

# CipherTrust Transparent Encryption

## CTE Agent for Windows for CM

### Advanced Configuration and Integration Guide

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CTE Agent for Windows for CM

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# Preface

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The CTE Agent for Windows for CM provides information about advanced installation, configuration, and integration options for CTE for Windows.

## The CTE Agent Documentation Set

The following guides are available for CTE Agent:

- *CTE Agent for Linux Quick Start Guide*
- *CTE Agent for Linux Advanced Configuration and Integration Guide*
- *CTE Agent for Windows Quick Start Guide*
- *CTE Agent for Windows Advanced Configuration and Integration Guide*
- *CTE Agent for AIX Installation and Configuration Guide*
- *CTE Data Transformation Guide*
- *CTE-Live Data Transformation with Data Security Manager*
- *CTE-Live Data Transformation with CipherTrust Manager*
- *Compatibility Matrix for CTE Agent with CipherTrust Manager*
- *Compatibility Matrix for CTE Agent with Data Security Manager*
- *Compatibility Matrix for CTE Agent for AIX with CipherTrust Manager*
- *Compatibility Matrix for CTE Agent for AIX with Data Security Manager*
- *Release Notes for CTE for Linux Version 7.2.0.128*
- *Release Notes for CTE for Windows Version 7.2.0.128*
- *Release Notes for CTE for AIX Version 7.2.0.56*

To access any of these guides for the latest releases of CTE Agent, go to <https://thalesdocs.com/ctp/cte/index.html>.

## Document Conventions

The document conventions describe common typographical conventions and important notice and warning formats used in Thales technical publications.

### Typographical Conventions

This section lists the common typographical conventions for Thales technical publications.

**Table 3-1: Typographical Conventions**

Convention	Usage	Example
<b>bold regular font</b>	GUI labels and options	Click the <b>System</b> tab and select <b>General Preferences</b> .
<i>bold italic monospaced font</i>	Variables or text to be replaced	https://<Token Server name>/admin/ Enter password: <Password>

**Table 3-1: Typographical Conventions (continued)**

Convention	Usage	Example
regular monospacedfont	<ul style="list-style-type: none"><li>• Commands and code examples</li><li>• XML examples</li></ul>	<code>session start iptarget=192.168.253.102</code>
<i>italic regular font</i>	GUI dialog box titles	The <i>General Preferences</i> window opens.
	File names, paths, and directories	<i>/usr/bin/</i>
	Emphasis	<i>Do not</i> resize the page.
	New terminology	<i>Key Management Interoperability Protocol (KMIP)</i>
	Document titles	See <i>CTE Agent for Windows for CM</i> for information about CipherTrust Transparent Encryption.
quotes	<ul style="list-style-type: none"><li>• File extensions</li><li>• Attribute values</li><li>• Terms used in special senses</li></ul>	<code>“js”, “.ext”</code> <code>“true” “false”, “0”</code> <code>“1+1” hot standby failover</code>

## Notes, Tips, Cautions, and Warnings

Notes, tips, cautions, and warning statements may be used in this document.

A Note provides guidance or a recommendation, emphasizes important information, or provides a reference to related information. For example:

### Note

It is recommended to keep tokenization keys separate from the other encryption/decryption keys.

A tip is used to highlight information that helps you complete a task more efficiently, such as a best practice or an alternate method of performing the task.

### Tip

You can also use Ctrl+C to copy and Ctrl+P to paste.

Caution statements are used to alert you to important information that may help prevent unexpected results or data loss. For example:



### CAUTION

**Make a note of this passphrase. If you lose it, the card will be unusable.**

A warning statement alerts you to situations that can be potentially hazardous to you or cause damage to hardware, firmware, software, or data. For example:



### WARNING

**Do not delete keys without first backing them up. All data that has been encrypted with deleted keys cannot be restored or accessed once the keys are gone.**

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For support and troubleshooting issues:

- <https://supportportal.thalesgroup.com>
- (800) 545-6608

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- <https://cpl.thalesgroup.com/encryption/contact-us>
- [CPL\\_Sales\\_AMS\\_TG@thalesgroup.com](mailto:CPL_Sales_AMS_TG@thalesgroup.com)
- (888) 267-3732

# Chapter 1: Overview of CTE

For very large data sets, initial encryption deployments can affect data availability, require unacceptable maintenance windows or require cloning and synchronizing data. Encrypting millions of files can span hours or even days, which can delay encryption, or require extra disk space and data synchronization, which can be labor-intensive. Rekeying large data sets can demand significant processing time and lengthy maintenance windows. Security and IT teams face tough tradeoffs, having to choose between security and availability.

CipherTrust Transparent Encryption operates with minimal disruption, effort, and cost. Its transparent approach enables security organizations to implement encryption without changing application, networking, or storage architectures. CipherTrust Live Data Transformation builds on these advantages, offering patented capabilities that deliver breakthroughs in availability, resiliency and efficiency.

CTE includes several unique utilities to help you encrypt and manage your data. It also integrates with several third-party platforms such as Oracle, Microsoft SQL, and Quantum StorNext.

This document describes the installation and advanced configuration options for CTE, as well as detailed information about how to integrate CTE with the supported third-party products.

## CTE Terminology

The CTE documentation set uses the following terminology:

Term	Description
CTE	<p>CipherTrust Transparent Encryption is a suite of products that allow you to encrypt and guard your data. The main software component of CTE is the CTE Agent, which must be installed on every host whose devices you want to protect.</p> <div style="border: 1px solid black; padding: 5px;"><p><b>Note</b></p><p>This suite was originally called Vormetric Transparent Encryption (VTE), and some of the names in the suite still use "Vormetric".</p><p>For example, the default installation directory is C:\Program Files\Vormetric\DataSecurityExpert\agent\.</p></div>
CTE Agent	<p>The software that you install on a physical or virtual machine in order to encrypt and protect the data on that machine. After you have installed the CTE Agent on the machine, you can use CTE to protect any number of devices or directories on that machine.</p>
key manager	<p>An appliance that stores and manages data encryption keys, data access policies, administrative domains, and administrator profiles</p>
host / client	<p>In this documentation, host and client are used interchangeably to refer to the physical or virtual machine on which the CTE Agent is installed.</p>
GuardPoint	<p>A device or directory to which a CTE data protection and encryption policy has been applied. CTE will control access to, and monitor changes in, this device and directory, encrypting new or changed information as needed.</p>

## CTE Components

The CTE solution consists of two parts:

- The *CTE Agent software* that resides on each protected virtual or physical machine (host). The CTE Agent performs the required data encryption and enforces the access policies sent to it by the *key manager*. The communication between the CTE Agent and the key manager is encrypted and secure.  
After the CTE Agent has encrypted a device on a host, that device is called a *GuardPoint*. You can use CTE to create GuardPoints on servers on-site, in the cloud, or a hybrid of both.
- A *key manager* that stores and manages data encryption keys, data access policies, administrative domains, and administrator profiles. After you install the CTE Agent on a host and register it with a key manager, you can use the key manager to specify which devices on the host that you want to protect, what encryption keys are used to protect those devices, and what access policies are enforced on those devices.

### Note

For a list of CTE versions and supported operating systems, see the [CTE Compatibility Portal](#) or the *Compatibility Matrix for CTE Agent with CipherTrust Manager* and the *Compatibility Matrix for CTE Agent with Data Security Manager*.

All CTE documentation is available at <https://thalesdocs.com/ctp/cte/index.html>.

## How to Protect Data with CTE

CTE uses policies created in the associated key manager to protect data. You can create policies to specify file encryption, data access, and auditing on specific directories and drives on your protected hosts. Each GuardPoint must have one and only one associated policy, but each policy can be associated with any number of GuardPoints.

Policies specify:

- Whether or not the resting files are encrypted.
- Who can access decrypted files and when.
- What level of file access auditing is applied when generating fine-grained audit trails.

A Security Administrator accesses the key manager through a web browser. You must have administrator privileges to create policies using either key manager. The CTE Agent then implements the policies once they are pushed to the protected host.

CTE can only enforce security and key selection rules on files inside a guarded directory. If a GuardPoint is disabled, access to data in the directory goes undetected and ungoverned. Disabling a GuardPoint and then allowing unrestricted access to that GuardPoint can result in data corruption.

## Chapter 2: Getting Started with CTE for Windows

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This chapter describes how to install CTE for Windows, register it with your selected key manager, and then create a simple GuardPoint on the protected host. It contains the following topics:

<a href="#">Installation Workflow</a> .....	15
<a href="#">Installing CTE with No Key Manager Registration</a> .....	15
<a href="#">Configuring CTE for Windows with CipherTrust Manager</a> .....	16

### Installation Workflow

In order to install and configure CTE, you need to perform the following high-level tasks:

1. Select which key manager you want to use. The Vormetric Data Security Manager and the CipherTrust Manager have different requirements and support different features, so you must make this decision first. For details, see ["CTE Components" on page 14](#).
2. If you want to install the CTE Agent without registering with a key manager, see ["Installing CTE with No Key Manager Registration" below](#). However, you cannot protect any data on the host until it has been registered. Otherwise, set up your systems according to the requirements of the selected key manager. For details, see one of the following:
  - ["Configuring CTE for Windows with CipherTrust Manager" on the next page](#).
3. Create your policies, encryption keys, and GuardPoints using the selected key manager. For details, see one of the following:
  - ["Guarding a Device with CipherTrust Manager" on page 27](#).

### Installing CTE with No Key Manager Registration

The following procedure installs the CTE Agent on the host but does not register it with a key manager. You cannot protect any data on the host until the CTE Agent is registered with one of the supported key managers. For a comparison of the available key managers, see ["CTE Components" on page 14](#).

If you want to register the CTE Agent immediately after installing it, see ["Configuring CTE for Windows with CipherTrust Manager" on the next page](#).

1. Log on to the host as a Windows user with System Administrator privileges.
2. Copy the CTE installation file onto the Windows system.
3. Double-click the installation file. The InstallShield Wizard for CipherTrust Transparent Encryption opens.
4. Verify the version of CTE you are installing and click **Next**.
5. On the *License Agreement* page, accept the License Agreement and click **Next**.

6. On the *Live Data Transformation for network shares* page:
  - On this server, do you plan to protect CIFS/SMB-based GuardPoints with Live Data Transformation (LDT) add on? If so, select **yes**.
  - Select **No** if you:
    - Are using a DSM.
    - Plan to create local file system GuardPoints with standard and LDT policies on this host.
    - Apply GuardPoints on local CIFS shares using standard or LDT policies.

When you are done, click **Next**.

7. On the *Destination Folder* page, click **Next** to accept the default folder or click **Change** to select a different folder. When you are done, click **Next**.

#### Notes

- Thales recommends that you install CTE in the default installation directory, `C:\Program Files\Vormetric\DataSecurityExpert\agent\`
- You must install the CTE Agent on the same drive as Windows. For example, if Windows is installed on the `C:` drive, you must install the CTE Agent on the `C:` drive.

8. On the *Ready to Install* page, click **Install**. When the installation is finished, the **Install Shield Wizard Completed** window opens.
9. To tell the installer that you want to register later, clear the check box for **Register CipherTrust File System now**, then click **Finish**.
10. Reboot the host system to complete the installation.

## Configuring CTE for Windows with CipherTrust Manager

This section describes how to install and configure CTE on Windows systems that you plan to register with a CipherTrust Manager.

The installation and configuration process consists of three basic steps:

1. Gather the information needed for the install and set up your network as described in "[Installation Prerequisites](#)" on the facing page.
2. Install CTE on the protected host as described in "[Interactive Installation on Windows](#)" on page 18 or "[Silent Installation on Windows](#)" on page 20.
3. Register the protected host with a key manager and make sure that they can communicate with each other. This process can be done as part of the initial installation or at any point after the CTE Agent has been installed.

## Assumptions

- The IP addresses, routing configurations, and DNS addresses allow connectivity between the key manager and all hosts on which the CTE Agent is installed.
- If the protected host is a virtual machine, the VM is deployed and running.
- For all types of upgrades, including interactive (GUI-based) and scheduled upgrades, the protected host must be able to connect to the key manager that it is registered to or the upgrade will fail.



## Requirements

- You must install CTE on the system drive. Do *not* install CTE on a network share volume.
- The host on which you want to install CTE *must* support AES-NI hardware encryption.

## Installation Prerequisites

This section lists the installation requirements and options you should consider before installing CTE.

## Installation Method Options

There are two methods for installing CTE:

- **Interactive installation:** This is the most common and recommended type of installation. Use this for installing CTE on one host at a time using a standard InstallShield installation and registration wizard. See "[Interactive Installation on Windows](#)" on the next page.
- **Silent installation:** Create pre-packaged installations by providing information and answers to the installation questions. Use silent installations when installing on a large number of hosts. See "[Silent Installation on Windows](#)" on page 20.

## Network Setup Requirements

- The IP addresses, routing configurations, and DNS addresses must allow connectivity of the Windows system on which you plan to install CTE to the CipherTrust Manager. After the Windows system is registered as a client with the CipherTrust Manager, the client must be able to poll the CipherTrust Manager in case there are any changes to the encryption keys, policies, or GuardPoints.
- It must also allow for connectivity of the CipherTrust Manager to all clients where you install CTE as well as communication between different CTE clients that plan to enable LDT over NFS/CIFS.
- If the system is a virtual machine, the VM must be deployed and running.

## Port Configuration Requirements

### Communication with CipherTrust Manager

The default port for http communication between CipherTrust Manager and the CTE Agent is **443**. If this port is already in use, you can set the port to a different number during the CTE Agent installation.

### Communication for LDT over CIFS/NFS

All nodes that intend to use LDT over CIFS/NFS for GuardPoints must have the following ports open:

- 7024
- 7025

## Hardware Association Feature

CTE's hardware association feature associates the installation of CTE with the machine's hardware. When enabled, hardware association prohibits cloned or copied versions of CTE from contacting the key manager and acquiring cryptographic keys. Hardware association works on both virtual machines and hardware clients.

You can enable hardware association during CTE registration process. You can disable hardware association by re-running the registration program.

To verify if hardware association (cloning prevention) is enabled on the protected client, access the Windows command line and run the `vmsec.exe hwok` command. The default location of `vmsec.exe` is `C:\Program Files\Vormetric\DataSecurityExpert\agent\vmd\bin`.

To change the status from enable to disable or vice versa:

1. Open the system tray and right-click on the CipherTrust Lock icon.
2. Select **Register Host**.
3. Follow the prompts to re-register CTE with the CipherTrust Manager.
4. Select **Enable hardware association** in the wizard.

## Interactive Installation on Windows

The Windows interactive install uses a standard InstallShield wizard that asks you a series of questions during the installation. You can also install CTE using a silent installer which pre-packages the install information. This allows you to install CTE on a large number of hosts. (For more information, see ["Silent Installation on Windows" on page 20](#)).

After you install CTE, you are prompted to register it immediately with a key manager. CTE must be registered with a key manager before you can protect any of the devices on the host. However, you may postpone the registration if you plan to register CTE later.

The following procedure describes how to install the CTE Agent on the host and then register the CTE Agent with a CipherTrust Manager..

## Prerequisites

The following prerequisites must be met for CTE to install and register to CipherTrust Manager properly:

- CipherTrust Manager installed and configured. See [CipherTrust Manager Documentation](#) for more information.
- CipherTrust Manager must contain a Client Profile. See [Changing the Profile](#) for more information.
- CipherTrust Manager must contain a registration token. See [Creating a Registration Token](#).
- Optionally, the name of the host group you want this client to be a part of.
- CipherTrust Manager must contain an LDT Communication Group if you will use CTE to guard data over CIFS/NFS shares using LDT policies. See [Managing LDT Communication Groups](#) for more information.

## Procedure

1. Log on to the host as a Windows user with System Administrator privileges.
2. Copy the CTE installation file onto the Windows system.
3. Double-click the installation file. The InstallShield Wizard for CipherTrust Transparent Encryption opens.
4. Verify the version of CTE you are installing and click **Next**.
5. On the *License Agreement* page, accept the License Agreement and click **Next**.

6. On the *Live Data Transformation for network shares* page:
  - On this server, do you plan to protect CIFS/SMB-based GuardPoints with Live Data Transformation (LDT) add on? If so, select **yes**.
  - Select **No** if you:
    - Are using a DSM.
    - Plan to create local file system GuardPoints with standard and LDT policies on this host.
    - Apply GuardPoints on local CIFS shares using standard or LDT policies.

When you are done, click **Next**.

7. On the *Destination Folder* page, click **Next** to accept the default folder or click **Change** to select a different folder. When you are done, click **Next**.

#### Notes

- Thales recommends that you install CTE in the default installation directory, `C:\Program Files\Vormetric\DataSecurityExpert\agent\`
- You must install the CTE Agent on the same drive as Windows. For example, if Windows is installed on the `C:` drive, you must install the CTE Agent on the `C:` drive.

8. On the *Ready to Install* page, click **Install**. When the installation is finished, the **Install Shield Wizard Completed** window opens.
9. On the *InstallShield Wizard Completed* page, make sure the **Register CipherTrust Transparent Encryption now** check box is selected and click **Finish**. The installer opens the Register Host wizard.
  1. In the Register Host dialog box, verify the host's machine name and click **Next**.
  2. On the *Gathering agent information* page, select the **File System** check box and click **Next**.
  3. On the *Gathering Key Manager information* page, enter the FQDN or IP address of the primary CipherTrust Manager.

The default communication port is 443. If you want to specify a different communication port, enter it with the primary key manager host name in the format: `<hostName>:<port#>` . For example: `10.3.200.141:8445`

When you are done, click **Next**. CTE communicates with the selected CipherTrust Manager to validate what features have been licensed and are available to the CTE Agent.

4. On the *Gathering host name information* page:
  - Specify the host name or IP address of the client. You can select the host name from the drop-down list or type it in the field.
  - To prevent cloning, select **Enable Hardware Association**. For details, see "[Hardware Association Feature](#)" on page 17.
  - If you want to have CipherTrust Transparent Encryption - Live Data Transformation available on the client, select **Enable LDT Feature**. For details on CTE-LDT, see *CTE-Live Data Transformation with CipherTrust Manager*.

When you are done, click **Next**.

5. On the *Gathering registration information* page, enter the following:
  - **Registration token:** The registration token for the CipherTrust Manager with which you want to register this host.
  - **Profile name:** The name of the profile that you want to associate with this host. This name must match exactly the name of the profile in the CipherTrust Manager. If you do not specify a profile name, the CipherTrust Manager associates the default client profile with this client.
  - **Host group** (optional): The name of the client group to which the client will be added.
  - **Host description** (optional): A user-defined description of the client. This description will be displayed in the CipherTrust Manager.
  - **LDT Communication Group:** If you are planning on using LDT over CIFS/NFS on a CipherTrust Manager, enter the name of the LDT Communications Group that this node will join. See [Adding Clients to an LDT Communication Group](#) for more information.



**WARNING**

**The registration token, profile name, client group name and LDT Communication Group name are case-sensitive. If any of these are entered incorrectly, the client registration will not succeed. If the registration fails, click Back in the installer and verify that the case is correct for all entries on this page.**

When you are done, click **Register**. CTE contacts the CipherTrust Manager and attempts to register the client with the specified options. The Register Host dialog box displays a message with the results of the registration request.

If the registration completed successfully, click **Finish**.

6. Restart the client to complete the installation process on the client.
7. After the host has rebooted, you can verify the installation by checking CTE processes:
  - a. In the system tray of the protected host, right-click the CipherTrust Lock icon.
  - b. Select **Status**. Review the information in the **Status** window to confirm that the correct CTE version is installed and registered.
- If you are using CipherTrust Manager version 2.2 or later, you can now use CipherTrust Manager to administer CTE on the client.

If you are using CipherTrust Manager version 2.1 or earlier, change the client password using the manual password creation method. This password allows users to access encrypted data if the client is ever disconnected from the CipherTrust Manager. For details on changing the password, see the CipherTrust Manager documentation.

## Silent Installation on Windows

Silent install refers to using the command line to install CTE in a non-interactive session. Use silent install to roll out CTE installations or upgrades to large numbers of hosts or to reduce your time and interaction as an administrator. Thales provides two types of installation binaries for silent installation:

- Self-extracting .exe
- Windows Installer Package (MSI).

**Note:** Thales supports installing or upgrading CTE with Microsoft System Center Configuration Manager (SCCM) using MSI installation binaries. For details, see your SCCM documentation.

For details, see one of the following procedures:

- ["Silent Installation Using the exe File" below](#)
- ["Silent Installation Using the MSI File" on page 23](#)

## Silent Installation Using the exe File

The following sections discuss how to install CTE for Windows silently and then register the CTE Agent with a CipherTrust Manager using the exe file. To install silently using the MSI file or using the Microsoft System Center Configuration Manager (SCCM), see ["Silent Installation Using the MSI File" on page 23](#).

## Prerequisites

The following prerequisites must be met for CTE to install and register to CipherTrust Manager properly:

- CipherTrust Manager installed and configured. See [CipherTrust Manager Documentation](#) for more information.
- CipherTrust Manager must contain a Client Profile. See [Changing the Profile](#) for more information.
- CipherTrust Manager must contain a registration token. See [Creating a Registration Token](#).
- Optionally, the name of the host group you want this client to be a part of.
- CipherTrust Manager must contain an LDT Communication Group if you will use CTE to guard data over CIFS/NFS shares using LDT policies. See [Managing LDT Communication Groups](#) for more information.

## Procedure

1. Log on to the host as a Windows user with System Administrator privileges.
2. Copy the CTE installation `exe` file onto the Windows system.
3. Run the installation file using the following syntax:

```
<Installation_executable> /s /v" /qn INSTALLDIR=\"install-dir\"  
REGISTERHOSTOPTS=\"Options\"
```

where:

- `/s` (required) specifies that this is a silent install.
- `/v` (required) specifies that you want to pass command line options and values of public properties through to the installer.
- `ENABLE_LDT_CIFS=Yes` is an optional parameter that indicates you plan to use CTE-LDT with CIFS share GuardPoints on this host with a CipherTrust Manager. If you specify this option, you will *not* be able to guard any local directories on this host, even if those directories use a Standard CTE policy. Only CTE-LDT GuardPoints on CIFS shares will be supported for this host.
- `/qn` (required) specifies that the install should be non-interactive and that no GUI should be displayed.
- `INSTALLDIR=\"install-dir\"` is an optional parameter specifying the installation directory you want to use. If you omit this parameter, CTE installs in the directory `C:\Program Files\Vormetric\DataSecurityExpert\agent\`

**Note:** Thales recommends that you install CTE in the default directory if at all possible.

- `REGISTERHOSTOPTS=\"Options\"` (required if you want to register CTE) is a list of options that you want the installer to use. The common options are:

***CipherTrust Manager host name***

Required if you want to register CTE with a CipherTrust Manager.

**-token**

The registration token for the CipherTrust Manager with which you plan to register this client. Required for registration.

**-profile**

Specifies the client profile in the CipherTrust Manager that will be associated with this client. If this value is omitted, the CipherTrust Manager uses the default client profile.

**-agent=*your.agent.name.com***

FQDN of the host on which the CTE Agent is being installed. If this value is not specified, the installer uses the host's IP address.

**-useip**

Use the IP address of the protected host instead of host name. Used when `-agent` is not supplied.

**-port=*port***

Specifies the port number this CTE Agent should use.

**-usehwsig**

Specify this option when you want to associate this installation with the machine hardware for cloning prevention.

**-enableldt**

Specify this option to automatically enable and register CTE-LDT (Live Data Transformation) for this host on your key manager during the silent install.

**-enablees**

Specify this option automatically enable and register CTE-Efficient Storage for this host on your key manager during the silent install.

**Note:** If you want to enter an option with spaces in any value, it must be surrounded in two double-quotes with an escape character (\) before each double-quote. If the syntax is incorrect, the installation will fail.

## Example: Custom Install Directory and Host Description with Spaces

The following example specifies that:

- The CTE Agent will be installed in the custom directory `C:\cte\custom dir`.
- The CipherTrust Manager host name is `my-key-mgr.example.com`.
- The CipherTrust Manager registration token is `12345` (`-token` parameter).
- The host will be registered using the host name `my-host.example.com` (`-agent` parameter).
- The host will be registered with the description `This host was silently installed` (`-description` parameter). Again, the spaces in the description require the same syntax as in the installation directory name. For example: `-description=\"\"This host was silently installed\"\"`

**Note**

The examples below are shown on several lines for readability. When you enter the command, all parameters should be on the same line.

```
C:\> vee-fs-7.2.0-128-win64.exe /s /v" /qn
INSTALLDIR="\"C:\cte\custom dir\" registerhostopts=\"my-key-mgr.example.com
-agent=my-host.example.com -token=12345
-description=\"\"This host was silently installed\"\""
```

## Example: CTE-LDT and Hardware Acceleration

The following example specifies that:

- The CTE Agent will be installed in the default installation directory (the INSTALLDIR parameter is omitted).
- The CipherTrust Manager host name is `my-key-mgr.example.com`.
- The host will be registered using its IP address and not its host name (`-useip` parameter).
- The CTE-LDT (`-enableldt` parameter) and hardware association (`-usehwsig` parameter) features are enabled.

```
C:\> vee-fs-7.2.0-128-win64.exe /s /v" /qn
registerhostopts=\"my-key-mgr.example.com -token=12345 -useip -enableldt -usehwsig\""
```

## Example: LDT over CIFS/NFS

The following example specifies that:

- The CTE Agent will be installed in the default installation directory (the INSTALLDIR parameter is omitted).
- The CipherTrust Manager host name is `my-key-mgr.example.com`.
- The host will be registered using its IP address and not its host name (`-useip` parameter).
- The CTE-LDT (`-enableldt` parameter) and LDT Group (`-ldtgroup` parameter) features are enabled.

```
C:\> vee-fs-7.2.0-128-win64.exe /s /v" /qn
registerhostopts=\"my-key-mgr.example.com -token=12345 -useip -enableldt
-ldtgroup=\"\"LDT-CG1\"\""
```

## Silent Installation Using the MSI File

The following sections discuss how to install CTE for Windows silently and then register the CTE Agent with a CipherTrust Manager using the MSI file. To install silently using the exe file, see ["Silent Installation Using the exe File" on page 21](#).

### Note

Thales supports installing or upgrading CTE agents with Microsoft System Center Configuration Manager (SCCM) using MSI installation binaries. For details on how to do that, see your SCCM documentation.

## Prerequisites

The following prerequisites must be met for CTE to install and register to CipherTrust Manager properly:

- CipherTrust Manager installed and configured. See [CipherTrust Manager Documentation](#) for more information.
- CipherTrust Manager must contain a Client Profile. See [Changing the Profile](#) for more information.
- CipherTrust Manager must contain a registration token. See [Creating a Registration Token](#).

- Optionally, the name of the host group you want this client to be a part of.
- CipherTrust Manager must contain an LDT Communication Group if you will use CTE to guard data over CIFS/NFS shares using LDT policies. See [Managing LDT Communication Groups](#) for more information.

## Procedure

1. Log on to the host as a Windows user with System Administrator privileges.
2. Copy the CTE installation MSI file onto the Windows system.
3. Run the installation file using the following syntax:

```
msiexec.exe /i <Installation_executable> /qn INSTALLDIR=\"install-dir\"  
REGISTERHOSTOPTS=\"REGISTERHOSTOPTS_Options\"
```

where:

- `/i` (required) enables CTE installation.
- `ENABLE_LDT_CIFS=Yes` is an optional parameter that indicates you plan to use CTE-LDT with CIFS share GuardPoints on this host with a CipherTrust Manager. If you specify this option, you will *not* be able to guard any local directories on this host, even if those directories use a Standard CTE policy. Only CTE-LDT GuardPoints on CIFS shares will be supported for this host.
- `/qn` (required) specifies that the install should be non-interactive and that no GUI should be displayed.
- `INSTALLDIR=\"install-dir\"` is an optional parameter specifying the installation directory you want to use. If you omit this parameter, CTE installs in the directory `C:\Program Files\Vormetric\DataSecurityExpert\agent\`

**Note:** Thales recommends that you install CTE in the default directory if at all possible.

- `REGISTERHOSTOPTS=\"Options\"` (required if you want to register CTE) is a list of options that you want the installer to use. The common options are:

***CipherTrust Manager host name***

Required if you want to register CTE with a CipherTrust Manager.

