

PingDirectoryProxy™

Release 7.3.0.1

Server Administration Guide



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PingDirectory™ Product Documentation

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Support

<https://support.pingidentity.com/>

Introduction

PingDirectoryProxy™ Server is a fast and scalable LDAPv3 gateway for the PingDirectory® Server. The Directory Proxy Server architecture can be configured to control how client requests are routed to backend servers.

This chapter provides an overview of the Directory Proxy Server features and components. It contains the following sections:

Overview of the PingDirectoryProxy Server Features

The PingDirectoryProxy Server is a fast, scalable, and easy-to-use LDAP proxy server that provides high availability and additional security for the PingDirectory Server, while remaining largely invisible to client applications. From a client perspective, request processing is the same, whether communicating with the Directory Server directly or going through the Directory Proxy Server.

The PingDirectoryProxy Server provides the following set of features:

- **High availability.** The Directory Proxy Server allows you to transparently fail over between servers if a problem occurs, as well as ensuring that the workload is balanced across the topology. If a client does not support following referrals, the Directory Proxy Server can follow them on the client's behalf.
- **Data mapping and transformation.** The Directory Proxy Server can do DN mapping and attribute mapping to allow clients to interact with the server using older names for directory content. It allows clients to continue working when they would not be able to work directly with the Directory Server, either because of changes that have occurred at the data layer or to inherent design limitations in the clients.
- **Horizontal scalability and performance.** Reads can be horizontally scaled using load balancing. In large data centers, if the data set is too large to be cached or to provide horizontal scalability for writes, the Directory Proxy Server can automatically split the data across multiple systems. This feature allows the Directory Proxy Server to improve scalability and performance of the Directory Server environment.

- **Load balancing and failover.** You can spread the workload across multiple proxies in a large data center using load-balancing algorithms. Load balancing is also useful when a server becomes degraded or non-responsive, because client process requesting is directed to a different server.
- **Security and access control.** The Directory Proxy Server can add additional firewall capabilities, as well as constraints and filtering to help protect the Directory Server from attacks. You can use a Directory Proxy Server in a DMZ as opposed to allowing clients to directly access the Directory Proxy Server in the internal network or providing the data in the DMZ. It can help provide secure access to the data and you can define what actions clients are allowed to do. For example, you can prevent clients from making modifications to data when connected via a VPN no matter what their identity or permissions.
- **Tracking of operations across the environment.** In the past, administrators have commonly complained that when they see a request in the access log, they have no idea where it came from and cannot track it back to a particular client. The Directory Proxy Server contains controls that allow administrators to track requests back to the client that issued them. Whenever the Directory Proxy Server forwards a request to the Directory Server, it includes a control in the request so that the Directory Server's access log has the IP address of the client, address and connection ID of the Directory Server. In the response back to the client, it similarly includes information about the Directory Server that processed the request, such as the connection ID and operation ID. This feature makes it easier for administrators to keep track of what is going on in their environment.
- **Monitoring and management tools.** Because the Directory Proxy Server uses many of the components of the PingDirectory Server, it can leverage them to provide protocol support, logging, management tools for configuration and monitoring, schema, and so on. You can use the Data Metrics Server, the `dsconfig` tool and the Administrative Console to manage the Directory Proxy Server.

Overview of the Directory Proxy Server Components and Terminology

The Directory Proxy Server consists of the following components and functionality that provide the proxy capabilities:

- Locations
- LDAP External Servers
- LDAP Health Checks
- Load-Balancing Algorithms
- Data Transformations
- Request Processors
- Server Affinity Providers
- Subtree Views
- Connection Pools
- Client Connection Policies
- Entry Balancing

This section describes each component in more detail.

About Locations

Locations define a group of servers with similar response time characteristics. Each location consists of a name and an ordered list of preferred failover locations. The Directory Proxy Server and each of the backend LDAP external servers can be assigned locations. These locations can be taken into account when deciding how to route requests, so that the server prefers to forward requests to Directory Server in the same data center over those in remote locations. As a rule of thumb, if you have multiple data centers then you should have a separate location for each one. In most environments, all Directory Proxy Server instances should have the same configuration except for the attribute that specifies the location of the Directory Proxy Server itself.

For example, a deployment consists of three data centers, one in New York, another in Chicago, and another in Los Angeles. In the New York data center, applications which reside in this data center prefer communicating with directories in this data center. If none of the servers are available, it prefers to failover to the data center in Chicago rather than the data center in Los Angeles. So the New York location contains an ordered list in which the Chicago location is preferred over the Los Angeles data center for failover.

For information about configuring locations, see [Configuring Locations](#).

About LDAP External Servers

You can configure information about the directory server instances accessed by the PingDirectoryProxy Server. This configuration information includes the following:

- Server connection information, such as IP address, port, and security layer
- Location
- Authentication information
- Methods for authenticating and authorizing clients
- Server-specific health checks
- Types of operations allowed. For example, some LDAP external servers may allow only reads and others allow reads and writes, so the Directory Proxy Server can recognize this and accommodate it.

The PingDirectoryProxy Server allows you to configure different types of LDAP external servers. The default configuration for each type is tuned to be the best possible configuration for each.

For information about configuring LDAP external servers, see [Configuring LDAP External Servers](#).

About LDAP Health Checks

The LDAP health check component provides information about the availability of LDAP external servers. The health check result includes a server state, which can be one of the following:

- **Available.** Completely accessible for use.
- **Degraded.** The server may be used if necessary, but has a condition which may make it less desirable than other servers (for example, it is slow to respond or has fallen behind in replication).
- **Unavailable.** Completely unsuitable for use (for example, the server is offline or is missing critical data).

Health check results also include a numeric score, which has a value between 1 and 10, that can help rank servers with the same state. For example, if two servers are available and one has a score of 8 and the other a score of 7, the Directory Proxy Server can be configured to prefer the server with the higher score.

The Directory Proxy Server periodically invokes health checks to monitor each LDAP external server, and may also initiate health checks in response to failed operations. It checks the health of the LDAP external servers at intervals configured in the LDAP server's `health-check-frequency` property. However, the Directory Proxy Server has safeguards in place to ensure that only one health check is in progress at any time against a backend server to avoid affecting its ability to process other requests.

The results of health checks performed by the Directory Proxy Server are made available to the load-balancing algorithms so that they may be taken into account when determining where to send requests. The Directory Proxy Server will attempt to use servers with a state of available before trying servers with a state of degraded. It will never attempt to use servers with a state of unavailable. Some load-balancing algorithms may also take the health check score into account, such as the health-weighted load-balancing algorithm, which prefers servers with higher scores over those with lower scores. You configure the algorithms that work best for you environment.

In some cases, an LDAP health check may define different sets of criteria for promoting and demoting the state of a server. So, a degraded server may need to meet more stringent requirements to be reclassified as available than it originally took to be considered degraded. For example, if response time is used in the process of determining the health of a server, then the Directory Proxy Server may have a faster response time threshold for transitioning a server from degraded back to available than the threshold used

to consider it degraded in the first place. This threshold difference can help avoid cases in which a server repeatedly transitions between the two states because it is operating near the threshold.

For example, the health check used to measure search response time is configured to mark any server to be marked degraded when the search response time is greater than 1 second. You can then configure that the response time must be less than 500 ms before the server is made available again, so that the Directory Proxy Server does not flip back and forth between available and degraded.

PingDirectoryProxy Server provides the following health checks:

- **Measure the response time for searches and examine the entry contents.** For example, the health check might retrieve a monitoring entry from a server and base the health check result on whether the entry was returned, how long it took to be returned, and whether the value of the returned entry matches what was expected.
- **Monitor the replication backlog.** If a server falls too far behind in replication, then the Directory Proxy Server can stop sending requests to it. A server is classified as degraded or unavailable if the threshold is reached for the number of missing changes, the age of the oldest missing change, or both.
- **Consume Directory Server administrative alerts.** If the Directory Server indicates there is a problem, for example an index that must be rebuilt, then it will flag itself as degraded or unavailable. When the Directory Proxy Server detects this, it will stop sending requests to the server. The Directory Proxy Server detects administrative alerts as soon as they are issued by maintaining an LDAP persistent search for changes within the `cn=alerts` branch of the Directory Server. When the Directory Proxy Server is notified by the Directory Server of a new alert, it immediately retrieves the base `cn=monitor` entry of the Directory Server. If this entry has a value for the `unavailable-alert-type` attribute, then the Directory Proxy Server will consider it unavailable. If this entry has a value for the `degraded-alert-type` attribute, then the Directory Proxy Server will consider it degraded. Clients of the Directory Proxy Server can use a similar mechanism to detect and react when a Directory Proxy Server flags itself as degraded or unavailable.
- **Monitor the busyness of the server.** If a server becomes too busy, then it may be marked degraded or unavailable so that less heavily-loaded servers may be preferred.

For information about configuring health checks, see [Configuring Server Health Checks](#). To associate a health check with an LDAP external server and set the health check frequency, you must configure the `health-check` and `health-check-frequency` properties of the LDAP external server. See “To Configure an External Server Using `dsconfig`” for information about configuring the properties of the external server.

About Load-Balancing Algorithms

Load-balancing algorithms are used to determine which server in a set of similar servers should be used to process a client request. The algorithm can take the following criteria into account:

- **Consider the location of the server.** Servers in the same location as the Directory Proxy Server can be preferred over those in alternate locations.
- **Consider the health of the server.** Servers that are available are preferred over those that are degraded. In some cases, the health check score may also be used to further differentiate between servers with the same health check state.
- **Route requests consistently.** Requests from a single client may be consistently routed to the same directory server instance to avoid problems such as propagation delay from replication.
- **Retry the operation in an alternate server if the request fails or the operation times out.** You can control if the retry is allowed and, if so, how many times to retry and the time out interval.

The PingDirectoryProxy Server provides the following load-balancing algorithms:

- **Fewest operations.** Requests are forwarded to the backend server with the fewest operations currently in progress.
- **Single server.** Requests are always sent to the same server and will not attempt to fail over to another server if the target server is unavailable.

- **Weighted.** Administrators explicitly assign numeric weights to individual servers or sets of servers to control how likely they are to be selected for processing requests relative to other servers.
- **Health-based weighting.** Uses the health check score to assign weights to each of the servers, so that a server with a higher score gets a higher percentage of the traffic than a server with a lower score. The proportion of traffic received is the difference between their health check scores.
- **Failover.** Requests are always sent to a given server first. If that server fails, then the request is sent to another specified server, and so on through an ordered failover server list.

For information about configuring load balancing, see [Configuring Load Balancing](#).

About Proxy Transformations

Proxy transformations are used to rewrite requests and responses as they pass through the Directory Proxy Server. Proxy data transformations are helpful for clients that use an old schema or that contain a hard-coded schema.

Proxy transformations can provide DN and attribute mapping altering both requests to the server as well as responses from the server. For example, a client sends a request to `o=example.com` even though the directory server handling the request uses `dc=example,dc=com`. The Directory Proxy Server can transparently remap the request so that the server can process it, and map it back to the original DN of the client request when the value is returned. Or if a client tries to use the attribute `userID`, the Directory Proxy Server can map it to `uid` before sending the request on to the backend LDAP server. The Directory Proxy Server then remaps the response to `userID` when the value is returned.

The Directory Proxy Server also includes a proxy transformation that can be used to suppress a specified attribute, so that it will never be returned to clients. It can also cause the server to reject requests which target that particular attribute. Another proxy transformation can be used to prevent entries that match a given search filter from being returned to clients.

For information about configuring proxy transformations, see [Configuring Proxy Transformations](#) on page 70.

About Request Processors

A request processor encapsulates the logic for handling an operation, ensuring that a given operation is handled appropriately. The request processor can either process the operation directly, forward the request to another server, or hand off the request to another request processor.

PingDirectoryProxy Server provides the following types of request processor:

- **Proxying request processors**, which forward operations received by the Directory Proxy Server to other LDAP external servers.
- **Entry-balancing request processors**, which split data across multiple servers. They determine which set of servers are used to process a given operation. They then hand off operations to proxying request processors so that requests can be forwarded to one of the servers in the set.
- **Failover request processors**, which perform ordered failover between other types of request processors, sometimes with different behavior for different types of operations.

Directory Proxy Server request processors can be used to forward certain controls, including the batch transaction control and the LDAP join control. The batch transaction control must target a single Berkley DB backend. For more information about the controls, refer to the LDAP SDK for Java documentation.

For information about configuring request processors, see [Configuring Request Processors](#) on page 72.

About Server Affinity Providers

The server affinity provider can be used to establish an affinity to a particular backend server for certain operations. You can configure one of three types of provider:

- **Client connection Server Affinity**, so that requests from the same client connection may consistently be routed to the same backend server.

- **Client IP address Server Affinity**, so that all requests coming from the same client system will be consistently routed to the same backend server.
- **Bind DN Server Affinity**, so that all requests from the same user will be consistently routed to the same backend server.

For information about configuring server affinity, see [Configuring Server Affinity](#).

About Subtree Views

A subtree view can be used to make a portion of the DIT available to a client by associating a request processor with a base DN. Subtree views allow you to route operations concerning one set of data to a particular set of data sources, and operations concerning another set of data to another set of data sources. Multiple subtree views may be involved in processing a request, such as for searches that have a scope that is larger than the subtree view.

The subtree view includes a single base DN used to identify the portion of the DIT. They may have hierarchical relationships, for example one subtree view could be configured for `dc=example,dc=com` and another for `ou=People,dc=example,dc=com`.

For information about configuring a subtree view, see [Configuring Subtree Views](#).

About the Connection Pools

Based on the type of backend server that you are using, the PingDirectoryProxy Server maintains either one or two connection pools to the backend server. It maintains either one pool for all types of operations or two separate pools for processing bind and non-bind operations from clients. When the Directory Proxy Server establishes connections, it authenticates them using whatever authentication mechanism is defined in the configuration of the external server. These connections will be re-used for all types of operations to be forwarded to the backend server. The bind DN and password are configured in the Directory Proxy Server.

Whenever a client sends a bind request to the Directory Proxy Server, the server looks at the type of bind request that was sent. If it is a SASL bind request, then the authentication is processed by the Directory Proxy Server itself and it will not be forwarded to the backend server. However, the Directory Proxy Server may use information contained in the backend server as needed. If the bind request is a simple bind request and the bind DN is within the scope of data supplied by the backend server, then the Directory Proxy Server will forward the client request to the backend server so that it will use the credentials provided by the client.

Regardless of the authentication method that the client uses, the Directory Proxy Server will remember the identity of the client after the authentication is complete and for any subsequent requests sent by that client, it will use the configured authorization method to identify the client to the backend server. Even though the operation is forwarded over a connection that is authenticated as a user defined in the Directory Proxy Server configuration, the request is processed by the backend server under the authority of the end client.

About Client Connection Policies

Client connection policies define the general behavior the server exhibits when communicating with a set of clients. Each policy consists of the following:

- A **set of connection criteria** that define which client is associated with the policy based on information the server has about the client, including client address, protocol used, secure communication mechanism, location of the client's entry in the Directory Server and the contents of the client's entry. These criteria are the same as those used for filtered logging. For example, different client connection policies could be established for different classes of users, such as root and non-root users.
- A **set of constraints** on the type of operations a client may request. You can specify whether a particular type of operation is allowed for clients. For some operation types, such as extended operations, you can allow only a particular subset of an operation type, such as a particular extended operation.

- A **set of subtree views** that define information about the parts of the DIT the client may access.

When a client connection is established, only one client connection policy is applied. If the criteria for several policies match the same client connection, the evaluation order index is used as a tiebreaker. If no policy matches, the client connection is terminated. If the client binds, changing its identity, or uses StartTLS to convert from an insecure connection to a secure connection, then the connection may be evaluated again to determine if it matches the same or a different client connection policy. The connection can also be terminated if it no longer matches any policy.

For information about configuring a client connection policy, see [Configuring Client Connection Policies](#) on page 77.

About Entry Balancing

Entry balancing allows you to automatically spread entries below a common parent among multiple sets of directory servers for improved scalability and performance. Entry balancing can take advantage of a global index, an in-memory cache used to quickly determine which set or sets of servers should be used to process a request based on the entry DNs and/or the attribute values used in the request.

For information about configuring entry balancing, see [Deploying an Entry-Balancing Proxy Configuration](#) on page 158.

Server Component Architecture

This section provides an overview of the process flow between the Directory Proxy Server components, for both a simple proxy deployment and an entry-balancing deployment.

Architecture of a Simple Directory Proxy Server Deployment

In a simple Directory Proxy Server deployment, a client request is first processed by a client connection policy as illustrated in Figure 1, “Process Flow for Directory Proxy Server”.

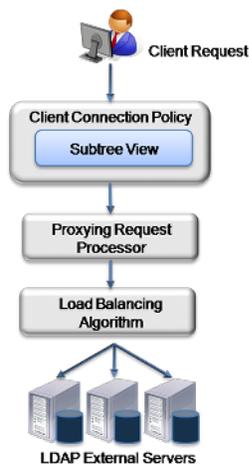


Figure 1: Process Flow for Directory Proxy Server

The client connection policy contains a subtree view, which defines the portion of the DIT available to clients. Once the Directory Proxy Server determines that the DIT is available, it passes the request to the request processor, which defines the logic for processing the request. The request processor then passes the request to a load-balancing algorithm, which determines the server in a set of servers responsible for handling the request. Finally, the request is passed to the LDAP external server. The LDAP external server contains properties that define the server’s location in a topology and the health checks used to determine if the server is functioning properly. This information may be used by the load-balancing algorithm in the course of determining how to route requests.

Architecture of an Entry-Balancing Directory Proxy Server Deployment

Figure 2, “Process Flow for Entry-Balancing Directory Proxy Server” describes how a client request is treated in an entry-balancing deployment.

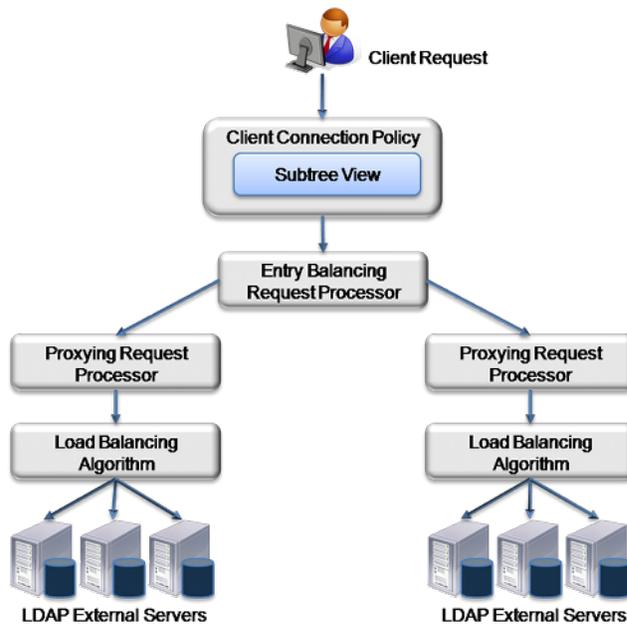


Figure 2: Process Flow for Entry-Balancing Directory Proxy Server

Entry balancing is typically used when the data set is too large to fully cache on a single server or when the write performance requirements of an environment are higher than can be achieved with a single replicated set of servers. In such cases, the data may be split across multiple sets of servers, increasing the memory available for caching and the overall write performance in proportion to the number of server sets.

As with a simple proxy deployment, the client request is first processed by the client connection policy, which determines how the Directory Proxy Server communicates with a set of clients. It contains a subtree view that represents the base DN for the entire deployment. The data set splits beneath this base DN.

The request is then passed to the entry-balancing request processor. The entry-balancing request processor contains a global attribute index property, which helps the request processor determine which server set contains the entry and how to properly route the request. It also contains a placement algorithm, which helps it select the server set in which to place new entries created by add requests.

Beneath the entry-balancing request processor are multiple proxying request processors that handle multiple unique sets of data. These request processors pass the request to a load-balancing algorithm, which determines which LDAP external server should handle the request. As with a simple proxy deployment, this LDAP external server contains properties that define the server’s location and the health checks used to determine if the server is functioning properly.

For information about entry-balancing replication, see [Overview of Replication in an Entry-Balancing Environment](#) on page 179.

Directory Proxy Server Configuration Overview

The configuration of the Directory Proxy Server involves the following steps:

- **Configuring the locations for your deployment.** A location is a collection of servers that share access and latency characteristics. For example, your deployment might include two data centers, one in the east and one in the west. These data centers would be configured as two locations in

the Directory Proxy Server. Each location is associated with a name and an ordered list of failover locations, which could be used if none of the servers in the preferred location are available.

- **Configuring the Directory Proxy Server location.** You need to update the configuration to specify the location of the Directory Proxy Server instance.
- **Configuring health checks for the LDAP external servers.** You can configure at what point the Directory Proxy Server considers an LDAP external server to be available, of degraded availability, or unavailable. Each health check can be configured to be used automatically for all LDAP external servers or for a specified set of servers.
- **Configuring the LDAP external servers.** During this step, you define each of the external directory servers, including the server type. You can configure Ping Identity Directory Servers, Sun Java System Directory Servers, or generic LDAP servers. You also assign the server-specific health checks configured in the previous step.
- **Configuring the load-balancing algorithm.** You configure the load-balancing algorithm used by the Directory Proxy Server to determine which server in a set of similar servers should be used to process a client request. The Directory Proxy Server provides default algorithms. It also steps you through the creation of new algorithms by using an existing algorithm as a template or by creating one from scratch.
- **Configuring the proxying request processor.** In this step, you configure proxying request processors that forward operations received by the Directory Proxy Server to other LDAP external servers.
- **Configuring subtree views.** A subtree view defines the portion of the DIT available to a client. Each subtree view can be associated with a load-balancing algorithm to help distribute the work load.
- **Configuring the client connection policy.** You configure policies to classify how different client connections are managed by the Directory Proxy Server. The client connection policy can be used to control the types of operations that a client may perform and the portion of the DIT that the client can access. Restrictions configured in a client connection policy will take precedence over any capabilities granted by access control or privileges.

Installing the Directory Proxy Server

This section describes how to install PingDirectoryProxy Server. It includes pre-installation requirements and considerations.

It includes the following sections:

Before You Begin

The following sections describe requirements and considerations you should make before installing the software and configuring the PingDirectoryProxy Server objects.

Important:

Each Server Deployment Requires an Execution of Setup - Duplicating a Server-root is not Supported. The installation of the server does not write or require any data outside of the server-root directory. After executing `setup`, copying the server-root to another location or system, in order to *duplicate* the installation, is not a supported method of deployment. The server-root can be moved to another host or disk location if a host or file system change is needed.

It is also highly recommended that a Network Time Protocol (NTP) system be in place so that multi-server environments are synchronized and timestamps are accurate.

System requirements

Ping Identity® has qualified the configurations in this section and has certified that they are compatible with the product. Differences in operating system versions, service packs, and other platform variations are supported until the platform or other required software is suspected of causing an issue.

Defining a Naming Strategy for Server Locations

The various objects defined in the PingDirectoryProxy Server will be specific to a particular location. Location names are used to define a grouping of PingDirectoryProxy Server products based on physical proximity. For example, a location is most often associated with a single datacenter location. During the installation, assign a location to each server for optimal inter-server behavior. The location assigned to a server within Global Configuration can be referenced by components within the server as well as processes external to the server to satisfy "local" versus "remote" decisions used in replication, load balancing, and failover.

Software Requirements: Java

For optimized performance, the PingDirectoryProxy Server requires Java for 64-bit architectures. You can view the minimum required Java version on your Customer Support Center portal or contact your authorized support provider for the latest software versions supported.

Even if your system already has Java installed, you may want to create a separate Java installation for use by the PingDirectoryProxy Server to ensure that updates to the system-wide Java installation do not inadvertently impact the Directory Proxy Server. This setup requires that the JDK, rather than the JRE, for the 64-bit version, be downloaded.

To Install Java (Oracle/Sun)

Steps

1. Open a browser and navigate to the Oracle download site.
2. Download the latest version Java JDK. Click the JDK Download button corresponding to the latest Java update.
3. On the Java JDK page, click the Accept Licence Agreement button, then download the version based on your operating system.

Preparing the Operating System

You should make the following changes to your operating system depending on the production environments on which the PingDirectoryProxy Server will run.

Configuring the File Descriptor Limits

The PingDirectoryProxy Server allows for an unlimited number of connections by default, but is restricted by the file descriptor limit on the operating system. If needed, increase the file descriptor limit on the operating system.

If the operating system relies on `systemd`, refer to the Linux operating system documentation for instructions on setting the file descriptor limit.

To Set the File Descriptor Limit (Linux)

About this task

The Directory Proxy Server allows for an unlimited number of connections by default but is restricted by the file descriptor limit on the operating system. Many Linux distributions have a default file descriptor limit of 1024 per process, which may be too low for the server if it needs to handle a large number of concurrent connections.

Once the operating system limit is set, the number of file descriptors that the server will use can be configured by either using a `NUM_FILE_DESCRIPTOR` environment variable, or by creating a `config/num-file-descriptors` file with a single line such as, `NUM_FILE_DESCRIPTOR=12345`. If these are

not set, the default of 65535 is used. This is strictly optional if wanting to ensure that the server shuts down safely prior to reaching the file descriptor limit.

Steps

1. Display the current hard limit of your system. The hard limit is the maximum server limit that can be set without tuning the kernel parameters in the `proc` file system.

```
ulimit -aH
```

2. Edit the `/etc/sysctl.conf` file. If there is a line that sets the value of the `fs.file-max` property, make sure its value is set to at least 65535. If there is no line that sets a value for this property, add the following to the end of the file:

```
fs.file-max = 65535
```

3. Edit the `/etc/security/limits.conf` file. If the file has lines that sets the soft and hard limits for the number of file descriptors, make sure the values are set to 65535. If the lines are not present, add the following lines to the end of the file (before “#End of file”). Also note that you should insert a tab, rather than spaces, between the columns.

```
* soft nofile 65535
* hard nofile 65535
```

4. Reboot your system, and then use the `ulimit` command to verify that the file descriptor limit is set to 65535.

```
# ulimit -n
```

Results

Note: For RedHat 7 or later, modify the `20-nproc.conf` file to set both the open files and max user processes limits:

```
/etc/security/limits.d/20-nproc.conf
```

Add or edit the following lines if they do not already exist:

```
*          soft    nproc    65536
*          soft    nofile   65536
*          hard    nproc    65536
*          hard    nofile   65536
root      soft    nproc    unlimited
```

Enabling the Server to Listen on Privileged Ports (Linux)

Linux systems have a mechanism called capabilities that is used to grant specific commands the ability to do things that are normally only allowed for a root account. It may be convenient to enable the server to listen on privileged ports while running as a non-root user.

The `setcap` command is used to assign capabilities to an application. The `cap_net_bind_service` capability enables a service to bind a socket to privileged ports (port numbers less than 1024). If Java is installed in `/ds/java` (and the Java command to run the server is `/ds/java/bin/java`), the Java binary can be granted the `cap_net_bind_service` capability with the following command:

```
$ sudo setcap cap_net_bind_service=+eip /ds/java/bin/java
```

The `java` binary needs an additional shared library (`libjli.so`) as part of the Java installation. More strict limitations are imposed on where the operating system will look for shared libraries to load for commands that have capabilities assigned. So it is also necessary to tell the operating system where to look for this library. This can be done by creating the file `/etc/ld.so.conf.d/libjli.conf` with the path to

the directory that contains the `libjli.so` file. For example, if the Java installation is in `/ds/java`, the contents of that file should be:

```
/ds/java/lib/amd64/jli
```

Run the following command for the change to take effect:

```
$ sudo ldconfig -v
```

To Set the File System Flushes

About this task

With the out-of-the-box settings on Linux systems running the `ext3` file system, the data is only flushed to disk every five seconds. If the Directory Proxy Server is running on a Linux system using the `ext3` file system, consider editing the mount options for that file system to include the following:

```
commit=1
```

This variable changes the flush frequency from five seconds to one second.

You should also set the flush frequency to the `/etc/fstab` file. Doing the change via the mount command alone will not survive across reboots.

Disable File System Swapping

About this task

It is recommended that any performance tuning services like `tuned` be disabled. As root, change the current value in the operating system and by adding a line `vm.swappiness = 0` to `/etc/sysctl.conf` to ensure that the correct setting is applied when the system restarts.

If performance tuning is required, `vm.swappiness` can be set by cloning the existing performance profile then adding `vm.swappiness = 0` to the new profile's `tuned.conf` file. This file is located at `/usr/lib/tuned/profile-name/tuned.conf`. The updated profile is then selected by running `tuned-adm profile customized_profile`.

About Editing OS-Level Environment Variables

Certain environment variables can impact the Directory Proxy Server in unexpected ways. This is particularly true for environment variables that are used by the underlying operating system to control how it uses non-default libraries.

For this reason, the Directory Proxy Server explicitly overrides the values of key environment variables like `PATH`, `LD_LIBRARY_PATH`, and `LD_PRELOAD` to ensure that something set in the environments that are used to start the server does not inadvertently impact its behavior.

If there is a legitimate need to edit any of these environment variables, the values of those variables should be set by manually editing the `set_environment_vars` function of the `lib/_script-util.sh` script. You will need to stop (`bin/stop-server`) and re-start (`bin/start-server`) the server for the change to take effect.

Install `sysstat` and `pstack` (Red Hat)

For Red Hat® Linux systems, you should install a couple of packages, `sysstat` and `pstack`, that are disabled by default, but are useful for troubleshooting purposes in the event that a problem occurs. The troubleshooting tool `collect-support-data` uses the `iostat`, `mpstat`, and `pstack` utilities to collect monitoring, performance statistics, and stack trace information on the server's processes. For Red Hat systems, make sure that these packages are installed, for example:

```
$ sudo yum install sysstat gdb dstat -y
```

Install dstat (SUSE Linux)

The `dstat` utility is used by the `collect-support-data` tool and can be obtained from the OpenSuSE project website. The following example shows how to install the `dstat` utility on SuSE Enterprise Linux 11 SP2:

1. Login as Root.
2. Add the appropriate repository using the `zypper` tool.
3. Install the `dstat` utility.

```
$ zypper install dstat
```

Omit vm.overcommit_memory

Administrators should be aware that an improperly configured value for the `vm.overcommit_memory` property in the `/etc/sysctl.conf` file can cause the `setup` or `start-server` tool to fail.

For Linux systems, the `vm.overcommit_memory` property sets the kernel policy for memory allocations. The default value of 0 indicates that the kernel determines the amount of free memory to grant a `malloc` call from an application. If the property is set to a value other than zero, it could lead the operating system to grab too much memory, depriving memory for the `setup` or `start-server` tool.

We recommend omitting the property in the `/etc/sysctl.conf` file to ensure that enough memory is available for these tools.

Managing System Entropy

Entropy is used to calculate random data that is used by the system in cryptographic operations. Some environments with low entropy may have intermittent performance issues with SSL-based communication. This is more typical on virtual machines, but can occur in physical instances as well. Monitor the `kernel.random.entropy_avail` in `sysctl` value for best results.

If necessary, update `$JAVA_HOME/jre/lib/security/java.security` to use `file:/dev/./urandom` for the `securerandom.source` property.

Set File System Event Monitoring (inotify)

An event monitoring tool such as `inotify` can be configured for notifying processes about file system events, including file creation, deletion, and updates. The Linux system puts a limit on the number of `inotify` watches a user can receive. To increase the limit, edit `etc/sysctl.conf` to add a line:

```
fs.inotify.max_user_watches = 524288
```

Run the command:

```
$ sudo sysctl -w fs.inotify.max_user_watches=524288
```

Tune IO Scheduler

Using the correct IO scheduler can increase performance and reduce the possibility of database timeouts when the system is under extreme write load. For file systems running on an SSD, or in a virtualized environment, the `noop` scheduler is recommended. For all other systems, the `deadline` scheduler is recommended. To determine which scheduler is configured on your system, run this command:

```
$ cat /sys/block/<block-device>/queue/scheduler
```

For example:

```
$ cat /sys/block/sda/queue/scheduler
```

Changing the scheduler on a running system can be done with the following command:

```
$ echo 'deadline' > /sys/block/sda/queue/scheduler
```

The change will take effect after the system is restarted. The procedure for configuring a scheduler to use at startup depends on the version of Linux. See the Linux documentation for your specific version for the correct way to configure this setting.

Getting the Installation Packages

To begin the installation process, obtain the latest ZIP release bundle from Ping Identity and unpack it in a folder of your choice. The release bundle contains the Directory Proxy Server code, tools, and package documentation.

To Unpack the Build Distribution

Steps

1. Download the latest zip distribution of the Directory Proxy Server software.
2. Unzip the compressed zip archive file in a directory of your choice.

```
$ unzip PingDirectoryProxy-<version>.zip
```

You can now set up the Directory Proxy Server.

About the RPM Package

PingDirectoryProxy Server supports the PingDirectoryProxy Server release bundle in an RPM Package Manager (RPM) package for customers who require it. By default, the RPM unpacks the code at `/opt/ping-identity/proxy/PingDirectoryProxy`, after which you can run the `setup` command to install the server at that location.

If the RPM install fails for any reason, you can perform an RPM erase if the RPM database entry was created and manually remove the target RPM install directory (e.g., `/opt/ping-identity/proxy/PingDirectoryProxy` by default). You can install the package again once the system is ready.

To Install the RPM Package

Steps

1. Download the latest RPM distribution of the Directory Proxy Server software.
2. Unpack the build using the `rpm` command with the `--install` option. By default, the build is unpacked to `/opt/ping-identity/proxy/PingDirectoryProxy`. If you want to place the build at another location, use the `--prefix` option and specify the file path of your choice.

```
$ rpm --install pingdirectoryproxy-<version>.rpm
```

3. From `/opt/ping-identity/proxy/PingDirectoryProxy/PingDirectoryProxy`, run the `setup` command to install the server on the machine.

Installing the Directory Proxy Server

When you deploy PingDirectoryProxy Server in a topology, you generally deploy them in pairs. These pairs are configured identically except for their host name, port name, and possibly their location.

To help administrators easily install identical proxies, the Directory Proxy Server allows you to clone a proxy configuration. First, you install a Directory Proxy Server using the `setup` tool. Then, you configure it using the `create-initial-proxy-config` tool described in [Using the create-initial-proxy-config Tool](#). Finally, you run the `setup` tool on subsequent servers, indicating that you want to clone the configuration on a peer server.

The following sections describe the `setup` tool in more detail, and tell you how to install first and subsequent proxies in your topology.

About the setup Tool

One of the strengths of the PingDirectoryProxy Server is the ease with which you can install a server instance using the `setup` tool. The `setup` tool allows you to quickly install and configure a stand-alone Directory Proxy Server instance.

To install a server instance, run the `setup` tool in one of the following modes: interactive command-line, or non-interactive command-line mode.

- **Interactive Command-Line Mode.** Interactive command-line mode prompts for information during the installation process. To run the installation in this mode, use the `setup --cli` command.
- **Non-Interactive Command-Line Mode.** Non-interactive command-line mode is designed for setup scripts to automate installations or for command-line usage. To run the installation in this mode, `setup` must be run with the `--no-prompt` option as well as the other arguments required to define the appropriate initial configuration.

All installation and configuration steps should be performed while logged on to the system as the user or role under which the Directory Proxy Server will run.

Installing the First Directory Proxy Server in Interactive Mode

The `setup` tool provides an interactive text-based interface to install a Directory Proxy Server instance.

To Install the First Directory Proxy Server in Interactive Mode

Steps

1. Change to the server root directory.

```
cd Directory Proxy Server
```

2. Use the `setup` command.

```
$ ./setup
```

3. Read the Ping Identity End-User License Agreement, and type `yes` to continue.
4. Press **Enter** to accept the default of `no` in response to adding this new server to an existing topology.

```
Would you like to add this server to an existing Directory Proxy Server topology? (yes / no) [no]:
```

5. Enter the fully qualified host name for this server, or press **Enter** to accept the default.
6. Create the initial root user DN for this server, or press **Enter** to accept the default.
7. Enter and confirm a password for this account.

8. To enable the Directory Proxy Server services (Configuration, Documentation, and Directory REST API) and Administrative Console over HTTPS, press **Enter** to accept the default. After setup, individual services can be enabled or disabled by configuring the HTTPS Connection Handler.
9. Enter the port on which the Directory Proxy Server should accept connections from HTTPS clients, press **Enter** to accept the default.
10. Enter the port on which the Directory Proxy Server should accept connections from LDAP clients, press **Enter** to accept the default.
11. The next two options enable LDAPS and StartTLS. Press **Enter** to accept the default (yes), or type **no**. If either are enabled, certificate options are required. To use the Java Keystore or the PKCS#12 keystore, the keystore path and the key PIN are required. To use the PKCS#11 token, only the key PIN is required.
12. Choose a certificate server option:

```
Certificate server options:
 1) Generate self-signed certificate (recommended for testing purposes
    only)
 2) Use an existing certificate located on a Java Keystore (JKS)
 3) Use an existing certificate located on a PKCS#12 keystore
 4) Use an existing certificate on a PKCS#11 token
```

13. Choose the desired encryption for backups and log files from the choices provided:
 - Encrypt data with a key generated from an interactively provided passphrase. Using a passphrase (obtained interactively or read from a file) is the recommended approach for new deployments, and you should use the same encryption passphrase when setting up each server in the topology.
 - Encrypt data with a key generated from a passphrase read from a file.
 - Encrypt data with a randomly generated key. This option is primarily intended for testing purposes, especially when only testing with a single instance, or if you intend to import the resulting encryption settings definition into other instances in the topology.
 - Encrypt data with an imported encryption settings definition. This option is recommended if you are adding a new instance to an existing topology that has older server instances with data encryption enabled.
 - Do not encrypt server data.
14. To configure your Directory Proxy Server to use entry balancing, type `yes`, or accept the default `no`. In an entry balancing environment, entries immediately beneath the balancing base DN are divided into disjoint subsets. Each subset of data is handled by a separate set of one or more directory server instances, which replicate this subset of data between themselves. Choosing `yes` will enable more memory be allocated to the server and tools.
15. Choose the option for the amount of memory to assign to this server.
16. Enter an option to set up the server with the current configuration, provide new parameters, or cancel.
17. After setup is complete, choose the next configuration option.

```
This server is now ready for configuration What would you like to do?

 1) Start 'create-initial-proxy-config' to create a basic
    initial configuration (recommended for new users)
 2) Start 'dsconfig' to create a configuration from scratch
 3) Quit

Enter choice [1]:
```

To Install Additional Directory Proxy Server Instances in Interactive Mode

About this task

The `setup` tool provides an interactive text-based interface to install a Directory Proxy Server instance that clones a previously installed Directory Proxy Server instance.

Steps

1. Change to the server root directory.

```
cd Directory Proxy Server
```

2. Use the `setup` command.

```
$ ./setup
```

3. Read the Ping Identity End-User License Agreement, and type `yes` to continue.

4. Enter `yes` in response to add this new server to an existing topology.

```
Would you like to add this server to an existing Directory Proxy Server
topology? (yes / no) [no]: yes
```

5. Enter the host name of the Directory Proxy Server from which configuration settings are copied during setup.

```
Enter the host name of the peer Directory Proxy Server from which you would
like
to copy configuration settings. [proxy.example.com]:
```

6. Type the port number of the peer Directory Proxy Server from which configuration settings are copied during setup. You can press **Enter** to accept the default port, which is 389.

```
Enter the port of the peer Directory Proxy Server [389]:
```

7. Enter the option corresponding to the type of connection you want to use to connect to the peer Directory Proxy Server.

```
How would you like to connect to the peer Directory Proxy Server?
1) None
2) SSL
3) StartTLS
```

```
Enter choice [1]:
```

8. Type the root user DN of the peer Directory Proxy Server, or press **Enter** to accept the default (cn=Directory Manager), and then type and confirm the root user password.

```
Enter the manager account DN for the peer Directory Proxy Server
[cn=Directory Manager]:
Enter the password for cn=Directory Manager:
```

9. Enter the host name of the new local Directory Proxy Server.

```
Enter the fully qualified host name or IP address of the local host
[proxy.example.com]:
```

10. Choose the location of your new Directory Proxy Server instance or enter a new one.

11. Enter an option to set up the server with the current configuration, provide new parameters, or cancel.

12. After setup is complete, choose the next configuration option.

Installing the First Directory Proxy Server in Non-Interactive Mode

You can run the `setup` command in non-interactive mode to automate the installation process using a script or to run the command directly from the command line. If there is a missing or incorrect argument, the `setup` tool fails and aborts the process.

The `setup` tool automatically chooses the maximum heap size. You can manually tune the maximum amount of memory devoted to the server's process heap using the `--maxHeapSize` option. The `--maxHeapSize` argument is only valid if the `--entryBalancing` or `--aggressiveJVMTuning` options are also present.

For example, use the `--aggressiveJVMTuning` option to set the maximum amount of memory used by the Directory Proxy Server and tools as follows:

```
--aggressiveJVMTuning --maxHeapSize 256m
```

If you are using entry balancing, tune the amount of memory devoted to the Directory Proxy Server using the `--entryBalancing` option as follows:

```
--entryBalancing --maxHeapSize 1g
```

The amount of memory allowed when using the `--entryBalancing` option is calculated and depends on the amount of system memory available. If you are using entry balancing and also want the tools to get more memory, include both the `--entryBalancing` and the `--aggressiveJVMTuning` options.

```
--entryBalancing --aggressiveJVMTuning --maxHeapSize 1g
```

If you have already configured a truststore, you can also use the setup tool to enable security. The following example enables security, both SSL and StartTLS. It also specifies a JKS Keystore and Truststore that define the server certificate and trusted CA. The passwords for the keystore files are defined in the corresponding `.pin` files, where the password is written on the first line of the file. The values in the `.pin` files will be copied to the `server-root/config` directory in the `keystore.pin` file.

Note that the password to the private key within the keystore is expected to be the same as the password to the keystore. If this is not the case, the private key password can be defined within the Administrative Console or `dsconfig` by editing the Trust Manager Provider standard configuration object.

```
$ env JAVA_HOME=/ds/java ./setup --cli \
  --no-prompt --rootUserDN "cn=Directory Manager" \
  --rootUserPassword "password" --ldapPort 389 \
  --enableStartTLS --ldapsPort 636 \
  --useJavaKeystore /path/to/devkeystore.jks \
  --keyStorePasswordFile /path/to/devkeystore.pin \
  --certNickName server-cert \
  --useJavaTrustStore /path/to/devtruststore.jks \
  --trustStorePasswordFile /path/to/devtruststore.pin \
  --acceptLicense
```

To Install the First Directory Proxy Server in Non-Interactive Mode

Steps

- Use `setup` with the `--no-prompt` option. The command uses the default root user DN (`cn=Directory Manager`) with the specified `--rootUserPassword` option. You must include the `--acceptLicense` option or the `setup` tool will generate an error message.

```
$ env JAVA_HOME=/ds/java ./setup --no-prompt \
  --rootUserDN "cn=Directory Manager" \
  --rootUserPassword "password" --ldapPort 389 \
  --acceptLicense
```

To Install Additional Directory Proxy Server in Non-Interactive Mode

You can run the `setup` command in non-interactive mode to automate the installation process using a script or to run the command directly from the command line. If there is a missing or incorrect argument, the `setup` tool fails and aborts the process.

To Install Additional Directory Proxy Server in Non-Interactive Mode

Steps

- Use `setup` with the `--no-prompt` option.

```
$ env JAVA_HOME=/ds/java ./setup --cli --no-prompt \
--rootUserDN "cn=Directory Manager" \
--rootUserPassword "password" --ldapPort 1389 \
--localHostName proxy2.example.com \
--peerHostName proxy1.example.com --peerPort 389 \
--peerUseNoSecurity --acceptLicense --location austin1
```

Installing the Directory Proxy Server with a Truststore in Non-Interactive Mode

If you have already configured a trust store, you can also use the `setup` tool to enable security. The following example enables SSL security. It also specifies a JKS Keystore and truststore that define the server certificate and trusted CA. The passwords for the keystore files are defined in the corresponding `.pin` files, where the password is written on the first line of the file. The values in the `.pin` files will be copied to the `server-root/config` directory in the `keystore.pin` and `truststore.pin` files.

Note: The password to the private key within the keystore is expected to be the same as the password to the keystore. If this is not the case, the private key password can be defined within the Administrative Console or `dsconfig` by editing the Key Manager Provider standard configuration object.

To Install the Directory Proxy Server with a Truststore in Non-Interactive Mode

Steps

- Run the `setup` tool to install a Directory Proxy Server with a truststore.

```
$ env JAVA_HOME=/ds/java ./setup --cli \
--no-prompt --rootUserDN "cn=Directory Manager" \
--rootUserPassword "password" \
--ldapPort 389 --ldapsPort 636 \
--useJavaKeystore /path/to/devkeystore.jks \
--keyStorePasswordFile /path/to/devkeystore.pin \
--certNickName server-cert \
--useJavaTrustStore /path/to/devtruststore.jks \
--acceptLicense
```

In order to update the trust store, the password must be provided

See 'prepare-external-server --help' for general overview

```
Testing connection to ds-east-01.example.com:1636 ..... Done
Testing 'cn=Proxy User,cn=Root DNs,cn=config' access .....
Created 'cn=Proxy User,cn=Root DNs,cn=config'
```

```
Testing 'cn=Proxy User,cn=Root DNs,cn=config' access ..... Done
Testing 'cn=Proxy User,cn=Root DNs,cn=config' privileges ..... Done
Verifying backend 'dc=example,dc=com' ..... Done
```

About the Layout of the Directory Proxy Server Folders

Once you have unzipped the Directory Proxy Server distribution file, the following folders and command-line utilities are available.

Table 1: Layout of the Directory Proxy Server Folders

Directories/Files/Tools	Description
License.txt	Licensing agreement for the Directory Proxy Server.

Directories/Files/Tools	Description
README	README file that describes the steps to set up and start the Directory Proxy Server.
bak	Stores the physical backup files used with the <code>backup</code> command-line tool.
bat	Stores Windows-based command-line tools for the Directory Proxy Server.
bin	Stores UNIX/Linux-based command-line tools for the Directory Proxy Server.
classes	Stores any external classes for server extensions.
collector	Used by the server to make monitored statistics available to the Data Metrics Server.
config	Stores the configuration files for the backends (<code>admin</code> , <code>config</code>) as well as the directories for messages, schema, tools, and updates.
docs	Provides the product documentation.
import-tmp	Stores temporary imported items.
ldif	Stores any LDIF files that you may have created or imported.
legal-notice	Stores any legal notices for dependent software used with the Directory Proxy Server.
lib	Stores any scripts, jar, and library files needed for the server and its extensions.
locks	Stores any lock files in the backends.
logs	Stores log files for the Directory Proxy Server.
metrics	Stores the metrics that can be gathered for this server and surfaced in the Data Metrics Server.
resource	Stores the MIB files for SNMP and can include ldif files, make-ldif templates, schema files, dsconfig batch files, and other items for configuring or managing the server.
revert-update	The <code>revert-update</code> tool for UNIX/Linux systems.
revert-update.bat	The <code>revert-update</code> tool for Windows systems.
setup	The <code>setup</code> tool for UNIX/Linux systems.
setup.bat	The <code>setup</code> tool for Windows systems.
scim-data-tmp	Used to create temporary files containing SCIM request data.
uninstall	The <code>uninstall</code> tool for UNIX/Linux systems.
uninstall.bat	The <code>uninstall</code> tool for Windows systems.
update	The <code>update</code> tool for UNIX/Linux systems.
update.bat	The <code>update</code> tool for Windows systems.
Velocity	Stores any customized Velocity templates and other artifacts (CSS, Javascript, images), or Velocity applications hosted by the server.

Running the Server

To start the Directory Proxy Server, run the `bin/start-server` command on UNIX or Linux systems (an analogous command is in the `bat` folder on Microsoft Windows systems). The `bin/start-server` command

starts the Directory Proxy Server as a background process when no options are specified. To run the Directory Proxy Server as a foreground process, use the `bin/start-server` command with the `--nodetach` option.

To Start the Directory Proxy Server

Steps

Use `bin/start-server` to start the server.

```
$ bin/start-server
```

To Run the Server as a Foreground Process

Steps

1. Enter `bin/start-server` with the `--nodetach` option to launch the Directory Proxy Server as a foreground process.

```
$ bin/start-server --nodetach
```

2. You can stop the Directory Proxy Server by pressing `CTRL+C` in the terminal window where the server is running or by running the `bin/stop-server` command from another window.

To Start the Server at Boot Time

By default, the PingDirectoryProxy Server does not start automatically when the system is booted. Instead, you must manually start it with the `bin/start-server` command. To configure the Directory Proxy Server to start automatically when the system boots, use the `create-systemd-script` utility to create a script, or create the script manually.

Steps

1. Create the service unit configuration file in a temporary location where "ds" is the user the PingDirectoryProxy will run as.

```
$ bin/create-systemd-script \
  --outputFile /tmp/ping-directory.service \
  --userName ds
```

2. As a root user, copy the `ping-directory.service` configuration file into the `/etc/systemd/system` directory.
3. Reload `systemd` to read the new configuration file.

```
$ systemctl daemon-reload
```

4. To start the PingDirectoryProxy, use the `start` command.

```
$ systemctl start ping-directory.service
```

5. To configure the PingDirectoryProxy to start automatically when the system boots, use the `enable` command.

```
$ systemctl enable ping-directory.service
```

6. Log out as root.

If on an RC system, this task is done by creating the startup script with `bin/create-rc-script` and moving it to the `/etc/init.d` directory. Create symlinks to it from the `/etc/rc3.d` directory (starting with an "S" to ensure that the server is started) and `/etc/rc0.d` directory (starting with a "K" to ensure that the server is stopped).

Logging into the Administrative Console

After the server is installed, access the Administrative Console, `https://hostname:HTTPport/console/login`, to verify the configuration and manage the server. To log into the Administrative Console, use the initial root user DN specified during setup (by default `cn=Directory Manager`).

The `dsconfig` command or the Administrative Console can be used to create additional root DN users in `cn=Root DNs,cn=config`. These new users require the fully qualified DN as the login name, such as `cn=new-admin,cn=Root DNs,cn=config`. To use a simple user name (with out the `cn=` prefix) for logging into the Administrative Console, the root DN user must have the `alternate-bind-dn` attribute configured with an alternate name, such as "admin."

By default the link to the Administrative Console is `https://hostname:HTTPport/console/login`.

If the Administrative Console needs to run in an external container, such as Tomcat, a separate package (`/server-root/resource/admin-console.zip`) can be installed according to that container's documentation.

Stopping the Directory Proxy Server

The Directory Proxy Server provides a simple shutdown script, `bin/stop-server`, to stop the server. You can run it manually from the command line or within a script.

If the Directory Proxy Server has been configured to use a large amount of memory, then it can take several seconds for the operating system to fully release the memory and make it available again. If you try to start the server too quickly after shutting it down, then the server can fail because the system does not yet have enough free memory. On UNIX systems, run the `vmstat` command and watch the values in the "free" column increase until all memory held by the Directory Proxy Server is released back to the system.

You can also set a configuration option that specifies the maximum shutdown time a process may take.

To Stop the Server

Steps

- Use the `bin/stop-server` tool to shut down the server.

```
$ bin/stop-server
```

To Schedule a Server Shutdown

Steps

- Use the `bin/stop-server` tool with the `--stopTime YYYYMMDDhhmmss` option to schedule a server shutdown.

The Directory Proxy Server schedules the shutdown and sends a notification to the `server.out` log file. The following example sets up a shutdown task that is scheduled to be processed on June 6, 2012 at 8:45 A.M. CDT. The server uses the UTC time format if the provided timestamp includes a trailing "Z", for example, `20120606134500Z`. The command also uses the `--stopReason` option that writes the reason for the shut down to the logs.

```
$ bin/stop-server --stopTime 20120606134500Z --port 1389 \
  --bindDN "uid=admin,dc=example,dc=com" --bindPassword secret \
  --stopReason "Scheduled offline maintenance"
```

To Restart the Server

About this task

Re-start the Directory Proxy Server using the `bin/stop-server` command with the `--restart` or `-R` option. Running the command is equivalent to shutting down the server, exiting the JVM session, and then starting up again.

Steps

- Go to the server root directory, and run the `bin/stop-server` command with the `-R` or `--restart` options.

```
$ bin/stop-server --restart
```

Run the Server as a Microsoft Windows Service

The server can run as a Windows service on Windows Server 2012 R2 and Windows Server 2016. This enables log out of a machine without the server being stopped.

To Register the Server as a Windows Service

About this task

Perform the following steps to register the server as a service:

Steps

1. Stop the server with `bin/stop-server`. A server cannot be registered while it is running.
2. Register the server as a service. From a Windows command prompt, run `bat/register-windows-service.bat`.
3. After a server is registered, start the server from the Windows Services Control Panel or with the `bat/start-server.bat` command.

Command-line arguments for the `start-server.bat` and `stop-server.bat` scripts are not supported while the server is registered to run as a Windows service. Using a task to stop the server is also not supported.

To Run Multiple Service Instances

About this task

Only one instance of a particular service can run at one time. Services are distinguished by the `wrapper.name` property in the `<server-root>/config/wrapper-product.conf` file. To run additional service instances, change the `wrapper.name` property on each additional instance. Descriptions of the services can also be added or changed in the `wrapper-product.conf` file.

To Deregister and Uninstall Services

About this task

While a server is registered as a service, it cannot run as a non-service process or be uninstalled. Use the `bat/deregister-windows-service.bat` file to remove the service from the Windows registry. The server can then be uninstalled with the `uninstall.bat` script.

Log Files for Services

About this task

The log files are stored in `<server-root>/logs`, and file names begin with `windows-service-wrapper`. They are configured to rotate each time the wrapper starts or due to file size. Only the last three log files are retained. These configurations can be changed in the `<server-root>/config/wrapper.conf` file.

Uninstalling the Server

The Directory Proxy Server provides an `uninstall` command-line utility for quick and easy removal of the code base.

To uninstall a server instance, run the `setup` tool in one of the following modes: interactive command-line, or non-interactive command-line mode.

- **Interactive Command-Line Mode.** Interactive command-line mode is a text-based interface that prompts the user for input. You can start the command using the `bin/uninstall` command with the `--cli` option. The utility prompts you for input if more data is required.
- **Non-Interactive Command-Line Mode.** Non-interactive mode suppresses progress information from being written to standard output during processing, except for fatal errors. This mode is convenient for scripting and is invoked using the `bin/uninstall` command with the `--no-prompt` option.

Note: For stand-alone installations with a single Directory Proxy Server instance, you can also manually remove the Directory Proxy Server by stopping the server and recursively deleting the directory and subdirectories. For example:

```
$ rm -rf /ds/PingDirectoryProxy
```

To Uninstall the Server in Interactive Mode

About this task

Interactive mode uses a text-based, command-line interface to help you remove your instance. If `uninstall` cannot remove all of the Directory Proxy Server files, the `uninstall` tool generates a message with a list of the files and directories that must be manually deleted. The `uninstall` command must be run as either the root user or the same user (or role) that installed the Directory Proxy Server.

Steps

1. From the server root directory, run the `uninstall` command.

```
$ ./uninstall --cli
```

2. Select the components to be removed. If you want to remove all components, press **Enter** to accept the default (remove all). Enter the option to specify the specific components that you want to remove.

```
Do you want to remove all components or select the components to remove?
```

```
1) Remove all components
2) Select the components to be removed
```

```
q) quit
Enter choice [1]:
```

3. For each type of server component, press **Enter** to remove them or type `no` to keep it.

```
Remove Server Libraries and Administrative Tools? (yes / no) [yes]:
```

```
Remove Database Contents? (yes / no) [yes]:
Remove Log Files? (yes / no) [yes]:
Remove Configuration and Schema Files? (yes / no) [yes]:
Remove Backup Files Contained in bak Directory? (yes / no) [yes]:
Remove LDIF Export Files Contained in ldif Directory? (yes / no) [yes]:
```

4. If the Directory Proxy Server is part of a replication topology, type `yes` to provide your authentication credentials (Global Administrator ID and password). If you are uninstalling a stand-alone server, continue to step 7.
5. Type the Global Administrator ID and password to remove the references to this server in other replicated servers. Then, type or verify the host name or IP address for the server that you are uninstalling.
6. Next, select how you want to trust the server certificate if you have set up SSL or StartTLS. For this example, press **Enter** to accept the default.

```
How do you want to trust the server certificate for the Directory Proxy
Server
on server.example.com:389?
```

```
1) Automatically trust
2) Use a trust store
3) Manually validate
```

```
Enter choice [3]:
```

7. If your Directory Proxy Server is running, the server is shutdown before continuing the uninstall process. The uninstall processes the removal requests and completes. View the logs for any remaining files. Manually remove any remaining files or directories, if listed.

To Uninstall the Server in Non-Interactive Mode

The `uninstall` utility provides a non-interactive method to enter the command with the `--no-prompt` option. Another useful argument is the `--forceOnError` option that continues the uninstall process when an error is encountered. If an option is incorrectly entered or if a required option is omitted and the `--forceOnError` option is not used, the command will fail and abort.

Steps

1. From the server root directory, run `uninstall` tool with the `--remove-all` option to remove all of the Directory Proxy Server's libraries. The `--quiet` option suppresses output information and is optional. The following command assumes that the Directory Proxy Server is stand-alone and not part of a replication topology.

```
$ ./uninstall --cli --remove-all --no-prompt --quiet --forceOnError
```

2. If any files or directories remain, manually remove them.

To Uninstall Selected Components in Non-Interactive Mode

Steps

From the server root directory, run `uninstall` with the `--backup-files` option to remove the Directory Proxy Server's backup files. Use the `--help` or `-H` option to view the other options available to remove specific components.

```
$ ./uninstall --cli --backup-files --no-prompt --quiet --forceOnError
```

To Uninstall the RPM Build Package

Steps

1. From the server root directory, remove the RPM package use the `--erase` option with the `<rpm-id>`. The `<rpm-id>` is `pingdirectoryproxy` and removes the files at `/opt/ping-identity/proxy/PingDirectoryProxy/PingDirectoryProxy`.

```
$ rpm --erase pingdirectoryproxy
```

2. The `rpm` command specifies if any files or directories require manual deletion. Manually remove any remaining directories or files using `rm -rf <directory>`.

Updating the Directory Proxy Server

Ping Identity issues new software builds periodically and distributes the software package in zip format. Administrators can use the Directory Proxy Server's `update` utility to update the current server code with the latest features and bug fixes. To update the Directory Proxy Server to a newer version, download the build package, and then unzip the new server package on the same host as the server that you wish to update. Before upgrading a server, you should ensure that it is capable of starting without severe or fatal errors.

During an update process, the updater checks a manifest file that contains a MD5 checksum of each file in its original state when installed from zip. Next, it compares the checksum of the new server files to that of the old server. Any files that have different checksums will be updated. For files that predates the manifest file generation, the file is backed up and replaced. The updater also logs all file changes in the history directory to tell what files have been changed.

For schema updates, the `update` tool preserves any custom schema definitions (`99-user.ldif`). For any default schema element changes, if any, the updater will warn the user about this condition and then create a patch schema file and copy it into the server's schema directory. For configuration files, the update tool preserves the configuration file, `config.ldif`, unless new configuration options must be added to the Directory Proxy Server.

Once the updater finishes its processing, it checks if the newly updated server starts without any fatal errors. If an error occurs during the update process, the `update` tool reverts the server root instance to the server state prior to the update.

Update servers in a topology

An update to the current PingDirectory Server release includes significant changes as well as the introduction of a topology registry, which stores information that was stored previously in the admin backend, such as server instances, instance and secret keys, server groups, and administrator user accounts. For the admin backend to be migrated, the `update` tool must be provided LDAP authentication options to the peer servers of the server being updated.

The LDAP connection security option requested (either plain, TLS, StartTLS, or SASL) must be configured on every server in the topology. The LDAP credentials must be present on every server in the topology, and must have permissions to read from the admin backend and the config backend of every server in the topology. For example, a root DN user with the `inherit-default-privileges` set to true (such as the `cn=Directory Manager` user) that exists on every server can be used.

