads to pass the data between hosts. Examples of asynchronous scheme mechanisms include "poll" and "select" system calls available on UNIX, and "WaitMultipleEvents" on the Microsoft Win32 platform.

Class-based Tunnel Objects

FIG. **9** shows the steps for establishing a tunnel according to the method referred to herein as the "Class-based" approach. Under the class-based approach, the manner in which a tunnel is established depends on the tunnel class selected to instiantiate a tunnel object. FIG. **10** depicts classes from which tunnel objects may be created as instances. These classes shall be described in further detail. Under the "Class-based" approach, a connection through a tunnel may be established according to a variety of approaches. These different approaches may be necessitated by the needs of different kinds of application protocols. The firewall may be configured to permit secure tunneling to specific applications. Without this flexibility, only simple applications can be supported.

At step **910**, a determination is made as to the tunnel class of the tunnel object to create in order to establish the tunnel. The determination may be made using a variety of techniques. For example, the inside configuration data may contain an algorithmic mapping of tunnel entry ports to tunnel classes rather than a static mapping. The determination of the tunnel class is made by finding the class that is mapped to the requested tunnel entry port.

It should be noted that some services are, by convention, consistently assigned to the same port. An example of such a service is a web server which is by convention assigned to port **90**, or an FTP server which is by convention assigned to **21**. Ports to which other services are assigned may vary. For example, RPC calendar service **317** may be assigned to a port by an RPC binder **311**. An RPC binder maps an RPC service name to a specific port on a specific machine. In particular, an RPC binder may map RPC service 100068 (i.e. RPC calendar service **317**) to port number **2097** at one moment, and later to port **3722**. This precludes the use of static mappings in tunnel configuration data for this class of applications.

For illustrative purposes, assume that the tunnel configuration data associated with a given firewall entry port identifies it as providing access to the RPC calendar service on some host, or for some user. Based on this data, it is determined that the class of the tunnel object is RPCalTunnel, a tunnel class provided in firewall system libraries **333** for the RPC Calendar service **317**. That application requires specialized procedures to use the inside channel, accessible through class RPCalTunnel. Furthermore, while that class just could establish a tunnel connection and just pass data, it might also act as an application level proxy.

Finally, a default tunnel class may be used to create the tunnel class when, for example, no class is mapped to the requested tunnel port, or no particular class is provided in the firewall system libraries for the sought service, or no data indicating a sought service is received.

After determining the tunnel class in step **910**, at step **920**, a tunnel object is created by invoking the constructor of the tunnel class. For example, a tunnel object may be created as an instantiation of RPCalTunnel **1020** (FIG. **10**).

Steps **930** through **950** are performed during the execution of the constructor method invoked as part of creating the object created in step **920**. The steps may be executed by code that is part of the implementation of the constructor method, or by code in methods or functions invoked directly or indirectly by the constructor method.

At step **930**, the inside channel configuration is determined. Determining the inside channel configuration involves determining the inside port and other aspects of the inside channel. Such additional aspects include the user identity with which the channel must be authenticated, the level of privacy required, the priority for such traffic, and the quality of service needed. The inside port can be determined using a variety of approaches. One approach for determining the inside port is the firewall-mapped inside channel approach (specifically, step **820** in FIG. **8**), previously described.

Another approach is the service mapped approach, which supports one kind of algorithmic mapping for tunnel configuration data to inside channels. In the service mapped approach, the inside port is supplied by an internal service (i.e. a service provided on an internal host.). For example, a tunnel object may transmit to RPC binder **311** a request for data indicating the port and host to which the RPC Calendar service **317** is assigned. In response, RPC binder **311** returns the port and host assigned to the RPC Calendar service.

The particular approach used for determining the inside port may depend on the particular class to which the tunnel object belongs. In addition, the configuration of other aspects of the tunnel objects depends on the particular class.

At step **940**, a user-to-host tunneling thread is spawned. At step **950**, a host-to-user tunneling thread is spawned.