***-token***

The registration token for the CipherTrust Manager with which you plan to register this client. Required for registration.

***-profile***

Specifies the client profile in the CipherTrust Manager that will be associated with this client. If this value is omitted, the CipherTrust Manager uses the default client profile.

***-agent=your.agent.name.com***

FQDN of the host on which the CTE Agent is being installed. If this value is not specified, the installer uses the host's IP address.

***-useip***

Use the IP address of the protected host instead of host name. Used when `-agent` is not supplied.

***-port=port***

Specifies the port number this CTE Agent should use.



**-usehwsig**

Specify this option when you want to associate this installation with the machine hardware for cloning prevention.

**-enableldt**

Specify this option to automatically enable and register CTE-LDT (Live Data Transformation) for this host on your key manager during the silent install.

**-enablees**

Specify this option automatically enable and register CTE-Efficient Storage for this host on your key manager during the silent install.

## Example: Custom Install Directory and Host Description with Spaces

The following example specifies that:

- The CTE Agent will be installed in the custom directory `C:\cte\custom dir`. The spaces in the installation directory name require it to be in double-quotes. For example: `INSTALLDIR="C:\cte\custom dir"`.
- The CipherTrust Manager host name is `my-key-mgr.example.com`.
- The CipherTrust Manager registration token is `12345` (`-token` parameter).
- The host will be registered using the host name `my-host.example.com` (`-agent` parameter).
- The host will be registered with the description `This host was silently installed` (`-description` parameter). Because `-description` is inside a double-quoted string, you must escape the double-quotes `-description=\"This host was silently installed\"`

### Note

The examples below are shown on several lines for readability. When you enter the command, all parameters should be on the same line.

```
C:\> msiexec.exe /i vee-fs-7.2.0-128-win64.exe /qn  
INSTALLDIR="C:\cte\custom dir" registerhostopts="my-key-mgr.example.com  
-agent=my-host.example.com -token=12345 -description=\"This host was silently  
installed\""
```

## Example: CTE-LDT and Hardware Acceleration

The following example specifies that:

- The CTE Agent will be installed in the default installation directory (the `INSTALLDIR` parameter is omitted).
- The CipherTrust Manager host name is `my-key-mgr.example.com`.
- The host will be registered using its IP address and not its host name (`-useip` parameter).
- The CTE-LDT (`-enableldt` parameter) and hardware association (`-usehwsig` parameter) features are enabled.

```
C:\> msiexec.exe /i vee-fs-7.2.0-128-win64.exe /qn  
registerhostopts="my-key-mgr.example.com -token=12345 -useip -enableldt -usehwsig"
```

## Registering CTE After Installation is Complete

The following procedure describes how to register the CTE Agent after installation is complete. If you have not yet installed the CTE Agent, see ["Interactive Installation on Windows" on page 18](#).

1. Log on to the host as a Windows user with administrative privileges.
2. Launch the CTE Registration Wizard using one of the following methods:
  - In the system tray, right click the CipherTrust Lock icon and select **Register Host**.
  - Run `C:\Program Files\Vormetric\DataSecurityExpert\agent\shared\bin\register_host.exe`.
  - Reboot the system. CTE automatically displays the registration wizard if CTE is not already registered.
  1. In the Register Host dialog box, verify the host's machine name and click **Next**.
  2. On the *Gathering agent information* page, select the **File System** check box and click **Next**.
  3. On the *Gathering Key Manager information* page, enter the FQDN or IP address of the primary CipherTrust Manager.

The default communication port is 443. If you want to specify a different communication port, enter it with the primary key manager host name in the format: `<hostName>:<port#>` . For example: `10.3.200.141:8445`

When you are done, click **Next**. CTE communicates with the selected CipherTrust Manager to validate what features have been licensed and are available to the CTE Agent.

4. On the *Gathering host name information* page:
  - Specify the host name or IP address of the client. You can select the host name from the drop-down list or type it in the field.
  - To prevent cloning, select **Enable Hardware Association**. For details, see ["Hardware Association Feature" on page 17](#).
  - If you want to have CipherTrust Transparent Encryption - Live Data Transformation available on the client, select **Enable LDT Feature**. For details on CTE-LDT, see *CTE-Live Data Transformation with CipherTrust Manager*.

When you are done, click **Next**.

5. On the *Gathering registration information* page, enter the following:
  - **Registration token:** The registration token for the CipherTrust Manager with which you want to register this host.
  - **Profile name:** The name of the profile that you want to associate with this host. This name must match exactly the name of the profile in the CipherTrust Manager. If you do not specify a profile name, the CipherTrust Manager associates the default client profile with this client.
  - **Host group** (optional): The name of the client group to which the client will be added.
  - **Host description** (optional): A user-defined description of the client. This description will be displayed in the CipherTrust Manager.
  - **LDT Communication Group:** If you are planning on using LDT over CIFS/NFS on a CipherTrust Manager, enter the name of the LDT Communications Group that this node will join. See [Adding Clients to an LDT Communication Group](#) for more information.



#### WARNING

**The registration token, profile name, client group name and LDT Communication Group name are case-sensitive. If any of these are entered incorrectly, the client registration will not succeed. If the registration fails, click Back in the installer and verify that the case is correct for all entries on this page.**

When you are done, click **Register**. CTE contacts the CipherTrust Manager and attempts to register the client with the specified options. The Register Host dialog box displays a message with the results of the registration request.

If the registration completed successfully, click **Finish**.

6. Restart the client to complete the installation process on the client.
7. After the host has rebooted, you can verify the installation by checking CTE processes:
  - a. In the system tray of the protected host, right-click the CipherTrust Lock icon.
  - b. Select **Status**. Review the information in the **Status** window to confirm that the correct CTE version is installed and registered.
- If you are using CipherTrust Manager version 2.2 or later, you can now use CipherTrust Manager to administer CTE on the client.

If you are using CipherTrust Manager version 2.1 or earlier, change the client password using the manual password creation method. This password allows users to access encrypted data if the client is ever disconnected from the CipherTrust Manager. For details on changing the password, see the CipherTrust Manager documentation.

## Guarding a Device with CipherTrust Manager

After you register a client with a CipherTrust Manager, you can create as many standard GuardPoints on the client as you need. These GuardPoints can protect an entire device or individual directories.

#### Note

For guarding using LDT on a local drive, or on a CIFS/Share drive, refer to the [CTE-Live Data Transformation with CipherTrust Manager](#) guide.

In order to guard a device or directory, you need to use the Console to:

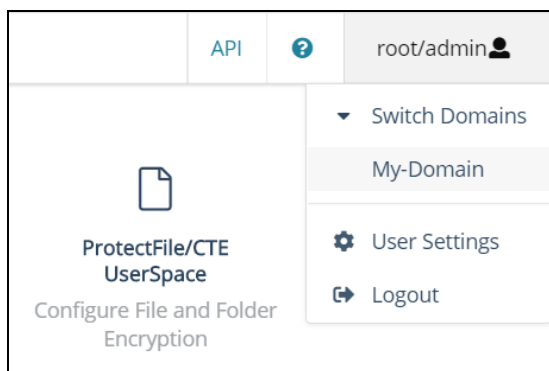
1. Access the CipherTrust Manager domain in which the client is registered.
2. Identify or create an encryption key that CTE will use to encrypt the data on the device or directory.
3. Identify or create a policy for the device or directory that specifies the access controls and the encryption keys to use for the device or directory.
4. Assign a GuardPoint to the device or directory.

The following example creates a simple policy and uses it to guard a directory on a registered client. For all of the following procedures, you must be logged into the Console as a CipherTrust Manager Administrator, and you must be in the domain with which the client is registered.

For details about any of these procedures or the options for domains, encryption keys, policies, and GuardPoints, see the CipherTrust Manager documentation.

## Access the CipherTrust Manager Domain

1. In a web browser, navigate to the URL of the Console you want to use and log in with CipherTrust Manager Administrator credentials.
2. If the client you want to protect is registered to the default domain (root), proceed to ["Create an Encryption Key" below](#). If you need to change to a different domain, do the following:
  - a. In the top menu bar, click the user name **root/admin** on the right-hand side.
  - b. Select **Switch Domains**, then select the domain in which the client is registered.
  - c. The logged in user now shows the new domain name/user name.



## Create an Encryption Key

### Note

The following procedure is based on CipherTrust Manager version 2.2. If you are using a different version, see the CipherTrust Manager documentation for the version that you are using.

1. From the Products page in the Console, click **Keys** in the left hand pane.

**Tip:** To navigate to the Products page from anywhere in the Console, click the App Switcher icon in the top left corner.

2. Above the Key table, click **Create a New Key**.
3. In the **Key Name** field, add a name for the key. This name must be unique. For example, Simple-Key.
4. In the **Key Usage** section, make sure **Encrypt** and **Decrypt** are selected.

5. Click **Create**. CipherTrust Manager displays the properties for the new key.
6. In the general options area, enable the **Exportable** option.

You can also enable the **Deletable** option in this section if you want a CipherTrust Manager Administrator to be able to delete the key.

ID	2e58c582...61136313	Owner	Global	Object Type	Symmetric Key
UUID	e3ad9c3e...7fd47711	Created	05 Mar 2021, 05:13	Algorithm	AES
MUID	e3ad9c3e...f6333c9f	Last Modified	05 Mar 2021, 05:13	Size	256
KeyID	N/A	Exportable	<input checked="" type="checkbox"/>	Deletable	<input type="checkbox"/>

7. In the **Key Access** section, do the following:
  - a. In the Search Groups box, type "cte".  
 If no groups are displayed, make sure the **Added Only** option is *disabled*.
  - b. Click the **All** check box for both the CTE Admins and CTE Clients groups.

**KEY ACCESS**

Key Owner:

Search:

2 Results | 2 groups  Added Only

Group	Read	Use	Decrypt	Encrypt	Sign	Sign/Verify	Export	All
CTE Admins	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
CTE Clients	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

- c. When you are done, click **Update**.
8. Click the **CTE** tab and set the following properties:
  - **CTE Versioned:** Specify whether the key is versioned. By default, the key is set as versioned.  
 For a standard policy, you should clear this check box. If you do not, the key will *not* appear in the keys list when you add the key rule to the standard policy.
  - **Persistent on Client:** Specify whether the key is stored in persistent memory on the client.  
 When the check box is selected, the key is downloaded and stored (in an encrypted form) in persistent memory on the client.  
 When the check box is left clear, the key is downloaded to non-persistent memory on the client. Every time the key is needed, the client retrieves it from the CipherTrust Manager. This is the default setting.
  - **Encryption Mode:** Encryption mode of the key. The options are:
    - CBC
    - CBC CS1
    - XTS
 Encryption using the XTS and CBC CS1 keys is known as enhanced encryption. For details, see the *CTE Agent for Windows Advanced Configuration and Integration Guide*.

When you are done, click **Update**.

## Create a Standard Policy

1. In the Applications page of the Console, select the **Transparent Encryption** application.
2. In the sidebar on the Clients page, click **Policies**.
3. Click **Create Policy**. CipherTrust Manager displays the Create Policy Wizard.
4. On the General Info page, set the following options:

Field	Description
<b>Name</b>	A unique name for the policy. Make sure you use a name that is descriptive and easy to remember so that you can find it quickly when you want to associate it with a GuardPoint. This example uses "Simple-Policy".
<b>Policy Type</b>	The type of policy you want to create. In this example, we will create a <b>Standard</b> policy.
<b>Description</b>	A user-defined description to help you identify the policy later. For example: Standard policy for new GuardPoints
<b>Learn Mode</b>	Learn Mode provides a temporary method for disabling the blocking behavior of CTE/CTE-LDT policies. While useful for quality assurance, troubleshooting, and mitigating deployment risk, Learn Mode is not intended to be enabled permanently for a policy in production. This prevents the policy Deny rules from functioning as designed in the policy rule set. Ensure that the policy is properly configured for use in Learn Mode. Any Security Rule that contains a Deny effect must have Apply Key applied as well. This is to prevent data from being written in mixed states, resulting in the loss of access or data corruption. Apply Key will have no effect when combined with a Deny rule unless the policy is in Learn Mode.
<b>Data Transformation</b>	If you select <b>Standard</b> as the policy type, also select the the <b>Data Transformation</b> option to tell CTE that you want to change the current encryption key used on the data in the GuardPoint, or that you want to encrypt clear-text data for the first time. This option is only displayed for Standard policies.

When you are done, click **Next**.

5. On the Security Rules page, define the security rules that you want to use.

CipherTrust Manager automatically adds a default security access rule with an action of `key_op` and the effects `Permit` and `Apply Key`. This rule permits key operations on all resources, without denying user or application access to resources. This allows it to perform a rekey operation whenever the encryption key rotates to a new version.

To add additional security rules, click **Create Security Rule** and enter the requested information. For details about adding security rules, see the CipherTrust Manager documentation.

When you are done, click **Next**.

6. On the Create Key Rule page, click **Create Key Rule** and enter the following information:

Field	Description
<b>Resource Set</b>	If you want to select a resource set for this key rule, click Select and either choose an existing resource set or create a new one. Resource sets let you specify which directories or files will either be encrypted with the key or will be excluded from encryption with this key.
<b>Current Key Name</b>	Click <b>Select</b> to choose an existing key or create a new one. If the data has not yet been encrypted, select <b>clear_key</b> . Otherwise select the name of the non-versioned key that is currently being used to encrypt the data. In this example, select <b>clear_key</b> .
<b>Transformation Key Name</b>	Click <b>Select</b> to choose an existing versioned key or to create a new one. CTE uses the versioned key specified in this field to encrypt the data in the GuardPoint. If the data is currently encrypted, CTE decrypts it using the key specified in the <b>Current Key Name</b> field and re-encrypts it using the key specified in this field.

When you are done, click **Next**.

7. On the Data Transformation page, click **Create Data Transformation Rule** and enter the following information:

Field	Description
<b>Resource Set</b>	If you want to select a resource set for this key rule, click Select and either choose an existing resource set or create a new one. Resource sets let you specify which directories or files will either be encrypted with the key or will be excluded from encryption with this key.
<b>Transformation Key Name</b>	Click <b>Select</b> to choose an existing key or to create a new one. CTE uses the key specified in this field to encrypt the data in the GuardPoint. If the data is currently encrypted, CTE decrypts it using the key specified in the <b>Current Key Name</b> field and re-encrypts it using the key specified in this field. For this example, select the key Simple-Key you created in <a href="#">"Create an Encryption Key" on page 28</a> .

When you are done, click **Next**.

8. Click **Next**.

- On the confirmation page, review the information for the policy and click **Save**.

**Create Policy**

1 General Info 2 Security Rules 3 Key Rules 4 Data Transformation 5 Confirmation

Review the provided policy details.

**1 General Info**

Name: Simple-Policy  
Policy Type: Standard  
Description: Standard policy for new GuardPoints

**2 Security Rules**

Resource Set	User Set	Process Set	Action	Effect	Browsing
			key_op	permit,applykey	Yes
					Yes

**3 Key Rules**

Resource Set	Current Key Name
	clear_key

**4 Data Transformation Rules**

Resource Set	Transformation Key Name
	Simple-Key

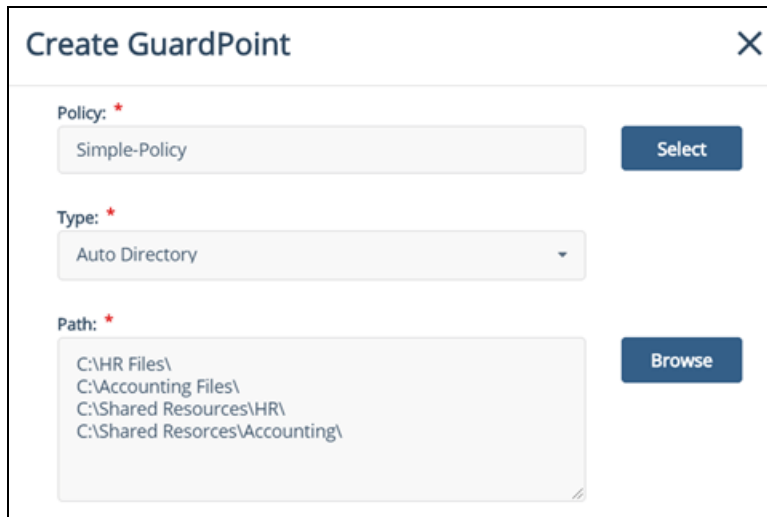
Back Save

## Create a GuardPoint

- Stop all applications that are accessing the device you want to protect. In this example, we are going to protect the following directories with the same policy and encryption key:
  - C:\HR Files\
  - C:\Accounting Files\
  - C:\Shared Resources\HR\
  - C:\Shared Resources\Accounting\

**Tip:** If you want to encrypt data without taking the device offline, you must use CipherTrust Transparent Encryption - Live Data Transformation.
- In the Applications page of the Console, select the **CTE** application.
- In the Clients table, click on the name of the client you want to protect.
- Above the GuardPoints table, click **Create GuardPoint**.
- In the Create GuardPoint page:
  - In the **Policy** field, select the policy you created earlier.
  - In the Type field, select the type of device. You can guard a directory or a raw/block device. For this example, select **Auto Directory**.
  - In the **Path** field, enter the directories you want to protect with this policy or click **Browse** to select them from a explorer window.  
If you want to enter multiple paths, put each path on its own line. For example:





- d. Click **Create**.
- e. If you want to use the same policy and GuardPoint type on another path, click **Yes** when prompted. Otherwise, click **No**. For this example, click No.

The CTE clients pull the GuardPoint configuration information from the CipherTrust Manager.

- 6. Type the following to transform the data:

```
# dataxform --rekey --print_stat --preserve_modified_time --gp <pathToGP>
```

When the data transformation has finished, applications can resume accessing the now-protected data. (See the “*CTE Data Transformation Guide*” for more information.)

## Chapter 3: Special Cases for CTE Policies

---

This chapter describes some CTE-specific configuration tasks related to configuring policies in the key manager. It contains the following topics:

<a href="#">Restricting Access Overrides from Unauthorized Identities</a> .....	34
<a href="#">Behavior of Hard Links Inside and Outside of GuardPoints (Windows)</a> .....	34

### Restricting Access Overrides from Unauthorized Identities

In some setups, system administrators can use the host settings > |authenticator| feature with `su` to change identities and gain access to restricted data. Now, you can instruct CTE to not trust any authentication attempt performed by certain identities by assigning restricted users to a user shell that CTE can block from authenticating other processes.

Any executable path that is marked with a |path\_no\_trust| host setting marks the process, and all child processes, as not trusted. Non-trusted processes are treated as "User Not Authenticated" to prevent access on user-based policies.

CTE prevents overrides from other host settings authenticators, using the |path\_no\_trust| status. If a user runs the `su` command from a non-trusted shell, that new shell is still marked as |path\_no\_trust|, even if |authenticator|/usr/bin/su is specified in the host-settings. The |path\_no\_trust| feature overrides any and all authenticators under host settings.

#### To restrict access overrides in CipherTrust Manager:

1. In the CipherTrust Manager Applications Page, click **CTE > Clients**.
2. Click on an existing client name to edit the client.
3. Click **Client Settings** tab.
4. Add the following to the client settings:

```
|path_no_trust|<path of the binary>
```

For example:

```
|path_no_trust|/bin/ksh
```

The above example indicates that no process under the kshell executable will be authenticated.

5. Click **OK**.

### Behavior of Hard Links Inside and Outside of GuardPoints (Windows)

When using hard links on Windows, all the hard links to a file must be within the boundary of a GuardPoint and must use the same key. The following scenarios provide additional details:

- If hard links to the same file are inside a GuardPoint and outside a GuardPoint, the effect on the file depends on what process accesses which hard link first. If the hard link within the GuardPoint is opened first, the file is transformed. If the hard link outside the GuardPoint is opened first, the file won't be transformed.
- If hard links to the same file exist in different GuardPoints with different keys, the file will be corrupted.
- If hard links to the same file exist in the same GuardPoint but with different keys, such as if folder-based rules are used, there will be a conflict in the key.

# Chapter 4: Enhanced Encryption Mode

This chapter describes the enhanced AES-CBC-CS1 encryption mode for keys. It contains the following topics:

- Compatibility ..... 35
- Disk Space ..... 36
- Encryption Migration ..... 36
- File Systems Compatibility ..... 36
- FileTable Support on Windows ..... 37
- Using the AES-CBC-CS1 Encryption Mode in CM ..... 37
- Exceptions and Caveats ..... 37
- Best Practices for AES-CBC CS1 Keys and Host Groups ..... 38

The AES-CBC-CS1 encryption is superior to the existing AES-CBC mode because it uses a unique and unpredictable (random) IV (initialization vector) generated for each individual file. The per-file IV object is generated only at file creation time. It is stored as file metadata.

**Note**  
AES-CBC-CS1 encryption does not require any additional license.

	AES-CBC	AES-CBC-CS1
<b>Security Improvements</b>		
Unique IV per-file	No	Yes
IV predictability	Yes	No
<b>File System Support</b>		
Local FS	NTFS/ReFS	NTFS/ReFS
Remote FS	CIFS	No support
Block Device Support (secvm)	Fully supported	No. When a policy contains a key with CBC-CS1 encryption mode, the guarding fails on the CipherTrust Manager, and an error message displays.

## Compatibility

- Starting with VTE for Windows version 6.1.0, CTE is backward compatible with, and fully supports, the existing AES-CBC mode for both new and existing datasets.
- Starting with VTE for Windows version 6.1.0, CTE fully supports AES-CBC-CS1 encryption for LDT and offline data transformation on CTE Windows environments.

Versions of VTE prior to version 6.1.0 are *not* backwards compatible with AES-CBC-CS1 encryption. On these earlier versions, attempting to guard a device using a policy containing an AES-CBC-CS1 key will fail.

- Protected hosts supporting AES-CBC-CS1 encryption can be added to host groups.

## Difference between AES-CBC and AES-CBC-CS1

The two encryption modes are completely different from a file format standpoint.

- AES-CBC-CS1 encryption only applies to file system directories; AES-CBC encryption applies to both files and block devices.

#### Notes

- If you attempt to use an AES-CBC-CS1 key to guard a block device or partition, the guarding fails with an error reported on the CipherTrust Manager, similar to: Raw or Block Device (Manual and Auto Guard) GuardPoints are incompatible with Policy "policy-xxx" that contains a key that uses the CBC-CS1 encryption mode."
- While AES-CBC-CS1 encryption is supported on both Linux and Windows environments, the file formats are incompatible. An encrypted file created with a specific AES-CBC-CS1 key on Windows cannot be read on Linux, even if that specific key were to be used and vice versa.

- AES-CBC-CS1 uses cipher-text stealing to encrypt the last partial block of a file whose size is not aligned with 16 bytes.
- Each file encrypted with an AES-CBC-CS1 key is associated with a unique and random base IV.
- AES-CBC-CS1 implements a secure algorithm to tweak the IV used for each segment (512 bytes) of a file.

## Disk Space

Files encrypted with AES-CBC-CS1 keys consume additional disk space in contrast to files encrypted with AES-CBC keys. This is because AES-CBC-CS1 encryption requires file IVs to be created and persistently stored in contrast to AES-CBC encryption which does not consume any additional disk storage.

Therefore, administrators need to plan and provision additional disk capacity prior to deploying AES-CBC-CS1 encryption.

	AES-CBC	AES-CBC-CS1
Local Windows FS	No change to file size. No ADS allocation.	Extra 4KB allocation (at minimum) in the form of an embedded header per file. With CTE guarding enabled, file size expansion is hidden.

## Encryption Migration

You can use either LDT or offline dataxform to:

- Transform data encrypted by AES-CBC to AES-CBC-CS1 and vice versa.
- Transform AES-CBC-CS1 encrypted data to clear contents and vice versa.

## File Systems Compatibility

On Windows, you can use AES-CBC-CS1 keys to guard currently supported file systems.

#### Note

The remote file system must have enough extra space to store the extra 4K bytes of the embedded header.

## Storing Metadata

AES-CBC-CS1 encrypted files on Windows store the base IV of a file in a Windows ADS (Alternate Data Streams) associated with the file. The size required for saving the CS1 key depends on the allocation size of the file system. If the allocation size is set to 4k, then the new IV will require 4K of extra space on the disk. You can run the `fsutil`

`fsinfo` tool to find out the allocation size of the file system.

The CS1 key is supported on following file systems:

- **NTFS**: Supported on all Windows platforms that are supported by CTE.
- **REFS**: Supported on Windows 2012 R2 and later.
- **CIFS**: Supported if the backend storage for the CIFS share is Windows-based storage.

**Note**

Some network storage servers do not support multiple ADS associated with a file.

To get the value of the base IV, type:

```
C:/>voradmin secfs iv get <file-name>
```

**Note**

The base IV of a file is protected. It cannot be set/modified/removed by commands and applications. However, if a GuardPoint is unguarded, the files in the GuardPoint are no longer protected. An adversary can then corrupt the content of the files, as well as the IVs.

AES-CBC-CS1 depends on the physical file system's support for extended attributes in a manner similar to the CipherTrust Transparent Encryption - Live Data Transformation feature.

## Missing IV file

If the IV for a file is missing, or CTE is unable to read the IV, then CTE denies access to the file. This access denied message may trigger an application to display an error message. This message may vary from application to application.

	AES-CBC	AES-CBC-CS1
Local FS (Windows)	No change	Alternate Data Streams

## FileTable Support on Windows

The CBC-CS1 key does not support FileTables. This is because FileTables do not support alternate data streams. The CS1 key requires the ability to write the per-file IV into an alternate data stream on each file.

## Using the AES-CBC-CS1 Encryption Mode in CM

When you create a key in CTE, you enable Encryption Mode by selecting CTE Key Properties. See *Creating a New Key* in the [Managing Policies](#) chapter in the [CTE Administrator Guide](#).

## Exceptions and Caveats

Note the following when using AES-CBC-CS1 keys.

## Guarding Existing Files Without Data Transformation

You must convert an existing file with clear text through offline data transformation or LDT. If you do not transform the file, then after you guard using an AES-CBC key, the file displays garbled characters.

If you use an AES-CBC-CS1 key, access to the file is blocked with an I/O error.

## Best Practices for AES-CBC CS1 Keys and Host Groups

In a host group, do not deploy policies associated with AES-CBC and AES-CBC CS1 keys unless all hosts are running VTE for Windows version 6.1.0 or CTE version 7.0.0 or later.

# Chapter 5: Utilities for CTE Management

---

Thales provides a variety of utilities that augment the standard Windows utilities. This combination of tools helps administrators manage CTE. The following utilities are described in this chapter:

<a href="#">voradmin secfs Commands</a> .....	39
<a href="#">vmsec Utility</a> .....	40
<a href="#">agenthealth Utility</a> .....	41
<a href="#">agentinfo Utility</a> .....	42

## voradmin secfs Commands

The `voradmin secfs list` and `voradmin secfs status` commands display GuardPoint and policy information on the host.

### voradmin secfs List Commands

The `voradmin secfs list` command has the following options:

#### voradmin secfs list Options

<code>guardpoints</code>	Displays all the GuardPoints on the host.
<code>policy</code>	Displays all the policies used on the host.
<code>logger</code>	Displays the logging details on the host.
<code>status</code>	Displays the authentication settings on the host.