After enabling or fixing the configuration of the LDAP connection handler(s) to support the desired connection security mechanism on each server, run the following `dsframework` command on the server being updated so that its admin backend has the most up-to-date information:

```
$ bin/dsframework set-server-properties \
  --serverID serverID \
```

```
--set ldapport:port \  
--set ldapsport:port \  
--set startTLSEnabled:true
```

The `update` tool will verify that the following conditions are satisfied on every server in the topology before allowing the update:

- When the first server is being updated, all other servers in the topology must be online. When updating additional servers, all topology information will be obtained from one of the servers that has already been updated. The `update` tool will connect to the peer servers of the server being updated to obtain the necessary information to populate the topology registry. The provided LDAP credentials must have read permissions to the config and admin backends of the peer servers.
- The instance name is set on every server, and is unique across all servers in the topology. The instance name is a server's identifier in the topology. After all servers in the topology have been updated, each server will be uniquely identified by its instance name. Once set, the name cannot be changed. If needed, the following command can be used to set the instance name of a server prior to the update:

```
$ bin/dsconfig set-global-configuration-prop \  
--set instance-name:uniqueName
```

- The cluster-wide configuration is synchronized on all servers in the topology. Older versions have some topology configuration under `cn=cluster,cn=config` (JSON attribute and field constraints). These items did not support mirrored cluster-wide configuration data. An update should avoid custom configuration changes on a server being overwritten with the configuration on the mirrored subtree master. To synchronize the cluster-wide configuration data across all servers in the topology, run the `config-diff` tool on each pair of servers to determine the differences, and use `dsconfig` to update each instance using the `config-diff` output. For example:

```
$ bin/config-diff --sourceHost hostName \  
--sourcePort port \  
--sourceBindDN bindDN \  
--sourceBindPassword password \  
--targetHost hostName \  
--targetPort port \  
--targetBindDN bindDN \  
--targetBindPassword password
```

If any of these conditions are not satisfied, the `update` tool will list all of the errors encountered for each server, and provide instructions on how to fix them.

To Update the Directory Proxy Server

About this task

Assume that an existing version of the Directory Proxy Server is stored at `PingDirectoryProxy-old`, which you want to update.

Steps

1. Make sure you have complete, readable backup of the existing system before upgrading the Directory Proxy Server build. Also, make sure you have a clear backout plan and schedule.
2. Download the latest version of the PingDirectoryProxy Server software and unzip the file. For this example, let's assume the new server is located in the `PingDirectoryProxy-new` directory.
3. Check the version number of the newly downloaded Directory Proxy Server instance using the `--version` option on any command-line utility. For example, you should see the latest revision number.

```
$ PingDirectoryProxy-new/setup --version PingDirectoryProxy Server  
7.3.1.0
```

```
Build 2011043200609Z Revision 9235
```

4. Use the `update` tool of the newly unzipped build to update the Directory Proxy Server code. Make sure to specify the Directory Proxy Server instance that you are upgrading with the `--serverRoot` option. The Directory Proxy Server must be stopped for this update to be applied.

```
$ PingDirectoryProxy-new/update --serverRoot PingDirectoryProxy-old
```

Note: The PingDirectoryProxy Server provides a web console called the Administrative Console, to configure and monitor the server. If you update the Directory Proxy Server version, you should also update the Administrative Console.

5. View the log file to see which files were changed. The log file is located in the `<server-root>/history` directory. For example, the file will be labelled with the Directory Proxy Server version number and revision.

```
$ view <server-root>/history/1272307020420-7.3.1.0.9235/update.log
```

Upgrade the RPM package

About this task

If the Linux RPM package was used to install PingDirectory Server, perform the following steps to upgrade the server:

Steps

1. Ensure the new RPM package, `pingdirectoryproxy-<new-version>.rpm`, resides in the server root directory.
2. From the server root directory, run the command `rpm` with the option `--upgrade`, as follows:

```
$ rpm --upgrade pingdirectoryproxy-<new-version>.rpm
```

The upgrade history is written to `/opt/ping-identity/proxy/PingDirectoryProxy/PingDirectoryProxy/history/<timestamp>/update.log`.

The RPM package does not support a revert option after the build is upgraded.

Revert an update

After PingDirectoryProxy Server has been updated, you can revert to the last version (one level back) using the `revert-update` tool. The `revert-update` tool accesses a log of file actions taken by the updater to put the file system back to its prior state. If you have run multiple updates, you can run the `revert-update` tool multiple times to revert to each prior update sequentially. You can only revert back one level. For example, if you have run the update twice since first installing the PingDirectoryProxy Server, you can run the `revert-update` command to revert to its previous state, then run the `revert-update` command again to return to its original state.

Reverting from version 7.x to a version prior to 7.0

Reverting from version 7.0 or later to a pre-7.0 version can be done using the `revert-update` command with some extra steps. This is also the case when updating or reverting from a pre-6.2.0.2 version to 6.2.0.2 or later. These steps are listed when the `update` and `revert-update` tool are run as well. You may need to perform one or more of the following tasks, depending on your installation and configuration:

- When updating or reverting from 6.2.0.2 or later to a pre-6.2.0.2 version, indexes may need to be rebuilt. Older versions of the server use an incompatible format for Local DB Composite Indexes. To update a server with composite indexes in the previous format, delete these indexes and re-run the update. After the update is complete, recreate the indexes and use the `rebuild-index` tool to rebuild the indexes. The command for recreating an index will be in the "Undo" portion of the `logs/config-`

audit.log file. If you wish to later revert to an older version, delete and recreate those composite indexes again after the revert has completed.

- When updating to 7.x for the first time, instance names will need to be set for each server in the topology if they were not previously set. This is done with the following `dsconfig` command:

```
$ bin/dsconfig --bindDN "cn=Directory Manager" \
  --bindPassword secret \
  --no-prompt set-global-configuration-prop \
  --set instance-name:<name>
```

- Topology information such as server instances, instance and secret keys, server groups, and administrator users have moved to the topology portion of the configuration from the `admin` backend. As long as new servers are not added to the topology after this update, the `revert-update` command can be used to return to the previous version. However, if new servers are added, then the restored `admin` backend of this server will not contain information about the new servers, and the local server will not be able to communicate with any other servers in the topology. New servers should not be added to the topology if reverting this update is a possibility.
- If new servers were added to the topology after the update, the new servers must be temporarily removed from the topology until all servers have been reverted to the previous version.
- When a server is reverted to a pre-7.x version, any servers in the topology using the topology portion of the configuration (rather than the `admin` backend) will need to know that the reverted server was downgraded to the `admin` backend. This is done by running the following `dsconfig` command on one of the servers that has not been reverted:

```
$ bin/dsconfig set-server-instance-prop \
  --instance-name <Reverted server instance name> \
  --set server-version:<Version to which server is reverted>
```

- If the topology does not have a master server when this command is run, it will not succeed. In this case, one of the remaining updated servers in the topology must be made master with the following command. This will enable the chosen instance to run the first command successfully.

```
$ bin/dsconfig set-global-configuration-prop \
  --set force-as-master-for-mirrored-data:true
```

- The 7.x server version includes database changes that are not compatible with previous server versions (6.x or older). If you wish to later revert to an older version, the data must be exported to LDIF before performing the reversion. Re-import the data after the revert process has completed. In addition, the `changelogDb/` and `db/changelog/` directories in the reverted server root must be deleted after the revert has completed.

When starting up the server for the first time after a revert has been run, and the necessary extra steps have been completed, the server will display warnings about "offline configuration changes," but they are not critical and will not appear on subsequent start ups.

Revert to the most recent server version

Steps

Use `revert-update` in the server root directory to revert back to the most recent version of the server.

```
$ PingDirectoryProxy-old/revert-update
```

Configure SCIM After Upgrade

About this task

Modifications in SCIM PATCH are mapped directly to LDAP modifications to use the matching rules configured in the Directory Proxy Server, when matching deleted values. Since the SCIM PATCH is now

applied by the Directory Server, the Permissive Modify Request Control (1.2.840.113556.1.4.1413) is now required by the SCIM component. This ensures that adding an existing value or deleting a non-existent value in the PATCH request will not generate an error. This affects upgrades from server versions prior to 5.0.0.

To continue using the SCIM component after an upgrade, access controls and configuration must be updated to allow access to the Permissive Modify Request Control. Run the `dsconfig` commands to update these components:

```
$ dsconfig set-access-control-handler-prop \
  --remove 'global-aci:(targetcontrol="1.3.6.1.1.13.2 ||
1.2.840.113556.1.4.473 || 1.2.840.113556.1.4.319 || 2.16.840.1.113730.3.4.9
|| 1.3.6.1.1.12")(version 3.0;acl "Authenticated access to controls used by
the SCIM servlet extension"; allow (all) userdn="ldap:///all";)'
```

```
$ dsconfig set-access-control-handler-prop \
  --add 'global-aci:(targetcontrol="1.3.6.1.1.13.2 || 1.2.840.113556.1.4.473
|| 1.2.840.113556.1.4.319 || 2.16.840.1.113730.3.4.9 || 1.3.6.1.1.12 ||
1.2.840.113556.1.4.1413")(version 3.0;acl "Authenticated access to controls
used by the SCIM servlet extension"; allow (all) userdn="ldap:///all";)'
```

```
dsconfig set-request-processor-prop \
  --processor-name dc_example_dc_com-req-processor \
  --add supported-control-oid:1.2.840.113556.1.4.1413
```

In the last command, `dc_example_dc_com-req-processor` is the default processor name. Replace it with the correct name for your system.

Configuring the Directory Proxy Server

Once you have initially configured the PingDirectoryProxy Server, you can manage your deployment using the configuration framework and management tools. This chapter briefly describes these tools and provides procedures to help you maintain and update your deployment.

About the Configuration Tools

The PingDirectoryProxy Server configuration can be accessed and modified in the following ways:

- **Using the Administrative Console** . The PingDirectoryProxy Server provides an Administrative Console for graphical server management and monitoring. The console provides equivalent functionality as the `dsconfig` command for viewing or editing configurations. All configuration changes using this tool are recorded in `logs/config-audit.log`, which also has the equivalent reversion commands should you need to back out of a configuration.
- **Using the dsconfig Command-Line Tool** . The `dsconfig` tool is a text-based menu-driven interface to the underlying configuration. The tool runs the configuration using three operational modes: interactive command-line mode, non-interactive command-line mode, and batch mode. All configuration changes made using this tool are recorded in `logs/config-audit.log`.

Using the create-initial-proxy-config Tool

The `create-initial-proxy-config` tool can be used to initially configure the Directory Proxy Server. We strongly recommend that you use the `create-initial-proxy-config` tool for your initial Directory Proxy Server configuration. This tool prompts you for basic information about your topology, including external servers, their locations, and credentials for communicating with them. Once the configuration

is complete, the tool writes the configuration to a `dsconfig` batch file and allows you to apply the configuration to the local Directory Proxy Server. The tool assumes the following about your topology:

- All servers are accessible through a single user account. This user account must be a root user that is not generally accessible to clients to avoid inadvertent changes, deletions, or backend server availability issues due to reimporting data.
- All servers support the same type of communication security.
- All external servers are any combination of Ping Identity Directory Server, Sun Directory Server, or Red Hat (including Fedora and 389) instances.

If your topology does have these characteristics, you can use the tool to define a basic configuration that is saved to a `dsconfig` batch file. You can then run the `dsconfig` tool to fine-tune the configuration. You can also use this tool to configure an entry balancing configuration, which allows you to automatically spread entries below a common parent among multiple sets of directory servers for improved scalability and performance.

The `create-initial-proxy-config` tool produces a log file called `create-initial-proxy-config.log` that is stored in the local Directory Proxy Server's `logs` directory.

You can only run the `create-initial-proxy-config` tool once for the initial configuration of each Directory Proxy Server instance. To tune your configuration, use the `dsconfig` tool. When installing a second Directory Proxy Server, it will not be necessary to run the `create-initial-proxy-config` tool again, as the Directory Proxy Server setup has the ability to clone the settings from an existing Directory Proxy Server.

This section describes how to use this tool to configure a standard Directory Proxy Server deployment as well as an entry balancing configuration.

Configuring a Standard Directory Proxy Server Deployment

This section describes how to install a standard Directory Proxy Server deployment using the `create-initial-proxy-config` tool. Remember that you deploy the Directory Proxy Server in pairs. Each pair should be configured identically except for their host name, port, and possibly their location.

To Configure a Standard Directory Proxy Server Deployment

Steps

1. After initial installation, select the number to start the `create-initial-proxy-config` tool automatically. Otherwise, run it manually at the command line from the server root directory, `<server-root>/PingDirectoryProxy`.

```
$ ./bin/create-initial-proxy-config
```

2. The initial proxy configuration presents the assumptions about the underlying Directory Server backend servers. If the servers do not meet the requirements, then you can enter "no" to quit the process.

```
Some assumptions are made about the topology in order to keep this tool simple:
```

- ```
1) all servers will be accessible via a single user account
2) all servers support the same communication security type
3) all servers are PingDirectoryProxy Server, Directory Server,
 Java System 5.x, 6.x, or 7.x, or Red Hat (including Fedora and 389)
 directory servers
```

```
If your topology does not have these characteristics you can use this tool
to define a basic configuration and then use the 'dsconfig' tool or the
Administrative Console to
fine tune the configuration.
```

```
Continue? (yes / no) [yes]:
```

3. Enter the DN for the Directory Proxy Server user account, then enter and confirm the password for this account. Note that you should not use `cn=Directory Manager` account for communication between the Directory Proxy Server and the Directory Server. For security reasons, the account used to communicate between the Directory Proxy Server and the Directory Server should not be directly accessible by clients accessing the Directory Proxy Server. For more information about this account, see [Configuring LDAP External Servers](#).

```
Enter the DN of the proxy user account [cn=Proxy User,cn=Root
DNs,cn=config]:
```

```
Enter the password for 'cn=Proxy User,cn=Root DNs,cn=config':
```

```
Confirm the password for 'cn=Proxy User,cn=Root DNs,cn=config':
```

4. Specify whether you will be using secure communication with the Directory Server instances.

```
>>>> External Server Communication Security
```

```
Specify the type of security that the Directory Proxy Server will use when
communicating with directory server instances:
```

- 1) None
- 2) SSL
- 3) StartTLS
  
- b) back
- q) quit

```
Enter choice [1]:
```

5. Specify the base DN of the Directory Server instances that will be accessed through the Directory Proxy Server. The Directory Proxy Server will create subtree views using each base DN to define portions of the external servers' DIT available for client access. You can specify more than one base DN. Press **Enter** when you have finished specifying the DN(s).

```
Enter a base DN of the directory server instances that will be accessed
through the Identity Proxy:
```

- b) back
- q) quit

```
Enter a DN or choose a menu item [dc=example,dc=com]:
```

6. Next, specify if the entries under your defined subtree view will be split across multiple servers in an entry balanced deployment. For this example, press Enter to accept the default ("no").
7. Define a location for your server, such as the name of your data center or the city where the server is located. This example illustrates defining a location named `east`.

```
Enter a location name or choose a menu item: east
```

8. If you defined more than one location, specify the location that contains the Directory Proxy Server itself.

```
Choose the location for this Directory Proxy Server
```

- 1) east
- 2) west
  
- b) back
- q) quit

```
Enter choice [1]: 1
```

9. Define the hostname:port used by the LDAP external servers. If you have specified more than one location, you will go through this process for each location.

```
Enter a host:port or choose a menu item [localhost:389]: ldap-
east-01.example.com:389
```

10. After each step, the server will attempt to prepare each external server by testing the communication between the Directory Proxy Server and the Directory Server. Select the option "Yes, and all subsequent servers" to indicate that you want the tool to create a proxy user account on all of your LDAP external servers within that location.

```
Would you like to prepare ldap-east-01.example.com:389 for access by the
Directory Proxy Server?
```

- ```
1) Yes
2) No
3) Yes, and all subsequent servers
4) No, and all subsequent servers
```

```
Enter choice [1]: 3
```

11. If the proxy user account did not previously exist on your LDAP external server, create the account by connecting as cn=Directory Manager.

```
Would you like to create or modify root user 'cn=Proxy User' so that it is
available for this Directory Proxy Server? (yes / no) [yes]:
```

```
Enter the DN of an account on ldap-east-01.example.com:389 with which to
create or manage the 'cn=Proxy
User' account [cn=Directory Manager]:
```

```
Enter the password for 'cn=Directory Manager':
```

```
Created 'cn=Proxy User,cn=Root DNs,cn=config'
Testing 'cn=Proxy User' privileges ..... Done
Verifying backend 'dc=example,dc=com' ..... Done
```

12. Repeat steps 9-12 for the servers in the other location. Then, press **Enter** to finish configuring the location.

13. Review the configuration summary. Once you have confirmed that the changes are correct, press **Enter** to write the configuration.

```
>>>> Configuration Summary
```

```
External Server Security:  SSL
Proxy User DN:             cn=Proxy User,cn=Root DNs,cn=config
```

```
Location east
  Failover Order: west
  Servers: localhost:1636
```

```
Location west
  Failover Order: east
  Servers: localhost:2636
```

```
Base DN: dc=example,dc=com
Servers: localhost:1636, localhost:2636
```

- ```
b) back
q) quit
w) write configuration file
```

```
Enter choice [w]:
```

14. Next, apply the configuration changes locally to the Directory Proxy Server. If you have any Server SDK extensions, make sure to run the `manage-extension` tool, then press **Enter** to apply the changes to the Directory Proxy Server. Alternatively, you can quit and instead run the `dsconfig` batch file at a later time. Once the changes have been applied, you cannot use the `create-initial-proxy-config` tool to configure this Directory Proxy Server again. Instead, use the `dsconfig` tool.

```
This tool can apply the configuration changes to the local Identity Proxy.
This requires any configured Server SDK extensions to be in place. Do you
want to do
this? (yes / no) [yes]:
```

If you open the generated `proxy-cfg.txt` file or the `logs/config-audit.log` file, you will see that a configuration element hierarchy has been created: locations, health checks, external servers, load-balancing algorithms, request processors, and subtree views.

## About dsconfig Configuration Tool

---

The `dsconfig` tool is the text-based management tool used to configure the underlying Directory Server configuration. The tool has three operational modes: interactive mode, non-interactive mode, and batch mode.

The `dsconfig` tool also offers an offline mode using the `--offline` option, in which the server does not have to be running to interact with the configuration. In most cases, the configuration should be accessed with the server running in order for the server to give the user feedback about the validity of the configuration.

### Using dsconfig in Interactive Command-Line Mode

In interactive mode, the `dsconfig` tool offers a filtering mechanism that only displays the most common configuration elements. The user can specify that more expert level objects and configuration properties be shown using the menu system.

Running `dsconfig` in interactive command-line mode provides a user-friendly, menu-driven interface for accessing and configuring the PingDirectoryProxy Server. To start `dsconfig` in interactive command-line mode, simply invoke the `dsconfig` script without any arguments. You will be prompted for connection and authentication information to the Directory Proxy Server, and then a menu will be displayed of the available operation types.

In some cases, a default value will be provided in square brackets. For example, `[389]` indicates that the default value for that field is port 389. You can press **Enter** to accept the default. To skip the connection and authentication prompts, provide this information using the command-line options of `dsconfig`.

### Using dsconfig Interactive Mode: Viewing Object Menus

Because some configuration objects are more likely to be modified than others, the PingDirectoryProxy Server provides four different object menus that hide or expose configuration objects to the user. The purpose of object levels is to simply present only those properties that an administrator will likely use. The Object type is a convenience feature designed to unclutter menu readability.

The following object menus are available:

- **Basic.** Only includes the components that are expected to be configured most frequently.
- **Standard.** Includes all components in the Basic menu plus other components that might occasionally need to be altered in many environments.
- **Advanced.** Includes all components in the Basic and Standard menus plus other components that might require configuration under special circumstances or that might be potentially harmful if configured incorrectly.
- **Expert.** Includes all components in the Basic, Standard, and Advanced menus plus other components that should almost never require configuration or that could seriously impact the functionality of the server if not properly configured.

## To Change the dsconfig Object Menu

### Steps

1. Repeat steps 1–6 in the section using `dsconfig` in To Install the Directory Proxy Server in Interactive Mode.
2. On the **PingDirectoryProxy Server configuration** main menu, type **o** (letter “o”) to change the object level. By default, Basic objects are displayed.
3. Enter a number corresponding to a object level of your choice: 1 for Basic, 2 for Standard, 3 for Advanced, 4 for Expert.
4. View the menu at the new object level. Additional configuration options for the Directory Proxy Server components are displayed.

## Using dsconfig in Non-Interactive Mode

The `dsconfig` non-interactive command-line mode provides a simple way to make arbitrary changes to the Directory Proxy Server by invoking it from the command line. To use administrative scripts to automate configuration changes, run the `dsconfig` command in non-interactive mode, which is convenient scripting applications. Note, however, that if you plan to make changes to multiple configuration objects at the same time, then the batch mode might be more appropriate.

You can use the `dsconfig` tool to update a single configuration object using command-line arguments to provide all of the necessary information. The general format for the non-interactive command line is:

```
$ bin/dsconfig --no-prompt {globalArgs} {subcommand} {subcommandArgs}
```

The `--no-prompt` argument indicates that you want to use non-interactive mode. The `{sub-command}` is used to indicate which general action to perform. The `{globalArgs}` argument provides a set of arguments that specify how to connect and authenticate to the Directory Proxy Server. Global arguments can be standard LDAP connection parameters or SASL connection parameters depending on your setup. For example, using standard LDAP connections, you can invoke the `dsconfig` tool as follows:

```
$ bin/dsconfig --no-prompt list-backends \
 --hostname server.example.com \
 --port 389 \
 --bindDN uid=admin,dc=example,dc=com \
 --bindPassword password
```

If your system uses SASL GSSAPI (Kerberos), you can invoke `dsconfig` as follows:

```
$ bin/dsconfig --no-prompt list-backends \
 --saslOption mech=GSSAPI \
 --saslOption authid=admin@example.com \
 --saslOption ticketcache=/tmp/krb5cc_1313 \
 --saslOption useticketcache=true
```

The `{subcommandArgs}` argument contains a set of arguments specific to the particular subcommand that you wish to invoke. To always display the advanced properties, use the `--advanced` command-line option.

**Note:** Global arguments can appear anywhere on the command line (including before the subcommand, and after or intermingled with subcommand-specific arguments). The subcommand-specific arguments can appear anywhere after the subcommand.

## To Get the Equivalent dsconfig Non-Interactive Mode Command

### Steps

1. Using `dsconfig` in interactive mode, make changes to a configuration but do not apply the changes (that is, do not enter “f”).

2. Enter `d` to view the equivalent non-interactive command.
3. View the equivalent command (seen below), and then press **Enter** to continue. For example, based on an example in the previous section, changes made to the `db-cache-percent` returns the following:

```
Command line to apply pending changes to this Local DB Backend:
dsconfig set-backend-prop --backend-name userRoot --set db-cache-percent:40
```

The command does not contain the LDAP connection parameters required for the tool to connect to the host since it is presumed that the command would be used to connect to a different remote host.

## Using dsconfig Batch Mode

The PingDirectoryProxy Server provides a `dsconfig` batching mechanism that reads multiple `dsconfig` invocations from a file and executes them sequentially. The batch file provides advantages over standard scripting by minimizing LDAP connections and JVM invocations that normally occur with each `dsconfig` call. Batch mode is the best method to use with setup scripts when moving from a development environment to test environment, or from a test environment to a production environment. The `--no-prompt` option is required with `dsconfig` in batch mode.

If a `dsconfig` command has a missing or incorrect argument, the command will fail and abort the batch process without applying any changes to the Directory Proxy Server. The `dsconfig` command supports a `--batch-continue-on-error` option which instructs `dsconfig` to apply all changes and skip any errors.

You can view the `logs/config-audit.log` file to review the configuration changes made to the Directory Proxy Server and use them in the batch file. The batch file can have blank lines for spacing and lines starting with a pound sign (`#`) for comments. The batch file also supports a `"\"` line continuation character for long commands that require multiple lines.

The Directory Proxy Server also provides a `docs/sun-ds-compatibility.dsconfig` file for migrations from Sun/Oracle to PingDirectoryProxy Server machines.

### To Configure the Directory Proxy Server in dsconfig Batch Mode

#### Steps

1. Create a text file that lists each `dsconfig` command with the complete set of properties that you want to apply to the Directory Proxy Server. The items in this file should be in the same format as those accepted by the `dsconfig` command. The batch file can have blank lines for spacing and lines starting with a pound sign (`#`) for comments. The batch file also supports a `"\"` line continuation character for long commands that require multiple lines.

```
This dsconfig operation creates the exAccountNumber global attribute
index.
dsconfig create-global-attribute-index
--processor-name ou_people_dc_example_dc_com-eb-req-processor
--index-name exAccountNumber --set prime-index:true

Here we create the entry-count placement algorithm with the
default behavior of adding entries to the smallest backend
dataset first.

dsconfig create-placement-algorithm
--processor-name ou_people_dc_example_dc_com-eb-req-processor
--algorithm-name example_com_entry_count
--type entry-counter
--set enabled:true
--set "poll-interval:1 m"

Note that once the entry-count placement algorithm is created
and enabled, we can delete the round-robin algorithm.
```

```
Since an entry-balancing proxy must always have a placement
algorithm, we add a second algorithm and then delete the
original round-robin algorithm created during the setup
procedure.

dsconfig delete-placement-algorithm
--processor-name ou_people_dc_example_dc_com-eb-req-processor
--algorithm-name round-robin
```

2. Use `dsconfig` with the `--batch-file` option to read and execute the commands.

## Topology Configuration

---

Topology configuration enables grouping servers and mirroring configuration changes automatically. It uses a master/slave architecture for mirroring shared data across the topology. All writes and updates are forwarded to the master, which forwards them to all other servers. Reads can be served by any server in the group. Servers can be added to an existing topology at installation.

**Note:** To remove a server from the topology, it must be uninstalled with the `uninstall` tool.

### Topology Master Requirements and Selection

A topology master server receives any configuration change from other servers in the topology, verifies the change, then makes the change available to all connected servers. The master always sends a digest of its subtree contents on each update. If the node has a different digest than the master, it knows it's not synchronized. The servers will pull the entire subtree from the master if they detect that they are not synchronized. A server may detect it is not synchronized with the master under the following conditions:

- At the end of its periodic polling interval, if a server's subtree digest differs from that of its master, then it knows it's not synchronized.
- If one or more servers have been added to or removed from the topology, the servers will not be synchronized.

The master of the topology is selected by prioritizing servers by minimum supported product version, most available, newest server version, earliest start time, and startup UUID (a smaller UUID is preferred).

After determining a master, the topology data is reviewed from all available servers (every five seconds by default) to determine if any new information makes a server better suited to being the master. If a new server can be the master, it will communicate that to the other servers, if no other server has advertised that it should be the master. This ensures that all servers accept the same master at approximately the same time (within a few milliseconds of each other). If there is no better master, the initial master maintains the role.

After the best master has been selected for the given interval, the following conditions are confirmed:

- A majority of servers is reachable from that master. (The master server itself is considered while determining this majority.)
- There is only a single master in the entire topology.

If either of these conditions is not met, the topology is without a master and the peer polling frequency is reduced to 100 milliseconds to find a new master as quickly as possible. If there is no master in the topology for more than one minute, a `mirrored-subtree-manager-no-master-found` alarm is raised. If one of the servers in the topology is forced as master with the `force-as-master-for-mirrored-data` option in the Global Configuration object, a `mirrored-subtree-manager-forced-as-master-warning` warning alarm is raised. If multiple servers have been forced as masters, then a `mirrored-subtree-manager-forced-as-master-error` critical alarm will be raised.

## Topology Components

When a server is installed, it can be added to an existing topology, which will clone the server's configuration. Topology settings are designed to operate without additional configuration. If required, some settings can be adjusted to fit the needs of the environment.

### Server configuration settings

Configuration settings for the topology are configured in the Global Configuration and in the Config File Handler Backend. Though they are topology settings, they are unique to each server and are not mirrored. Settings must be kept the same on all servers.

The Global Configuration object contains a single topology setting, `force-as-master-formirrored-data`. This should be set to true on only one of the servers in the topology, and is used only if a situation occurs where the topology cannot determine a master because a majority of servers is not available. A server with this setting enabled will be assigned the role of master, if no suitable master can be determined.

The Config File Handler Backend defines three topology (`mirrored-subtree`) settings:

- `mirrored-subtree-peer-polling-interval` – Specifies the frequency at which the server polls its topology peers to determine if there are any changes that may warrant a new master selection. A lower value will ensure a faster failover, but it will also cause more traffic among the peers. The default value is five seconds. If no suitable master is found, the polling frequency is adjusted to 100 milliseconds until a new master is selected.
- `mirrored-subtree-entry-update-timeout` – Specifies the maximum length of time to wait for an update operation (add, delete, modify or modify-dn) on an entry to be applied by the master on all of the servers in the topology. The default is 10 seconds. In reality, updates can take up to twice as much time as this timeout value if master selection is in progress at the time the update operation was received.
- `mirrored-subtree-search-timeout` – Specifies the maximum length of time in milliseconds to wait for search operations to complete. The default is 10 seconds.

### Topology settings

Topology meta-data is stored under the `cn=topology,cn=config` subtree and cluster data is stored under the `cn=cluster,cn=config` subtree. The only setting that can be changed is the cluster name.

## Monitor Data for the Topology

Each server has a monitor that exposes that server's view of the topology in its monitor backend, so that peer servers can periodically read this information to determine if there are changes in the topology. Topology data includes the following:

- The server ID of the current master, if the master is not known.
- The instance name of the current master, or if a master is not set, a description stating why a master is not set.
- A flag indicating if this server thinks that it should be the master.
- A flag indicating if this server is the current master.
- A flag indicating if this server was forced as master.
- The total number of configured peers in the topology group.
- The peers connected to this server.
- The current availability of this server.
- A flag indicating whether or not this server is not synchronized with its master, or another node in the topology if the master is unknown.
- The amount of time in milliseconds where multiple masters were detected by this server.
- The amount of time in milliseconds where no suitable server is found to act as master.
- A SHA-256 digest encoded as a base-64 string for the current subtree contents.

The following metrics are included if this server has processed any operations as master:

- The number of operations processed by this server as master.

- The number of operations processed by this server as master that were successful.
- The number of operations processed by this server as master that failed to validate.
- The number of operations processed by this server as master that failed to apply.
- The average amount of time taken (in milliseconds) by this server to process operations as the master.
- The maximum amount of time taken (in milliseconds) by this server to process an operation as the master.

## Certificates

Depending on the circumstances, PingDirectory Server uses one of the following certificates:

- Inter-server certificate – Used for internal purposes, like the following examples:
  - Replication authentication
  - Inter-server authentication in the topology registry
  - Reversible password encryption
  - Encrypted backups and LDIF exports
- Server certificate – Presented by the server when a client uses a protocol like LDAPS or HTTPS to initiate a secure connection. A client must trust the server's certificate to obtain a secure connection to it.

The following sections describe these certificates in more detail.

### Inter-server certificate

Generated during installation, the inter-server certificate is stored under the alias `ads-certificate` in a file named `ads-truststore`, which resides in the server's `/config` directory. This certificate contains the key pair for the local server as well as for the certificates of all trusted servers, and has a lifetime of 20 years before expiring.

The local server's public key is signed by its own private key, making it a *self-signed certificate*. The alias is hard-coded to `ads-certificate`, and the keystore file is hard-coded to `ads-truststore`. This behavior cannot be modified during setup.



#### Warning:

- Although some customers feel uncomfortable with the self-signed nature of the inter-server certificate, we recommend that you do not replace it with a CA-signed certificate for the following reasons:
  - If the inter-server certificate is replaced incorrectly, serious problems can occur during topology authentication.
  - The inter-server certificate is used for internal purposes only.
  - If the server's access logs contain authentication (bind) errors, the inter-server certificate is most likely configured inappropriately. In the topology registry, this certificate is persisted in the `inter-server-certificate` property of a server instance.

### Replace the inter-server certificate

#### About this task

Because the inter-server certificate is also stored in the topology registry, it can be replaced on one server and mirrored to all other servers in the topology. Changes are mirrored automatically to the other servers in the topology.

**Important:** Before attempting to replace the inter-server certificate, ensure that all servers in the topology are updated to version 7.0 or later.

The inter-server certificate is stored in human-readable, PEM-encoded format and can be updated by using the `dsconfig` tool. While the certificate is being replaced, existing authenticated connections

continue to work. If the server is restarted, or if a topology change requires a reset of peer connections, the server continues authenticating with its peers, all of whom trust the new certificate.

To replace the inter-server certificate with no downtime, complete the following tasks:

### Steps

1. Prepare a new keystore with the replacement key pair.
2. Import the earlier trusted certificates into the new keystore.
3. Update the server configuration to use the new certificate by adding it to the server's list of certificates in the topology registry.  
After this step is performed, other servers will trust the certificate.
4. Replace the server's `ads-truststore` file with the new one.
5. Retire the previous certificate by removing it from the topology registry.

### Next steps

The following sections describe these tasks in more detail.

*Prepare a new keystore with the replacement key pair*

The self-signed certificate can be replaced with an existing key pair. As an alternative, the certificate that is associated with the original key pair can be used.

#### Use an existing key pair

If a private key and certificate in PEM-encoded format already exist, both the original private key and the self-signed certificate can be replaced in `ads-truststore` by using the `manage-certificates` tool. Depending on your operating system, the `manage-certificates` tool is located in the server's `bin` or `bat` directory.

**Important:** If the existing key pair is not in PEM-encoded format, convert it to a format that is compatible with the server's `ads-truststore` keystore file format before proceeding.

If you replace the entire key pair instead of only the certificate that is associated with the original private key, your existing backups and LDIF exports might be rendered invalid. To avoid this scenario, perform this step immediately after setup, or at least before the key pair is used. After the first use, change only the certificate associated with the private key to extend its validity period, or to replace it with a certificate that is signed by a different CA.

The following command imports existing certificates into a new keystore file named `ads-truststore.new`:

```
manage-certificates import-certificate \
 --keystore ads-truststore.new \
 --keystore-type JKS \
 --keystore-password-file ads-truststore.pin \
 --alias ads-certificate \
 --private-key-file existing.key \
 --certificate-file existing.crt \
 --certificate-file intermediate.crt \
 --certificate-file root-ca.crt
```

Order the certificates that use the `--certificate-file` option in such a manner that each subsequent certificate functions as the issuer for the previous one. The server certificate is listed first, any intermediate certificates are listed next, and the root CA certificate is listed last. Because some deployments do not feature an intermediate issuer, you might need to import only the server certificate and a single issuer.

#### Replace the certificate associated with the original key pair

**About this task**

Alternatively, to replace the certificate that is associated with the original server-generated, `ads-certificate` private key, perform the following steps:

**Steps**

1. Create a CSR for the `ads-certificate`, as follows:

```
manage-certificates generate-certificate-signing-request \
 --keystore ads-truststore \
 --keystore-type JKS \
 --keystore-password-file ads-truststore.pin \
 --alias ads-certificate \
 --use-existing-key-pair \
 --subject-dn "CN=ldap.example.com,O=Example Corporation,C=US" \
 --output-file ads.csr
```

2. Submit `ads.csr` to a CA for signing.
3. Export the server's private key into `ads.key`, as follows:

```
manage-certificates export-private-key \
 --keystore ads-truststore \
 --keystore-password-file ads-truststore.pin \
 --alias ads-certificate \
 --output-file ads.key
```

4. Import the certificates obtained from the CA – including the CA-signed server certificate, the root CA certificate, and any intermediate certificates – into `ads-truststore.new`, as follows:

```
manage-certificates import-certificate \
 --keystore ads-truststore.new \
 --keystore-type JKS \
 --keystore-password-file ads-truststore.pin \
 --alias ads-certificate \
 --private-key-file ads.key \
 --certificate-file new-ads.crt \
 --certificate-file intermediate.crt \
 --certificate-file root-ca.crt
```

*Import earlier trusted certificates into the new keystore*

**About this task**

The new `ads-truststore` file, `ads-truststore.new`, contains only the server's new key pair. You must import the currently trusted certificates of other servers in the topology.

To export trusted certificates from `ads-truststore` and import them into `ads-truststore.new`, perform the following steps for each trusted certificate:

**Steps**

1. Locate the currently trusted certificates, as follows:

```
manage-certificates list-certificates \
 --keystore ads-truststore
```

2. For each alias other than `ads-certificate`, or whose fingerprint does not match `ads-certificate`, perform the following steps:

- a) Export the trusted certificate from `ads-truststore`, as follows:

```
manage-certificates export-certificate \
 --keystore ads-truststore \
 --keystore-password-file ads-truststore.pin \
 --alias <trusted-cert-alias> \
 --export-certificate-chain \
 --output-file <trust-cert-alias>.crt
```

- b) Import the trusted certificate into `ads-truststore.new`, as follows:

```
manage-certificates import-certificate \
 --keystore ads-truststore.new \
 --keystore-type JKS \
 --keystore-password-file ads-truststore.pin \
 --alias <trusted-cert-alias> \
 --certificate-file <trusted-cert-alias>.crt
```

*Update the server configuration to use the new certificate*

### About this task

Before updating the server to use the appropriate key pair, update the `inter-server-certificate` property for the server instance in the topology registry. To support the transition from an existing certificate to a new one, earlier and newer certificates might appear within their own beginning and ending headers in the `inter-server-certificate` property.

To update the server configuration to use the new certificate, perform the following steps:

### Steps

1. Export the server's previous `ads-certificate` into `old-ads.crt`, as follows:

```
manage-certificates export-certificate \
 --keystore ads-truststore \
 --keystore-password-file ads-truststore.pin \
 --alias ads-certificate \
 --output-file old-ads.crt
```

2. Concatenate the previous and new certificate into one file.

On Windows, use a text editor like Notepad. On Unix, use the following command:

```
cat old-ads.crt new-ads.crt > old-new-ads.crt
```

3. Use `dsconfig` to update the `inter-server-certificate` property for the server instance in the topology registry, as follows:

```
$ bin/dsconfig -n set-server-instance-prop \
 --instance-name <instance-name> \
 --set "inter-server-certificate<old-new-ads.crt"
```

*Replace the previous `ads-truststore` file with the new one*

Because the server still uses the previous `ads-certificate`, you must replace the previous `ads-truststore` file with `ads-truststore.new` in the server's `config` directory when you want the new `ads-certificate` to go into effect:

```
$ mv ads-truststore.new ads-truststore
```

### Retire the previous certificate

Retire the previous certificate by removing it from the topology registry after it expires, as follows:

```
$ dsconfig -n set-server-instance-prop \
 --instance-name <instance-name> \
 --set "inter-server-certificate<chain.crt"
```

Existing encrypted backups and LDIF exports remain unaffected. Because the public key is the same in the previous and new server certificates, the private key can decrypt them.

### Server certificate

During setup, administrators have the option of using self-signed certificates or CA-signed certificates for the server certificate. Where possible, we encourage the use of CA-signed certificates. Self-signed certificates are recommended only for demonstration and proof-of-concept environments.

If you specify the option `--generateSelfSignedCertificate` during setup, the server certificate is generated automatically with the alias `server-cert`. The key pair consists of the private key and the self-signed certificate, and is stored in a file named `keystore`, which resides in the server's `/config` directory. The certificates for all the servers that the server trusts are stored in the `truststore` file, which is also located under the server's `/config` directory.

To override the server certificate alias and the files that store the key pair and certificates, use the following arguments during setup:

- `--certNickname`
- `--use*Keystore`
- `--use*Truststore`

For more information about these arguments, refer to the setup tool's Help and the Installation Guide.

**Important:** If the server's access logs contain authentication (bind) errors, the inter-server certificate is most likely configured inappropriately. In the topology registry, this certificate is persisted in a Server Instance Listener's `listener-certificate` property.

### Replace the server certificate

#### About this task

Regardless of whether the server was set up with self-signed or CA-signed certificates, the steps to replace the server certificate are nearly identical.

This task makes the following assumptions:

- You are replacing the self-signed server certificate.
- The certificate alias is `server-cert`.
- The private key is stored in `keystore`.
- The trusted certificates are stored in `truststore`.
- The `keystore` and `truststore` use the JKS keystore format.

If a PKCS#12 keystore format was used for the `keystore` and `truststore` files during setup, change the `--keystore-type` argument in the `manage-certificate` commands to `PKCS12` in the relevant steps.

**Important:** Before attempting to replace the inter-server certificate, ensure that all servers in the topology are updated to version 7.0 or later.

While the certificate is being replaced, existing secure connections continue to work. If the server is restarted, or if a topology change requires a reset of peer connections, the server continues authenticating with its peers, all of whom trust the new certificate.

To replace the server certificate with no downtime, complete the following tasks:

## Steps

1. Prepare a new keystore with the replacement key pair.
2. Import the earlier trusted certificates into the new `truststore` file.
3. Update the server configuration to use the new certificate by adding it to the server's list of listener certificates in the topology registry.  
After this step is performed, other servers will trust the certificate.
4. Replace the server's `keystore` and `truststore` files with the new ones.
5. Retire the previous certificate by removing it from the topology registry.

## Next steps

The following sections describe these tasks in more detail.

*Prepare a new keystore with the replacement key pair*

The self-signed certificate can be replaced with an existing key pair. As an alternative, the certificate that is associated with the original key pair can be used.

### Use an existing key pair

If a private key and certificate already exist in PEM-encoded format, they can replace both the original private key and the self-signed certificate in `keystore` (instead of replacing the self-signed certificate associated with the original server-generated private key). Use the `manage-certificates` tool that, depending on your operating system, is located in the server's `bin` or `bat` directory.

The following command imports existing certificates into a new keystore file named `keystore.new`:

```
manage-certificates import-certificate \
 --keystore keystore.new \
 --keystore-type JKS \
 --keystore-password-file keystore.pin \
 --alias server-cert \
 --private-key-file existing.key \
 --certificate-file existing.crt \
 --certificate-file intermediate.crt \
 --certificate-file root-ca.crt
```

Order the certificates that use the `--certificate-file` option in such a manner that each subsequent certificate functions as the issuer for the previous one. The server certificate is listed first, any intermediate certificates are listed next, and the root CA certificate is listed last. Because some deployments do not feature an intermediate issuer, you might need to import only the server certificate and a single issuer.

Replace the certificate associated with the original key pair

## About this task

If the certificate that is associated with the original server-generated private key (`server-cert`) has expired or must be replaced with a certificate from a different CA, perform the following steps to replace it:

## Steps

1. Create a CSR file for the `server-cert`, as follows:

```
manage-certificates generate-certificate-signing-request \
 --keystore keystore \
 --keystore-type JKS \
 --keystore-password-file keystore.pin \
 --alias server-cert \
 --use-existing-key-pair \
 --subject-dn "CN=ldap.example.com,O=Example Corporation,C=US" \
 --output-file server-cert.csr
```

2. Submit `server-cert.csr` to a CA for signing.
3. Export the server's private key into `server-cert.key`, as follows:

```
manage-certificates export-private-key \
 --keystore keystore \
 --keystore-password-file keystore.pin \
 --alias server-cert \
 --output-file server-cert.key
```

4. Import the certificates obtained from the CA – including the CA-signed server certificate, the root CA certificate, and any intermediate certificates – into `keystore.new`, as follows:

```
manage-certificates import-certificate \
 --keystore keystore.new \
 --keystore-type JKS \
 --keystore-password-file keystore.pin \
 --alias server-cert \
 --private-key-file server-cert.key \
 --certificate-file server-cert.crt \
 --certificate-file intermediate.crt \
 --certificate-file root-ca.crt
```

*Import earlier trusted certificates into the new keystore*

### About this task

The trusted certificates of other servers in the topology must be imported into the new `truststore` file. To export trusted certificates from `truststore` and import them into `truststore.new`, perform the following steps for each trusted certificate:

### Steps

1. Locate the currently trusted certificates, as follows:

```
manage-certificates list-certificates \
 --keystore truststore
```

2. For each alias other than `server-cert`, or whose fingerprint does not match `server-cert`, perform the following steps:

- a) Export the trusted certificate from `truststore`, as follows:

```
manage-certificates export-certificate \
 --keystore truststore \
 --keystore-password-file truststore.pin \
 --alias <trusted-cert-alias> \
 --export-certificate-chain \
 --output-file trusted-cert-alias.crt
```

- b) Import the trusted certificate into `truststore.new`, as follows:

```
manage-certificates import-certificate \
 --keystore truststore.new \
 --keystore-type JKS \
 --keystore-password-file truststore.pin \
 --alias <trusted-cert-alias> \
 --certificate-file trusted-cert-alias.crt
```

*Update the server configuration to use the new certificate*

### About this task

Before updating the server to use the appropriate key pair, update the `listener-certificate` property for the server instance's LDAP listener in the topology registry. To support the transition from an existing certificate to a new one, earlier and newer certificates might appear within their own beginning and ending headers in the `listener-certificate` property.

To update the server configuration to use the new certificate, perform the following steps:

### Steps

1. Export the server's previous `server-cert` into `old-server-cert.crt`, as follows:

```
manage-certificates export-certificate \
 --keystore keystore \
 --keystore-password-file keystore.pin \
 --alias server-cert \
 --output-file old-server-cert.crt
```

2. Concatenate the previous and new certificate into one file.

On Windows, use a text editor like Notepad. On Unix, use the following command:

```
cat old-server-cert.crt new-server-cert.crt > old-new-server-cert.crt
```

3. Use `dsconfig` to update the `listener-certificate` property for the server instance's LDAP listener in the topology registry, as follows:

```
$ bin/dsconfig -n set-server-instance-listener-prop \
 --instance-name instance-name> \
 --listener-name ldap-listener-mirrored-config \
 --set "listener-certificate<old-new-server-cert.crt"
```

*Replace the keystore and truststore files with the new ones*

Because the server still uses the previous `server-cert`, you must replace the earlier `keystore` and `truststore` files with the new ones in the server's `config` directory when you want the new `server-cert` to take effect.

```
$ mv keystore.new keystore
 mv truststore.new truststore
```

*Retire the previous certificate*

Retire the previous certificate by removing it from the topology registry after it expires, as follows:

```
$ dsconfig -n set-server-instance-listener-prop \
 --instance-name <instance-name> \
 --listener-name ldap-listener-mirrored-config \
 --set "listener-certificate<new-server-cert.crt"
```

## Using the Configuration API

PingDirectoryProxy Server provides a Configuration API, which may be useful in situations where using LDAP to update the server configuration is not possible. The API is consistent with the System for Cross-domain Identity Management (SCIM) 2.0 protocol and uses JSON as a text exchange format, so all request headers should allow the `application/json` content type.

The server includes a servlet extension that provides read and write access to the server's configuration over HTTP. The extension is enabled by default for new installations, and can be enabled for existing deployments by simply adding the extension to one of the server's HTTP Connection Handlers, as follows:

```
$ bin/dsconfig set-connection-handler-prop \
 --handler-name "HTTPS Connection Handler" \
 --add http-servlet-extension:Configuration
```

The API is made available on the HTTPS Connection handler's host:port in the `/config` context. Due to the potentially sensitive nature of the server's configuration, the HTTPS Connection Handler should be used for hosting the Configuration extension.

## Authentication and Authorization with the Configuration API

Clients must use HTTP Basic authentication to authenticate to the Configuration API. If the user name value is not a DN, then it will be resolved to a DN value using the identity mapper associated with the Configuration servlet. By default, the Configuration API uses an identity mapper that allows an entry's UID value to be used as a user name. To customize this behavior, either customize the default identity mapper, or specify a different identity mapper using the Configuration servlet's `identity-mapper` property. For example:

```
$ bin/dsconfig set-http-servlet-extension-prop \
 --extension-name Configuration \
 --set "identity-mapper:Alternative Identity Mapper"
```

To access configuration information, users must have the appropriate privileges:

- To access the `cn=config` backend, users must have the `bypass-acl` privilege or be allowed access to the configuration using an ACL.
- To read configuration information, users must have the `config-read` privilege.
- To update the configuration, users must have the `config-write` privilege.

## Relationship Between the Configuration API and the dsconfig Tool

The Configuration API is designed to mirror the `dsconfig` tool, using the same names for properties and object types. Property names are presented as hyphen case in `dsconfig` and as camel-case attributes in the API. In API requests that specify property names, case is not important. Therefore, `baseDN` is the same as `baseDn`. Object types are represented in hyphen case. API paths mirror what is in `dsconfig`. For example, the `dsconfig list-connection-handlers` command is analogous to the API's `/config/connection-handlers` path. Object types that appear in the schema URNs adhere to a `type:subtype` syntax. For example, a Local DB Backend's schema URN is `urn:unboundid:schemas:configuration:2.0:backend:local-db`. Like the `dsconfig` tool, all configuration updates made through the API are recorded in `logs/config-audit.log`.

The API includes the filter, sort, and pagination query parameters described by the SCIM specification. Specific attributes may be requested using the `attributes` query parameter, whose value must be a comma-delimited list of properties to be returned, for example `attributes=baseDN,description`. Likewise, attributes may be excluded from responses by specifying the `excludedAttributes` parameter.

Operations supported by the API are those typically found in REST APIs:

| HTTP Method | Description                                                                                                                                                                                                                                                                                                                                                                                 | Related dsconfig Example                                                                                |
|-------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------|
| GET         | Lists the properties of an object when used with a path representing an object, such as <code>/config/global-configuration</code> or <code>/config/backends/userRoot</code> . Can also list objects when used with a path representing a parent relation, such as <code>/config/backends</code> .                                                                                           | <code>get-backend-prop</code> , <code>list-backends</code> , <code>get-global-configuration-prop</code> |
| POST        | Creates a new instance of an object when used with a relation parent path, such as <code>/config/backends</code> .                                                                                                                                                                                                                                                                          | <code>create-backend</code>                                                                             |
| PUT         | Replaces the existing properties of an object. A PUT operation is similar to a PATCH operation, except that the PATCH identifies the difference between an existing target object and a supplied source object. Only those properties in the source object are modified in the target object. The target object is specified using a path, such as <code>/config/backends/userRoot</code> . | <code>set-backend-prop</code> , <code>set-global-configuration-prop</code>                              |
| PATCH       | Updates the properties of an existing object when used with a path representing an object, such as <code>/config/backends/userRoot</code> .                                                                                                                                                                                                                                                 | <code>set-backend-prop</code> , <code>set-global-configuration-prop</code>                              |
| DELETE      | Deletes an existing object when used with a path representing an object, such as <code>/config/backends/userRoot</code> .                                                                                                                                                                                                                                                                   | <code>delete-backend</code>                                                                             |

The OPTIONS method can also be used to determine the operations permitted for a particular path.

Object names, such as `userRoot` in the Description column, must be URL-encoded for use in the path segment of a URL. For example, `%20` must be used in place of spaces, and `%25` is used in place of the percent (%) character. The URL for accessing the HTTP Connection Handler object is:

```
/config/connection-handlers/http%20connection%20handler
```

## GET Example

The following is a sample GET request for information about the `userRoot` backend:

```
GET /config/backends/userRoot
Host: example.com:5033
Accept: application/scim+json
```

The response:

```
{
 "schemas": [
 "urn:unboundid:schemas:configuration:2.0:backend:local-db"
],
 "id": "userRoot",
 "meta": {
 "resourceType": "Local DB Backend",
 "location": "http://localhost:5033/config/backends/userRoot"
 },
}
```

```

"backendID": "userRoot2",
"backgroundPrime": "false",
"backupFilePermissions": "700",
"baseDN": [
 "dc=example2,dc=com"
],
"checkpointOnCloseCount": "2",
"cleanerThreadWaitTime": "120000",
"compressEntries": "false",
"continuePrimeAfterCacheFull": "false",
"dbBackgroundSyncInterval": "1 s",
"dbCachePercent": "10",
"dbCacheSize": "0 b",
"dbCheckpointIntervalBytes": "20 mb",
"dbCheckpointIntervalHighPriority": "false",
"dbCheckpointIntervalWakeup": "1 m",
"dbCleanOnExplicitGC": "false",
"dbCleanerMinUtilization": "75",
"dbCompactKeyPrefixes": "true",
"dbDirectory": "db",
"dbDirectoryPermissions": "700",
"dbEvictorCriticalPercentage": "0",
"dbEvictorLruOnly": "false",
"dbEvictorNodesPerScan": "10",
"dbFileCacheSize": "1000",
"dbImportCachePercent": "60",
"dbLogFileMax": "50 mb",
"dbLoggingFileHandlerOn": "true",
"dbLoggingLevel": "CONFIG",
"dbNumCleanerThreads": "0",
"dbNumLockTables": "0",
"dbRunCleaner": "true",
"dbTxnNoSync": "false",
"dbTxnWriteNoSync": "true",
"dbUseThreadLocalHandles": "true",
"deadlockRetryLimit": "10",
"defaultCacheMode": "cache-keys-and-values",
"defaultTxnMaxLockTimeout": "10 s",
"defaultTxnMinLockTimeout": "10 s",
"enabled": "false",
"explodedIndexEntryThreshold": "4000",
"exportThreadCount": "0",
"externalTxnDefaultBackendLockBehavior": "acquire-before-retries",
"externalTxnDefaultMaxLockTimeout": "100 ms",
"externalTxnDefaultMinLockTimeout": "100 ms",
"externalTxnDefaultRetryAttempts": "2",
"hashEntries": "false",
"id2childrenIndexEntryLimit": "66",
"importTempDirectory": "import-tmp",
"importThreadCount": "16",
"indexEntryLimit": "4000",
"isPrivateBackend": "false",
"javaClass": "com.unboundid.directory.server.backends.jeb.BackendImpl",
"jeProperty": [
 "je.cleaner.adjustUtilization=false",
 "je.nodeMaxEntries=32"
],
"numRecentChanges": "50000",
"offlineProcessDatabaseOpenTimeout": "1 h",
"primeAllIndexes": "true",
"primeMethod": [
 "none"
],
"primeThreadCount": "2",

```

```

"primeTimeLimit": "0 ms",
"processFiltersWithUndefinedAttributeTypes": "false",
"returnUnavailableForUntrustedIndex": "true",
"returnUnavailableWhenDisabled": "true",
"setDegradedAlertForUntrustedIndex": "true",
"setDegradedAlertWhenDisabled": "true",
"subtreeDeleteBatchSize": "5000",
"subtreeDeleteSizeLimit": "5000",
"uncachedId2entryCacheMode": "cache-keys-only",
"writabilityMode": "enabled"
}

```

## GET List Example

The following is a sample GET request for all local backends:

```

GET /config/backends/
Host: example.com:5033
Accept: application/scim+json

```

The response (which has been shortened):

```

{
 "schemas": [
 "urn:ietf:params:scim:api:messages:2.0:ListResponse"
],
 "totalResults": 24,
 "Resources": [
 {
 "schemas": [
 "urn:unboundid:schemas:configuration:2.0:backend:ldif"
],
 "id": "adminRoot",
 "meta": {
 "resourceType": "LDIF Backend",
 "location": "http://localhost:5033/config/backends/adminRoot"
 },
 "backendID": "adminRoot",
 "backupFilePermissions": "700",
 "baseDN": [
 "cn=topology,cn=config"
],
 "enabled": "true",
 "isPrivateBackend": "true",
 "javaClass":
"com.unboundid.directory.server.backends.LDIFBackend",
 "ldifFile": "config/admin-backend.ldif",
 "returnUnavailableWhenDisabled": "true",
 "setDegradedAlertWhenDisabled": "false",
 "writabilityMode": "enabled"
 },
 {
 "schemas": [
 "urn:unboundid:schemas:configuration:2.0:backend:trust-store"
],
 "id": "ads-truststore",
 "meta": {
 "resourceType": "Trust Store Backend",
 "location": "http://localhost:5033/config/backends/ads-
truststore"
 },
 "backendID": "ads-truststore",
 "backupFilePermissions": "700",

```

```

 "baseDN": [
 "cn=ads-truststore"
],
 "enabled": "true",
 "javaClass":
"com.unboundid.directory.server.backends.TrustStoreBackend",
 "returnUnavailableWhenDisabled": "true",
 "setDegradedAlertWhenDisabled": "true",
 "trustStoreFile": "config/server.keystore",
 "trustStorePin": "*****",
 "trustStoreType": "JKS",
 "writabilityMode": "enabled"
 },
 {
 "schemas": [
 "urn:unboundid:schemas:configuration:2.0:backend:alarm"
],
 "id": "alarms",
 "meta": {
 "resourceType": "Alarm Backend",
 "location": "http://localhost:5033/config/backends/alarms"
 },
 ...
 }
}

```

## PATCH Example

Configuration can be modified using the HTTP PATCH method. The PATCH request body is a JSON object formatted according to the SCIM patch request. The Configuration API, supports a subset of possible values for the path attribute, used to indicate the configuration attribute to modify.

The configuration object's attributes can be modified in the following ways. These operations are analogous to the `dsconfig modify-[object]` options.