Tailoring Configurations of Sockets and Tunnel Objects Through Inheritance

Tunnel objects and tunnel socket objects may be specially configured to establish a connection in a way that takes advantage of the power and simplicity of the inheritance feature of object oriented software. Inheritance allows a hierarchy to be established between classes. The attributes and methods of a class automatically become attributes and methods of the classes that are based upon the given class in the hierarchy. A class which inherits its attributes and

methods from another class is said to be a subclass of the other class. The one or more classes from which the subclass inherited its attributes and methods are said to be a super classes relative to the subclass. For example, consider a class hierarchy in which class TERRIER inherits its attributes and methods from class DOG, which in turn inherits its class and methods from class ANIMAL. Class TERRIER is a subclass of class DOG and class ANIMAL. Class DOG is a subclass of class ANIMAL. Class DOG is a super class to class TERRIER, and class ANIMAL is super class to class DOG and class TERRIER.

Note the term routine, as used herein, is synonymous to method, when used relative to a class. For example, a method defined by a class may also be referred to as a routine defined by a class. A method may be defined for a class even though the class does not define an implementation (i.e. code) for the method. For example, the class ANIMAL may define the method SOUND without providing any implementation. The class DOG, which inherits the method SOUND, may define an implementation for SOUND which generates a generic bark. The class TERRIER, which inherits method SOUND, may define an implementation for SOUND that generates a terrier's bark. Such an implementation is said to be an override implementation. An override implementation is code executed for the subclass for a method inherited from a superclass in place of any code, if any, defined for the method by the superclass.

FIG. **10** shows an exemplary hierarchy of classes that may be implemented for use in accordance with the class-based approach. FWTunnel **1010** is a superclass of subclasses RPCalTunnel **1020** and IMAPTunnel **1030**. FWTunnel **1010** is a class that provides a default mechanism for establishing connections through tunnels. RPCalTunnel **1020** is class for establishing connections through tunnels to RPC calender services, while the IMAPTunnel is a class for establishing connections through tunnels to IMAP services.

When an object is instantiated from FWTunnel **1010**, a connection to a tunnel is established in accordance with the class-based tunnel objects approach shown in FIG. **9**. The GetIntPort **1014** method is a method invoked by tunnel constructor method **1011** in order to determine the inside port (e.g. step **930**). This implementation uses the "firewall mapped" approach to determine the inside port. Performance of the other steps described for FIG. **9** (e.g. **940**, **950**) are performed by code in the tunnel constructor method, or other methods or functions, invoked, directly or indirectly, by tunnel constructor method **1011**. An implementation is executed when the tunnel constructor method **1011** is invoked. Implementation **1016** is code which determines the inside port.

RPCTunnel is a subclass of FWTunnel **1010** from which tunnel objects to an RPC Calender service are instantiated. When an tunnel object is created as an instance of the RPCTunnel class, many of the steps shown in FIG. **9**, such as establishing the user-host thread and the host-user thread, are performed in the same manner as for any other objects created as an instance of FWTunnel. However, the inside port is determined in different manner. Specifically, the inside port is determined according to the service mapped approach. Override implementation **1026** is code which determines the inside port in accordance with the service mapped approach.

Classes for Providing Additional Functionality

In addition to providing subclasses that configures inside channels in a particular manner, a particular subclass can be provided with overriding implementations or additional methods that provide additional functionality needed for a particular situation. For example, IMAP subclass **1030**, shown in FIG. **10**, provides an authenticate method **1033**, which is invoked by the override implementation **1037** of the tunnel constructor method **1011**. The authenticate method **1037** interfaces with the authentication mechanism of IMAP service **315** to authenticate the user to the IMAP service (i.e. relative to the IMAP service). The authenticate method **1037** may provide data to the authentication mechanism of the IMAP service based on the session data associated with the user. Note that internal services may require and provide their own authentication mechanisms even though a user has been authenticated relative to the firewall.

Sockets Configured Through Inheritance

As mentioned before, tunnel sockets configured for a particular situation can be configured using the power and simplicity of inheritance. For example, a superclass of sockets may be established for creating sockets using standard direct TCP connections. A subclass of the superclass provides an override implementation that layers various protocols (e.g. SSL, SOCKS) over TCP, or configures TCP to use specific low level network security features (e.g. IPSEC or Simple Key Management for the Internet Protocol, "SKIP", defined by Sun Microsystems).