For example, to view all the GuardPoints on the host, type:

```
C:\>voradmin secfs list guardpoints
Guard Point:      1
Policy ID:        16553
Policy name:      ES-Standard-Policy
Directory:        esg-disk1-demo
Type:             rawdevice
Status:           guarded

Guard Point:      2
Policy ID:        18857
Policy name:      Accounting-IT-Access-Policy
Directory:        G:\Data
Type:             local
Status:           guarded

Guard Point:      3
Policy ID:        18985
Policy name:      LDT-Policy
Directory:        C:\LDT-Folder
Type:             local
Status:           guarded
```

To view just the policies in use on the host, you would enter:

```
C:\>voradmin secfs list policy
Policy:          1
Policy name:     LDT-Policy
Type:            LDT

Policy:          2
Policy name:     ES-Standard-Policy
Type:            ONLINE

Policy:          3
Policy name:     Accounting-IT-Access-Policy
Type:            ONLINE
```

## voradmin secfs status Commands

The `voradmin secfs status` command has the following options:

### voradmin secfs status Options

<code>keys</code>	Displays the current status of the keys on the host.
<code>lock</code>	Displays the status of any system or agent locks on the host.
<code>crypto</code>	Displays the encryption modes that are supported.

For example:

```
C:\> voradmin secfs status keys

Encryption keys are available

C:\> voradmin secfs status lock

FS Agent Lock: Disabled
System Lock: Disabled

C:\> voradmin secfs status crypto

AES CBC, CBC_CS1, XTS modes are supported

Encryption key protection is supported
```

## vmsec Utility

The `vmsec` utility allows you to manage the security aspect of the CTE Agent on the host. On Windows the `vmsec` utility is `<windows-agent-install-dir>\vmd\bin\vmsec.exe`. The default path is:

```
C:\Program Files\Vormetric\DataSecurityExpert\agent\vmd\bin\vmsec.exe
```

## vmsec Syntax

<code>check_install</code>	Verifies that the kernel component is running. This command checks CTE services and reports if any of the services are not running.
----------------------------	---



<code>challenge</code>	Initiates challenge-response on the host. This command displays a CTE Agent password challenge string and enter the response string when the key manager is not network accessible.
<code>status</code>	Displays kernel configuration.
<code>vmdconfig</code>	Displays the vmd configuration.
<code>check_hwenc</code>	Determines whether this system supports hardware crypto.
<code>hwok</code>	Reports status of hardware signature.
<code>passwd [-p passwd]</code>	Enters the host password when the key manager is not network accessible. User can unlock the GuardPoints with this password.
<code>version</code>	Displays the CTE version.

## Displaying the CTE Challenge String

In addition to using `vmsec challenge` on Windows, you can also right-click the tray icon and select **Challenge...->Response**. The *CTE Challenge/Response* window opens.

If no challenge string is displayed, the host password is static. If a challenge string displays, contact a Administrator for the response string.

## Using the CTE Challenge String

When communication with the CipherTrust Manager is unavailable, the agent pauses on access to guarded directories. The agent waits for communication to be restored or a challenge/response to be issued and completed. The agent notifies the user of this condition and requests the challenge/response with log messages in `dmesg` and `vmd.log` in five minute intervals.

## agenthealth Utility

The `agenthealth.ps` utility validates:

- Super-user privilege
- CTE Agent installation
- CTE registration to key manager
- CTE processes/modules that are running
- Available disk resources:
- Current GuardPoints: Tests if the agent can reach the GuardPoints
- CTE log directory resource status

This directory contains pending CTE log files for upload. This utility reports the size and number of pending files for upload. These text files are logs that contain vmd/SecFS information. They are regenerated whenever secfs restarts. If the number of files is unexpectedly large, this can indicate a problem.

## Agent Health Check Script

The Agent health check script (`agenthealth.ps1`) is located in `C:\Program Files\Vormetric\DataSecurityExpert\agent\shared\bin\`

To run the `Agenthealth` check script:

1. Run the power shell command to enable self-signing for the system.

Before running `agent-health` script make sure power shell command has enough privileges to execute the Powershell script. Some Windows operating systems have default execution policy set as `restricted`.

Use the Powershell command `Set- Execution-policy Remote Signed` to change the execution policy if needed.

2. Open the `Powershell` prompt as administrator.

3. Type:

```
.\agenthealth.ps1
```

## System Response

```
Log file is at log\agent_health.log
Checking super user privilege..... OK
Vormetric Agent installation..... OK
Vormetric policy directory..... OK
Registration to server..... OK
Kernel drivers are loaded..... OK
VMD is running..... OK
SECFSD is running..... OK
rhat26130.qa1.com is resolvable.....K.....OK
rhat26130.qa1.com port 8446 is reachable..... OK
rhat26130.qa1.com port 8447 is reachable..... OK
Can communicate to at least one server..... OK
VMD is listening on port 7024..... OK
Time of last update from server    2016-12-01      14:39:49.038
Checking available disk space..... OK
Checking logging space ..... OK
    Log directory is ""
    File system for log data is "/", 32G free (17% full)
    Log directory contains 2 of maximum 200 files (1% full)
    Log directory contains 1 of maximum 100 Mbytes used (1% full)
Testing access to C:\GP2..... OK
```

## agentinfo Utility

The `agentinfo` utility collects system logs, CTE agent logs, CTE agent trace information, and system information for diagnostic purposes. All this information is saved in the destination path and compressed into a zip file. The `agentinfo` utility is available as an `agentinfo.js` Java command and as an `agentinfo.ps1` PowerShell command.

### agentinfo Utility (Java version)

The `agentinfo.js` utility is a JavaScript file. You can open it in a text editor to see specific functions.

The `agentinfo.js` support collection scripts reside in the following path on systems where the CTE agent is installed.

To run the `agentinfo` script on Windows, navigate to one of the following folders:

```
C:\Program
Files\Vormetric\DataSecurityExpert\agent\vmd\bin
```

or

```
C:\Program  
Files\Vormetric\DataSecurityExpert\agent\shared\bin
```

then run the following script:

```
agentinfo.js
```

## agentinfo Utility (PowerShell version)

The PowerShell version of `agentinfo` supports several parameters.

### PowerShell version agentinfo parameters

**Directory** - Specify the directory where all the collection information is saved. By default, this information is saved in the current directory.

**ZipFile** - Specify the name of the compressed file, where all the collected information will be archived. By default, this information is saved in the current directory.

**LogFile** - Specify the name of the files where verbose logs will be saved. By default, this information is saved in the current directory.

### Examples for using agentinfo utility (PowerShell version)

To save all the collection information in “c:\AgentLogs” folder, run the following command:

```
.\agentinfo.ps1 -Directory 'C:\AgentLogs'
```

To save all the collected information in “c:\AgentLogs” folder and verbose logs in “c:\temp\AgentInfo.log”, run the following command:

```
.\agentinfo.ps1 -Directory 'C:\AgentLogs' -LogFile 'c:\temp\AgentInfo.log'
```

To save all the collected information in “c:\AgentLogs” folder, verbose logs in “c:\temp\AgentInfo.log”, and create the “AgentInfo.zip” archive file, run the following command:

```
.\agentinfo.ps1 -Directory 'c:\AgentLogs' -LogFile 'c:\temp\AgentInfo.log' -ZipFile  
'C:\temp\AgentInfo.zip'
```

#### Note

PowerShell 5.1 or later is required. Use the `$PSVersionTable.PSVersion` command to confirm which PowerShell version you are using.

# Chapter 6: Using CTE with Microsoft SQL

---

This chapter discusses using CTE with Microsoft SQL AlwaysOn and SQL File Tables. It contains the following topics:

Using CTE with SQL .....	44
Using LDT with SQL FILESTREAM .....	44
Using CTE with SQL FileTables .....	44
Installing CTE on Microsoft SQL AlwaysOn .....	46
Data Transformation (Encryption in place) .....	50
Copy/Restore .....	50
SQL Server Policy Tuning .....	50
Using LDT with SQL AlwaysOn .....	50

## Using CTE with SQL

You must stop the SQL service before guarding the SQL DB. When this occurs, the SQL Server replication may become unsynchronized. When restarting, it may take a brief period of time for the SQL Server replication to resynchronize with the other node. The SQL Server issues a warning against any attempted failovers during that brief period.

### Note

Minimizing the duration for which the SQL Server service is stopped is beneficial for reducing the resynchronization period.

## Using LDT with SQL FILESTREAM

When applying a Live Data Transformation (LDT) GuardPoint to SQL Server with FILESTREAM enabled, a rekey may be triggered which never finishes. This can occur if SQL Server is renaming files when the GuardPoint is applied, which causes the rekey to start the scan process again. If the rekey seems to be taking a long time, stop the SQL service until the rekey finishes and then restart the SQL service.

## Using CTE with SQL FileTables

SQL FileTables allows you to store files and documents in special tables in the SQL Server called FileTables, but access them from Windows applications as if they were stored in the file system, without making any changes to your client applications. For some of the use cases, you can use FileTables with CTE.

## Considerations

- The CTE Agent must be installed on the same server where the FileTables reside. If the FileTables reside on your SQL server, then you should install the CTE Agent on your SQL server.
- If multiple servers access the SQL FileTables:
  - Install CTE agent on all of the servers.
  - Protect all of the FileTable folders with the same CTE policy.



**CAUTION**

**Accessing the FileTable without CTE may corrupt the data.**

- When you create a new FileTable, alter, or drop FileTables, this may require applying a new GuardPoint.
- Every FileTable has a separate FileTable Folder so you must apply separate GuardPoints for each FileTable.
- You must apply a unique GuardPoint to each VNN path.  
For example, if you configure two FileTables on an SQL Server, then the remote SQL administrator system must apply one GuardPoint to each configured VNN name.
- Guarding on a VNN name is similar to guarding a network path with CTE.
- If you want to access the FileTables from multiple remote systems, you must install CTE agent on those systems and apply the GuardPoints.



**CAUTION**

**LDT is not supported with SQL FileTables. Only use offline Data Transformation to transform the initial SQL data.**

## Advantages

- System administrator cannot see the data locally on the SQL server because no CTE Agent is installed on the SQL server.
- The data transferring between servers is also encrypted.

## Supported FileTables Use Cases

CTE supports the following FileTables use cases:

### CTE Data Transformation of existing files in FileTables

Configuration guidelines:

1. Install CTE agent on the remote server.
2. Create a new FileTable, or Identify the FileTable folder for the existing FileTable.
3. Create an offline Data Transformation policy and apply to the GuardPoint on the FileTable folder.
4. Run the Dataxform utility to transform the data.

### Protect files in SQL FileTables with CTE

Configuration guidelines:

1. Install CTE agent on the remote server.
2. Create a new FileTable, or Identify the FileTable folder for the existing FileTable.
3. Create a production policy and apply the GuardPoint on the FileTable folder.
4. Once the GuardPoint is active, you can use the file table to load and access files.

## Protect files with SQL AlwaysOn Availability Groups with CTE

When the database that contains the FILESTREAM, or FileTable data, belongs to an AlwaysOn availability group, the FILESTREAM and FileTable functions accept or return virtual network names (VNNs) instead of computer names.

Configuration guidelines:

1. Install CTE agent on the remote server.
2. Create a new FileTable, or Identify the virtual network names (VNNs) for the existing FileTable.
3. Create a production policy and apply the GuardPoint to the VNN name
4. Once the GuardPoint is active, you can use the FileTable to load and access files.
5. When you enable FILESTREAM on an instance of SQL Server, it creates an instance-level share to provide access to the FILESTREAM data. Access this share by using the computer name in the following format:

```
\\<computer_name>\<filestream_share_name>
```

6. In an AlwaysOn availability group, the computer name is virtualized by using a Virtual Network Name, (VNN). When the computer is the primary replica in an availability group, and databases in the availability group contain FILESTREAM data, then SQL creates a VNN-scoped share to provide access to the FILESTREAM data. Applications that use the file system APIs have to use the VNN-scoped share, which has a path in the following format:

```
\\<VNN>\<filestream_share_name>
```

## Install CTE on remote systems and guard the SQL Server VNN names

In this use case, CTE is installed on the SQL administrator system (a separate system from where the SQL Server resides) and a GuardPoint is applied to the VNN name.

## Unsupported FileTables Use Cases

CTE does not support the following use cases:

1. Install CTE agent on the SQL Server and locally apply the GuardPoint on the SQL Server storage.
2. Access FileTables with Transact-SQL.
3. Access FileTables with File I/O APIs on the SQL server. Perform all file I/O on the remote system running the CTE agent.

## Installing CTE on Microsoft SQL AlwaysOn

This section describes how to implement CTE with Microsoft SQL AlwaysOn in a variety of configurations for primary and secondary replica servers, and assumes that you have a basic understanding of Microsoft SQL database.

You may want to keep the primary server decrypted to serve all users, and use the secondary database for running reports or backups.

- If the database is encrypted, then the Volume Shadow copy-related backups will snapshot and backup encrypted protected data.
- Administrators with the `apply_key` permission can run a query and pull down reports from the secondary

database server without affecting the performance of the primary database server.

- The secondary server could be in a remote Data Recovery location. You may want to secure it with encryption.
- LDT is supported with SQL AlwaysOn. See ["Using LDT with SQL AlwaysOn" on page 50](#) for more information.

## Methods for Initial Encryption

There are multiple methods for performing the initial encryption of the databases. Decide on which of the following methods best fits your environment. For more information on transforming data, see the *CTE-Live Data Transformation with Data Security Manager*.

- Data Transformation – Encrypt data in place
- Backup and Restore to a GuardPoint
- Copy and paste the data into a GuardPoint

## Configuration 1

- Databases on primary server and secondary replica servers require encryption
- Database name and location of secondary replica server are the same as the primary server

### To perform the procedure:

1. Perform a full backup of the primary database.
2. Change the primary database to offline mode.
3. Confirm the creation of a data transformation and/or operational policy.
4. Guard the folder containing the primary database files with that policy:
  - a. If using 'Encrypt data in place' as the selected method of encryption, execute the data transformation and then apply the operational policy.
  - b. If using the 'Copy/Restore' method of encryption, apply the operational policy on an empty folder/device.
5. On the secondary server, create a new folder to store the replicated database.

**Note:** The folder name and the path must be the same as the primary server.
6. Guard the folder with the operational policy.
7. Perform step 4 above for additional secondary server(s).
8. Put the primary database back into online mode.
9. Setup SQL AlwaysOn High Availability group to perform FULL Data Synchronization.  
This copies the primary database and replicates it to secondary replica servers.
10. Verify that the databases in the secondary server are in "Synchronized" mode.

## Configuration 2

- Database on the primary server does not require encryption, but the secondary replica database requires it
- Database names and locations for the secondary replica servers are the same as the primary server

**To perform the procedure:**

1. Perform a full backup of the primary database.
2. Confirm the creation of a data transformation and/or operational policy.
3. On the secondary server, create a new folder to store the replicated database.

**Note:** The folder name and the path must be the same as the primary server.

4. Guard the folder with the operational policy.
5. Perform step 3 & 4 above for additional secondary server(s).
6. Setup SQL AlwaysOn High Availability group to perform **FULL Data Synchronization**.  
This copies the primary database and replicates it to secondary replica servers.
7. Verify that the databases in the secondary server are in “Synchronized” mode.

### Configuration 3

- Databases on the primary and secondary replica servers require encryption
- Database name is the same, but the location of the secondary replica server is in a different location from that of the primary server

**To perform the procedure:**

1. Perform a full backup of the primary database.
2. Change the primary database to offline mode.
3. Confirm the creation of a data transformation and/or operational policy.
4. Guard the folder containing the primary database files with that policy:
  - a. If using 'Encrypt data in place' as the selected method of encryption, execute the data transformation and then apply the operational policy.
  - b. If using the 'Copy/Restore' method of encryption, apply the operational policy on an empty folder/device.
5. On the secondary server, create a new folder to store the replicated database.

**Note:** The folder name and the path must be the same as the primary server.

6. Guard the folder with the encryption policy.
7. From secondary server, perform the restore to the primary database.
  - a. Select the options **Restore with norecovery** and **Relocate all files to folder**.
  - b. Specify the path of the new folder from step 5.
8. Repeat steps 4 & 5 above for any additional secondary server(s).
9. Setup SQL AlwaysOn High Availability group to perform **JOIN ONLY Data Synchronization**.  
This joins the secondary database to the SQL Always High Availability Group. It also establishes replication of new data and logs from the primary to the secondary replicated server.
10. Verify that the databases in the secondary server are in **Synchronized** mode.



## Configuration 4

- Database on the primary server does not require encryption, but the secondary replica database requires encryption
- Database name is the same, but the location on the secondary replica server is in a different location than that of the primary server

### To perform the procedure:

1. Perform a full backup of the primary database.
2. Confirm the creation of a data transformation and/or operational policy.
3. On the secondary server, create new folder to store the replicated database.
4. Guard the folder with the operational policy.
5. From secondary server, perform restore the primary database:
  - a. Select the options **Restore with norecovery** and **Relocate all files to folder**.
  - b. Specify the path of the new folder from step.
6. Setup SQL AlwaysOn High Availability group to perform **JOIN ONLY Data Synchronization**. Joins the secondary database to the SQL Always HA Group. It also establishes replication of new data and logs from the primary to the secondary replicated server.
7. Verify that the databases in the secondary server are in **Synchronized** mode.

## Configuration 5

Following is an alternative method for protecting data in a MS SQL Server AlwaysON environment.

To perform the procedure:

1. Shut down SQL services completely, on the secondary node.

**Note:** It is important to shut down the secondary node first, in order to keep the assignments the same.

2. Shut down SQL services completely on the primary node.
3. Create GuardPoints, using Data Transformation policies, on the directories containing the databases to be encrypted in the primary node.

**Note:** Perform encrypt-in-place encryption on each directory.

4. Create GuardPoints, using Data Transformation policies, on the directories containing the databases to be encrypted in the secondary node.

**Note:** Perform encrypt-in-place encryption on each directory.

5. Delete the GuardPoints, using Data Transformation policies, from the primary node.
6. Create GuardPoints, using operational policies, on the four directories in the primary node.
7. Delete GuardPoints, using Data Transformation policies, from the secondary node.

8. Create GuardPoints, using operational policies, on the four directories in the secondary node.
9. Activate SQL services on the primary node.
10. Activate SQL services on the secondary node.

## Data Transformation (Encryption in place)

For more information on transforming and encrypting data-in-place, see the *CTE-Live Data Transformation with Data Security Manager*.

## Copy/Restore

For more information on transforming data using the copy and replace method, see the *CTE Data Transformation Guide*.

## SQL Server Policy Tuning

In this section, you created and defined a process set for SQL Server that grants certain executables –in this case `sqlservr.exe`– unrestricted access to the database files. The need may arise to allow other executables, and/or users, access to the files.

You can grant this access by:

- Adding to the existing process set
- Creating a new one

The best option depends on the access requirements. The key decision is whether or not to select the **Apply Key** effect along with **Permit** or not. Omitting **Apply Key** on a security rule that still contains **Permit** allows the specified user or process to access to the data, but does not apply the encryption key, so therefore only shows them the data in its encrypted, cypher-text format. This is useful for anti-virus or backup software that may need to scan or copy the file, but does not necessarily need to see the contents.

## Using LDT with SQL AlwaysOn

To guard a directory with an LDT (Live Data Transformation) policy, you must temporarily close all of the files in that directory. In an SQL Server AlwaysOn environment, this may entail temporarily stopping the SQL Server service on the node that is being guarded. Once the directory is guarded, then you can start the SQL Server service immediately.

It is important to remember that the SQL Server AlwaysOn replication standard operating procedures.

- If one SQL Server service is taken offline for any reason, then once it is brought back on line, it takes the SQL Server a moment to re-synchronize the database nodes.
- The longer that secondary service was down, and the more inserts/updates and deletes that occurred on the still active node during that downtime, then the longer the synchronization period takes.
- During that synchronization period, any attempted fail over results in the SQL Server warning that data loss may occur if the fail over continues. However, once the SQL Server has completed re-synchronizing that secondary node, then any fail over is safe and does not result in loss of data.

# Chapter 7: CTE with DFSR

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The Microsoft Distributed File System Replication (DFSR) service is a multi-master replication engine used to keep folders synchronized on multiple servers. Using CTE with DFSR requires some special configuration to make sure that all folders within a GuardPoint are only encrypted once, and that all sources to which those folders are replicated can access the proper encryption key to read the encrypted data.

For details about DFSR, see the Microsoft DFSR documentation at [Distributed File System Replication](#).

This section contains the following topics:

<a href="#">Overview</a> .....	51
<a href="#">Creating Required DFSR Policy Components</a> .....	53
<a href="#">Using the Standard Encryption Method</a> .....	55
<a href="#">Using the CTE-LDT Encryption Method</a> .....	63

## Overview

How you deploy CTE in a DFSR environment depends on the topology you have chosen for your DFSR configuration. Microsoft offers several topology options for DFSR:

- **Hub and Spoke.** In this configuration, there is a central server (the hub) whose contents is replicated on multiple satellite servers (the spokes). While each spoke server has a two-way communication channel with the hub server, none of the spoke servers can communicate with each other. If the data changes on one spoke server, that server communicates the changes back to the hub server and the hub server initiates the data replication on all other spoke servers.

This configuration allows you to encrypt servers one at a time, starting with the hub and then moving outwards to the spokes.

- **Full Mesh.** In this configuration, any server in the mesh has a two-way communication channel with every other server in the mesh, and data replication can be initiated by any server on all the other servers.

In this configuration, you must stop the replication service while you encrypt the data on all servers in the mesh. You cannot restart the replication service until the initial encryption has completed on all servers.

## CTE Encryption Methods

CTE supports two encryption methods:

- Standard offline data transformation, where the data is unavailable while it is being encrypted or rekeyed.
- Live data transformation, where the data is encrypted and rekeyed in the background while it remains accessible to users. This method requires a separate license for the CTE-LDT feature.

While DFSR policies have some unique required components, the basic policy and GuardPoint creation process is identical to non-DFSR environments. For details about offline data transformation, see the *CTE Data Transformation Guide*. For details about CTE-LDT, see the *CTE-Live Data Transformation with Data Security Manager* or *CTE-Live Data Transformation with CipherTrust Manager*.

## Considerations with DFSR

If you are using CTE in a DFSR environment, keep in mind the following:

- You should always back up your data prior to beginning the encryption process and you should have a full backup of the data in the hub server before you restore a spoke.
- You cannot place a GuardPoint *anywhere* on the boot drive, so if your DFSR replication point is currently `C:\`, or a directory under `C:\` such as `C:\data\`, you need to move that data and its replication point to a new volume on the server before you can encrypt it.
- If you are backing up your DFS data, make sure that your backup software is *not* backing up the archive bit. File replication gets triggered by file version change or a modified time stamp. As such, there is a chance that updating the archive bit may cause issues that trigger a replication storm, which will then put a heavy encryption load on the servers.
- You must add the CTE GuardPoint at or above the level of the DFSR replication point. For example:
  - If the replication point is `D:\`, the CTE GuardPoint must also be at `D:\`. Adding a GuardPoint on a directory in `D:\`, such as `D:\data\`, will fail.
  - If the replication point is `D:\data\`, you can add a GuardPoint at `D:\data\` *or* `D:\`, but you *cannot* add a GuardPoint on a subdirectory of `D:\data\` such as `D:\data\HR-files\`.
- When you set a replication point, Microsoft automatically creates a private directory called `<dir name>\DfsrPrivate` that goes with that replication point. For example, if the replication point is set on `D:\`, the private directory would be `D:\DfsrPrivate`. If the replication point is set on `D:\data\`, the private directory would be `D:\data\DfsrPrivate`.

How this private directory must be handled depends on the the encryption method that you are using.

- For Standard encryption, you must guard the private directory with the same policy that you use for the main GuardPoint. If the GuardPoint is at the root of the volume (for example, `D:\`), this happens automatically. But if you are guarding a specific directory, such as `D:\data\`, you need to create a second GuardPoint using the same policy on `D:\data\DfsrPrivate`. For details, see ["Creating Standard GuardPoints with the DFSR Hub and Spoke Topology" on page 59](#) or ["Creating Standard GuardPoints with the DFSR Full Mesh Topology" on page 62](#).
- For live data transformation, you must guard the private directory with the same policy that you use for the main GuardPoint, even if the GuardPoint is at the root level. (For example, you must have a GuardPoint for both `D:\` and `D:\DfsrPrivate\`.) In addition, you must exclude this directory from CTE-LDT processing. For details, see ["Creating a CTE-LDT GuardPoint for DFSR" on page 65](#).
- The policy you specify for a DFSR GuardPoint *cannot* contain a resource set in any of the key rules included in the policy. All files in the guarded directory and its subdirectories must be encrypted with the same encryption key *without exception*. Additionally, if you rekey the GuardPoint, all files must be rekeyed with the same encryption key.
- If you want to change from one encryption key to an entirely different encryption key (as opposed to rekeying the data with a new version of the existing key), you must decrypt the data and remove all existing GuardPoints so that you have a clean environment. Then you can start the CTE encryption process over from the beginning. You cannot change from one encryption key to another if any of the existing data is still encrypted with the old key. If you attempt to do so, you may encounter data replication errors and you may need to delete the entire volume and recreate it.
- When CTE encrypts data on a node, the encrypted data must be replicated to other nodes in the configuration. This may result in increased replication activity on the network.

## CTE Configuration Workflow

In order to configure CTE with DFSR, you must complete the following tasks:

Step	Description
1	Identify the volumes or folders you intend to encrypt.
2	Make sure you have a good backup of the data you intend to encrypt.
3	Select an encryption method and make sure you understand how to create and deploy CTE GuardPoints using that encryption method. For details, see one of the following documents: <ul style="list-style-type: none"><li>• <i>CTE Data Transformation Guide</i></li><li>• <i>CTE-Live Data Transformation with CipherTrust Manager</i></li><li>• <i>CTE-Live Data Transformation with Data Security Manager</i></li></ul>
4	Create a DFSR Process Set and User Set for the policy. For details, see " <a href="#">Creating Required DFSR Policy Components</a> " below.
5	Create the policies and GuardPoints you need to protect your data, using the process appropriate to the selected encryption method. For details, see one of the following: <ul style="list-style-type: none"><li>• "<a href="#">Using the Standard Encryption Method</a>" on page 55</li><li>• "<a href="#">Using the CTE-LDT Encryption Method</a>" on page 63</li></ul>

## Creating Required DFSR Policy Components

DFSR uses two services to for the replication process, `dfsrs.exe` and `ntoskrnl.exe` that must be associated with the NT AUTHORITY user. In order to do this, you need to create a process set and a user set that must then be combined into a security rule in the policy.

How you do this depends on the key manager that you are using.

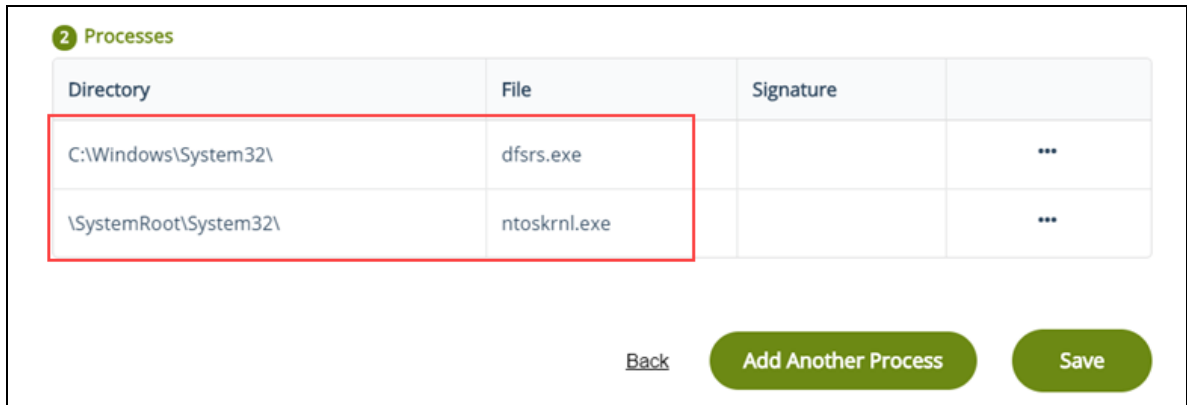
### Note

Once you create these components, you can use them in any number of policies for both standard and CTE-LDT GuardPoints.