- An operation to set the single-valued `description` attribute to a new value:

```

{
 "op" : "replace",
 "path" : "description",
 "value" : "A new backend."
}

```

is analogous to:

```

$ dsconfig set-backend-prop
 --backend-name userRoot \
 --set "description:A new backend"

```

- An operation to add a new value to the multi-valued `jeProperty` attribute:

```

{
 "op" : "add",
 "path" : "jeProperty",
 "value" : "je.env.backgroundReadLimit=0"
}

```

is analogous to:

```

$ dsconfig set-backend-prop --backend-name userRoot \
 --add je-property:je.env.backgroundReadLimit=0

```

- An operation to remove a value from a multi-valued property. In this case, path specifies a SCIM filter identifying the value to remove:

```

{

```

```

 "op" : "remove",
 "path" : "[jeProperty eq \"je.cleaner.adjustUtilization=false\"]"
 }
}

```

is analogous to:

```

$ dsconfig set-backend-prop --backend-name userRoot \
 --remove je-property:je.cleaner.adjustUtilization=false

```

- A second operation to remove a value from a multi-valued property, where the path specifies both an attribute to modify, and a SCIM filter whose attribute is value:

```

{
 "op" : "remove",
 "path" : "jeProperty[value eq \"je.nodeMaxEntries=32\"]"
}

```

is analogous to:

```

$ dsconfig set-backend-prop --backend-name userRoot \
 --remove je-property:je.nodeMaxEntries=32

```

- An option to remove one or more values of a multi-valued attribute. This has the effect of restoring the attribute's value to its default value:

```

{
 "op" : "remove",
 "path" : "id2childrenIndexEntryLimit"
}

```

is analogous to:

```

$ dsconfig set-backend-prop --backend-name userRoot \
 --reset id2childrenIndexEntryLimit

```

The following is the full example request. The API responds with the entire modified configuration object, which may include a SCIM extension attribute `urn:unboundid:schemas:configuration:messages` containing additional instructions:

```

PATCH /config/backends/userRoot
Host: example.com:5033
Accept: application/scim+json

{
 "schemas" : ["urn:ietf:params:scim:api:messages:2.0:PatchOp"],
 "Operations" : [{
 "op" : "replace",
 "path" : "description",
 "value" : "A new backend."
 }, {
 "op" : "add",
 "path" : "jeProperty",
 "value" : "je.env.backgroundReadLimit=0"
 }, {
 "op" : "remove",
 "path" : "[jeProperty eq \"je.cleaner.adjustUtilization=false\"]"
 }, {
 "op" : "remove",
 "path" : "jeProperty[value eq \"je.nodeMaxEntries=32\"]"
 }, {
 "op" : "remove",
 "path" : "id2childrenIndexEntryLimit"
 }]
}

```

Example response:

```
{
 "schemas": [
 "urn:unboundid:schemas:configuration:2.0:backend:local-db"
],
 "id": "userRoot2",
 "meta": {
 "resourceType": "Local DB Backend",
 "location": "http://example.com:5033/config/backends/userRoot2"
 },
 "backendID": "userRoot2",
 "backgroundPrime": "false",
 "backupFilePermissions": "700",
 "baseDN": [
 "dc=example2,dc=com"
],
 "checkpointOnCloseCount": "2",
 "cleanerThreadWaitTime": "120000",
 "compressEntries": "false",
 "continuePrimeAfterCacheFull": "false",
 "dbBackgroundSyncInterval": "1 s",
 "dbCachePercent": "10",
 "dbCacheSize": "0 b",
 "dbCheckpointIntervalBytes": "20 mb",
 "dbCheckpointIntervalHighPriority": "false",
 "dbCheckpointIntervalWakeup": "1 m",
 "dbCleanOnExplicitGC": "false",
 "dbCleanerMinUtilization": "75",
 "dbCompactKeyPrefixes": "true",
 "dbDirectory": "db",
 "dbDirectoryPermissions": "700",
 "dbEvictorCriticalPercentage": "0",
 "dbEvictorLruOnly": "false",
 "dbEvictorNodesPerScan": "10",
 "dbFileCacheSize": "1000",
 "dbImportCachePercent": "60",
 "dbLogFileMax": "50 mb",
 "dbLoggingFileHandlerOn": "true",
 "dbLoggingLevel": "CONFIG",
 "dbNumCleanerThreads": "0",
 "dbNumLockTables": "0",
 "dbRunCleaner": "true",
 "dbTxnNoSync": "false",
 "dbTxnWriteNoSync": "true",
 "dbUseThreadLocalHandles": "true",
 "deadlockRetryLimit": "10",
 "defaultCacheMode": "cache-keys-and-values",
 "defaultTxnMaxLockTimeout": "10 s",
 "defaultTxnMinLockTimeout": "10 s",
 "description": "123", "enabled": "false",
 "explodedIndexEntryThreshold": "4000",
 "exportThreadCount": "0",
 "externalTxnDefaultBackendLockBehavior": "acquire-before-retries",
 "externalTxnDefaultMaxLockTimeout": "100 ms",
 "externalTxnDefaultMinLockTimeout": "100 ms",
 "externalTxnDefaultRetryAttempts": "2",
 "hashEntries": "false",
 "importTempDirectory": "import-tmp",
 "importThreadCount": "16",
 "indexEntryLimit": "4000",
 "isPrivateBackend": "false",
 "javaClass": "com.unboundid.directory.server.backends.jeb.BackendImpl",
}
```

```

"jeProperty": ["\"je.env.backgroundReadLimit=0\""
],
"numRecentChanges": "50000",
"offlineProcessDatabaseOpenTimeout": "1 h",
"primeAllIndexes": "true",
"primeMethod": [
 "none"
],
"primeThreadCount": "2",
"primeTimeLimit": "0 ms",
"processFiltersWithUndefinedAttributeTypes": "false",
"returnUnavailableForUntrustedIndex": "true",
"returnUnavailableWhenDisabled": "true",
"setDegradedAlertForUntrustedIndex": "true",
"setDegradedAlertWhenDisabled": "true",
"subtreeDeleteBatchSize": "5000",
"subtreeDeleteSizeLimit": "5000",
"uncachedId2entryCacheMode": "cache-keys-only",
"writabilityMode": "enabled",
"urn:unboundid:schemas:configuration:messages:2.0": {
 "requiredActions": [
 {
 "property": "jeProperty",
 "type": "componentRestart",
 "synopsis": "In order for this modification to take effect,
 the component must be restarted, either by disabling and
 re-enabling it, or by restarting the server"
 },
 {
 "property": "id2childrenIndexEntryLimit",
 "type": "other",
 "synopsis": "If this limit is increased, then the contents
 of the backend must be exported to LDIF and re-imported to
 allow the new limit to be used for any id2children keys
 that had already hit the previous limit."
 }
]
}
}
}

```

## Configuration API Paths

The Configuration API is available under the /config path. A full listing of supported sub-paths is available by accessing the base /config/ResourceTypes endpoint:

```

GET /config/ResourceTypes
Host: example.com:5033
Accept: application/scim+json

```

Sample response (abbreviated):

```

{
 "schemas": [
 "urn:ietf:params:scim:api:messages:2.0:ListResponse"
],
 "totalResults": 520,
 "Resources": [
 {
 "schemas": [
 "urn:ietf:params:scim:schemas:core:2.0:ResourceType"
],
 "id": "dsee-compat-access-control-handler",
 "name": "DSEE Compat Access Control Handler",

```

```

 "description": "The DSEE Compat Access Control
 Handler provides an implementation that uses syntax
 compatible with the Sun Java System Directory Server
 Enterprise Edition access control handler.",
 "endpoint": "/access-control-handler",
 "meta": {
 "resourceType": "ResourceType",
 "location": "http://example.com:5033/config/ResourceTypes/dsee-compat-
access-control-handler"
 }
},
{
 "schemas": [
 "urn:ietf:params:scim:schemas:core:2.0:ResourceType"
],
 "id": "access-control-handler",
 "name": "Access Control Handler",
 "description": "Access Control Handlers manage the
 application-wide access control. The server's access
 control handler is defined through an extensible
 interface, so that alternate implementations can be created.
 Only one access control handler may be active in the server
 at any given time.",
 "endpoint": "/access-control-handler",
 "meta": {
 "resourceType": "ResourceType",
 "location": "http://example.com:5033/config/ResourceTypes/access-
control-handler"
 }
},
{
 ...

```

The response's endpoint elements enumerate all available sub-paths. The path `/config/access-control-handler` in the example can be used to get a list of existing access control handlers, and create new ones. A path containing an object name such as `/config/backends/{backendName}`, where `{backendName}` corresponds to an existing backend (such as `userRoot`) can be used to obtain an object's properties, update the properties, or delete the object.

Some paths reflect hierarchical relationships between objects. For example, properties of a local DB VLV index for the `userRoot` backend are available using a path like `/config/backends/userRoot/local-db-indexes/uid`. Some paths represent singleton objects, which have properties but cannot be deleted nor created. These paths can be differentiated from others by their singular, rather than plural, relation name (for example `global-configuration`).

## Sorting and Filtering Objects

The Configuration API supports SCIM parameters for filter, sorting, and pagination. Search operations can specify a SCIM filter used to narrow the number of elements returned. See the SCIM specification for the full set of operations for SCIM filters. Clients can also specify sort parameters, or paging parameters. Include or exclude attributes can be specified in both get and list operations.

| GET Parameter | Description                                                                                                                                                                                            |
|---------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| filter        | Values can be simple SCIM filters such as <code>id eq "userRoot"</code> or compound filters like <code>meta.resourceType eq "Local DB Backend"</code> and <code>baseDn co "dc=example,dc=com"</code> . |
| sortBy        | Specifies a property value by which to sort.                                                                                                                                                           |
| sortOrder     | Specifies either <code>ascending</code> or <code>descending</code> alphabetical order.                                                                                                                 |
| startIndex    | 1-based index of the first result to return.                                                                                                                                                           |

| GET Parameter | Description                               |
|---------------|-------------------------------------------|
| count         | Indicates the number of results per page. |

## Updating Properties

The Configuration API supports the HTTP PUT method as an alternative to modifying objects with HTTP PATCH. With PUT, the server computes the differences between the object in the request with the current version in the server, and performs modifications where necessary. The server will never remove attributes that are not specified in the request. The API responds with the entire modified object.

Request:

```
PUT /config/backends/userRoot
Host: example.com:5033
Accept: application/scim+json
{
 "description" : "A new description."
}
```

Response:

```
{
 "schemas": [
 "urn:unboundid:schemas:configuration:2.0:backend:local-db"
],
 "id": "userRoot",
 "meta": {
 "resourceType": "Local DB Backend",
 "location": "http://example.com:5033/config/backends/userRoot"
 },
 "backendID": "userRoot",
 "backgroundPrime": "false",
 "backupFilePermissions": "700",
 "baseDN": [
 "dc=example,dc=com"
],
 "checkpointOnCloseCount": "2",
 "cleanerThreadWaitTime": "120000",
 "compressEntries": "false",
 "continuePrimeAfterCacheFull": "false",
 "dbBackgroundSyncInterval": "1 s",
 "dbCachePercent": "25",
 "dbCacheSize": "0 b",
 "dbCheckpointInterval": "20 mb",
 "dbCheckpointHighPriority": "false",
 "dbCheckpointWakeupInterval": "30 s",
 "dbCleanOnExplicitGC": "false",
 "dbCleanerMinUtilization": "75",
 "dbCompactKeyPrefixes": "true",
 "dbDirectory": "db",
 "dbDirectoryPermissions": "700",
 "dbEvictorCriticalPercentage": "5",
 "dbEvictorLruOnly": "false",
 "dbEvictorNodesPerScan": "10",
 "dbFileCacheSize": "1000",
 "dbImportCachePercent": "60",
 "dbLogFileMax": "50 mb",
 "dbLoggingFileHandlerOn": "true",
 "dbLoggingLevel": "CONFIG",
 "dbNumCleanerThreads": "1",
 "dbNumLockTables": "0",
 "dbRunCleaner": "true",
```

```

"dbTxnNoSync": "false",
"dbTxnWriteNoSync": "true",
"dbUseThreadLocalHandles": "true",
"deadlockRetryLimit": "10",
"defaultCacheMode":
"cache-keys-and-values",
"defaultTxnMaxLockTimeout": "10 s",
"defaultTxnMinLockTimeout": "10 s",
"description": "abc",
"enabled": "true",
"explodedIndexEntryThreshold": "4000",
"exportThreadCount": "0",
"externalTxnDefaultBackendLockBehavior":
"acquire-before-retries",
"externalTxnDefaultMaxLockTimeout": "100 ms",
"externalTxnDefaultMinLockTimeout": "100 ms",
"externalTxnDefaultRetryAttempts": "2",
"hashEntries": "true",
"importTempDirectory": "import-tmp",
"importThreadCount": "16",
"indexEntryLimit": "4000",
"isPrivateBackend": "false",
"javaClass": "com.unboundid.directory.server.backends.jeb.BackendImpl",
"numRecentChanges": "50000", "offlineProcessDatabaseOpenTimeout": "1 h",
"primeAllIndexes": "true",
"primeMethod": [
 "none"
],
"primeThreadCount": "2",
"primeTimeLimit": "0 ms",
"processFiltersWithUndefinedAttributeTypes": "false",
"returnUnavailableForUntrustedIndex": "true",
"returnUnavailableWhenDisabled": "true",
"setDegradedAlertForUntrustedIndex": "true",
"setDegradedAlertWhenDisabled": "true",
"subtreeDeleteBatchSize": "5000",
"subtreeDeleteSizeLimit": "100000",
"uncachedId2entryCacheMode": "cache-keys-only",
"writabilityMode": "enabled"
}

```

## Administrative Actions

Updating a property may require an administrative action before the change can take effect. If so, the server will return 200 Success, and any actions are returned in the `urn:unboundid:schemas:configuration:messages:2.0` section of the JSON response that represents the entire object that was created or modified.

For example, changing the `jeProperty` of a backend will result in the following:

```

"urn:unboundid:schemas:configuration:messages:2.0": {
 "required-actions": [
 {
 "property": "baseContextPath",
 "type": "componentRestart",
 "synopsis": "In order for this modification to take effect, the
component
must be restarted, either by disabling and re-enabling it,
or
by restarting the server"
 },
 {
 "property": {

```

```

 "type": "other",
 "synopsis": "If this limit is increased, then the
 contents of the backend must be exported to LDIF
 and re-imported to allow the new limit to be used
 for any id2children keys that had already hit the
 previous limit."
 }
]
}

```

## Updating Servers and Server Groups

Servers can be configured as part of a server group, so that configuration changes that are applied to a single server, are then applied to all servers in a group. When managing a server that is a member of a server group, creating or updating objects using the Configuration API requires the `applyChangeTo` query attribute. The behavior and acceptable values for this parameter are identical to the `dsconfig` parameter of the same name. A value of `single-server` or `server-group` can be specified. For example:

```
http://localhost:8082/config/backends/userRoot?applyChangeTo=single-server
```

## Configuration API Responses

Clients of the API should examine the HTTP response code in order to determine the success or failure of a request. The following are response codes and their meanings:

| Response Code    | Description                                                                                                                                                                                                                                            | Response Body                                                  |
|------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------|
| 200 Success      | The requested operation succeeded, with the response body being the configuration object that was created or modified. If further actions are required, they are included in the <code>urn:unboundid:schemas:configuration:messages:2.0</code> object. | List of objects, or object properties, administrative actions. |
| 204 No Content   | The requested operation succeeded and no further information has been provided, such as in the case of a DELETE operation.                                                                                                                             | None.                                                          |
| 400 Bad Request  | The request contents are incorrectly formatted or a request is made for an invalid API version.                                                                                                                                                        | Error summary and optional message.                            |
| 401 Unauthorized | User authentication is required. Some user agents such as browsers may respond by prompting for credentials. If the request had specified credentials in an Authorization header, they are invalid.                                                    | None.                                                          |
| 403 Forbidden    | The requested operation is forbidden either because the user does not have sufficient privileges or some other constraint such as an object is edit-only and cannot be deleted.                                                                        | None.                                                          |
| 404 Not Found    | The requested path does not refer to an existing object or object relation.                                                                                                                                                                            | Error summary and optional message.                            |

| Response Code              | Description                                                                                                                                                                                                                                               | Response Body                       |
|----------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------|
| 409 Conflict               | The requested operation could not be performed due to the current state of the configuration. For example, an attempt was made to create an object that already exists, or an attempt was made to delete an object that is referred to by another object. | Error summary and optional message. |
| 415 Unsupported Media Type | The request is such that the Accept header does not indicate that JSON is an acceptable format for a response.                                                                                                                                            | None.                               |
| 500 Server Error           | The server encountered an unexpected error. Please report server errors to customer support.                                                                                                                                                              | Error summary and optional message. |

An application that uses the Configuration API should limit dependencies on particular text appearing in error message content. These messages may change, and their presence may depend on server configuration. Use the HTTP return code and the context of the request to create a client error message. The following is an example encoded error message:

```
{
 "schemas": [
 "urn:ietf:params:scim:api:messages:2.0:Error"
],
 "status": 404,
 "scimType": null,
 "detail": "The Local DB Index does not exist."
}
```

## Working with the Directory REST API

The Directory REST API is the native interface for client access to the PingDirectoryProxy Server. The Directory REST API gives developers, who are more comfortable with REST than LDAP, access to arbitrary directory data in a way that ensures directory data remains consistent regardless of whether it is accessed from LDAP or REST. The Directory API is enabled during server setup. After setup, individual services and applications can be enabled or disabled by configuring the HTTPS Connection Handler.

While both the Directory REST API and SCIM provide REST access to directory data, the goals of the two protocols are different. SCIM is useful to generic, external clients that require simple, narrow access to identity data. But because it is a less common standard for identity stores, it may not offer as much functionality or be as easy to use as the Directory REST API.

Rather than trying to manage directory hierarchy or require attribute mapping, the Directory REST API provides direct access to directory data in a way that is dynamic, discoverable, and efficient.

The Directory REST API can be used for the following operations:

| HTTP operation | Resource endpoint  | Description                            | Allowed query parameters |
|----------------|--------------------|----------------------------------------|--------------------------|
| DELETE         | /directory/v1/{dn} | Delete an entry.                       |                          |
| GET            | /directory/v1      | Get metadata about the API and server. |                          |

| HTTP operation | Resource endpoint                            | Description                                           | Allowed query parameters                                                                                                                                           |
|----------------|----------------------------------------------|-------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| GET            | /directory/v1/{dn}                           | Retrieve a single entry.                              | <ul style="list-style-type: none"> <li>expand</li> <li>includeAttributes</li> <li>excludeAttributes</li> </ul>                                                     |
| GET            | /directory/v1/{dn}/subtree                   | Search an entry's descendants.                        | <ul style="list-style-type: none"> <li>filter</li> <li>searchScope</li> <li>cursor</li> <li>limit</li> <li>includeAttributes</li> <li>excludeAttributes</li> </ul> |
| GET            | /directory/v1/schemas                        | Retrieve the schemas of all available object classes. |                                                                                                                                                                    |
| GET            | /directory/v1/schemas/{objectclass}          | Retrieve schema for object class.                     |                                                                                                                                                                    |
| GET            | /directory/v1/schemas/_operationalAttributes | Retrieve schema for operational attributes.           |                                                                                                                                                                    |
| GET            | /directory/v1/me                             | Alias for retrieving the current user.                |                                                                                                                                                                    |
| PATCH          | /directory/v1/{dn}                           | Modify an entry (add or delete values).               | expand                                                                                                                                                             |
| POST           | /directory/v1                                | Create a new entry.                                   | expand                                                                                                                                                             |
| PUT            | /directory/v1/{dn}                           | Modify or rename an entry.                            | expand                                                                                                                                                             |

The Directory REST API has the following properties, and can be configured with `dsconfig`:

- `basic-auth-enabled`: Specifies whether users can connect to the service with HTTP Basic authentication. If disabled, users will need a Bearer token. If changed, the server must be restarted, or any HTTP Connection Handlers referencing this service disabled and re-enabled. Basic auth is enabled by default.
- `identity-mapper`: If HTTP Basic authentication is enabled, the identity mapper referenced by this DN must be used to map the user names provided to user entries. By default, an identity mapper is provided, which maps a fully-qualified DN to an entry. The server must be restarted, or any HTTP Connection Handlers referencing this service disabled and re-enabled for changes to take effect.
- `access-token-validator`: Specifies the subset of this server's Access Token Validators (by DN), which may be used to validate Bearer authentication tokens. By default, if no validators are specified, then any of the validators on the server may be used. The server must be restarted, or any HTTP Connection Handlers referencing this service disabled and re-enabled for changes to take effect.
- `access-token-scope`: The scope which must be present in Bearer tokens in order to be accepted by this service. If no value is provided, Bearer token authentication is disabled, and only Basic authentication can be used. By default, no value is provided. Changes to this value take effect immediately.
- `audience`: A string or URI audience that must be present in Bearer tokens in order to be accepted by this service. If no value is provided, any audience is acceptable. By default, no value is provided. Changes to this value take effect immediately.

- `max-page-size`: The maximum number of entries to be returned in one page from the search endpoint (actual results returned may be lower due to the limit query parameter on the request and the actual number of available results). The value must be an integer between 1 and 1000. The default value is 100. Changes to this value take effect immediately.
- `schemas-endpoint-objectclass`: The list of object classes that will be returned by the `/schemas/` endpoint in the REST API. By default, no schemas are returned. Changes to this value take effect immediately.

The following example uses `dsconfig` to configure an `objectClass` entity:

```
dsconfig set-http-servlet-extension-props --extension-name "Directory REST
API" \
 --add schemas-endpoint-objectclass:ubidPerson
```

## Generating a Summary of Configuration Components

---

The Directory Proxy Server provides a `config-diff` tool that generates a summary of the configuration in a local or remote directory server instance. The tool is useful when comparing configuration settings on the directory server instance when troubleshooting issues or when verifying configuration settings on newly-added servers to your network. The tool can interact with the local configuration regardless of whether the server is running or not.

Run the `config-diff --help` option to view other available tool options.

### To Generate a Summary of Configuration Components

#### Steps

- Run the `config-diff` tool to generate a summary of the configuration components on the directory server instance. The following command runs a summary on a local online server.

```
$ bin/config-diff
```

- The following example compares the current configuration of the local server to the baseline, pre-installation configuration, ignoring any changes that could be made by the installer, and writes the output to the `configuration-steps.dsconfig` file. This provides a script that can be used to configure a newly installed server identically to the local server:

```
$ bin/config-diff --sourceLocal \
 --sourceBaseline \
 --targetLocal \
 --exclude differs-after-install \
 --outputFile configuration-steps.dsconfig
```

## Configuring Server Groups

---

The PingDirectoryProxy Server provides a mechanism for setting up administrative domains that synchronize configuration changes among servers in a server group. After you have set up a server group, you can make an update on one server using `dsconfig`, then you can apply the change to the other servers in the group using the `--applyChangeTo server-group` option of the `dsconfig non-interactive` command. If you want to apply the change to one server in the group, use the `--applyChangeTo single-server` option. When using `dsconfig` in interactive command-line mode, you will be asked if you want to apply the change to a single server or to all servers in the server group.

## About the Server Group Example

You can create an administrative server group using the `dsconfig` tool. The general process is to create a group, add servers to the group, and then set a global configuration property to use the server group. If you are configuring a replication topology, then you must configure the replicas to be in a server group as outlined in Replication Configuration.

The following example procedure adds three Directory Proxy Server instances into the server group labelled "group-one".

## To Create a Server Group

### Steps

1. Create a group called "group-one" using `dsconfig`.

```
$ bin/dsconfig create-server-group --group-name group-one
```

2. Add any directory server to the server group. If you have set up replication between a set of servers, these server entries will have already been created by the `dsreplication enable` command.

```
$ bin/dsconfig set-server-group-prop \
 --group-name group-one --add member:server1
```

```
$ bin/dsconfig set-server-group-prop \
 --group-name group-one --add member:server2
```

```
$ bin/dsconfig set-server-group-prop \
 --group-name group-one --add member:server3
```

3. Set a global configuration property for each of the servers that should share changes in this group.

```
$ bin/dsconfig set-global-configuration-prop \
 --set configuration-server-group:group-one
```

4. Test the server group. In this example, enable the log publisher for each directory server in the group, `server-group`, by using the `--applyChangeTo server-group` option.

```
$ bin/dsconfig set-log-publisher-prop \
 --publisher-name "File-Based Audit Logger" \
 --set enabled:true \
 --applyChangeTo server-group
```

5. View the property on the first directory server instance.

```
$ bin/dsconfig get-log-publisher-prop \
 --publisher-name "File-Based Audit Logger" \
 --property enabled
```

```
Property : Value(s)
-----:-----
enabled : true
```

6. Repeat step 5 on the second and third directory server instance.
7. Test the server group by disabling the log publisher on the first directory server instance by using the `--applyChangeTo single-server`.

```
$ bin/dsconfig set-log-publisher-prop \
 --publisher-name "File-Based Audit Logger" \
 --set enabled:disabled \
 --applyChangeTo single-server
```

8. View the property on the first directory server instance. The first directory server instance should be disabled.

```
$ bin/dsconfig get-log-publisher-prop \
 --publisher-name "File-Based Audit Logger" \
 --property enabled
```

```
Property : Value(s)
-----:-----
enabled : false
```

9. View the property on the second directory server instance. Repeat this step on the third directory server instance to verify that the property is still enabled on that server.

```
$ bin/dsconfig get-log-publisher-prop \
 --publisher-name "File-Based Audit Logger" \
 --property enabled
```

```
Property : Value(s)
-----:-----
enabled : true
```

## Domain Name Service (DNS) Caching

---

If needed, two global configuration properties can be used to control the caching of host name-to-numeric IP address (DNS lookup) results returned from the name resolution services of the underlying operating system. Use the `dsconfig` tool to configure these properties.

- **network-address-cache-ttl** – Sets the Java system property `networkaddress.cache.ttl`, and controls the length of time in seconds that a host name-to-IP address mapping can be cached. The default behavior is to keep resolution results for one hour (3600 seconds). This setting applies to the server and all extensions loaded by the server.
- **network-address-outage-cache-enabled** – Caches host name-to-IP address results in the event of a DNS outage. This is set to true by default, meaning name resolution results are cached. Unexpected service interruptions may occur during planned or unplanned maintenance, network outages or an infrastructure attack. This cache may allow the server to function during a DNS outage with minimal impact. This cache is not available to server extensions.

## IP Address Reverse Name Lookups

---

PingDirectoryProxy Server does not explicitly perform numeric IP address-to-host name lookups. However, address masks configured in Access Control Lists (ACIs), Connection Handlers, Connection Criteria, and Certificate handshake processing may trigger implicit reverse name lookups. For more information about how address masks are configured in the server, review the following information for each server:

- ACI dns: bind rules under *Managing Access Control* (Directory Server and Directory Proxy Server)
- ds-auth-allowed-address: *Adding Operational Attributes that Restrict Authentication* (Directory Server)
- Connection Criteria: *Restricting Server Access Based on Client IP Address* (Directory Server and Directory Proxy Server)
- Connection Handlers: restrict server access using Connection Handlers (Configuration Reference Guide for all servers)

## Configuring Traffic Through a Load Balancer

---

If a PingDirectoryProxy Server is sitting behind an intermediate HTTP server, such as a load balancer, a reverse proxy, or a cache, then it will log incoming requests as originating with the intermediate HTTP server instead of the client that actually sent the request. If the actual client's IP address must be

recorded to the trace log, enable `X-Forwarded-*` handling in both the intermediate HTTP server and PingDirectoryProxy Server. For PingDirectoryProxy Servers:

- Edit the appropriate Connection Handler object (HTTPS or HTTP), and set `use-forwarded-headers` to `true`.
- When `use-forwarded-headers` is set to `true`, the server will use the client IP address and port information in the `X-Forwarded-*` headers instead of the address and port of the entity that's actually sending the request, the load balancer. This client address information will show up in logs where one would normally expect it to show up, such as in the `from` field of the HTTP REQUEST and HTTP RESPONSE messages.

On the load balancer, configure settings to provide the `X-Forwarded-*` information, such as `X-Forwarded-Host`:. See the product documentation for the device type.

## Managing Root Users Accounts

The PingDirectoryProxy Server provides a default root user, `cn=Directory Manager`, that is stored in the server's configuration file (for example, under `cn=Root DNs,cn=config`). The root user is the LDAP-equivalent of a UNIX super-user account and inherits its read-write privileges from the default root privilege set. Root users can be created and updated with the `dsconfig` tool. Root user entries are stored in the server's configuration. The following is a sample command to create a new root user:

```
bin/dsconfig create-root-dn-user --user-name "Joanne Smith" \
 --set last-name:Smith \
 --set first-name:Joanne \
 --set user-id:jsmith \
 --set 'email-address:jsmith@example.com' \
 --set mobile-telephone-number:8889997777 \
 --set home-telephone-number:5556667777 \
 --set work-telephone-number:4445556666
```

To limit full access to all of the Directory Proxy Server, create separate administrator accounts with limited privileges so that you can identify the administrator responsible for a particular change. Having separate user accounts for each administrator also makes it possible to enable password policy functionality (such as password expiration, password history, and requiring secure authentication) for each administrator.

## Default Root Privileges

The PingDirectoryProxy Server contains a privilege subsystem that allows for a more fine-grained control of privilege assignments.

**Note:** Creating restricted root user accounts requires assigning privileges and necessary access controls for actions on specific data or backends. Access controls are determined by how the directory is configured and the structure of your data. See Chapter 16: Managing Access Controls for more information.

The following set of root privileges are available to each root user DN:

**Table 2: Default Root Privileges**

| Privilege           | Description                                                         |
|---------------------|---------------------------------------------------------------------|
| audit-data-security | Allows the associated user to execute data security auditing tasks. |
| backend-backup      | Allows the user to perform backend backup operations.               |
| backend-restore     | Allows the user to perform backend restore operations.              |
| bypass-acl          | Allows the user to bypass access control evaluation.                |
| config-read         | Allows the user to read the server configuration.                   |

| Privilege                               | Description                                                                                                                                                               |
|-----------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| config-write                            | Allows the user to update the server configuration.                                                                                                                       |
| disconnect-client                       | Allows the user to terminate arbitrary client connections.                                                                                                                |
| ldif-export                             | Allows the user to perform LDIF export operations.                                                                                                                        |
| ldif-import                             | Allows the user to perform LDIF import operations.                                                                                                                        |
| lockdown-mode                           | Allows the user to request a server lockdown.                                                                                                                             |
| manage-topology                         | Allows the user to modify topology setting.                                                                                                                               |
| metrics-read                            | Allows the user to read server metrics.                                                                                                                                   |
| modify-acl                              | Allows the user to modify access control rules.                                                                                                                           |
| password-reset                          | Allows the user to reset user passwords but not their own. The user must also have privileges granted by access control to write the user password to the target entry.   |
| permit-get-password-policy-state-issues | Allows the user to access password policy state issues.                                                                                                                   |
| privilege-change                        | Allows the user to change the set of privileges for a specific user, or to change the set of privileges automatically assigned to a root user.                            |
| server-restart                          | Allows the user to request a server restart.                                                                                                                              |
| server-shutdown                         | Allows the user to request a server shutdown.                                                                                                                             |
| soft-delete-read                        | Allows the user access to soft-deleted entries.                                                                                                                           |
| stream-values                           | Allows the user to perform a stream values extended operation that obtains all entry DNs and/or all values for one or more attributes for a specified portion of the DIT. |
| third-party-task                        | Allows the associated user to invoke tasks created by third-party developers.                                                                                             |
| unindexed-search                        | Allows the user to perform an unindexed search in the Oracle Berkeley DB Java Edition backend.                                                                            |
| update-schema                           | Allows the user to update the server schema.                                                                                                                              |
| use-admin-session                       | Allows the associated user to use an administrative session to request that operations be processed using a dedicated pool of worker threads.                             |

The Directory Proxy Server provides other privileges that are not assigned to the root user DN by default but can be added using the `ldapmodify` tool (see [Modifying Individual Root User Privileges](#)) for more information.

**Table 3: Other Available Privileges**

| Privilege        | Description                                                                                                                                                                                                 |
|------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| bypass-pw-policy | Allows the associated user bypass password policy rules and restrictions.                                                                                                                                   |
| bypass-read-aci  | Allows the associated user to bypass access control checks performed by the server for bind, compare, and search operations. Access control evaluation may still be enforced for other types of operations. |

| Privilege                                  | Description                                                            |
|--------------------------------------------|------------------------------------------------------------------------|
| jmx-notify                                 | Allows the associated user to subscribe to receive JMX notifications.  |
| jmx-read                                   | Allows the associated user to perform JMX read operations.             |
| jmx-write                                  | Allows the associated user to perform JMX write operations.            |
| permit-externally-processed-authentication | Allows the associated user accept externally processed authentication. |
| permit-proxied-mschapv2-details            | Allows the associated user to permit MS-CHAP V2 handshake protocol.    |
| proxied-auth                               | Allows the associated user to accept proxied authorization.            |

## Configuring Locations

PingDirectoryProxy Server defines locations, both for the LDAP external servers and the proxy server instances themselves. A location defines a collection of servers that share access and latency characteristics. For example, your deployment might include two data centers, one in the east and one in the west. These data centers would be configured as two locations in the Directory Proxy Server. Each location is associated with a name and an ordered list of failover locations, which could be used if none of the servers in the preferred location are available. You can define these locations using the Administrative Console or the command line.

The Directory Proxy Server itself is also associated with a location. This location is specified in the global configuration properties of the Directory Proxy Server. If the load balancing algorithm's `use-location` property is set to true, then the load balancing component of the Directory Proxy Server refers to the Directory Proxy Server's location to determine the external servers it prefers to communicate with.

## To Configure Locations Using dsconfig

### Steps

1. Use the `dsconfig` tool to configure the LDAP external server locations.

```
$ bin/dsconfig
```

2. Type the host name or IP address for your Directory Proxy Server, or press **Enter** to accept the default, localhost.

```
Directory Proxy Server host name or IP address [localhost]:
```

3. Type the number corresponding how you want to connect to the Directory Proxy Server, or press **Enter** to accept the default, LDAP.

```
How do you want to connect?
```

- ```
1) LDAP
2) LDAP with SSL
3) LDAP with StartTLS
```

4. Type the port number for your Directory Proxy Server, or press **Enter** to accept the default, 389.

```
Directory Proxy Server port number [389]:
```

5. Type the administrator's bind DN or press **Enter** to accept the default (`cn=Directory Manager`), and then type the password.

```
Administrator user bind DN [cn=Directory Manager]:
Password for user 'cn=Directory Manager':
```

6. In the Directory Proxy Server main menu, enter the number corresponding to location configuration. Then, enter the number to create a new location.
7. Enter the name of the new location. This example demonstrates configuring a location called East. Enter **f** to finish configuring the location. Repeat this procedure to create a location called West.

```
>>>> Enter a name for the location that you want to create: east
```

```
>>>> Configure the properties of the location
```

Property	Value(s)
1) description	-
2) preferred-failover-location	-
?) help	
f) finish - create the new location	
d) display the equivalent dsconfig arguments to create this object	
b) back	
q) quit	

```
Enter choice [b]: f
```

8. Next, edit the configuration of an existing location, in this example a location named East.

```
>>>> Location menu
What would you like to do?
```

- 1) List existing locations
- 2) Create a new location
- 3) View and edit an existing location
- 4) Delete an existing location

b) back
q) quit

```
Enter choice [b]: 3
```

```
>>>> Select the location from the following list:
```

- 1) East
- 2) West

b) back
q) quit

```
Enter choice [b]: 1
```

9. Define the preferred failover location property for East. This property provides alternate locations that can be used if servers in this location are not available. If more than one location is provided, the Directory Proxy Server tries the locations in the order listed.

```
>>>> Configure the properties of the Location
```

Property	Value(s)
1) description	-
2) preferred-failover-location	-
?) help	
f) finish - create the new location	
d) display the equivalent dsconfig arguments to create this object	
b) back	
q) quit	

```

Enter choice [b]: 2
...
Do you want to modify the 'preferred-failover-location' property?

  1) Add one or more values

  ?) help
  q) quit

Enter choice [1]: 2

Select the locations you wish to add:

  1) East
  2) West
  3) Create a new location
  4) Add all locations

...

Enter one or more choices separated by commas[b]: 2

```

10. Verify and apply your change to the property.

```

Do you want to modify the 'preferred-failover-location' property?

  1) Use the value: West
  2) Add one or more values
  3) Remove one or more values
  4) Leave undefined
  5) Revert changes

  ?) help
  q) quit

Enter choice [1]:

>>>> Configure the properties of the location

  Property                                Value(s)
  -----                                -
  1) description                            -
  2) preferred-failover-location            West

  ?) help
  f) finish - apply any changes to the Location
  d) display the equivalent dsconfig command lines to either
    re-create this object or only to apply pending changes
  b) back
  q) quit

Enter choice [b]: f

```

11. Repeat steps 8 and 9 for the West location, assigning it a failover location of East.

To Modify Locations Using dsconfig

Steps

1. Use the `dsconfig` tool to configure the LDAP external server locations.

```
$ bin/dsconfig
```

2. Type the host name or IP address for your Directory Proxy Server, or press **Enter** to accept the default, localhost.

```
Directory Proxy Server host name or IP address [localhost]:
```

3. Type the number corresponding how you want to connect to the Directory Proxy Server, or press **Enter** to accept the default, LDAP.

```
How do you want to connect?
```

- 1) LDAP
- 2) LDAP with SSL
- 3) LDAP with StartTLS

4. Type the port number for your Directory Proxy Server, or press **Enter** to accept the default, 389.

```
Directory Proxy Server port number [389]:
```

5. Type the administrator's bind DN or press **Enter** to accept the default (cn=Directory Manager), and then type the password.

```
Administrator user bind DN [cn=Directory Manager]:
```

```
Password for user 'cn=Directory Manager':
```

6. In the Directory Proxy Server main menu, enter the number corresponding to Global Configuration. Then enter the number to view and edit the Global Configuration.
7. Enter the number associated with the location configuration property.

```
Enter choice [b]: 2
```

8. Specify a new location for this Directory Proxy Server instance, in this example the East location. Operations involving communications with other servers may prefer servers in the same location to ensure low-latency responses.

```
>>>> Configuring the 'location' property
```

```
...
```

```
Do you want to modify the 'location' property?
```

- 1) Leave undefined
- 2) Change it to the location: East
- 3) Change it to the location: West
- 4) Create a new location

```
b) back
```

```
q) quit
```

```
Enter choice [b]: 2
```

9. Enter **f** to finish the operation.

```
Enter choice [b]: f
```

Configuring Batched Transactions

You can configure the Directory Proxy Server to use batched transactions in both simple and entry-balanced configurations. The batched transactions feature supports two implementations: the standard LDAP transactions per RFC 5805 and the PingDirectoryProxy Server proprietary implementation, known as the *multi-update extended operation*. Batched transactions can be used through the Directory Proxy Server in both simple and entry-balanced configurations although only in cases in which all operations

within the transaction request may be processed within the same backend server and within the same Berkeley DB JE backend. Batched transactions cannot be processed across multiple servers or multiple Directory Server backends.

The multi-update extended operation makes it possible to submit multiple updates in a single request. These updates may be processed either as individual operations or as a single atomic unit. When the Directory Proxy Server receives a Start Batched Transaction request, it will queue all associated operations in memory until the End Batched Transaction request is received with the intention to commit, at which point the set of operations is sent as a single multi-update extended request to the Directory Server.

Add, delete, modify, modify DN, and password modify extended operations may be included in the set of operations processed during a batch transaction. The operations are processed sequentially in the order in which they were included in the extended request. If an error occurs while processing an operation in the set, then the server can be instructed to continue the processing or to cancel any remaining operations. If the operations are not cancelled, you can configure the server to process all operations as a single atomic unit.

Because of this use of multi-update, the external Directory Server must be configured to allow multi-update extended requests made by the Directory Proxy Server on behalf of the DN submitting the batched transaction. For example, the following Directory Server `dsconfig` command grants anonymous access to the multi-update extended request. The submitter of the request still needs access rights for the individual operations within the multiple-update.

```
$ bin/dsconfig set-access-control-handler-prop \
  --add 'global-aci:(extop="1.3.6.1.4.1.30221.2.6.17")(version 3.0;
  acl "Anonymous access to multi-update extended request"; allow (read)
  userdn="ldap:///anyone";)'
```

To Configure Batched Transactions

About this task

Batched transactions are managed by the Batched Transactions Extended Operation Handler. You can use it to configure the start transaction and end transaction operations used to indicate the set of add, delete, modify, modify DN, and/or password modify operations as a single atomic unit.

Steps

1. You can configure batched transactions using the `dsconfig` command as follows:

```
$ bin/dsconfig set-extended-operation-handler-prop \
  --handler-name "Batched Transactions" \
  --set enabled:true
```

2. Configure the external servers to allow the multi-update extended operation by granting access rights to the feature. See example in the previous section.

Configuring Server Health Checks

You can use the PingDirectoryProxy Server to configure different types of health checks for your deployment. The health checks define external server availability as either being available, unavailable, or degraded. The external server health is given a value from 0 to 10, which is used to determine if the server is available and how that server compares to other servers with the same state. Load-balancing algorithms can be used to check the score and prefer servers with higher scores over those with lower scores.

An individual health check can be defined for use against all external servers or assigned to individual external servers, as determined by the `use-for-all-servers` parameter within the health check configuration object. If `use-for-all-servers` is set to `true`, the Directory Proxy Server applies the health check to all external servers in all locations. If `use-for-all-servers` is set to `false`, then the

health check is only employed against an external server if the configuration object for that external server lists the health check.

For more information about health checks and the type of health checks supported by PingDirectoryProxy Server, see [About LDAP Health Checks](#).

About the Default Health Checks

By default, the Directory Proxy Server has two health check instances enabled for use on all servers:

- **Consume Admin Alerts.** This health check detects administrative alerts from the Directory Server, as soon as they are issued, by maintaining an LDAP persistent search for changes within the `cn=alerts` branch of the Directory Server. When the Directory Proxy Server is notified by the Directory Server of a new alert, it immediately retrieves the base `cn=monitor` entry of the Directory Server. If this entry has a value for the `unavailable-alert-type` attribute, then the Directory Proxy Server will consider it unavailable. If this entry has a value for the `degraded-alert-type` attribute, then the Directory Proxy Server will consider it degraded.
- **Get Root DSE.** This health check detects if the root DSE entry exists on the LDAP external server. As this entry always exists on a PingDirectory Server, the absence of the entry suggests that the LDAP external server may be degraded or unavailable.

About Creating a Custom Health Check

You can create a new health check from scratch or use an existing health check as a template for the configuration of a new health check. If you choose to create a custom health check, you can create one of the following types:

- **Admin Alert Health Check.** This health check watches for administrative alerts generated by the LDAP external server to determine whether the server has entered a degraded or unavailable state.
- **Groovy Scripted LDAP Health Check.** This health check allows you to create custom LDAP health checks in a dynamically-loaded Groovy script, which implements the `ScriptedLDAPHealthCheck` class defined in the Server SDK.
- **Replication Backlog Health Check.** While the Admin Alert Health Check consumes replication backlog alerts emitted from external servers, a finer definition of external server health based on replication backlog can be defined with this health check. If a server falls too far behind in replication, then the Directory Proxy Server can stop sending requests to it. A server is classified as degraded or unavailable if the threshold is reached for the number of backlogged changes, the age of the oldest backlogged change, or both.
- **Search LDAP Health Check.** This health check performs searches on an LDAP external server and gauges the health of the server depending if the expected results were returned within an acceptable response time. For example, if an error occurs while attempting to communicate with the server, then the server is considered unavailable. You can also apply filters to the results to use values within the monitor entry as indicators of server health.
- **Third Party LDAP Health Check.** This health check allows you to define LDAP health check implementations in third-party code using the Server SDK.
- **Work Queue Busyness Health Check.** This health check may be used to monitor the percentage of time that worker threads in backend servers spend processing requests.

To Configure a Health Check Using dsconfig

Steps

1. Use the `dsconfig` tool to configure the LDAP external server locations.

```
$ bin/dsconfig
```

2. Type the host name or IP address for your Directory Proxy Server, or press **Enter** to accept the default, `localhost`.

```
Directory Proxy Server host name or IP address [localhost]:
```

3. Type the number corresponding how you want to connect to the Directory Proxy Server, or press **Enter** to accept the default, LDAP.

```
How do you want to connect?
```

- ```
1) LDAP
2) LDAP with SSL
3) LDAP with StartTLS
```

4. Type the port number for your Directory Proxy Server, or press **Enter** to accept the default, 389.

```
Directory Proxy Server port number [389]:
```

5. Type the administrator's bind DN or press **Enter** to accept the default (cn=Directory Manager), and then type the password.

```
Administrator user bind DN [cn=Directory Manager]:
```

```
Password for user 'cn=Directory Manager':
```

6. In the Directory Proxy Server main menu, enter the number corresponding to LDAP health checks. Enter the number to create a new LDAP Health Check, then press **n** to create a new health check from scratch.
7. Select the type of health check you want to create. This example demonstrates the creation of a new search LDAP health check.

```
>>> Select the type of LDAP Health Check that you want to create:
```

- ```
1) Admin Alert LDAP Health Check
2) Custom LDAP Health Check
3) Groovy Scripted LDAP Health Check
4) Replication Backlog LDAP Health Check
5) Search LDAP Health Check
6) Third Party LDAP Health Check
7) Work Queue Busyness LDAP Health Check

?) help
c) cancel
q) quit
```

```
Enter choice [c]: 5
```

8. Specify a name for the new health check. In this example, the health check is named Get example.com.

```
>>>> Enter a name for the search LDAP Health Check that you want to create:
Get example.com
```

9. Enable the new health check.

```
>>>> Configuring the 'enabled' property
```

```
Indicates whether this LDAP health check is enabled for use in the server.
```

```
Select a value for the 'enabled' property:
```

- ```
1) true
2) false

?) help
c) cancel
q) quit
```

```
Enter choice [c]: 1
```

10. Next, configure the properties of the health check. You may need to modify the `base-dn` property, as well as one or more response time thresholds for non-local external servers, accommodating WAN latency. Below is a Search LDAP Health Check for the single entry `dc=example,dc=com`, which allows non-local responses of up to 2 seconds to still be considered healthy.

```
>>>> Configure the properties of the Search LDAP Health Check

 Property Value(s)

1) description -
2) enabled true
3) use-for-all-servers false
4) base-dn "dc=example,dc=com"
5) scope base-object
6) filter (objectClass=*)
7) maximum-local-available-response-time 1 s
8) maximum-nonlocal-available-response-time 2 s
9) minimum-local-degraded-response-time 500 ms
10) minimum-nonlocal-degraded-response-time 1 s
11) maximum-local-degraded-response-time 10 s
12) maximum-nonlocal-degraded-response-time 10 s
13) minimum-local-unavailable-response-time 5 s
14) minimum-nonlocal-unavailable-response-time 5 s
15) allow-no-entries-returned true
16) allow-multiple-entries-returned true
17) available-filter -
18) degraded-filter -
19) unavailable-filter -

?) help
f) finish - create the new Search LDAP Health Check
d) display the equivalent dsconfig arguments to create this object
b) back
q) quit
```

## Configuring LDAP External Servers

The LDAP external server configuration element defines the connection, location, and health check information necessary for the Directory Proxy Server to communicate with the server properly.

PingDirectoryProxy Server includes a tool, `prepare-external-server`, for configuring communication between the Directory Proxy Server and the LDAP backend server. After you add a new LDAP external server to an existing installation, we strongly recommend that you run this tool to automatically create the user account necessary for communications. The `prepare-external-server` tool does not make configuration changes to the local Directory Proxy Server, only the external server is modified. When you run this tool, you must supply the user account and password that you specified for the Directory Proxy Server during configuration, `cn=Proxy User` by default.

**Important:** You should not use `cn=Directory Manager` as the account to use for communication between the Directory Proxy Server and the Directory Server. For security reasons, the account used to communicate between the Directory Proxy Server and the Directory Server should not be directly accessible by clients accessing the Directory Proxy Server. The account that you choose should meet the following criteria:

- For all server types, it should not exist in the Directory Proxy Server but only in the backend directory server instances.
- For Ping Identity Directory Server, this user should be a root user.
- For Ping Identity Directory Server, this user should not automatically inherit the default set of root privileges, but instead should have exactly the following set of privileges: `bypass-read-acl`, `config-read`, `lockdown-mode`, `proxied-auth`, and `stream-values`.

- For Sun Directory Servers, the account should be created below the `cn=Root DNs,cn=config` entry and the `nsSizeLimit`, `nsTimeLimit`, `nsLookThroughLimit`, and `nsIdleTimeout` values for the account should be set to -1. You also need to create access control rules to grant the user account appropriate permissions within the server. The `prepare-external-server` tool handles all of this work automatically.

## About the prepare-external-server Tool

Use the `prepare-external-server` tool if you have added LDAP external servers using `dsconfig`. The `create-initial-proxy-config` tool automatically runs the `prepare-external-server` tool to configure server communications so that you do not need to invoke it separately. The `create-initial-proxy-config` tool verifies that the proxy user account exists and has the correct password and required privileges. If it detects any problems, it prompts for manager credentials to rectify them.

If you want the `prepare-external-server` tool to add the LDAP external server's certificates to the Directory Proxy Server's trust store, you must include the `--proxyTrustStorePath` option, and either the `--proxyTrustStorePassword` or the `--proxyTrustStorePasswordFile` option. The default location of the Directory Proxy Server trust store is `config/truststore`. The pin is encoded in the `config/truststore.pin` file.

For example, run the tool as follows to prepare a PingDirectory Server on the remote host, `ds-east-01.example.com`, listening on port 1389 for access by the Directory Proxy Server using the default user account `cn=Proxy User`:

```
prepare-external-server --hostname ds-east-01.example.com \
--port 1389 --baseDN dc=example,dc=com --proxyBindPassword secret
```

When the `prepare-external-server` command above is executed, it creates the `cn=Proxy User` Root DN entry as well as an access control rule in the Directory Server to grant the proxy user the proxy access right.

**Note:** For non-Ping Identity servers, the `--baseDN` argument is required for the `prepare-external-server` tool. The base DN is used to create the global ACL entries for these servers.

## To Configure Server Communication Using the prepare-external-server Tool

### About this task

The following example illustrates how to run the `prepare-external-server` tool to prepare a Directory Server on the remote host, `ds-east-01.example.com`, listening on port 1636. The Directory Server is being accessed by a Directory Proxy Server that uses the default user account `cn=Proxy User,cn=Root DNs,cn=config`. Since a password to the truststore is not provided, the truststore defined in the `--proxyTrustStorePath` is referenced in a read-only manner.

### Steps

- Use the `prepare-external-server` tool to prepare the Directory Server. Follow the prompts to set up the external server.

```
$./PingDirectoryProxy/bin/prepare-external-server \
--baseDN dc=example,dc=com
--proxyBindPassword password \
--hostname ds-east-01.example.com \
--useSSL \
--port 1636
--proxyTrustStorePath /full/path/to/trust/store \
--proxyTrustStorePassword secret
```

```
Testing connection to ds-east-01.example.com:1636
```

```

Do you wish to trust the following certificate?

Certificate Subject: CN=ds-east-01.example.com, O=Example Self-Signed
Certificate
Issuer Subject: CN=ds-east-01.example.com, O=Example Self-Signed
Certificate
Validity: Thu May 21 08:02:30 CDT 2009 to Wed May 16 08:02:30 CDT
2029

Enter 'y' to trust the certificate or 'n' to reject it.

y

The certificate was added to the local trust store

Done
Testing 'cn=Proxy User' access to ds-east-01.example.com:1636 Failed
to bind as
'cn=Proxy User'

Would you like to create or modify root user 'cn=Proxy User' so that it is
available
for this Directory Proxy Server? (yes / no) [yes]:

Enter the DN of an account on ds-east-01.example.com:1636 with which to
create or
manage the 'cn=Proxy User' account [cn=Directory Manager]:

Enter the password for 'cn=Directory Manager':

Created 'cn=Proxy User,cn=Root DNs,cn=config'

Testing 'cn=Proxy User' privileges Done

```

## To Configure an External Server Using dsconfig

### Steps

1. Use the `dsconfig` tool to create and configure external servers. Then, specify the host name, connection method, port number, and bind DN as described in previous procedures.

```
$ bin/dsconfig
```

2. In the Directory Proxy Server main menu, enter the number corresponding to external servers. Then, enter the number to create a new external server.
3. Select the type of server you want to create. This example creates a new Ping Identity Directory Server.

```

>>>> Select the type of external server that you want to create:

 1) Ping Identity DS external server
 2) JDBC external server
 3) LDAP external server
 4) Sun DS external server

 ?) help
 c) cancel
 q) quit

Enter choice [c]: 1

```

4. Specify a name for the new external server. In this example, the external server is named `east1`.

```
>>>> Enter a name for the Ping Identity DS external server that you want
to create: east1
```

5. Configure the host name or IP address of the target LDAP external server.

```
Enter a value for the 'server-host-name' property: east1.example.com
```

6. Next, configure the location property of the new external server.

```
Do you want to modify the 'location' property?
```

- 1) Leave undefined
- 2) Change it to the location: East
- 3) Change it to the location: West
- 4) Create a new location

```
?) help
```

```
q) quit
```

```
Enter choice [1]: 2
```

7. Next, define the bind DN and bind password.

```
Do you want to modify the 'bind-dn' property?
```

- 1) Leave undefined
- 2) Change the value

```
?) help
```

```
q) quit
```

```
Enter choice [1]: 2
```

```
Enter a value for the 'bind-dn' property [continue]: cn=Proxy User,cn=Root
DNs,cn=config
```

```
Enter choice [b]: 6
```

```
...
```

```
Do you want to modify the 'password' property?
```

- 1) Leave undefined
- 2) Change the value

```
?) help
```

```
q) quit
```

```
Enter choice [1]: 2
```

```
Enter a value for the 'password' property [continue]:
```

```
Confirm the value for the 'password' property:
```

8. Enter `f` to finish the operation.

```
Enter choice [b]: f
```

```
The Ping Identity DS external server was created successfully.
```

Once you have completed adding the server, run the `prepare-external-server` tool to configure communications between the Directory Proxy Server and the Ping Identity Directory Server(s).

## To Configure Authentication with a SASL External Certificate

### About this task

By default, the Directory Proxy Server authenticates to the Directory Server using LDAP simple authentication (with a bind DN and a password). However, the Directory Proxy Server can be configured to use SASL EXTERNAL to authenticate to the Directory Server with a client certificate.

Have Directory Proxy Server instances installed and configured to communicate with the backend Directory Server instances using either SSL or StartTLS. After the servers are configured, perform the following steps to configure SASL EXTERNAL authentication.

### Steps

1. Create a JKS keystore that includes a public and private key pair for a certificate that the Directory Proxy Server instance(s) will use to authenticate to the Directory Server instance(s). Run the following command in the instance root of one of the Directory Proxy Server instances. When prompted for a keystore password, enter a strong password to protect the certificate. When prompted for the key password, press **ENTER** to use the keystore password to protect the private key:

```
$ keytool -genkeypair \
 -keystore config/proxy-user-keystore \
 -storetype JKS \
 -keyalg RSA \
 -keysize 2048 \
 -alias proxy-user-cert \
 -dname "cn=Proxy User,cn=Root DNs,cn=config" \
 -validity 7300
```

2. Create a `config/proxy-user-keystore.pin` file that contains a single line that is the keystore password provided in the previous step.
3. If there are other Directory Proxy Server instances in the topology, copy the `proxy-user-keystore` and `proxy-user-keystore.pin` files into the `config` directory for all instances.
4. Use the following command to export the public component of the proxy user certificate to a text file:

```
$ keytool -export \
 -keystore config/proxy-user-keystore \
 -alias proxy-user-cert \
 -file config/proxy-user-cert.txt
```

5. Copy the `proxy-user-cert.txt` file into the `config` directory of all Directory Server instances. Import that certificate into each server's primary trust store by running the following command from the server root. When prompted for the keystore password, enter the password contained in the `config/truststore.pin` file. When prompted to trust the certificate, enter **yes**.

```
$ keytool -import \
 -keystore config/truststore \
 -alias proxy-user-cert \
 -file config/proxy-user-cert.txt
```

6. Update the configuration for each Directory Proxy Server instance to create a new key manager provider that will obtain its certificate from the `config/proxy-user-keystore` file. Run the following `dsconfig` command:

```
$ dsconfig create-key-manager-provider \
 --provider-name "Proxy User Certificate" \
 --type file-based \
 --set enabled:true \
 --set key-store-file:config/proxy-user-keystore \
 --set key-store-type:JKS \
 --set key-store-pin-file:config/proxy-user-keystore.pin
```

- Update the configuration for each LDAP external server in each Directory Proxy Server instance to use the newly-created key manager provider, and also to use SASL EXTERNAL authentication instead of LDAP simple authentication. Run the following `dsconfig` command:

```
$ dsconfig set-external-server-prop \
 --server-name ds1.example.com:636 \
 --set authentication-method:external \
 --set "key-manager-provider:Proxy User Certificate"
```

### Results

After these changes, the Directory Proxy Server should re-establish connections to the LDAP external server and authenticate with SASL EXTERNAL. Verify that the Directory Proxy Server is still able to communicate with all backend servers by running the `bin/status` command. All of the servers listed in the "--- LDAP External Servers ---" section should be available. Review the Directory Server access log can to make sure that the BIND RESULT log messages used to authenticate the connections from the Directory Proxy Server include `authType="SASL", saslMechanism="EXTERNAL", resultCode=0,` and `authDN="cn=Proxy User,cn=Root DNs,cn=config"`.

## Configuring Load Balancing

---

You can distribute the load on your Directory Proxy Server using one of the load-balancing algorithms provided with PingDirectoryProxy Server. By default, the Directory Proxy Server prefers local servers over non-local servers, unless you set the `use-location` property of the load-balancing algorithm to false. Within a given location, the Directory Proxy Server prefers available servers over degraded servers. This means that if at all possible, the Directory Proxy Server sends requests to servers that are local and available before considering selecting any server that is non-local or degraded.

**Note:** If the `use-location` property is set to true, then the load is balanced only among available external servers in the same location. If no external servers are available in the same location, the Directory Proxy Server will attempt to use available servers in the first preferred failover location, and so on. The failover based on no external servers with AVAILABLE health state can be customized to allow the Directory Proxy Server to prefer local DEGRADED health servers to servers in a failover location. See the online *PingDirectoryProxy Server Configuration Reference Guide* for more information on the `prefer-degraded-servers-over-failover` property.

The Directory Proxy Server provides the following load-balancing algorithms:

- **Failover load balancing.** This algorithm forwards requests to servers in a given order, optionally taking the location into account. If the preferred server is not available, then it will fail over to the alternate server in a predefined order. This balancing method can be useful if certain operations, such as LDAP writes, need to be forwarded to a primary external server, with secondary external servers defined for failover if necessary.

This algorithm also offers load spreading to multiple failover servers. If the failover load-balancing algorithm is configured with one or more load-spreading base DNs, then requests that target entries below a load-spreading base DN can be balanced across any of the servers with the same health check state and location. Requests targeting a specific portion of the data will consistently be routed to the same server, but requests targeting a different portion of the data may be sent to a different server.

- **Fewest operations load balancing.** This algorithm forwards requests to the backend server with the fewest operations currently in progress and tends to exhibit the best performance.
- **Health weighted load balancing.** This algorithm assigns weights to servers based on their health scores and, optionally, their locations. For example, servers with a higher health check score will receive a higher proportion of the requests than servers with lower health check scores.
- **Single server load balancing.** This algorithm forwards all operations to a single external server that you specify.
- **Weighted load balancing.** This algorithm uses statically defined weights for sets of servers to divide load among external servers. External servers are grouped into weighted sets, the values of which,

when added to all of the weighted sets for the load balancing algorithm, represent a percentage of the load the external servers should receive.

- **Criteria based load balancing.** This algorithm allows you to balance your load across a server topology depending on the types of operations received or the client issuing the request.

For example, ds1 and ds2 are assigned to a weighted set named Set-80 and assigned the weight 80. The external servers ds3 and ds4 are assigned to the weighted set Set-20 and assigned the weight 20. When both sets, Set-80 and Set-20, are assigned to the load balancing algorithm, 80 percent of the load will be forwarded to ds1 and ds2, while the remaining 20 percent will be forwarded to ds3 and ds4.

## Configure Failover Load-balancing for Load Spreading

If the failover load-balancing algorithm is configured with one or more load-spreading base DN's, then requests that target entries below a load-spreading base DN may be balanced across any of the servers with the same health check state and location. Requests targeting a specific portion of the data will consistently be routed to the same server, but requests targeting a different portion of the data may be sent to a different server.

Load spreading is useful for deployments in which the DIT contains a large number of branches below a common parent, and in which most operations (including search operations, as indicated by the search base DN) only target entries at least one level below that common parent. For example, this may be useful for a multi-tenant deployment in which all of the entries for a given tenant are within their own branch, and all of the tenant branches reside below a common parent.

Load spreading is configured with the `load-spreading-base-dn` property. The value(s) of this property are the base DN(s) below which the tenant entries reside. For example, in a deployment with a DIT like the following, the `load-spreading-base-dn` value would be set to `ou=customers,dc=example,dc=com`:

- `dc=example,dc=com`
  - `ou=customers,dc=example,dc=com`
    - `ou=Customer 1,ou=customers,dc=example,dc=com`
    - `ou=Customer 2,ou=customers,dc=example,dc=com`
    - `ou=Customer 3,ou=customers,dc=example,dc=com`
    - ...

If the `load-spreading-base-dn` property is not configured, the failover load-balancing algorithm will use the default behavior. If the property is configured with one or more values, but a client requests an operation that targets an entry that is not below any of the configured base DN's, then that operation will be handled using the default behavior. When the `load-spreading-base-dn` property is configured with one or more values, the load-balancing algorithm will continue to generate the same list of lists, but the order of the servers within each list will be determined using the following algorithm:

1. If the list is empty or contains only a single item, then leave it unchanged and skip the remaining steps.
2. Identify the RDN component from the target entry DN that is exactly one level below one of the `load-spreading-base-dn` values. If the targeted entry is not below any of the configured `load-spreading-base-dn` values, then the order of servers in each of those lists will be based only on the order in which they appear in the load-balancing algorithm's `backend-server` property. The remaining steps are skipped.
3. Compute a SHA-1 digest from the normalized string representation of the identified RDN component. SHA-1 is notably faster than more secure digest algorithms, and it does a very good job at distributing bits across the entire range of the 160 bits that it generates.
4. Create a non-negative integer from the last 31 bits of the computed SHA-1 digest.
5. Compute a modulus using the integer value as the dividend, and the number of servers in the current list as the divisor. This will yield an integer value that is between 0 and  $(\text{list.size}() - 1)$ , inclusive.

6. If the modulus computed is equal to zero, no further action is necessary. If not, move a number of servers equal to the computed modulus from the beginning of the list to the end of the list. The order of the elements that are moved should be preserved.