A group of related services might use common service mapping infrastructure. For example, all the different sorts of mail services for a given user might be offered at the same host but at different ports. A base class would map from the user to the mail host.

The socket factory may select the particular class from which to create a socket based on tunnel configuration data. For example, the tunnel configuration table may contain another field called encryption protocol, which stores a value indicating the encryption protocol to use for a particular tunnel. At step **620**, it may be determined that a particular encryption protocol is to used to configure the socket. At step **630**, a socket may be created and configured to use the particular protocol by creating the object as an instantiation of the class or subclass that corresponds to the particular encryption protocol.

In the foregoing specification, the invention has been described with reference to specific embodiments thereof. It will, however, be evident that various modifications and changes may be made thereto without departing from the broader spirit and scope of the invention. The specification and drawings are, accordingly, to be regarded in an illustrative rather than a restrictive sense.

What is claimed is:

1. A method of communicating between a process on an external host and an internal host behind a firewall, the method comprising:

authenticating, relative to said firewall, a user that is associated with said process; and

if said user is authenticated relative to said firewall, then:

generating tunnel configuration data based on information particular to the user and information particular to the external host, the tunnel configuration data indicating a configuration of a tunnel for connecting said process to said internal host and the manner in which the tunnel is created,

establishing a session associated with said user, wherein the tunnel is associated with the session, and

causing the tunnel configuration data to be transmitted to said external host.

2. The method of claim 1, further including:

requesting a socket for connecting said process to said internal host; and

generating said socket based on said tunnel configuration data, said socket being configured to connect said process to said internal host through said tunnel.

3. The method of claim 2, wherein generating said socket further includes configuring said socket to connect said process to said firewall via a first channel using said session.

4. The method of claim 3, wherein:

said first channel includes a first port on said firewall; and

the step of configuring said socket includes configuring said socket based on a mapping that maps said first port to a second port on said internal host.

5. The method of claim 2, further including:

requesting a connection through said socket, and

in response to requesting a connection through said socket, establishing said connection through said tunnel.

6. The method of claim 1, wherein the tunnel configuration data indicates a port on the firewall to which to connect for connecting to the internal host.

7. The method of claim 6, wherein the tunnel configuration data indicates an encryption protocol for use with the tunnel.

8. The method of claim 1, wherein the tunnel configuration data indicates a security mechanism for use with the tunnel.

9. The method of claim 1, the tunnel configuration data based on the internal state of the firewall.

10. The method of claim 1, wherein authenticating includes receiving information identifying the user, and wherein the tunnel configuration is generated using information from a database corresponding to the received information.

11. A computer-readable storage medium carrying one or more sequences of one or more instructions for communicating between a process on an external host and an internal host behind a firewall, wherein the execution of the one or more sequences of the one or more instructions by one or more processors causes the one or more processors to perform:

authenticating, relative to said firewall, a user that is associated with said process; and

if said user is authenticated relative to said firewall, then:

generating tunnel configuration data based on information particular to the user and information particular to the external host, the tunnel configuration data indicating a configuration of a tunnel for connecting said process to said internal host and the manner in which the tunnel is created,

establishing a session associated with said user, wherein said tunnel is associated with the session, and

causing the tunnel configuration data to be transmitted to said external host.

12. A computer system, comprising:

a firewall comprising a processor; and

a memory coupled to said processor,

said processor configured to authenticate a user that is associated with a process relative to said firewall and,

if said user is authenticated relative to said firewall:

generate tunnel configuration data using user profile data and information associated with the external host, said tunnel configuration data indicating a configuration of a tunnel for connecting said process to an internal host behind said firewall and the manner in which the tunnel is created,

establish a session associated with said user, wherein said tunnel is associated with the session, and

cause the tunnel configuration data to be transmitted to said external host.

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UNITED STATES PATENT AND TRADEMARK OFFICE

CERTIFICATE OF CORRECTION

PATENT NO. : 7,150,040 B2
APPLICATION NO. : 10/846688
DATED : December 12, 2006
INVENTOR(S) : David Brownwell

It is certified that error appears in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

On the title page, item (57), line 16, "mariners." should read --maners.--.

Signed and Sealed this

Eleventh Day of November, 2008

JON W. DUDAS
Director of the United States Patent and Trademark Office