## Process Using CipherTrust Manager

1. Log into the Console and switch to the correct domain if required.
2. Launch the **Transparent Encryption** application.
3. In the left-hand menu bar, expand **Policies** and select **Policy Elements**.

4. Create a process set for the required DFSR processes:
  - a. Click the **Process Sets** tab.
  - b. Click **Create Process Set**.
  - c. In the **Name** field, enter a name for this process set. In this example, we will use `DFSR-Processes`.
  - d. Click **Next**.
  - e. Enter the first DFSR process:
    - In the **Directory** field, enter `C:\Windows\System32\`.
    - In the **File** field, enter `dfsrs.exe`.
  - f. Click **Next**.
  - g. Below the table, click **Add Another Process**:
    - In the **Directory** field, enter `\SystemRoot\System32\`.
    - In the **File** field, enter `ntoskrnl.exe`.
  - h. Click **Next**. The process set should look like this:



- i. Click **Save** to save the process set.

5. Create the user set for the required NT AUTHORITY user:
  - a. Click the **User Sets** tab.
  - b. Click **Create User Set**.
  - c. In the **Name** field, enter a name for the user set. In this example we will use `Local_NT_AUTHORITY`.
  - d. Click **Next**.
  - e. Click the **Manually Add Users** tab.
  - f. In the **uname** field, enter `SYSTEM`.
  - g. In the **OS domain** field, enter `NT AUTHORITY`.
  - h. Click **Next**. The user set should look like this:



The screenshot shows a table titled "Users / Groups" with a green circle containing the number "2" in the top left corner. The table has five columns: "uname", "UID", "gname", "GID", and "OS domain". A red rectangular box highlights the first row, which contains the value "SYSTEM" in the "uname" column and "NT AUTHORITY" in the "OS domain" column. To the right of the table, there is a "Remove" button with a minus sign icon.

uname	UID	gname	GID	OS domain	
SYSTEM				NT AUTHORITY	<input type="button" value="Remove"/>

- i. Click **Save** to save the user set.
  - j. Optionally create another user set for other authorized users in the namespace. For example, you may want to add the "Administrator" user in each of the domains that are part of the namespace. You can create as many separate user sets as required.
6. When you have finished created the required components, you can use those components to create your policies and GuardPoints. How you do so depends on which encryption method you are using. For details, see one of the following:
  - ["Using the Standard Encryption Method" below](#)
  - ["Using the CTE-LDT Encryption Method" on page 63](#)

## Using the Standard Encryption Method

If you want to encrypt your data using the standard (offline) encryption method, you need to create two different policies. The first policy is the initial encryption policy that specifies the symmetric key you want to use to encrypt the data for the first time. The second is the production policy that you want to use for day-to-day operations on the encrypted data.

The initial encryption must be done while the volume or directory is offline, and users and applications must be prevented from accessing the data until the entire encryption process has finished. Once this initial encryption has been completed, any new or changed data in the GuardPoint will be automatically encrypted as it is added.

### Note

If you want to encrypt the data without restricting access during the encryption process, you can use the CTE-LDT feature. For details, see ["Using the CTE-LDT Encryption Method" on page 63](#).

To use the standard encryption method:

1. Make sure you have created the required policy components for DFSR as described in ["Creating Required DFSR Policy Components" on page 53](#).
2. Create the initial encryption and production policies as described in ["Creating Standard Policies for DFSR" on the next page](#).

3. Create the GuardPoints you want to use. The GuardPoint creation method depends on your DFSR topology. For details, see one of the following:
  - ["Creating Standard GuardPoints with the DFSR Hub and Spoke Topology" on page 59](#)
  - ["Creating Standard GuardPoints with the DFSR Full Mesh Topology" on page 62](#)

## Creating Standard Policies for DFSR

If you are using the standard (offline) data encryption option, you need to create two policies, a data transformation policy that is used for the initial encryption and an operational policy that is used for day-to-day access of the encrypted data. The initial encryption policy is identical to the one you use for any standard GuardPoint. It is the operational policy that has DFSR-specific requirements.

How you create policies for DFSR depends on the key manager that you are using.

### Procedure Using CipherTrust Manager

1. Log into the Console and switch to the correct domain if required.
2. If you do not know which symmetric key you want to use to encrypt the data or you want to create a new key to use for the DFSR namespace, launch the Keys & Access Management application and locate an existing symmetric key or create a new symmetric key. For details on creating a symmetric key for standard encryption, see the *CTE Data Transformation Guide*.
3. Launch the **Transparent Encryption** application.
4. In the left-hand menu bar, click **Policies**.
5. To create the initial data encryption policy, click **Create Policy** and enter the following information.

**Note:** The following example assumes you are using `dataxform` to encrypt the data in place. If you are using the copy or restore encryption method, create your initial data transformation policy as described in the *CTE Data Transformation Guide*.



- a. In the **Name** field, enter a name for the policy. This example uses `DFSR-Std-Initial`.
- b. In the **Policy Type** field, select **Standard**.
- c. Enable the **Data Transformation** option.

The screenshot shows a configuration form for a DFSR policy. The 'Name' field is filled with 'DFSR-Std-Initial'. The 'Policy Type' dropdown menu is set to 'Standard'. Below this, there is a 'Description' text area which is empty. At the bottom, there is a 'Learn Mode' toggle which is turned off, and a 'Data Transformation' toggle which is turned on (checked). Red rectangular boxes highlight the 'Policy Type' dropdown and the 'Data Transformation' toggle.

- d. Click **Next**.
- e. On the Security Rules page, make sure there is a security rule with the action **key\_op** and the effect **permit,applykey**. If CipherTrust Manager did not add this security rule automatically, go back to the General Info page and make sure that the **Data Transformation** option is enabled.
- f. On the Security Rules page, click **Create Security Rule** and add another security rule that prevents any other process from accessing the data while it is being encrypted:
  - In the **Action** field, click **Select** and choose `all_ops`.
  - In the **Effect** field, click **Select** and choose `Deny`.

When you are done, click **Add** to save the security rule.

Resource Set	User Set	Process Set	Action	Effect	Browsing	
			key_op	permit,applykey	Yes	...
			all_ops	deny	Yes	...

- g. Click **Next**.

- h. On the Key Rules page, click **Create Key Rule**. In the **Current Key Name** field, click **Select** and choose `clear_key`.



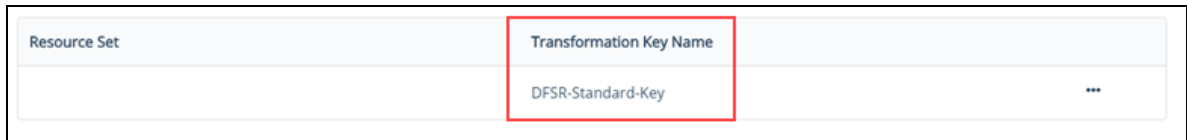
The screenshot shows a dropdown menu for 'Current Key Name' with 'clear\_key' selected. The menu is part of a larger form with a 'Resource Set' field on the left and a three-dot menu icon on the right.



**CAUTION**

In a DFSR environment, you *must* apply the initial encryption policy on unencrypted data **ONLY** (the current key must be set to `clear_key`). If your data is already encrypted, you must decrypt it and completely remove the existing GuardPoint before re-encrypting the data with a new key from scratch. For details, see "[Considerations with DFSR](#)" on page 52.

- i. Click **Add** to save the key rule.
- j. Click **Next**.
- k. On the Data Transformation page, click **Create Data Transformation Rule**. In the **Transformation Key Name** field, click **Select** and choose the symmetric key you want to use for data transformation.
- l. Click **Add** to save the data transformation rule.



The screenshot shows a dropdown menu for 'Transformation Key Name' with 'DFSR-Standard-Key' selected. The menu is part of a larger form with a 'Resource Set' field on the left and a three-dot menu icon on the right.

- m. Click **Next**.
- n. Verify the policy information and click **Save** to save the initial encryption policy.

6. To create the production policy, **Create Policy** and enter the following information.
  - a. In the **Name** field, enter a name for the policy. This example uses `DFSR-Std-Policy`.
  - b. In the **Policy Type** field, select **Standard**.
  - c. Click **Next**.
  - d. On the Security Rules page, click **Create Security Rule** and add the following security rule:
    - In the **User Set** field, click **Select** and choose the user set you created that contains NT AUTHORITY. For details, see ["Creating Required DFSR Policy Components" on page 53](#).
    - In the **Process Set** field, click **Select** and choose the process set you created that contains the required DFSR processes `dfsrs.exe` and `ntoskrnl.exe`.
    - In the **Effect** field, click **Select** and choose **Permit and Audit**.
  - e. Click **Add**.

Resource Set	User Set	Process Set	Action	Effect	Browsing
	Local_NT_AU...	DFSR-Processes		permit,audit	Yes ...

- f. Add any other security rules you need to your policy. When you have added all your security rules, click **Next**.
- g. On the Key Rules page, click **Create Key Rule**. In the **Current Key Name** field, click **Select** and choose the symmetric key you used to encrypt the data in the initial data encryption policy.

Resource Set	Key Name
	DFSR-Standard-Key ...

- h. Verify the policy information and click **Save** to save the production policy.
7. When you have both policies ready, you can create the required DFSR GuardPoints as described in ["Creating Standard GuardPoints with the DFSR Hub and Spoke Topology" below](#) or ["Creating Standard GuardPoints with the DFSR Full Mesh Topology" on page 62](#).

## Creating Standard GuardPoints with the DFSR Hub and Spoke Topology

If you are using the hub and spoke DFSR topology, you should start encrypt the data on the hub and then encrypt the data on the spokes. After you have encrypted the data on the hub server, you have two options for the data on the spoke servers:

- **Option 1: Delete the existing spoke server data and allow DFSR to replicate the encrypted hub data to the spoke servers.** The advantage of this method is that you only need to encrypt the data on the hub. The disadvantage is that it will take time to replicate the data on all the spoke servers.
- **Option 2: Encrypt each spoke server using the same encryption process as you use on the hub server.** The advantage of this method is that you do not need to wait for the full data replication process across the network. The disadvantage is that you must run the encryption process on all spoke servers.

### Prerequisites

- Make sure you have a good backup of the data you plan to encrypt.
- Make sure you know what devices or directories you plan to protect.
- Make sure you understand how data transformation GuardPoints are created as described in the *CTE Data*

*Transformation Guide.*

- Make sure you have an initial encryption and a production policy as described in ["Creating Standard Policies for DFSR" on page 56](#).

**Note**

The following procedures assume you are using `dataxform` to encrypt the data in place. If you are using the copy or restore encryption method, see the *CTE Data Transformation Guide*.

## Procedure for Option 1: Use DFSR to Replicate the Encrypted Data

1. Disable user and application access to all devices and directories you intend to encrypt so that no users can add or change the data during the transformation process. This must be done on the hub server and all spoke servers in the namespace.

**Note**

You do *not* have to take down the namespace itself.

2. On the hub server:
  - a. Stop the DFSR service.
  - b. In your key manager, create the GuardPoints you want to encrypt and apply the initial encryption policy to those GuardPoints.

Make sure that all GuardPoints are at or above the level of the DFSR replication point as described in ["Considerations with DFSR" on page 52](#).

**Note:** Do not create GuardPoints for the `DfsrPrivate` directories yet.

- c. On the hub server, run the `dataxform` utility as described in the *CTE Data Transformation Guide*.
- d. After the data encryption process has completed, unguard the GuardPoints that use the initial encryption policy and reguard them using the production DFSR policy.
- e. If any of your GuardPoints are at the directory level, create a GuardPoint for the `<dir name>\DfsrPrivate` directory that goes with that GuardPoint. For example, If the GuardPoint is `D:\data\`, the private directory would be `D:\data\DfsrPrivate`. Make sure you use the same production policy for the `DfsrPrivate` directory that you used for the main directory.



**WARNING**

**Do not start the DFSR service yet.**

3. On each spoke server, do the following:
  - a. Stop the DFSR service on the spoke server.
  - b. Delete the data in all devices and directories that you added GuardPoints for on the hub server.
  - c. In your key manager, create the same GuardPoints on the spoke server that you created on the hub server, making sure that you apply the same operational policy to each GuardPoint on the spoke server that you applied on the hub server.

Make sure you also create the same `DfsrPrivate` GuardPoints on the spoke server that you created on the hub server.

**Note**

Because the directories are empty, you do not need to use the initial encryption policy or the `dataxform` utility on the spoke servers. You can just guard the empty directory and the private directories directly using the production policy.

- d. Start the DFSR service on the spoke server.
4. Repeat the previous step for each spoke server in the configuration.
5. When every spoke server has the exact same production GuardPoints as the hub server, return to the hub server and do the following:
  - a. Start the DFSR service on the hub.
  - b. Force replication from the hub to the spokes.
6. When replication is complete to all spokes in the configuration, re-enable user and application access to the devices and directories you encrypted.

## Procedure for Option 2: Encrypt the Data on All Servers

1. Disable user and application access to all devices and directories you intend to encrypt so that no users can add or change the data during the transformation process. This must be done on the hub server and all spoke servers in the namespace.

**Note**

You do *not* have to take down the namespace itself.

2. On the hub server, do the following:
  - a. Disable access to the hub server so that no one can change the data during the transformation process.
  - b. Stop the DFSR service on the hub.
  - c. In your key manager, create the GuardPoints you want to encrypt and apply the initial encryption policy to those GuardPoints.

Make sure that all GuardPoints are at or above the level of the DFSR replication point as described in ["Considerations with DFSR" on page 52](#).

**Note:** Do not create GuardPoints for the `DfsrPrivate` directories yet.

- d. Run the `dataxform` utility on the hub server as described in the *CTE Data Transformation Guide*.
  - e. After the data encryption process has completed, unguard the GuardPoints that use the initial encryption policy and reguard them using the production DFSR policy.
  - f. If any of your GuardPoints are at the directory level, create a GuardPoint for the `<dir name>\DfsrPrivate` directory that goes with that GuardPoint. For example, If the GuardPoint is `D:\data\`, the private directory would be `D:\data\DfsrPrivate`. Make sure you use the same production policy for the `DfsrPrivate` directory that you used for the main directory.
  - g. Restart the DFSR service on the hub server.

3. On each spoke server, do the following:
  - a. Stop the DFSR service on the spoke server.
  - b. In your key manager, create the same GuardPoints on the spoke server that you created on the hub server, making sure that you apply the same initial encryption policy to the GuardPoints on the spoke server that you applied on the hub server.  
Do not create the `DfsrPrivate` GuardPoints yet.
  - c. On the spoke server, run the `dataxform` utility as described in the *CTE Data Transformation Guide*.
  - d. After the data encryption process has completed, unguard the GuardPoints that use the initial encryption policy and reguard them using the same production DFSR policy that you used for the corresponding GuardPoint on the hub server.
  - e. Create the same `DfsrPrivate` GuardPoints on the spoke server that you created on the hub server. Make sure you use the same production policy for the `DfsrPrivate` directory that you used for the main directory.
  - f. Restart the DFSR service on the spoke server.
  - g. Re-enable user and application access to the spoke server.
4. Repeat the previous step for each spoke server in the configuration.
5. When data encryption is complete to all spokes in the configuration, re-enable user and application access to the devices and directories you encrypted.

## Creating Standard GuardPoints with the DFSR Full Mesh Topology

If you are using the full mesh DFSR topology, you must restrict access to the data on all servers in the namespace until it has been encrypted on all servers in the namespace. That means the data will be inaccessible to users and applications until the encryption procedure has been completed on all servers.

### Prerequisites

- Make sure you have a good backup of the data you plan to encrypt.
- Make sure you know what devices or directories you plan to protect.
- Make sure you understand how data transformation GuardPoints are created as described in the *CTE Data Transformation Guide*.
- Make sure you have an initial encryption and a production policy as described in "[Creating Standard Policies for DFSR](#)" on page 56.

#### Note

The following procedure assumes you are using `dataxform` to encrypt the data in place. If you are using the copy or restore encryption method, see the *CTE Data Transformation Guide*.

### Procedure

1. On *all* servers in the configuration:
  - Disable user and application access to all devices and directories you intend to encrypt so that no users can add or change the data during the transformation process.
  - Stop the DFSR service on each server.

The DFSR service must be stopped on all servers before you can create the GuardPoints on any server in the configuration.

2. On one of the servers in the configuration, do the following:
  - a. In your key manager, create the GuardPoints you want to encrypt and apply the initial encryption policy to those GuardPoints.

Make sure that all GuardPoints are at or above the level of the DFSR replication point as described in ["Considerations with DFSR" on page 52](#).

**Note:** Do not create GuardPoints for the `DfsrPrivate` directories yet.

- b. Run the `dataxform` utility on the server as described in the *CTE Data Transformation Guide*.
  - c. After the data encryption process has completed, unguard the GuardPoints that use the initial encryption policy and reguard them using the production DFSR policy.
  - d. If any of your GuardPoints are at the directory level, create a GuardPoint for the `<dir name>\DfsrPrivate` directory that goes with that GuardPoint. For example, If the GuardPoint is `D:\data\`, the private directory would be `D:\data\DfsrPrivate`. Make sure you use the same production policy for the `DfsrPrivate` directory that you used for the main directory.
3. Repeat the previous step for each one of the servers in the configuration.

When you are done, the production GuardPoints should be identical on every server in the namespace.
4. Restart the DFSR service on the each server in the namespace.
5. Re-enable user and application access to all devices and directories.

## Using the CTE-LDT Encryption Method

If you want to encrypt your data using the live data transformation encryption method, you need to create a Live Data Transformation policy and use that to create your GuardPoints. All encryption will be done in the background while users continue to access the data.

With CTE-LDT, the data will be automatically rekeyed periodically based on the expiration date and the life span of the versioned key used to encrypt the data.

To use the CTE-LDT encryption method:

1. Make sure you have created the required policy components for DFSR as described in ["Creating Required DFSR Policy Components" on page 53](#).
2. If you do not already have a versioned encryption key, create one as described in *CTE-Live Data Transformation with Data Security Manager* or *CTE-Live Data Transformation with CipherTrust Manager*.
3. Create the Live Data Transformation policy as described in ["Creating a CTE-LDT Policy for DFSR" on the next page](#).
4. Create the GuardPoints you want to use as described in ["Creating a CTE-LDT GuardPoint for DFSR" on page 65](#).

## Creating a CTE-LDT Policy for DFSR

How you create policies for DFSR depends on the key manager that you are using.

### Procedure Using CipherTrust Manager

1. Log into the Console and switch to the correct domain if required.
2. If you do not know which versioned key you want to use to encrypt the data or you want to create a new key to use for the DFSR namespace, launch the Keys & Access Management application and locate an existing versioned key or create a new versioned key. For details on creating a versioned key for CTE-LDT, see *CTE-Live Data Transformation with CipherTrust Manager*.
3. Launch the **Transparent Encryption** application.
4. In the left-hand menu bar, click **Policies**.
5. Click **Create Policy**.
6. Enter a name for the policy in the **Name** field.
7. In the **Policy Type** field, select **Live Data Transformation**.
8. Click **Next**.
9. On the Security Rules page, make sure there is a security rule with the action **key\_op** and the effect **permit,applykey**. If CipherTrust Manager did not add this security rule automatically, go back to the General Info page and make sure that the policy type is set to **Live Data Transformation**.
10. On the Security Rules page, click **Create Security Rule** and add the following security rule:
  - In the **User Set** field, select the user set you created that contains NT AUTHORITY. For details, see ["Creating Required DFSR Policy Components" on page 53](#).
  - In the **Process Set** field, select the process set you created that contains the required DFSR processes `dfsrs.exe` and `ntoskrnl.exe`.
  - In the **Action** field, select `all_ops`.
  - In the **Effect** field, select `Permit`.

When you are done, click **Add** to save the security rule.

Resource Set	User Set	Process Set	Action	Effect	Browsing
▶			key_op	permit,applykey	No
▶	Local_NT_AUTH	DFSR-Processes		permit	Yes ***

11. Add any other security rules you need to your policy. When you are done, click **Next**.



12. On the Key Rules page, click Create Key Rule and add the following key rule:

- In the **Current Key** field, select `clear_key`.



**CAUTION**

In a DFSR environment, you *must* apply the CTE-LDT policy on unencrypted data **ONLY** (the current key must be set to `clear_key`). If your data is already encrypted, you must decrypt it and completely remove the existing GuardPoint before re-encrypting the data with a new key from scratch. For details, see "[Considerations with DFSR](#)" on page 52.

- In the **Transformation Key** field, select the CTE-LDT versioned key you want to use to encrypt the data.

When you are done, click **Add** to save the key rule.

Resource Set	Current Key Name	Transformation Key Name	Exclusion Rule	
	clear_key	DRSR-LDT-Key	No	...

13. Click **Next**.

14. Verify the policy information and click **Save** to save the CTE-LDT policy.

## Creating a CTE-LDT GuardPoint for DFSR

Before you can create a CTE-LDT GuardPoint, you must set CTE-LDT to ignore the DFSR private directory that Microsoft automatically creates when you create a DFSR replication point. The private directory should **not** be encrypted by CTE-LDT.

1. Log into one of the DFSR servers in your network as an administrator.
2. For each GuardPoint you intend to set up on the server, exclude the matching `DfsrPrivate` directory from the CTE-LDT process using the `voradmin ldt exlist add <guard path>` command.

For example, if you are going to guard `D:\data`, `G:\HR Files`, and the entire `F:` drive, you would use the following commands:

```
voradmin ldt exlist add D:\data\DfsrPrivate
voradmin ldt exlist add G:\HR Files\DfsrPrivate
voradmin ldt exlist add F:\DfsrPrivate
```

To make sure CTE-LDT is ignoring the proper directories, use the `voradmin ldt exlist get` command:

```
C:\>voradmin ldt exlist get
```

```
Live Data Transformation exclusion list. Following GuardPoints will be excluded from the Live Data Transformation.
```

```
G:\HR Files\DfsrPrivate
D:\data\DfsrPrivate
F:\DfsrPrivate
```

3. Reboot all of the CTE-LDT agent hosts before you create any CTE-LDTGuardPoints.
4. Repeat the previous step on each server in your configuration before you create any CTE-LDT GuardPoints.

5. After you have excluded all `DfsrPrivate` directories on all servers from CTE-LDT processing, log into your key manager and set your CTE-LDT properties. When you begin the initial encryption, Thales recommends that you throttle the CTE-LDT processing speed with a CPU cap of 20%. You can increase this cap as more of the data is encrypted and there are fewer deltas between the DFS staging area and the production area.

How you set the cap depends on the key manager that you are using:

- For CipherTrust Manager, launch the **CTE** application and create a Profile with the appropriate Quality of Service configuration parameters. Then make sure that all clients in the DFSR configuration use that profile.

6. Create the required CTE-LDT GuardPoints using the Live Data Transformation policy you created.

You need to create the same set of GuardPoints, using the same Live Data Transformation policies, on each server in the configuration. For example, let's say you set up the following GuardPoints for the first server:

Guard Path	CTE-LDT Policy Name
D:\data	LDT-Policy-Main
D:\data\DfsrPrivate	LDT-Policy-Main
F:\	LDT-Policy-Main
F:\DfsrPrivate	LDT-Policy-Main
G:\HR Files	LDT-Policy-HR
G:\HR Files\DfsrPrivate	LDT-Policy-HR

You must then set up the same six GuardPoints using the same two CTE-LDT policies on each server in the configuration.

# Chapter 8: Secure Start

---

This chapter describes encrypting an Microsoft Active Directory (AD) with the Secure Start feature. It contains the following topics:

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<a href="#">Prerequisites</a>	67
<a href="#">Encrypt by Moving the AD Service into a Guarded Directory</a>	68
<a href="#">Encrypt Data in Place with Offline Transformation</a>	69
<a href="#">Encrypt with an LDT Transformation Policy</a>	70
<a href="#">Configure the Time Out Failure</a>	70
<a href="#">Recover a Server After it Loses Connection to the Key Manager</a>	70
<a href="#">Other Use Cases</a>	71
<a href="#">Best Practices for Encrypting and Protecting the AD Service</a>	71

## Secure Start Overview

Secure Start offers data protection for applications which start earlier in the boot sequence than VMD (Vormetric Daemon). For example, the Microsoft Active Directory (AD) system service starts very early in the boot sequence. To determine if another application qualifies, contact Thales technical support.

### Notes

- Secure Start is included with CTE. You do not have to purchase it separately.
- Secure Start is supported on Windows Server 2008 R2 and later versions.

There are three methods for encrypting the AD directory:

- ["Encrypt by Moving the AD Service into a Guarded Directory" on the next page](#)
- ["Encrypt Data in Place with Offline Transformation" on page 69](#)
- ["Encrypt with an LDT Transformation Policy" on page 70](#)

## Prerequisites

Prior to using Secure Start to guard your AD database:

1. Backup your AD database:
  - a. Navigate to **Administrative Tools**.
  - b. Click **Windows Server Backup**.
  - c. Click **Action > Backup Once**.
  - d. Follow the instructions in the Backup Wizard to create a backup of the server in a local drive.

**Note:** When the backup operation completes, it saves the server backup in `<backup drive>:\WindowsImageBackup\<BackupComputerName>`.

2. Perform a system state backup.
3. Obtain the Microsoft DSRM (Data Services Restore Mode) password.
4. Ensure that your AD database is not in `c:\Windows\NTDS`.



#### WARNING

Do not put your AD database in `c:\windows` or `c:\Program files`. Secure Start cannot encrypt or decrypt any files in those folders.

## Encrypt by Moving the AD Service into a Guarded Directory

You can move the AD service into a directory protected by a standard or LDT production policy. This method does not require the initial data transformation step. When you move the AD service into this directory, CTE immediately encrypts the data with either policy.

#### Note

This step occurs when the system is in DSRM mode, so users have no access to the AD service.

### Create the AD GuardPath directory

Create the directory in which the AD service will reside.

1. Log in to the Active Directory Server in DSRM mode using the DSRM password. User ID is Administrator.
2. Create a folder to which you will move the AD database.

### Apply Secure Start GuardPoints to a Directory with CipherTrust Manager

To apply Secure Start GuardPoints in **CM**:

1. In the CipherTrust Manager Applications Page, click **CTE > Clients > <clientName>**.
2. Click **Create GuardPoint**.
3. In the Policy field, select a policy.
4. Set Type to **Auto Directory**.
5. Click **Browse**, navigate to, and select, the folder that you just created for the AD database.
6. Select the option: **Secure Start**.
7. Click **Create**.
8. Click **No** to the question, "Would you like to use these GuardPoint settings on another GuardPoint with a different path?" because you are only guarding the AD database.

### Verify the Secure Start GuardPoint with CLI

After the policy is pushed to the Active Directory Server, verify the GuardPoints.

To verify the GuardPoints, type:

```
> voradmin ss verify <GuardPoint_path>
Successfully completed the command verify
Success from kernel -Successfully verified the secure start GP
```

### Move the AD Database into the Secure Start GuardPoint

Move your AD database from the default location (`c:\windows\NTDS`) to this newly created protected folder.

To move the AD database:

1. In DSRM mode, login using the DSRM password. User ID is Administrator.
2. Start NTDSUTIL utility, type:  

```
> activate instance ntds
```
3. Type:  

```
> files
```
4. Type:  

```
> move db to \<GuardPoint>
```
5. Type:  

```
> move logs to \<GuardPoint>
```
6. Exit NTDSUTIL utility.
7. Reboot the system into normal mode. The Active Directory Services automatically starts after rebooting.

**Note**

This step occurs when the system is in DSRM mode, so users have no access to the AD service.

## Encrypt Data in Place with Offline Transformation

Encrypting the AD database with a standard (production), or offline policy is very similar to encrypting other data with a standard (production), or offline policy.

The advantage to encrypting data in place is that it saves space. When you copy/move a directory into a guarded directory, you will need twice as much space to store the data because you leave a copy of the data in the original folder, as a precaution, until the original directory has been successfully moved and encrypted. Once the data is transformed, then you can delete the directory that contains the decrypted/clear data.