For example, consider a `load-spreading-base-dn` value of `"ou=customers,dc=example,dc=com"`, a list that contains three servers (`ds1`, `ds2`, and `ds3`, in that order), and a modify request that targets the entry with DN `"uid=jdoe,ou=People,ou=Acme,ou=customers,dc=example,dc=com"`. The RDN component immediately below the `load-spreading-base-dn` is `"ou=Acme"`. The normalized string representation of that RDN component is `"ou=acme"`, and the hexadecimal representation of the SHA-1 digest of that is `"f0c69713535daf8816038f1bceab70380c92b83e"`. The last 31 bits of that SHA-1 digest are `0c92b83e` hex, which is 210942014. With 210942014 modulo 3 is 2, which means that the first two servers are moved from the beginning of the list to the end of the list, resulting in an order of `ds3`, `ds1`, `ds2`.

While this algorithm will spread the load across multiple backend servers, it does not mean that there will be an even distribution of the load across all of those servers. The load-balancing algorithm will still prioritize based on location and health check state, so the load will generally be spread only across the available servers in the same location as the Directory Proxy Server. Second, assuming that the entries that are immediate children of a `load-spreading-base-dn` are the tops of the branches that define tenants, some tenants will still be targeted more heavily than others (because they have more entries, or because their entries are accessed more frequently). The modulo operation may therefore not result in an even distribution across those servers.

## To Configure Load Balancing Using dsconfig

### Steps

1. Use the `dsconfig` tool to create and configure a load-balancing algorithm.

```
$ bin/dsconfig
```

Specify the host name, connection method, port number, and bind DN as described in previous procedures.

2. In the Directory Proxy Server main menu, enter the number associated with load-balancing algorithms.
3. Select an existing load-balancing algorithm to use as a template or select `n` to create a new load-balancing algorithm from scratch.

```
>>>>Choose how to create the new Load Balancing Algorithm:
```

```
n) new Load Balancing Algorithm created from scratch
t) use an existing Load Balancing Algorithm as a template
b) back
q) quit
```

```
Enter a choice [n]: n
```

4. Select the type of load-balancing algorithm that you want to create. Depending on type of algorithm you select, you will be guided through a series of configuration properties, such as providing a name and selecting an LDAP external server.

```
>>>> Select the type of Load Balancing Algorithm that you want to create:
```

```
1) Failover Load Balancing Algorithm
2) Fewest Operations Load Balancing Algorithm
3) Health Weighted Load Balancing Algorithm
4) Single Server Load Balancing Algorithm
5) Weighted Load Balancing Algorithm

?) help
```

```

c) cancel
q) quit

Enter choice [c]: 3

```

- Review the configuration properties for your new load-balancing algorithm. If you are satisfied, enter `f` to finish.

## Configuring Criteria-Based Load-Balancing Algorithms

You can configure alternate load-balancing algorithms that determine how they function according to request or connection criteria. These algorithms allow you to balance your load across a server topology depending on the types of operations received or the client issuing the request. They are called criteria-based load-balancing algorithms and are configured using at least one connection criteria or request criteria. For example, you can configure criteria-based load-balancing algorithms to accomplish the following:

- Route write operations to a single server from a set of replicated servers, to prevent replication conflicts, while load balancing all other operations across the full set of servers.
- Route all operations from a specific client to a single server in a set of replicated servers, eliminating errors that arise from replication latency, while load balancing operations from other clients across the full set of servers. This configuration is useful for certain provisioning applications that need to write and then immediately read the same data.

When a request is received, the proxying request processor first iterates through all of the criteria-based load-balancing algorithms in the order in which they are listed, to determine whether the request matches the associated criteria. If there is a match, then the criteria-based load-balancing algorithm is selected. If there is not a match, then the default load-balancing algorithm is used.

### Preferring Failover LBA for Write Operations

An administrator can configure the Directory Proxy Server to use Criteria-Based Load-Balancing Algorithms to strike a balance between providing a consistent view of directory server data for applications that require it and taking advantage of all servers in a topology for handling read-only operations, such as search and bind. The flexible configuration model supports a wide range of criteria for choosing which Load-Balancing Algorithm to use for each operation. In most Directory Proxy Server deployments, using a Failover Load-Balancing Algorithm for at least ADD, DELETE, and MODIFY-DN operations if not for all types of write operations is recommended.

Each Proxying Request Processor configured in the Directory Proxy Server uses a Load-Balancing Algorithm to choose which Directory Server to use for a particular operation. The Load-Balancing Algorithm takes several factors into account when choosing a server:

The availability of the directory servers.

The location of the directory servers. By default Load-Balancing Algorithms prefer directory servers in the same location as the Directory Proxy Server.

Whether the Directory Server is degraded for any reason, such as having a Local DB Index being rebuilt.

The result of configured Health Checks. For instance, a server with a small replication backlog can be preferred over one with a larger backlog.

Recent operation routing history.

How these factors are used depends on the specific Load-Balancing Algorithm. The two most commonly used Load-Balancing Algorithms are the Failover Load-Balancing Algorithm and the Fewest Operations Load-Balancing Algorithm. These two algorithms are similar when determining which Directory Servers are the possible candidates for a specific operation. The algorithms use the same criteria to determine server availability and health, and by default they will prefer Directory Servers in the same location as the Directory Proxy Server. However, they differ in the criteria they use to choose between available servers.

The Failover Load-Balancing Algorithm will send all operations to a single server until it is unavailable, and then it will send all operations to the next preferred server, and so on. This algorithm provides the most

consistent view of the topology to clients because all clients (at least those in the same location as the Directory Proxy Server) will see the same, up-to-date view of the data, but it leaves unused capacity in the failover instances since most topologies include multiple Directory Server replicas within each data center.

On the other hand, the Fewest Operations Load-Balancing Algorithm does the best job of efficiently distributing traffic among multiple servers since it chooses to send each operation to the server that has the fewest number of outstanding operations--that is, the server from the Directory Proxy Server's point of view that is the least busy. (Note: the Fewest Operations Load-Balancing Algorithm routes traffic to the least loaded server, which in a lightly-loaded environment can result in an imbalance since the first server in the list of configured servers is more likely to receive a request.) This algorithm naturally routes to servers that are more responsive as well as limiting the impact of servers that have become unreachable. However, this implies that consecutive operations that depend on each other can be routed to different Directory Servers, which can cause issues for some types of clients:

If two entries are added in quick succession where the first entry is the parent of the second in the LDAP hierarchy, then the addition of the child entry could fail if that operation is routed to a different Directory Server instance than the first ADD operation, and this happens within the replication latency. Some clients add or modify an entry and then immediately read the entry back from the server, expecting to see the updates reflected in the entry.

In these situations, it is desirable to configure the `<keyword keyref="PROXY_SERVER_BASE_NAME"/>` to route dependent requests to the same server.

The server affinity feature (see [Configuring Server Affinity](#)) achieves this in some environments but not in all because the affinity is tracked independently by each Directory Proxy Server instance, and some clients send requests to multiple proxies. It is common for a client to not connect to the Directory Proxy Servers directly but instead to connect through a network load balancer, which in turn opens connections to the Directory Proxy Servers. Each individual client connection will be established to a single Directory Proxy Server so that operations on that connection will be routed to the same Directory Proxy Server, and server affinity configured within the Directory Proxy Server will ensure those operations will be routed to the same Directory Server. However, many clients establish a pool of connections that are reused across operations, and within this pool, connections will be established through the load balancer to different Directory Proxy Servers. Dependent operations sent on different connections could then be routed to different Directory Proxy Servers, and then on to different Directory Servers.

A Failover Load-Balancing Algorithm addresses this issue by routing all requests to a single server, but that leaves unused search capacity on the other instances. A Criteria Based Load-Balancing Algorithm enables the proxy to route certain types of requests (or requests from certain clients) using a different Load-Balancing Algorithm than the default. For instance, all write operations (i.e., ADD, DELETE, MODIFY, and MODIFY-DN) could be routed using a Failover Load-Balancing Algorithm, while all other operations (bind, search, and compare) use a Fewest Operations Load-Balancing Algorithm. And in addition, if there are clients that are particularly sensitive to reading entries immediately after modifying them, additional Connection Criteria can be specified to all operations from those clients using the Failover Load-Balancing Algorithm. Note that, routing all write requests to a single server in a location instead of evenly across servers does not limit the overall throughput of the system since all servers ultimately have to process all write operations either from the client directly or via replication.

Another benefit of using the Failover Load-Balancing Algorithm for write operations is reducing replication conflicts. The Ping Identity Directory Server follows the traditional LDAP replication model of eventual consistency. This provides very high availability for handling write traffic even in the presence of network partitions, but it can lead to replication conflicts. Replication conflicts involving modify operations can be automatically resolved, leaving the servers in a consistent state where each attribute on each entry reflects the most recent update to that attribute. However, conflicts involving ADD, DELETE, and MODIFY-DN operations cannot always be resolved automatically and can require manual involvement from an administrator. By routing all write operations (or at least ADD, DELETE, and MODIFY-DN operations) to a single server, replication conflicts can be avoided.

There are a few points to consider when using a Failover Load-Balancing Algorithm:

- When using the Failover Load-Balancing Algorithm in a configuration with multiple locations, the Load-Balancing Algorithm will fail over between local instances before failing over to servers in a remote location. The list of servers in the `backend-server` configuration property of the Load-Balancing Algorithm should be ordered such that preferred local servers should appear before failover local servers, but the relative order of servers in different locations is unimportant as the `preferred-failover-location` of the Directory Proxy Server's configuration is used to decide which remote location to fail over to. It is also advisable that the order of local servers match the `gateway-priority` configuration settings of the "Replication Server" configuration object on the Directory Server instances. This can reduce the WAN replication delay because the Directory Proxy Server will then prefer to send writes to the Directory Server with the WAN Gateway role, avoiding an extra hop to the remote locations.
- For Directory Proxy Server configurations that include multiple Proxying Request Processors, including Entry-Balancing environments, each Proxying Request Processor should be updated to include its own Criteria-Based Load-Balancing Algorithm.

## To Route Operations to a Single Server

### About this task

The following example shows how to extend a Directory Proxy Server's configuration to use a Criteria Based Load Balancing Algorithm to route all write requests to a single server using a Failover Load Balancing Algorithm. The approach outlined here can easily be extended to support alternate criteria as well as more complex topologies using multiple locations or Entry Balancing.

This example uses a simple deployment of a Directory Proxy Server fronting three Directory Servers: `ds1.example.com`, `ds2.example.com`, and `ds3.example.com`.

Once these configurations changes are applied, the Directory Proxy Server will route all write operations to `ds1.example.com` as long as it is available and then to `ds2.example.com` if it is not, while routing other types of operations, such as searches and binds, to all three servers using the Fewest Operations Load Balancing Algorithm.

### Steps

1. First, create a location.

```
dsconfig create-location --location-name Austin
```

2. Update the failover location for your server.

```
dsconfig set-location-prop --location-name Austin
```

3. Set the location as a global configuration property.

```
dsconfig set-global-configuration-prop --set location:Austin
```

4. Set up the health checks for each external server.

```
dsconfig create-ldap-health-check \
--check-name ds1.example.com:389_dc_example_dc_com-search-health-check \
--type search --set enabled:true --set base-dn:dc=example,dc=com
```

```
dsconfig create-ldap-health-check \
--check-name ds2.example.com:389_dc_example_dc_com-search-health-check \
--type search --set enabled:true --set base-dn:dc=example,dc=com
```

```
dsconfig create-ldap-health-check \
--check-name ds3.example.com:389_dc_example_dc_com-search-health-check \
--type search --set enabled:true --set base-dn:dc=example,dc=com
```

5. Create the external servers.

```
dsconfig create-external-server --server-name ds1.example.com:389 \
--type Ping Identity-ds \
--set server-host-name:ds1.example.com --set server-port:389 \
--set location:Austin --set "bind-dn:cn=Proxy User,cn=Root DNs,cn=config" \
--set password:AADoPkhx22qpiBQJ7T0X4wH7 \
--set health-check:ds1.example.com:389_dc_example_dc_com-search-health-check

dsconfig create-external-server --server-name ds2.example.com:389 \
--type Ping Identity-ds \
--set server-host-name:ds2.example.com --set server-port:389 \
--set location:Austin --set "bind-dn:cn=Proxy User,cn=Root DNs,cn=config" \
--set password:AAAoVqVYsEavey80T0QfR60I \
--set health-check:ds2.example.com:389_dc_example_dc_com-search-health-check

dsconfig create-external-server --server-name ds3.example.com:389 \
--type Ping Identity-ds \
--set server-host-name:ds3.example.com --set server-port:389 \
--set location:Austin --set "bind-dn:cn=Proxy User,cn=Root DNs,cn=config" \
--set password:AADOkveb0TtYR9xpKvRNgMtF \
--set health-check:ds3.example.com:389_dc_example_dc_com-search-health-check
```

**6. Create a Load Balancing Algorithm for dc=example,dc=com.**

```
dsconfig create-load-balancing-algorithm \
--algorithm-name dc_example_dc_com-fewest-operations \
--type fewest-operations --set enabled:true \
--set backend-server:ds1.example.com:389 \
--set backend-server:ds2.example.com:389 \
--set backend-server:ds3.example.com:389
```

**7. Create a Request Processor for dc=example,dc=com.**

```
dsconfig create-request-processor \
--processor-name dc_example_dc_com-req-processor \
--type proxying \
--set load-balancing-algorithm:dc_example_dc_com-fewest-operations
```

**8. Create a Subtree View for dc=example,dc=com.**

```
dsconfig create-subtree-view \
--view-name dc_example_dc_com-view \
--set base-dn:dc=example,dc=com \
--set request-processor:dc_example_dc_com-req-processor
```

**9. Update the client connection policy for dc=example,dc=com.**

```
dsconfig set-client-connection-policy-prop \
--policy-name default \
--add subtree-view:dc_example_dc_com-view
```

**10. Create a new Request Criteria object to match all write operations.**

```
dsconfig create-request-criteria \
--criteria-name any-write \
--type simple --set "description:All Write Operations" \
--set operation-type:add --set operation-type:delete \
--set operation-type:modify --set operation-type:modify-dn
```

**11. Create a new Failover Load Balancing Algorithm listing the servers that should be included. Note the order that the servers are listed here is the failover order between servers.**

```
dsconfig create-load-balancing-algorithm \
```

```
--algorithm-name dc_example_dc_com-failover \
--type failover --set enabled:true \
--set backend-server:ds1.example.com:389 \
--set backend-server:ds2.example.com:389 \
--set backend-server:ds3.example.com:389
```

- 12.** Tie the Request Criteria and the Failover Load Balancing Algorithm together into a Criteria Based Load Balancing Algorithm.

```
dsconfig create-criteria-based-load-balancing-algorithm \
--algorithm-name dc_example_dc_com-write-traffic-lba \
--set "description:Failover LBA For All Write Traffic" \
--set request-criteria:any-write \
--set load-balancing-algorithm:dc_example_dc_com-failover
```

- 13.** Update the Proxying Request Processor to use the Criteria Based Load Balancing Algorithm.

```
dsconfig set-request-processor-prop \
--processor-name dc_example_dc_com-req-processor \
--set criteria-based-load-balancing-algorithm:dc_example_dc_com-write-traffic-lba
```

## To Route Operations from a Single Client to a Specific Set of Servers

### About this task

To create a type of server affinity, where all operations from a single client are routed to a specific set of servers, follow a similar process as in the previous use case. Instead of request criteria, configure connection criteria. These connection criteria identify clients that could be adversely affected by replication latency. These clients will use the Failover Load Balancing Algorithm rather than the default Fewest Operations Load Balancing Algorithm.

For example, an administrative tool includes a "delete user" function. If the application immediately re-queries the directory for an updated list of users, the just-deleted entry must not be included. To configure a criteria-based load balancing algorithm to support this use case, perform the following:

- Create a failover load balancing algorithm that lists the same set of servers as the existing fewest operation load balancing algorithm.
- Create connection criteria that match the clients for which failover load balancing should be applied, rather than fewest operations load balancing.
- Create a criteria-based load balancing algorithm that references the two configuration objects created in the previous steps.
- Assign the new load balancing algorithm to the proxying request processor.

The following procedure provides examples of each of these steps.

### Steps

- 1.** Create the new failover load balancing algorithm using `dsconfig` as follows:

```
dsconfig create-load-balancing-algorithm \
--algorithm-name client_one_routing_algorithm \
--type failover --set enabled:true \
--set backend-server:east1.example.com:389 \
--set backend-server:east2.example.com:389
```

- 2.** To route operations from a single client to a single server in a set of replicated servers, create connection criteria using `dsconfig` as follows:

```
dsconfig create-connection-criteria \
--criteria-name "Client One" --type simple \
--set included-user-base-dn:cn=Client One,ou=Apps,dc=example,dc=com
```

3. Configure a criteria-based load balancing algorithm and assign it to the proxying request processor. Use the load balancing algorithm and connection criteria created in the previous steps:

```
dsconfig create-criteria-based-load-balancing-algorithm \
 --algorithm-name dc_example_dc_com-client-operations \
 --set load-balancing-algorithm:dc_example_dc_com-failover \
 --set "request-criteria:Client One Requests"
```

4. Assign the new criteria-based load balancing algorithm to the proxying request processor using `dsconfig` as follows:

```
dsconfig set-request-processor-prop \
 --processor-name dc_example_dc_com-req-processor \
 --add criteria-based-load-balancing-algorithm:dc_example_dc_com-client-operations
```

## Understanding Failover and Recovery

Once a previously degraded or unavailable server has recovered, it should be eligible to start receiving traffic within the time configured for the `health-check-frequency` property, 30 seconds by default. However, failover and recovery also depend on the load-balancing algorithm in use.

The load-balancing algorithm provides an ordered list of servers to check, with the number of servers in the list based on the maximum number of retry attempts. The server checks to see if affinity should be used and, if so, whether an affinity is set for that load-balancing algorithm. If there is an affinity to a particular server and that server is classified as available, then that server will always be the first in the list.

Next, the Directory Proxy Server creates a two-dimensional matrix of servers based on the health check state (with available preferred over degraded and unavailable not considered at all) and location (with backend servers in the same location as the Directory Proxy Server most preferred, then servers in the first failover location, then the second, and so on). Within each of these sets, and ideally at least one server in the local data center is classified as available, the load-balancing algorithm selects the servers in the order of most preferred to least preferred based on whatever logic the load-balancing algorithm uses. The load-balancing algorithm keeps selecting servers until enough of them have been selected to satisfy the maximum number of possible retries.

The load-balancing algorithm includes a configuration option that allows you to decide whether to prefer location over availability and vice-versa. For example, is a local degraded server more or less preferred than a remote available server? By default, the algorithm will prefer available servers over degraded ones, even if it has to go to another data center to access them. You can change the load-balancing algorithm to try to stay in the same data center if at least one server is not unavailable.

The Directory Proxy Server does both proactive and reactive health checking. With proactive health checking, the Directory Proxy Server will periodically (by default, every 30 seconds), run a full set of tests against each backend server. The result of these tests will be used to determine the overall health check state (available, degraded, or unavailable) and score (an integer value from 10 to 0). With reactive health checking, the Directory Proxy Server may kick off a lesser set of health checks against a server if an operation forwarded to that server did not complete successfully.

Proactive health checking can be used to promote and demote the health of a server, but reactive health checking can only be used to demote the health of a server. As a result, if a server is determined to be unavailable, then it will remain that way until a subsequent proactive health check determines that it has recovered. If a server is determined to be degraded, it may not become available until the next proactive health check, but it could be downgraded to unavailable by a reactive check if other failures are encountered against that server.

Both proactive and reactive health check assignments take effect immediately and will be considered for all subsequent requests routed to the load-balancing algorithm. If a server is considered degraded, then it will immediately be considered less desirable than available servers in the same data center, and possibly less desirable than available servers in more remote data centers. If a server is considered unavailable, then it will not be eligible to be selected until it is reclassified as available or degraded.

## Configuring HTTP Connection Handlers

---

HTTP connection handlers are responsible for managing the communication with HTTP clients and invoking servlets to process requests from those clients. They can also be used to host web applications on the server. Each HTTP connection handler must be configured with one or more HTTP servlet extensions and zero or more HTTP operation log publishers.

If the HTTP Connection Handler cannot be started (for example, if its associated HTTP Servlet Extension fails to initialize), then this will not prevent the entire Directory Proxy Server from starting. The Directory Proxy Server's `start-server` tool will output any errors to the error log. This allows the Directory Proxy Server to continue serving LDAP requests even with a bad servlet extension.

The configuration properties available for use with an HTTP connection handler include:

- **listen-address.** Specifies the address on which the connection handler will listen for requests from clients. If not specified, then requests will be accepted on all addresses bound to the system.
- **listen-port.** Specifies the port on which the connection handler will listen for requests from clients. Required.
- **use-ssl.** Indicates whether the connection handler will use SSL/TLS to secure communications with clients (whether it uses HTTPS rather than HTTP). If SSL is enabled, then `key-manager-provider` and `trust-manager-provider` values must also be specified.
- **http-servlet-extension.** Specifies the set of servlet extensions that will be enabled for use with the connection handler. You can have multiple HTTP connection handlers (listening on different address/port combinations) with identical or different sets of servlet extensions. At least one servlet extension must be configured.
- **http-operation-log-publisher.** Specifies the set of HTTP operation log publishers that should be used with the connection handler. By default, no HTTP operation log publishers will be used.
- **key-manager-provider.** Specifies the key manager provider that will be used to obtain the certificate presented to clients if SSL is enabled.
- **trust-manager-provider.** Specifies the trust manager provider that will be used to determine whether to accept any client certificates presented to the server.
- **num-request-handlers.** Specifies the number of threads that should be used to process requests from HTTP clients. These threads are separate from the worker threads used to process other kinds of requests. The default value of zero means the number of threads will be automatically selected based on the number of CPUs available to the JVM.
- **web-application-extension.** Specifies the Web applications to be hosted by the server.

## To Configure an HTTP Connection Handler

### About this task

An HTTP connection handler has two dependent configuration objects: one or more HTTP servlet extensions and optionally, an HTTP log publisher. The HTTP servlet extension and log publisher must be configured prior to configuring the HTTP connection handler. The log publisher is optional but in most cases, you want to configure one or more logs to troubleshoot any issues with your HTTP connection.

### Steps

1. The first step is to configure your HTTP servlet extensions. The following example uses the `ExampleHTTPServletExtension` in the Server SDK.

```
$ bin/dsconfig create-http-servlet-extension \
 --extension-name "Hello World Servlet" \
 --type third-party \
 --set "extension-
class:com.unboundid.directory.sdk.examples.ExampleHTTPServletExtension" \
 --set "extension-argument:path=/" \
```

```
--set "extension-argument:name=example-servlet"
```

2. Next, configure one or more HTTP log publishers. The following example configures two log publishers: one for common access; the other, detailed access. Both log publishers use the default configuration settings for log rotation and retention.

```
$ bin/dsconfig create-log-publisher \
 --publisher-name "HTTP Common Access Logger" \
 --type common-log-file-http-operation \
 --set enabled:true \
 --set log-file:logs/http-common-access \
 --set "rotation-policy:24 Hours Time Limit Rotation Policy" \
 --set "rotation-policy:Size Limit Rotation Policy" \
 --set "retention-policy:File Count Retention Policy" \
 --set "retention-policy:Free Disk Space Retention Policy"

$ bin/dsconfig create-log-publisher \
 --publisher-name "HTTP Detailed Access Logger" \
 --type detailed-http-operation \
 --set enabled:true \
 --set log-file:logs/http-detailed-access \
 --set "rotation-policy:24 Hours Time Limit Rotation Policy" \
 --set "rotation-policy:Size Limit Rotation Policy" \
 --set "retention-policy:File Count Retention Policy" \
 --set "retention-policy:Free Disk Space Retention Policy"
```

3. Configure the HTTP connection handler by specifying the HTTP servlet extension and log publishers. Note that some configuration properties can be later updated on the fly while others, like `listen-port`, require that the HTTP Connection Handler be disabled, then re-enabled for the change to take effect.

```
$ bin/dsconfig create-connection-handler \
 --handler-name "Hello World HTTP Connection Handler" \
 --type http \
 --set enabled:true \
 --set listen-port:8443 \
 --set use-ssl:true \
 --set "http-servlet-extension:Hello World Servlet" \
 --set "http-operation-log-publisher:HTTP Common Access Logger" \
 --set "http-operation-log-publisher:HTTP Detailed Access Logger" \
 --set "key-manager-provider:JKS" \
 --set "trust-manager-provider:JKS"
```

4. By default, the HTTP connection handler has an advanced monitor entry property, `keep-stats`, that is set to `TRUE` by default. You can monitor the connection handler using the `ldapsearch` tool.

```
$ bin/ldapsearch --baseDN "cn=monitor" \
 "(objectClass=ds-http-connection-handler-statistics-monitor-entry)"
```

## HTTP Correlation IDs

A typical request to a software system is handled by multiple subsystems, many of which may be distinct servers residing on distinct hosts and locations. Tracing the request flow on distributed systems can be challenging, as log messages are scattered across various systems and intermingled with messages for other requests. To make this easier, a correlation ID can be assigned to a request, which is then added to every associated operation as the request flows through the larger system. The correlation ID allows related log messages to be easily located and grouped. The server supports correlation IDs for all HTTP requests received through its HTTP(S) Connection Handler.

When an HTTP request is received, it is automatically assigned a correlation ID. This ID can be used to correlate HTTP responses with messages recorded to the HTTP Detailed Operation log and the trace log. For specific web APIs, the correlation ID may also be passed to the LDAP subsystem. For the SCIM 1, Delegated Admin, Consent, and Directory REST APIs, the correlation ID will also appear with associated

requests in LDAP logs in the `correlationID` key. The correlation ID is also used as the default client request ID value in Intermediate Client Request Controls used by the SCIM 2, Consent, and Directory REST APIs. Values related to the Intermediate Client Request Control appear in the LDAP logs in the `via` key, and are forwarded to downstream LDAP servers when received by the PingDirectoryProxy Server. The correlation ID header is also added to requests forwarded by the PingDataGovernance gateway.

For Server SDK extensions that have access to the current `HttpServletRequest`, the current correlation ID can be retrieved as a string through the `HttpServletRequest`'s `com.pingidentity.pingdata.correlation_id` attribute. For example:

```
(String) request.getAttribute("com.pingidentity.pingdata.correlation_id");
```

## Configure HTTP Correlation ID Support

### About this task

Correlation ID support is enabled by default for each HTTP Connection Handler.

### Steps

- To enable correlation ID support for the HTTPS Connection Handler:

```
$ dsconfig set-connection-handler-prop \
 --handler-name "HTTPS Connection Handler" \
 --set use-correlation-id-header:true
```

- To disable correlation ID support for the HTTPS Connection Handler:

```
$ dsconfig set-connection-handler-prop \
 --handler-name "HTTPS Connection Handler" \
 --set use-correlation-id-header:false
```

### Configuring the correlation ID response header

- The server will generate a correlation ID for every HTTP request and send it in the response through the `Correlation-Id` response header. This response header name can be customized. The following example changes the `correlation-id-response-header` property to "X-Request-Id."

```
$ dsconfig set-connection-handler-prop \
 --handler-name "HTTPS Connection Handler" \
 --set correlation-id-response-header:X-Request-Id
```

### Accepting an incoming correlation ID from the request

- By default, the server generates a new, unique correlation ID for each HTTP request, and ignores any correlation ID that may be set on the request. This can be changed by designating the names of one or more HTTP request headers that contain an existing correlation ID value. This enables the server to integrate with a larger system consisting of every servers using correlation IDs.

```
$ dsconfig set-connection-handler-prop --handler-name "HTTPS Connection
Handler" \
 --set correlation-id-request-header:X-Request-Id \
 --set correlation-id-request-header:X-Correlation-Id \
 --set correlation-id-request-header:Correlation-Id \
 --set correlation-id-request-header:X-Amzn-Trace-Id
```

### HTTP Correlation ID Example Use

In this example, a request to the Directory REST API is made and the correlation ID enables finding HTTP-specific log messages with LDAP-specific log messages. The response to the API call includes a `Correlation-Id` header with the value `a54aee33-c6c6-4467-be25-efd1db7a8b76`.

```
GET /directory/v1/me?includeAttributes=mail HTTP/1.1
Accept: */*
```

```

Accept-Encoding: gzip, deflate
Authorization: Bearer ...
Connection: keep-alive
Host: localhost:1443
User-Agent: HTTPie/0.9.9

HTTP/1.1 200 OK
Content-Length: 266
Content-Type: application/hal+json
Correlation-Id: ee919049-6710-4594-9c66-28b4ada4b127
Date: Fri, 02 Nov 2018 15:16:50 GMT
Request-Id: 369

{
 "_dn": "uid=user.86,ou=People,dc=example,dc=com",
 "_links": {
 "schemas": [
 {
 "href": "https://localhost:1443/directory/v1/schemas/
inetOrgPerson"
 }
],
 "self": {
 "href": "https://localhost:1443/directory/v1/
uid=user.86,ou=People,dc=example,dc=com"
 }
 },
 "mail": [
 "user.86@example.com"
]
}

```

This correlation ID can be used to search the HTTP trace log for matching log records, as follows:

```

$ grep 'correlationID="ee919049-6710-4594-9c66-28b4ada4b127"'
PingDirectory/logs/debug-trace
[02/Nov/2018:10:16:50.294 -0500] HTTP REQUEST requestID=369
correlationID="ee919049-6710-4594-9c66-28b4ada4b127"
product="PingDirectoryProxy Directory Server" instanceName="dsl"
startupID="W9ikqA==" threadID=52358 from=[0:0:0:0:0:0:1]:58918 method=GET
url="https://0:0:0:0:0:0:1:1443/directory/v1/me?includeAttributes=mail"
[02/Nov/2018:10:16:50.526 -0500] DEBUG ACCESS-TOKEN-VALIDATOR-PROCESSING
requestID=369 correlationID="ee919049-6710-4594-9c66-28b4ada4b127"
msg="Identity Mapper with DN 'cn=User ID Identity Mapper,cn=Identity
Mappers,cn=config' mapped ID 'user.86' to entry DN
'uid=user.86,ou=people,dc=example,dc=com'"
[02/Nov/2018:10:16:50.526 -0500] DEBUG ACCESS-TOKEN-VALIDATOR-PROCESSING
requestID=369 correlationID="ee919049-6710-4594-9c66-28b4ada4b127"
accessTokenId="201811020831" msg="Token Validator 'Mock Access Token
Validator' validated access token with active = 'true', sub = 'user.86',
owner = 'uid=user.86,ou=people,dc=example,dc=com', clientId = 'client1',
scopes = 'ds', expiration = 'none', not-used-before = 'none', current time
= 'Nov 2, 2018 10:16:50 AM CDT' "
[02/Nov/2018:10:16:50.531 -0500] HTTP RESPONSE requestID=369
correlationID="ee919049-6710-4594-9c66-28b4ada4b127"
accessTokenId="201811020831" product="PingDirectoryProxy Directory Server"
instanceName="dsl" startupID="W9ikqA==" threadID=52358 statusCode=200
etime=236.932 responseContentLength=266
[02/Nov/2018:10:16:50.531 -0500] DEBUG HTTP-FULL-REQUEST-AND-RESPONSE
requestID=369 correlationID="ee919049-6710-4594-9c66-28b4ada4b127"
accessTokenId="201811020831" product="PingDirectoryProxy Directory
Server" instanceName="dsl" startupID="W9ikqA==" threadID=52358
from=[0:0:0:0:0:0:1]:58918 method=GET url="https://0:0:0:0:0:0:1:1443/

```

```
directory/v1/me?includeAttributes=mail" statusCode=200 etime=236.932
responseContentLength=266 msg="
```

The LDAP log messages associated with this request can also be located:

```
$ grep 'correlationID="ee919049-6710-4594-9c66-28b4ada4b127"'
PingDirectory/logs/access
[02/Nov/2018:10:16:50.529 -0500] SEARCH RESULT instanceName="ds1"
threadID=52358 conn=-371045 op=1657393 msgID=1657394
origin="Directory REST API" httpRequestID="369"
correlationID="ee919049-6710-4594-9c66-28b4ada4b127"
authDN="uid=user.86,ou=people,dc=example,dc=com" requesterIP="internal"
requesterDN="uid=user.86,ou=People,dc=example,dc=com"
requestControls="1.3.6.1.4.1.30221.2.5.2" via="app='PingDirectory-
ds1' clientIP='0:0:0:0:0:0:1' sessionID='201811020831'
requestID='ee919049-6710-4594-9c66-28b4ada4b127'"
base="uid=user.86,ou=people,dc=example,dc=com" scope=0 filter="(&)"
attrs="mail,objectClass" resultCode=0 resultCodeName="Success" etime=0.684
entriesReturned=1
[02/Nov/2018:10:16:50.530 -0500] EXTENDED RESULT
instanceName="ds1" threadID=52358 conn=-371046 op=1657394
msgID=1657395 origin="Directory REST API" httpRequestID="369"
correlationID="ee919049-6710-4594-9c66-28b4ada4b127"
authDN="cn=Internal Client,cn=Internal,cn=Root DNs,cn=config"
requesterIP="internal" requesterDN="cn=Internal Client,cn=Internal,cn=Root
DNs,cn=config" requestControls="1.3.6.1.4.1.30221.2.5.2"
via="app='PingDirectory-ds1' clientIP='0:0:0:0:0:0:1'
sessionID='201811020831' requestID='ee919049-6710-4594-9c66-28b4ada4b127'"
requestOID="1.3.6.1.4.1.30221.1.6.1" requestType="Password
Policy State" resultCode=0 resultCodeName="Success"
etime=0.542 usedPrivileges="bypass-acl,password-reset"
responseOID="1.3.6.1.4.1.30221.1.6.1" responseType="Password Policy State"
dn="uid=user.86,ou=People,dc=example,dc=com"
[02/Nov/2018:10:16:50.530 -0500] SEARCH RESULT instanceName="ds1"
threadID=52358 conn=-371048 op=1657397 msgID=1657398
origin="Directory REST API" httpRequestID="369"
correlationID="ee919049-6710-4594-9c66-28b4ada4b127" authDN="cn=Internal
Client,cn=Internal,cn=Root DNs,cn=config" requesterIP="internal"
requesterDN="cn=Internal Client,cn=Internal,cn=Root DNs,cn=config"
requestControls="1.3.6.1.4.1.30221.2.5.2" via="app='PingDirectory-
ds1' clientIP='0:0:0:0:0:0:1' sessionID='201811020831'
requestID='ee919049-6710-4594-9c66-28b4ada4b127'" base="cn=Default Password
Policy,cn=Password Policies,cn=config" scope=0 filter="(&)" attrs="ds-
cfg-password-attribute" resultCode=0 resultCodeName="Success" etime=0.065
preAuthZUsedPrivileges="bypass-acl,config-read" entriesReturned=1
```

## Configuring Proxy Transformations

The PingDirectoryProxy Server provides proxy transformations to alter the contents of client requests as they are sent from the client to the LDAP external server. Proxy transformations can also be used to alter the responses sent back from the server to the client, including altering or omitting search result entries. The Directory Proxy Server provides the following types of data transformations:

- **Attribute mapping.** This transformation rewrites client requests so that references to one attribute type may be replaced with an alternate attribute type. The Directory Proxy Server can perform extensive replacements, including attribute names used in DNs and attribute names encoded in the values of a number of different controls and extended operations. For example, a client requests a `userid` attribute, which is replaced with `uid` before being forwarded on to the backend server. This mapping applies in reverse for the response returned to the client.

- **Default value.** This transformation instructs the Directory Proxy Server to include a static attribute value in search results being sent back to the client, in ADD requests being forwarded to an external server, or both. For example, a value of "marketing" for `businessCategory` could be returned for all search results under the base DN `ou=marketing,dc=example,dc=com`.
- **DN mapping.** This transformation rewrites client requests so that references to entries below a specified DN will be mapped to appear below another DN. For example, references to entries below `o=example.com` could be rewritten so that they are below `dc=example,dc=com` instead. The mapping applies in reverse for the response returned to the client.
- **Groovy scripted.** This custom transformation is written in Groovy and does not need to be compiled, though they use the Server SDK. These scripts make it possible to alter requests and responses in ways not available using the transformations provided with the Directory Proxy Server.
- **Suppress attribute.** This proxy transformation allows you to exclude a specified attribute from search result entries. It also provides the ability to reject add, compare, modify, modify DN, or search requests if they attempt to reference the target attribute.
- **Suppress entry.** This proxy transformation allows you to exclude any entries that match a specified filter from a set of search results. Search requests are transformed so that the original filter will be ANDed with a NOT filter containing the exclude filter. For example, if the suppression filter is `"(objectClass=secretEntry)"`, then a search request with a filter of `"(uid=john.doe)"` will be transformed so that it has a filter of `"(&(uid=john.doe)(!(objectClass=secretEntry)))"`.
- **Simple to external bind.** This proxy transformation may be used to intercept a simple bind request and instead process the bind as a SASL EXTERNAL bind. If the SASL EXTERNAL bind fails, then the original simple bind request may or may not be processed, depending on how you configure the server.
- **Third-party scripted.** This custom transformation is created using the Server SDK, making it possible to alter requests and responses in ways not available using the transformations provided with the Directory Proxy Server.

## To Configure Proxy Transformations Using dsconfig

### Steps

1. Use the `dsconfig` tool to create and configure a proxy transformation.

```
$ bin/dsconfig
```

2. Enter the connection parameters (for example, host name, port, bind DN and bind DN password).
3. In the Directory Proxy Server main menu, enter the number associated with proxy transformations. On the Proxy Transformation menu, enter the number to create a new proxy transformation.
4. Select the type of proxy transformation you want to create. In this example, we create an attribute mapping transformation. Then, enter a name for the new transformation.

```
>>>> Enter a name for the Attribute Mapping Proxy Transformation that you
want to create: userid-to-uid
```

5. Indicate whether you want the transformation to be enabled by default.

```
Select a value for the 'enabled' property:
```

```
1) true
2) false

?) help
c) cancel
q) quit
```

```
Enter choice [c]: 1
```

6. Specify the name of the client attribute that you want to remap to a target attribute. Note that this attribute must not be equal to the target attribute.

```
Enter a value for the 'source-attribute' property: userid
```

- Specify the name of the target attribute to which the client attribute should be mapped.

```
Enter a value for the 'target-attribute' property: uid
```

- The properties of your new proxy transformation are displayed. If you want to make any further modifications, enter the number corresponding to the property. Enter `f` to finish the creation of the proxy transformation.

```
Enter choice [b]: f
```

The transformation now needs to be assigned to a request processor. To create an initial request processor, see the next section.

## Configuring Request Processors

---

A request processor is responsible for handling client requests by passing the request through a load-balancing algorithm or one or more subordinate request processors. The request processor is also the Directory Proxy Server component that performs proxy transformations. You can create one of the following types of request processors:

- **Proxying request processor.** This request processor is responsible for passing allowed operations through a load balancing algorithm. Proxy transformations can be applied to requests and responses that are processed. Multiple servers may be configured to provide high availability and load balancing, and various transformations may be applied to the requests and responses that are processed.
- **Entry-balancing request processor.** This request processor is used to distribute entries under a common parent entry among multiple backend sets. A backend set is a collection of replicated directory servers that contain identical portions of the data. This request processor uses multiple, subordinate proxying request processors to process operations and maintains in-memory indexes to speed the processing of specific search and modify operations.
- **Failover request processor.** This request processor performs ordered failover between subordinate proxying processors, sometimes with different behavior for different types of operations.

### To Configure Request Processors Using `dsconfig`

#### Steps

- Use the `dsconfig` tool to create and configure a request processor.

```
$ bin/dsconfig
```

- Specify the host name, connection method, port number, and bind DN as described in previous procedures.
- In the Directory Proxy Server main menu, enter the number associated with Request Processor configuration and select the option to create a new Request Processor.
- Select an existing request processor to use as a template for creating a new one or enter `n` to create one from scratch. In this example, we create a new proxying request processor from scratch. You will be required to choose an existing load balancing algorithm or create a new one to complete the create of the request processor. Below is the configuration of the proxying request processor after selection of the load balancing algorithm.

| Property             | Value(s)                                                                 |
|----------------------|--------------------------------------------------------------------------|
| 1) description       | -                                                                        |
| 2) enabled           | true                                                                     |
| 3) allowed-operation | abandon, add, bind, compare, delete, extended, modify, modify-dn, search |

```

4) load-balancing-algorithm dc_example_dc_com-fewest-operations
5) transformation -
6) referral-behavior pass-through
7) supported-control account-usable, assertion,
authorization-identity,
get-authorization-entry,
get-effective-rights, get-server-id,
ignore-no-user-modification,
intermediate-client, manage-dsa-it,
matched-values, no-op, password-policy,
permissive-modify, post-read, pre-read,
proxied-authorization-v1,
proxied-authorization-v2,
real-attributes-only, retain-identity,
subentries, subtree-delete,
virtual-attributes-only

8) supported-control-oid -

?) help
f) finish - create the new Proxying Request Processor
d) display the equivalent dsconfig arguments to create this object
b) back
q) quit

```

- Review the configuration properties of the new request processor. If you are satisfied, enter `f` to finish. For the request processor to be used, it must be associated with a subtree view.

## To Pass LDAP Controls with the Proxying Request Processor

### About this task

If your deployment does not use entry balancing and requires the use of LDAP controls not defined in the request processor's `supported-control` property, configure the Directory Proxy Server to forward these controls correctly. This is done by configuring the `supported-control-oid` property to define the request OID of the LDAP control. The Directory Proxy Server updates the root DSE `supportedControl` attribute with the values entered for the `supported-control-oid` property.

## Configuring Server Affinity

---

The Directory Proxy Server supports the ability to forward a sequence of requests to the same external server if specific conditions are met. This feature, called server affinity, is applied by the load balancing algorithms. The following server affinity methods are available in the Directory Proxy Server:

- **Client Connection.** Requests from the same Directory Proxy Server client connection are consistently routed to the same external server.
- **Client IP.** Directory Proxy Server client requests coming from the same client IP address are routed to the same external server.
- **Bind DN.** Requests from all client connections authenticated as the same bind DN are routed to the same external server.

For each algorithm, you can specify the set of operations for which an affinity will be established, as well as the set of operations for which affinity will be used. Affinity assignments have a time-out value so that they are in effect for some period of time after the last operation that may cause the affinity to be set or updated.

## To Configure Server Affinity

### About this task

In this example, we create a bind DN server affinity provider for any client requesting write operations to have subsequent requests, whether read or write, forwarded to the same external server. The affinity period will last for 30 seconds after the last write request.

### Steps

1. Use the `dsconfig` tool to configure server affinity. Specify the host name, connection method, port number, and bind DN as described in previous procedures.

```
$ bin/dsconfig
```

2. In the Directory Proxy Server main menu, enter the number associated with server affinity provider configuration
3. On the Server Affinity menu, enter the number corresponding to creating a new server affinity provider.
4. Enter a name for your new server affinity provider.

```
>>>> Enter a name for the Bind DN Server Affinity Provider
that you want to create: Affinity for Writing Applications
```

5. Indicate whether you want the server affinity provider to be enabled for use by the Directory Proxy Server. In this example, enter 1 to enable to the server affinity provider.
6. Next, configure the properties of the server affinity provider. For example, you can customize the types of operations for which affinity may be set and the types of operations for which affinity may be used, as well as the length of time for which the affinity should persist. This example illustrates the properties of the bind DN server affinity provider.

```
>>>> >>>> Configure the properties of the Bind DN Server Affinity Provider
```

| Property                                                           | Value(s)                                              |
|--------------------------------------------------------------------|-------------------------------------------------------|
| 1) description                                                     | -                                                     |
| 2) enable                                                          | true                                                  |
| 3) affinity-duration                                               | 30 s                                                  |
| 4) set-affinity-operation                                          | add, delete, modify, modify-dn                        |
| 5) use-affinity-operation                                          | add, bind, compare, delete, modify, modify-dn, search |
| ? ) help                                                           |                                                       |
| f) finish - create the new Bind DN Server Affinity Provider        |                                                       |
| d) display the equivalent dsconfig arguments to create this object |                                                       |
| b) back                                                            |                                                       |
| q) quit                                                            |                                                       |

```
Enter choice [b]:
```

7. Review the properties of the server affinity provider. If you are satisfied, enter `f` to finish. Once defined, the affinity provider can now be assigned to a load balancing algorithm.

## Configuring Subtree Views

You provide clients access to a specific portion of the DIT creating a subtree view and assigning it to a client connection policy. You can configure subtree views from the command line or using the Administrative Console.

When you create a subtree view, you provide the following information to configure its properties:

- Subtree view name
- Base DN managed by the subtree view
- Request processor used by the subtree view to route requests. If one does not exist already, you will create a new one.

## To Configure Subtree View

### Steps

1. Use `dsconfig` to configure a subtree view.
2. In the Directory Proxy Server main menu, enter the number associated with subtree view configuration
3. In the Subtree View menu, enter the number corresponding to creating a new subtree view.
4. Enter a name for the subtree view.
5. Enter the base DN of the subtree managed by this subtree view.

```
Enter a value for the 'base-dn' property:dc=example,dc=com
```

6. Select a request processor for this subtree view to route requests or make the appropriate selection to create a new one.

```
Select a Request Processor for the 'request-processor' property:
```

```
1) dc_example_dc_com-req-processor
2) Create a new Request Processor

?) help
c) cancel
q) quit
```

```
Enter choice [c]: 1
```

7. Review the properties of the subtree view. If you are satisfied, enter `f` to finish.

```
>>>> Configure the properties of the Subtree View
>>>> via creating 'example.com' Subtree View
```

|       | Property                                                        | Value(s)                        |
|-------|-----------------------------------------------------------------|---------------------------------|
| ----- |                                                                 |                                 |
| 1)    | description                                                     | -                               |
| 2)    | base-dn                                                         | "dc=example,dc=com"             |
| 3)    | request-processor                                               | dc_example_dc_com-req-processor |
| ?)    | help                                                            |                                 |
| f)    | finish - create the new Subtree View                            |                                 |
| d)    | display the equivalent dsconfig arguments to create this object |                                 |
| b)    | back                                                            |                                 |
| q)    | quit                                                            |                                 |

Once configured, you can assign one or more subtree views to any client connection policies.

## Configuring Client Connection Policies

Client connection policies help distinguish what portions of the DIT the client can access. They also enforce restrictions on what clients can do in the server. A client connection policy specifies criteria for membership based on information about the client connection, including client address, protocol, communication security, and authentication state and identity. The client connection policy, however, does not control membership based on the type of request being made.

Every client connection is associated with exactly one client connection policy at any given time, which is assigned to the client when the connection is established. The choice of which client connection policy to use will be reevaluated when the client attempts a bind to change its authentication state or uses the StartTLS extended operation to convert an insecure connection to a secure one. Any changes you make to the client connection policy do not apply to existing connections. The changes only apply to new connections.

Client connections are always unauthenticated when they are first established. If you plan to configure a policy based on authentication, you must define at least one client connection policy with criteria that match unauthenticated connections.

Once a client has been assigned to a policy, you can determine what operations they can perform. For example, your policy might allow only SASL bind operations. Client connection policies are also associated with one or more subtree views, which determine the portions of the DIT a particular client can access. For example, you might configure a policy that prevents users connecting over the extranet from accessing configuration information. The client connection policy is evaluated in addition to access control, so even a root user connecting over the extranet would not have access to the configuration information.

## Understanding the Client Connection Policy

Client connection policies are based on two things:

- **Connection criteria.** The connection criteria are used in many areas within the server. They are used by the client connection policies, but they can also be used in other instances when the server needs to perform matching based on connection-level properties, such as filtered logging. A single connection can match multiple connection criteria definitions.
- **Evaluation order index.** If multiple client connection policies are defined in the server, then each of them must have a unique value for the **evaluation-order-index** property. The client connection policies are evaluated in order of ascending evaluation order index. If a client connection does not match the criteria for any defined client connection policy, then that connection will be terminated.

If the connection policy matches a connection, then the connection is assigned to that policy and no further evaluation occurs. If, after evaluating all of the defined client connection policies, no match is found, the connection is terminated.

## When a Client Connection Policy is Assigned

A client connection policy can be associated with a client connection at the following times:

- When the connection is initially established. This association occurs exactly once for each client connection.
- After completing processing for a StartTLS operation. This association occurs at most once for a client connection, because StartTLS cannot be used more than once on a particular connection. You also may not stop using StartTLS while keeping the connection active.
- After completing processing for a bind operation. This association occurs zero or more times for a client connection, because the bind request can be processed many times on a given connection.

StartTLS and bind requests will be subject to whatever constraints are defined for the client connection policy that is associated with the client connection at the time that the request is received. Once they have completed, then subsequent operations will be subject to the constraints of the new client connection policy assigned to that client connection. This policy may or may not be the same client connection policy that was associated with the connection before the operation was processed. That is, any policy changes do not apply to existing connections and will be applicable when the client reconnects.

All other types of operations will be subject to whatever constraints are defined for the client connection policy used by the client connection at the time that the request is received. The client connection policy assigned to a connection never changes as a result of processing any operation other than a bind or StartTLS. So, the server will not re-evaluate the client connection policy for the connection in the course of processing an operation. For example, the client connection policy will never be re-evaluated for a search operation.

## Restricting the Type of Search Filter Used by Clients

You can restrict the types of search filters that a given client may be allowed to use to prevent the use of potentially expensive filters, like range or substring searches. You can use the `allowed-filter-type` property to provide a list of filter types that may be included in the search requests from clients associated with the client connection policy. This setting will only be used if search is included in the set of allowed operation types. This restriction will only be applied to searches with a scope other than `baseObject`, such as searches with a scope of `singleLevel`, `wholeSubtree`, or `subordinateSubtree`.

The `minimum-substring-length` property can be used to specify the minimum number of non-wildcard characters in a substring filter. Any attempt to use a substring search with an element containing fewer than this number of bytes will be rejected. For example, the server can be configured to reject filters like `"(cn=a*)"` and `"(cn=ab*)"`, but to allow `"(cn=abcde*)"`. This property setting will only be used if search is included in the set of allowed operation types and at least one of `sub-initial`, `sub-any`, or `sub-final` is included in the set of allowed filter types.

There are two primary benefits to enforcing a minimum substring length:

- Allowing very short substrings can require the server to perform more expensive processing. The search requires a lot more server effort to assemble a candidate entry list for short substrings because the server has to examine a lot more index keys.
- Allowing very short substrings makes it easier for a client to put together a series of requests to retrieve all the data from the server (a process known as "trawling"). If a malicious user wants to obtain all the data from the server, then it is easier to issue 26 requests like `"(cn=a*)"`, `"(cn=b*)"`, `"(cn=c*)"`, ..., `"(cn=z*)"` than if the user is required to do something like `"(cn=aaaaa*)"`, `"(cn=aaaab*)"`, `"(cn=aaaac*)"`, ..., `"(cn=zzzzz*)"`.

## Defining Request Criteria

The client connection policy provides several properties that allow you to define the kinds of requests that it can issue. The `required-operation-request-criteria` property causes the server to reject any requests that do not match the referenced request criteria. The `prohibited-operation-request-criteria` property causes the server to reject any request that matches the referenced request criteria.

## Setting Resource Limits

A client connection policy can specify resource limits, helping to ensure that no single client monopolizes server resources. The resource limits are applied in addition to any global configuration resource limits. In other words, a client connection policy cannot grant additional resources beyond what is set in the global configuration. If a client connection exceeds either a globally-defined limit or a policy limit, then it is terminated.

**Note:** The Directory Proxy Server's global configuration can enforce limits on the number of concurrent connections that can be established in the following ways:

- Limit the total number of concurrent connections to the server.
- Limit the total number of concurrent connections from the same IP address.
- Limit the total number of concurrent connections authenticated as the same bind DN.

## Defining the Operation Rate

You can configure the maximum operation rate for individual client connections as well as collectively for all connections associated with a client connection policy. If the operation rate limit is exceeded, the Directory Proxy Server may either reject the operation or terminate the connection. You can define multiple rate limit values, making it possible to fine tune limits for both a long term average operation rate and short term operation bursts. For example, you can define a limit of one thousand operations per second and one million operations per day, which works out to an average of less than twelve operations per second, but with bursts of up to one thousand operations per second.

Rate limit strings should be specified as a maximum count followed by a slash and a duration. The count portion must contain an integer, and may be followed by a multiplier of k (to indicate that the integer should be interpreted as thousands), m (to indicate that the integer should be interpreted as millions), or g (to indicate that the integer should be interpreted as billions). The duration portion must contain a time unit of milliseconds (ms), seconds (s), minutes (m), hours (h), days (d), or weeks (w), and may be preceded by an integer to specify a quantity for that unit.

For example, the following are valid rate limit strings:

1/s (no more than one operation over a one-second interval)  
 10K/5h (no more than ten thousand operations over a five-hour interval)  
 5m/2d (no more than five million operations over a two-day interval)

You can provide time units in many different formats. For example, a unit of seconds can be signified using s, sec, sect, second, and seconds.

## Client Connection Policy Deployment Example

In this example scenario, we assume the following:

Two external LDAP clients are allowed to bind to the Directory Proxy Server.

Client 1 should be allowed to open only 1 connection to the server.

Client 2 should be allowed to open up to 5 connections to the server.

### Defining the Connection Policies

We need to set a per-client connection policy limit on the number of connections that may be associated with a particular client connection policy. We have to define at least two client connection policies, one for each of the two clients. Each policy must have different connection criteria for selecting the policy with which a given client connection should be associated.

Because the criteria is based on authentication, we must create a third client connection policy that applies to unauthenticated clients, because client connections are always unauthenticated as soon as they are established and before they have sent a bind request. Plus, clients are not required to send a bind request as their first operation.

Therefore, we define the following three client connection policies:

**Client 1 Connection Policy**, which only allows client 1, with an evaluation order index of 1.

**Client 2 Connection Policy**, which only allows client 2, with an evaluation order index of 2.

**Unauthenticated Connection Policy**, which allows unauthenticated clients, with an evaluation order index of 3.

We define simple connection criteria for the Client 1 Connection Policy and the Client 2 Connection Policy with the following properties:

The `user-auth-type` must not include none, so that it will only apply to authenticated client connections.

The `included-user-base-dn` should match the bind DN for the target user. This DN may be full DN for the target user, or it may be the base DN for a branch that contains a number of users that you want treated in the same way.

To create more generic criteria that match more than one user, you could list the DNs of each of the users explicitly in the `included-user-base-dn` property. If there is a group that contains all of the pertinent users, then you could instead use the `[all|any|not-all|not-any]-included-user-group-dn` property to apply to all members of that group. If the entries for all of the users match a particular filter, then you could use the `[all|any|not-all|not-any]-included-user-filter` property to match them.

### How the Policy is Evaluated

Whenever a connection is established, the server associates the connection with exactly one client connection policy. The server does this by iterating over all of the defined client connection policies in

ascending order of the evaluation order index. Policies with a lower evaluation order index value will be examined before those with a higher evaluation order index value. The first policy that the server finds whose criteria match the client connection will be associated with that connection. If no client connection policy is found with criteria matching the connection, then the connection will be terminated.

So, in our example, when a new connection is established, the server first checks the connection criteria associated with the Client 1 Connection Policy because it has the lowest evaluation order index value. If it finds that the criteria do not match the new connection, the server then checks the connection criteria associated with the Client 2 Connection Policy because it has the second lowest evaluation order index. If these criteria do not match, the server finally checks the connection criteria associated with the Unauthenticated Connection Policy, because it has the third lowest evaluation order index. It finds a match, so the client connection is associated with the Unauthenticated Connection Policy.

After the client performs a bind operation to authenticate to the server, then the client connection policies will be re-evaluated. If client 2 performs the bind, then the Client 1 Connection Policy will not match but the Client 2 Connection Policy will, so the connection will be re-associated with that client connection policy. Whenever a connection is associated with a client connection policy, the server will check to see if the maximum number of client connections have already been associated with that policy. If so, then the newly-associated connection will be terminated.

For example, Client 1 opens a new connection. Because it is a new connection not yet associated with connection criteria, it is assigned to the Unauthenticated Connection Policy. Client 1 then sends a bind request. The determination of whether the bind operation is allowed is made based on the constraints defined in the Unauthenticated Connection Policy, because it is the client connection policy already assigned to the client connection. Once the bind has completed, then the server will reevaluate the client connection policy against the connection criteria associated with Client 1 Connection Policy, because it has the lowest evaluation order index. The associated connection criteria match, so processing stops and the client connection is assigned to the Client 1 Connection Policy.

Next, Client 2 opens a new connection. Because it is a new connection not yet associated with connection criteria, it is assigned to the Unauthenticated Connection Policy. When Client 2 sends a bind request, the operation is allowed based on the constraints defined in the Unauthenticated Connection Policy. Once the bind is complete, the client connection is evaluated against the connection criteria associated with Client 1 Connection Policy, because it has the lowest evaluation order index. The associated connection criteria do not match, so the client 2 connection is evaluated against the connection criteria associated with Client 2 Connection Policy, because it has the next lowest evaluation order index. The associated connection criteria match, so processing stops and the client connection is assigned to Client 2 Connection Policy.

Client 1 sends a search request. The Client 1 Connection Policy is used to determine whether the search operation should be allowed, because this is the client connection policy assigned to the client connection for client 1. The connection is not reevaluated, before or after processing the search operation.

## To Configure a Client Connection Policy Using dsconfig

### Steps

1. Use the `dsconfig` tool to create and configure a client connection policy.

```
$ bin/dsconfig
```

2. Enter the connection parameters to the server (for example, host name, connection method, port, bind DN and bind DN password).
3. In the Directory Proxy Server main menu, enter the number associated with client connection policy configuration. Then enter the number to create a new client connection policy.

```
>>>> Client connection policy menu
```

```
What would you like to do?
```

```
1) List existing client connection policies
```

```

2) Create a new client connection policy
3) View and edit an existing client connection policy
4) Delete an existing client connection policy

b) back
q) quit

```

```
Enter choice [b]: 2
```

4. Enter `n` to create a new client connection policy from scratch.

```
>>> Select an existing Client Connection Policy to use as a
template for the new Client Connection Policy configuration or
'n' to create one from scratch:
```

```

1) default

n) new Client Connection Policy created from scratch
c) cancel
q) quit

```

5. Enter a name for the new client connection policy.

```
Enter the 'policy-id' for the Client Connection Policy that you
want to create: new_policy
```

6. Indicate whether you want the policy to be enabled by default.

```
Select a value for the 'enabled' property:
```

```

1) true
2) false

?) help
c) cancel
q) quit

```

```
Enter choice [c]: 1
```

7. Provide a value for the `evaluation-order-index` property. Client connection policies with a lower index will be evaluated before those with a higher index.

```
Enter a value for the 'evaluation-order-index' property: 2
```

8. The properties of your new client connection policy are displayed. If you want to make any further modifications, enter the number corresponding to the property. Enter `f` to finish the creation of the client connection policy.

Any changes that you make to the client connection policy do not apply to existing connections. They will only apply to new connections.

## Configuring Globally Unique Attributes

---

The PingDirectoryProxy Server supports a Globally Unique Attributes feature that ensures uniqueness for any value defined for a set of attributes within a subtree view. You can also configure when the server checks for attribute conflicts, either prior to any add, modify, or modify DN change request (pre-commit) or after the successful completion of a change request (post-commit).

## About the Globally Unique Attribute plugin

The Directory Proxy Server supports a Globally Unique Attribute plugin that prevents any value within a defined set of attributes to appear more than once in any entry for one or more subtree views. Administrators can also configure whether conflict validation should be checked before an add, modify, or modify DN request to one or more backend servers or after the change has successfully completed.