Using this method, you perform an Initial Data Transformation using the `dataxform` command line utility. During this transformation, access to the GuardPoint data is blocked. After initial transformation, you remove the initial policy, and then apply a production policy, so users can access the data.

**Notes**

- This step occurs when the system is in DSRM mode, so users have no access to the AD service.
- If your AD service is installed in the default directory, `C:\Windows\NTDS`, you must move it to another directory before you can encrypt it. See ["Encrypt by Moving the AD Service into a Guarded Directory" on the previous page](#) for more information.

To encrypt the data:

1. In DSRM mode, login using the DSRM password. User ID is Administrator.
2. Create and apply a `dataxform` policy to the GuardPoint directory.
3. Run the `dataxform` command.
4. Remove the `dataxform` policy on the GuardPoint and replace it with a production policy.
5. Reboot out of DSRM mode.

## Encrypt with an LDT Transformation Policy

Encrypting the AD database with an LDT policy uses the same steps as encrypting with a standard production policy. The only difference is that you select an LDT policy instead of a standard one. See ["Encrypt by Moving the AD Service into a Guarded Directory" on page 68](#) for more information.

### Note

If your AD service is installed in the default directory, `C:\Windows\NTDS`, you must move it to another directory before you can encrypt it.

## Configure the Time Out Failure

During the initial access to a Secure Start GuardPoint, the CTE agent sets a timer. The default duration is 30 seconds, but you can configure the duration. Minimum duration is one second, maximum duration is 300 seconds.

Data inside the GuardPoint is accessible without CipherTrust Manager connectivity until the timeout is reached. VMD service activates and makes a secure connection to the CipherTrust Manager. After the VMD makes a secure connection, the agent verifies that it is connected to correct CipherTrust Manager. If the VMD fails to connect to the CipherTrust Manager, the timeout is reached, and if AD is installed, the agent shuts down the system for data security purposes.

### Note

In DSRM mode, when the timeout occurs, CTE removes the keys from memory. However, CTE does not shut down the system.

In normal mode, CTE shuts down the AD server. For any other application, or if AD is not installed, Secure Start does not shut down the server. However, the data inside the GuardPoint becomes inaccessible until CipherTrust Manager connectivity is restored, or you issue a challenge/response, or password. After the timer has expired, CTE denies any further access to the Secure Start GuardPoint.

1. To configure the timeout duration in seconds, use the `voradmin ss settimeout <timeout>` command. For example:

```
C:\> voradmin ss settimeout 220
Successfully completed the command settimeout
Successfully set the Secure Start timeout value to 220 seconds
```

2. To verify the timeout duration, type:

```
C:\> voradmin ss gettimeout
Successfully completed the command gettimeout
Secure Start timeout value is set to 220 Seconds
```

## Recover a Server After it Loses Connection to the Key Manager

### Prerequisites

Before rebooting your active directory servers, ensure that CipherTrust Manager connectivity is strong. If it is not strong, restore the CipherTrust Manager connectivity.

### Note

When trying to fix a CipherTrust Manager connectivity issue, you can log in to DSRM mode. In DSRM mode, there is no requirement to increase the timeout, because in DSRM mode, the AD system does not shut down after timeout expires.

## DSRM Mode

The first method for recovering a server relies on manual CipherTrust Manager connection troubleshooting:

1. Boot into DSRM mode.
2. Attempt to resolve why the server is not connecting to the CipherTrust Manager.
3. Fix that CipherTrust Manager connectivity issue.
4. Reboot into normal mode.

## Other Use Cases

Using Secure Start GuardPoints, you can also secure an SQL Server on Microsoft Azure in certain scenarios. SQL system services in Azure also boot earlier in the boot sequence than the VMD (Vormetric Daemon) agent service.

### Note

To determine if another application qualifies, contact Thales technical support.

## Boot a Windows Server in Azure

To move and guard the AD database, you must boot the AD server into DSRM mode.

To boot a Windows Server 2012/2016 Domain Controller into DSRM remotely in Azure:

### Note

The Windows Server 2012/2016 domain controller must be running and accessible through Windows Remote Desktop.

1. Establish a Remote Desktop session on the domain controller.
2. Open an command prompt as Administrator and type:  
> `bcdedit /set safeboot dsrepair`
3. Reboot the domain controller. The Remote Desktop session disconnects.
4. Wait a few minutes, then establish a new Remote Desktop session. The domain controller will be running in DSRM.
5. To reboot into normal mode, open an command prompt as Administrator and type:  
> `bcdedit /deletevalue safeboot`
6. Reboot the domain controller.

## Best Practices for Encrypting and Protecting the AD Service

Thales recommends the following best practices when using Secure Start with an AD service.

## Access Control with Secure Start

User can setup a restricted access control policy with encryption to prevent the unauthorized access of AD database files. The restricted policy with Secure Start:

- Prevents a rogue user from logging into the system, and moving or copying the AD database files to another directory and tampering with it.
- Denies permissions, after you setup and guard files, so that no one can move a file from the guarded directory. Plus it restricts any other unwanted/unnecessary process or users from tampering with AD files.
- Provides permission for an authorized user who needs access to AD services and files.

## Creating a Minimal Policy Required for AD with Access Control

When creating a normal, strict policy for access control, you must allow access to the following processes and directories for Active Directory.

### Processes

```
secfsd.exe (C:\Program
Files\Vormetric\DataSecurityExpert\agent\secfs\ sec\bin\
lsass.exe (C:\Windows\System32\
vds.exe (C:\Windows\System32\
vssvc.exe (C:\Windows\System32\
wbengine.exe (C:\Windows\System32\
ntoskrnl.exe (C:\Windows\System32\)
```

### Users

```
NT AUTHORITY\SYSTEM
```

To create a minimal policy:

1. Create a User Set named **AD\_Minimum\_User\_Set** with the following parameters:

ID	uname	osDomains
1	SYSTEM	NT AUTHORITY

2. Create a Process Set named: **AD\_Process\_Set** with the following parameters:

ID	Directory	Base Name
1	C:\Program Files\Vormetric\DataSecurityExpert\agent\secfs\sec\bin	secfsd.exe
3	c:\Windows\System32\	ntoskrnl.exe
4	c:\Windows\System32\	vds.exe
5	c:\Windows\System32\	vssvc.exe
6	c:\Windows\System32\	wbengine.exe
7	c:\Windows\System32\	lsass.exe

3. Create a Security rule set with the following parameters:

Order	User	Process	Action	Effect	Browsing
1	AD_Minimum_User_Set	AD_Process_Set	all_ops	Audit, Permit, Apply key	Yes
2				Audit, Deny	Yes



## Creating a Restricted Policy in DSRM Mode

Create the following policy for the initial transformation of an AD database in DSRM mode. The policy allows access to the local administrator.

In DSRM mode, you use the `NTDSUTIL` utility to perform maintenance for an Active Directory.

To create a restricted policy:

1. Create a User Set named **AD\_Minimum\_User\_Set** with the following parameters:

ID	uname	osDomains
1	SYSTEM	NT AUTHORITY
2	Administrator	localhost

2. Create a Process Set named: **AD\_Process\_Set** with the following parameters:

ID	Directory	Base Name
1	C:\Program Files\ Vormetric\DataSecurityExpert\agent\secfs\sec\bin	secfsd.exe
2	c:\Windows\System32\	ntdsutil.exe
3	c:\Windows\System32\	ntoskrnl.exe
4	c:\Windows\System32\	vds.exe
5	c:\Windows\System32\	vssvc.exe
6	c:\Windows\System32\	wbengine.exe
7	c:\Windows\System32\	lsass.exe

3. Create a Security rule with with the following parameters:

Order	User	Process	Action	Effect	Browsing
1	AD_Minimum_User_Set	AD_Process_Set	all_ops	Audit, Permit, Apply key	Yes
2				Audit, Deny	Yes

## Guard Directories

The best practice for guarding a directory with a Secure Start GuardPoint is to:

1. Create a directory.
2. Guard that directory with a standard production or LDT policy. Follow the steps in ["Apply Secure Start GuardPoints to a Directory with CipherTrust Manager"](#) on page 68.
3. Move the AD service into that directory.

## Perform Subsequent System State Backups

After you move an AD service into a guarded directory, or out of a guarded directory:

1. Perform another system state backup.
2. Save this subsequent backup to a different location.

# Chapter 9: Exchange DAG

---

This chapter describes encrypting email databases using Microsoft Exchange database availability group (DAG). It contains the following topics:

Exchange DAG Overview .....	75
CTE Policies for Exchange DAG .....	76
Encrypting with CTE-LDT in an Exchange DAG Environment .....	79
Encrypting with a Standard CTE Policy in the Exchange DAG Environment .....	81
Decrypting with CTE-LDT in an Exchange DAG Environment .....	83

## Exchange DAG Overview

A DAG is a high-availability (HA) and data-recovery feature of the Microsoft Exchange Server. A DAG, which can consist of up to 16 Exchange mailbox servers, automates recovery at the database level after a database, server or network failure. You can now use CTE for Windows to encrypt Exchange DAG mailboxes.

You can encrypt the Exchange databases with a standard (offline) policy or an CTE-Live Data Transformation (CTE-LDT) policy. In an offline policy, users cannot access the database during initial data encryption. With a CTE-LDT policy, CTE encrypts the data while users and applications are accessing the files. CTE-LDT is used for Initial data transformation as well as transparent encryption and decryption.

### Note

For more information about CTE-LDT and standard data transformation, see *CTE-Live Data Transformation with CipherTrust Manager*, *CTE-Live Data Transformation with Data Security Manager*, or the *CTE Data Transformation Guide*. All CTE documentation is available at <https://thalesdocs.com/ctp/cte/index.html>.

## Supported Use Cases for CTE in an Exchange DAG Environment

CTE has been tested by Thales in the following scenarios:

- Initial data transformation of Exchange databases using either CTE-Live Data Transformation or standard data transformation.
- Transparent encryption or decryption of the Exchange database on DAG nodes.
- Key rotation using a CTE-LDT policy.

Thales also tested the following Exchange DAG operations during the above scenarios:

- Failover/Failback of databases from one node to another node and making both databases active on each node.
- Adding new Databases to the existing nodes.

## Unsupported Use Cases

The following scenarios are not supported:

- Using different encryption keys on Exchange DAG nodes; both nodes must use the same encryption key
- Adding a new node to the Exchange DAG Environment. CTE only supports two Exchange DAG nodes.
- The encryption of Exchange Binaries.

- Using nodes in a different subnet, data center, or site. (Thales is not testing this scenario, but we do not believe it will cause any issues.)

## CTE Policies for Exchange DAG

The CTE policies you need depend on the type of encryption you will be using.

- When you use CTE-LDT encryption, you only need to create one Live Data Transformation policy. This policy will be used for both the initial data encryption and guarding the data in production. CTE-LDT requires a versioned CBC or CBC\_CS1 key in order to perform automatic key rotation.
- When you use standard encryption, you need to create two policies:
  - The *initial encryption* policy specifies the current encryption key (if any) and the encryption key you want CTE to use when it encrypts the data. This policy also denies access to any other process trying to access the GuardPoint.  
You apply the initial encryption policy when you first create the GuardPoint, and you leave it in place until all of the data has been encrypted. After that, you remove this policy from the GuardPoint.
  - The *production* policy specifies the same encryption key as the initial encryption policy along with any security rules you want to use to protect your data in production. After the initial encryption has completed, you apply the production policy to the GuardPoint and allow users and applications to access the now-protected data.

### Note

There are no special CTE policy requirements for Exchange DAG with either CTE-LDT or Standard encryption. Therefore, you can use the same policies in an Exchange DAG environment that you use for any other CTE-protected directory.

The only special requirement for Exchange DAG is the guard path you specify when you create the GuardPoint. You must guard the Mailbox directory only. Do not guard above or below the Mailbox directory. For details, see "[Encrypting with CTE-LDT in an Exchange DAG Environment](#)" on page 79 or "[Encrypting with a Standard CTE Policy in the Exchange DAG Environment](#)" on page 81.

How you create these policies depends on the key manager that you are using. For details, see one of the following:

- "[Creating a Policy for CTE-LDT Encryption with CipherTrust Manager](#)" below
- "[Creating Policies for Standard Encryption with CipherTrust Manager](#)" on the facing page

## Creating a Policy for CTE-LDT Encryption with CipherTrust Manager

When you use CTE-LDT encryption, you only need to create one policy. This policy will be used for both the initial data encryption and guarding the data in production. CTE-LDT requires a versioned CBC or CBC\_CS1 key in order to perform automatic key rotation. For details, see the *CTE-Live Data Transformation with CipherTrust Manager* guide for the version of CTE that you are using. All CTE documentation is available at <https://thalesdocs.com/ctp/cte/index.html>.

1. Log into CipherTrust Manager and launch the **CTE** application.
2. In the left-hand menu bar, click **Policies**.
3. Click **Create Policy**.
4. For **Name**, make sure you use a name that clearly designates this as a CTE-LDT policy. You will need to be able to find this policy name from the list of all available policies when you create the GuardPoint.
5. For **Policy Type**, select **Live Data Transformation**.

6. Click **Next** to go to the Security Rules page. CipherTrust Manager should have automatically added a security rule for **Action:** `key_op`, **Effect:** `permit, applykey`. If this security rule is not there, click **Back** and make sure you have selected **Live Data Transformation** in the **Policy Type** field.
7. Enter any other security rules you want to use based on your production environment requirements. You can add as many security rules as you need to define who should have access to the protected data.  
For more information about the type of rules you may want to use, or ways to exclude some data from encryption, see the *CTE-Live Data Transformation with CipherTrust Manager* guide for the version of CTE that you are using. All CTE documentation is available at <https://thalesdocs.com/ctp/cte/index.html>.
8. When you are done specifying your security rules, click **Next** to go to the Key Rules page.
9. Click **Create Key Rule** and enter the following information:
  - In the **Current Key Name** field, click **Select** to specify the current encryption key used for the data. If the data is unencrypted, specify `clear_key` as the encryption key.
  - In the **Transformation Key Name** field, click **Select** to specify the versioned encryption key you want to use to encrypt the data. When you are done, click **Add**.

**Tip:** You can also create a new key at this point if desired. For details on creating an encryption key, see your CipherTrust Manager documentation.

For example:

Resource Set	Current Key Name	Transformation Key Name	Exclusion Rule	
	clear_key	VersionedKey-AES256	No	...

10. Click **Next** to go to the Confirmation page.
11. Verify your selections and click **Save** to save the policy.

## Creating Policies for Standard Encryption with CipherTrust Manager

When you use standard encryption, you need to create two policies:

- The *initial encryption* policy specifies the current encryption key (if any) and the encryption key you want CTE to use when it encrypts the data. This policy also denies access to any other process trying to access the GuardPoint.  
You apply the initial encryption policy when you first create the GuardPoint, and you leave it in place until all of the data has been encrypted. After that, you remove this policy from the GuardPoint.
- The *production* policy specifies the same encryption key as the initial encryption policy along with any security rules you want to use to protect your data. After the initial encryption has completed, you apply the production policy to the GuardPoint and allow users and applications to access the now-protected data.

### Creating the Initial Encryption Policy

1. Log into CipherTrust Manager and launch the **CTE** application.
2. In the left-hand menu bar, click **Policies**.
3. Click **Create Policy**.
4. For **Name**, make sure you use a name that clearly designates this as an initial-encryption policy and not a production policy. You will need to be able to find this policy name from the list of all available policies when you create the GuardPoint.

5. For **Policy Type**, select **Standard**.
6. Enable the **Data Transformation** check box.
7. Click **Next** to go to the Security Rules page. CipherTrust Manager should have automatically added a security rule for **Action**: `key_op`, **Effect**: `permit,applykey`. If this security rule is not there, click **Back** and make sure you have enabled the **Data Transformation** check box.
8. Click **Create Security Rule** and do the following:
  - a. In the **Action** field, select `all_ops`.
  - b. In the **Effect** field, select `deny`.
  - c. Click **Add** to return to the Security Rules page.You should now have two security rules, as shown:

Resource Set	User Set	Process Set	Action	Effect	Browsing	
			key_op	permit,applykey	Yes	...
			all_ops	deny	Yes	...

9. Click **Next** to go to the Key Rules page.
10. Click **Create Key Rule**.
11. In **Current Key Name**, click **Select** to specify the current encryption key used for the data. If the data is unencrypted, specify `clear_key` as the encryption key. When you are done, click **Add**. For example:

Resource Set	Current Key Name	
	clear_key	...

**Tip:** You can also create a new key at this point if desired. For details on creating an encryption key, see your CipherTrust Manager documentation.

12. Click **Next** to go to the Data Transformation page.
13. Click **Create Data Transformation Rule**.
14. In the **Transformation Key Name** field select the encryption key you want to use to encrypt the data. This key must match the one specified in the production policy you intend to apply to the GuardPoint after the data has been encrypted. For example, if you want to encrypt the data with the key `CS1_AES256`, you would specify the following transformation rule:

Resource Set	Transformation Key Name	
	CS1-AES256	...

15. Click **Next** to go to the Confirmation page.
16. Verify your selections and click **Save** to save the policy.

## Creating the Production Policy

1. Launch the **CTE** application.
2. In the left-hand menu bar, click **Policies**.
3. Click **Create Policy**.
4. For **Name**, make sure you use a name that clearly designates this as a production policy and not an initial encryption policy. You will need to be able to find this policy name from the list of all available policies when you create the GuardPoint.
5. For **Policy Type**, select **Standard**.
6. Click **Next** to go to the Security Rules page. Enter the security rules you want to use based on your production environment requirements. You can add as many security rules as you need to define who should have access to the protected data.
7. When you are done, click **Next** to go to the Key Rules page.
8. Click **Create Key Rule**.
9. In **Key Name** field, click **Select** to specify the encryption key used to transform the data in the initial encryption policy. When you are done, click **Add**. For example:

Resource Set	Key Name
	CS1-AES256 ...

10. Click **Next** to go to the Data Transformation page.
11. Click **Create Data Transformation Rule**.
12. In the **Transformation Key Name** field select the encryption key you want to use to encrypt the data. This key must match the one specified in the production policy you intend to apply to the GuardPoint after the data has been encrypted. For example, if you want to encrypt the data with the key CS1\_AES256, you would specify the following transformation rule:

Resource Set	Transformation Key Name
	CS1-AES256 ...

13. Click **Next** to go to the Confirmation page.
14. Verify your selections and click **Save** to save the policy.

## Encrypting with CTE-LDT in an Exchange DAG Environment

### Prerequisites

Before you can start the CTE-LDT data encryption process, you need to:

- Create or identify the CTE policy you want to use for data encryption. CTE-LDT uses a single Live Data Transformation policy for both initial encryption and subsequent rekeys, so the policy you use should have all the access control rules you want to use for your data when it is in production. For details, see ["CTE Policies for Exchange DAG" on page 76](#).

- Set your Quality of Service (QoS) settings. QoS enables administrators to manage and control CTE-LDT impact to application workloads by monitoring and controlling the use of host system resources, such as memory or I/O utilization, during data transformation.

For details about using CTE-LDT, see *CTE-Live Data Transformation with Data Security Manager* or *CTE-Live Data Transformation with CipherTrust Manager* for the version of CTE that you are using. All CTE documentation is available at <https://thalesdocs.com/ctp/cte/index.html>.

## Procedure

1. In the **Exchange Admin Center**, make Exchange node 1 the primary node.  
Make node 1 the active node and move all of the databases to that node.
2. Make all of the databases active on node 1.
3. Suspend all databases on node 2. Wait for 2-3 minutes for the database to finish with replication so the database will be suspended.



### WARNING

**Make sure that all of the Exchange services in node 2 are down and not accessing the Exchange databases. All Exchange Services must be stopped, all databases must be suspended, and all data replication between the nodes must be stopped. Any file access on the node during the encryption process could cause data corruption.**

4. When you are certain that all Exchange DAG services have been suspended on node 2, create the GuardPoints you want to use on node 2 with the appropriate Live Data Transformation policy. When you create the GuardPoints:
  - Make sure you are guarding each host individually. Do *not* assign the GuardPoints using a Host or Client Group because you only want these GuardPoints to exist on node 2 at this point.
  - **Important:** When you specify the guard path, only guard the Mailbox Database. Do *not* guard at a higher or lower directory. For example:
    - **Correct:** C:\Program Files\Microsoft\Exchange Server\V15\Mailbox\Mailbox Database 1088388171\  
1088388171\  
1088388171\
    - **Incorrect:** C:\Program Files\Microsoft\Exchange Server\V15\Mailbox\Mailbox Database 1088388171\Inbox\ — This is *not* correct because it's below the mailbox database directory.
  - Make sure that **Secure Start** is on for the GuardPoints.

The following example shows two correctly-specified GuardPoints in CipherTrust Manager:

Status	Policy	Protected Path	Type	Client Group	Rekey Status	Enabled
Active	Datafor...	C:\Program Files\Microsoft\Exchange Server\V15\Mailbox\Mailbox Database 2035273064	directory_auto	-	N/A	Yes
Active	Datafor...	C:\Program Files\Microsoft\Exchange Server\V15\Mailbox\Mailbox Database 1088388171	directory_auto	-	N/A	Yes

Live data transformation on node 2 begins as soon as the GuardPoints become active on node 2.

5. Wait until CTE-LDT has finished transforming the data in all GuardPoints on node 2.



6. In the **Exchange Admin Center**, go to the Exchange Database tab and **Resume** all Passive database copy on node 2.
7. Wait for the server to move to the healthy state. If it does not, wait for some more time for the Content Index state to change to Healthy.



**WARNING**

It may take a few minutes for the Exchange Service to resync. Monitor the Exchange logs on the system and make sure that replication is working. Make sure that database replication finishes and databases are in a healthy state before proceeding.

8. In the **Exchange Admin Center**, move all of the databases from node 1 to node 2.  
Now the databases on node 1 are mounted as passive. All databases on node 2 are mounted as active.
9. Create the same GuardPoints on node 1 that you created on node 2. Make sure that all GuardPoints on node 1 are identical to those on node 2.



**WARNING**

You must guard the same databases with the same Live Data Transformation Policy and the same encryption key on both nodes.

## Encrypting with a Standard CTE Policy in the Exchange DAG Environment

### Prerequisites

Before you can start the standard (offline) data encryption process, you need to:


- Decide if you will be using the copy/restore method or the `CTEdatatform` utility in order to perform the initial encryption. For details about these methods and their specific benefits and limitations, see the *CTE Data Transformation Guide* for the version of CTE that you are using. All CTE documentation is available at <https://thalesdocs.com/ctp/cte/index.html>.
- Create or identify the encryption key that you want to use for the initial data encryption.
- Create or identify the Standard policies that you want to use for the initial data encryption and for protecting the data in production after it has been initially encrypted. For details, see "[Creating Policies for Standard Encryption with CipherTrust Manager](#)" on page 77.

### Procedure

1. In the **Exchange Admin Center**, make Exchange node 1 the primary node.  
This means that node 1 is mounted as the active node and node 2 is mounted as the passive node.
2. Make all of the databases active on Exchange node 1.

- Go to the Exchange Database tab and suspend all database on node 2.

Make sure that all of the exchange database services in node 2 are down and not accessing the Exchange databases. This process can take several minutes.

 **WARNING**  
**Make sure that all of the Exchange services in node 2 are down and not accessing the Exchange databases. All Exchange Services must be stopped, all databases must be suspended, and all data replication between the nodes must be stopped. Any file access on the node during the encryption process could cause data corruption.**

- When you are certain that all Exchange DAG services have been suspended on node 2, create the GuardPoints you want to use on node 2 with the appropriate Standard data transformation policy that you want to use for the initial data encryption. When you create the GuardPoints:
  - Make sure you are guarding each host individually. Do *not* assign the GuardPoints using a Host or Client Group because you only want these GuardPoints to exist on node 2 at this point.
  - Important:** When you specify the guard path, only guard the Mailbox Database. Do *not* guard at a higher or lower directory. For example:
    - Correct:** C:\Program Files\Microsoft\Exchange Server\V15\Mailbox\Mailbox Database 1088388171\  
 1088388171\  
 1088388171\
    - Incorrect:** C:\Program Files\Microsoft\Exchange Server\V15\Mailbox\Mailbox Database 1088388171\Inbox\ — This is *not* correct because it's below the mailbox database directory.
  - Make sure that **Secure Start** is on for the GuardPoints.

The following example shows two correctly-specified GuardPoints in CipherTrust Manager:

Status	Policy	Protected Path	Type	Client Group	Rekey Status	Enabled
Active	Datafor...	C:\Program Files\Microsoft\Exchange Server\V15\Mailbox\Mailbox Database 2035273064	directory_auto	-	N/A	Yes
Active	Datafor...	C:\Program Files\Microsoft\Exchange Server\V15\Mailbox\Mailbox Database 1088388171	directory_auto	-	N/A	Yes

- After all GuardPoints on node 2 have been enabled, run the `dataxform` utility for each GuardPoint:
 

```
dataxform --rekey --print_stat --gp <directory>
```
- After the data transformation is finished, unguard each mailbox on node 2, then re-guard each mailbox on node 2 with the appropriate Production policy.

**Note:** Use the same Key/Policy on both nodes.

See the *CTE Data Transformation Guide* guide for more information.

7. In the **Exchange Admin Center**, go to the Exchange Database tab and resume all databases on node 2. After a few minutes, all nodes should become Healthy.



**WARNING**

It may take a few minutes for the Exchange Service to resync. Monitor the Exchange logs on the system and make sure that replication is working. Make sure that database replication finishes and databases are in a healthy state before proceeding.

8. In the **Exchange Admin Center**, try to move a database from node 1 to node 2. If the data move is successful this means that node 2 is mounted as the active node and node 1 is mounted as the passive node.
9. Create the same GuardPoints on node 1 that you created on node 2. Make sure that all GuardPoints on node 1 are identical to those on node 2.



**WARNING**

You must guard the same databases with the same Standard Policy and the same encryption key on both nodes.

## Decrypting with CTE-LDT in an Exchange DAG Environment

### Prerequisites

- Make sure that the LDT state is set to REKEYED before unguarding.
- Make sure that all of the files inside the GuardPoint are at the same version of the key.
  - Run the LDT report to find the version:  

```
> voradmin ldt report <GuardPoint path> [<logfile>]
```
  - Run the Key map report to find the version:  

```
> voradmin ldt key [report|map] <key_name, version> <GuardPoint path>
```

### Procedure

1. Make sure that all of the Exchange services in node 2 are down and not accessing the Exchange databases.

**Note:** Suspension can take 2-3 Minutes.

2. In the **Exchange Admin Center**, make Exchange node 1 the primary node. This means that node 1 is mounted as the active node and node 2 is mounted as the passive node.
3. Make all of the databases active on Exchange node 1.
4. Go to the Exchange Database tab and suspend all databases on node 2.
5. Unguard the database folders that you previously guarded on node 2.
6. Delete all of the metadata on all of the database folders on node 2, type:  

```
> voradmin ldt attr delete [<file name path> | <guard path>]
```
7. Guard with an LDT policy set for Encryption to Clear on node 2.

**Note:** You must clone the current version of the encryption key to use as the current key in the new LDT policy and `clear_key` as the transformation key.

8. Go to the Exchange Database tab and resume all databases on node 2.

**Note:** After a few minutes, the databases should become healthy automatically. If not, wait for the LDT process to decrypt the data. Make sure that all of the data is transformed back to clear and that the LDT state is set to **REKEYED**.

9. Move the database from node 1 to node 2.
10. Repeat this procedure for node 1.
11. After both nodes are rekeyed and transformed from encryption to clear, unguard them:
  - a. In the **Exchange Admin Center**, make Exchange node 1 the primary node.  
This means that node 1 is mounted as the active node and node 2 is mounted as the passive node.
  - b. Make all of the databases active on Exchange node 1.
  - c. Go to the Exchange Database tab and suspend all databases on node 2.
  - d. Unguard the database folders that you previously guarded on node 2.



**WARNING**

**Always ensure that you are unguarding a passive node.**

- e. Repeat this procedure for Node 1.

# Chapter 10: Storage Spaces Direct

This chapter describes how CTE integrates with Windows Storage Spaces Direct (S2D) hyper-converged clusters. It contains the following sections:

S2D Overview .....	85
Deployment Options .....	85
Supported Use Cases .....	86

## S2D Overview

S2D uses industry-standard servers with local-attached drives to create high-availability (HA) software-defined storage. S2D is included in Windows Server 2019 Datacenter and Windows Server 2016 Datacenter, both of which are supported by CTE.

S2D extends the stack of usable storage devices to storage devices such as SATA and SAS HDD's, SSD's and NVMe (Non-Volatile Memory Express) disks to create shared disk volumes. S2D supports clusters of a minimum of two nodes, and a maximum of 16 nodes and 400 drives. S2D aggregates the available storage into a Storage Pool.

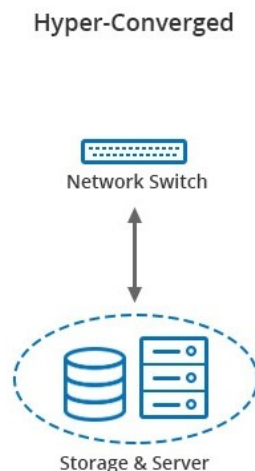
The hyper-converged deployment option runs virtual machines on the servers providing the storage.

A complete description of the S2D product, and instructions on how to set up the S2D environment is available on the Microsoft website at <https://docs.microsoft.com/en-us/windows-server/storage/storage-spaces/storage-spaces-direct-overview>

## Deployment Options

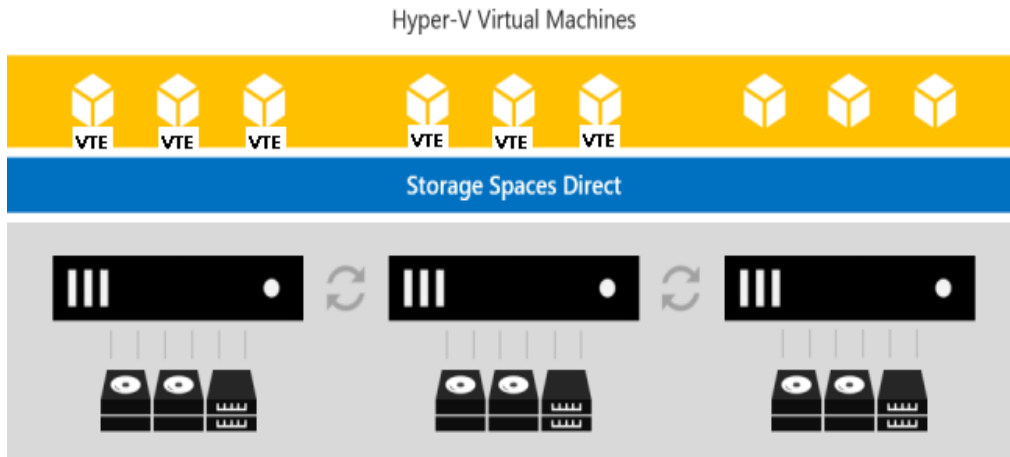
CTE supports S2D in a hyper-converged infrastructure where computing and storage components are in a single cluster as shown in the following figure.

**Figure 10-1: Hyper-converged infrastructure**



Hyper-converged with S2D and CTE virtual machines run on the servers providing the storage. In the following figure, CTE is installed inside 6 of the VMs to protect the data.

**Figure 10-2: High-Level view of S2D**



You can use all the capabilities of CTE to protect the data in the VMs in a S2D hyper-converged deployment. These capabilities are described in "[Supported Use Cases](#)" below.

## Supported Use Cases

Thales tested only Hyper-converged deployments in the following scenarios.

- Initial Data Transformation of data using:
  - Live Data Transformation
  - Offline Data Transformation
- Transparent Encryption/Decryption of structure and unstructured data
- Key rotation using a Live Data Transformation policy

# Chapter 11: Using CTE with Quantum StorNext

This chapter describes how to configure CTE and Quantum StorNext devices to interoperate to allow CTE policies to apply to storage managed by Quantum StorNext.

This section contains the following topics:

Overview of using CTE with Quantum StorNext .....	87
CTE and Quantum StorNext Compatibility .....	87
Setting up CTE and Quantum StorNext Integration .....	89

## Overview of using CTE with Quantum StorNext

Quantum StorNext Fibre Channel-connected devices provide shared file access to third party storage for workstation clients and are optimized for simultaneous access to very large files such as video files. The Quantum StorNext file system is known as SNFS or by its older name, CVFS.

You can encrypt and control access to SNFS files with policies by installing CTE Agents on Windows clients that are configured for access to the SNFS file system. Some limitations apply to this integration, such as supported operating systems, supported SNFS features, concurrent read/write access by multiple clients, and GuardPoint settings (see the next section for more information about these limitations).

## CTE and Quantum StorNext Compatibility

The following sections list the supported operating systems and CTE settings supported for use with Quantum StorNext file systems. Important unsupported configuration parameters are also listed.

## Supported StorNext Server and Client Configurations

The CTE integration with SNFS file systems works only with certain SNFS versions, SNFS storage policies, and client operating systems.

Configuration parameter	Windows
StorNext (SNFS) operating system version	6.x
StorNext metadata controller (MDC) server OS type	Windows MDC supported
StorNext replication policy	Not supported
StorNext deduplication policy	Not supported
StorNext truncation	Supported
StorNext full and partial backup	Supported
StorNext expand file system	Supported
StorNext data migration	Supported
StorNext read-ahead cache	Disable for use with CTE
Client operating systems	Windows Server 2012 R2, Windows Server 2016

Configuration parameter	Windows
StorNext LAN client	DLC
StorNext mount method: locally mounted directory	Supported
StorNext mount method: Windows drive letter	Supported
StorNext mount method: CIFS	Not supported
StorNext mount method: NFS	Not supported

## Supported GuardPoint and Key Settings for SNFS File Systems

When configuring CTE GuardPoints and keys for SNFS, keep in the mind the compatibility limitations listed in the following table.

Configuration element	Windows
Offline data transformation	Supported
Live Data Transformation (LDT)	Not supported
Key manager compatibility	See the <i>Compatibility Matrix for CTE Agent with Data Security Manager</i> or the <i>Compatibility Matrix for CTE Agent with Data Security Manager</i> for your CTE version
Guard unstructured data	Supported
Guard structured data	Not supported
GuardPoint type: Directory (including entire SNFS volume)	Supported
GuardPoint type: Raw device	Not supported
GuardPoint type: Block device	Not supported
GuardPoint mount option: manual guard	Not applicable
GuardPoint mount option: auto guard	Supported
GuardPoint mount option: automount	Not applicable
AES-CBC key type	Supported
AES-CBC-CS1 key type	Not supported

## Supported Concurrent Access Read/Write Scenarios

If you want to allow access by multiple clients (users) to CTE-protected SNFS files under the same GuardPoint, just read-only access is supported. StorNext file locking is not implemented in CTE, so there is currently no way to prevent concurrent conflicting writes to the same file. As a result, Thales does not support write access to the same GuardPoint from multiple clients.

To enable read access to the same GuardPoint from multiple clients, ensure that all clients are configured to use the same policy and key.



Configuration parameter	Windows
Read/write access from a single LAN client to a GuardPoint	Supported
Read/write access from two or more LAN clients to the same GuardPoint	Not supported
Read-only access from one, two, or more LAN clients to the same GuardPoint	Supported

## Setting up CTE and Quantum StorNext Integration

For the most part, CTE integration with Quantum StorNext is the same as for any standard file system. The next section provides an overview of the steps involved in making CTE work with SNFS. Later sections provide more information about the steps that are new or differ significantly from a typical CTE setup.

### Integration Task Overview

The table below provides an overview of the steps involved in setting up SNFS and CTE to work together. As noted in the table, some of these tasks are described in the documentation for your selected key manager. Some of these steps may need to be performed by other staff members at your organization if you have divided the security administration duties as recommended by Thales and you don't have access to the key manager.

Task	Key configuration notes	For more information
Install and configure a Quantum StorNext MDC server for use with CTE	Disable the StorNext read-ahead cache. Only certain StorNext policies, features, and mount types are supported. See <a href="#">"Supported StorNext Server and Client Configurations"</a> on page 87.	See <a href="#">"Installing and Configuring a Quantum StorNext MDC Server for Use with CTE"</a> on the next page.
Install and configure Quantum StorNext clients for use with CTE	Only certain operating systems are supported. See <a href="#">"Supported StorNext Server and Client Configurations"</a> on page 87.	See <a href="#">"Installing and configuring Quantum StorNext DLC Clients for Use with CTE"</a> on the next page.
Create a domain for one or more SNFS hosts, or add them to an existing domain	No difference from standard CTE agent configuration.	See "Domain Management" in your key manager documentation.
Add the host to the key manager	No difference from standard CTE agent configuration.	See "Configuring Hosts and Host Groups" in your key manager documentation.
Install and register the CTE Agent on the host system	No difference in installation.	See <a href="#">Chapter 2: "Getting Started with CTE for Windows"</a> on page 15
Create encryption keys (optional)	AES-CBC-CS1 keys are not supported on Windows. See the note in <a href="#">"Supported GuardPoint and Key Settings for SNFS File Systems"</a> on the previous page.	See "Managing Keys" in your key manager documentation. For information about AES-CBC-CS1 keys, see <a href="#">Chapter 4: "Enhanced Encryption Mode"</a> on page 35.
Configure host groups containing one or more StorNext LAN clients (optional)	No difference from standard CTE agent configuration.	See "Configuring Hosts and Host Groups" in your key manager documentation.

Task	Key configuration notes	For more information
Configure policies (including user, process, and resource sets) to control access or enable encryption	No difference from standard CTE agent configuration.	See “Configuring Policies” in your key manager documentation.
Configure one or more GuardPoints	Some GuardPoint settings are not supported. See <a href="#">"Supported GuardPoint and Key Settings for SNFS File Systems"</a> on page 88.	See “Managing GuardPoints” in your key manager documentation

## Installing and Configuring a Quantum StorNext MDC Server for Use with CTE

Install and configure a Quantum StorNext metadata controller (MDC) server using the [Quantum StorNext documentation](#) as a guide. The CTE integration works with Windows StorNext MDCs. Ensure that you configure the StorNext server to work with the settings supported by CTE as listed in ["Supported StorNext Server and Client Configurations"](#) on page 87. For example, you must disable the StorNext read-ahead cache and only certain StorNext policies, features, and mount types are supported.

## Installing and configuring Quantum StorNext DLC Clients for Use with CTE

Install and configure Quantum StorNext DLC clients using the [Quantum StorNext documentation](#) as a guide. The CTE integration works with Windows StorNext DLCs.

Ensure that you configure DLC clients to work with the settings supported by CTE as listed in ["Supported StorNext Server and Client Configurations"](#) on page 87. For example, only certain operating systems are supported.

### Note

Just read-only access is supported if multiple StorNext LAN clients will access files in the same GuardPoint. For more information, see ["Supported Concurrent Access Read/Write Scenarios"](#) on page 88.

## Choosing a Mounting Method

There are two methods for mounting a StorNext file system on Windows in the StorNext Client Configuration application:

- Map to Drive Letter
- Map to Directory

Both methods are supported in CTE. If you mount the StorNext file system using the Map to Directory method, you must create the directory on the Windows computer before assigning that directory in the Client Configuration application. For example, the default Map to Directory folder is `C:\Mount\snfs1`. If you use that default, you must create `C:\Mount\snfs1` before mounting the StorNext file system in the Client Configuration application.

If you change mounting methods (drive letter to directory or vice versa), you may need to close and reopen Windows Explorer or reboot the computer for the change to take effect.

## Installing the CTE Agent on Each StorNext LAN client

Install a CTE Agent on each computer that is set up as a StorNext LAN client and for which you want to set policies. For supported operating systems, see the table in ["Supported StorNext Server and Client Configurations"](#) on page 87.

Use any installation method supported for your operating system. For details, see [Chapter 2: "Getting Started with CTE for Windows"](#) on page 15.

# Chapter 12: CTE-Efficient Storage for Windows

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Storage arrays offer features such as compression and deduplication for storage efficiency. They also provide simplistic encryption that fails to deliver the requisite levels of security. CipherTrust Transparent Encryption (CTE) offers a much higher level of security. However, in deployments where storage arrays receive encrypted data streams from hosts protected by a CTE instance (protected hosts), the encrypted data streams make the efficiency of storage array systems ineffective. This is because every block written by CTE is different resulting in zero deduplication and compression on these blocks.

CTE offers CTE-Efficient Storage as the solution to the storage efficiency challenge in storage arrays on Windows.

## Introduction to CTE-Efficient Storage

CTE-Efficient Storage for Windows is a licensed feature available with CTE 7.0.0 or later. In addition, all CTE Agents must be registered with a CipherTrust Manager v2.6, or a subsequent version.

### Note

All references to 'storage array' in this document assume storage array systems capable of supporting CTE-Efficient Storage functionality.

With CTE-Efficient Storage, CTE offers the same degree of security for the data stored on the arrays while offering a new type of encryption key and GuardPoint. The new type of key enables storage array systems to achieve storage efficiencies with encrypted data streams. The coordination between the storage array and CTE is essential for achieving storage efficiency with encrypted data.

In the context of this solution, a LUN exported from a storage array system to a CTE-managed host, is referred to as an *ES GuardPoint*. An ES GuardPoint is a guarded device configured with the CTE-Efficient Storage capability.

## Requirements and Considerations

- CTE-Efficient Storage requires XTS-AES mode of the AES algorithm for encryption.
- CTE only supports CTE-Efficient Storage on servers with microprocessors integrated with Advanced Encryption Standard instruction set (AES-NI).
- CTE-Efficient Storage requires that the encryption keys be stored in the KMIP server on the CipherTrust Manager. Therefore, all hosts on which you want to create ES GuardPoints must be registered with a KMIP-enabled domain in the CipherTrust Manager.

## CTE-Efficient Storage Enhanced Storage Arrays

CTE shares the encryption key associated with the LUN with a storage system that exports the LUN to a protected host. In this solution, the LUN is a device configured for CTE-Efficient Storage that can be guarded as an ES GuardPoint. When the device is guarded, the storage system and protected hosts coordinate operations for sharing the encryption key applied to the ES GuardPoint.

By sharing the key, the storage system decrypts the encrypted data streams that the protected host writes to the LUN, and then performs the data reduction process on the clear data before encrypting and storing the final encrypted data in the storage array system. The storage system does the reverse operations when the protected host reads data from Efficient Storage devices.

## Storage Arrays Compatible with CTE-Efficient Storage

You can use CTE-Efficient Storage with:

- FlashArray from Pure Storage

### FlashArray

FlashArray from Pure Storage is enhanced with CTE-Efficient Storage capabilities and inter-operates with CTE to provide CTE-Efficient Storage on Windows. The Pure Storage system is a client of the CipherTrust Manager and shares the encryption keys protecting the LUNs exported from the storage system to the protected hosts registered with the same CipherTrust Manager.

#### Note

See the EncryptReduce Installation Guide from Pure Storage for information on setting up interoperability with CTE.

### Sharing Encryption Keys

CTE shares the encryption key for a LUN with the storage system using the KMIP protocol. In this solution, the CipherTrust Manager is the KMIP server, and the storage system is a KMIP client registered with the CipherTrust Manager. Any host accessing and protecting the LUNs from the storage system is a CTE managed host registered with the same CipherTrust Manager. The protected hosts register with the CipherTrust Manager using the `register_host` script executed on the protected hosts.

With the host and the storage system registered with the same CipherTrust Manager, the protected host continues enforcing policy and security rules on device and directory GuardPoints. The protected host stores an Efficient Storage Device Header, (ES Header) on each LUN configured as ES GuardPoint. The ES Header includes the UUID of the encryption key applied to the LUN and identifies the LUN as an ES GuardPoint to the storage array exporting the LUN. The storage array recognizes the ES Header on the LUN when the protected host writes the header, and then uses the UUID of the key from the header to retrieve the key attributes and material from the CipherTrust Manager (KMIP Server). This process enables the storage array and the protected host to share and apply the same key for encryption and decryption of data streams exchanged between them.

#### Note

The hosts accessing a shared LUN must be protected hosts registered with the same CipherTrust Manager as the storage array.

When the LUN is permanently de-configured as an ES GuardPoint, the ES Header must be removed. The storage array also detects the removal of the ES Header from the LUN and de-configures the LUN as an CTE-Efficient Storage device. Both the protected host and the storage array stop encryption and decryption of data streams exchanged between hosts and the storage array.

### Storage Array Registration

The storage array administrator creates a certificate for the storage array and communicates the certificate to the Administrator. The Administrator produces a corresponding certificate specific to the array which is given to the storage array administrator. The CipherTrust Manager and the storage array system register both certificates and uses them each time they establish a secured session.

#### Note

See the EncryptReduce Installation Guide from Pure Storage for detailed instructions on registering the FlashArray as KMIP client with the with the CipherTrust Manager's KMIP server.

## Efficient Storage Device Header and CTE Private Region

The key sharing aspect of an ES GuardPoint requires a small amount of disk space in the storage device reserved for CTE private use. The reserved space is where CTE shares information with the storage array that is exporting the device to the protected host. The reserved space starts the beginning of the device.

The protected host writes the ES Header to the device when the device is guarded for the first time. The storage array recognizes the header written to the LUN and begins the key sharing process and encrypting/decrypting data streams transferred between the protected host and the storage array on the LUN.

CTE allocates a small amount of storage space on each device configured as CTE-Efficient Storage. This region is reserved for exclusive use by CTE and is referred to as the CTE Private Region. The CTE Private Region is 64 megabytes.

CTE stores the ES Header and other metadata information to allow CTE and the storage array to exchange information. The ES Header occupies the first sector on the device. The method that CTE uses to claim the CTE Private Region on a device depends on whether the device is new (holds no data) or has existing data that you want to preserve. CTE writes the ES Header when guarding the device for the first time. The storage array recognizes the header written to the device and begins the key sharing process for exchange of encrypted data streams between the protected host and the storage array on the device.

## Device Size

After you create the ES GuardPoint on the device, the device size reported to applications is the size of the device minus the space reserved for the CTE Private Region. This can lead to a discrepancy between the disk size reported by some applications versus the size reported by system utilities.



### WARNING

**Do not shrink ES GuardPoints. Due to relocation of user data from CTE Private Region, if you shrink the device, you may corrupt data on the device.**

## ES GuardPoint Encryption Keys

ES GuardPoints must be encrypted using XTS-AES 256 keys. An XTS-AES 256 type key is a 512-bit key composed of two components:

- The first 256 bits of the key is the AES 256 encryption key component
- The second 256 bits is the tweak component

You create XTS keys on the CipherTrust Manager using the “Add Key” function, similar to non-XTS keys.

### Note

You *must* check the **KMIP Accessible** check box on the “Add Agent Key” page to make the key available to KMIP clients through KMIP. If you do not check the **KMIP Accessible** option, storage arrays cannot get keys for CTE-Efficient Storage devices from the CipherTrust Manager (KMIP server) for sharing those keys with protected hosts.

The CipherTrust Manager also generates a UUID for a newly added key. The CipherTrust Manager provides the key and its attributes to the protected hosts for guarding the CTE-Efficient Storage device. The protected host for the device writes the ES Header to the device, including the UUID of the key, before the initial attempt to enable an ES GuardPoint. The storage array recognizes the ES Header written to the device, retrieves the UUID from the ES Header, and retrieves information and attributes of the AES 256 component of the XTS-AES 256 key from the CipherTrust Manager using KMIP.

## Policy Requirements for ES GuardPoints

Initializing an ES GuardPoint requires a Standard or In-Place Data Transformation policy with a KMIP-accessible XTS-AES 256 key as described in ["Initialize Windows CTE-Efficient Storage Devices" on the facing page](#).

Rekeying an ES GuardPoint requires an In-Place Data Transformation policy with a KMIP-accessible XTS-AES 256 key as described in ["Changing the Encryption Key for a Windows ES GuardPoint" on page 104](#).

You may add security rules to restrict certain user/process access to protected devices. For suggestions about what security rules you may want to use, see ["Use Cases involving Efficient Storage GuardPoints" on page 107](#).

## Guarding an Efficient Storage Device on Windows

The following sections discuss how to guard an efficient storage device on Windows. If you want to guard an efficient storage Linux device, see the *CTE Agent for Linux Advanced Configuration and Integration Guide*.

In order to guard an efficient storage device, you need to:

1. Make sure the devices you intend to guard meet the requirements for Efficient Storage GuardPoints. For details, see ["Requirements for Efficient Storage GuardPoints on Windows" below](#).
2. Register the protected host with the CipherTrust Manager with Efficient Storage enabled. For details, see ["Register the Windows Host with DSM" on page 1](#).
3. Initialize the storage device to create a Private Region for the Efficient Storage Header. For details, see ["Initialize Windows CTE-Efficient Storage Devices" on the facing page](#).
4. Log on to the CipherTrust Manager to apply the ES GuardPoint to the storage device. For details, see ["Guard the Windows Device with an ES GuardPoint" on page 100](#).

## Requirements for Efficient Storage GuardPoints on Windows

Windows-specific requirements:

- The Windows host must be running one of the following:
  - Windows Server 2012 R2
  - Windows Server 2016
  - Windows Server 2019
- You can *only* protect data volumes with an ES GuardPoint. Protecting the boot volume with an ES GuardPoint is *not* supported.
- You must enable Secure Start on the protected host and in the ES GuardPoint in the CipherTrust Manager.
- Existing data LUNs must be increased in size by at least 128MB (64MB for the CTE private region plus an additional 64MB to allow enough space for the data to be shifted after the CTE private region has been created). For details, see ["Data Relocation on Existing Windows Devices" on page 101](#).

**Note:** If you create a new Windows device to be protected, do *not* initialize that device with the Windows Disk Manager until *after* you have created and assigned the ES GuardPoint. After the GuardPoint has been assigned through the CipherTrust Manager, you can manage the disk as normal using the standard Windows disk management tools.

A LUN must meet the following requirements before it can be protected as an ES GuardPoint:

- The storage array exporting the LUN to the protected host must be enhanced with the Efficient Storage capability. For details, see ["Storage Arrays Compatible with CTE-Efficient Storage" on page 93](#).
- The storage array exporting the LUN to the protected host must be a KMIP client registered with the same CipherTrust Manager as the protected host.
- The protected host must have direct physical access to the LUN through Fiber Channel Protocol (FCP) or iSCSI.
- The entire LUN must be protected as one and only one ES GuardPoint.
- In an ESXi environment, the LUN added to a virtual machine must be configured for Raw Device Mapping in physical mode, or:
  - The LUN must be part of a VVol datastore.
  - The LUN *cannot* be a VMDK or a disk in a datastore.
- In a HyperV environment, the LUN *cannot* be a virtual disk.

## Limitations for ES GuardPoints on Windows

The current implementation of ES GuardPoints on Windows has the following limitations:

- CTE does not support dynamic disks or DFS/DFSR.
- All applications that access the Pure Storage LUN directly must be shut down while the devices are being initialized, guarded, and encrypted. Once you begin this process, devices must not be accessed by any other applications until all data has been transformed. If other applications do access the device, CTE may not be able to successfully apply the ES GuardPoint and the user may have to reboot the device.
- If the disk is in a cluster:
  - The disk must be taken offline during the initial guarding process or while the disk is being rekeyed. You do *not* need to take any of the other disks in the cluster offline and you do *not* need to take the disk out of the cluster. But the disk itself must be offline.
  - Thales recommends that you do *not* include the disk in a host group because of the issues that can arise when CTE attempts to make changes to the same device through multiple hosts. These issues are compounded if you have multiple ES GuardPoints that are protected with different policies. In a cluster environment, it is better to manage each host individually through the CipherTrust Manager.
- Once the process has started, Administrators cannot use any Disk Management tools to manage the devices. All disk administration must wait until after the process is complete.
- When you unguard an ES GuardPoint, the files in that GuardPoint may still be accessible through the Windows File Explorer until Windows has updated the file cache. To update the cache immediately, you can do either of the following:
  - Issue the `voradmin esg status` command on the host.
  - Reboot the host.

## Initialize Windows CTE-Efficient Storage Devices

When you initialize a Windows CTE-Efficient Storage device, the process creates the CTE Private Region on the device so that CTE can write the Efficient Storage Device Header along with metadata that identifies the storage device as a guarded device. The CTE Private Region also contains the metadata for the initial transformation of



clear-text data on device to cipher-text, and for the subsequent transformation of cipher-text on the device to another encryption key as needed. The initialization process also adds a user-defined label for the storage device that the Administrator will use when referring to the device in the CipherTrust Manager.

**Note**

This user-defined label is maintained across system reboots, allowing CTE to always find the device regardless of any device name changes that may happen within Windows.

How you initialize the device depends on whether it is a new device or an existing device that already has data that needs to be transformed into cipher-text. For details, see:

- ["Initialize New Windows Devices" below](#)
- ["Initialize and Resize Existing Windows Devices" on the facing page](#)

## Initialize New Windows Devices

For each new device you want to initialize, run the `voradmin esg config new` command. The `new` option specifies that the device does not hold user data, and that CTE can reserve the first 64MB of storage on the device for the CTE Private Region. The remaining storage space is available for new user data. The device size reported to applications is the actual device size minus the CTE Private Region size.



**WARNING**

**Do not use the `voradmin esg config new` command if the Windows disk has existing data that you want to keep. After you guard a device that has been initialized with this command, you will need to reformat the device and all existing data will be lost. To initialize a disk with existing data, see ["Initialize and Resize Existing Windows Devices" on the facing page](#).**

1. Log into the device as an Administrator and open PowerShell or Cmd (command prompt).
2. Close all applications, including any Windows disk management tools, that are using or mounting the device.
3. If this disk is part of a cluster, you must take the disk offline. You do *not* need to take any of the other disks in the cluster offline and you do *not* need to take the disk out of the cluster. But the disk itself must be offline during this procedure if it is part of cluster.
  - For an unstructured data cluster, open the Windows Failover Cluster Manager and go to **<cluster name> > Storage > Disks**, then select the disk and take it offline.
  - For a structured SQL database cluster, open the Windows Failover Cluster Manager and go to **Roles -SQL <cluster name> Role**. Stop the Role for the SQL instance or take the SQL server offline.
4. Make sure you know the Device Names of the devices that you want to protect.

To get a list of the Device Names for the available devices, use the `voradmin esg list disk` command and look in the **Device Name** column. Any new disk that is not a boot disk and that does not contain any data can be initialized by CTE as a new disk. For example:

```
C:\>voradmin esg list disk
```

Disk###	Device Name	Boot Disk	Size	Status	Partition	Read Only	SERIAL NUMBER
Disk0	\Device\Ide\IdeDeviceP0T0L0-0	Yes	127.0 GB	Online	MBR	No	6000c29d241599...
Disk1	\Device\00000032	No	49.9 GB	Online	MBR	No	6000c29b1d5a4c...
Disk2	\Device\00000033	No	50.9 GB	Online	MBR	Yes	6000c290582227...
Disk3	\Device\00000034	No	50.9 GB	Online	MBR	No	6000c290fd627b...

In the example above, the available Device Names are `\Device\00000032`, `\Device\00000033`, and `\Device\00000034`.

5. Run the `voradmin esg config new <device-name>=<label>` command, where:

- `new` (required) indicates that the device contains no data (it is a new disk). CTE will create the CTE private region at the beginning of the disk and the rest of the disk will be available for user data.
- `<device-name>=<label>` (required) is the device name and a user-defined label for the device. This label will be the path the Administrator uses to specify to the device in the CipherTrust Manager. (For example, `\Device\00000033=NewESDisk`.) The label can be 1 to 32 ASCII characters. Do not use spaces or special characters in the label.

Make sure that the device you select does *not* contain any existing data. When CTE applies the GuardPoint to a new device, it removes the existing file system information from the device. That means the device will need to be reformatted and all existing data will be unrecoverable as soon as the GuardPoint is applied.