For example, if the `pre-commit-validation` property is enabled, the Globally Unique Attribute Plugin performs one or more searches to determine whether any entries conflict with the change (i.e., add, modify, or modify DN). If a conflict is detected, then the change request will be rejected. If the `post-commit-validation` property is enabled, after the change has been processed, the server performs one or more searches to determine if a conflict was created in multiple servers at the same time. If a conflict is detected in this manner, then an administrative alert will be generated to notify administrators of the problem so that they can take any manual corrective action.

**Note:** The Globally Unique Attribute plugin will attempt to detect and/or prevent unique attribute conflicts for changes processed through this Directory Proxy Server, but it cannot detect conflicts introduced by changes applied by clients communicating *directly* with backend servers.

We recommend that the Unique Attribute plugin be enabled for all backend servers with the same configuration, so that conflicts can be detected within individual backend server instances. However, the Unique Attribute plugin alone may not be sufficient for cases in which the content is split across multiple sets of servers (e.g., in an entry-balanced environment or in proxy configurations with different branches on different servers).

The LDAP SDK uniqueness request control can be used for enforcing uniqueness on a per-request basis. See the LDAP SDK documentation and the `com.unboundid.ldap.sdk.unboundidds.controls.UniquenessResponseControl` class for using the control. See the ASN.1 specification to implement support for it in other APIs.

In general, note the following points about pre-commit validation versus post-commit validation:

- Pre-commit validation is the only mechanism that can try to prevent conflicts. It will increase the processing time for add, modify, and modify DN operations because the necessary searches to look for conflicts happen before the update request is forwarded to any backend servers.
- Post-commit validation will only let you know (via administrative alert) about conflicts that already exist in the data. It can't prevent conflicts, but can allow you to deal with them in a timely manner. It also operates during the post-response phase, so it won't affect the processing time for the associated write operation.
- In most cases, pre-commit validation should be sufficient to prevent conflicts, although we recommend that you periodically run the `identify-unique-attribute-conflicts` tool to find any conflicts that may have arisen. If you want to mitigate any risks due to conflicts being generated by concurrent operations in different servers, then using both `pre-commit-validation` and `post-commit-validation` properties provides the best combination of preventing most conflicts in advance, and detecting and alerting about conflicts that arise from concurrent writes.

For more detailed information about the plugin, see the *Directory Proxy Server Reference (HTML)*

## To Configure the Globally Unique Attribute plugin

### About this task

The following example shows how to configure the Globally Unique Attribute plugin. The example defines an attribute set consisting of the `telephoneNumber` and `mobile` attributes within the "test-view" subtree view. The `multiple-attribute-behavior` property determines the scope of how attributes may differ among entries and is the same property for the Directory Server plugin. The property is set to `unique-across-all-attributes-including-in-same-entry`, which indicates that the `telephone` and `mobile` attributes must be unique throughout the subtree view, even within an entry. The `pre-commit-validation` property ensures that the Globally Unique Attribute Plugin performs one or more searches

to determine whether any entries conflict with the change (i.e., add, modify, or modify DN). If a conflict is detected, then the change request will be rejected.

Note that all configured attributes should be indexed for equality in all backend servers.

### Steps

- Run `dsconfig` to create the Globally Unique Attribute plugin. The server checks that any add, modify, or modify DN request does not conflict with any attribute values in the entries. If a conflict exists, the change request is rejected.

```
$ bin/dsconfig create-plugin \
 --plugin-name "Globally-Unique telephone and mobile" \
 --type globally-unique-attribute \
 --set enabled:true \
 --set type:telephoneNumber \
 --set type:mobile \
 --set subtree-view:test-view \
 --set multiple-attribute-behavior:unique-across-all-attributes-including-
in-same-entry \
 --set pre-commit-validation:all-available-backend-servers
```

## Configuring the Global Referential Integrity plugin

---

The PingDirectoryProxy Server supports a global referential integrity plugin mechanism that maintains DN references from a specified set of attributes to entries that exist in the server (e.g., between the members values of a static group and the corresponding user entries). The plugin intercepts delete and modify DN operations and updates any references to the target entry. For a delete operation, any references to the target entry are removed. For modify DN operations, any references to the target entry are updated to reflect the new DN of the entry.

The plugin is similar to the Directory Server Referential Integrity plugin but does not have an asynchronous mode. When enabled on the Directory Proxy Server, the client response will be delayed until the referential integrity processing is complete. For Directory Proxy Server deployments not using entry balancing and using Directory Server external servers, it is best to instead use the Referential Integrity plugin on the Directory Server.

An equality index must be defined on all attributes referenced within the Global Referential Integrity plugin across all external servers.

### Sample Global Referential Integrity plugin

#### Steps

- Use `dsconfig` to configure the Global Referential Integrity plugin. The plugin ensures that the `member`, `uniqueMember`, and `manager` attributes maintain their DN references in the defined subtree views. Note that any attributes for which referential integrity should be maintained should have values which are DNs and should be indexed for equality in all backend servers.

```
$ bin/dsconfig create-plugin \
 --plugin-name "Global Referential Integrity" \
 --type global-referential-integrity \
 --set "enabled:true" \
 --set "attribute-type:member" \
 --set "attribute-type:uniqueMember" \
 --set "attribute-type:manager" \
 --set "subtree-view:employee-view" \
 --set "subtree-view:groups-view"
```

## Configuring an Active Directory Server Back-end

Configuring an Active Directory server back-end requires a `dsconfig` script. The following settings are required for an Active Directory server:

- `verify-credentials-method:bind-on-existing-connections`, and `authorization-method:rebind`

Active Directory does not support `proxy-as`. Existing connections must be reused.

- `set max-connection-age:5m`, and `health-check-pooled-connections:true`

Active Directory drops idle connections after 15 minutes. The proxy needs to refresh the connection pool in a shorter interval.

The following example `dsconfig` script configures two Active Directory servers (AD-SRV1 and AD-SRV2).

```
dsconfig set-ldap-health-check-prop --check-name "Consume Admin Alerts" \
 --reset use-for-all-servers

dsconfig set-trust-manager-provider-prop \
 --provider-name "Blind Trust" \
 --set enabled:true

dsconfig create-external-server --server-name AD-SRV1 --type active-directory \
 --set server-host-name:example.server \
 --set server-port:636 \
 --set bind-dn:cn=ProxyUser,dc=dom-ad2,dc=local \
 --set password:password --set connection-security:ssl \
 --set key-manager-provider:Null --set trust-manager-provider:"Blind Trust" \
 --set authorization-method:rebind \
 --set verify-credentials-method:bind-on-existing-connections \
 --set max-connection-age:5m \
 --set health-check-pooled-connections:true

dsconfig create-external-server --server-name AD-SRV2 --type active-directory \
 --set server-host-name:example.server \
 --set server-port:636 \
 --set bind-dn:cn=ProxyUser,dc=dom-ad2,dc=local \
 --set password:password \
 --set connection-security:ssl \
 --set key-manager-provider:Null \
 --set trust-manager-provider:"Blind Trust" \
 --set authorization-method:rebind \
 --set verify-credentials-method:bind-on-existing-connections \
 --set max-connection-age:5m \
 --set health-check-pooled-connections:true

dsconfig create-load-balancing-algorithm --algorithm-name AD-LBA \
 --type fewest-operations \
 --set enabled:true \
 --set backend-server:AD-SRV1 \
 --set backend-server:AD-SRV2 \
 --set use-location:false

dsconfig create-request-processor --processor-name AD-Proxy --type proxying \
 --set load-balancing-algorithm:AD-LBA

dsconfig create-subtree-view --view-name AD-View \
 --set base-dn:dc=dom-ad2,dc=local \
```

```
--set request-processor:AD-Proxy
dsconfig set-client-connection-policy-prop --policy-name default \
--set subtree-view:AD-View
```

## Managing Access Control

---

The PingDirectoryProxy Server provides a fine-grained access control model to ensure that users are able to access the information they need, but are prevented from accessing information that they should not be allowed to see. It also includes a privilege subsystem that provides even greater flexibility and protection in many key areas.

This chapter presents the access control model and how it applies to the Directory Proxy Server.

### Overview of Access Control

---

The access control model uses access control instructions (ACIs), which are stored in the `aci` operational attribute, to determine what a user or a group of users can do with a set of entries, down to the attribute level. The operational attribute can appear on any entry and affects the entry or any subentries within that branch of the directory information tree (DIT).

Access control instructions specifies four items:

- **Resources.** *Resources* are the targeted items or objects that specifies the set of entries and/or operations to which the access control instruction applies. For example, you can specify access to certain attributes, such as the `cn` or `userPassword` password.
- **Name.** *Name* is the descriptive label for each access control instruction. Typically, you will have multiple access control instructions for a given branch of your DIT. The access control name helps describe its purpose. For example, you can configure an access control instructions labelled "ACI to grant full access to administrators."
- **Clients.** *Clients* are the users or entities to which you grant or deny access. You can specify individual users or groups of users using an LDAP URL. For example, you can specify a group of administrators using the LDAP URL: `groupdn="ldap:///cn=admins,ou=groups,dc=example,dc=com."`
- **Rights.** *Rights* are permissions granted to users or client applications. You can grant or deny access to certain branches or operations. For example, you can grant `read` or `write` permission to a `telephoneNumber` attribute.

### Key Access Control Features

The PingDirectoryProxy Server provides important access control features that provide added security for the Directory Proxy Server's entries.

#### Improved Validation and Security

The Directory Proxy Server provides an access control model with strong validation to help ensure that invalid ACIs are not allowed into the server. For example, the Directory Proxy Server ensures that all access control rules added over LDAP are valid and can be fully parsed. Any operation that attempts to store one or more invalid ACIs are rejected. The same validation is applied to ACIs contained in data imported from an LDIF file. Any entry containing a malformed `aci` value will be rejected.

As an additional level of security, the Directory Proxy Server examines and validates all ACIs stored in the data whenever a backend is brought online. If any malformed ACIs are found in the backend, then the server generates an administrative alert to notify administrators of the problem and places itself in lockdown mode. While in lockdown mode, the server only allows requests from users who have the `lockdown-mode` privilege. This action allows administrators to correct the malformed ACI while ensuring that no sensitive data is inadvertently exposed due to an access control instruction not being enforced.

When the problem has been corrected, the administrator can use the `leave-lockdown-mode` tool or restart the server to allow it to resume normal operation.

## Global ACIs

Global ACIs are a set of ACIs that can apply to entries anywhere in the server (although they can also be scoped so that they only apply to a specific set of entries). They work in conjunction with access control rules stored in user data and provide a convenient way to define ACIs that span disparate portions of the DIT.

In the PingDirectoryProxy Server, global ACIs are defined within the server configuration, in the `global-aci` property of configuration object for the access control handler. They can be viewed and managed using configuration tools like `dsconfig` and the Administrative Console.

The global ACIs available by default in the PingDirectoryProxy Server include:

- Allow anyone (including unauthenticated users) to access key attributes of the root DSE, including: `namingContexts`, `subschemaSubentry`, `supportedAuthPasswordSchemes`, `supportedControl`, `supportedExtension`, `supportedFeatures`, `supportedLDAPVersion`, `supportedSASLMechanisms`, `vendorName`, and `vendorVersion`.
- Allow anyone (including unauthenticated users) to access key attributes of the subschema subentry, including: `attributeTypes`, `dITContentRules`, `dITStructureRules`, `ldapSyntaxes`, `matchingRules`, `matchingRuleUse`, `nameForms`, and `objectClasses`.
- Allow anyone (including unauthenticated users) to include the following controls in requests made to the server: authorization identity request, manage DSA IT, password policy, real attributes only, and virtual attributes only.
- Allow anyone (including unauthenticated users) to request the following extended operations: get symmetric key, password modify request, password policy state, StartTLS, and Who Am I?

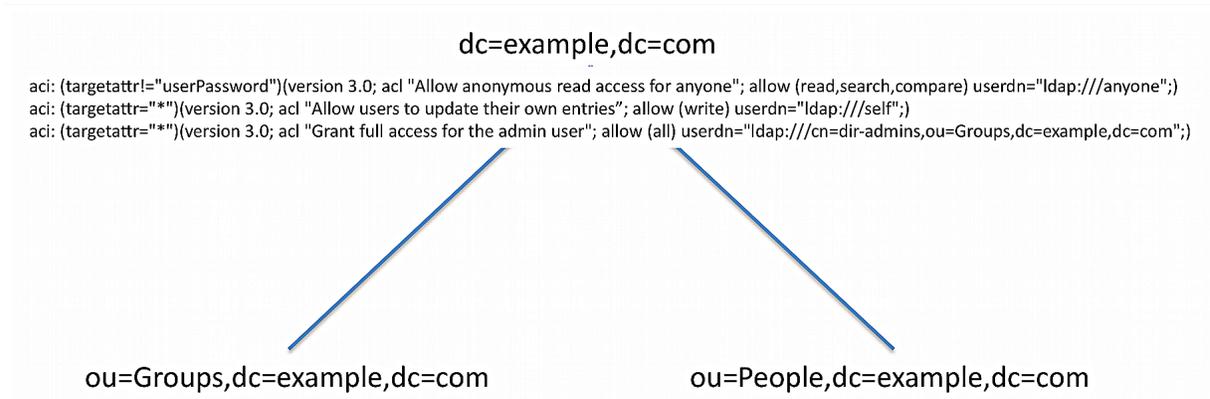
## Access Controls for Public or Private Backends

The PingDirectoryProxy Server classifies backends as either public or private, depending on their intended purpose. A private backend is one whose content is generated by the Directory Proxy Server itself (for example, the root DSE, monitor, and backup backends), is used in the operation of the server (for example, the configuration, schema, task, and trust store backends), or whose content is maintained by the server (for example, the LDAP changelog backend). A public backend is intended to hold user-defined content, such as user accounts, groups, application data, and device data.

The PingDirectoryProxy Server access control model also supports the distinction between public backends and private backends. Many private backends do not allow writes of any kind from clients, and some of the private backends that do allow writes only allow changes to a specific set of attributes. As a result, any access control instruction intended to permit or restrict access to information in private backends should be defined as global ACIs, rather than attempting to add those instructions to the data for that private backend.

## General Format of the Access Control Rules

Access control instructions (ACIs) are represented as strings that are applied to one or more entries within the Directory Information Tree (DIT). Typically, an ACI is placed on a subtree, such as `dc=example,dc=com`, and applies to that base entry and all entries below it in the tree. The Directory Proxy Server iterates through the DIT to compile the access control rules into an internally-used list of denied and allowed targets and their permissible operations. When a client application, such as `ldapsearch`, enters a request, the Directory Proxy Server checks that the user who binds with the server has the necessary access rights to the requested search targets. ACIs are cumulatively applied, so that a user who may have an ACI at an entry, may also have other access rights available if ACIs are defined higher in the DIT and are applicable to the user. In most environments, ACIs are defined at the root of a main branch or a subtree, and not on individual entries unless absolutely required.

**Figure 3: ACI**

An access control rule has a basic syntax as follows:

```

aci : (targets) (version 3.0; acl "name" ;
permissions
bind rules
;)

```

**Table 4: Access Control Components**

| Access Control Component | Description                                                                                                                                                                                                                  |
|--------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| targets                  | Specifies the set of entries and/or attributes to which an access control rule applies. Syntax: <i>(target keyword =    != expression)</i>                                                                                   |
| name                     | Specifies the name of the ACI.                                                                                                                                                                                               |
| permissions              | Specifies the type of operations to which an access control rule might apply. Syntax: <i>allow  deny (permission)</i>                                                                                                        |
| bind rules               | Specifies the criteria that indicate whether an access control rule should apply to a given requestor. Syntax: <i>bind rule keyword =    != expression;. The bind rule syntax requires that it be terminated with a ";".</i> |

## Summary of Access Control Keywords

This section provides an overview of the keywords supported for use in the PingDirectoryProxy Server access control implementation.

### Targets

A target expression specifies the set of entries and/or attributes to which an access control rule applies. The *keyword* specifies the type of target element. The *expression* specifies the items that is targeted by the access control rule. The operator is either the equal ("=") or not-equal ("!="). Note that the "!=" operator cannot be used with `targattrfilters` and `targetscope` keywords. For specific examples on each target keyword, see the section [Working with Targets](#).

```
(keyword [= | !=] expression)
```

The following keywords are supported for use in the target portion of ACIs:

**Table 5: Summary of Access Control Target Keywords**

| Target Keyword  | Description                                                                                                                                                                  | Wildcards |
|-----------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|
| extop           | Specifies the OIDs for any extended operations to which the access control rule should apply.                                                                                | No        |
| target          | Specifies the set of entries, identified using LDAP URLs, to which the access control rule applies.                                                                          | Yes       |
| targattrfilters | Identifies specific attribute values based on filters that may be added to or removed from entries to which the access control rule applies.                                 | Yes       |
| targetattr      | Specifies the set of attributes to which the access control rule should apply.                                                                                               | Yes       |
| targetcontrol   | Specifies the OIDs for any request controls to which the access control rule should apply.                                                                                   | No        |
| targetfilter    | Specifies one or more search filters that may be used to indicate the set of entries to which the access control should apply.                                               | Yes       |
| targetscope     | Specifies the scope of entries, relative to the defined target entries or the entry containing the ACI if there is no target, to which the access control rule should apply. | No        |

### Permissions

Permissions indicate the types of operations to which an access control rule might apply. You can specify if the user or group of users are allowed or not allowed to carry out a specific operation. For example, you would grant read access to a targeted entry or entries using "allow (read)" permission. Or you can specifically deny access to the target entries and/or attributes using the "deny (read)" permission. You can list out multiple permissions as required in the ACI.

```
allow (permission1 ...,
 permission2
 ,...permissionN)
```

```
deny (permission1 ...,
 permission2
 ,...permissionN)
```

The following keywords are supported for use in the permissions portion of ACIs:

**Table 6: Summary of Access Control Permissions**

| Permission | Description                                                                                                                                                |
|------------|------------------------------------------------------------------------------------------------------------------------------------------------------------|
| add        | Indicates that the access control should apply to add operations.                                                                                          |
| compare    | Indicates that the access control should apply to compare operations, as well as to search operations with a base-level scope that targets a single entry. |
| delete     | Indicates that the access control should apply to delete operations.                                                                                       |

| Permission | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
|------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| export     | Indicates that the access control should only apply to modify DN operations in which an entry is moved below a different parent by specifying a new superior DN in the modify DN request. The requestor must have the <code>export</code> permission for operations against the entry's original DN. The requestor must have the <code>import</code> permission for operations against the entry's new superior DN. For modify DN operations that merely alter the RDN of an entry but keeps it below the same parent (i.e., renames the entry), only the <code>write</code> permission is required. This is true regardless of whether the entry being renamed is a leaf entry or has subordinate entries. |
| import     | See the description for the <code>export</code> permission.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| proxy      | Indicates that the access control rule should apply to operations that attempt to use an alternate authorization identity (for example, operations that include a proxied authorization request control, an intermediate client request control with an alternate authorization identity, or a client that has authenticated with a SASL mechanism that allows an alternate authorization identify to be specified).                                                                                                                                                                                                                                                                                        |
| read       | Indicates that the access control rule should apply to search result entries returned by the server.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| search     | Indicates that the access control rule should apply to search operations with a non-base scope.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| selfwrite  | Indicates that the access control rule should apply to operations in which a user attempts to add or remove his or her own DN to the values for an attribute (for example, whether users may add or remove themselves from groups).                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| write      | Indicates that the access control rule should apply to modify and modify DN operations.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| all        | An aggregate permission that includes all other permissions except "proxy." This is equivalent to providing a permission of "add, compare, delete, read, search, selfwrite, write, export, and import."                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |

### Bind Rules

The Bind Rules indicate whether an access control rule should apply to a given requester. The syntax for the target keyword is shown below. The *keyword* specifies the type of target element. The expression specifies the items that is targeted by the access control rule. The operator is either equals ("=") or not-equals ("!="). The semi-colon delimiter symbol (";") is required after the end of the final bind rule.

```
keyword [=|!=] expression;
```

Multiple bind rules can be combined using boolean operations (AND, OR, NOT) for more access control precision. The standard Boolean rules for evaluation apply: innermost to outer parentheses first, left to right expressions, NOT before AND or OR. For example, an ACI that includes the following bind rule targets all users who are not `uid=admin,dc=example,dc=com` and use simple authentication.

```
(userdn!="ldap:///uid=admin,dc=example,dc=com" and authmethod="simple");
```

The following bind rule targets the `uid=admin,dc=example,dc=com` and authenticates using SASL EXTERNAL or accesses the server from a loopback interface.

```
(userdn="ldap:///uid=admin,dc=example,dc=com and (authmethod="SSL" or ip="127.0.0.1"));
```

The following keywords are supported for use in the bind rule portion of ACIs:

Table 7: Summary of Bind Rule Keywords

| Bind Rule Keyword | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|-------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| authmethod        | <p>Indicates that the requester's authentication method should be taken into account when determining whether the access control rule should apply to an operation. Wildcards are not allowed in this expression. The keyword's syntax is as follows:</p> <pre style="text-align: center;"><b>authmethod</b> = <i>method</i></pre> <p>where <i>method</i> is one of the following representations:</p> <ul style="list-style-type: none"> <li>none</li> <li>simple. Indicates that the client is authenticated to the server using a bind DN and password.</li> <li>ssl. Indicates that the client is authenticated with an SSL/TLS certificate (e.g., via SASL EXTERNAL), and not just over a secure connection to the server.</li> <li>sasl {sasl_mechanism}. Indicates that the client is authenticated to the server using a specified SASL Mechanism.</li> </ul> <p>The following example allows users who authenticate with an SSL/TLS certificate (e.g., via SASL EXTERNAL) to update their own entries:</p> <pre>aci: (targetattr="*")   (version 3.0; acl "Allow users to update their own entries";    allow (write) (userdn="ldap:///self" and authmethod="ssl");)</pre> |
| dayofweek         | <p>Indicates that the day of the week should be taken into account when determining whether the access control rule should apply to an operation. Wildcards are not allowed in this expression. Multiple day of week values may be separated by commas. The keyword's syntax is as follows:</p> <pre style="text-align: center;"><b>dayofweek</b> = <i>day1, day2, ...</i></pre> <p>where <i>day</i> is one of the following representations:</p> <ul style="list-style-type: none"> <li>sun</li> <li>mon</li> <li>tues</li> <li>wed</li> <li>thu</li> <li>fri</li> <li>sat</li> </ul> <p>The following example allows users who authenticate with an SSL/TLS certificate (e.g., via SASL EXTERNAL) on weekdays to update their own entries:</p> <pre>aci: (targetattr="*")   (version 3.0; acl "Allow users to update their own entries";    allow (write) (dayofweek!="sun,sat" and userdn="ldap:///self"    and authmethod="ssl");)</pre>                                                                                                                                                                                                                                        |

| Bind Rule Keyword | Description                                                                                                                                                                                                                                                                                                |
|-------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| dns               | <p>Indicates that the requester's DNS-resolvable host name should be taken into account when determining whether the access control rule should apply to an operation. Wildcards are allowed in this expression. Multiple DNS patterns may be separated by commas. The keyword's syntax is as follows:</p> |
|                   | <pre style="text-align: center;"><b>dns</b> = <i>dns-host-name</i></pre>                                                                                                                                                                                                                                   |
|                   | <p>The following example allows users on host name <code>server.example.com</code> to update their own entries:</p>                                                                                                                                                                                        |
|                   | <pre>aci: (targetattr="*")   (version 3.0; acl "Allow users to update their own entries";    allow (write) (dns="server.example.com" and userdn="ldap:///self");)</pre>                                                                                                                                    |
| groupdn           | <p>Indicates that the requester's group membership should be taken into account when determining whether the access control rule should apply to any operation. Wildcards are not allowed in this expression.</p>                                                                                          |
|                   | <pre style="text-align: center;"><b>groupdn</b> [ =    != ] "ldap:///groupdn [    <b>ldap:///groupdn ] ..."</b></pre>                                                                                                                                                                                      |
|                   | <p>The following example allows users in the managers group to update their own entries:</p>                                                                                                                                                                                                               |
|                   | <pre>aci: (targetattr="*")   (version 3.0; acl "Allow users to update their own entries";    allow (write)      (groupdn="ldap:/// cn=managers,ou=groups,dc=example,dc=com");)</pre>                                                                                                                       |

| Bind Rule Keyword | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
|-------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| ip                | <p>Indicates that the requester's IP address should be taken into account when determining whether the access control rule should apply to an operation. Wildcards are allowed in this expression. Multiple IP address patterns may be separated by commas. The keyword's syntax is as follows:</p> <pre data-bbox="971 428 1409 457">ip [ =     != ] ipAddressList</pre> <p>where <i>ipAddressList</i> is one of the following representations:</p> <ul style="list-style-type: none"> <li>A specific IPv4 address: 127.0.0.1</li> <li>An IPv4 address with wildcards to specify a subnetwork: 127.0.0.*</li> <li>An IPv4 address or subnetwork with subnetwork mask: 123.4.5.0+255.255.255.0</li> <li>An IPv4 address range using CIDR notation: 123.4.5.0/24</li> <li>An IPv6 address as defined by RFC 2373.</li> </ul> <p>The following example allows users on 10.130.10.2 and localhost to update their own entries:</p> <pre data-bbox="444 844 1435 953">aci: (targetattr="*")   (version 3.0; acl "Allow users to update their own entries";    allow (write) (ip="10.130.10.2,127.0.0.1" and     userdn="ldap:///self");)</pre> |
| timeofday         | <p>Indicates that the time of day should be taken into account when determining whether the access control rule should apply to an operation. Wildcards are not allowed in this expression. The keyword's syntax is as follows:</p> <pre data-bbox="444 1108 1211 1138">timeofday [ =     !=     &gt;=     &gt;     &lt;=     &lt; ] time</pre> <p>where <i>time</i> is one of the following representations:</p> <ul style="list-style-type: none"> <li>4-digit 24-hour time format (0000 to 2359, where the first two digits represent the hour of the day and the last two represent the minute of the hour)</li> <li>Wildcards are not allowed in this expression</li> </ul> <p>The following example allows users to update their own entries if the request is received before 12 noon.</p> <pre data-bbox="444 1419 1419 1558">aci: (targetattr="*")   (version 3.0; acl "Allow users who authenticate before noon    to update their own entries";    allow (write) (timeofday&lt;1200 and userdn="ldap:///self"     and authmethod="simple");)</pre>                                                                              |

| Bind Rule Keyword | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|-------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| userattr          | <p>Indicates that the requester's relation to the value of the specified attribute should be taken into account when determining whether the access control rule should apply to an operation. A bindType value of <code>USERDN</code> indicates that the target attribute should have a value which matches the DN of the authenticated user. A bindType value of <code>GROUPDN</code> indicates that the target attribute should have a value which matches the DN of a group in which the authenticated user is a member. A bindType value of <code>LDAPURL</code> indicates that the target attribute should have a value that is an LDAP URL whose criteria matches the entry for the authenticated user. Any value other than <code>USERDN</code>, <code>GROUPDN</code>, or <code>LDAPURL</code> is expected to be present in the target attribute of the authenticated user's entry. The keyword's syntax is as follows:</p> |
|                   | <pre>userattr = attrName# [ bindType    attrValue ]</pre>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
|                   | <p>where:</p> <ul style="list-style-type: none"> <li><i>attrName</i> = name of the attribute for matching</li> <li><i>bindType</i> = <code>USERDN</code>, <code>GROUPDN</code>, <code>LDAPURL</code></li> <li><i>attrValue</i> = an attribute value. Note that the <i>attrVALUE</i> of the attribute must match on both the bind entry and the target of the ACI.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
|                   | <p>The following example allows a manager to change employee's entries. If the bind DN is specified in the <i>manager</i> attribute of the targeted entry, the bind rule is evaluated to TRUE.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
|                   | <pre>aci: (targetattr="*")   (version 3.0; acl "Allow a manager to change employee   entries";   allow (write) userattr="manager#USERDN";)</pre>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
|                   | <p>The following example allows any member of a group to change employee's entries. If the bind DN is a member of the group specified in the <i>allowEditors</i> attribute of the targeted entry, the bind rule is evaluated to TRUE.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
|                   | <pre>aci: (targetattr="*")   (version 3.0; acl "Allow allowEditors to change employee   entries";   allow (write) userattr="allowEditors#GROUPDN";)</pre>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
|                   | <p>The following example allows a user's manager to edit that user's entry and any entries below the user's entry up to two levels deep. You can specify up to five levels (0, 1, 2, 3, 4) below the targeted entry, with zero (0) indicating the targeted entry.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
|                   | <pre>aci: (targetattr="*")   (version 3.0; acl "Allow managers to change employees entries   two levels below";   allow (write) userattr="parent[0,1,2].manager#USERDN";)</pre>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
|                   | <p>The following example allows any member of the engineering department to update any other member of the engineering department at or below the specified ACI.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
|                   | <pre>aci: (targetattr="*")   (version 3.0; acl "Allow any member of Eng Dept to update any   other member of the   engineering department at or below the ACI";   allow (write) userattr="department#ENGINEERING";)</pre>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
|                   | <p>The following example allows an entry to be updated by any user whose entry matches the criteria defined in the LDAP URL contained in the <i>allowedEditorCriteria</i> attribute of the target entry.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
|                   | <pre>aci: (targetattr="*")   (version 3.0; acl "Allow a user that matches the filter to   change entries";   allow (write) userattr="allowedEditorCriteria#LDAPURL";)</pre>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |

| Bind Rule Keyword | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
|-------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| userdn            | <p>Indicates that the user's DN should be taken into account when determining whether the access control rule should apply to an operation. The keyword's syntax is as follows:</p> <pre>userdn [ =     != ] "ldap:///value [     "ldap:///value ..."]</pre> <p>where <i>value</i> is one of the following representations:</p> <ul style="list-style-type: none"> <li>The DN of the target user</li> <li>A value of <code>anyone</code> to match any client, including unauthenticated clients.</li> <li>A value of <code>all</code> to match any authenticated client.</li> <li>A value of <code>parent</code> to match the client authenticated as the user defined in the immediate parent of the target entry.</li> <li>A value of <code>self</code> to match the client authenticated as the user defined in the target entry.</li> </ul> <p>If the value provided is a DN, then that DN may include wildcard characters to define patterns. A single asterisk will match any content within the associated DN component, and two consecutive asterisks may be used to match zero or more DN components.</p> <p>The following example allows users to update their own entries:</p> <pre>aci: (targetattr="*")   (version 3.0; acl "Allow users to update their own entries";    allow (write) userdn="ldap:///self";)</pre> |

## Working with Targets

The following section presents a detailed look and examples of the target ACI keywords: `target`, `targetattr`, `targetfilter`, `targetattrfilters`, `targetscope`, `targetcontrol`, and `extop`.

### target

The `target` keyword indicates that the ACI should apply to one or more entries at or below the specified distinguished name (DN). The target DN must be equal or subordinate to the DN of the entry in which the ACI is placed. For example, if you place the ACI at the root of `ou=People,dc=example,dc=com`, you can target the DN, `uid=user.1,ou=People,dc=example,dc=com` within your ACI rule. The DN must meet the string representation specification of distinguished names, outlined in RFC 4514, and requires that special characters be properly escaped.

The `target` clause has the following format, where DN is the distinguished name of the entry or branch:

```
(target = ldap:///
 DN
)
```

For example, to target a specific entry, you would use a clause such as the following:

```
(target = ldap:///uid=john.doe,ou=People,dc=example,dc=com)
```

Note that, in general, specifying a target DN is not recommended. It is better to have the ACI defined in that entry and omit the `target` element altogether. For example, although you can have `(target="ldap:///uid=john.doe,ou=People,dc=example,dc=com)` in any of the

dc=example,dc=com or ou=People entries, it is better for it to be defined in the uid=john.doe entry and not explicitly include the target element.

The expression allows for the "not equal" (!=) operator to indicate that all entries within the scope of the given branch that do NOT match the expression be targeted for the ACI. Thus, the following expression targets all entries within the subtree that do not match uid=john.doe.

```
(target != ldap:///uid=john.doe,ou=People,dc=example,dc=com)
```

The target keyword also supports the use of asterisk (\*) characters as wildcards to match elements within the distinguished name. The following target expression matches all entries that contains and begins with "john.d," so that entries like "john.doe,ou=People,dc=example,dc=com," and "john.davies,ou=People,dc=example,dc=com" would match.

```
(target = ldap:///uid=john.d*,ou=People,dc=example,dc=com)
```

The following target expression matches all entries whose DN begins with "john.d," and matches the ou attribute. Entries like "john.doe,ou=People,dc=example,dc=com," and "john.davies,ou=asia-branch,dc=example,dc=com" would match.

```
(target = ldap:///uid=john.d*,ou=*,dc=example,dc=com)
```

Another example of a complete ACI targets the entries in the ou=People,dc=example,dc=com branch and the entries below it, and grants the users the privilege to modify all of their user attributes within their own entries.

```
aci:(target="ldap:///ou=People,dc=example,dc=com")
 (targetattr="*")
 (version 3.0; acl "Allow all the ou=People branch to modify their own
 entries";
 allow (write) userdn="ldap:///self";)
```

## targetattr

The targetattr keyword targets the attributes for which the access control instruction should apply. There are four general forms that it can take in the PingDirectoryProxy Server:

- **(targetattr="\*")**. Indicates that the access control rule applies to all user attributes. Operational attributes will not automatically be included in this set.
- **(targetattr="+")**. Indicates that the access control rule applies to all operational attributes. User attributes will not automatically be included in this set.
- **(targetattr="attr1|attr2|attr3|...|attrN")**. Indicates that the access control rule applies only to the named set of attributes.
- **(targetattr!="attr1|attr2|attr3|...|attrN")**. Indicates that the access control rule applies to all user attributes except the named set of attributes. It will not apply to any operational attributes.

The targeted attributes can be classified as user attributes and operational attributes. User attributes define the actual data for that entry, while operational attributes provide additional metadata about the entry that can be used for informational purposes, such as when the entry was created, last modified and by whom. Metadata can also include attributes specifying which password policy applies to the user, or overridden default constraints like size limit, time limit, or look-through limit for that user.

The PingDirectoryProxy Server distinguishes between these two types of attributes in its access control implementation. The Directory Proxy Server does not automatically grant any access at all to operational attributes. For example, the following clause applies only to user attributes and not to operational attributes:

```
(targetattr="*")
```

You can also target multiple attributes in the entry. The following clause targets the common name (cn), surname (sn) and state (st) attribute:

```
(targetattr="cn | sn | st")
```

You can use the "+" symbol to indicate that the rule should apply to all operational attributes, as follows:

```
(targetattr="+")
```

To include all user and all operational attributes, you use both symbols, as follows:

```
(targetattr="* | +")
```

If there is a need to target a specific operational attribute rather than all operational attributes, then it can be specifically included in the values of the `targetattr` clause, as follows:

```
(targetattr="ds-rlim-size-limit")
```

Or if you want to target all user attributes and a specific operational attribute, then you can use them in the `targetattr` clause, as follows:

```
(targetattr="* | ds-rlim-size-limit")
```

The following ACIs are placed on the `dc=example,dc=com` tree and allows any user anonymous read access to all entries except the `userPassword` attribute. The second ACI allows users to update their own contact information. The third ACI allows the `uid=admin` user full access privileges to all user attributes in the `dc=example,dc=com` subtree.

```
aci: (targetattr!="userPassword")(version 3.0; acl "Allow anonymous
 read access for anyone"; allow (read,search,compare) userdn="ldap:///
 anyone");
aci: (targetattr="telephonenumber | street | homePhone | l | st")
 (version 3.0; acl "Allow users to update their own contact info";
 allow (write) userdn="ldap:///self");
aci: (targetattr="*")(version 3.0; acl "Grant full access for the admin
 user";
 allow (all) userdn="ldap:///uid=admin,dc=example,dc=com");
```

An important note must be made when assigning access to user and operational attributes, which can be outlined in an example to show the implications of the Directory Proxy Server not distinguishing between these attributes. It can be easy to inadvertently create an access control instruction that grants far more capabilities to a user than originally intended. Consider the following example:

```
aci: (targetattr!="uid | employeeNumber")
 (version 3.0; acl "Allow users to update their own entries";
 allow (write) userdn="ldap:///self");
```

This instruction is intended to allow a user to update any attribute in his or her own entry with the exception of `uid` and `employeeNumber`. This ACI is a very common type of rule and seems relatively harmless on the surface, but it has very serious consequences for a Directory Proxy Server that does not distinguish between user attributes and operational attributes. It allows users to update operational attributes in their own entries, and could be used for a number of malicious purposes, including:

- A user could alter password policy state attributes to become exempt from password policy restrictions.
- A user could alter resource limit attributes and bypass size limit, time limit, and look-through-limit constraints.
- A user could add access control rules to his or her own entry, which could allow them to make their entry completely invisible to all other users including administrators granted full rights by access control rules, but excluding users with the `bypass-acl` privilege, allow them to edit any other attributes in their own entry including those excluded by rules like `uid` and `employeeNumber` in the example above, or add, modify, or delete any entries below his or her own entry.

Because the PingDirectoryProxy Server does not automatically include operational attributes in the target attribute list, these kinds of ACIs do not present a security risk for it. Also note that users cannot add ACIs to any entries unless they have the `modify-acl` privilege.

Another danger in using the `(targetattr!="x")` pattern is that two ACIs within the same scope could have two different `targetattr` policies that cancel each other out. For example, if one ACI has `(targetattr!="cn|sn")` and a second ACI has `(targetattr!="userPassword")`, then the net effect is `(targetattr="*")`, because the first ACI inherently allows `userPassword`, and the second allows `cn` and `sn`.

## targetfilter

The `targetfilter` keyword targets all attributes that match results returned from a filter. The `targetfilter` clause has the following syntax:

```
(targetfilter =
 ldap_filter
)
```

For example, the following clause targets all entries that contain "ou=engineering" attribute:

```
(targetfilter = "(ou=engineering)")
```

You can only specify a single filter, but that filter can contain multiple elements combined with the OR operator. The following clause targets all entries that contain "ou=engineering," "ou=accounting," and "ou=marketing."

```
(targetfilter = "(|(ou=engineering)(ou=accounting)(ou=marketing)")
```

The following example allows the user, `uid=eng-mgr`, to modify the `departmentNumber`, `cn`, and `sn` attributes for all entries that match the filter `ou=engineering`.

```
aci:(targetfilter="(ou=engineering)")
 (targetattr="departmentNumber|cn|sn")
 (version 3.0; acl "example"; allow (write)
 userdn="ldap:///uid=eng-mgr,dc=example,dc=com";)
```

## targattrfilters

The `targattrfilters` keyword targets specific attribute *values* that match a filtered search criteria. This keyword allows you to set up an ACI that grants or denies permissions on an attribute value if that value meets the filter criteria. The `targattrfilters` keyword applies to individual values of an attribute, not to the whole attribute. The keyword also allows the use of wildcards in the filters.

The keyword clause has the following formats:

```
(target = "add=attr1:Filter1 && attr2:Filter2... && attrN:FilterN,
del=attr1:Filter1 && attr2:Filter2 ... && attrN:FilterN")
```

where

**add** represents the operation of adding an attribute value to the entry

**del** represents the operation of removing an attribute value from the entry

**attr1, attr2... attrN** represents the targeted attributes

**filter1, filter2 ... filterN** represents filters that identify matching attribute values

The following conditions determine when the attribute must satisfy the filter:

- When adding or deleting an entry containing an attribute targeted a `targattrfilters` element, each value of that attribute must satisfy the corresponding filter.

- When modifying an entry, if the operation adds one or more values for an attribute targeted by a `targetfilters` element, each value must satisfy the corresponding filter. If the operation deletes one or more values for a targeted attribute, each value must satisfy the corresponding filter.
- When replacing the set of values for an attribute targeted by a `targetfilters` element, each value removed must satisfy the delete filters, and each value added must satisfy the add filters.

The following example allows any user who is part of the `cn=directory server admins` group to add the `soft-delete-read` privilege.

```
aci:(targetfilter="add=ds-privilege-name:(ds-privilege-name=soft-delete-read)")
 (version 3.0; acl "Allow members of the directory server admins group to grant the soft-delete-read privilege"; allow (write) groupdn="ldap:///cn=directory server admins,ou=group,dc=example,dc=com";)
```

## targetscope

The `targetscope` keyword is used to restrict the scope of an access control rule. By default, ACIs use a subtree scope, which means that they are applied to the target entry (either as defined by the target clause of the ACI, or the entry in which the ACI is defined if it does not include a target), and all entries below it. However, adding the `targetscope` element into an access control rule can restrict the set of entries to which it applies.

The following `targetscope` keyword values are allowed:

- **base**. Indicates that the access control rule should apply only to the target entry and not to any of its subordinates.
- **onelevel**. Indicates that the access control rule should apply only to entries that are the immediate children of the target entry and not to the target entry itself, nor to any subordinates of the immediate children of the target entry.
- **subtree**. Indicates that the access control rule should apply to the target entry and all of its subordinates. This is the default behavior if no `targetscope` is specified.
- **subordinate**. Indicates that the access control rule should apply to all entries below the target entry but not the target entry itself.

The following ACI targets all users to view the operational attributes (`supportedControl`, `supportedExtension`, `supportedFeatures`, `supportedSASLMechanisms`, `vendorName`, and `vendorVersion`) present in the root DSE entry. The `targetscope` is `base` to limit users to view only those attributes in the root DSE.

```
aci: (target="ldap:///")(targetscope="base")
 (targetattr="supportedControl|supportedExtension|supportedFeatures|supportedSASLMechanisms|vendorName|vendorVersion")
 (version 3.0; acl "Allow users to view Root DSE Operational Attributes"; allow (read,search,compare) userdn="ldap:///anyone")
```

## targetcontrol

The `targetcontrol` keyword is used to indicate whether a given request control can be used by those users targeted in the ACI. Multiple OIDs can be provided by separating them with the two pipe characters (optionally surrounded by spaces). Wildcards are not allowed when specifying control OIDs.

The following ACI example shows the controls required to allow an administrator to use and manage the Soft-Delete feature. The Soft Delete Request Control allows the user to soft-delete an entry, so that it could be undeleted at a later time. The Hard Delete Request Control allows the user to permanently remove an entry or soft-deleted entry. The Undelete Request Control allows the user to undelete a currently soft-deleted entry. The Soft-Deleted Entry Access Request Control allows the user to search for any soft-deleted entries in the server.

```
aci: (targetcontrol="1.3.6.1.4.1.30221.2.5.20||1.3.6.1.4.1.30221.2.5.22||
1.3.6.1.4.1.30221.2.5.23||1.3.6.1.4.1.30221.2.5.24")
(version 3.0; acl "Allow admins to use the Soft Delete Request Control,
Hard Delete Request Control, Undelete Request Control, and
Soft-deleted entry access request control";
allow (read) userdn="ldap:///uid=admin,dc=example,dc=com";)
```

## extOp

The `extop` keyword can be used to indicate whether a given extended request operation can be used. Multiple OIDs can be provided by separating them with the two pipe characters (optionally surrounded by spaces). Wildcards are not allowed when specifying extended request OIDs.

The following ACI allows the `uid=user-mgr` to use the Password Modify Request (i.e., `OID=1.3.6.1.4.1.4203.1.11.1`) and the StartTLS (i.e., `OID=1.3.6.1.4.1.1466.20037`) extended request OIDs.

```
aci:(extop="1.3.6.1.4.1.4203.1.11.1 || 1.3.6.1.4.1.1466.20037")
(version 3.0; acl "Allows the mgr to use the Password Modify Request and
StartTLS;
allow(read) userdn="ldap:///uid=user-mgr,ou=people,dc=example,dc=com";)
```

## Examples of Common Access Control Rules

---

This section provides a set of examples that demonstrate access controls that are commonly used in your environment. Note that to be able to alter access control definitions in the server, a user must have the `modify-acl` privilege as discussed later in this chapter.

### Administrator Access

The following ACI can be used to grant any member of the `"cn=admins,ou=groups,dc=example,dc=com"` group to add, modify and delete entries, reset passwords and read operational attributes such as `isMemberOf` and password policy state:

```
aci: (targetattr="+")(version 3.0; acl "Administrators can read, search or
compare operational attributes";
allow (read,search,compare) groupdn="ldap:///
cn=admins,ou=groups,dc=example,dc=com";)
aci: (targetattr="*")(version 3.0; acl "Administrators can add, modify and
delete entries";
allow (all) groupdn="ldap:///cn=admins,ou=groups,dc=example,dc=com";)
```

### Anonymous and Authenticated Access

The following ACI allow anonymous read, search and compare on select attributes of `inetOrgPerson` entries while authenticated users can access several more. The authenticated user will inherit the privileges of the anonymous ACI. In addition, the authenticated user can change `userPassword`:

```
aci: (targetattr="objectclass || uid || cn || mail || sn || givenName")
(targetfilter="(objectClass=inetorgperson)")
(version 3.0; acl "Anyone can access names and email addresses of entries
representing people";
allow (read,search,compare) userdn="ldap:///anyone";)
aci: (targetattr="departmentNumber || manager || isMemberOf")
(targetfilter="(objectClass=inetorgperson)")
(version 3.0; acl "Authenticated users can access these fields for entries
representing people";
allow (read,search,compare) userdn="ldap:///all";)
aci: (targetattr="userPassword")(version 3.0; acl "Authenticated users can
change password";
allow (write) userdn="ldap:///all";)
```

If no unauthenticated access should be allowed to the Directory Server, the preferred method for preventing unauthenticated, or anonymous access is to set the Global Configuration property `reject-unauthenticated-requests` to true.

## Delegated Access to a Manager

The following ACI can be used to allow an employee's manager to edit the value of the employee's `telephoneNumber` attribute. This ACI uses the `userattr` keyword with a bind type of `USERDN`, which indicates that the target entry's manager attribute must have a value equal to the DN of the authenticated user:

```
aci: (targetattr="telephoneNumber")
(version 3.0; acl "A manager can update telephone numbers of her direct
reports";
allow (read,search,compare,write) userattr="manager#USERDN";)
```

## Proxy Authorization

The following ACIs can be used to allow the application `"cn=OnBehalf,ou=applications,dc=example,dc=com"` to use the proxied authorization v2 control to request that operations be performed using an alternate authorization identity. The application user is also required to have the `proxied-auth` privilege as discussed later in this chapter:

```
aci: (version 3.0;acl "Application OnBehalf can proxy as another entry";
allow (proxy) userdn="ldap:///cn=OnBehalf,ou=applications,dc=example,dc=com";)
```

## Validating ACIs Before Migrating Data

---

Many directory servers allow for less restrictive application of their access control instructions, so that they accept invalid ACIs. For example, if Sun/Oracle encounters an access control rule that it cannot parse, then it will simply ignore it without any warning, and the server may not offer the intended access protection. Rather than unexpectedly exposing sensitive data, the PingDirectoryProxy Server rejects any ACIs that it cannot interpret, which ensures data access is properly limited as intended, but it can cause problems when migrating data with existing access control rules to a PingDirectoryProxy Server.

To validate an access control instruction, the PingDirectoryProxy Server provides a `validate-acis` tool in the `bin` directory (UNIX or Linux systems) or `bat` directory (Windows systems) that identifies any ACI syntax problems before migrating data. The tool can examine access control rules contained in either an LDIF file or an LDAP directory and write its result in LDIF with comments providing information about any problems that were identified. Each entry in the output will contain only a single ACI, so if an entry in the input contains multiple ACIs, then it may be present multiple times in the output, each time with a different ACI value. The entries contained in the output contains only ACI values, and all other attributes will be ignored.

### To Validate ACIs from a File

#### About this task

The `validate-acis` tool can process data contained in an LDIF file. It will ignore all attributes except `aci`, and will ignore all entries that do not contain the `aci` attribute, so any existing LDIF file that contains access control rules may be used.

## Steps

1. Run the `bin/validate-acis` tool (UNIX or Linux systems) or `bat\validate-acis` (Windows systems) by specifying the input file and output file. If the output file already exists, the existing contents will be re-written. If no output file is specified, then the results will be written to standard output.

```
$ bin/validate-acis --ldifFile test-acis.ldif --outputFile validated-acis.ldif
```

```
Processing complete # Total entries examined: 1
Entries found with ACIs: 1
Total ACI values found: 3
Malformed ACI values found: 0
Other processing errors encountered: 0
```

2. Review the results by opening the output file. For example, the `validated-acis.ldif` file that was generated in the previous step reads as follows:

```
The following access control rule is valid
dn: dc=example,dc=com
aci: (targetattr!="userPassword")
 (version 3.0; acl "Allow anonymous read access for anyone";
 allow (read,search,compare) userdn="ldap:///anyone";)

The following access control rule is valid
dn: dc=example,dc=com
aci: (targetattr="*")
 (version 3.0; acl "Allow users to update their own entries";
 allow (write) userdn="ldap:///self";)

The following access control rule is valid
dn: dc=example,dc=com
aci: (targetattr="*")
 (version 3.0; acl "Grant full access for the admin user";
 allow (all) userdn="ldap:///uid=admin,dc=example,dc=com";)
```

3. If the input file has any malformed ACIs, then the generated output file will show what was incorrectly entered. For example, remove the quotation marks around `userPassword` in the original `test-acis.ldif` file, and re-run the command. The following command uses the `--onlyReportErrors` option to write any error messages to the output file only if a malformed ACI syntax is encountered.

```
$ bin/validate-acis --ldifFile test-acis.ldif --outputFile validated-acis.ldif \
 --onlyReportErrors
```

```
Processing complete
Total entries examined: 1
Entries found with ACIs: 1
Total ACI values found: 3
Malformed ACI values found: 0
Other processing errors encountered: 0
```

The output file shows the following message:

```
The following access control rule is malformed or contains an unsupported
syntax: The provided string '(targetattr!=userPassword)(version 3.0; acl
"Allow anonymous read access for anyone"; allow (read,search,compare)
userdn="ldap:///anyone";)' could not be parsed as a valid Access Control
Instruction (ACI) because it failed general ACI syntax evaluation
dn: dc=example,dc=com
aci: (targetattr!=userPassword)
 (version 3.0; acl "Allow anonymous read access for anyone";
 allow (read,search,compare) userdn="ldap:///anyone";)
```

```
The following access control rule is valid
dn: dc=example,dc=com
aci: (targetattr="*")
 (version 3.0; acl "Allow users to update their own entries";
 allow (write) userdn="ldap:///self");

The following access control rule is valid
dn: dc=example,dc=com
aci: (targetattr="*")
 (version 3.0; acl "Grant full access for the admin user";
 allow (all) userdn="ldap:///uid=admin,dc=example,dc=com");
```

## To Validate ACIs in Another Directory Proxy Server

### About this task

The `validate-acis` tool also provides the ability to examine ACIs in data that exists in another Directory Proxy Server that you are planning to migrate to the PingDirectoryProxy Server. The tool helps to determine whether the Ping Identity Server accepts those ACIs.

### Steps

- To use it in this manner, provide arguments that specify the address and port of the target Directory Proxy Server, credentials to use to bind, and the base DN of the subtree containing the ACIs to validate.

```
$ bin/validate-acis
```

```
Processing complete # Total entries examined: 1
Entries found with ACIs: 1
Total ACI values found: 3
Malformed ACI values found: 0
Other processing errors encountered: 0
```

## Migrating ACIs from Sun/Oracle to PingDirectory Server

---

This section describes the most important differences in access control evaluation between Sun/Oracle and the PingDirectory Server.

### Support for Macro ACIs

Sun/Oracle provides support for macros ACIs, making it possible to define a single ACI that can be used to apply the same access restrictions to multiple branches in the same basic structure. Macros ACIs are infrequently used and can cause severe performance degradation, so support for macros ACIs is not included in the PingDirectory Server. However, you can achieve the same result by simply creating the same ACIs in each branch.

### Support for the roleDN Bind Rule

Sun/Oracle roles are a proprietary, non-standard grouping mechanism that provide little value over standard grouping mechanisms. The PingDirectory Server does not support DSEE roles and does not support the use of the `roleDN` ACI bind rule. However, the same behavior can be achieved by converting the DSEE roles to standard groups and using the `groupDN` ACI bind rule.

## Targeting Operational Attributes

The Sun/Oracle access control model does not differentiate between user attributes and operational attributes. With Sun/Oracle, using `targetattr="*"`  will automatically target both user and operational attributes. Using an exclusion list like `targetattr!="userPassword"`  will automatically target all operational attributes in addition to all user attributes except `userPassword`. This behavior is responsible for several significant security holes in which users are unintentionally given access to operational attributes. In some cases, it allows users to do things like exempt themselves from password policy restrictions.

In the PingDirectory Server, operational attributes are treated differently from user attributes and operational attributes are never automatically included. As such, `targetattr="*"`  will target all user attributes but no operational attributes, and `targetattr!="userPassword"`  will target all users attributes except `userPassword`, but no operational attributes. Specific operational attributes can be targeted by including the names in the list, like `targetattr="creatorsName|modifiersName"` . All operational attributes can be targeted using the "+" character. So, `targetattr="+"`  targets all operational attributes but no user attributes and `targetattr="*|+"`  targets all user and operational attributes.

## Specification of Global ACIs

Both DSEE and PingDirectory Server support global ACIs, which can be used to define ACIs that apply throughout the server. In servers with multiple naming contexts, this feature allows you to define a rule once as a global ACI, rather than needing to maintain an identical rule in each naming context.

In DSEE, global ACIs are created by modifying the root DSE entry to add values of the `aci` attribute. In the PingDirectory Server, global ACIs are managed with `dsconfig` referenced in the `global-aci` property of the Access Control Handler.

## Defining ACIs for Non-User Content

In DSEE, you can write to the configuration, monitor, changelog, and tasks backends to define ACIs. In the PingDirectory Server, access control for private backends, like configuration, monitor, schema, changelog, tasks, encryption settings, backups, and alerts, should be defined as global ACIs.

## Limiting Access to Controls and Extended Operations

DSEE offers limited support for restricting access to controls and extended operations. To the extent that it is possible to control such access with ACIs, DSEE defines entries with a DN such as `"oid={oid},cn=features,cn=config"`  where `{oid}` is the OID of the associated control or extended operation. For example, the following DSEE entry defines ACIs for the persistent search control: `"oid=2.16.840.1.113730.3.4.3,cn=features,cn=config"` .

In the PingDirectory Server, the `"targetcontrol"`  keyword can be used to define ACIs that grant or deny access to controls. The `"extop"`  keyword can be used to define ACIs that grant or deny access to extended operation requests.

## Tolerance for Malformed ACI Values

In DSEE, if the server encounters a malformed access control rule, it simply ignores that rule without any warning. If this occurs, then the server will be running with less than the intended set of ACIs, which may prevent access to data that should have been allowed or, worse yet, may grant access to data that should have been restricted.

The PingDirectory Server is much more strict about the access control rules that it will accept. When performing an LDIF import, any entry containing a malformed or unsupported access control rule will be rejected. Similarly, any add or modify request that attempts to create an invalid ACI will be rejected. In the unlikely event that a malformed ACI does make it into the data, then the server immediately places itself in lockdown mode, in which the server terminates connections and rejects requests from users without the

`lockdown-mode` privilege. Lockdown mode allows an administrator to correct the problem without risking exposure to user data.

**Note:** Consider running the `import-ldif` tool with the `--rejectFile` option so that you can review any rejected ACIs.

## About the Privilege Subsystem

In DSEE, only the root user is exempt from access control evaluation. While administrators can create ACIs that give "normal" users full access to any content, they can also create ACIs that would make some portion of the data inaccessible even to those users. In addition, some tasks can only be accomplished by the root user and you cannot restrict the capabilities assigned to that root user.

The PingDirectory Server offers a privilege subsystem that makes it possible to control the capabilities available to various users. Non-root users can be granted limited access to certain administrative capabilities, and restrictions can be enforced on root users. In addition, certain particularly risky actions (such as the ability to interact with the server configuration, change another user's password, impersonate another user, or shutdown and restart the server) require that the requester have certain privileges in addition to sufficient access control rights to process the operation.

## Identifying Unsupported ACIs

The PingDirectory Server provides a `validate-acis` tool that can be used to examine content in an LDIF file or data in another directory server (such as a DSEE instance) to determine whether the access control rules contained in that data are suitable for use in the PingDirectory Server instance. When migrating data from a DSEE deployment into a PingDirectory Server instance, the `validate-acis` tool should first be used to determine whether ACIs contained in the data are acceptable. If any problems are identified, then the data should be updated to correct or redefine the ACIs so that they are suitable for use in the PingDirectory Server.

For more information about using this tool, see [Validating ACIs Before Migrating Data](#).

## Working with Privileges

---

In addition to the access control implementation, the PingDirectoryProxy Server includes a privilege subsystem that can also be used to control what users are allowed to do. The privilege subsystem works in conjunction with the access control subsystem so that privileged operations are only allowed if they are allowed by the access control configuration and the user has all of the necessary privileges.

Privileges can be used to grant normal users the ability to perform certain tasks that, in most other directories, would only be allowed for the root user. In fact, the capabilities extended to root users in the PingDirectoryProxy Server are all granted through privileges, so you can create a normal user account with the ability to perform some or all of the same actions as root users.

Administrators can also remove privileges from root users so that they are unable to perform certain types of operations. Multiple root users can be defined in the server with different sets of privileges so that the capabilities that they have are restricted to only the tasks that they need to be able to perform.

## Available Privileges

The following privileges are defined in the PingDirectoryProxy Server.