For example, if you want to initialize a new disk Windows device named `00000033` with the label “NewESDisk”, you would specify:

```
PS C:> voradmin esg config new \Device\00000033=NewESDisk
Disk is initialized successfully with CTE ESG protection.
```

6. To verify that the disk has been initialized, run the `voradmin esg status` command.

This command shows that the device label has been set and the Xform Status has been set to NA (not applicable). For example:

```
C:\>voradmin esg status
```

Disk###	Device Name	Boot Disk	ESG Device label	Guard Status	Xform Status
Disk0	\Device\Ide\IdeDeviceP0T0L0-0	Yes	NA	unguarded	
Disk1	\Device\00000032	No		unguarded	
Disk2	\Device\00000033	No	NewESDisk	unguarded	NA
Disk3	\Device\00000034	No		unguarded	

7. At this point the CipherTrust Manager Administrator can protect the device as an ES GuardPoint through the console as described in ["Guard the Windows Device with an ES GuardPoint" on page 100](#).

**Note:** The initialization process prepares the devices to be guarded but does not actually guard them. You need to assign an ES GuardPoint to each device through the CipherTrust Manager before the devices are actually protected. In addition, the initialization process is only kept in memory until the devices are guarded or rebooted. If a device is rebooted before you guard it, you will need to perform the initialization procedure again.

## Initialize and Resize Existing Windows Devices

If a Windows device has existing data, you need to use the `voradmin esg config xform` command to initialize the disk for CTE. This command tells CTE that the data on the device needs to be encrypted after an ES GuardPoint is assigned to the device through the CipherTrust Manager. After the CTE initialization is complete, you then need to resize the device before you can guard it with an ES GuardPoint.

The following procedure describes how to initialize existing devices for CTE. Note that the existing data is not altered in any way until after you perform this procedure and you guard the data with an ES GuardPoint. CTE does *not* begin transforming the data from clear-text to cipher-text until the ES GuardPoint has been applied and the encryption key has been pushed to the device through the GuardPoint Policy.

1. Log into the device as an Administrator and open PowerShell or Cmd (command prompt).
2. Close all applications, including any Windows disk management tools, that are using or mounting the device.
3. If this disk is part of a cluster, you must take the disk offline. You do *not* need to take any of the other disks in the cluster offline and you do *not* need to take the disk out of the cluster. But the disk itself must be offline during this procedure if it is part of cluster.
  - For an unstructured data cluster, open the Windows Failover Cluster Manager and go to **<cluster name> > Storage > Disks**, then select the disk and take it offline.
  - For a structured SQL database cluster, open the Windows Failover Cluster Manager and go to **Roles -SQL <cluster name> Role**. Stop the Role for the SQL instance or take the SQL server offline.
4. Make sure you know the Device Names of the devices that you want to protect.

To get a list of available devices on Windows, use the `voradmin esg list disk` command. The Disk Name column shows the names of the available disks. In the list, existing disks must *not* be boot disks and they must *not* be Read Only. In the following example, `\Device\00000032` and `\Device\00000034` show **No** in the **Boot Disk** and **Read Only** columns:

C:\>`voradmin esg list disk`

Disk###	Device Name	Boot Disk	Size	Status	Partition	Read Only	SERIAL NUMBER
Disk0	\Device\Ide\IdeDeviceP0T0L0-0	Yes	127.0 GB	Online	MBR	No	6000c29d241599...
Disk1	\Device\00000032	No	49.9 GB	Online	MBR	No	6000c29b1d5a4c...
Disk2	\Device\00000033	No	50.9 GB	Online	MBR	Yes	6000c290582227...
Disk3	\Device\00000034	No	50.9 GB	Online	MBR	No	6000c290fd627b...

5. If you want to make sure the disk has not yet been initialized, used the `voradmin esg status` command. If the disk already has an ESG Device Label, then the disk has already been initialized. In the following example, Disk2 has already been initialized, but Disk1 and Disk3 have not:

C:\>`voradmin esg status`

Disk###	Device Name	Boot Disk	ESG Device label	Guard Status	Xform Status
Disk0	\Device\Ide\IdeDeviceP0T0L0-0	Yes	NA	unguarded	
Disk1	\Device\00000032	No		unguarded	
Disk2	\Device\00000033	No	NewESDisk	unguarded	NA
Disk3	\Device\00000034	No		unguarded	

6. For each existing device you want to initialize, run the `voradmin esg config xform <device-name>=<label>` command, where:
  - `xform` (required) indicates that the device contains existing data. CTE will transform all existing data on the device from clear-text to cipher-text as soon as you guard the device. The device will be inaccessible until the transformation is complete, and the device must remain offline during the entire transformation process. No user access will be permitted until all data has been transformed.
  - `<device-name>=<label>` (required) is the device name and a user-defined label for the device. This label will be the path the Administrator uses to specify to the device in the CipherTrust Manager. (For example, `\Device\00000032=ExistWinDisk1`.) The label can be 1 to 32 ASCII characters. Do not use spaces or special characters in the label.

For example, if you want to initialize a new disk Windows device named `00000032` with the label `ExistWinDisk1` and the device `00000034` with the label `ExistWinDisk2`, you would specify:

C:> `voradmin esg config xform \Device\00000032=ExistWinDisk1`

Disk is initialized successfully with CTE ESG protection. Disk must be Resized to at least 128MB before guarding as Efficient Storage GuardPoint

C:> `voradmin esg config xform \Device\00000034=ExistWinDisk2`

Disk is initialized successfully with CTE ESG protection. Disk must be Resized to at least 128MB before guarding as Efficient Storage GuardPoint

With Windows, you always need to increase the disk size on each device by at least 128MB, which provides enough space for the CTE Private Region as well as room to relocate the existing data. After you guard the disk, you can expand it again later but you cannot shrink it unless you remove the GuardPoint. For details about the data relocation, see ["Data Relocation on Existing Windows Devices" on the next page](#).

7. To verify that the disks have been initialized, run the `voradmin esg status` command.

This command shows that the device labels have been set and the Xform Status has been set to Not Started. For example:

```
C:\>voradmin esg status
```

Disk###	Device Name	Boot Disk	ESG Device label	Guard Status	Xform Status
Disk0	\Device\Ide\IdeDeviceP0T0L0-0	Yes	NA	unguarded	
Disk1	\Device\00000032	No	ExistWinDisk1	unguarded	Not Started
Disk2	\Device\00000033	No	NewESDisk	unguarded	NA
Disk3	\Device\00000034	No	ExistWinDisk2	unguarded	Not Started

8. At this point, you need to resize all initialized existing devices by increasing their volume size through the Pure Storage management interface. Make sure you increase the device size on each device by at least 128 MB. For details, see your Pure Storage documentation.

To verify that the disk size has been increased, use the `voradmin esg list disk` command.

```
C:\>voradmin esg list disk
```

Disk###	Device Name	Boot Disk	Size	Status	Partition	Read Only	SERIAL NUMBER
Disk0	\Device\Ide\IdeDeviceP0T0L0-0	Yes	127.0 GB	Online	MBR	No	6000c29d241599...
Disk1	\Device\00000032	No	50.1 GB	Online	MBR	No	6000c29b1d5a4c...
Disk2	\Device\00000033	No	50.9 GB	Online	MBR	Yes	6000c290582227...
Disk3	\Device\00000034	No	51.1 GB	Online	MBR	No	6000c290fd627b...

You cannot assign an ES GuardPoint to the devices until it they have been resized. If you do not resize the devices, the GuardPoint assignment will fail.

9. After the devices have been resized, the CipherTrust Manager Administrator can protect the devices as ES GuardPoints through the console as described in ["Guard the Windows Device with an ES GuardPoint" below](#).

#### Note

The initialization process prepares the devices to be guarded but does not actually guard them. You need to assign an ES GuardPoint to each device through the CipherTrust Manager before the devices are actually protected. In addition, the initialization process is only kept in memory until the devices are guarded or rebooted. If a device is rebooted before you guard it, you will need to perform the initialization procedure again.

## Guard the Windows Device with an ES GuardPoint

#### Note

For details about how to create a GuardPoint, see the chapter, "Managing GuardPoints", in the *DSM Administration Guide*.

After the device has been initialized, you can guard the device as an ES GuardPoint from the Console. For existing devices, as soon as the GuardPoint has been pushed to the host and the status changes to guarded, CTE begins transforming the data on the disk using the encryption key associated with the GuardPoint Policy.

1. Log on to the Console as an administrator of type Security with Host role permissions, type Domain and Security, or type All.
2. Make sure that you know what Policy you want to associate with the GuardPoint or create a new policy if needed. The policy you use for CTE-Efficient Storage must be either a Standard policy or an In-Place Data Transformation policy, and it must use a KMIP-accessible XTS-AES 256 key in the key rule. For more information on key requirements, see ["ES GuardPoint Encryption Keys" on page 94](#).

3. Select **Hosts > Hosts** on the menu bar. The *Hosts* window opens.
4. Click the target host in the **Host Name** column. The *Edit Host* window opens to the General tab for the selected host.
5. Click the **GuardPoints** tab and then click **Guard**. The *Guard File System* window opens.
  - a. In the **Policy** field, select the Policy you identified or created earlier in this procedure. CTE will use the XTS-AES 256 key associated with this policy to encrypt the data on the device.
  - b. In the **Type** field, select **Raw or Block Device (Auto Guard)**.

When you select Auto Guard, CTE starts the guard process as soon as the policy is pushed to the host.
  - c. In the **Path** field, add the device label you assigned when you initialized the disk. For example, `ExistWinDisk1`.

If you specify multiple device labels in this field, all specified devices will be guarded and all will be encrypted with the encryption key specified in the selected policy.
  - d. Make sure the **Secure Start** check box is checked.
6. When you are done, click **OK**.

The CipherTrust Manager pushes the policy and the GuardPoint configuration to the host and the CTE Agent on the host writes the ES Header into the CTE Private Region for the specified devices.

If this is a new device, the status changes to guarded and the disk is available for user access immediately. At this point you can use the Windows Disk Manager to perform any required disk management tasks and all data that gets written to the disk will be protected by CTE.

If there is existing data on the device, CTE begins transforming the data from clear-text to cipher-text as soon as the ES GuardPoint configuration is available and the device status changes to guarded. The device will remain inaccessible until this data transformation completes. The length of time required to transform the data depends on the size of the disk.

7. If this disk is part of a cluster, do the following:
  - a. If the disk has existing data, wait until the data transformation process has completed before you proceed. To verify the status of the process, use the `voradmin esg status` command.
  - b. After any required data transformation is complete, apply the same GuardPoint with the same policy to the disk on each one of the hosts that can access the disk. You must specify the same policy name and disk label on each host.

**Tip:** Thales recommends that you do *not* use a Host Group for clustered disks. Instead, you should apply the GuardPoint individually on each host.

- c. After you have created the GuardPoint on each host that can access the disk, you can bring the disk back online or restart the SQL Role/SQL server.

## Data Relocation on Existing Windows Devices

When you add an ES GuardPoint to a device that has been initialized with the `xform` option, CTE shifts the existing data by 64MB, then it creates the CTE Private Region in the first 64MB on the device. This relocation occurs only once when the device is guarded for the first time.

## Data Transformation on Existing Windows Devices

As the ES Header is written before data transformation begins, the data transformed to cipher-text and written back to the device during data transformation process is subject to data reduction process through the storage array.

Existing devices populated with data are transformed from clear-text to cipher-text using the encryption key applied to each device. Data transformation is also called In-Place Data Transformation (CTE-IDT).

CTE-IDT is not the same as the legacy offline data transformation. CTE-IDT is a block level data transformation with built-in resiliency to recover from system crashes during the data transformation process. CTE-IDT uses the CTE Private Region on the device to manage the entire transformation process. CTE-IDT partitions the data on a device in segments of 512KB in size and transforms one or multiple segments, up to 60 segments, in parallel. The CTE-IDT process preserves existing data in a segment during transformation in the private region of the device, and then transforms the data in-place. CTE-IDT also maintains the segments undergoing transformation in the private region. In the event of system crash, CTE-IDT will recover the segments undergoing transformation at the time of crash and then resume the transformation process.

Another advantage of CTE-IDT over legacy offline data transformation is that CTE-IDT does not require a separate policy for data transformation. With the same production policy applied to the device, CTE-IDT determines whether the device is in need of data transformation, per specification of `xform` option when device was initialized, and starts the CTE-IDT process when transformation is required. During the CTE-IDT process, access to the device is blocked until the CTE-IDT process completes.

To view the data transformation status, use the `voradmin esg status` command and look in the **Xform Status** column. In the following example:

- Disk1 has been guarded and the data transformation process has completed, so the device is guarded and ready to use.
- Disk2 was initialized as a new device, so no data transformation was required. The device is guarded and ready to use.
- Disk3 has been guarded but the data transformation process is still in progress. This device cannot be accessed until the data transformation process has completed.

```
C:\>voradmin esg status
```

Disk###	Device Name	Boot Disk	ESG Device label	Guard Status	Xform Status
Disk0	\Device\Ide\IdeDeviceP0T0L0-0	Yes	NA	unguarded	
Disk1	\Device\00000032	No	ExistWinDisk1	guarded	Completed
Disk2	\Device\00000033	No	NewESDisk	guarded	NA
Disk3	\Device\00000034	No	ExistWinDisk2	guarded	In-Progress (18%)

## CTE-IDT Recovery From Crash

CTE-IDT is fault tolerant in the event of system crashes. CTE-IDT keeps track of the transformation process over the entire device. In the event of a crash, CTE-IDT will automatically resume transformation from the point of failure as soon the GuardPoint is enabled after system startup.

If you find the transformation status set to **In-Progress** when the GuardPoint is not enabled, the **In-Progress** state reflects an earlier system crash after which the GuardPoint has not been enabled to recover from the interruption in the CTE-IDT process.

## Windows System and ES GuardPoint Administration

The `voradmin` command is a command line utility for management of CTE specific configuration and status reporting. The `voradmin` command also supports configuration management related to ES GuardPoints (ESG).

Windows supports the following `voradmin esg` commands.

### voradmin esg list disk

**Command:** `voradmin esg list disk`

Lists the disks available on the Windows host. The `Disk###` column matches the disk numbers in the Windows Disk Manager. The `Device Name` column shows the name of the disk that you need to use with other `voradmin` commands. In the following example, the `Device Name` for `Disk1` is `\Device\00000036`.

**For example:**

```
C:\>voradmin esg list disk
```

Disk###	Device Name	Boot Disk	Size	Status	Partition	Read Only	SERIAL NUMBER
Disk0	\Device\Ide\IdeDeviceP0T0L0-0	Yes	127.0 GB	Online	MBR	No	6000c29d241599...
Disk1	\Device\00000032	No	49.9 GB	Online	MBR	No	6000c29b1d5a4c...
Disk2	\Device\00000033	No	50.9 GB	Online	MBR	Yes	6000c290582227...
Disk3	\Device\00000034	No	50.9 GB	Online	MBR	No	6000c290fd627b...

## voradmin esg config

**Command:** `voradmin esg config [new|xform] <device-name>=<device-label>`

Initializes a new or existing Windows device so that it can be protected as an ES GuardPoint through the CipherTrust Manager. For details on using this command, see ["Initialize New Windows Devices" on page 97](#) and ["Initialize and Resize Existing Windows Devices" on page 98](#).

## voradmin esg status

**Command:** `voradmin esg status]`

Displays the status of the disks on the host. The `Disk###` column matches the disk numbers in the Windows Disk Manager. The `Device Name` column shows the name of the disk that you need to use with other `voradmin` commands. In the following example, the `Device Name` for `Disk1` is `\Device\00000032`.

If the device has been initialized, the user-defined disk label appears in the `ESG Device Label` column. If the device has been protected with an ES GuardPoint through the CipherTrust Manager, the `Guard Status` column displays "guarded". The `Xform Status` column displays the status of any data transformation processes run on the disk. NA means it was a new disk, so no data transformation was needed. For existing disks, the `Xform Status` can be Not Started, In Progress, or Completed.

**For example:**

```
C:\>voradmin esg status
```

Disk###	Device Name	Boot Disk	ESG Device label	Guard Status	Xform Status
Disk0	\Device\Ide\IdeDeviceP0T0L0-0	Yes	NA	guarded	
Disk1	\Device\00000032	No	ExistWinDisk1	guarded	Completed
Disk2	\Device\00000033	No	NewESDisk	guarded	NA
Disk3	\Device\00000034	No	ExistWinDisk2	guarded	Completed

## voradmin esg status [xform] <device-label>

Displays the details of the device specified in `<device-label>`, where `<device-label>` is the ESG Device Label assigned to the device. If you use the optional `xform` parameter, the command displays the status of any data transformation processes running on the device.

**For example:**

```
C:\> voradmin esg status NewESDisk
```

```
Disk###           Disk2
Device Name       \Device\00000033
Serial Number
```

```
Boot Disk                No
ESG Device label         NewESDisk
Guard Status             Guarded
Xform Status             NA
Key UUID                  cf242f18-de61-3f72-ba57-0b28a94a4f21
```

```
C:\> voradmin esg status xform NewESDisk
```

```
ESG Rekey/Xform Status
```

```
-----
```

```
      Status           :NA
      Device Type      :New
```

```
Key Information:
```

```
      Key UUID         :cf242f18-de61-3f72-ba57-0b28a94a4f21
      KeyID            :48361
      KeyName          :ES-Key
      Old KeyID        :0
      Old KeyName      :clear_key
```

```
Block information:
```

```
      Transformed      :0
      Remaining        :0
      Total             :0
```

## voradmin esg delete

**Command:** `voradmin esg delete <disk-label>`, where:

`<disk-label>` is the user-defined label that was specified when the device was initialized. To view a list of disk labels, use the `voradmin esg status` command.

Removes the ES Header from the specified device. The device *cannot* be protected as an ES GuardPoint or this command will fail.

**For example:**

```
# voradmin esg delete NewESDisk
ES disk header deleted successfully.
```

## Changing the Encryption Key for a Windows ES GuardPoint

To meet various compliance requirements, you may want to change the key that CTE has used to encrypt an GuardPoint. Thales refers to this changing of encryption keys as “Key rotation” or “Rekey”. Unlike the CipherTrust Transparent Encryption - Live Data Transformation product offered by Thales for file systems on traditional storage devices, to change the encryption key on an ES GuardPoint, the device must be taken offline. The data on the device will be inaccessible during the key rotation process.

The key rotation process involves the following:

- Creating a new policy for key rotation
- Preparing the ESG device for key rotation
- Applying the new policy to the ESG device on the CipherTrust Manager



See the following sections for details of key rotation. If your organization has separated security duties, some of the steps below may need to be completed by different people.

## Requirements and Considerations

Rekeying a Windows ES GuardPoint requires an In-Place Data Transformation policy, which is available with the CipherTrust Manager version 6.4.2 and later. If the Windows host is registered with an older version of the CipherTrust Manager, you must upgrade the CipherTrust Manager to at least version 6.4.2 if you want to rekey a Windows ES GuardPoint.

## Creating a New Policy for Key Rotation

As part of rekeying the data on an ESG device, you must create a new In-Place Data Transformation policy with a key rule specifying the current key and the new key. When this policy is pushed to the host from the CipherTrust Manager, the CTE Agent will decrypt the data on the device using the initial version of the key and then it will re-encrypt it using the next version of the key.

## Rekeying the Windows Device

1. Shutdown any applications accessing the GuardPoint. This also includes unmounting the file system if the GuardPoint is a device mounted as a file system.



### WARNING

During this procedure, you will have to disable the GuardPoint while the device is being rekeyed. Therefore it is critical that no file changes occur during the rekey process or the data may become corrupted.

2. If this disk is part of a cluster, you must check the ownership of the disk and then take the disk offline. You do *not* need to take any of the other disks in the cluster offline and you do *not* need to take the disk out of the cluster. But the disk itself must be offline during this procedure if it is part of cluster.

During this procedure, you need to log into the host that owns the disk in order to run the `voradmin esg rekey` command. If you want to do that on a host other than the current owner, change the disk ownership in the Windows Failover Cluster Manager.

After you have set the correct owner, take the disk offline:

- For an unstructured data cluster, open the Windows Failover Cluster Manager and go to **<cluster name> > Storage > Disks**, then select the disk and take it offline.
- For a structured SQL database cluster, open the Windows Failover Cluster Manager and go to **Roles -SQL <cluster name> Role**. Stop the Role for the SQL instance or take the SQL server offline.

3. In the Console, unguard the ES GuardPoint.

If this disk is part of cluster, unguard the disk on each one of the hosts that can access the disk.

4. Log into the host with System Administrator privileges.

If this disk is part of a cluster, you need to log into the host that is the current owner of the disk.

- Make sure that the device you intend to rekey is no longer guarded using the `voradmin esg status` command. In the following example, we are about to rekey the device `NewESDisk`:

```
C:\>voradmin esg status
```

Disk###	Device Name	Boot Disk	ESG Device label	Guard Status	Xform Status
Disk0	\Device\Ide\IdeDeviceP0T0L0-0	Yes	NA	Unguarded	
Disk1	\Device\Ide\IdeDeviceP0T1L0-1	No	NewESDisk	Unguarded	NA
Disk2	\Device\Ide\IdeDeviceP1T1L0-3	No	ExistWinDisk1	Guarded	NA

- Use the `voradmin esg rekey` command to prepare the device to be rekeyed. For example:

```
C:\>voradmin esg rekey NewESDisk
```

Disk is initialized successfully with CTE ESG protection.

- In the Console, guard the device with the new policy you created in "[Creating a New Policy for Key Rotation](#)" on the previous page. Make sure that:

- You select **Raw or Block Device (Auto Guard)**.
- You check the **Secure Start** check box.

When you click **OK**, the CipherTrust Manager pushes the new policy to the ES GuardPoint and the CTE Agent rekeys the device.

- During the rekey process, you can use the `voradmin esg status` command to track the rekey progress.

```
C:\>voradmin esg status
```

Disk###	Device Name	Boot Disk	ESG Device label	Guard Status	Xform Status
Disk0	\Device\Ide\IdeDeviceP0T0L0-0	Yes	NA	Unguarded	
Disk1	\Device\Ide\IdeDeviceP0T1L0-1	Unknown	NewESDisk	Guarded	In Progress (80%)
Disk2	\Device\Ide\IdeDeviceP1T1L0-3	No	ExistWinDisk1	Guarded	NA

When the rekey process has finished, the status changes to `Completed`.

```
C:\>voradmin esg status
```

Disk###	Device Name	Boot Disk	ESG Device label	Guard Status	Xform Status
Disk0	\Device\Ide\IdeDeviceP0T0L0-0	Yes	NA	Unguarded	
Disk1	\Device\Ide\IdeDeviceP0T1L0-1	Unknown	NewESDisk	Guarded	Completed
Disk2	\Device\Ide\IdeDeviceP1T1L0-3	No	ExistWinDisk1	Guarded	NA

- If you want to verify that the GuardPoint is using the new key, use the `voradmin esg status xform <device-label>` command. For example:

```
C:\> voradmin esg status xform NewESDisk
```

ESG Rekey/Xform Status

```
-----
Status           :NA
Device Type      :New
```

Key Information:

```
Key UUID         :cf242f18-de61-3f72-ba57-0b28a94a4f21
KeyID            :48361
KeyName          :ES-Rekey
Old KeyID        :0
Old KeyName      :ES_Key
```

Block information:

```
Transformed      :0
Remaining        :0
Total            :0
```

10. If the disk is *not* part of a cluster, you can restore access to the disk at this point. If it *is* part of a cluster, do the following:
  - a. After any required data transformation is complete, apply the same GuardPoint with the same policy to the disk on each one of the hosts that can access the disk. You must specify the same policy name and disk label on each host.
  - b. After you have created the GuardPoint on each host that can access the disk, you can bring the disk back online or restart the SQL Role/SQL server.

## Resizing Guarded Efficient Storage Devices

Devices configured for Efficient Storage can be resized using the system-provided resizing utilities. If you are using a file system on the GuardPoint, you can mount the file system after resizing the device and then grow the file system to the new size using the native Windows disk management tools.



### WARNING

**Do not shrink ES GuardPoints. Due to relocation of user data from CTE private region, if you shrink the device, you may corrupt data on the device.**

1. Stop applications from accessing the GuardPoint.
  - Unmount the file system if the device is mounted.
  - Disable GuardPoints: auto-guard if it is enabled on the CipherTrust Manager, or manual-guard if it is enabled on the protected host.
2. Use the native disk management tools to resize the device.
3. After resizing the device, check the size of the device. On Windows you can use the `voradmin esg list disk` command.
4. If the reported size does not match what you expect, you may need to rescan your storage devices using the command appropriate for the device's connection type.
5. Once the expected size is achieved, enable the GuardPoint and restart your applications.

## Use Cases Involving Efficient Storage GuardPoints

ES GuardPoints support three use cases for managing customer's data in GuardPoints. This section describes those potential use cases.

### Use Case 1: Single Encryption Key

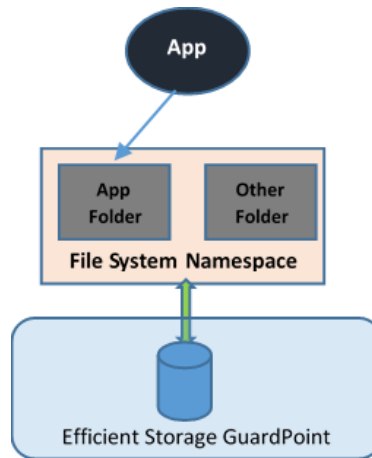
Applications, such as an Oracle Database, store structured data in one or multiple LUNs guarded as an ES GuardPoint. In this use case, a LUN may be an independent datastore or a member of a disk group managed by an application, for example an Oracle ASM disk group. In this use case, the policy applied to the GuardPoints specifies one key rule for encryption. The policy may include access rules for user or process level access control.



## Use Case 2: Device-Level GuardPoints

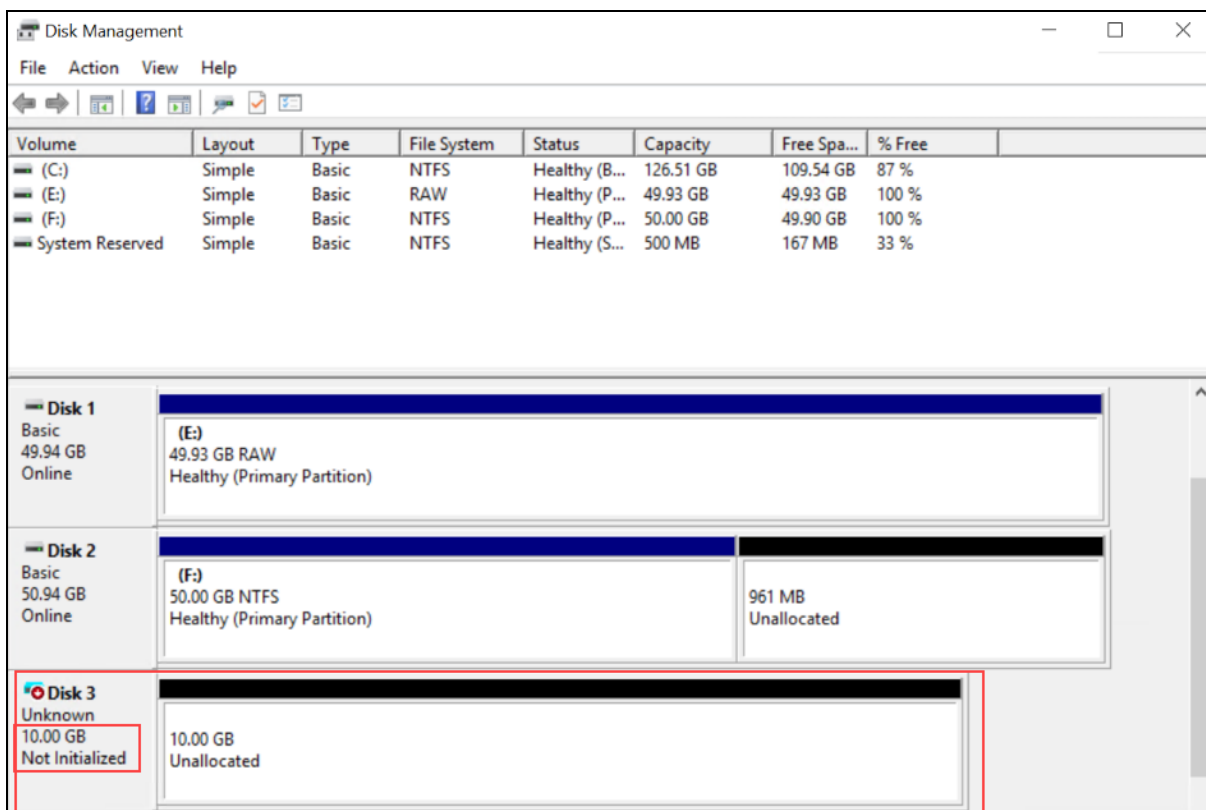
Protect structured or unstructured data stored in data files. The data files are organized inside one or more directories or folders within a file system namespace, such as NTFS or ReFS, without any protection on the folders or the file system namespace. In this use case, the file system resides in the device guarded as Efficient Storage using a policy with a key rule and *no user specified access rule*. Access rules are not applicable in this use case and should not be used.