**Table 8: Summary of Privileges**

| Privilege                        | Description                                                                                                                                |
|----------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------|
| <code>audit-data-security</code> | This privilege is required to initiate a data security audit on the server, which is invoked by the <code>audit-data-security</code> tool. |

| Privilege         | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
|-------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| backend-backup    | This privilege is required to initiate an online backup through the tasks interface. The server's access control configuration must also allow the user to add the corresponding entry in the tasks backend.                                                                                                                                                                                                                                                                                                                                                     |
| backend-restore   | This privilege is required to initiate an online restore through the tasks interface. The server's access control configuration must also allow the user to add the corresponding entry in the tasks backend.                                                                                                                                                                                                                                                                                                                                                    |
| bypass-acl        | This privilege allows a user to bypass access control evaluation. For a user with this privilege, any access control determination made by the server immediately returns that the operation is allowed. Note, however, that this does not bypass privilege evaluation, so the user must have the appropriate set of additional privileges to be able to perform any privileged operation (for example, a user with the <code>bypass-acl</code> privilege but without the <code>config-read</code> privilege is not allowed to access the server configuration). |
| bypass-pw-policy  | This privilege allows a user entry to bypass password policy evaluation. This privilege is intended for cases where external synchronization might require passwords that violate the password validation rules. The privilege is not evaluated for bind operations so that password policy evaluation will still occur when binding as a user with this privilege.                                                                                                                                                                                              |
| bypass-read-acl   | This privilege allows the associated user to bypass access control checks performed by the server for bind, search, and compare operations. Access control evaluation may still be enforced for other types of operations.                                                                                                                                                                                                                                                                                                                                       |
| config-read       | This privilege is required for a user to access the server configuration. Access control evaluation is still performed and can be used to restrict the set of configuration objects that the user is allowed to see.                                                                                                                                                                                                                                                                                                                                             |
| config-write      | This privilege is required for a user to alter the server configuration. The user is also required to have the <code>config-read</code> privilege. Access control evaluation is still performed and can be used to restrict the set of configuration objects that the user is allowed to alter.                                                                                                                                                                                                                                                                  |
| disconnect-client | This privilege is required for a user to request that an existing client connection be terminated. The connection is terminated through the disconnect client task. The server's access control configuration must also allow the user to add the corresponding entry to the tasks backend.                                                                                                                                                                                                                                                                      |
| jmx-notify        | This privilege is required for a user to subscribe to JMX notifications generated by the Directory Proxy Server. The user is also required to have the <code>jmx-read</code> privilege.                                                                                                                                                                                                                                                                                                                                                                          |
| jmx-read          | This privilege is required for a user to access any information provided by the Directory Proxy Server via the Java Management Extensions (JMX).                                                                                                                                                                                                                                                                                                                                                                                                                 |
| jmx-write         | This privilege is required for a user to update any information exposed by the Directory Proxy Server via the Java Management Extensions (JMX). The user is also required to have the <code>jmx-read</code> privilege. Note that currently all of the information exposed by the server over JMX is read-only.                                                                                                                                                                                                                                                   |
| ldif-export       | This privilege is required to initiate an online LDIF export through the tasks interface. The server's access control configuration must also allow the user to add the corresponding entry in the Tasks backend. To allow access to the Tasks backend, you can set up a global ACI that allows access to members of an Administrators group.                                                                                                                                                                                                                    |

| Privilege        | Description                                                                                                                                                                                                                                                                                                                                                                                                                                             |
|------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| ldif-import      | This privilege is required to initiate an online LDIF import through the tasks interface. The server's access control configuration must also allow the user to add the corresponding entry in the Tasks backend. To allow access to the Tasks backend, configure the global ACI as shown in the previous description of the <code>ldif-export</code> privilege.                                                                                        |
| lockdown-mode    | This privilege allows the associated user to request that the server enter or leave lockdown mode, or to perform operations while the server is in lockdown mode.                                                                                                                                                                                                                                                                                       |
| modify-acl       | This privilege is required for a user to add, modify, or remove access control rules defined in the server. The server's access control configuration must also allow the user to make the corresponding change to the <code>aci</code> operational attribute.                                                                                                                                                                                          |
| password-reset   | This privilege is required for one user to be allowed to change another user's password. This privilege is not required for a user to be allowed to change his or her own password. The user must also have the access control instruction privilege to write the <code>userPassword</code> attribute to the target entry.                                                                                                                              |
| privilege-change | This privilege is required for a user to change the set of privileges assigned to a user, including the set of privileges, which are automatically granted to root users. The server's access control configuration must also allow the user to make the corresponding change to the <code>ds-privilege-name</code> operational attribute.                                                                                                              |
| proxied-auth     | This privilege is required for a user to request that an operation be performed with an alternate authorization identity. This privilege applies to operations that include the proxied authorization v1 or v2 control operations that include the intermediate client request control with a value set for the client identity field, or for SASL bind requests that can include an authorization identity different from the authentication identity. |
| server-restart   | This privilege is required to initiate a server restart through the tasks interface. The server's access control configuration must also allow the user to add the corresponding entry in the tasks backend.                                                                                                                                                                                                                                            |
| server-shutdown  | This privilege is required to initiate a server shutdown through the tasks interface. The server's access control configuration must also allow the user to add the corresponding entry in the tasks backend.                                                                                                                                                                                                                                           |
| soft-delete-read | This privilege is required for a user to access a soft-deleted-entry.                                                                                                                                                                                                                                                                                                                                                                                   |
| stream-values    | This privilege is required for a user to perform a stream values extended operation, which obtains all entry DNs and/or all values for one or more attributes for a specified portion of the DIT.                                                                                                                                                                                                                                                       |
| unindexed-search | This privilege is required for a user to be able to perform a search operation in which a reasonable set of candidate entries cannot be determined using the defined index and instead, a significant portion of the database needs to be traversed to identify matching entries. The server's access control configuration must also allow the user to request the search.                                                                             |
| update-schema    | This privilege is required for a user to modify the server schema. The server's access control configuration must allow the user to update the operational attributes that contain the schema elements.                                                                                                                                                                                                                                                 |

## Privileges Automatically Granted to Root Users

The special abilities that root users have are granted through privileges. Privileges can be assigned to root users in two ways:

- By default, root users may be granted a specified set of privileges. Note that it is possible to create root users which are not automatically granted these privileges by including the `ds-cfg-inherit-default-root-privileges` attribute with a value of `FALSE` in the entries for those root users.
- Individual root users can have additional privileges granted to them, and/or some automatically-granted privileges may be removed from that user.

The set of privileges that are automatically granted to root users is controlled by the `default-root-privilege-name` property of the Root DN configuration object. By default, this set of privileges includes:

```
audit-data-security
backend-backup
backend-restore
bypass-acl
config-read
config-write
disconnect-client
ldif-export
lockdown-mode
manage-topology
metrics-read
modify-acl
password-reset
permit-get-password-policy-state-issues
privilege-change
server-restart
server-shutdown
soft-delete-read
stream-values
unindexed-search
update-schema
```

The privileges not granted to root users by default includes:

```
bypass-pw-policy
bypass-read-acl
jmx-read
jmx-write
jmx-notify
permit-externally-processed-authentication
permit-proxied-mschapv2-details
proxied-auth
```

The set of default root privileges can be altered to add or remove values as necessary. Doing so will require the `config-read`, `config-write`, and `privilege-change` privileges, as well as either the `bypass-acl` privilege or sufficient permission granted by the access control configuration to make the change to the server's configuration.

## Assigning Additional Privileges for Administrators

To allow access to the Tasks backend, set up a global ACI that allows access to members of an Administrators group as follows:

```
$ dsconfig set-access-control-handler-prop \
 --add 'global-aci:(target="ldap:///cn=tasks")(targetattr="*|+")(
 version 5.0; acl "Access to the tasks backend for administrators";
 allow (all) groupdn="ldap:///
 cn=admin,ou=groups,dc=example,dc=com";)'
```

## Assigning Privileges to Normal Users and Individual Root Users

Privileges can be granted to normal users on an individual basis. This can be accomplished by adding the `ds-privilege-name` operational attribute to that user's entry with the names of the desired privileges. For example, the following change will grant the `proxied-auth` privilege to the `uid=proxy,dc=example,dc=com` account:

```
dn: uid=proxy,dc=example,dc=com
changetype: modify
add: ds-privilege-name
ds-privilege-name: proxied-auth
```

The user making this change will be required to have the `privilege-change` privilege, and the server's access control configuration must also allow the requester to write to the `ds-privilege-name` attribute in the target user's entry.

This same method can be used to grant privileges to root users that they would not otherwise have through the set of default root privileges. You can also remove default root privileges from root users by prefixing the name of the privilege to remove with a minus sign. For example, the following change grants a root user the `jmx-read` privilege in addition to the set of default root privileges, and removes the `server-restart` and `server-shutdown` privileges:

```
dn: cn=Sync Root User,cn=Root DNs,cn=config
changetype: modify
add: ds-privilege-name
ds-privilege-name: jmx-read
ds-privilege-name: -server-restart
ds-privilege-name: -server-shutdown
```

Note that because root user entries exist in the configuration, this update requires the `config-read` and `config-write` privileges in addition to the `privilege-change` privilege.

## Disabling Privileges

Although the privilege subsystem in the PingDirectoryProxy Server is a very powerful feature, it might break some applications if they expect to perform some operation that requires a privilege that they do not have. In the vast majority of these cases, you can work around the problem by simply assigning the necessary privilege manually to the account used by that application. However, if this workaround is not sufficient, or if you need to remove a particular privilege (for example, to allow anyone to access information via JMX without requiring the `jmx-read` privilege), then privileges can be disabled on an individual basis.

The set of disabled privileges is controlled by the `disabled-privilege` property in the global configuration object. By default, no privileges are disabled. If a privilege is disabled, then the server behaves as if all users have that privilege.

# Deploying a Standard Directory Proxy Server

---

You can deploy PingDirectoryProxy Server in a variety of ways, depending upon the needs of your enterprise. This chapter describes and illustrates a standard deployment scenario.

## Creating a Standard Multi-Location Deployment

---

In this example deployment, PingDirectoryProxy Server will be deployed in the data centers of two geographic locations: east and west. All LDAP external servers in this deployment are PingDirectory Servers. The directory servers in the eastern city are assigned to the location named east, and the directory servers in the western city are assigned to the location named west.

**Note:** Password policies should be kept synchronized across all PingDirectory Server and Directory Proxy Server instances. See the *PingDirectory Server Administration Guide* for details about configuring password policies.

This example refers to four PingDirectory Server instances in two locations with replication of the `dc=example,dc=com` base DN enabled:

```
ds-east-01.example.com
ds-east-02.example.com
ds-west-01.example.com
ds-west-01.example.com
```

We will configure four Directory Proxy Server instances:

```
proxy-east-01.example.com
proxy-east-02.example.com
proxy-west-01.example.com
proxy-west-02.example.com
```

### Overview of the Deployment Steps

In this deployment scenario, we will take the following steps:

- Install the first Directory Proxy Server in east location using the `setup` or `setup.bat` file included in the zip installation file.
- Use the `create-initial-proxy-config` tool to provide a proxy user bind DN and password, define locations for each of our data centers, and configure the LDAP external servers in these data centers.
- Test external server communications after initial setup is complete and test a simulated external server failure.
- Install the second proxy server in the east location using the `setup` or `setup.bat` file included in the zip installation file and copy the configuration of the first Directory Proxy Server using the configuration cloning feature.
- Install two Directory Proxy Server instances in the west location, which includes using the `setup` file and manually setting the location to west using the `dsconfig` command, as well as copying the configuration of the Directory Proxy Server using the configuration cloning feature.

After the proxy server has been configured and tested, we then provide a tour of the configuration of each of the proxy server components. These properties can be modified later as needed using the `dsconfig` tool.

### Installing the First Directory Proxy Server

To begin with, we have the PingDirectoryProxy Server installation zip file. In this example, we plan to use SSL security, so we also have a keystore certificate database and a pin file that contains the private key password for the keystore. The keystore files are only necessary when using SSL or StartTLS.

In this deployment scenario, the keystore database is assumed to be a Java Keystore (JKS), which can be created by the `keytool` program. For more information about using the `keytool`, see the "Security Chapter" in the *PingDirectory Server Administration Guide*.

The PingDirectoryProxy directory contains the following:

```
root@proxy-east-01: ls
ExampleKeystore.jks ExampleTruststore.jks ExampleKeystore.pin
PingDirectoryProxy-7.3.1.0-with-je.zip
```

The `ExampleKeystore.jks` keystore file contains the private key entry for the `proxy-east-01.example.com` server certificate with the alias `server-cert`. The server certificate, CA, and intermediate signing certificates are all contained in the `ExampleTruststore.jks` file. The password for `ExampleKeystore.jks` is defined in clear text in the corresponding pin file, though the name of the file need not match as it does in our example. The private key password in our example is the same as the password defined for the `ExampleKeystore.jks` keystore.

## To Install the First Directory Proxy Server

### Steps

1. Unzip the compressed archive file into the `PingDirectoryProxy` directory and move to this directory.

```
root@proxy-east-01: unzip -q PingDirectoryProxy-<version>-with-je.zip
root@proxy-east-01: cd PingDirectoryProxy
```

2. Because we are configuring SSL security, copy the keystore and pin files into the `config` directory.

```
root@proxy-east01: cp ../Keystore* config/
root@proxy-east01: cp ../Truststore* config/
```

3. Next, we install the first proxy server by running the `setup` tool on `proxy-east-01.example.com` as follows:

```
root@proxy-east01: ./setup --no-prompt --acceptLicense \
--ldapPort 389 --rootUserPassword pass \
--aggressiveJVMTuning --maxHeapSize 1g \
--enableStartTLS --ldapsPort 636 \
--useJavaKeystore config/ExampleKeystore.jks \
--keyStorePasswordFile config/ExampleKeystore.pin \
--certNickname server-cert \
--useJavaTrustStore config/ExampleTruststore.jks
```

New keystore password files are created in `config/keystore.pin`. The original file, `config/ExampleKeystore.pin`, is no longer needed.

4. If you are not using SSL or StartTLS, then the SSL arguments are not necessary as follows:

```
root@proxy-east01: ./setup --no-prompt --acceptLicense \
--ldapPort 389 --rootUserPassword pass \
--aggressiveJVMTuning --maxHeapSize 1g
```

Once you have installed the Directory Proxy Server, you can configure it using the `create-initial-proxy-config` tool as presented in the next section.

## Configuring the First Directory Proxy Server

Once the Directory Proxy Server has been installed, it can be automatically configured using the `create-initial-proxy-config` tool. This tool can only be used once for this initial configuration, after which we will have to use `dsconfig` to make any changes to our proxy server configuration.

Configuring the Directory Proxy Server with the `create-initial-proxy-config` tool involves the following steps:

- Providing a Directory Proxy Server base DN and password.
- Defining locations for each of our data centers, east and west.
- Configuring the LDAP external server in the east location.
- Configuring the LDAP external servers in the west location.

Applying the changes to the Directory Proxy Server.

## To Configure the First Directory Proxy Server

### Steps

1. Once we have completed setup, we run the `create-initial-proxy-config` tool as follows:

```
root@proxy-east01: bin/create-initial-proxy-config
```

2. Provide the bind DN and password that the Directory Proxy Server will use to authenticate to the backend PingDirectory Server instances. The `create-initial-proxy-config` tool requires that the same bind DN and password be used to authenticate to all of the backend servers. All Directory Proxy Server instances have identical proxy user accounts and passwords. If necessary, the proxy user account password can be defined differently for each external server using `dsconfig` after the `create-initial-proxy-config` tool has been executed.
3. Specify the type of external server communication security that will be used to communicate with the PingDirectory Server instances. For this example, enter the option for 'None'.
4. Specify the base DN of the PingDirectory Server instances that the Directory Proxy Server will access. For this example, use `dc=example,dc=com`.
5. Enter any other base DN of the PingDirectory Server instances that will be accessed through the proxy server. Because we are only using one proxy base DN, press **Enter** to finished.

## Defining Locations

Next, we define our first location, east, to accommodate the servers in our deployment located on the East Coast of the United States.

### To Define Proxy Locations

#### Steps

1. Continuing from the same `create-initial-proxy-config` session, enter a location name for the Directory Proxy Server. In this example, enter `east`, and then press **Enter**.
2. Define a location named `west` for the servers in our deployment located on the West Coast. Press **Enter** when finished.
3. Select the location that contains the Directory Proxy Server itself. The Directory Proxy Server is located in the east.

## Configuring the External Servers in the East Location

Once the locations have been defined, we need to identify the directory servers. First, we define one of the servers in the east location.

### To Configure the External Servers in the East Location

#### Steps

1. Define one of the servers in the east location by entering the host name and port of the server. For this example, enter `ds-east-01.example.com:389`.

```
>>>> External Servers
```

```
External Servers identify directory server instances including
host, port, and authentication information.
```

```
Enter the host and port (host:port) of the first directory server
in 'east'
```

```
b) back
q) quit
```

```
Enter a host:port or choose a menu item [localhost:389]: ds-
east-01.example.com:389
```

2. Enter the option to prepare the server and all subsequent servers. Preparing the servers involves testing the connections to these servers and sets up the `cn=Proxy User` account on the Directory Proxy Server.
3. Enter the DN of the account with which to manage the `cn=Proxy User,cn=Root DNs,cn=config` account. For this example, use the default, `cn=Directory Manager`.
4. Repeat the previous steps to prepare the other server in the east location, `ds-east-02.example.com`.
5. Press **Enter** to complete preparing the servers.

### To Configure the External Servers in the West Location

#### About this task

The same process used for the east location is used to define the LDAP external servers for the west location.

#### Steps

1. Define the first external server, `ds-west-01.example.com`.
2. Define the second server in the west location, `ds-west-02.example.com`.
3. Press **Enter** when finished.

## Apply the Configuration to the Directory Proxy Server

Next, we review the configuration summary. Once we have confirmed that the changes are correct, we press **Enter** to write the configuration.

### To Apply the Changes to the Directory Proxy Server

#### Steps

1. During the configuration process, the `create-initial-proxy-config` tool writes the configuration settings to a `dsconfig` batch file, which will then be applied to the Directory Proxy Server. The batch file can be reused to configure other servers. On the final step, the `create-initial-proxy-config` tool presents a configuration summary. Review the configuration and then apply the changes to the Directory Proxy Server. Press **Enter** to write the configuration to the server.
2. On the final confirmation prompt, press **Enter** to apply the changes to the proxy server, and then enter the LDAP connection parameters to the server. Once the changes have been applied, the `create-initial-proxy-config` tool cannot be used to configure this proxy server again.

## Configuring Additional Directory Proxy Server Instances

We install and configure the second Directory Proxy Server by running the `setup` tool on `proxy-east-02.example.com`.

### To Configure Additional Directory Proxy Server Instances

#### Steps

1. Copy the keystore and pin files into the `config` directory for the `proxy-east-02.example.com` server.

```
root@proxy-east-02: cp ../*Keystore* config/
```

```
root@proxy-east-02: cp ../Truststore* config/
```

2. Install the second Directory Proxy Server by running the `setup` tool on `proxy-east-02.example.com` as follows:

```
root@proxy-east-02: ./setup --no-prompt \
--listenAddress proxy-east-02.example.com \
--ldapPort 389 --enableStartTLS --ldapsPort 636 \
--useJavaKeystore config/ExampleKeystore.jks \
--keyStorePasswordFile config/ExampleKeystore.pin \
--certNickName server-cert \
--useJavaTrustStore config/ExampleTruststore.jks \
--rootUserPassword pass --acceptLicense \
--aggressiveJVMTuning --maxHeapSize 1g \
--localHostName proxy-east-02.example.com \
--peerHostName proxy-east-01.example.com \
--peerPort 389 --location east
```

3. Configure the third Directory Proxy Server, `proxy-west-01.example.com` in the same way as shown in the previous step. First, copy the keystore and pin files into the `config` directory.

```
root@proxy-west-01: cp ../Keystore* config/
root@proxy-west-01: cp ../Truststore* config/
```

4. Run the `setup` tool on `proxy-west-01.example.com` as follows:

```
root@proxy-west-01: ./setup --no-prompt \
--listenAddress proxy-west-01.example.com \
--ldapPort 389 --enableStartTLS --ldapsPort 636 \
--useJavaKeystore config/ExampleKeystore.jks \
--keyStorePasswordFile config/ExampleKeystore.pin \
--certNickName server-cert \
--useJavaTrustStore config/ExampleTruststore.jks \
--rootUserPassword pass --acceptLicense \
--aggressiveJVMTuning --maxHeapSize 1g \
--localHostName proxy-west-01.example.com \
--peerHostName proxy-east-01.example.com \
--peerPort 389 --location west
```

5. Finally, repeat steps 3 and 4 to install the last Directory Proxy Server by first copying the keystore and pin files to the `config` directory and then running the `setup` command.

At this point, all proxies have the same Admin Data backend and have the `all-servers` group defined as their configuration-server-group in the Directory Proxy Server Global Configuration object. When making a change to a Directory Proxy Server using the `dsconfig` command-line tool or the Administrative Console, you will have the choice to apply the changes locally only or to all proxies in the `all-servers` group.

## Testing External Server Communications After Initial Setup

After setting up the basic deployment scenario, the communication between the proxies and the LDAP external servers can be tested using a feature in the proxy server in combination with an LDAP search.

### To Test the External Communications After Initial Setup

#### About this task

After initial setup, the Directory Proxy Server exposes a special search base DN for testing external server connectivity, called the `backend server pass-through subtree` view. While disabled by default, you can enable this feature using `dsconfig` in the Client Connection Policy menu. Set the value of the `backend-server-passthrough-subtree-views` property to `TRUE`.

## Steps

1. Run `dsconfig` to set the `include-backend-server-passthrough-subtree-views` property to `TRUE`.

```
root@proxy-east-01: dsconfig set-client-connection-policy-prop \
--policy-name default \
--set include-backend-server-passthrough-subtree-views:true
```

Once set to true, an LDAP search against the Directory Proxy Server with the base DN `dc=example,dc=com,ds-backend-server=ds-east-02.example.com:389` instructs the Directory Proxy Server to perform the search against the `ds-east-02.example.com:389` external server with the base DN set to `dc=example,dc=com`. The value of `ds-backend-server` should be the name of the configuration object representing the external server. Depending on your naming scheme, this name may not be a `host:port` combination.

2. Run `ldapsearch` to fetch the `dc=example,dc=com` entry from the `ds-east-01.example.com` server. Perform this search on each external server to determine if external server communication has been configured correctly on the Directory Proxy Server.

```
root@proxy-east-01: bin/ldapsearch \
--bindDN "cn=Directory Manager" \
--bindPassword password \
--baseDN "dc=example,dc=com,ds-backend-server=ds-east-01.example.com:389" \
--searchScope base --useStartTLS "(objectclass=*)"
```

3. You can also use this special subtree view to track the operations performed on each external server to help determine load balancing requirements. This LDAP search can be run with the base DN values for the `ds-east-01` and `ds-east-02` servers to track the distribution of search and bind requests over time. These statistics are reset to zero when the server restarts. The following example searches an external server's monitor entry to display operation statistics:

```
root@proxy-east-01: bin/ldapsearch \
--bindDN "cn=directory manager" \
--bindPassword password \
--baseDN "cn=monitor,ds-backend-server=ds-east-02.example.com:389" \
--searchScope sub --useStartTLS "(cn=ldap*statistics)"
```

```
dn: cn=LDAP Connection Handler 192.168.1.203 port 389
Statistics,cn=monitor,ds-backend-server=ds-east-02.example.com:389
```

```
objectClass: top
objectClass: ds-monitor-entry
objectClass: ds-ldap-statistics-monitor-entry
objectClass: extensibleObject
cn: LDAP Connection Handler 192.168.1.203 port 389
Statistics
connectionsEstablished: 3004
connectionsClosed: 2990
bytesRead: 658483
bytesWritten: 2061549
ldapMessagesRead: 17278
ldapMessagesWritten: 22611
operationsAbandoned: 0
operationsInitiated: 17278
operationsCompleted: 14241
abandonRequests: 22
addRequests: 1
addResponses: 1
bindRequests: 3006
bindResponses: 3006
compareRequests: 0
compareResponses: 0
```

```

deleteRequests: 0
deleteResponses: 0
extendedRequests: 2987
extendedResponses: 2987
modifyRequests: 1
modifyResponses: 1
modifyDNRequests: 0
modifyDNResponses: 0
searchRequests: 8271
searchResultEntries: 8370
searchResultReferences: 0
searchResultsDone: 8246
unbindRequests: 2990

```

## Testing a Simulated External Server Failure

Once you have tested connectivity, run a simulated failure of a load-balanced external server to verify that the Directory Proxy Server redirects LDAP requests appropriately. In this procedure, we stop the `ds-east-01.example.com:389` server instance and test searches through `proxy-east-01.example.com`.

### To Test a Simulated External Server Failure

#### Steps

1. First, perform several searches against the Directory Proxy Server. Verify activity in each of the servers in the east location, `ds-east-01` and `ds-east-02`, by looking at the access logs. Because we used the default load balancing algorithm of fewest operations, it is likely that all of the searches will go to only one of the proxies. The following simple search can be repeated as needed:

```

root@proxy-east-01: bin/ldapsearch \
--bindDN "cn=Directory Manager" \
--bindPassword password --baseDN "dc=example,dc=com" \
--searchScope base --useStartTLS "(objectclass=*)"

```

2. Next, stop the Directory Server instance on `ds-east-01.example.com` using the `stop-server` command and immediately retry the above searches. There should be no errors or noticeable delay in processing the search.

```

root@ds-east-01: bin/stop-server

root@proxy-east-01: bin/ldapsearch \
--bindDN "cn=Directory Manager" \
--bindPassword password --baseDN "dc=example,dc=com" \
--searchScope base --useStartTLS "(objectclass=*)"

```

3. Restart the Directory Proxy Server instance on `ds-east-01.example.com`. Check the access log to confirm that the Directory Proxy Server started to include the `ds-east-01` server in load-balancing within 30 seconds. The default time is 30 seconds, though you can change this default if desired.

## Expanding the Deployment

In the following example deployment, the PingDirectory Server is deployed in a third, centrally-located data center. The directory servers in the central city is assigned to a new location named `central`. The proxies will use StartTLS to communicate with the directory servers in the central region.

**Note:** Other than the ability to add to the Directory Proxy Server's truststore, the `prepare-external-server` tool does not alter the Directory Proxy Server configuration in any way.

The Directory Proxy Server itself, installed on `proxy-east-01.example.com`, remains in the East location. This example will reconfigure load balancing between the six directory servers in three locations:

```

ds-east-01.example.com
ds-east-02.example.com
ds-west-01.example.com
ds-west-02.example.com
ds-central-01.example.com
ds-central-02.example.com

```

## Overview of Deployment Steps

In this deployment scenario, we will take the following steps:

- Prepare the new external servers using the `prepare-external-server` tool.
- Use the `dsconfig` tool to configure the new LDAP external servers in the central data center and reconfigure the load-balancing algorithm to take these servers into account.
- Test external server communications after the servers have been configured and test a simulated external server failure.

## Preparing Two New External Servers Using the `prepare-external-server` Tool

First, we prepare the external directory servers, `ds-central-01` and `ds-central-02`, by creating the proxy user account and the supporting access rules. In this example, we will connect to the `ds-central-01` PingDirectory Server using StartTLS. Because we are using StartTLS, we need to capture the `ds-central-01` server's certificate and put it in the trust store on our Directory Proxy Server instance.

The `prepare-external-server` tool is located in the `bin` or `bat` directory of the server root directory, `PingDirectoryProxy`. In this example, we run the tool on the `ds-east-01` instance of the Directory Proxy Server.

### To Prepare Two New External Servers Using the `prepare-external-server` Tool

#### Steps

1. Run the `prepare-external-server` tool to prepare the two new servers. On the first attempted bind to the server, the tool will report a "failed to bind" message as it cannot bind to the `cn=Proxy User` entry due to its not being created yet. The tool sets up the `cn=Proxy User` entry so that the Directory Proxy Server can access it and tests the communication settings to the server.

```

root@proxy-east-01: ./prepare-external-server \
--hostname ds-central-01.example.com --port 389 \
--baseDN dc=example,dc=com \
--proxyBindPassword password \
--useStartTLS \
--proxyTrustStorePath ../config/ExampleTruststore.jks

Failed to bind as 'cn=Proxy User'

Would you like to create or modify root user 'cn=Proxy User' so that it is
available for this Directory Proxy Server? (yes / no)[yes]:

Enter the DN of an account on ds-central-01:389 with which to create or
manage the 'cn=Proxy User'
account [cn=Directory Manager]:

Enter the password for 'cn=Directory Manager':

Created 'cn=Proxy User,cn=Root DNs,cn=config'
Testing 'cn=Proxy User' privilegesDone

```

2. Repeat the process on the other new server in the central location, `ds-central-02`.

**Note:** For entry-balancing deployments, the global base DN is required when using `prepare-external-server`.

## Adding the New PingDirectory Servers to the Directory Proxy Server

After preparing the external PingDirectory Servers to communicate with the Directory Proxy Server, we can now add the two servers in the central location to the proxy server instance. Because we have run the `prepare-external-server` tool, the two servers have the `cn=Proxy User` entry configured.

### To Add the New PingDirectory Servers to the Directory Proxy Server

#### Steps

- Run the `dsconfig` tool, which is located in the `bin` or `bat` directory of the server root directory, `PingDirectoryProxy`.

```
root@proxy-east-01:~/dsconfig
>>>> Specify LDAP connection parameters

Directory Proxy Server host name or IP address [localhost]:

How do you want to connect to the Directory Proxy Server at
localhost?

 1) LDAP
 2) LDAP with SSL
 3) LDAP with StartTLS

Enter choice [1]: 1

Directory Proxy Server at localhost port number [389]:
Administrator user bind DN [cn=Directory Manager]:
Password for user 'cn=Directory Manager':
```

## Adding New Locations

First, we add a new central location, to which our new PingDirectory Servers will be added.

### To Add a New Location

#### About this task

The following steps show how to add the new servers to a new location using `dsconfig` interactive.

#### Steps

1. Run `dsconfig` and enter the LDAP connection parameters when prompted.

```
$ bin/dsconfig
```

2. On the main menu, enter the number corresponding to **Location**.
3. On the Location menu, enter the number corresponding to creating a new location.
4. Enter the option to create a new location from scratch.
5. Configure the `preferred-failover-location` property of the new location so that this location fails over first to the east location and then to the west location, should all of the servers in the central location become unavailable.
6. Add the east and west locations as values of the property, specifying them in the order that they will be used for failover.

7. Confirm that these are the correct values and finish configuring the location.

## Editing the Existing Locations

Next, we edit the existing east and west locations to include the new central location in their failover logic. The new failover logic will be based on geographic distance, so that the east location will first fail over to central and then the west location.

### To Edit Existing Locations

#### About this task

The following example procedure uses `dsconfig` interactive mode to edit the east location.

#### Steps

1. Run `dsconfig` and enter the LDAP connection parameters when prompted.
2. On the Directory Proxy Server console configuration menu, enter the number corresponding to Location.
3. On the Location menu, enter the number corresponding to viewing and editing an existing location. Then, enter the number corresponding to the Location to be changed.
4. Remove the west location from the `preferred-failover-location` property. It will be added later.
5. Add a new value to the `preferred-failover-location` property.
6. Select the values of the new failover locations for the east.
7. Confirm the new configuration information and save the changes.
8. Repeat steps 2-7 to reconfigure the failover logic for the west location to include the new central location.
9. List the locations to confirm that the new location was added correctly.

## Adding New Health Checks for the Central Servers

Next, we must add new health checks for the two new servers.

### To Add New Health Checks for the Central Servers

#### Steps

1. Run `dsconfig` and enter the LDAP connection parameters when prompted.
2. Select the number corresponding to creating a new health check.
3. Enter the option to use an existing health check as a template.
4. Enter the number corresponding to the `ds-east-01` health check to use it as a template for the new health check.
5. Name the new health check using the same naming strategy established for the other servers in the deployment. As this health check is for the `ds-central-01` server, the name takes the following format:
 

```
>>>> Enter a name for the Search LDAP Health Check that you want to create:
ds-central-01.example.com:389_dc_example_dc_com-search-health-check
```
6. Review the configuration properties and then enter `f` to finish configuring the new health check and save changes.
7. Repeat steps 2-6 to create another new health check for the `ds-central-02` server.

## Adding New External Servers

Add new external servers by selecting “External Server” from the main menu.

## To Add New External Servers

### Steps

1. Run `dsconfig` and enter the LDAP connection parameters when prompted.
2. On the External Server menu, enter the number corresponding to "Create a new External Server".
3. Base the configuration of the new external server on the existing configuration of the `ds-east-01` server. Enter `t` to use an existing External Server as a template.
4. Enter the number to base the configuration of the new server on the configuration of the `ds-east-01` server.
5. Enter a name for the new `ds-central-01` server that complies with the naming strategy.

```
>>>> Enter a name for the Ping Identity DS External Server that you
want to create: ds-central-01.example.com:389
```

6. Enter the value of the `server-host-name` property.
7. Review and modify the configuration properties of the external server.
8. On the External Server menu, change the `server-host-name` property to reflect the name of the `ds-central-01` server.
9. On the External Server menu, change the `location` property to reflect the central location.
10. Change the `health-check` property to reflect the new health check created for the `ds-central-01` server in the previous section.
11. On the 'health-check' Property menu, enter the number to remove one or more values.
12. Add the health-check created in the previous section.
13. Select the health check associated with the `ds-central-01` server.
14. Press **Enter** to use the value associated with `ds-central-01` health check.
15. Review the configuration of the new external server and enter `f` to create the server.
16. Repeat these steps to add the new `ds-central-02` external server.

## Modifying the Load Balancing Algorithm

To modify the existing load-balancing algorithm to include the newly created servers, select "Load-Balancing Algorithm" from the main menu.

### To Modify the Load-Balancing Algorithm

#### Steps

1. Run `dsconfig` and enter the LDAP connection parameters when prompted.
2. Choose the option for Load-Balancing Algorithm.
3. On the Load-Balancing Algorithm menu, enter the number corresponding to "View and edit an existing Load-Balancing Algorithm".
4. Add the `ds-central-01` and `ds-central-02` servers to the `backend-server` configuration property.
5. On the backend-server property menu, enter the number corresponding to adding one or more values.
6. Select the external servers to add. In this example, select `ds-central-01.example.com` and `ds-central-02.example.com`.
7. Review the changes made to the load-balancing algorithm's configuration properties, and enter `f` to save changes.

The change has been saved and applied to the Directory Proxy Server. The load-balancing algorithm is referenced in the `load-balancing-algorithm` property of the request processor used by this Directory Proxy Server.

8. To view this property, go to the main menu and select the Request Processor option.

9. On the Request Processor menu, enter the number corresponding to view and edit an existing request processor.
10. Select the request process used by the Directory Proxy Server, and review the configuration properties.

This request processor is used by the subtree view serviced by the Directory Proxy Server, which is in turn referenced by the client connection policy.

**Note:** The changes made in this procedure are already in effect. The Directory Proxy Server does not have to be restarted.

## Testing External Server Communication

After adding and configuring the new external servers, test the communication between the Directory Proxy Server and the LDAP external servers using the `include-backend-server-passthrough-subtree-views` property of the Directory Proxy Server in combination with an LDAP search. For more information about this option, see [Testing External Server Communications](#) on page 190.

### To Test External Server Communication

#### Steps

- Run the `ldapsearch` command to test communications on the `ds-central-01` serverTask.

```
root@proxy-east-01: bin/ldapsearch --port 389 --bindDN "cn=directory
manager" \
--bindPassword password \
--baseDN "dc=example,dc=com,ds-backend-server=ds-central-01.example.com:389"
\
--searchScope base "(objectclass=*)"
```

You can repeat this search on the `ds-central-02` server, to confirm that the server returns the entry as expected.

## Testing a Simulated External Server Failure

Once you have tested connectivity, run a simulated failure of a load-balanced external server to verify that the Directory Proxy Server redirects LDAP requests appropriately. We stop the `ds-east-01.example.com:389` and `ds-east-02.example.com:389` server instances and test searches through `proxy-east-01.example.com`.

### To Test a Simulated External Server Failure

#### Steps

1. We stop the `ds-east-01.example.com:389` and `ds-east-02.example.com:389` server instances and test searches through `proxy-east-01.example.com`.
2. Perform several searches against the Directory Proxy Server. Verify activity in each of the servers in the east location, `ds-east-01` and `ds-east-02`, by looking at the access logs. The following simple search can be repeated as needed:

```
root@proxy-east-01: bin/ldapsearch --bindDN "cn=Directory Manager" \
--bindPassword password --baseDN "dc=example,dc=com" \
--searchScope base --useStartTLS "(objectclass=*)"
```

3. Next, stop the Directory Server instance on `ds-east-01.example.com` and `ds-east-02.example.com` using the `stop-server` command and immediately retry the above searches. There should be no errors or noticeable delay in processing the search.

```
root@proxy-east-01: bin/stop-server
```

```
root@proxy-east-01: bin/ldapsearch \
--bindDN "cn=Directory Manager" --bindPassword password \
--baseDN "dc=example,dc=com" --searchScope base --useStartTLS \
"(objectclass=*)"
```

4. Check the access log to confirm that requests made to these servers are routed to the central servers, as these servers are the first failover location in the failover list for the ds-east-01 and ds-east-02 servers.
5. Restart the Directory Server instance on ds-east-01.example.com and ds-east-02.example.com. Check their access logs to ensure that traffic is redirected back from the failover servers.

## Merging Two Data Sets Using Proxy Transformations

In the following example, the Example.com company acquires Sample Corporation. During the merger, Example.com migrates data from Sample's `o=sample` rooted directory, converting Sample's `sampleAccount` auxiliary object class usage to Example.com's `exampleAccount` object class for entries rooted under `dc=example,dc=com`. Knowing that it can take considerable time for Sample's directory clients to become aware of the new DIT and schema, proxy data transformations are created to give the Sample clients as consistent a view of the data as possible during the migratory period. These transformations allow the clients to search and modify entries under `o=sample` using the Sample Corp. schema.

### Overview of the Attribute and DN Mapping

To achieve the merger of the two data sets, we create proxy transformations that map the Sample source attributes to Example.com target attributes as described in Table 9-1, "Attribute Mapping". The Example.com schema already defines an attribute to contain the RDN of user entries, called `uid`. However, Example.com chooses to create two new attributes within its `exampleAccount` object class to accommodate two attributes in the Sample schema for representing the region and the DN of linked accounts.

During the merger, Example.com decides to re-parent Sample's customer entries, which are defined under two different subtrees, `ou=east,o=sample` and `ou=west,o=sample`, placing them under Example.com's `ou=people,dc=example,dc=com` subtree. Associated proxy transformations are described in Table 9-2, "DN Mappings". In this process, Example.com collapses the Sample tree, moving entries from the east and west region under a single DN, `dc=example,dc=com`. The DN proxy transformations assume that all Sample users have been co-located under this single Example.com subtree.

**Table 9: Attribute Mapping**

| Sample Attribute     | Example.com Attribute  | Description                          |
|----------------------|------------------------|--------------------------------------|
| sampleID             | uid                    | RDN of user entries                  |
| sampleRegion         | exSampleRegion         | String value representing the region |
| sampleLinkedAccounts | exSampleLinkedAccounts | DN value                             |

Legacy Sample LDAP applications searching for entries in either the Sample base DN `ou=east,o=sample` or `ou=west,o=sample` will be successfully serviced, though there will be one or more differences in the user entries seen by the Sample legacy applications. Since the Example.com Directory Server has no knowledge of the Sample user's former `ou=east` or `ou=west` association, search results for client searching under `o=sample` will return a DN that may differ from the original search base. For instance, a search for `sampleID=abc123` under `ou=west,o=sample` may return the user entry for `abc123` with the DN of `sampleID=abc123,ou=east,o=sample`. The following table illustrates the mapping DNs.

**Table 10: DN Mapping**

| Sample DN        | Example.com DN    |
|------------------|-------------------|
| ou=east,o=sample | dc=example,dc=com |
| ou=west,o=sample | dc=example,dc=com |
| o=sample         | dc=example,dc=com |

## About Mapping Multiple Source DNs to the Same Target DN

Some complications exist when defining multiple DN mappings that are used for the same request processor and the same source or target DN (or that have source or target DNs that are hierarchically related). The client request may not include enough information to disambiguate and determine the proper rule to follow.

Several solutions exist to avoid problems of disambiguation. If the client does not need to be able to see all mappings at the same time, then a new client connection policy can be created to use connection criteria that select the set of mappings applied to the client based on information such as the IP address or bind DN. Each client connection policy would have separated subtree views with separate proxying request processors that reference the appropriate transformation for that client.

Alternatively, if it is unnecessary to search under the `o=sample` base DN, then separate subtree views can be created in the same client connection policy. For example, one subtree view would be created for `ou=east,o=sample` and one for `ou=west,o=sample`. Each subtree view is then associated with its own proxying request processor, one for `ou=east` requests and one for `ou=west` requests.

## An Example of a Migrated Sample Customer Entry

The following example is an example of a Sample customer entry that has been migrated to the Example.com database. The user entry is defined in the Example.com Directory Server's database as follows. The attributes that have undergone a proxy transformation are marked in bold. Note that this view is how the entry appears to search requests under the `dc=example,dc=com` base DN.

```
dn: uid=scase,ou=People,dc=example,dc=com
objectClass: person
objectClass: inetOrgPerson
objectClass: organizationalPerson
objectClass: exampleAccount
objectClass: top
description: A customer account migrated from Sample merger
uid: scase
exAccountNumber: 234098
exSampleRegion: east
exSampleLinkedAccounts: uid=jcase,ou=people,dc=example,dc=com
userPassword: password
givenName: Sterling
cn: Sterling Case
sn: Case
telephoneNumber: +1 804 094 3356
street: 00468 Second Street
l: Arlington
mail: sterlingcase@maildomain.com st: VA
```

The following examples shows what the Directory Proxy Server returns to LDAP clients who have requested the entry when searching under the `o=sample` base DN. Note that the DN returned includes `ou=east`, even though this branch does not exist in the Example.com DIT. It also returns the attribute names as they are defined in the Sample schema.

```
dn: sampleID=scase,ou=east,o=sample
```

```

objectClass: person
objectClass: inetOrgPerson
objectClass: organizationalPerson
objectClass: exampleAccount
objectClass: top
description: A customer account migrated from Sample merger
uid: scase
exAccountNumber: 234098
exSampleRegion: east
exSampleLinkedAccounts: sampleID=jcase,ou=people,dc=example,dc=com
userPassword: password
givenName: Sterling
cn: Sterling Case
sn: Case
telephoneNumber: +1 804 094 3356
street: 00468 Second Street
l: Arlington
mail: sterlingcase@maildomain.com st: VA

```

## Overview of Deployment Steps

In this deployment scenario, we will take the following steps:

- Install any necessary schema on the Directory Proxy Server.
- Create three attribute mapping proxy transformations and three DN mapping proxy transformations
- Create a new proxying request processor, using the existing `dc_example_dc_com` request processor as a template.
- Assign the six proxy transformations to the new proxying request processor.
- Create a new subtree view for `o=sample` that references the new proxying request processor.
- Add the new subtree view to the existing client connection policy.
- Test our configuration by performing some searches on the Sample DIT.

## About the Schema

The Directory Proxy Server inherits user-defined schema from all external servers by comparing `cn=schema` on these servers at Directory Proxy Server startup and at five minute intervals. As a result, `example.com` schema does not need to be added manually to the Directory Proxy Server's `config/schema` directory. We assume that the schema for Sample entries has been defined on the external servers with the `example.com` DIT, requiring no direct schema management on the Directory Proxy Server. The following schema definitions are assumed to exist on the external Directory Server:

```

dn: cn=schema
objectClass: top
objectClass: ldapSubentry
objectClass: subschema
cn: schema
attributeTypes: (1.3.6.1.4.1.32473.2.1.1
 NAME 'exAccountNumber'
 SYNTAX 1.3.6.1.4.1.1466.115.121.1.15
 SINGLE-VALUE)
attributeTypes: (1.3.6.1.4.1.32473.1.1.3
 NAME 'sampleLinkedAccounts'
 SYNTAX 1.3.6.1.4.1.1466.115.121.1.12)
attributeTypes: (1.3.6.1.4.1.32473.1.1.2
 NAME 'sampleRegion'
 SYNTAX 1.3.6.1.4.1.1466.115.121.1.15
 SINGLE-VALUE)
attributeTypes: (1.3.6.1.4.1.32473.1.1.1
 NAME 'sampleID'
 SYNTAX 1.3.6.1.4.1.1466.115.121.1.15
 SINGLE-VALUE)

```

```

attributeTypes: (1.3.6.1.4.1.32473.2.1.3
 NAME 'exSampleLinkedAccounts'
 SYNTAX 1.3.6.1.4.1.1466.115.121.1.12)
attributeTypes: (1.3.6.1.4.1.32473.2.1.2
 NAME 'exSampleRegion'
 SYNTAX 1.3.6.1.4.1.1466.115.121.1.15
 SINGLE-VALUE)
objectClasses: (1.3.6.1.4.1.32473.2.2.1
 NAME 'exampleAccount'
 SUP top
 AUXILIARY
 MAY (exAccountNumber $
 exSampleRegion $
 exSampleLinkedAccounts $
 sampleID $
 sampleRegion $
 sampleLinkedAccounts))

```

The schema file defines some Example.com schema, such as `exAccountNumber` and `exSampleRegion`, and some Sample schema, such as `sampleRegion` and `sampleID`.

## Creating Proxy Transformations

We create three attribute mapping proxy transformations and three DN mapping proxy transformations. We run the `dsconfig` tool, which is located in the `bin` or `bat` directory of the server root directory, `PingDirectoryProxy`.

### To Create Proxy Transformations

#### Steps

1. In the main server root directory, `PingDirectoryProxy`, run the `start-server` command.

```
$ bin/start-server
```

2. Run `dsconfig` in interactive mode and enter the LDAP connection parameters.
3. On the Configuration main menu, enter the number corresponding to **Proxy Transformation**.

## Creating the Attribute Mapping Proxy Transformations

Next, we create the attribute mapping proxy transformations using `dsconfig` interactive. We assume for this example that we are continuing from the previous `dsconfig` session. In the following example, this transformation maps `ou=east,o=sample` in the Sample schema `dc=example,dc=com` in the Example.com schema.

### To Creating the Attribute Mapping Proxy Transformations

#### Steps

1. On the Proxy Transformation menu, enter the number corresponding to "Create a New Proxy Transformation".
2. Create a mapping from the `sampleRegion` attribute to the `exSampleRegion` attribute, enter the number corresponding to "Attribute Mapping Proxy Transformation".

```

>>>> Select the type of Proxy Transformation that you want to create:

1) Attribute Mapping Proxy Transformation
2) Default Value Proxy Transformation
3) DN Mapping Proxy Transformation
4) Groovy Scripted Proxy Transformation
5) Simple To External Bind Proxy Transformation

```

- 6) Suppress Attribute Proxy Transformation
- 7) Suppress Entry Proxy Transformation
- 8) Third Party Proxy Transformation

3. Enter a descriptive name for the new proxy transformation that illustrates the attribute mapping that it performs.
4. Press **Enter** to enable the proxy transformation.
5. Provide the name of the source attribute in the Sample schema to map to the Example.com schema, which is sampleRegion.
6. Review the configuration properties, and enter **f** to create the new attribute mapping proxy transformation.
7. Repeat the previous steps to create another attribute mapping proxy transformation. This time, map between the Sample Corporation's sampleID attribute and the Example.com uid attribute.
8. Repeat the previous steps again to create a last attribute mapping proxy transformation, mapping between the Sample sampleLinkedAccounts attribute and the Example.com exSampleLinkedAccounts attribute.

## Creating the DN Mapping Proxy Transformations

Now we create the DN mapping proxy transformations.

### To Create the DN Mapping Proxy Transformations

#### Steps

1. On the Proxy Transformation menu, enter the number corresponding to Create a new Proxy Transformation.
2. Enter the option to create a new Proxy Transformation from scratch.
3. Enter the option for "DN Mapping Proxy Transformation."
4. Enter a name for the DN Mapping Proxy Transformation. This transformation maps `ou=east,o=sample` in the Sample schema `dc=example,dc=com` in the Example.com schema.
5. Select **TRUE** to enable the transformation by default.
6. Specify the source DN as it appears in client requests.

```
>>>> Configuring the 'source-dn' property
```

```
Specifies the source DN that may appear in client
requests which should be remapped to the target DN.
Note that the source DN must not be equal to the target DN.
```

```
Syntax: DN
```

```
Enter a value for the 'source-dn' property:
ou=east,o=sample
```

7. Specify the target DN, where requests for the source DN should be routed.

```
>>>> Configuring the 'target-dn' property
```

```
Specifies the DN to which the source DN should be mapped.
Note that the target DN must not be equal to the source
DN.
```

```
Syntax: DN
```

```
Enter a value for the 'target-dn' property: dc=example,dc=com
```

8. Review the configuration properties, and then enter **f** to create the new DN mapping proxy transformation.

9. using the previous steps, create a new DN mapping proxy transformation that maps `ou=west,o=sample` in the Sample schema to `dc=example,dc=com` in the Example.com schema, and name it `sample_west-to-example`.
10. Finally, create a DN mapping proxy transformation for the base DN of the Sample database.

## Creating a Request Processor to Manage the Proxy Transformations

Next, we need to create a new proxying request processor that includes our new attribute and DN mapping proxy transformations. We will use the existing `dc_example_dc_com` request processor as a template.

### To Create a Request Processor to Manage Proxy Transformations

#### Steps

1. On the Configuration main menu, enter the number corresponding to Request Processor.
2. On the Request Processor menu, enter the number corresponding to "Create a new Request Processor."
3. Choose the option to use the current request processor as a template.
4. Provide a name for the new proxying request processor, such as `o_sample-req-processor`.
5. Review the properties. The load-balancing algorithm is the same as for the previous request processor, though the transformation property must be changed. Enter the number corresponding to the Transformation property.
6. Enter the number corresponding to the proxy transformations that we created in the previous sections.
7. Select the attribute mapping proxy transformations first. Next, select the DN mapping proxy transformations. The order of the selection is important because we have related DNs. Begin with the DNs that are lower in the tree first, and finish with the base DN transformation.

```
Select the Proxy Transformations you wish to add:
```

```

1) sample-to-example 5) sampleLinkedAccounts-to-
 exSampleLinkedAccounts
2) sample_east-to-example 6) sampleRegion-to-
 exSampleRegion
3) sample_west-to-example 7) Create a new Proxy
 Transformation
4) sampleID-to-uid 8) Add all Proxy Transformations

?) help
b) back
q) quit
```

```
Enter one or more choices separated by commas [b]: 4,5,6,2,3,1
```

8. Confirm that the proxy transformations are listed in the correct order and press **Enter** to accept and use the values.
9. Review the request processor properties, and enter `f` to save changes.

## Creating Subtree Views

At this stage, we need to configure subtree views for the Directory Proxy Server.

### To Create Subtree Views

#### Steps

1. On the Configuration main menu, enter the number corresponding to Subtree View.
2. On the Subtree View menu, enter the number corresponding to "Create a new Subtree View."

3. Enter the option to create the new subtree view from an existing one.
4. Select the `dc_example_dc_com-view` subtree view.
5. Enter a descriptive name for the subtree view configuration.
6. Configure the base DN property of the Sample dataset.
7. Enter the request processor created in the previous section.
8. Review the configuration properties, and enter `f` to save changes.

```
>>>> Configure the properties of the Subtree View

 Property Value(s)

1) description -
2) base-dn "o=sample"
3) request-processor o_sample-req-processor

?) help
f) finish - create the new Subtree View
d) display the equivalent dsconfig arguments to create this
 object
b) back
q) quit
```

## Editing the Client Connection Policy

Finally, we edit the client connection policy to add our new `o=sample` subtree view.

### To Edit the Client Connection Policy

#### Steps

1. On the Configuration main menu, enter the number corresponding to Client Connection Policy.
2. On the Client Connection menu, enter the number corresponding to "Create a new Client Connection."
3. In the configuration properties, select the `subtree-view` property. Enter the number corresponding to "Add one or more values" to add the new subtree view created for the previous example.
4. Select the subtree view that was created in the previous section.

```
Select the Subtree Views you wish to add:

1) o_sample-view
2) Create a new Subtree View
```

5. Review the subtree views now referenced by the property and press **Enter** to use these values.
6. Review the configuration properties of the client connection policy and enter `f` to save changes.

## Testing Proxy Transformations

After setting up the deployment scenario, the Directory Proxy Server will now respond to requests to the `dc=example,dc=com` and `o=sample` base DNs. We now test the service by imitating example client requests to search and modify users.

### Testing Proxy Transformations

#### About this task

The following example fetches the user with `sampleID=scase` under the `ou=east,o=sample` base DN.

## Steps

1. Run `ldapsearch` to view a Sample entry.

```
root@proxy-east-01: bin/ldapsearch --bindDN "cn=directory manager" \
--bindPassword password --baseDN "ou=east,o=sample" "(sampleID=scase)"
```

```
dn: sampleID=scase,ou=People,ou=east,o=sample
objectClass: person
objectClass: organizationalPerson
objectClass: inetOrgPerson
objectClass: exampleAccount
objectClass: top
description: A customer account migrated from Sample merger
sampleID: scase
userPassword: {SSHA}A5O4RrQHwXc2Ii3btD4exGdP0TVW9VL3CR3ZXAA==
exAccountNumber: 234098
givenName: Sterling
cn: Sterling Case
sn: Case
telephoneNumber: +1 804 094 3356
street: 00468 Second Street
mail: sterlingcase@maildomain.com
l: Arlington
st: VA
sampleRegion: east
sampleLinkedAccounts: sampleID=jcase,ou=People,ou=east,o=sample
```

2. Modify the `sampleRegion` value, changing it to `west`. To do this, we first create a `ldapmodify` input file, called `scase-mod.ldif`, with the following contents:

```
dn: sampleID=scase,ou=People,ou=east,o=sample
changetype: modify
replace: sampleRegion
sampleRegion: west
```

3. Use the file as an argument in the `ldapmodify` command as follows.

```
root@proxy-east-01: bin/ldapmodify --bindDN "cn=Directory Manager" \
--bindPassword password --filename scase-mod.ldif
```

```
Processing MODIFY request for sampleID=scase,ou=People, ou=east,o=sample
MODIFY operation successful for DN sampleID=scase,ou=People,
ou=east,o=sample
```

4. Search for `scase`'s `sampleRegion` value under `o=sample`, we should see `west`:

```
root@proxy-east-01: bin/ldapsearch --bindDN "cn=directory manager" \
--bindPassword password --baseDN "o=sample" "(sampleID=scase)" \
sampleRegion
```

```
dn: sampleID=scase,ou=People,ou=east,o=sample
sampleRegion: west
```

5. Search for `scase` by `uid` rather than `sampleID`, under the `dc=example,dc=com` base DN. We see the Example.com schema version of the entry:

```
root@proxy-east-01: bin/ldapsearch --bindDN "cn=directory manager" \
--bindPassword password --baseDN "dc=example,dc=com" "(uid=scase)"
```

```
dn: uid=scase,ou=People,dc=example,dc=com
objectClass: person
objectClass: exampleAccount
objectClass: inetOrgPerson
objectClass: organizationalPerson
```

```

objectClass: top
description: A customer account migrated from Sample merger
uid: scase
userPassword: {SSHA}A504RrQHWXc2Ii3btD4exGdP0TVW9VL3CR3ZXA==
exAccountNumber: 234098
givenName: Sterling
cn: Sterling Case
sn: Case
telephoneNumber: +1 804 094 3356
street: 00468 Second Street
mail: sterlingcase@maildomain.com
l: Arlington
st: VA
exSampleRegion: west
exSampleLinkedAccounts: uid=jcase,ou=People,dc=example,dc=com

```

## Deploying an Entry-Balancing Directory Proxy Server

---

You can deploy PingDirectoryProxy Server in a variety of ways, depending upon the needs of your enterprise. This chapter describes and illustrates an entry-balancing deployment scenario.

### Deploying an Entry-Balancing Proxy Configuration

---

Entry-balancing is a Directory Proxy Server configuration that allows the entries within a portion of the Directory Information Tree (DIT) to reside on multiple external servers. This configuration is typically useful when the DIT contains many millions of entries, which can be difficult to bring completely into memory for optimal performance. Entry-balancing allows entries under a balancing point base DN to be divided among any number of separate directory servers, making the Directory Proxy Server responsible for intelligently routing requests based on the division.

In this example scenario, the entries in the DIT outside of the balancing point are replicated across all external servers known to the Directory Proxy Server. Replication on the external directory servers must be properly configured before proceeding through this example. The directory servers are expected to contain two replication domains: the global domain, `dc=example,dc=com`, and the balancing point, `ou=people,dc=example,dc=com`.

In this deployment scenario, an `austin-proxy1` instance of the Directory Proxy Server communicates with four external directory servers. The Directory Proxy Server is configured to use entry balancing for the `ou=people,dc=example,dc=com` base DN, with two sets of user entries split beneath it. The first set of user entries is defined in the replicated pair of external servers, `austin-set1.example.com` and `newyork-set1.example.com`. The second set of entries is defined in `austin-set2.example.com` and `newyork-set2.example.com`. The entries in the `dc=example,dc=com` DIT outside of the balancing point base DN are replicated among the four external servers.

The following `dsreplication status` output from the PingDirectory Server external servers describes the replication configuration that exists before creating the Directory Proxy Server configuration.

```

--- Replication Status for dc=example,dc=com: Enabled ---
Server : Entries : Backlog : Oldest Backlog Change Age : Generation ID
-----:-----:-----:-----:-----:-----
austin-set1.example.com:389 : 10003 : 0 : N/A : 722087263
austin-set2.example.com:389 : 10003 : 0 : N/A : 722087263
newyork-set1.example.com:389 : 10003 : 0 : N/A : 722087263
newyork-set2.example.com:389 : 10003 : 0 : N/A : 722087263

```

```

--- Replication Status for ou=people,dc=example,dc=com (Set: dataset1):
 Enabled ---

Server : Entries : Backlog : Oldest Backlog Change Age : Generation ID
-----:-----:-----:-----:-----:-----
austin-set1.example.com:389 : 100001 : 0 : N/A : 178892712
newyork-set1.example.com:389 : 100001 : 0 : N/A : 178892712

--- Replication Status for ou=people,dc=example,dc=com (Set: dataset2):
 Enabled ---

Server : Entries : Backlog : Oldest Backlog Change Age : Generation ID
-----:-----:-----:-----:-----:-----
austin-set2.example.com:389 : 100001 : 0 : N/A : 1057593890
newyork-set2.example.com:389 : 100001 : 0 : N/A : 1057593890

```

## Determining How to Balance Your Data

If a single Directory Server instance can hold all of your data, then we recommend storing your data on a single server and replicating for high availability, as this simplifies your deployment. If a single server cannot hold all of your data, then you can spread it across multiple servers in several ways:

- If the data is already broken up by hierarchy and all of the clients understand how to access it that way, the number of top-level branches is small and a single Directory Server instance can hold all of the information within one or more branches. Configure the Directory Proxy Server with multiple base DNS and use simple load-balancing rather than entry balancing to simplify your deployment.
- If simply breaking up the data using the existing hierarchy is not an option, for example if a large number of top-level branches must be configured, then consider using entry balancing. The contents of any single branch still must fit on a given server, because only entries that are immediate subordinates of the entry-balancing base DN may be spread across multiple servers. Any entries that are further subordinates have to be placed in the same directory server instance as their parent.
- If one or more branches are so large that any single Directory Server instance cannot hold all of the data, you need to use entry balancing within that branch to divide the entries among two or more sets of Directory Servers. You may also need to change the way that the data is arranged in the server so that it uses as flat a DIT as possible, which is easier to use in an entry-balancing deployment.

In an entry-balancing deployment, there can be data that is common to all external directory servers outside the balancing point. This data is referred to as the global domain. The Directory Proxy Server entry-balancing configuration will contain at least two subtree views and associated request processors, one for the global domain and one for the entry-balancing domain. In our examples, the global domain is `dc=example,dc=com` and the entry-balancing domain is `ou=people,dc=example,dc=com`. The entry-balancing base DN, `ou=people,dc=example,dc=com`, is also the balancing point.

## Entry Balancing and ACIs

In an entry-balancing deployment, access control instructions (ACIs) are still configured in the backend Directory Server data. When defining access controls in an entry-balancing deployment, you need to ensure that the data used by the access control rule is available for evaluation on all datasets.

If you use groups for access control and a group contains users from different data sets, then that group must exist on each dataset. For a single ACI to be applicable to entries in all datasets, it must be specified above the entry-balancing point. For example, if an ACI allows access to modify users that are part of group 1, then two things must exist on both data sets:

- Group 1 must exist in the `ou=groups` branch of both datasets.
- The ACI referencing group 1 must exist in the `ou=people` branch or above. The `ou=people` branch entry itself is part of the common data.

The Directory Proxy Server ensures that any changes to entries within the scope of the entry-balancing request processor, but outside the balancing point, are applied to all backend server sets. Any ACI stored at the entry-balancing point will be kept in sync if changes are made through the Directory Proxy Server.

## Overview of Deployment Steps

In this deployment scenario, we will take the following steps:

- Install the Directory Proxy Server on `austin-proxy1`.
- Use the `create-initial-proxy-config` tool to provide our initial setup for entry balancing. The initial setup includes defining multiple subtree views and global indexes in support of entry balancing.
- Change the placement algorithm of the `austin-proxy-01` server to use an entry-count placement algorithm. This algorithm is used to select the backend set to which to forward an add request. It looks at the number of entries in the backend sets and forwards the add request to the backend with either the fewest or the most entries, depending on the configuration. You can also configure the placement algorithm to make the decision based on the on-disk database size rather than the number of entries.

## Installing the Directory Proxy Server

We start by configuring the Directory Proxy Server. The four external servers, `austin-set1.example.com`, `newyork-set1.example.com`, `austin-set2.example.com`, and `newyork-set2.example.com`, are running.

### To Install the Directory Proxy Server

#### Steps

- Run the `setup` program in non-interactive mode.

```
root@austin-proxy1: ./setup --acceptLicense \
--listenAddress austin-proxy1.example.com \
--ldapPort 389 --rootUserDN "cn=Directory Manager" \
--rootUserPassword pass --entryBalancing \
--aggressiveJVMTuning --maxHeapSize 2g --no-prompt
```

## Configuring the Entry-Balancing Directory Proxy Server

Once the Directory Proxy Server has been installed, it can be automatically configured using the `create-initial-proxy-config` tool. This tool can only be used once for this initial configuration, after which we will have to use `dsconfig` to make any changes to our Directory Proxy Server configuration.