Figure 12-1: File system resides in device guarded as ES GuardPoint



## Example

In the following example, the Windows Administrator has created a new 10 MG VHD in the Windows Disk Management tool. This VHD is called Disk 3, and it has not yet been initialized.



The Windows Administrator then uses `voradmin esg list disk` to get the CTE device name for the new disk and initializes it using the `voradmin esg config new` command, as shown:

```
C:\>voradmin esg list disk
```

Disk###	Device Name	Boot Disk	Size	Status	Partition	Read Only	SERIAL NUMBER
Disk0	\Device\Ide\IdeDeviceP0T0L0-0	Yes	127.0 GB	Online	MBR	No	
Disk1	\Device\00000032	No	49.9 GB	Online	MBR	No	
Disk2	\Device\00000033	No	50.9 GB	Online	MBR	No	
Disk3	\Device\00000051	No	10.0 GB	Online	MBR	No	

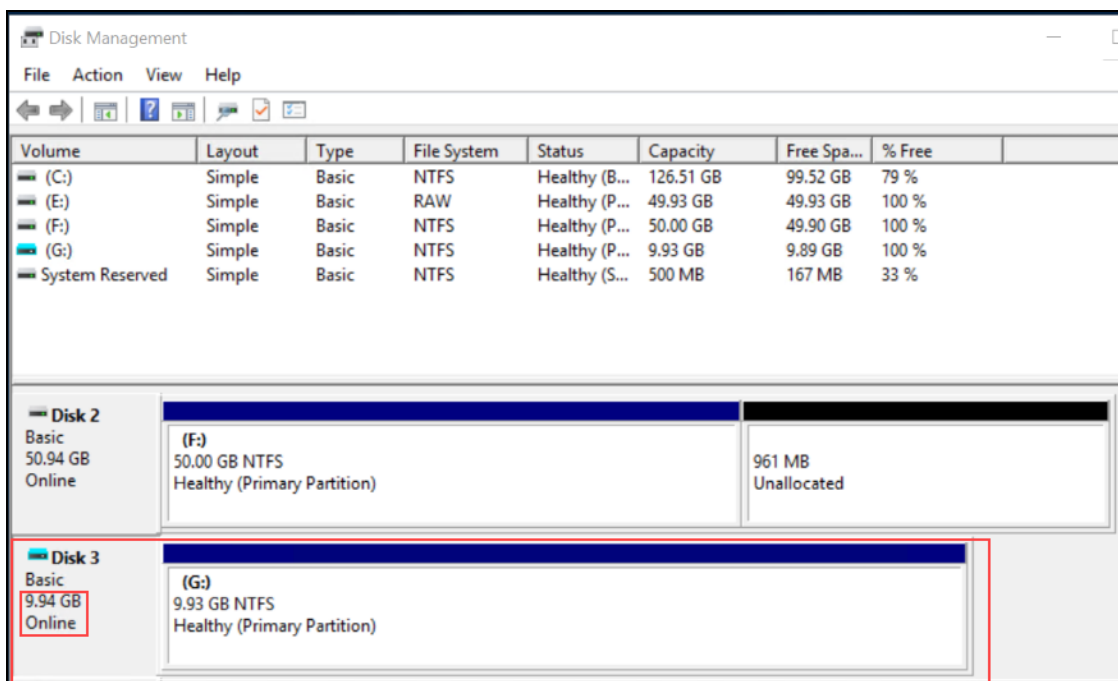
```
C:\>voradmin esg config new \Device\00000051=NewDisk3
Disk is initialized successfully with CTE ESG protection.
```

The Administrator guards the new disk through the CipherTrust Manager, and uses the `voradmin esg status` command to make sure the new disk has been successfully guarded.

```
C:\>voradmin esg status
```

Disk###	Device Name	Boot Disk	ESG Device label	Guard Status	Xform Status
Disk0	\Device\Ide\IdeDeviceP0T0L0-0	Yes	NA	unguarded	
Disk1	\Device\00000032	No	esg-disk1-demo	guarded	Completed
Disk2	\Device\00000033	No	esg-disk2-demo	guarded	Completed
Disk3	\Device\00000051	No	NewDisk3	guarded	NA

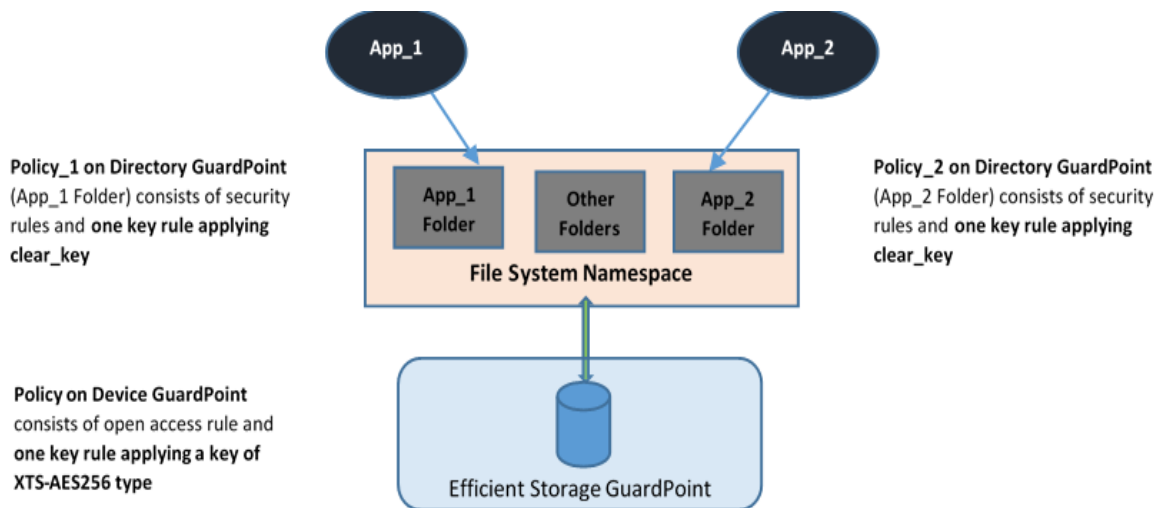
After the device has been guarded, the Administrator returns to the Windows Disk Manager and selects **Action > Rescan Disks** to make sure the Windows Disk Manager is synchronized with CTE. They then initialize the disk, create a new volume for it, and format it. Notice that the new volume size is slightly smaller than the original 10 GB because CTE has reserved room for the CTE Private Region.



### Use Case 3: Directory-Level GuardPoints

Protect structured or unstructured data stored in data files. The data files are organized inside one or multiple directories or folders within a file system namespace, such as NTFS or ReFS, where the entire file system namespace is guarded with one policy as a Directory GuardPoint. In this use case, the file system resides in a device guarded as ES GuardPoint.

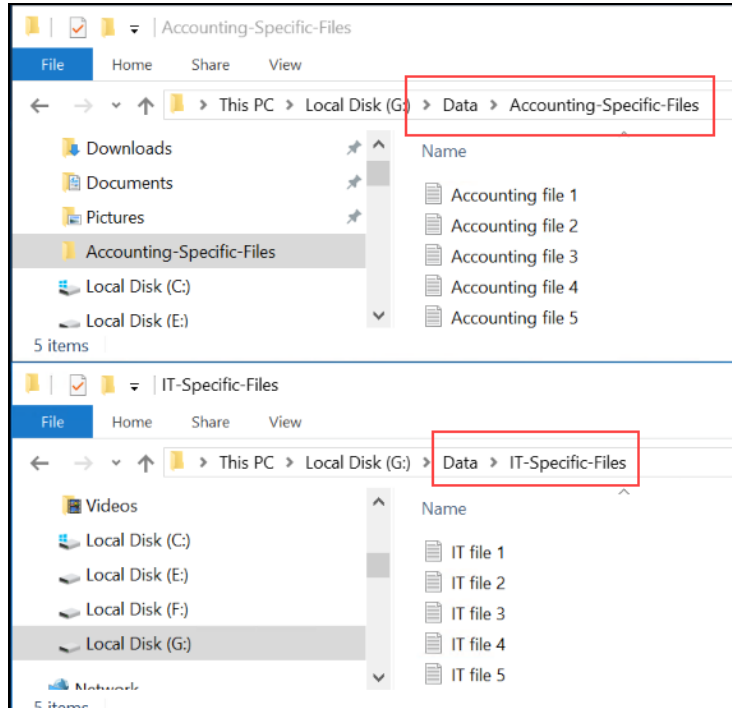
Figure 12-2: All Data in file system Device Encrypted through an ES GuardPoint



The second policy protecting the device is the same policy as use case 2.

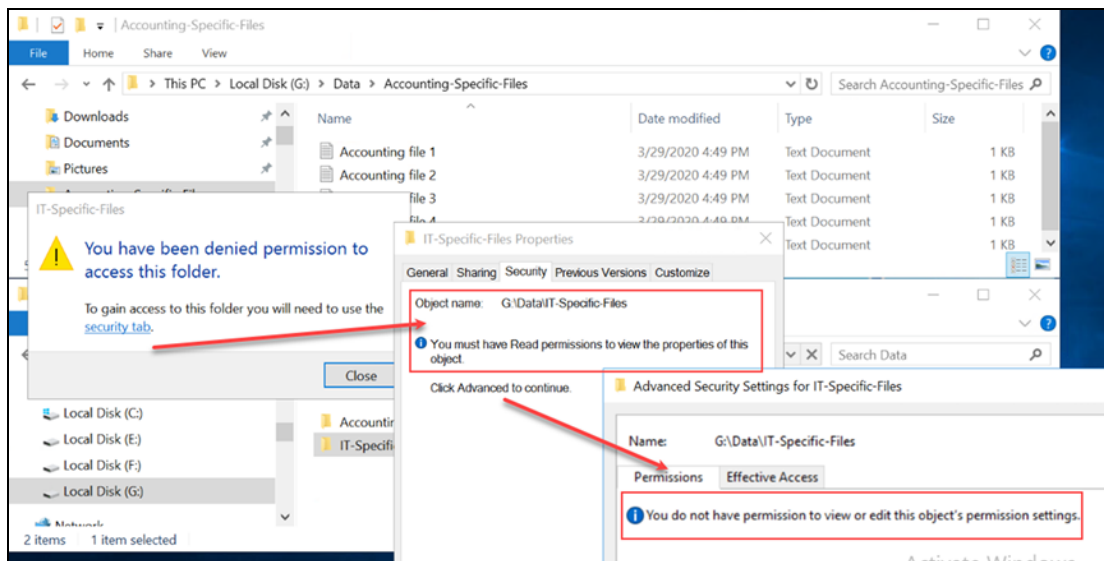
## Example

In this example, Jane Doe is a member of the Accounting team and John Fredricks is a member of the IT team. There are two folders on the guarded disk called `G:\Data\Accounting-Specific-Files` and `G:\Data\IT-Specific-Files`. Even though the disk is protected by an Efficient Storage GuardPoint, both Jane and John can see the files in either folder. For example:



Then the Administrator applies the policy to `G:\Data`.

Now when Jane Doe logs into the server, she can see the files in the `Accounting-Specific-Files` directory but she cannot access the files in the `IT-Specific-Files` directory, even if her account has Administrator-level access. For example:



Similarly, when John Fredricks logs in he will be able to access the files in the `IT-Specific-Files` directory but he will be unable to access the `Accounting-Specific-Files` directory.

## Use Case 4: Full Device Protection

As shown in the previous use cases, administrators can add access control policies at the file system or directory level, thus controlling normal user access to the protected files. This does not, however, block users with Administrator privileges on the Windows machine from opening protected disks or volumes directly using Windows Administration tools such as DiskPart.

By opening the disks or volumes directly, Windows Administrators can read and write the clear text data from the device, bypassing any access controls. In order to prevent this, the Administrator can include a *process set* in the policy associated with the device-level GuardPoint. The process set includes a white list of the processes that are allowed to run on the protected device. Any process not in the white list will be blocked by CTE.

Thales recommends adding at least the following system processes to your process set. These system processes are used to create snapshots and perform other standard disk management tasks. You can add other processes to your white list as required.

- `Windows\System32\ntoskrnl.exe`
- `Windows\System32\svchost.exe`
- `Windows\System32\vds.exe`
- `Windows\System32\webm\WmiPrvSE.exe`

For an additional layer of protection, you can create a *signature set* that contains the signature for each one of the processes that you want to add to your white list. If you include signature information in the process set, CTE uses that signature to verify the integrity of the process before it allows that process to access the protected data.

### Note

Signature sets are host-specific, as the signature for a particular process may be different on different hosts. Therefore, if you add a signature set to a policy, you should only assign that policy to devices on the host associated with the signature set.

## Alerts and Errors on Windows

### ESG-ALERT: Data transformation failure on [GuardPoint]

This is an alert message to the CipherTrust Manager. It occurs when a protected host encounters an error transforming the data on the device during the IDT process.

**Solution:** Contact Thales Support for troubleshooting and recovery.

### ESG-INFO: Data transformation complete on [GuardPoint]

This message notifies the Administrator that the protected host has completed the data transformation on the specified ES GuardPoint.

### Disk label validation failed. Check your disk label and run command again.

This error occurs when you run the `voradmin esg config` command on an ESG device and you specify a disk label that is too long or that contains unsupported characters.

**Solution:** Check disk label and make sure that it meets the label name requirements.



## Failed to get disk information

This error occurs when ESG found the device but cannot open it.

**Solution:** Contact Thales Support for troubleshooting and recovery.

## Boot partition is present on the disk. Disk or LUN can not be protected using CTE agent.

This message occurs when you run the `voradmin esg config` command on a disk that has a boot partition. ESG only supports protecting the data disks. You cannot use ESG to protect the system or boot disks.

## The disk is dynamic disk. This disk or LUN can not be protected using CTE agent.

This message occurs when you run the `voradmin esg config` command on a dynamic disk. ESG does not support guarding dynamic disks.

## Failed to initialize disk

This error message occurs when the `voradmin esg config` command fails to initialize the disk.

**Solution:** Contact Thales Support for troubleshooting and recovery.

## Disk is already initialized/guarded with CTE ESG protection

This message occurs when you run the `voradmin esg config` command on a disk is already protected by an ES GuardPoint or has already been initialized using the `voradmin esg config` command. The error message shows the disk label that was assigned to the device when it was initialized.

To determine the ESG status of all disks on the host, use the `voradmin esg status` command.

## Failed to initialize disk with CTE ESG protection. Size must be greater than %xMB, Current size: %yMB

This error occurs when there is not enough free disk space to store the ES Header in the CTE private region on the disk.

**Solution:** Increase the disk size to at least the size shown in the error message.

## Disk is initialized successfully with CTE ESG protection.

This notification indicates that CTE ESG protection has been successfully applied to the disk.

## Disk is initialized successfully with CTE ESG protection. Disk must be Resized to at least 128MB before guarding as Efficient Storage GuardPoint

This message occurs after you use the `voradmin esg config xform` command on an existing disk. It indicates that the initialization was successful but that you must now increase the disk size by at least 128MB before you can apply the ES GuardPoint through the CipherTrust Manager.

## Failed to initialize disk with CTE ESG protection. The specified disk does not exist or is not online.

This error message occurs when CTE cannot find the disk specified on the `voradmin esg config` command.

**Solution:** Check in the disk management utility to make sure the disk is available on the system. If it has gone offline, bring it back online and re-submit the `voradmin esg config` command. If the disk appears to be online and can be accessed by other applications but ESG still cannot find it, contact Thales Support for troubleshooting and recovery.

## Disk with specified label does not exist. Please select another disk.

This error occurs when the disk label specified on a `voradmin esg` command does not exist.

**Solution:** Check the disk label and resubmit the command. To see all available disk labels, use the `voradmin esg status` command.

## Header deletion failed with error code

This error occurs when the Administrator enters the `voradmin esg delete <disk-label>` command for a valid ES disk but CTE cannot delete the ES Header from the specified disk.

**Solution:** Contact Thales Support for troubleshooting and recovery.

## Disk is protected with CTE ESG. Unguard the disk before deleting ESG header.

This error occurs when the Administrator enters the `voradmin esg delete <disk-label>` command but there is still an ES GuardPoint assigned to the disk in the CipherTrust Manager.

**Solution:** Remove the ES GuardPoint through the CipherTrust Manager and then re-submit the `voradmin esg delete` command.

## CTE ESG header deleted successfully.

This message indicates that CTE has successfully deleted the ESG header on the disk specified in the `voradmin esg delete <disk-label>` command.

## CTE ESG header does not exist on the selected disk. Please select another disk

This message occurs when the Administrator enters the `voradmin esg delete <disk-label>` command but CTE cannot find an ES Header on the specified disk.

**Solution:** Check the disk label and resubmit the request. If the disk label is correct and the problem persists, contact Thales Support for troubleshooting and recovery.

# Chapter 13: Upgrading CTE on Windows

This chapter describes how to upgrade an existing VTE for Windows host to CipherTrust Transparent Encryption (CTE) for Windows.

This chapter contains the following sections:

<a href="#">To Upgrade in Windows Silently</a>	115
<a href="#">Verify the Windows Installation</a>	115
<a href="#">Resolving Problems that Prevent Silent Install</a>	115
<a href="#">CTE Scheduled Upgrade</a>	116
<a href="#">Workaround for MSI CTE Typical, Silent, and Scheduled Upgrades</a>	117

## To Upgrade in Windows Silently

If you have already installed CTE on a Windows computer and want to upgrade it silently, use the appropriate command below for the type of installation binary that you are using.

### Note

The protected host must be able to connect to the CipherTrust Manager that it is registered to or the upgrade will fail.

#### Upgrade using self-extracting .exe

```
vee-fs-7.2.0-128-win64.exe /s /v" /qn"
```

#### Upgrade using MSI

```
msiexec.exe /i vee-fs-7.2.0-128-win64.msi /qn REINSTALLMODE=voums REINSTALL=ALL
```

Before upgrading using MSI, you must rename the installation file to the name of the previously used MSI installation file. See ["Workaround for MSI CTE Typical, Silent, and Scheduled Upgrades" on page 117](#) for more information.

### Note

For all types of upgrades, including interactive (GUI-based) and scheduled upgrades, the protected host must be able to connect to the CipherTrust Manager that it is registered to or the upgrade will fail.

## Verify the Windows Installation

After running a silent install, verify the installation by checking CTE processes.

1. In the system tray, right-click the CipherTrust Lock icon.
2. Select **Status**. Review the information in the Status window to confirm the correct CTE are installed and registered.

## Resolving Problems that Prevent Silent Install

If you encounter problems using MSI or self-extracting .exe silent install commands, first check the syntax of the command. To further investigate installation issues, you can use Microsoft diagnostics software:

- For desktop versions of Windows: [Microsoft Diagnostics Troubleshooting Wizard](#)
- For server versions of Windows: [Microsoft Automatic Troubleshooting Services \(MATS\)](#)

Refer to the Microsoft documentation on the linked pages for more information. See the *Compatibility Matrix for CTE Agent with Data Security Manager* for a list of versions of Windows that are supported for use with CTE.

## CTE Scheduled Upgrade

Scheduled upgrade allows you schedule an upgrade of the CTE agent to occur after the next time the server hosting the agent reboots normally. Scheduled upgrade can minimize CTE service interruptions. Also, scheduled upgrade can reduce coordination issues in organizations where the security roles are separated.

### Notes

- Install all Microsoft update patches before scheduling a CTE Agent upgrade. Otherwise, the upgrade will fail.
- The CTE scheduled upgrade feature is compatible with Windows Server 2008 R2 and higher versions.
- For all types of upgrades, including interactive (GUI-based) and scheduled upgrades, the protected host must be able to connect to the CipherTrust Manager that it is registered to or the upgrade will fail.

## Scheduling a CTE Upgrade on the Command Line

To schedule CTE to upgrade the next time the system reboots, type:

```
> voradmin upgrade schedule <CTE setup executable path>
```

### Self-extracting .exe Example

```
> voradmin upgrade schedule C:\7.2.0.128\vee-fs-7.2.0-128-win64.exe
```

### MSI Example

```
> voradmin upgrade schedule C:\7.2.0.128\vee-fs-7.2.0-128-win64.msi
```

### System Response

```
Creating and installing service to upgrade. CTE agent will be upgraded on next  
reboot.
```



### WARNING

**If you have scheduled an upgrade on reboot and the system crashes or is not shutdown gracefully, you must restart the system again to upgrade the agent.**

## Scheduling a CTE Upgrade Interactively (self-extracting .exe only)

When you open the self-extracting .exe CTE installation binary and a version of CTE is already installed, you have the option of upgrading immediately or initiating a scheduled upgrade. See the procedure below for details. This is an alternative to scheduling an update on the command line using `voradmin` (see "[Scheduling a CTE Upgrade on the Command Line](#)" above).

1. Move the self extracting .exe CTE installation binary to the computer on which you want to initiate the scheduled upgrade.
2. Double-click the self extracting .exe CTE installation binary to run it.
3. Click through the standard initial dialog boxes like the license dialog box.

4. On the **UPGRADE - Install now or Later** dialog box, click **Schedule Upgrade on next reboot** and then click **Next**.
5. Click **Schedule** on the confirmation dialog box.

The next time the computer reboots, the upgrade will occur.

This interactive method of scheduling an update is not available for MSI CTE installation binaries. You must use the `voradmin` command line scheduled upgrade method.

## Show Scheduled CTE Upgrades

To display all scheduled CTE agent upgrades, type:

```
> voradmin upgrade show
```

### System Response

```
Current version:          6.0.3.12
Target upgrade version:   6.0.3.15
Upgrade on reboot:       Enabled
```

## Cancel a Scheduled CTE Upgrade

To cancel/cleanup a scheduled CTE agent upgrade, type:

```
> voradmin upgrade cancel
```

### System Response

```
CTE agent upgrade canceled successfully.
```

## Workaround for MSI CTE Typical, Silent, and Scheduled Upgrades

When performing an upgrade, Windows Installer Package (MSI) expects the name of the installation binary to be the same as the binary that you used to install CTE. Because Thales includes the software version and build number in the binary file name, you must rename the installation binary to the name of the previously used MSI installation binary before upgrading using MSI. This applies to any MSI CTE upgrade method: typical (interactive), silent upgrade, and scheduled upgrade. If the name does not match the previous binary file name, the upgrade will fail with error code 1316.

For example, let's say that you installed the CTE Agent using the following installation file:

```
vee-fs-7.1.0.66-win64.msi
```

If you used this binary to install or upgrade CTE, the next time you want to upgrade CTE the installation binary that you download from Thales might have the following file name:

```
vee-fs-7.2.0-128-win64.msi
```

To upgrade successfully using MSI, you would need to rename the new installation binary to the previous file name of `vee-fs-7.1.0.66-win64.msi` before upgrading.

## Finding The Name Used For A Previous MSI Installation or Upgrade

If you want to upgrade CTE using an MSI installation binary but don't know the file name that you used during the previous installation or upgrade, you can look it up by using one of the following methods on the computer where you installed CTE:

## MSI File Name Lookup Method 1: PowerShell

Run the following command in PowerShell:

```
PS> (Get-WmiObject Win32_Product | where { $_.Name -match "CipherTrust Encryption Expert  
File System Agent" }).PackageName
```

Rename the new CTE setup installation binary to the file name output from the PowerShell command and proceed with the upgrade.

## MSI File Name Lookup Method 2: Windows Registry

Find the following registry entry:

```
HKEY_LOCAL_MACHINE\SOFTWARE\Classes\Installer\Product\  
905CB36BF7940894995701C86901D14F
```

Rename the new CTE installation binary to the file name in the registry and proceed with the upgrade.

# Chapter 14: Uninstalling CTE from Windows

---

This chapter describes how to upgrade an existing VTE for Windows host to CipherTrust Transparent Encryption (CTE) for Windows.

This chapter contains the following sections:

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## Considerations

- The CTE Agent must be removed from the Windows host before the host is removed from the key manager with which it is registered.
- Database applications like DB2 and Oracle can lock the user space while they run. If the uninstall fails because a GuardPoint is in use, determine which applications are using the files in the GuardPoint and stop them. Then run the uninstall again.

## Procedure

1. Stop any application from accessing files in the GuardPoint.
2. In the key manager with which this host is registered, do the following:
  - Decrypt any data you want to use after uninstall. After the CTE Agent software is removed, access to data is no longer controlled. If data was encrypted, it will remain encrypted. If decrypted or copied out of the GuardPoint, the data is visible as clear text.  
  
This decryption must be done on *every* GuardPoint on the host if you want to access all existing data on the host.
  - Make sure the Agent and System locks have been disabled for the host.
  - Thales recommends that you remove all GuardPoints from the host before you uninstall the CTE Agent.

*Do not* remove the host from the key manager yet.
3. Log on to the host as with system administrator privileges.
4. Use one of the following methods to uninstall the CTE Agent:
  - Use the standard Windows Add/Remove program utility from the Control Panel to remove the CTE software.
  - If you installed the CTE Agent using the MSI file, you can uninstall it using the command line with the `msiexec.exe /x Installation_executable /qn` command. For example:  

```
C:\> msiexec.exe /x vee-fs-7.2.0-128-win64.msi /qn
```
5. Reboot the system when prompted.
6. Remove the host record from the key manager.

# Appendix A: Troubleshooting and Best Practices

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## Windows Systems

### CTE will not register with the CipherTrust Manager

- If there is a firewall between the CipherTrust Manager and CTE, configure `vmd.exe` as a firewall exception on CipherTrust Manager for Windows. Otherwise, the CipherTrust Manager is unable to browse CTE.
- If using a Windows XP or Windows 2003 system Firewall, select **Control Panel > Windows Firewall > Exceptions > Add Program...** and browse for `vmd.exe`. The default location is  
`C:\Program Files\Vormetric\DataSecurityExpert\agent\vmd\bin\vmd.exe`
- If using a Windows 7 system Firewall, select **Control Panel > System and Security > Windows Firewall > Allowed Programs...** click **Change settings**, click **Allow another program** and browse for `vmd.exe`. The default location is  
`C:\Program Files\Vormetric\DataSecurityExpert\agent\vmd\bin\vmd.exe`

### CTE with NFSv4: Permission denied error

You may see a permission denied error if you try to access files on an NFSv4 file system that is guarded by CTE.

CTE imposes a restriction on NFSv4 file systems to prevent write-only permissions from being set on individual files. You can work around this restriction by configuring read and write permissions on the same files.

You can also add a policy that allows write permissions.

This restriction applies only in the case of files resident in guarded NFSv4 file systems.

### McAfee VirusScan Enterprise + Antispyware Enterprise

You must install McAfee AV software **before** installing CTE agent. If CTE is installed first, McAfee cannot initialize and all attempts to scan fail.





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