### To Configure the Entry-Balancing Directory Proxy Server

#### Steps

1. Run the `create-initial-proxy-config` tool.

```
root@austin-proxy1: ./bin/create-initial-proxy-config
```

2. Our topology meets the requirements, press **Enter** to continue:

```
Some assumptions are made about the topology to keep
this tool simple:
```

- 1) all servers will be accessible via a single user account
- 2) all servers support the same communication security type
- 3) all servers are PingDirectoryProxy Servers

```
If your topology does not have these characteristics you can
use this tool to define a basic configuration and then use the
```

```
'dsconfig' tool or the Administrative Console to fine tune the
configuration.
```

```
Would you like to continue? (yes / no) [yes]:
```

3. Provide the external server access credentials. All of our proxies have identical proxy user accounts and passwords.

```
Enter the DN of the proxy user account [cn=Proxy User,cn=Root
DNs,cn=config]:
```

```
Enter the password for 'cn=Proxy User,cn=Root DNs,cn=config':
Confirm the password for 'cn=Proxy User,cn=Root DNs,cn=config':
```

4. Specify the type of security that the Directory Proxy Server will use to communicate with Directory Servers.
5. Enter a base DN of the Directory Server instances that will be accessed by the Directory Proxy Server.
6. Define the balancing point as a separate base DN, which is entry balanced:

```
Enter another base DN of the directory server instances that
will be accessed through the Directory Proxy Server:
```

```
1)Remove dc=example,dc=com
b)back
q)quit
```

```
Enter a DN or choose a menu item [Press ENTER when finished
entering base DNs]: ou=people,dc=example,dc=com
```

```
Are entries within 'ou=people,dc=example,dc=com' split across
multiple servers so that each server stores only a subset of
the entries (i.e. is this base DN 'entry balanced')? (yes / no)
[no]: yes
```

7. In this example, the data in `ou=people,dc=example,dc=com` will be split across two backend sets. Enter 2 to specify that the data will be balanced across two sets of servers.

```
Across how many sets of servers is the data balanced?
```

```
c) cancel creating ou=people,dc=example,dc=com
q) quit
```

```
Enter a number greater than one or choose a menu item: 2
```

8. The balancing point is the same as our base DN, `ou=people,dc=example,dc=com.`, so we use it as the entry balancing base.

```
>>>> Entry Balancing Base
```

```
The entry balancing base DN specifies the entry below which the
data is balanced. Entries not below this entry must be duplicated
in all the server sets. If all the entries in the base DN are
distributed the entry balancing base DN is the same as the base DN.
```

```
c) cancel creating ou=people,dc=example,dc=com
b) back
q) quit
```

```
Enter the entry balancing base DN or choose a menu item
[ou=people,dc=example,dc=com]: ou=people,dc=example,dc=com
```

**9.** To improve the performance for equality search filters referencing the `uid` attribute, create a `uid` global index. Enter `yes` to add a new attribute to the global index.

**10.** Specify the `uid` attribute.

```
Enter attributes that you would like to add to the global index:
```

```
c)cancel creating ou=people,dc=example,dc=com
b)back
q)quit
```

```
Enter an attribute name or choose a menu item [Press ENTER when
finished entering index attributes]: uid
```

**11.** To optimize Directory Proxy Server performance from the moment it starts accepting connections, enter the number corresponding to "Yes, and all subsequent attributes."

**12.** Press **Enter** to finish specifying index attributes.

**13.** Press **Enter** to enable RDN index priming.

```
Would you like to enable RDN index priming for
'ou=people,dc=example,dc=com'? (yes / no) [yes]:
```

**14.** Press **Enter** to finish specifying base DNs.

```
Enter another base DN of the directory server instances that
will be accessed through the Directory Proxy Server:
```

```
1) Remove dc=example,dc=com
2) Remove ou=people,dc=example,dc=com (distributed)

b) back
q) quit
```

```
Enter a DN or choose a menu item [Press ENTER when finished
entering base DNs]:
```

**15.** The external servers are spread among two locations, New York and Austin. This Directory Proxy Server instance is located in the austin location.

```
A good rule of thumb when naming locations is to use the
name of your data centers or the cities containing them.
```

```
b) back
q) quit
```

```
Enter a location name or choose a menu item: austin
```

```
1) Remove austin

b) back
q) quit
```

**16.** Define the newyork location:

```
Enter another location name or choose a menu item [Press ENTER
when finished entering locations]: newyork
```

```
1) Remove austin
2) Remove newyork

b) back
q) quit
```

```
Enter another location name or choose a menu item [Press ENTER
```

```
when finished entering locations]:
```

**17.**Select the austin location for this Directory Proxy Server instance:

```
Choose the location for this Directory Proxy Server
```

- 1) austin
- 2) newyork
  
- b) back
- q) quit

```
Enter choice [1]:
```

**18.**Specify the LDAP external server instances associated with this location.

```
Enter the host and port (host:port) of the first directory server
in 'austin'
```

- b) back
- q) quit

```
Enter a host:port or choose a menu item [localhost:389]:
austin-set1.example.com:389
```

**19.**Specify that the austin-set1 server can handle requests from the global domain and from set 1 restricted domain.

```
Assign server austin-set1.example.com:389 to handle requests for
one or more of the defined sets of data:
```

- 1) dc=example,dc=com
- 2) ou=people,dc=example,dc=com; Server Set 1
- 3) ou=people,dc=example,dc=com; Server Set 2

```
Enter one or more choices separated by commas: 1,2
```

**20.**Enter the number corresponding to "Yes, and all subsequent servers" to prepare the server for access by the Directory Proxy Server.

```
Would you like to prepare austin-set1.example.com:389 for access
by the Directory Proxy Server?
```

- 1)Yes
- 2)No
- 3)Yes, and all subsequent servers
- 4)No, and all subsequent servers

```
Enter choice [3]:
```

**21.**Select the entry-balanced data set that the austin-set1 server replicates with other servers.

```
You may choose a single entry-balanced data set with which
austin-set1.example.com:389 will replicate data with other servers
```

- 1) ou=people,dc=example,dc=com; Server Set 1
- 2) None, data will not be replicated

```
Enter choice: 1
```

```
Testing connection to austin-set1.example.com:389 Done
Testing 'cn=Proxy User,cn=Root DNs,cn=config' accessDenied
```

**22.**Modify the root user for use by the Directory Proxy Server, specifying the directory manager password for the initial creation of the proxy user.

```

Would you like to create or modify root user 'cn=Proxy User,
cn=Root DNs,cn=config' so that it is available for this
Directory Proxy Server? (yes / no) [yes]:

Enter the DN of an account on austin-set1.example.com:389
with which to create or manage the 'cn=Proxy User,cn=Root DNs,
cn=config' account and configuration [cn=Directory Manager]:

Enter the password for 'cn=Directory Manager':
Created 'cn=Proxy User,cn=Root DNs,cn=config'
Testing 'cn=Proxy User,cn=Root DNs,cn=config'privileges...Done
Setting replication set name

```

- 23.** Since the replication set name has already been configured, we do not need to use the name created automatically by the Directory Proxy Server.

```

This server is currently configured for replication set 'dataset1'.
Would you like to reconfigure this server for replication set
'set-1'? (yes / no) [no]:

Setting replication set name Done
Verifying backend 'dc=example,dc=com' Done
Verifying backend 'ou=people,dc=example,dc=com' Done
Testing 'cn=Proxy User' privileges Done
Verifying backend 'dc=example,dc=com' Done

```

- 24.** Define the other Austin and New York servers using the same procedure as in the previous example:

```

Enter another server in 'austin'

 1) Remove austin-set1.example.com:389
 b) back
 q) quit

Enter a host:port or choose a menu item [Press ENTER when
finished entering servers]: austin-set2.example.com:389

Assign server austin-set2.example.com:389 to handle requests
for one or more of the defined sets of data

 1) dc=example,dc=com
 2) ou=people,dc=example,dc=com; Server Set 1
 3) ou=people,dc=example,dc=com; Server Set 2

Enter one or more choices separated by commas: 1,3

You may choose a single entry-balanced data set with which
austin-set2.example.com:389 will replicate data with other
servers

 1) ou=people,dc=example,dc=com; Server Set 2
 2) None, data will not be replicated

Enter choice: 1

Testing connection to austin-set2.example.com:389Done
Testing 'cn=Proxy User,cn=Root DNs,cn=config' access ... Denied

Would you like to create or modify root user 'cn=Proxy User,
cn=Root DNs,cn=config' so that it is available for this
Directory Proxy Server? (yes / no) [yes]:

Would you like to use the previously entered manager credentials

```

```

to access all prepared servers? (yes / no) [yes]:

Created 'cn=Proxy User,cn=Root DNs,cn=config'
Testing 'cn=Proxy User,cn=Root DNs,cn=config' privileges...Done
Setting replication set name

This server is currently configured for replication set 'dataset2'.

Would you like to reconfigure this server for replication set 'set-2'?
(yes / no) [no]:

Setting replication set name Done
Verifying backend 'dc=example,dc=com' Done
Verifying backend 'ou=people,dc=example,dc=com' Done

Enter another server in 'austin'

 1) Remove austin-set1.example.com:389
 2) Remove austin-set2.example.com:389

 b) back
 q) quit

Enter a host:port or choose a menu item [Press ENTER when
finished entering servers]:

>>>> >>>> Location 'newyork' Details
>>>> External Servers

External Servers identify directory server instances including
host, port, and authentication information.

Enter the host and port (host:port) of the first directory server
in 'newyork':

 b) back
 q) quit

Enter a host:port or choose a menu item [localhost:389]:
newyork-set1.example.com:389

Assign server newyork-set1.example.com:389 to handle requests
for one or more of the defined sets of data

 1) dc=example,dc=com
 2) ou=people,dc=example,dc=com; Server Set 1
 3) ou=people,dc=example,dc=com; Server Set 2

Enter one or more choices separated by commas: 1,2

You may choose a single entry-balanced data set with which
newyork-set1.example.com:389 will replicate data with other servers

 1) ou=people,dc=example,dc=com; Server Set 1
 2) None, data will not be replicated

Enter choice: 1

Testing connection to newyork-set1.example.com:389Done
Testing 'cn=Proxy User,cn=Root DNs,cn=config' access ... Denied

Would you like to create or modify root user 'cn=Proxy User,
cn=Root DNs,cn=config' so that it is available for this
Directory Proxy Server? (yes / no) [yes]:

```

```

Created 'cn=Proxy User,cn=Root DNs,cn=config'
Testing 'cn=Proxy User,cn=Root DNs,cn=config' privileges...Done
Setting replication set name

This server is currently configured for replication set 'dataset1'.

Would you like to reconfigure this server for replication set
'set-1'? (yes / no) [no]:

Setting replication set name Done
Verifying backend 'dc=example,dc=com' Done
Verifying backend 'ou=people,dc=example,dc=com' Done

Enter another server in 'newyork'

 1) Remove newyork-set1.example.com:389
 b) back
 q) quit

Enter a host:port or choose a menu item [Press ENTER when
finished entering servers]: newyork-set2.example.com:389

Assign server newyork-set2.example.com:389 to handle requests
for one or more of the defined sets of data:

 1) dc=example,dc=com
 2) ou=people,dc=example,dc=com; Server Set 1
 3) ou=people,dc=example,dc=com; Server Set 2

Enter one or more choices separated by commas: 1,3

You may choose a single entry-balanced data set with which
new-york-set2.example.com:389 will replicate data with other servers

 1) ou=people,dc=example,dc=com; Server Set 2
 2) None, data will not be replicated

Enter choice: 1

Testing connection to newyork-set2.example.com:389 Done
Testing 'cn=Proxy User,cn=Root DNs,cn=config' access.... Denied

Would you like to create or modify root user 'cn=Proxy User,
cn=Root DNs,cn=config' so that it is available for this Directory
Proxy Server? (yes / no) [yes]:

Created 'cn=Proxy User,cn=Root DNs,cn=config' Testing
'cn=Proxy User,cn=Root DNs,cn=config' privileges...Done
Setting replication set name

This server is currently configured for replication set 'dataset2'.
Would you like to reconfigure this server for replication
set 'set-2'? (yes / no) [no]:

Setting replication set name Done
Verifying backend 'dc=example,dc=com' Done
Verifying backend 'ou=people,dc=example,dc=com' Done

Enter another server in 'newyork'

 1)Remove newyork-set1.example.com:389
 2)Remove newyork-set2.example.com:389

```

```

 b)back
 q)quit

Enter a host:port or choose a menu item [Press ENTER when
finished entering servers]:

>>>> >>>> Configuration Summary

External Server Security: None
Proxy User DN: cn=Proxy User,cn=Root DNs,cn=config
Location austin
 Failover Order: newyork
 Servers: austin-set1.example.com:389,
 austin-set2.example.com:389
Location newyork
 Failover Order: austin
 Servers: newyork-set1.example.com:389,
 newyork-set2.example.com:389
Base DN: dc=example,dc=com
 Servers: austin-set1.example.com:389,
 austin-set2.example.com:389,
 newyork-set1.example.com:389,
 newyork-set2.example.com:389
Base DN:vou=people,dc=example,dc=com
Entry Balancing Base: ou=people,dc=example,dc=com
Server Set 1: austin-set1.example.com:389,
 newyork-set1.example.com:389
Server Set 2: austin-set2.example.com:389,
 newyork-set2.example.com:389
Index Attributes: uid (primed,unique)
Prime RDN Index: Yes

NOTE: The Directory Proxy Server must be restarted after
this tool has completed to have index priming take place

 b) back
 q) quit
 w) write configuration

Enter choice [w]
>>>> Write Configuration

The configuration will be written to a 'dsconfig' batch
file that can be used to configure other Directory Proxy Servers.

Writing Directory Proxy Server configuration to /proxy/dps-
cfg.txt.....Done

```

**25.** Enter *yes* to apply our configuration changes to the Directory Proxy Server.

```

Apply these configuration changes to the local Directory Proxy
Server? (yes /no) [yes]:

How do you want to connect to the Directory Proxy Server on localhost?

 1) LDAP
 2) LDAP with SSL
 3) LDAP with StartTLS

Enter choice [1]:

Administrator user bind DN [cn=Directory Manager]:
Password for user 'cn=Directory Manager':
Creating Locations Done

```

```

Updating Failover Locations Done
Updating Global Configuration Done
Creating Health Checks Done
Creating External Servers Done
Creating Load-Balancing Algorithm for dc=example,dc=com Done
Creating Request Processor for dc=example,dc=com Done
Creating Subtree View for dc=example,dc=com Done
Updating Client Connection Policy for dc=example,dc=com Done
Creating Load-Balancing Algorithm for ou=people,dc=example,dc=com; Server
Set 1 Done
Creating Request Processor for ou=people,dc=example,dc=com; Server Set
1...Done
Creating Load-Balancing Algorithm for ou=people,dc=example,dc=com; Server
Set 2 Done
Creating Request Processor for ou=people,dc=example,dc=com; Server Set
2...Done
Creating Entry Balancing Request Processor for
ou=people,dc=example,dc=com Done
Creating Placement Algorithm for ou=people,dc=example,dc=com Done
Creating Global Attribute Indexes for ou=people,dc=example,dc=com Done
Creating Subtree View for ou=people,dc=example,dc=com Done
Updating Client Connection Policy for ou=people,dc=example,dc=com Done

See /logs/create-initial-proxy-config.log for a detailed log of this
operation

To see basic server configuration status and configuration you can launch /
bin/status

```

## Configuring the Placement Algorithm Using a Batch File

Now, we configure the placement algorithm using a batch file. We want to place new entries added through the proxy via LDAP ADD operations into the least used dataset. We do this using an entry-count placement algorithm. To change the placement algorithm from round-robin to entry-count, we first create and enable an entry-count placement algorithm configuration object and then disable the existing round-robin placement algorithm. Our batch file, `dsconfig.post-setup`, contains the `dsconfig` commands required to create the entry-count placement algorithm and disable the old round-robin algorithm.

### To Configure the Placement Algorithm Using a Batch File

#### About this task

The batch file contains comments to explain each `dsconfig` command. Note that in this example, line wrapping is used for clarity. The `dsconfig` command requires that the full command be provided on a single line.

The batch file itself looks like the following:

```

root@austin-proxy1:more ../dsconfig.post-setup

This dsconfig operation creates the entry-count placement
algorithm with the default behavior of adding entries to the
smallest backend dataset first.

dsconfig create-placement-algorithm
--processor-name ou_people_dc_example_dc_com-eb-req-processor
--algorithm-name entry-count --type entry-counter --set enabled:true

Note that once the entry-count placement algorithm is created
and enabled, we can disable the round-robin algorithm.
Since an entry-balancing proxy must always have a placement
algorithm, we add a second algorithm and then disable the

```

```
original round-robin algorithm created during the setup
procedure.

dsconfig set-placement-algorithm-prop
--processor-name ou_people_dc_example_dc_com-eb-req-processor
--algorithm-name round-robin --set enabled:false

At this point, LDAP ADD operations will be forwarded to an external
server representing the dataset with the least number of entries.
```

## Steps

- Run the `dsconfig` command using the batch file. Once the batch file has executed, a new entry-count placement algorithm, called `entry-count`, has been created, and the old `round-robin` placement algorithm, `round-robin`, has been disabled.

```
root@austin-proxy1: bin/dsconfig --no-prompt \
--bindDN "cn=directory manager" --bindPassword password \
--port 389 --batch-file ../dsconfig.post-setup
```

Batch file `'../dsconfig.post-setup'` contains 2 commands

```
Executing: create-placement-algorithm --no-prompt
--bindDN "cn=directory manager" --bindPassword pass
--port 1389
--processor-name ou_people_dc_example_dc_com-eb-req-processor
--algorithm-name entry-count --type entry-counter --set enabled:true
```

```
Executing: delete-placement-algorithm --no-prompt
--bindDN "cn=directory manager" --bindPassword pass
--port 1389
--processor-name ou_people_dc_example_dc_com-eb-req-processor
--algorithm-name round-robin --set enabled:false
```

## Rebalancing Your Entries

If your deployment distributes entries using an entry counter placement algorithm or 3rd party algorithm, you may need to redistribute your entries. For example, imagine that you have an environment that distributes entries across three backends using an entry counter placement algorithm. This algorithm distributes entries to the backend that has the most space. Imagine that the backends all reach their maximum capacity and you decide to add a new backend to the deployment. You need to move the entries from the full backends and distribute them evenly across all the backends, including the new backend.

You might also want to deliberately rebalance your entries to meet the needs of your organization. For example, you can direct entry balancing based on attributes on the entries themselves. You can write a custom algorithm that looks at the value of an attribute that is being modified on the entry. Based on the attribute, you can then put this entry somewhere specific. You might use this feature if you want to have certain entries closer geographically to the client application using them. The geographical information could be included in the entry. Rebalancing would be used to move these entries to the server in the correct geographical location.

You can redistribute entry-balanced entries in two ways:

- **Using dynamic rebalancing.** With dynamic rebalancing, as existing entries get modified, they get moved. You configure dynamic rebalancing in the entry counter placement algorithm.
- **Using the `move-subtree` tool.** This tool can be used to move either small subtrees through a transactional method or to move large subtrees, potentially taking them offline for a short period.

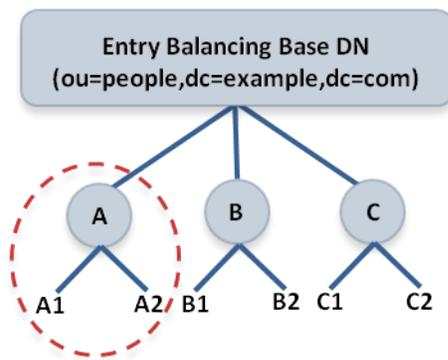
The remainder of this section describes each of these method of entry rebalancing in more detail.

## About Dynamic Rebalancing

During dynamic rebalancing entries get moved as they are modified. You configure dynamic rebalancing on the entry counter placement algorithm or a third-party placement algorithm that supports rebalancing. This algorithm keeps a count of the number of entries or the size of the backend set. You configure dynamic rebalancing using the following parameters:

- **rebalancing-enabled** . Determines whether entry rebalancing is enabled. When rebalancing is enabled, the placement algorithm is consulted after modify and add operations, to determine whether the target entry should be moved to a different backend set.
- **rebalancing-scope** . Indicates which modified entries are candidates for rebalancing. A value of `top-level` indicates that only entries immediately below the entry-balancing base can be rebalanced. A value of `any` indicates that entries at any level below the entry-balancing base may be rebalanced.
- **rebalancing-minimum-percentage** . Specifies the minimum threshold for entries to be migrated from one backend set to a preferred backend set with a smaller size. Entries are not migrated unless the percentage difference between the value of the current backend set and the value of the preferred backend set exceeds this threshold. This parameter prevents unnecessarily migrating entries back and forth between backend sets of similar sizes.
- **rebalancing-subtree-size-limit** . Specifies the maximum size of a subtree that can be rebalanced.
- **poll-interval** . Specifies how long to wait between polling the size of the backends to determine how to rebalance; works in conjunction with the `rebalancing-minimum-percentage` property.
- **placement-criteria** . Determines which approach to use to select a destination backend for rebalancing. Possible values are: `entry-count`, `backend-size`, or `custom`.

The following figure illustrates an entry-balancing base DN and three subtrees, A, B, and C. If the rebalancing scope is set to `any`, any child entries under the base DN can be rebalanced. For example, if a change is made to entry A1, the entire subtree A might be rebalanced, depending upon how you have configured rebalancing. If the rebalancing scope is set to `top-level`, rebalancing is only triggered when entries at the top level, such as A, are modified. Changes made to subentries, such as A1 or A2, do not trigger rebalancing. Rebalancing is also triggered upon the addition of entries such as A1, A2, provided the scope is `any`.



**Figure 4: Rebalancing at the Top Level**

If you are writing your own 3rd party algorithm, you program dynamic rebalancing using the `SelectRebalancingBackendSet` method on the placement algorithm. For more information, see the Server SDK documentation.

### To Configure Dynamic Rebalancing

#### About this task

This procedure describes how to configure dynamic rebalancing on an existing entry balancing configuration.

## Steps

1. To configure entry rebalancing, you may create an entry counter placement algorithm, if the current placement algorithm does not support rebalancing. You can either do this using `dsconfig` in interactive mode, or using the `dsconfig` command line as follows:

```
$ dsconfig create-placement-algorithm \
 --processor-name dc_example_dc_com-eb-req-processor \
 --algorithm-name rebalancing --type entry-counter \
 --set enabled:true --set rebalancing-enabled:true
```

2. Remove any placement algorithm previously configured on this entry-balancing request processor.
3. You can throttle how many entries are being moved by the proxy, so that the backend servers do not have too heavy a load. To do this, set the `rebalancing-queue-maximum-size` property of the request processor created in the previous step. By default, it is set to 1000. If the load is too high, reduce this value as follows:

```
$ dsconfig set-request-processor-prop \
 --processor-name dc_example_dc_com-eb-req-processor \
 --set rebalancing-queue-maximum-size:50
```

4. Verify that the access logs are configured to display the subtrees being moved by dynamic rebalancing. The access logs provide a good way to monitor progress. So, if the write load on the backend servers is high and you see lots of rebalancing activity in the access log, lower the queue size to lower the rebalancing activity. You can configure the access log to display entry rebalancing processing information as follows:

```
$ dsconfig set-log-publisher-prop \
 --publisher-name "File-Based Access Logger" \
 --set log-entry-rebalancing-requests:true
```

## About the move-subtree Tool

The `move-subtree` tool allows you to specify subtrees for rebalancing. You specify the source server, the target server, and one or more base DN's identifying the subtrees you want to move. You can move small subtrees using the transactional method or move large subtrees, which does not use this method. Instead, the large subtree is not fully accessible during the move, so clients may get an "insufficient access rights error" if they try to access the subtree. As entries are moved, clients can read but not write to them. Once the transfer is complete, the entries are fully available to client requests.

This tool accepts a file containing a list of the base DN's of the subtrees you want to move.

**Note:** The `move-subtree` tool requires users to have access to the extended operations and controls needed to run the tool. Make sure to apply the following ACIs to your data.

```
aci: (targetcontrol="1.3.6.1.4.1.30221.2.5.5 ||
 1.3.6.1.4.1.30221.2.5.24 || 1.3.6.1.4.1.30221.2.5.13")
 (version 3.0; acl "Allow admin to submit move-subtree controls";
 allow (read) userdn="ldap:///uid=admin,dc=example,dc=com";)
aci: (extop="1.3.6.1.4.1.30221.2.6.19")
 (version 3.0; acl "Allow admin to request move-subtree extended
 operation"; allow (read) userdn="ldap:///uid=admin,dc=example,dc=com";)
```

## About the subtree-accessibility Tool

The `subtree-accessibility` tool helps you determine if a subtree has restricted access and helps you fix any problems. If, during rebalancing, the Directory Server issues an alert that a subtree has been unavailable for too long, then you can use this tool to evaluate the problem. For example, if the `move-subtree` tool is interrupted by a host machine going down unexpectedly, the subtree might not be successfully moved. You can use the `subtree-accessibility` tool to evaluate and correct any problems with the subtrees, and then re-run the `move-subtree` tool.

## Managing the Global Indexes in Entry-Balancing Configurations

---

In an entry-balancing configuration, the Directory Proxy Server maintains the default RDN index as well as one or more in-memory global attribute indexes. The global indexes allow the Directory Proxy Server to select the correct backend server set for incoming operations, which avoids broadcasting operations to all backend sets.

The indexes may be preloaded from peer proxies or the backend directory servers when the server starts up, and are updated by certain operations that come through the Directory Proxy Server. For instance, when a new entry is added, the DN of the new entry is added to the DN index of the Directory Proxy Server performing the operation. The indexes are also fault-tolerant and can adapt to changes made in the backend servers without going through the Directory Proxy Server. For example, operations will be processed directly through the backend server.

This section describes when to create a global attribute index, how to reload the global index, how to monitor its growth, and how to prime the global index from a peer at start-up.

### When to Create a Global Attribute Index

The RDN index is referenced whenever a modify, delete, or base search is requested. In other words, the RDN index is needed when the LDAP request contains the complete DN of the targeted entry. If the entry-balancing request processor is not configured to prime the `rdn` index at startup, then the index is populated over time as LDAP requests are processed.

A global attribute index is an optional index and is referenced when the Directory Proxy Server is handling a search request with an equality filter involving the attribute, such as the `telephoneNumber` attribute with the filter `(telephoneNumber=+11234567890)`. Since the Directory Proxy Server does not know what the data within the subtree views looks like or how it will be searched, it cannot create or recommend default global attribute index definitions. The creation of a global attribute index is based on the range of equality-filtered search requests that the Directory Proxy Server will handle. The Directory Server must also have an equality or ordering index type for the associated attribute Local DB Index."

The common candidates for global attribute indexing are the uniquely-valued equality-indexed attributes on the external servers. Examples of these attributes are `uid`, `mail` and `telephoneNumber`. Though the values of the attribute need not be unique to be used as a global attribute index by the entry-balancing request processor.

Consider a Directory Proxy Server deployment that expects to handle frequent searches of the form `"(&(mail=user@example.com)(objectclass=person))"`. Since the filter is constructed with an equality match and `&`-clause, we can use a global attribute index on the `mail` attribute to avoid forwarding the search request to each entry balanced dataset.

The following `dsconfig` command creates the global attribute index. Note that the `mail` attribute must be indexed for equality searches on each of the external servers behind the Directory Proxy Server.

```
$ bin/dsconfig create-global-attribute-index \
 --processor-name ou_people_dc_example_dc_com-eb-req-processor \
 --index-name mail --set prime-index:true \
```

After creating the index with `dsconfig`, the index will begin to be populated as search requests involving the `mail` attribute are made to the Directory Proxy Server. At this point, you can also use the `reload-index` tool to fully populate the index for optimal performance as described in the following section.

### Reloading the Global Indexes

The Directory Proxy Server provides a tool, `reload-index`, which allows you to manually reload the Directory Proxy Server global indexes. You might need to reload the index when:

- The Directory Proxy Server fails to successfully load its global indexes on startup.
- Changes are made to the set of indexed attributes.

- Significant changes are made to the content in backend servers.
- The integrity of the index is in question.

You can use the tool to reload all configured indexes in the global index, including the RDN index and all attribute indexes, or to reload only those indexes you specify.

The tool schedules an operation to run within the Directory Proxy Server's process. You must supply LDAP connection information so that the tool can communicate with the server through its task interface. Tasks can be scheduled to run immediately or at a later scheduled time. Once scheduled, you can manage the tasks using the `manage-tasks` tool.

### To Reload All of the Index

#### Steps

- Run the `reload-index` tool to reload all of the indexes within the scope of the `dc=example,dc=com` base DN. The task is performed as `cn=Directory Manager` on port 389 of the localhost server. The existing index contents are erased before reloading.

```
$ bin/reload-index --task --bindPassword password --baseDN
"dc=example,dc=com"
```

### To Reload the RDN and UID Index

#### Steps

- To reload the RDN and UID index in the background so that the existing contents of these indexes can continue to be used, run the command as follows:

```
$ bin/reload-index --task --bindPassword password \
--baseDN "dc=example,dc=com" --index rdn --index uid --background
```

### To Prime the Backend Server Using the `--fromDS` Option

#### About this task

You can force the Directory Proxy Server to prime from the backend directory server only using the `--fromDS` option, overriding the configuration of the `prime-index-source` property. You can do this on a one off basis if the global index appears to be growing too large. For example, run the command as follows:

#### Steps

- Run the `reload-index` command with the `--fromDS` option to prime the backend server.

```
$ bin/reload-index --bindPassword password --baseDN "dc=example,dc=com" --
fromDS
```

## Monitoring the Size of the Global Indexes

Over time, stale entries can build up in the global indexes because proxies do not communicate changes to the indexes with one another. The Directory Proxy Server continues to operate normally in this situation since the global indexes are only ever used as a hint at where to find entries.

The rate of this growth is typically very slow since in most environments the key attributes change infrequently. The global indexes themselves are also very compact. However, if the global indexes start to fill up the allocated LDAP memory, you may need to flush and reload them. The size of the global indexes can be monitored over LDAP using the following command:

```
$ bin/ldapsearch -b "cn=monitor" -D "uid=admin,dc=example,dc=com" -w password \
 "(objectClass=ds-entry-balancing-request-processor-monitor-entry)" \
 global-index-current-memory-percent
```

If the global indexes fill up, the Directory Proxy Server will continue to operate normally, but it will need to start evicting entries from the indexes, which will lead to more broadcast searches, reducing the overall throughput of the Directory Proxy Server.

To reload the indexes so that they no longer hold stale information, run the `reload-index` command with the `--fromDS` option so that data is loaded from backend directory servers. We recommend that you reload the indexes during off-peak hours because it may have an impact on performance while the reload is in progress.

## Sizing the Global Indexes

The Directory Proxy Server includes a tool, `global-index-size`, to help you estimate the size in memory of your global indexes. You can estimate the size of more than one index in a single invocation by providing multiple sets of options. The tool creates its estimate using the following information:

- **Number of keys in the index.** For example, for the built-in RDN index, the number of keys is the total number of entries in the Directory Server that are immediately below the balancing point. Entries more than one level below the balancing point, as well as entries that are not subordinate to the balancing point, will not be contained in the RDN index. For attribute indexes, the number of keys will be the number of unique values for that attribute in the entry-balanced portion of the data.
- **Average size of each key, in bytes.** For attributes indexes, the key is simply the attribute value. For the built-in RDN index, the key is the RDN directly below the balancing base DN. For example, for the DN `uid=user.0,dc=example,dc=com` under the balancing base DN of `dc=example,dc=com`, the key size is 10 bytes (the number of bytes in the RDN `uid=user.0`).
- **Estimated number of keys.** This value corresponds to the maximum number of keys you expect in your Directory Server. The number of keys is provided in the `index-size` configuration property of the `global-attribute-index` object when you configure an attribute index. For the built-in RDN index, the configured number of keys is provided in the `rdn-index-size` property. If you do not provide a value, the tool assumes that the configured number of keys is the same as the actual number of keys.

### To Size the Global Index

#### Steps

- Run the `global-index-size` to estimate the size of two separate indexes, both with 10,000,000 keys but with differing average key sizes. The configured number of keys is assumed to be equal to the actual number of keys:

```
$ bin/global-index-size --numKeys 10000000 \
 --averageKeySize 11 --numKeys 10000000 \
 --averageKeySize 15
```

| Num Keys | Cfg. Num Keys | Avg. Key Size | Est. Memory Size |
|----------|---------------|---------------|------------------|
| 10000000 | 10000000      | 11            | 159 mb           |
| 10000000 | 10000000      | 15            | 197 mb           |

## Priming the Global Indexes on Start Up

The Directory Proxy Server can prime the global indexes on startup from the backend directory server or from a peer proxy server, preferably one that resides on the same LAN or subnet. When priming occurs locally, you can avoid WAN bandwidth consumption and reduce the processing load on the directory servers in the topology. You can specify the data sources for the index priming and the order in which priming from these sources occurs.

Use the `prime-index-source` property to specify the sources of data, either `ds`, `file` or some combination of the two. The order you specify is the order in which priming from these sources will be attempted. For example, if you specify `prime-index-source:file,ds`, priming will be performed from the `global-index` data file created from the previous run of the directory servers. With the `file,ds` configuration, the contents of the global index are written to disk periodically if, and only if, the entire global index has been primed previously from a directory servers source either from startup or reloaded-index. Priming is most efficient if the source server is on the same local network as the Directory Proxy Server.

## To Configure All Indexes at Startup

### About this task

The following example configures the entry-balancing request processor so that it primes the global index from the persisted file, if present, or from an external directory servers source if necessary.

### Steps

- Run the `dsconfig` tool to prime all indexes at startup.

```
$ bin/dsconfig set-request-processor-prop \
 --processor-name dc_example_dc_com-eb-req-processor \
 --set prime-all-indexes:true --set prime-index-source:file \
 --set prime-index-source:ds
```

## To Configure the Global Indexes Manually

### About this task

If you do not want to configure priming during setup, you can configure index priming manually by creating an external server, creating a global attribute index, and then changing the entry-balancing request processor to load indexes from this external server.

### Steps

1. Use the `dsconfig` tool to create an external server of the type `PingDirectoryProxy Server` to represent a peer of the Directory Proxy Server.

```
$ bin/dsconfig create-external-server \
 --server-name intra-proxy-host.example.com:3389 \
 --type PingDirectoryProxy-server \
 --set server-host-name:intra-proxy-host \
 --set server-port:338 \
 --set "bind-dn:cn=Directory Manager" \
 --set "password:secret123"
```

2. Create a global attribute index on the `uid` attribute as follows:

```
$ bin/dsconfig create-global-attribute-index \
 --processor-name dc_example+dc+com-eb-req-processor \
 --index-name uid \
```

3. Change the entry-balancing request processor to load the indexes at startup from the peer Directory Proxy Server using `dsconfig set-request-processor-prop` as described above.

## To Persist the Global Index from a File

### About this task

The `PingDirectoryProxy Server` supports periodically persisting the global index to a file and priming the global index from the persisted file when the server is restarted.

An Entry Balancing Request Processor can be configured to periodically persist the global index to disk, so that when the Entry Balancing Request Processor is reinitialized (on startup), it can prime the values from disk instead of putting load on the remote servers. Being able to read the index from disk eliminates the load on backend Directory Server instances if many PingDirectoryProxy Server instances were to come up at once.

An entry-balancing request processor can be configured to persist the global index to disk by including `file` as one of the prime index sources (with the `prime-index-source` property). The frequency at which the file is written is controlled by the `persist-global-index-frequency` property.

The global index needs to be fully primed before it will be persisted. It can be initially primed using a peer PingDirectoryProxy Server or from a backend Directory Server. On a running PingDirectoryProxy Server, when new global attribute indexes are added, the global index can be primed with those attribute indexes by running the `rebuild-index` tool. The `rebuild-index` tool always uses a remote server for priming the global index even if `file` is configured as a source). On subsequent restarts of the PingDirectoryProxy Server, the global index will be primed from the persisted file instead of going over the network to a remote server, which allows it to be primed much faster than if it were using a remote priming source. Also, during server startup, the global index priming works by using each configured `prime-index-source` property in the specified order until it is fully primed to take advantage of what is available locally before contacting one or more remote servers.

### Steps

- The following `dsconfig` command prime all indexes at startup from a file.

```
dsconfig -n set-request-processor-prop \
 --processor-name entry-balancing \
 --set prime-index-source:file \
 --set prime-index-source:ds \
 --set persist-global-index-frequency:10s \
 --set persist-global-index-directory:/servers/proxy-1/index-files \
 --set prime-all-indexes:true
```

## Priming or Reloading the Global Indexes from Sun Directory Servers

When priming or reloading a global index based on a Sun Directory Server environment, the Sun servers may become overwhelmed and unresponsive because of their method of streaming data. To reduce the impact of priming on these server, you can use the `prime-search-entry-per-second` property. To reduce the impact of reloading these indexes, use the `--searchEntryPerSecond` property of the `reload-index` command. These properties control the rate at which the Directory Proxy Server accepts search result entries from the backend directory servers.

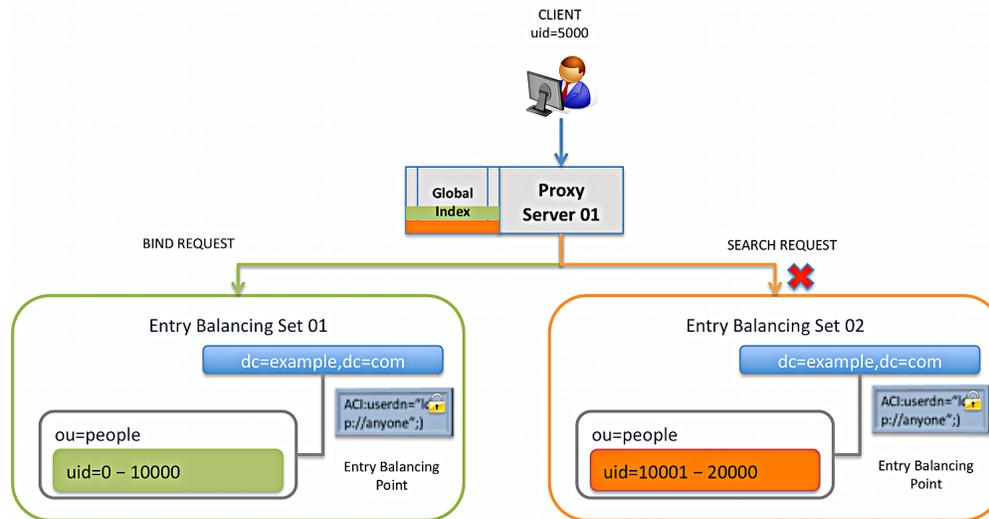
To find the optimum rate, start low and specify a few thousand search entries per second. Then increase as necessary.

## Working with Alternate Authorization Identities

Access control rules in an entry-balanced deployment are configured in the Directory Server backend servers and require access to the entry contents of the user *issuing* the request. This can introduce a possible issue when clients to the Directory Proxy Server authenticate as users whose entries are among the entry-balanced sets. If the server which is processing a request does not contain the issuing user's entry, then the access control cannot be evaluated.

For example, consider a deployment that has two entry-balancing sets, `set-01` and `set-02`. `set-01` has entries in the range `uid=0-10000`, while `set-02` has entries for `uid=10001-20000`. The client with `uid=5000` binds to the Directory Proxy Server, which sends a BIND request to entry-balancing `set-01`. Next, the client sends a SEARCH request with filter "`(uid=15000)`". The Directory Proxy Server determines that `uid=15000` lives on entry-balancing `set-02`. The Directory Proxy Server then determines

that the entry for the authenticated user with `uid=5000` does not exist in set-02 and that the access control handler would reject the `SEARCH` request issued by an unknown user.



**Figure 5: Entry-Balancing Issue with Clients Not Present in the Underlying Data Set**

One solution to this problem is to make use of an *alternate authorization identity* for the user, which references an entry that exists in all Directory Servers in all backend sets and has an equivalent set of access control rights as the authenticated user. The alternate authorization identity is used when the Directory Proxy Server observes that the Directory Server processing a request does not contain the entry of the user issuing the request.

The following sections cover the procedures to configure the alternate authorization identities for the Directory Proxy Server.

## About Alternate Authorization Identities

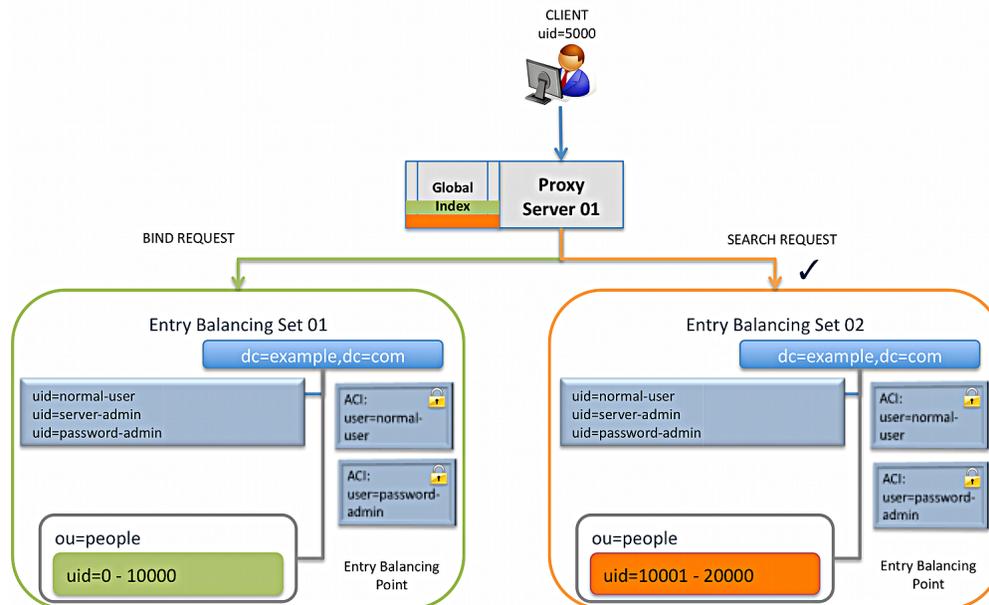
Whenever the Directory Proxy Server forwards a request to the backend set containing the user's entry, it forwards the request with an authorization identity that reflects the user's actual identity, since servers in that set already know about that user. However, when forwarding a request to a backend set that does *not* contain the user's entry, the Directory Proxy Server uses an *alternate authorization identity* that reflects the generic user with the same set of rights as the actual user issuing the request. Alternate authorization identities allow for the proper evaluation of access control rules for users whose entries are not present within an entry-balanced dataset.

There are typically only a few different generic class of users from an access control perspective, which can be placed in a portion of the DIT that is not below the entry-balancing base DN and is replicated to all servers in the topology. For example, assume that you have three classes of users: full administrators, password administrators, and normal users. You could create the following entries in the topology and assign them the appropriate access rights:

```
uid=normal user,dc=example,dc=com
uid=server-admin,dc=example,dc=com
uid=password-admin,dc=example,dc=com
```

Returning to the example scenario, the client with `uid=5000` binds to the Directory Proxy Server, which sends a `BIND` request to entry-balancing set-01. Next, the client sends a `SEARCH` request for `uid=15000`. The Directory Proxy Server determines that `uid=15000` lives on entry-balancing set-02. Next, the Directory Proxy Server then determines that the client `uid=5000` does not have an entry on entry-balancing set-02. The Directory Proxy Server uses an *alternate authorization identity* that reflects the generic user, `uid=normal user`, which has the same set of rights as the client `uid=5000` who is issuing the request. The access control is accepted and the `SEARCH` request returns a response for `uid=5000`.

Whenever a user authenticates to the Directory Proxy Server, the server can keep track of which backend set holds that user's entry and determine whether an alternate authorization identity is required. The server can also determine which of these generic accounts best describes the rights that the user should have.



**Figure 6: Alternate Authorization Identity Solves Access Control Issues in Entry-Balancing Deployments**

When an alternate authorization identity is invoked, you will see `authzID='dn:uid=normal user,dc=example,dc=com'` in the server log, indicating that the alternate authorization identity was used. For example, if the user .15000 is in a different backend set from user .5000, the log will show the following:

```
% bin/ldapsearch -D "uid=user.5000,ou=people,dc=example,dc=com" -w password \
 -b uid=user15000,ou=people,dc=example,dc=com "(objectclass=*)"

[18/Aug/2013:11:54:35 -0500] SEARCH REQUEST conn=153 op=1 msgID=2
via="app='Directory-Proxy address='127.0.0.1'
authzID='dn:uid=normal user,dc=example,dcom' sessionID='conn=2'
requestID='op=1' " base="uid=user.15000,ou=people,dc=example,dc=com"scope=2
filter="(objectclass=*)" attrs="ALL"

[18/Aug/2013:11:54:35 -0500] SEARCH REQUEST conn=153 op=1 msgID=2 resultCode=0
etime=2.038
entriesReturned=1 authzDN="uid=normal-user,dc=example,dc=com"
```

## Configuring Alternate Authorization Identities

Alternate authorization identities are specified by the `authz-attribute` property of the entry-balancing request processor configuration object. By default, the `authz-attribute` property has the default value of `ds-authz-map-to-dn`, which is an attribute reserved for this purpose.

### To Configure Alternate Authorization Identity DNs

#### About this task

If a user entry has a value for `ds-authz-map-to-dn` whether it's explicitly contained in the entry or only present via a virtual attribute, then that will be used to specify the alternate authorization identity for the user. Otherwise, the default authorization identity (as indicated via the `authz-dn` configuration property) will be used to determine the alternate authorization identity.

## Steps

1. Use `dsconfig` to set the `authz-dn` property of the entry-balancing request processor configuration. If any user among the balanced entries does not have an alternate authorization identity defined, the Directory Proxy Server will use the value of the `authz-dn` property of the entry-balancing request processor configuration.

```
$ bin/dsconfig set-request-processor-prop \
 --processor-name dc_example_dc_com-eb-req-processor \
 --set "authz-dn:uid=normal user,dc=example,dc=com"
```

2. Create an auxiliary object class containing `ds-authz-map-to-dn` as an allowed attribute.
3. Add the auxiliary object class value to all user entries of interest.
4. Then, add the following attribute value to a `server-admin` user.

```
ds-authz-map-to-dn: uid=server-admin,dc=example,dc=com
```

# Managing Entry-Balancing Replication

---

Replication in the PingDirectoryProxy Server synchronizes directory data between all servers in the topology. In a deployment using the entry-balancing feature, however, directory data under the entry-balancing point is split into multiple data sets. Each data set is replicated to ensure high availability between a subset of the servers in the topology. Other directory data, such as the schema or data above the entry-balancing point, is replicated between all servers in the topology.

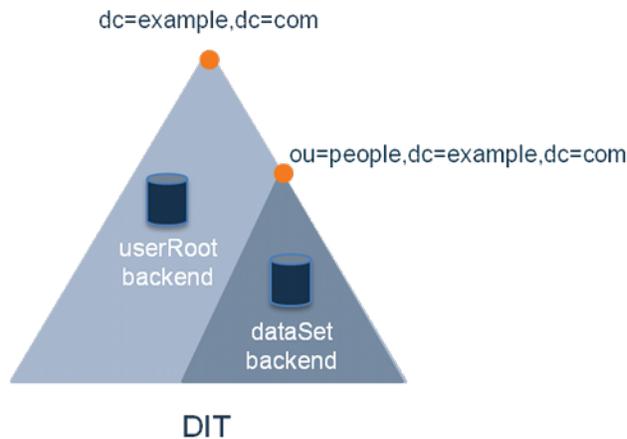
This chapter presents the following information about replication in an entry-balancing environment:

## Overview of Replication in an Entry-Balancing Environment

---

In an entry-balanced deployment, some data is replicated everywhere, such as the schema, the server registry, and other shared data, and some data is replicated only on certain servers. A replication domain contains all of the servers in a replicated topology and shares a schema. The replication domain is associated with the base DN and must be a base DN of a backend.

By default, replication propagates updates to all replication servers in the topology. Updates to data under the entry-balancing point, however, must be replicated only among server instances in the same data set. Replication requires that, in such deployments, the Directory Server is configured with a replication set name global configuration property, and two backends. One backend has a base DN that is replicated globally (such as `dc=example,dc=com`) and the second backend has a base DN associated with the entry-balancing point (such as `ou=people,dc=example,dc=com`).



**Figure 7: Global and Restricted Backends**

If a data set name is not defined when you set up the Directory Proxy Server, one will be provided by default. The proper configuration of an entry-balancing environment requires coordination between the Directory Server and Directory Proxy Server. Once replication is enabled, the replication domain may be designated as the domain participating in entry balancing.

Review the *Directory Server Administration Guide* for more details about replication, managing the replication topology, and working with multiple backends.

## Replication Prerequisites in an Entry-Balancing Deployment

---

Replication in an entry-balanced deployment requires the following:

- **Multiple local DB backends.** When you set up the Directory Server instances, you need two backends, a global backend for globally replicated data, such as `userRoot`, and a backend for the balancing point base DN, `dataSet`. Both backends need to be enabled for replication and initialized separately.
- **Replication set name.** Every Directory Server in your replicated topology must have a replication set name. This replication set name coordinates the Directory Proxy Server and the Directory Server. The restricted domain is only replicated within instances using the same replication set name.
- **Multiple Directory Proxy Server subtree views.** The entry-balanced proxy configuration relies on multiple subtree views, one for the globally replicated base DN and one for the entry-balancing point base DN. The globally replicated base DN will have a proxying request processor associated with it. The restricted base DN will have an entry-balancing request processor associated with it. This configuration is best achieved using the `create-initial-proxy-config` tool after running `setup`.

## About the `--restricted` Argument of the `dsreplication` Command-Line Tool

---

When enabling replication for a server that takes part in an entry balanced environment, it is recommended that the multiple domains involved are enabled at the same time. There is a global domain, and a restricted domain, where the restricted domain represents the entry-balancing point. Each base DN is defined in a separate Local DB Backend. The `dsreplication` CLI tool has a `--restricted` argument that is used to specify which base DN is considered an entry-balancing point.

## To Use the `--restricted` Argument of the `dsreplication` Command-Line Tool

### Steps

- Run `dsreplication` to enable replication between two servers with entry balancing.

- You can run the command in non-interactive mode as follows:

```
$ bin/dsreplication enable --host1 host1.example.com \
--port1 1389 --bindDN1 "cn=Directory Manager" \
--bindPassword1 secret --replicationPort1 8989 \
--host2 host2.example.com --port2 2389 \
--bindDN2 "cn=Directory Manager" --bindPassword2 secret \
--replicationPort2 8989 --baseDN dc=example,dc=com \
--baseDN ou=people,dc=example,dc=com \
--restricted ou=people,dc=example,dc=com
```

- Alternatively, you can enable replication using the interactive command line, making sure to specify that an entry balancing is being used and specifying the base DN of the entry-balancing point. After entering `dsreplication` and entering the LDAP connection parameters, follow the prompts presented.

```
You must choose at least one base DN to be replicated.
Replicate base DN dc=example,dc=com? (yes / no) [yes]: yes
Replicate base DN ou=people,dc=example,dc=com? (yes / no) [yes]: yes
Do you plan to configure entry balancing using the Directory Proxy Server?
(yes / no) [no]: yes
Is dc=example,dc=com an entry-balancing point? (yes / no) [no]: no
Is ou=people,dc=example,dc=com an entry-balancing point? (yes / no) [no]:
yes
```

## Checking the Status of Replication in an Entry-Balancing Deployment

You can use the `dsreplication status` tool to check the status of an entry-balancing deployment. In this example, the `ou=people,dc=example,dc=com` subtree is entry-balanced. The data is split into two sets, `set1` and `set2`. The servers `host1` and `host2` are in replication set `set1` and servers `host3` and `host4` are in replication set `set2`.

### To Check the Status of Replication in an Entry-Balancing Deployment

#### Steps

- Run the `dsreplication` command to get a status of replication in the entry-balancing deployment. To view a specific set, use the `--setName` option to see only the specific replication set; otherwise, all of the sets will be displayed by default.

```
$ bin/dsreplication status --hostname host1.example.com \
--port 1389 --adminUID admin --adminPassword secret
```

```

--- Replication Status for dc=example,dc=com: Enabled ---
Server : Entries: Replication Backlog: Oldest Backlog Change Age : Port :Security
-----:-----:-----:-----:-----:-----:-----
austin1.example.com:1389 : 1000 : 0 : N/A : 8989 : Enabled
austin2.example.com:2389 : 1000 : 0 : N/A : 8989 : Enabled
newyork1.example.com:3389 : 1000 : 0 : N/A : 8989 : Enabled
newyork2.example.com:4389 : 1000 : 0 : N/A : 8989 : Enabled

-- Replication Status for ou=people,dc= example,dc=com (Set: set1): Enabled --
Server : Entries: Replication Backlog: Oldest Backlog Change Age : Port :Security
-----:-----:-----:-----:-----:-----
austin1.example.com:1389 : 1000000 : 0 : N/A : 8989 : Enabled
austin2.example.com:2389 : 1000000 : 0 : N/A : 8989 : Enabled

---Replication Status for ou=people,dc= example,dc=com (Set: set2): Enabled ---
Server : Entries: Replication Backlog: Oldest Backlog Change Age : Port :Security
-----:-----:-----:-----:-----:-----
newyork1.example.com:3389 : 1000000 : 0 : N/A : 8989 : Enabled
newyork2.example.com:4389 : 1000000 : 0 : N/A : 8989 : Enabled

```

## Example of Configuring Entry-Balancing Replication

---

This section describes how to set up a four-server replication topology that uses entry balancing to distribute entries across the servers. The procedure assumes that none of the servers have participated in any previous replication topology. This is supported for one or multiple entry balancing domains.

### Assumptions

The example uses the LDAP (389) and replication (8989) ports respectively. It configures the following hosts:

```

austin1.example.com
newyork1.example.com
austin2.example.com
newyork2.example.com

```

In this example, we have a global domain of `dc=example,dc=com`, which is replicated across all servers. The data below the entry-balancing point of `ou=people,dc=example,dc=com` is distributed across two data sets, `dataSet1` and `dataSet2`. Each data set is replicated between two directory servers. Each of these servers is associated with one of two locations, Austin and New York.

### Configuration Summary

To configure replication in an entry-balanced deployment, you must do the following:

- Install two directory servers in an Austin location and two directory servers in a New York location.
- Create a new backend, called `dataset`, to store the entry-balancing data set.
- Define entry-balancing set names `dataSet1` and `dataSet2` for assignment to the `replication-set-name` Global Configuration Property of the Directory Server instances.
- Import the data representing the global domain, stored in `userRoot`, into a server. Choose a server for each of the entry-balancing data sets, both stored in the backend named `dataset`.
- Enable replication and initialize remaining servers.
- Configure the proxies.
- Check the status of replication.

## To Install the Directory Server

### About this task

First, install the Directory Server instances. In this example, we install the following four servers, two in the Austin location and two in the New York location:

```
austin1.example.com
austin2.example.com
newyork1.example.com
newyork2.example.com
```

### Steps

1. We install the first server, austin1, as follows:

```
root@austin1# ./setup --cli --baseDN dc=example,dc=com \
--ldapPort 389 --rootUserDN "cn=Directory Manager" \
--rootUserPassword pass --no-prompt --acceptLicense
```

2. Install the second Austin server, austin2, in the same way:

```
root@austin2 # ./setup --cli --baseDN dc=example,dc=com \
--ldapPort 389 --rootUserDN "cn=Directory Manager" \
--rootUserPassword pass --no-prompt --acceptLicense
```

3. Next, install the two New York servers, newyork1 and newyork2, as follows:

```
root@newyork1# ./setup --cli --baseDN dc=example,dc=com \
--ldapPort 389 --rootUserDN "cn=Directory Manager" \
--rootUserPassword pass --no-prompt --acceptLicense

root@newyork# ./setup --cli --baseDN dc=example,dc=com \
--ldapPort 389 --rootUserDN "cn=Directory Manager" \
--rootUserPassword pass --no-prompt --acceptLicense
```

## To Create the Database Backends and Define the Replication Set Name

### Steps

1. On all servers, create the dataset backend as follows:

```
./bin/dsconfig --no-prompt create-backend \
--backend-name dataset --type local-db --set enabled:true \
--set base-dn:ou=people,dc=example,dc=com
```

2. Set the replication set name for austin1.example.com and newyork1.example.com to dataset1:

```
./bin/dsconfig --no-prompt \
set-global-configuration-prop \
--set replication-set-name:dataset1
```

3. Set the replication set name for austin2.example.com and newyork2.example.com to dataset2:

```
./bin/dsconfig --no-prompt \
set-global-configuration-prop \
--set replication-set-name:dataset2
```

## To Create and Set the Locations

### Steps

1. On the Austin servers, create the two locations, newyork and austin, and set the location of this instance to austin:

```

./bin/dsconfig --no-prompt create-location --location-name austin

./bin/dsconfig --no-prompt create-location --location-name newyork \
--set preferred-failover-location:austin

./bin/dsconfig --no-prompt set-location-prop --location-name austin \
--add preferred-failover-location:newyork

./bin/dsconfig --no-prompt set-global-configuration-prop \
--set location:austin

```

## 2. For the New York servers, set the location to newyork:

```

./bin/dsconfig --no-prompt create-location \
--location-name austin

./bin/dsconfig --no-prompt create-location \
--location-name newyork \
--set preferred-failover-location:austin

./bin/dsconfig --no-prompt set-location-prop \
--location-name austin \
--add preferred-failover-location:newyork

./bin/dsconfig --no-prompt set-global-configuration-prop \
--set location:newyork

```

## To Import the Entries

### About this task

We import the userRoot data, based on data defined in the userRoot.ldif file, into one server. This file does not contain entries at or within the entry-balancing point, ou=people,dc=example,dc=com.

### Steps

#### 1. Use the import-ldif command to import the userRoot data.

```

root@austin1# ./bin/import-ldif --backendID userRoot \
--ldifFile /data/userRoot.ldif \
--includeBranch dc=example,dc=com \
--rejectFile /data/austin1-import-rejects \
--port 389
--hostname austin1.example.com

```

#### 2. Import the dataSet1 data on one server into the dataset backend, which is assigned the dataSet1 replication-set-name.

```

root@austin1# ./bin/import-ldif --backendID dataset \
--ldifFile /data/dataset1.ldif \
--includeBranch ou=people,dc=example,dc=com \
--rejectFile /data/austin1-dataset-import-rejects \
--hostname austin1.example.com --port 389

```

#### 3. Import the dataSet2 data on one server into the dataset backend, which is assigned the dataSet2 replication-set-name.

```

root@austin2# ./bin/import-ldif --backendID dataset \
--ldifFile /data/dataset2.ldif \
--includeBranch ou=people,dc=example,dc=com \
--rejectFile /data/austin2-dataset-import-rejects \
--hostname austin2.example.com --port 389

```

## To Enable Replication in an Entry-Balancing Deployment

### About this task

Now we can enable replication between the servers and initialize the remaining servers without data. Notice that we specify the `--restricted domain` in the `dsreplication` command.

### Steps

1. Run `dsreplication enable` to enable the servers in the topology. The first invocation of this command creates the admin account.

```
root@austin1# ./bin/dsreplication enable \
--host1 austin1.example.com \
--port1 389 --bindDN1 "cn=directory manager" \
--bindPassword1 pass --host2 austin2.example.com \
--port2 389 --bindDN2 "cn=directory manager" \
--bindPassword2 pass \
--replicationPort1 8989 \
--replicationPort2 8989 \
--baseDN dc=example,dc=com \
--baseDN ou=people,dc=example,dc=com \
--restricted ou=people,dc=example,dc=com \
--adminUID admin --adminPassword pass --trustAll \
--no-prompt
```

2. Enable replication between `austin1` and `newyork1`. This procedure automatically enables replication between `austin2` and `newyork1` as well.

```
root@austin1# ./bin/dsreplication enable \
--host1 austin1.example.com \
--port1 389 --bindDN1 "cn=directory manager" \
--bindPassword1 pass --host2 newyork1.example.com \
--port2 389 --bindDN2 "cn=directory manager" \
--bindPassword2 pass \
--replicationPort1 8989 \
--replicationPort2 8989 \
--baseDN dc=example,dc=com \
--baseDN ou=people,dc=example,dc=com \
--restricted ou=people,dc=example,dc=com \
--adminUID admin --adminPassword pass --trustAll \
--no-prompt
```

3. Enable replication between `austin1` and `newyork2`. This will complete the entry-balancing replication setup.

```
root@austin1# ./bin/dsreplication enable \
--host1 austin1.example.com \
--port1 389 --bindDN1 "cn=directory manager" \
--bindPassword1 pass --host2 newyork2.example.com \
--port2 389 --bindDN2 "cn=directory manager" \
--bindPassword2 pass \
--replicationPort1 8989 \
--replicationPort2 8989 \
--baseDN dc=example,dc=com \
--baseDN ou=people,dc=example,dc=com \
--restricted ou=people,dc=example,dc=com \
--adminUID admin --adminPassword pass --trustAll \
--no-prompt
```

4. Initialize the remaining servers without data. The global domain, `dc=example,dc=com` needs to be initialized on `austin2`, `newyork1` and `newyork2`. The `ou=people,dc=example,dc=com` entry-balancing domain needs to be initialized from `austin1` to `newyork2`, and then again from `austin2` to

newyork2. We will combine these steps by initializing both domains with one invocation once austin2 is initialized with the global domain.

```
root@austin1# ./bin/dsreplication initialize \
--hostSource austin1.example.com --portSource 389 \
--hostDestination austin2.example.com \
--portDestination 389 --adminUID admin \
--adminPassword password \
--baseDN dc=example,dc=com \
--no-prompt

root@austin1# ./bin/dsreplication initialize \
--hostSource austin1.example.com --portSource 389 \
--hostDestination newyork1.example.com \
--portDestination 389 --adminUID admin \
--adminPassword password \
--baseDN dc=example,dc=com \
--baseDN ou=people,dc=example,dc=com \
--no-prompt

root@austin2# ./bin/dsreplication initialize \
--hostSource austin2.example.com --portSource 389 \
--hostDestination newyork2.example.com \
--portDestination 389 --adminUID admin \
--adminPassword password \
--baseDN dc=example,dc=com \
--baseDN ou=people,dc=example,dc=com \
--no-prompt
```

## To Check the Status of Replication

### About this task

Once replication has been configured, check the status of the replication topology using the `dsreplication status` command.

### Steps

- Run the `dsreplication status` command to check its status.

```
root@austin1# ./bin/dsreplication status \
--adminPassword pass --no-prompt --port 389
```

## Managing the Directory Proxy Server

---

Once you have configured the PingDirectoryProxy Server, you can manage the day-to-day operations of your deployment using the monitoring and logging features. This chapter provides procedures to help you configure logging and monitor your deployment.

This chapter includes the following sections:

### Managing Logs

---

The Directory Proxy Server provides a number of different types of log publishers that can be used to provide information about how the server is processing.

## About the Default Logs

You can view all logs in the `PingDirectoryProxy/logs` directory. This section provides information about the following default logs:

- Error Log
- server.out Log
- Debug Log
- Config Audit Log and the Configuration Archive
- Access Log
- Setup Log
- Tool Log
- LDAP SDK Debug Log

## Error Log

By default, this log file is available at `logs/errors` below the server install root and it provides information about warnings, errors, and other significant events that occur within the server. A number of messages are written to this file on startup and shutdown, but while the server is running there is normally little information written to it. In the event that a problem does occur, however, the server writes information about that problem to this file.

The following is an example of a message that might be written to the error log:

```
[11/Apr/2011:10:31:53.783 -0500] category=CORE severity=NOTICE msgID=458887
msg="The Directory Server has started successfully"
```

The category field provides information about the area of the server from which the message was generated. Available categories include:

ACCESS\_CONTROL, ADMIN, ADMIN\_TOOL, BACKEND, CONFIG, CORE, DSCONFIG, EXTENSIONS, PROTOCOL, SCHEMA, JEB, SYNC, LOG, PLUGIN, PROXY, QUICKSETUP, REPLICATION, RUNTIME\_INFORMATION, TASK, THIRD\_PARTY, TOOLS, USER\_DEFINED, UTIL, VERSION.

The severity field provides information about how severe the server considers the problem to be. Available severities include:

- **DEBUG** – Used for messages that provide verbose debugging information and do not indicate any kind of problem. Note that this severity level is rarely used for error logging, as the Directory Proxy Server provides a separate debug logging facility as described below.
- **INFORMATION** – Used for informational messages that can be useful from time to time but are not normally something that administrators need to see.
- **MILD\_WARNING** – Used for problems that the server detects, which can indicate something unusual occurred, but the warning does not prevent the server from completing the task it was working on. These warnings are not normally something that should be of concern to administrators.
- **MILD\_ERROR** – Used for problems detected by the server that prevented it from completing some processing normally but that are not considered to be a significant problem requiring administrative action.
- **NOTICE** – Used for information messages about significant events that occur within the server and are considered important enough to warrant making available to administrators under normal conditions.
- **SEVERE\_WARNING** – Used for problems that the server detects that might lead to bigger problems in the future and should be addressed by administrators.
- **SEVERE\_ERROR** – Used for significant problems that have prevented the server from successfully completing processing and are considered important.
- **FATAL\_ERROR** – Used for critical problems that arise which might leave the server unable to continue processing operations normally.

The messages written to the error log may be filtered based on their severities in two ways. First, the error log publisher has a `default-severity` property, which may be used to specify the severity of messages logged regardless of their category. By default, this includes the NOTICE, SEVERE\_WARNING, SEVERE\_ERROR, and FATAL\_ERROR severities.

You can override these severities on a per-category basis using the `override-severity` property. If this property is used, then each value should consist of a category name followed by an equal sign and a comma-delimited set of severities that should be logged for messages in that category. For example, the following override severity would enable logging at all severity levels in the PROTOCOL category:

```
protocol=debug,information,mild-warning,mild-error,notice,severe-
warning,severe-error,fatal-error
```

Note that for the purposes of this configuration property, any underscores in category or severity names should be replaced with dashes. Also, severities are not inherently hierarchical, so enabling the DEBUG severity for a category will not automatically enable logging at the INFORMATION, MILD\_WARNING, or MILD\_ERROR severities.

The error log configuration may be altered on the fly using tools like `dsconfig`, the Administrative Console, or the LDIF connection handler, and changes will take effect immediately. You can configure multiple error logs that are active in the server at the same time, writing to different log files with different configurations. For example, a new error logger may be activated with a different set of default severities to debug a short-term problem, and then that logger may be removed once the problem is resolved, so that the normal error log does not contain any of the more verbose information.

## server.out Log

The `server.out` file holds any information written to standard output or standard error while the server is running. Normally, it includes a number of messages written at startup and shutdown, as well as information about any administrative alerts generated while the server is running. In most cases, this information is also written to the error log. The `server.out` file can also contain output generated by the JVM. For example, if garbage collection debugging is enabled, or if a stack trace is requested via "kill - QUIT" as described in a later section, then output is written to this file.

## Debug Log

The debug log provides a means of obtaining information that can be used for troubleshooting problems but is not necessary or desirable to have available while the server is functioning normally. As a result, the debug log is disabled by default, but it can be enabled and configured at any time.

Some of the most notable configuration properties for the debug log publisher include:

- **enabled** – Indicates whether debug logging is enabled. By default, it is disabled.
- **log-file** – Specifies the path to the file to be written. By default, debug messages are written to the `logs/debug` file.
- **default-debug-level** – Specifies the minimum log level for debug messages that should be written. The default value is "error," which only provides information about errors that occur during processing (for example, exception stack traces). Other supported debug levels include warning, info, and verbose. Note that unlike error log severities, the debug log levels are hierarchical. Configuring a specified debug level enables any debugging at any higher levels. For example, configuring the info debug level automatically enables the warning and error levels.
- **default-debug-category** – Specifies the categories for debug messages that should be written. Some of the most useful categories include caught (provides information and stack traces for any exceptions caught during processing), database-access (provides information about operations performed in the underlying database), protocol (provides information about ASN.1 and LDAP communication performed by the server), and data (provides information about raw data read from or written to clients).

As with the error and access logs, multiple debug loggers can be active in the server at any time with different configurations and log files to help isolate information that might be relevant to a particular problem.

**Note:** Enabling one or more debug loggers can have a significant impact on server performance. We recommend that debug loggers be enabled only when necessary, and then be scoped so that only pertinent debug information is recorded.

Debug targets can be used to further pare down the set of messages generated. For example, you can specify that the debug logs be generated only within a specific class or package. If you need to enable the debug logger, you should work with your authorized support provider to best configure the debug target and interpret the output.

## Audit log

The audit log is a specialized version of the access log, used for troubleshooting problems that may occur in the course of processing. The log records all changes to directory data in LDIF format so that administrators can quickly diagnose the changes an application made to the data or replay the changes to another server for testing purposes.

The audit log does not record authentication attempts but can be used in conjunction with the access log to troubleshoot security-related issues. The audit log is disabled by default because it does adversely impact the server's write performance.

By default, if you enable the audit log on the Directory Proxy Server, the `userPassword` and `authPassword` attribute values are obscured. Each value of an obscured attribute is replaced in the audit log with a string of the form `"***** OBSCURED VALUE *****"`. You can unobscure these attributes by deleting them from the `obscure-attribute` property.

## Config Audit Log and the Configuration Archive

The configuration audit log provides a record of any changes made to the server configuration while the server is online. This information is written to the `logs/config-audit.log` file and provides information about the configuration change in the form that may be used to perform the operation in a non-interactive manner with the `dsconfig` command. Other information written for each change includes:

- Time that the configuration change was made.
- Connection ID and operation ID for the corresponding change, which can be used to correlate it with information in the access log.
- DN of the user requesting the configuration change and the method by which that user authenticated to the server.
- Source and destination addresses of the client connection.
- Command that can be used to undo the change and revert to the previous configuration for the associated configuration object.

In addition to information about the individual changes that are made to the configuration, the Directory Proxy Server maintains complete copies of all previous configurations. These configurations are provided in the `config/archived-configs` directory and are gzip-compressed copies of the `config/config.ldif` file in use before the configuration change was made. The file names contain timestamps that indicate when that configuration was first used.

## Access and Audit Log

The access log provides information about operations processed within the server. The default access log file is written to `logs/access`, but multiple access loggers can be active at the same time, each writing to different log files and using different configurations.

By default, a single access log message is generated, which combines the elements of request, forward, and result messages. If an error is encountered while attempting to process the request, then one or more forward-failed messages may also be generated.

```
[01/Jun/2011:11:10:19.692 -0500] CONNECT conn=49 from="127.0.0.1"
to="127.0.0.1"
 protocol="LDAP+TLS" clientConnectionPolicy="default"
[01/Jun/2011:11:10:19.764 -0500] BIND RESULT conn=49 op=0 msgID=1 version="3"
 dn="cn=Directory Manager" authType="SIMPLE" resultCode=0 etime=0.401
 authDN="cn=Directory Manager,cn=Root DNs,cn=config"
 clientConnectionPolicy="default"
[01/Jun/2011:11:10:19.769 -0500] SEARCH RESULT conn=49 op=1 msgID=2
 base="ou=People,dc=example,dc=com" scope=2 filter="(uid=1)" attrs="ALL"
 resultCode=0 etime=0.549 entriesReturned=1
[01/Jun/2011:11:10:19.788 -0500] DISCONNECT conn=49 reason="Client Unbind"
```

Each log message includes a timestamp indicating when it was written, followed by the operation type, the connection ID (which is used for all operations processed on the same client connection), the operation ID (which can be used to correlate the request and response log messages for the operation), and the message ID used in LDAP messages for this operation.

The remaining content for access log messages varies based on the type of operation being processed, and whether it is a request or a result message. Request messages generally include the most pertinent information from the request, but generally omit information that is sensitive or not useful.

Result messages include a `resultCode` element that indicates whether the operation was successful or if failed and an `etime` element that indicates the length of time in milliseconds that the server spent processing the operation. Other elements that might be present include the following:

- **origin=replication** – Operation that was processed as a result of data synchronization (for example, replication) rather than a request received directly from a client.
- **message** – Text that was included in the `diagnosticMessage` field of the response sent to the client.
- **additionalInfo** – Additional information about the operation that was not included in the response sent back to the client.
- **authDN** – DN of the user that authenticated to the server (typically only included in bind result messages).
- **authzDN** – DN of an alternate authorization identify used when processing the operation (for example, if the proxied authorization control was included in the request).
- **authFailureID** – Unique identifier associated with the authentication failure reason (only included in non-successful bind result messages).
- **authFailureReason** – Information about the reason that a bind operation failed that might be useful to administrators but was not included in the response to the client for security reasons.
- **responseOID** – OID included in an extended response returned to the client.
- **entriesReturned** – Number of matching entries returned to the client for a search operation.
- **unindexed=true** – Indicates that the associated search operation could not be sufficiently processed using server indexes and a significant traversal through the database was required.

Note that this is not an exhaustive list, and elements that are not listed here may also be present in access log messages. The LDAP SDK for Java provides an API for parsing access log messages and provides access to all elements that they may contain.

The Directory Proxy Server provides a second access log implementation called the *audit log*, which is used to provide detailed information about write operations (add, delete, modify, and modify DN) processed within the server. If the audit log is enabled, the entire content of the change is written to the audit log file (which defaults to `logs/audit`) in LDIF form.

The PingDirectoryProxy Server also provides a very rich classification system that can be used to filter the content for access log files. This can be helpful when debugging problems with client applications, because it can restrict log information to operations processed only by a particular application (for example, based on IP address and/or authentication DN), only failed operations, or only operations taking a long time to complete, etc.

## Setup Log

The `setup` tool writes a log file providing information about the processing that it performs. By default, this log file is written to `logs/setup.log` although a different name may be used if a file with that name already exists, because the `setup` tool has already been run. The full path to the setup log file is provided when the `setup` tool has completed.

## Tool Log

Many of the administrative tools provided with the Directory Proxy Server (for example, `import-ldif`, `export-ldif`, `backup`, `restore`, etc.) can take a significant length of time to complete write information to standard output or standard error or both while the tool is running. They also write additional output to files in the `logs/tools` directory (for example, **`logs/tools/import-ldif.log`**). The information written to these log files can be useful for diagnosing problems encountered while they were running. When running via the server tasks interface, log messages generated while the task is running may alternately be written to the server error log file.

## LDAP SDK Debug Log

This log can be used to help examine the communication between the Directory Server and the Directory Proxy Server. It contains information about exceptions that occur during processing, problems establishing and terminating network connections, and problems that occur during the reading and writing of LDAP messages and LDIF entries. You can configure the types of debugging that should be enabled, the debug level that should be used, and whether debug messages should include stack traces. As for other file-based loggers, you can also specify the rotation and retention policies.

## Types of Log Publishers

---

The PingDirectoryProxy Server provides a number of differently types of loggers that can be used to get processing information about the server. There are three primary types of loggers:

- **Access loggers** provide information about operations processed within the server. They can be used for understanding the operations performed by clients and debugging problems with directory-enabled applications, and they can also be used for collecting usage information for performance and capacity planning purposes.
- **Error loggers** provide information about warnings, errors, or significant events that occur within the server.
- **Debug loggers** can provide detailed information about processing performed by the server, including any exceptions caught during processing, detailed information about data read from or written to clients, and accesses to the underlying database.

By default, the following log publishers are enabled on the system:

- File-based access logger
- File-based error logger
- Failed-operations access logger

The PingDirectoryProxy Server also provides the follow log publishers that are disabled by default:

- File-based debug logger
- File-based audit logger
- Expensive operations access logger
- Successful searches with no entries returned access logger

## Creating New Log Publishers

The PingDirectoryProxy Server provides customization options to help you create your own log publishers with the `dsconfig` command.

When you create a new log publisher, you must also configure the log retention and rotation policies for each new publisher. For more information, see [Configuring Log Rotation](#) and [Configuring Log Retention](#).

### To Create a New Log Publisher

#### Steps

1. Use the `dsconfig` command in non-interactive mode to create and configure the new log publisher. This example shows how to create a logger that only logs disconnect operations.

```
$ bin/dsconfig create-log-publisher \
 --type file-based-access --publisher-name "Disconnect Logger" \
 --set enabled:true \
 --set "rotation-policy:24 Hours Time Limit Rotation Policy" \
 --set "rotation-policy:Size Limit Rotation Policy" \
 --set "retention-policy:File Count Retention Policy" \
 --set log-connects:false \
 --set log-requests:false --set log-results:false \
 --set log-file:logs/disconnect.log
```

**Note:** To configure compression on the logger, add the option to the previous command:

```
--set compression-mechanism: gzip
```

Compression cannot be disabled or turned off once configured for the logger. Therefore, careful planning is required to determine your logging requirements including log rotation and retention with regards to compressed logs.

2. If needed, view log publishers with the following command:

```
$ bin/dsconfig list-log-publishers
```

### To Create a Log Publisher Using `dsconfig` Interactive Command-Line Mode

#### Steps

1. On the command line, type `bin/dsconfig`.
2. Authenticate to the server by following the prompts.
3. On the main menu, select the option to configure the log publisher.
4. On the **Log Publisher** menu, select the option to create a new log publisher.
5. Select the Log Publisher type. In this case, select **File-Based Access Log Publisher**.
6. Type a name for the log publisher.
7. Enable it.
8. Type the path to the log file, relative to the Directory Proxy Server root. For example, `logs/disconnect.log`.
9. Select the rotation policy to use for this log publisher.
10. Select the retention policy to use for this log publisher.
11. On the Log Publisher Properties menu, select the option for `log-connects:false`, `log-disconnects:true`, `log-requests:false`, and `log-results:false`.
12. Type `f` to apply the changes.

## About Log Compression

---

The Directory Proxy Server supports the ability to compress log files as they are written. This feature can significantly increase the amount of data that can be stored in a given amount of space, so that log information can be kept for a longer period of time.

Because of the inherent problems with mixing compressed and uncompressed data, compression can only be enabled at the time the logger is created. Compression cannot be turned on or off once the logger is configured. Further, because of problems in trying to append to an existing compressed file, if the server encounters an existing log file at startup, it will rotate that file and begin a new one rather than attempting to append to the previous file.

Compression is performed using the standard gzip algorithm, so compressed log files can be accessed using readily-available tools. The `summarize-access-log` tool can also work directly on compressed log files, rather than requiring them to be uncompressed first. However, because it can be useful to have a small amount of uncompressed log data available for troubleshooting purposes, administrators using compressed logging may wish to have a second logger defined that does not use compression and has rotation and retention policies that will minimize the amount of space consumed by those logs, while still making them useful for diagnostic purposes without the need to uncompress the files before examining them.

You can configure compression by setting the `compression-mechanism` property to have the value of "gzip" when creating a new logger.

## About Log Signing

---

The Directory Proxy Server supports the ability to cryptographically sign a log to ensure that it has not been modified in any way. For example, financial institutions require audit logs for all transactions to check for correctness. Tamper-proof files are therefore needed to ensure that these transactions can be properly validated and ensure that they have not been modified by any third-party entity or internally by unscrupulous employees. You can use the `dsconfig` tool to enable the `sign-log` property on a Log Publisher to turn on cryptographic signing.

When enabling signing for a logger that already exists and was enabled without signing, the first log file will not be completely verifiable because it still contains unsigned content from before signing was enabled. Only log files whose entire content was written with signing enabled will be considered completely valid. For the same reason, if a log file is still open for writing, then signature validation will not indicate that the log is completely valid because the log will not include the necessary "end signed content" indicator at the end of the file.

To validate log file signatures, use the `validate-file-signature` tool provided in the `bin` directory of the server (or the `bat` directory for Windows systems).

Once you have enabled this property, you must disable and then re-enable the Log Publisher for the changes to take effect.

## About Encrypting Log Files

---

The Directory Proxy Server supports the ability to encrypt log files as they are written. The `encrypt-log` configuration property controls whether encryption will be enabled for the logger. Enabling encryption causes the log file to have an `.encrypted` extension (and if both encryption and compression are enabled, the extension will be `.gz.encrypted`). Any change that affects the name used for the log file could prevent older files from getting properly cleaned up.

Like compression, encryption can only be enabled when the logger is created. Encryption cannot be turned on or off once the logger is configured. For any log file that is encrypted, enabling compression is also recommended to reduce the amount of data that needs to be encrypted. This will also reduce

the overall size of the log file. The `encrypt-file` tool (or custom code, using the LDAP SDK's `com.unboundid.util.PassphraseEncryptedInputStream`) is used to access the encrypted data.

To enable encryption, at least one encryption settings definition must be defined in the server. Use the one created during setup, or create a new one with the `encryption-settings create` command. By default, the encryption will be performed with the server's preferred encryption settings definition. To explicitly specify which definition should be used for the encryption, the `encryption-settings-definition-id` property can be set with the ID of that definition. It is recommended that the encryption settings definition is created from a passphrase so that the file can be decrypted by providing that passphrase, even if the original encryption settings definition is no longer available. A randomly generated encryption settings definition can also be created, but the log file can only be decrypted using a server instance that has that encryption settings definition.

When using encrypted logging, a small amount of data may remain in an in-memory buffer until the log file is closed. The encryption is performed using a block cipher, and it cannot write an incomplete block of data until the file is closed. This is not an issue for any log file that is not being actively written. To examine the contents of a log file that is being actively written, use the `rotate-log` tool to force the file to be rotated before attempting to examine it.

## To Configure Log Signing

### Steps

1. Use `dsconfig` to enable log signing for a Log Publisher. In this example, set the `sign-log` property on the File-based Audit Log Publisher.

```
$ bin/dsconfig set-log-publisher-prop --publisher-name "File-Based Audit
 Logger" \
 --set sign-log:true
```

2. Disable and then re-enable the Log Publisher for the change to take effect.

```
$ bin/dsconfig set-log-publisher-prop --publisher-name "File-Based Audit
 Logger" \
 --set enabled:false
$ bin/dsconfig set-log-publisher-prop --publisher-name "File-Based Audit
 Logger" \
 --set enabled:true
```

## To Validate a Signed File

### About this task

The Directory Proxy Server provides a tool, `validate-file-signature`, that checks if a file has not been tampered with in any way.

### Steps

- Run the `validate-file-signature` tool to check if a signed file has been tampered with. For this example, assume that the `sign-log` property was enabled for the File-Based Audit Log Publisher.

```
$ bin/validate-file-signature --file logs/audit
```

```
All signature information in file 'logs/audit' is valid
```

**Note:** If any validation errors occur, you will see a message similar to the one as follows:

```
One or more signature validation errors were encountered
while validating the contents of file 'logs/audit':
* The end of the input stream was encountered without
```

```
encountering the end of an active signature block.
The contents of this signed block cannot be trusted
because the signature cannot be verified
```

## To Configure Log File Encryption

### Steps

1. Use `dsconfig` to enable encryption for a Log Publisher. In this example, the File-based Access Log Publisher "Encrypted Access" is created, compression is set, and rotation and retention policies are set.

```
$ bin/dsconfig create-log-publisher-prop --publisher-name "Encrypted Access" \
 \
 --type file-based-access \
 --set enabled:true \
 --set compression-mechanism:gzip \
 --set encryption-settings-definition-
id:332C846EF0DCD1D5187C1592E4C74CAD33FC1E5FC20B726CD301CDD2B3FFBC2B \
 --set encrypt-log:true \
 --set log-file:logs/encrypted-access \
 --set "rotation-policy:24 Hours Time Limit Rotation Policy" \
 --set "rotation-policy:Size Limit Rotation Policy" \
 --set "retention-policy:File Count Retention Policy" \
 --set "retention-policy:Free Disk Space Retention Policy" \
 --set "retention-policy:Size Limit Retention Policy"
```

2. To decrypt and decompress the file:

```
$ bin/encrypt-file --decrypt \
 --decompress-input \
 --input-file logs/encrypted-access.20180216040332Z.gz.encrypted \
 --output-file decrypted-access
Initializing the server's encryption framework...Done
Writing decrypted data to file '/ds/PingDirectoryProxy/decrypted-access'
using a
key generated from encryption settings definition
'332c846ef0dcd1d5187c1592e4c74cad33fc1e5fc20b726cd301cdd2b3ffbc2b'
Successfully wrote 123,456,789 bytes of decrypted data
```

## Configuring Log Rotation

The Directory Proxy Server allows you to configure the log rotation policy for the server. When any rotation limit is reached, the Directory Proxy Server rotates the current log and starts a new log. If you create a new log publisher, you must configure at least one log rotation policy.

You can select the following properties:

- **Time Limit Rotation Policy.** Rotates the log based on the length of time since the last rotation. Default implementations are provided for rotation every 24 hours and every 7 days.
- **Fixed Time Rotation Policy.** Rotates the logs every day at a specified time (based on 24-hour time). The default time is 2359.
- **Size Limit Rotation Policy.** Rotates the logs when the file reaches the maximum size for each log. The default size limit is 100 MB.
- **Never Rotate Policy.** Used in a rare event that does not require log rotation.

## To Configure the Log Rotation Policy

### Steps

- Use `dsconfig` to modify the log rotation policy for the access logger.

```
$ bin/dsconfig set-log-publisher-prop \
 --publisher-name "File-Based Access Logger" \
 --remove "rotation-policy:24 Hours Time Limit Rotation Policy" \
 --add "rotation-policy:7 Days Time Limit Rotation Policy"
```

## Configuring Log Rotation Listeners

---

The Directory Proxy Server provides two log file rotation listeners: the copy log file rotation listener and the summarize log file rotation listener, which can be enabled with a log publisher. Log file rotation listeners allow the server to perform a task on a log file as soon as it has been rotated out of service. Custom log file listeners can be created with the Server SDK.

The copy log file rotation listener can be used to compress and copy a recently-rotated log file to an alternate location for long-term storage. The original rotated log file will be subject to deletion by a log file retention policy, but the copy will not be automatically removed. Use the following command to create a new copy log file rotation listener:

```
$ dsconfig create-log-file-rotation-listener \
 --listener-name "Copy on Rotate" \
 --type copy \
 --set enabled:true \
 --set copy-to-directory:/path/to/archive/directory \
 --set compress-on-copy:true
```

The path specified by the `copy-to-directory` property must exist, and the file system containing that directory must have enough space to hold all of the log files that will be written there. The server automatically monitors free disk space on the target file system and generates administrative alerts if the amount of free space gets too low.

The summarize log file rotation listener invokes the `summarize-access-log` tool on a recently-rotated log file and writes its output to a file in a specified location. This provides information about the number and types of operations processed by the server, processing rates and response times, and other useful metrics. Use this with access loggers that log in a format that is compatible with the `summarize-access-log` tool, including the `file-based-access` and `operation-timing-access` logger types. Use the following command to create a new summarize log file rotation listener:

```
$ dsconfig create-log-file-rotation-listener \
 --listener-name "Summarize on Rotate" \
 --type summarize \
 --set enabled:true \
 --set output-directory:/path/to/summary/directory
```

The summary output files have the same name as the rotated log file, with an extension of `.summary`. If the `output-directory` property is specified, the summary files are written to that directory. If not specified, files are placed in the directory in which the log files are written.

As with the copy log file rotation listener, summary files are not automatically deleted. Although files are generally small in comparison to the log files themselves, make sure that enough space is available in the specified storage directory. The server automatically monitors free disk space on the file system to which the summary files are written.

## Configuring Log Retention

---

The Directory Proxy Server allows you to configure the log retention policy for each log on the server. When any retention limit is reached, the Directory Proxy Server removes the oldest archived log prior to creating a new log. Log retention is only effective if you have a log rotation policy in place. If you create a new log publisher, you must configure at least one log retention policy.

- **File Count Retention Policy.** Sets the number of log files you want the Directory Proxy Server to retain. The default file count is 10 logs. If the file count is set to 1, then the log will continue to grow indefinitely without being rotated.
- **Free Disk Space Retention Policy.** Sets the minimum amount of free disk space. The default free disk space is 500 MBytes.
- **Size Limit Retention Policy.** Sets the maximum size of the combined archived logs. The default size limit is 500 MBytes.
- **Time Limit Retention Policy.** Sets the maximum length of time that rotated log files should be retained.
- **Custom Retention Policy.** Create a new retention policy that meets your Directory Proxy Server's requirements. This will require developing custom code to implement the desired log retention policy.
- **Never Delete Retention Policy.** Used in a rare event that does not require log deletion.

## To Configure the Log Retention Policy

### About this task

### Steps

- Use `dsconfig` to modify the log retention policy for the access logger.

```
$ bin/dsconfig set-log-publisher-prop \
 --publisher-name "File-Based Access Logger" \
 --set "retention-policy:Free Disk Space Retention Policy"
```

## Setting Resource Limits

---

You can set resource limits for the Directory Proxy Server using several global configuration properties as well as setting resource limits on specific client connection policies. If you configure both global and client connection policy resource limits, the first limit reached will always be honored. For example, if the server-wide maximum concurrent connections limit is reached, then all subsequent connection will be rejected until existing connections are closed, regardless of whether a client connection policy limit has been reached.

### Setting Global Resource Limits

You can specify the following types of global resource limits:

- Specify the maximum number of client connections that can be established at any given time using the `maximum-concurrent-connections` property. If the server already has the maximum number of connections established, then any new connection attempts from any clients will be rejected until an existing connection is closed. The default value of zero indicates that no limit is enforced.
- Specify the maximum number of client connections that can be established at any give time from the same client system using the `maximum-concurrent-connections-per-ip-address` property. If the server already has the maximum number of connections established from a given client, then any new connection attempts from that client will be rejected until an existing connection from that client is closed. The server may continue to accept connections from other clients that have not yet reached this limit. The default value of zero indicates that no limit is enforced.
- Specify the maximum number of client connections that can be established at any given time while authenticated as a particular user with the `maximum-concurrent-connections-per-bind-dn` property. This property applies after the connection is established, because the bind operation to authenticate the user happens after the connection is established rather than during the course of establishing the connection itself. If the maximum number of connections are authenticated as a given user, then any new attempt to authenticate as that user will cause the connection performing the bind to be terminated. Note that this limit applies only to authenticated connections, and will not be enforced for

clients that have not authenticated or for clients that have authenticated as the anonymous user. The default value of zero indicates that no limit is enforced.

Any changes to the `maximum-concurrent-connections` and `maximum-concurrent-connections-per-ip-address` properties will take effect only for new connections established after the change is made. Any change to the `maximum-concurrent-connections-per-bind-dn` property will apply only to connections (including existing connections) which perform authentication after the change is made. Existing connections will be allowed to remain established even if that would cause the new limit to be exceeded.

## Setting Client Connection Policy Resource Limits

You can also configure resource limits in a client connection policy using the following properties of the client connection policy:

- **maximum-concurrent-connections.** This property specifies the maximum number of client connections that may be associated with a specific client connection policy at any given time. Once this limit has been reached, any further attempts to associate a connection with this client connection policy will result in the termination of the connection.
- **maximum-connection-duration.** This property specifies the maximum length of time that a connection associated with a particular client connection policy may be established. When the connection has been established longer than this period, it will be terminated.
- **maximum-idle-connection-duration.** This property specifies the maximum time that a connection associated with a particular client connection policy may remain established after the completion of the last operation processed on that connection. Any new operation requested on the connection resets the timer. Connections that are idle for longer than the specified time will be terminated.
- **maximum-operation-count-per-connection.** This property specifies the maximum number of operations that may be requested by any client connection associated with this client connection policy. If an attempt is made to process more than this number of operations on the connection, then the connection will be terminated.
- **maximum-concurrent-operations-per-connection.** This property specifies the maximum number of concurrent operations that can be in progress for any connection. This property can be used to prevent a single client connection from monopolizing server processing resources by sending a large number of concurrent asynchronous requests.
- **maximum-connection-operation-rate.** This property specifies the maximum rate at which a client associated with a specific client connection policy may issue requests to the Directory Proxy Server. If a client attempts to request operations at a rate higher than this limit, then the server will behave as described by the `connection-operation-rate-exceeded-behavior` property.
- **connection-operation-rate-exceeded-behavior.** This property describes how the server should behave if a client connection attempts to exceed a rate defined in the `maximum-connection-operation-rate` property.
- **maximum-policy-operation-rate.** This property specifies the maximum rate at which all clients associated with a particular client connection policy may issue requests to the Directory Proxy Server. If this limit is exceeded, then the server will exhibit the behavior described in the `policy-operation-rate-exceeded-behavior` property.
- **policy-operation-rate-exceeded-behavior.** This property specifies the behavior of the Directory Proxy Server if a client connection attempts to exceed the rate defined in the `maximum-policy-operation-rate` property.

## Monitoring the Directory Proxy Server

---

While the Directory Proxy Server is running, it generates a significant amount of information available through monitor entries. This section contains information about the following:

- Monitoring Server Status Using the status Tool
- About the Monitor Entries

- Using the Monitoring Interfaces
- Monitoring with JMX

## Monitoring System Data Using the PingDataMetrics Server

The PingDataMetrics Server provides collection and storage of performance data from your server topology. You can use the System Utilization Monitor with the PingDataMetrics Server to collect information about the host system CPU, disk, and network utilization on any platform except Linux. If you are not using the PingDataMetrics Server, you do not need to use the system utilization monitor. When data is being collected, it periodically forks the process and executes commands.

For more information about using the System Utilization Monitor, refer to the data collection chapter of the PingDataMetrics Server documentation.

## To Monitor Server Using the Status Tool

### About this task

The PingDirectoryProxy Server provides a `status` tool that provides basic server status information, including version, connection handlers, a table of LDAP external servers, and the percent of the global index that is used.

### Steps

1. Run the `status` tool to view the current state of the server.

```
$ bin/status
```

2. Enter the LDAP connection parameters.

```
>>>> Specify LDAP connection parameters
```

```
Administrator user bind DN [cn=Directory Manager]:
```

```
Password for user 'cn=Directory Manager':
```

```

 --- Server Status ---
Server Run Status: Started 07/Jan/2011:10:59:52.000 -0600
Operational Status: Available
Open Connections: 4
Max Connections: 8
Total Connections: 25
```

```

 --- Server Details ---
Host Name: example
Administrative Users: cn=Directory Manager
Installation Path: /path/to/PingDirectoryProxy
Version: PingDirectoryProxy Server
 7.3.1.0
Java Version: jdk-7u9
```

```

 --- Connection Handlers ---
Address:Port : Protocol : State
-----:-----:-----
0.0.0.0:1689 : JMX : Disabled
0.0.0.0:636 : LDAPS : Disabled
0.0.0.0:9389 : LDAP : Enabled
```

```

 --- LDAP External Servers ---
```

```

Server : Status : Score : LB Algorithm
-----:-----:-----:-----
localhost:389 : Available : 10 : dc_example_dc_com-failover
localhost:1389 : Available : 10 : dc_example_dc_com-failover

 --- LDAP External Server Op Counts ---

Server : Add : Bind:Compare:Delete:Modify:Mod DN:Search : All
-----:-----:-----:-----:-----:-----:-----:-----
localhost:11389: 0 : 0 : 0 : 0 : 0 : 0 : 1249 : 1249
localhost:12389: 0 : 0 : 0 : 0 : 0 : 0 : 494 : 494

 --- Entry Balancing Request Processors ---

Base DN : Global Index % Used
-----:-----
ou=people,dc=example,dc=com : 33

 --- Global Index Stats for ou=people,dc=example,dc=com ---

Index : Total Bytes : Key Bytes : Keys : Size (# Keys) : Inserted :
Removed : Replaced: Hits : Misses : Discarded : Duplicates
-----:-----:-----:-----:-----:-----:-----
rdn : 30667304 : 14888906 : 1000001 : 3464494 0 : 0 : 0 : 0 : 0
uid : 26523480 : 10888902 : 1000001 : 3464494 0 : 0 : 0 : 3583 : 0 : 0 : 0

 --- Operation Processing Time ---

Op Type : Total Ops : Avg Resp Time (ms)
-----:-----:-----
Add : 0 : 0.0
Bind : 0 : 0.0
Compare : 0 : 0.0
Delete : 0 : 0.0
Modify : 0 : 0.0
Modify DN : 0 : 0.0
Search : 3583 : 117.58
All : 3583 : 117.58

 --- Work Queue ---

 : Recent : Average : Maximum
-----:-----:-----:-----
Queue Size : 0 : 0 : 1
% Busy : 0 : 1 : 19

```

## About the Monitor Entries

While the Directory Proxy Server is running, it generates a significant amount of information available through monitor entries. Monitor entries are available over LDAP in the `cn=monitor` subtree. The types of monitor entries that are available include:

- **General Monitor Entry (cn=monitor)** – Provides a basic set of general information about the server.
- **Active Operations Monitor Entry (cn=Active Operations,cn=monitor)** – Provides information about all operations currently in progress in the server.
- **Backend Monitor Entries (cn={id} Backend,cn=monitor)** – Provides information about the backend, including the number of entries, the base DN(s), and whether it is private.

- **Client Connections Monitor Entry (cn=Client Connections,cn=monitor)** – Provides information about all connections currently established to the server.
- **Connection Handler Monitor Entry (cn={name},cn=monitor)** – Provides information about the configuration of each connection handler and the client connections established to it.
- **Database Environment Monitor Entries (cn={id} Database Environment,cn=monitor)** – Provides statistics and other data from the Oracle Berkeley DB Java Edition database environment used by the associated backend.
- **Disk Space Usage Monitor Entry (cn=Disk Space Usage,cn=monitor)** – Provides information about the amount of usable disk space available to server components.
- **JVM Memory Usage Monitor Entry (cn=JVM Memory Usage,cn=monitor)** – Provides information about garbage collection activity, the amount of memory available to the server, and the amount of memory consumed by various server components.
- **JVM Stack Trace Monitor Entry (cn=JVM Stack Trace,cn=monitor)** – Provides a stack trace of all threads in the JVM.
- **LDAP Statistics Monitor Entries (cn={name} Statistics,cn=monitor)** – Provides information about the number of each type of operation requested and bytes transferred over the connection handler.
- **Processing Time Histogram Monitor Entry (cn=Processing Time Histogram,cn=monitor)** – Provides information about the number of percent of operations that completed in various response time categories.
- **SSL Context Monitor Entry (cn=SSL Context,cn=monitor)** – Provides information about the available and supported SSL Cipher Suites and Protocols on the server.
- **System Information Monitor Entry (cn=System Information,cn=monitor)** – Provides information about the underlying JVM and system.
- **Version Monitor Entry (cn=Version,cn=monitor)** – Provides information about the Directory Proxy Server version.
- **Work Queue Monitor Entry (cn=Work Queue,cn=monitor)** – Provides information about the state of the Directory Proxy Server work queue, including the number of operations waiting on worker threads and the number of operations that have been rejected because the queue became full.

## Working with Alarms, Alerts, and Gauges

---

An alarm represents a stateful condition of the server or a resource that may indicate a problem, such as low disk space or external server unavailability. A gauge defines a set of threshold values with a specified severity that, when crossed, cause the server to enter or exit an alarm state. Gauges are used for monitoring continuous values like CPU load or free disk space (Numeric Gauge), or an enumerated set of values such as 'server unavailable' or 'server unavailable' (Indicator Gauge). Gauges generate alarms, when the gauge's severity changes due to changes in the monitored value. Like alerts, alarms have severity (NORMAL, WARNING, MINOR, MAJOR, CRITICAL), name, and message. Alarms will always have a Condition property, and may have a Specific Problem or Resource property. If surfaced through SNMP, a Probable Cause property and Alarm Type property are also listed. Alarms can be configured to generate alerts when the alarm's severity changes. The Alarm Manager, which governs the actions performed when an alarm state is entered, is configurable through the `dsconfig` tool and Administrative Console. A complete listing of system alerts, alarms, and their severity is available in `<server-root>/docs/admin-alerts-list.csv`.

There are two alert types supported by the server - standard and alarm-specific. The server constantly monitors for conditions that may need attention by administrators, such as low disk space. For this condition, the standard alert is `low-disk-space-warning`, and the alarm-specific alert is `alarm-warning`. The server can be configured to generate alarm-specific alerts instead of, or in addition to, standard alerts. By default, standard alerts are generated for conditions internally monitored by the server. However, gauges can only generate alarm-alerts.

The Directory Proxy Server installs a set of gauges that are specific to the product and that can be cloned or configured through the `dsconfig` tool. Existing gauges can be tailored to fit each environment by adjusting the update interval and threshold values. Configuration of system gauges determines the criteria

by which alarms are triggered. The Stats Logger can be used to view historical information about the value and severity of all system gauges.

The Directory Proxy Server is compliant with the International Telecommunication Union CCITT Recommendation X.733 (1992) standard for generating and clearing alarms. If configured, entering or exiting an alarm state can result in one or more alerts. An alarm state is exited when the condition no longer applies. An `alarm_cleared` alert type is generated by the system when an alarm's severity changes from a non-normal severity to any other severity. An `alarm_cleared` alert will correlate to a previous alarm when the Condition and Resource properties are the same. The Condition corresponds to the Summary column in the `admin-alerts-list.csv` file.

Like the Alerts Backend, which stores information in `cn=alerts`, the Alarm Backend stores information within the `cn=alarms` backend. Unlike alerts, alarm thresholds have a state over time that can change in severity and be cleared when a monitored value returns to normal. Alarms can be viewed with the `status` tool. As with other alert types, alert handlers can be configured to manage the alerts generated by alarms.

## To Test Alarms and Alerts

### Steps

1. Configure a gauge with `dsconfig` and set the `override-severity` property to `critical`. The following example uses the CPU Usage (Percent) gauge.

```
$ dsconfig set-gauge-prop \
 --gauge-name "CPU Usage (Percent)" \
 --set override-severity:critical
```

2. Run the `status` tool to verify that an alarm was generated with corresponding alerts. The `status` tool provides a summary of the server's current state with key metrics and a list of recent alerts and alarms. The sample output has been shortened to show just the alarms and alerts information.

```
$ bin/status
--- Administrative Alerts ---
Severity : Time : Message
-----:-----:-----
Info : 11/Aug/2014 : A configuration change has been made in the
 : 15:48:46 -0500 : Directory Server:
 : : [11/Aug/2014:15:48:46.054 -0500]
 : : conn=17 op=73 dn='cn=Directory Manager,cn=Root
 : : DNs,cn=config' authtype=[Simple]
from=127.0.0.1
 : : to=127.0.0.1 command='dsconfig set-gauge-prop
 : : --gauge-name 'Cleaner Backlog (Number Of
Files)'
 : : --set warning-value:-1'
Info : 11/Aug/2014 : A configuration change has been made in the
 : 15:47:32 -0500 : Directory Server: [11/Aug/2014:15:47:32.547
-0500]
 : : conn=4 op=196 dn='cn=Directory Manager,cn=Root
 : : DNs,cn=config' authtype=[Simple]
from=127.0.0.1
 : : to=127.0.0.1 command='dsconfig set-gauge-prop
 : : --gauge-name 'Cleaner Backlog (Number Of
Files)'
 : : --set warning-value:0'
Error : 11/Aug/2014 : Alarm [CPU Usage (Percent). Gauge CPU Usage
(Percent)
 : 15:41:00 -0500 : for Host System has
 : : a current value of '18.583333333333332'.
 : : The severity is currently OVERRIDDEN in the
 : : Gauge's configuration to 'CRITICAL'.
```

```

:
: The actual severity is: The severity is
severity : currently 'NORMAL', having assumed this
:
: Mon Aug 11 15:41:00 CDT 2014. If CPU use is
high,
:
: check the server's current workload and make
any
:
: needed adjustments. Reducing the load on the
system
:
: will lead to better response times.
: Resource='Host System']
:
: raised with critical severity
Shown are alerts of severity [Info,Warning,Error,Fatal] from the past 48
hours
Use the --maxAlerts and/or --alertSeverity options to filter this list

```

```

--- Alarms ---
Severity : Severity Start : Condition : Resource : Details
: Time : : : :
-----:-----:-----:-----:-----:-----
Critical : 11/Aug/2014 : CPU Usage : Host System : Gauge CPU Usage
(Percent) for
: 15:41:00 -0500 : (Percent) : : : Host System
: : : : : has a current value
of
: : : : : '18.785714285714285'.
: : : : : The severity is
currently
: : : : : 'CRITICAL', having
assumed
: : : : : this severity Mon Aug
11
: : : : : 15:49:00 CDT 2014. If
CPU use
: : : : : is high, check the
server's
: : : : : current workload and
make any
: : : : : needed adjustments.
Reducing
: : : : : the load on the
system will
: : : : : lead to better
response times
Warning : 11/Aug/2014 : Work Queue: Work Queue : Gauge Work Queue Size
(Number : 15:39:40 -0500 : Size : : : of Requests) for Work
Queue
: : : : : (Number of: : : has a current value
of '27'.
: : : : : Requests) : : : The severity is
currently
: : : : : 'WARNING' having
assumed this
: : : : : severity Mon Aug 11
15:48:50
: : : : : CDT 2014. If all
worker
: : : : : threads are busy
processing
: : : : : other client
requests, then

```

```

: : : : new requests that
arrive will
: : : : be forced to wait in
the work
: : : : queue until a worker
thread
: : : : becomes available
Shown are alarms of severity [Warning,Minor,Major,Critical]
Use the --alarmSeverity option to filter this list

```

## Indeterminate Alarms

Indeterminate alarms are raised for a server condition for which a severity cannot be determined. In most cases these alarms are benign and do not issue alerts nor appear in the output of the `status` tool or Administrative Console by default. These alarms are usually caused by an enabled gauge that is intended to measure an aspect of the server that is not currently enabled. For example, gauges intended to monitor metrics related to replication may produce indeterminate alarms if a Directory Server is not currently replicating data. The gauge can be disabled if needed.

For more information about indeterminate alarms, view the gauge's associated monitor entry. There may be messages that can help determine the issue. The following is sample output from the `status` tool run with the `-alarmSeverity=indeterminate` option:

```

--- Alarms ---
Severity : Severity Start : Condition : Resource : Details
: Time
:-----:-----:-----:-----:-----
Normal : 26/Aug/2014 : Startup Begun : cn=config : The Directory
Server
: 14:16:29 -0500 : : : : is starting.
: : : : :
Indeterminate: 26/Aug/2014 : Replication : not : The value of
gauge
: 14:16:40 -0500 : Latency : available : Replication
Latency
: : (Milliseconds) : : (Milliseconds)
could not
: : : : be determined.
The
: : : : severity is
INDETERMINATE,
: : : : having assumed
this
: : : : severity Tue Aug
26
: : : : 14:17:10 CDT
2014.

```

The following is an indeterminate alarm for the Replication Latency (Milliseconds) gauge. The following is a sample search of the monitor backend for this gauge's entry. The result is an error message may explain the indeterminate severity:

```

ldapsearch -w password --baseDN "cn=monitor" \
-D"cn=directory manager" gauge-name="Replication Latency (Milliseconds)"
dn: cn=Gauge Replication Latency (Milliseconds),cn=monitor
objectClass: top
objectClass: ds-monitor-entry
objectClass: ds-numeric-gauge-monitor-entry
objectClass: ds-gauge-monitor-entry
objectClass: extensibleObject
cn: Gauge Replication Latency (Milliseconds)

```

```

gauge-name: Replication Latency (Milliseconds)
resource:
severity: indeterminate
summary: The value of gauge Replication Latency (Milliseconds) could not
 be determined. The severity is INDETERMINATE, having assumed
 this severity Tue Aug 26 15:42:40 CDT 2014
error-message: No entries were found under cn=monitor having object
 class ds-replica-monitor-entry
...

```

## Working with Administrative Alert Handlers

---

The PingDirectoryProxy Server provides mechanisms to send alert notifications to administrators when significant problems or events occur during processing, such as problems during server startup or shutdown. The Directory Proxy Server provides a number of alert handler implementations, including:

- **Error Log Alert Handler.** Sends administrative alerts to the configured server error logger(s).
- **Exec Alert Handler.** Executes a specified command on the local system if an administrative alert matching the criteria for this alert handler is generated by the Directory Proxy Server. Information about the administrative alert will be made available to the executed application as arguments provided by the command.
- **Groovy Scripted Alert Handler.** Provides alert handler implementations defined in a dynamically-loaded Groovy script that implements the `ScriptedAlertHandler` class defined in the Server SDK.
- **JMX Alert Handler.** Sends administrative alerts to clients using the Java Management Extensions (JMX) protocol. Ping Identity uses JMX for monitoring entries and requires that the JMX connection handler be enabled.
- **SMTP Alert Handler.** Sends administrative alerts to clients via email using the Simple Mail Transfer Protocol (SMTP). The server requires that one or more SMTP servers be defined in the global configuration.
- **SNMP Alert Handler.** Sends administrative alerts to clients using the Simple Network Monitoring Protocol (SNMP). The server must have an SNMP agent capable of communicating via SNMP 2c.
- **SNMP Subagent Alert Handler.** Sends SNMP traps to a master agent in response to administrative alerts generated within the server.
- **Third Party Alert Handler.** Provides alert handler implementations created in third-party code using the Server SDK.

## Configuring the JMX Connection Handler and Alert Handler

You can configure the JMX connection handler and alert handler respectively using the `dsconfig` tool. Any user allowed to receive JMX notifications must have the `jmx-read` and `jmx-notify` privileges. By default, these privileges are not granted to any users (including root users or global administrators). For security reasons, we recommend that you create a separate user account that does not have any other privileges but these. Although not shown in this section, you can configure the JMX connection handler and alert handler using `dsconfig` in interactive command-line mode, which is visible on the "Standard" object menu.

### To Configure the JMX Connection Handler

#### Steps

1. Use `dsconfig` to enable the JMX Connection Handler.

```

$ bin/dsconfig set-connection-handler-prop \
 --handler-name "JMX Connection Handler" \
 --set enabled:true \
 --set listen-port:1689

```

2. Add a new non-root user account with the `jmx-read` and `jmx-notify` privileges. This account can be added using the `ldapmodify` tool using an LDIF representation like:

```
dn: cn=JMX User,cn=Root DNs,cn=config
changetype: add
objectClass: top
objectClass: person
objectClass: organizationalPerson
objectClass: inetOrgPerson
objectClass: ds-cfg-root-dn-user
givenName: JMX
sn: User
cn: JMX User
userPassword: password
ds-cfg-inherit-default-root-privileges: false
ds-cfg-alternate-bind-dn: cn=JMX User
ds-privilege-name: jmx-read
ds-privilege-name: jmx-notify
```

### To Configure the JMX Alert Handler

#### Steps

- Use `dsconfig` to configure the JMX Alert Handler.

```
$ bin/dsconfig set-alert-handler-prop --handler-name "JMX Alert Handler" \
--set enabled:true
```

## Configuring the SMTP Alert Handler

By default, there is no configuration entry for an SMTP alert handler. To create a new instance of an SMTP alert handler, use the `dsconfig` tool.

### Configuring the SMTP Alert Handler

#### Steps

- Use the `dsconfig` tool to configure the SMTP Alert Handler.

```
$ bin/dsconfig create-alert-handler \
--handler-name "SMTP Alert Handler" \
--type smtp \
--set enabled:true \
--set "sender-address:alerts@example.com" \
--set "recipient-address:administrators@example.com" \
--set "message-subject:Directory Admin Alert \%%alert-type\%%" \
--set "message-body:Administrative alert:\n\%%alert-message\%%"
```

## Configuring the SNMP Subagent Alert Handler

You can configure the SNMP Subagent alert handler using the `dsconfig` tool, which is visible at the "Standard" object menu. Before you begin, you need an SNMP Subagent capable of communicating via SNMP2c. For more information on SNMP, see [Monitoring Using SNMP](#).

### To Configure the SNMP Subagent Alert Handler

#### Steps

- Use `dsconfig` to configure the SNMP subagent alert handler. The `server-host-name` is the address of the system running the SNMP subagent. The `server-port` is the port number on which

the subagent is running. The `community-name` is the name of the SNMP community that is used for the traps.

The Directory Proxy Server also supports a SNMP Alert Handler, which is used in deployments that do not enable an SNMP subagent.

```
$ bin/dsconfig set-alert-handler-prop \
 --handler-name "SNMP Subagent Alert Handler" \
 --set enabled:true \
 --set server-host-name:host2 \
 --set server-port:162 \
 --set community-name:public
```

## Working with Virtual Attributes

---

The PingDirectoryProxy Server provides dynamically generated attributes called virtual attributes for local Directory Proxy Server data. The proxy virtual attributes apply to a local proxy backend, such as `cn=config` or the Root DSE. If you want to have virtual attributes in entries for proxied requests, then they must be configured in the backend servers. Alternately, attributes may be inserted into those entries using proxy transformations. For more information about configuring proxy transformations, see “Configuring Proxy Transformations”.

For example, you can define a virtual attribute and assign it to the Root DSE as follows:

```
$ bin/dsconfig create-virtual-attribute \
 --name defineDescriptionOnRootDSE --type user-defined \
 --set enabled:true --set attribute-type:description \
 --set filter:objectclass=ds-root-dse --set value:PrimaryProxy
```

If you search the Root DSE using the following LDAP search, you see that the description attribute now has the value `PrimaryProxy`.

```
$ bin/ldapsearch --baseDN "" --searchScope base --bindDN "" \
 --bindPassword "" --port 5389 --hostname localhost \
 "objectclass=*" description

dn:
description:PrimaryProxy
```

## Managing Monitoring

---

The PingDirectoryProxy Server also provides a flexible monitoring framework that exposes its monitoring information under the `cn=monitor` entry and provides interfaces via the PingDataMetrics™ Server, the Administrative Console, SNMP, JMX, and over LDAP. The Directory Proxy Server also provides a tool, the Periodic Stats Logger, to profile server performance.

This chapter presents the following information:

### The Monitor Backend

---

The Directory Proxy Server exposes its monitoring information under the `cn=monitor` entry. Administrators can use various means to monitor the servers, including the PingDataMetrics Server, through SNMP, the Administrative Console, JConsole, LDAP command-line tools, and the Periodic Stats Logger. Use the `bin/status` tool to display server component activity and state.

The list of all monitor entries can be seen using `ldapsearch` as follows:

```
$ bin/ldapsearch --hostname server1.example.com --port 1389 \
--bindDN "uid=admin,dc=example,dc=com" --bindPassword secret \
--baseDN "cn=monitor" "(objectclass=*)" cn
```

The following table describes a subset of the monitor entries:

**Table 11: Directory Proxy Server Monitoring Components**

| Component                                | Description                                                                                                                                                                                                                                                                                   |
|------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Active Operations                        | Provides information about the operations currently being processed by the Directory Proxy Server. Shows the number of operations, information on each operation, and the number of active persistent searches.                                                                               |
| Backends                                 | Provides general information about the state of an a Directory Proxy Server backend, including the entry count. If the backend is a local database, there is a corresponding database environment monitor entry with information on cache usage and on-disk size.                             |
| Client Connections                       | Provides information about all client connections to the Directory Proxy Server. The client connection information contains a name followed by an equal sign and a quoted value (e.g., connID="15", connectTime="20100308223038Z", etc.)                                                      |
| Connection Handlers                      | Provides information about the available connection handlers on the Directory Proxy Server, which includes the LDAP and LDIF connection handlers. These handlers are used to accept client connections and to read requests and send responses to those clients.                              |
| Disk Space Usage                         | Provides information about the disk space available to various components of the Directory Proxy Server.                                                                                                                                                                                      |
| General                                  | Provides general information about the state of the Directory Proxy Server, including product name, vendor name, server version, etc.                                                                                                                                                         |
| Index                                    | Provides on each index. The monitor captures the number of keys preloaded, and counters for read/write/remove/open-cursor/read-for-search. These counters provide insight into how useful an index is for a given workload.                                                                   |
| HTTP/HTTPS Connection Handler Statistics | Provides statistics about the interaction that the associated HTTP connection handler has had with its clients, including the number of connections accepted, average requests per connection, average connection duration, total bytes returned, and average processing time by status code. |
| JVM Stack Trace                          | Provides a stack trace of all threads processing within the JVM.                                                                                                                                                                                                                              |
| LDAP Connection Handler Statistics       | Provides statistics about the interaction that the associated LDAP connection handler has had with its clients, including the number of connections established and closed, bytes read and written, LDAP messages read and written, operations initiated, completed, and abandoned, etc.      |
| Processing Time Histogram                | Categorizes operation processing times into a number of user-defined buckets of information, including the total number of operations processed, overall average response time (ms), number of processing times between 0ms and 1ms, etc.                                                     |
| System Information                       | Provides general information about the system and the JVM on which the Directory Proxy Server is running, including system host name, operation system, JVM architecture, Java home, Java version, etc.                                                                                       |

| Component  | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
|------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Version    | Provides information about the Directory Proxy Server version, including build ID, version, revision number, etc.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| Work Queue | <p>Provides information about the state of the Directory Proxy Server work queue, which holds requests until they can be processed by a worker thread, including the requests rejected, current work queue size, number of worker threads, and number of busy worker threads. The work queue configuration has a <code>monitor-queue-time</code> property set to <code>true</code> by default. This logs messages for new operations with a <code>qtime</code> attribute included in the log messages. Its value is expressed in milliseconds and represents the length of time that operations are held in the work queue.</p> <p>A dedicated thread pool can be used for processing administrative operations. This thread pool enables diagnosis and corrective action if all other worker threads are processing operations. To request that operations use the administrative thread pool, using the <code>ldapsearch</code> command for example, use the <code>--useAdministrativeSession</code> option. The requester must have the <code>use-admin-session</code> privilege (included for root users). By default, eight threads are available for this purpose. This can be changed with the <code>num-administrative-session-worker-threads</code> property in the work queue configuration.</p> |

## Monitoring Disk Space Usage

The disk space usage monitor provides information about the amount of usable disk space available for Directory Proxy Server components. The disk space usage monitor evaluates the free space at locations registered through the `DiskSpaceConsumer` interface by various components of the server. Disk space monitoring excludes disk locations that do not have server components registered. However, other disk locations may still impact server performance, such as the operating system disk, if it becomes full. When relevant to the server, these locations include the server root, the location of the `/config` directory, the location of every log file, all JE backend directories, the location of the changelog, the location of the replication environment database, and the location of any server extension that registers itself with the `DiskSpaceConsumer` interface.

The disk space usage monitor provides the ability to generate administrative alerts, as well as take additional action if the amount of usable space drops below the defined thresholds.

Three thresholds can be configured for this monitor:

- Low space warning threshold.** This threshold is defined as either a percentage or absolute amount of usable space. If the amount of usable space drops below this threshold, then the Directory Proxy Server will generate an administrative alert but will remain fully functional. It will generate alerts at regular intervals that you configure (such as once a day) unless action is taken to increase the amount of usable space. The Directory Proxy Server will also generate additional alerts as the amount of usable space is further reduced (e.g., each time the amount of usable space drops below a value 10% closer to the low space error threshold). If an administrator frees up disk space or adds additional capacity, then the server should automatically recognize this and stop generating alerts.
- Low space error threshold.** This threshold is also defined as either a percentage or absolute size. Once the amount of usable space drops below this threshold, then the server will generate an alert notification and will begin rejecting all operations requested by non-root users with "UNAVAILABLE" results. The server should continue to generate alerts during this time. Once the server enters this mode, then an administrator will have to take some kind of action (e.g., running a command to invoke a task or removing a signal file) before the server will resume normal operation. This threshold must be less than or equal to the low space warning threshold. If they are equal, the server will begin rejecting requests from non-root users immediately upon detecting low usable disk space.

- **Out of space error threshold.** This threshold may also be defined as a percentage or absolute size. Once the amount of usable space drops below this threshold, then the PingDirectoryProxy Server will generate a final administrative alert and will shut itself down. This threshold must be less than or equal to the low space error threshold. If they are equal, the server will shut itself down rather than rejecting requests from non-root users.
- **Disk space monitoring for tools.** The server monitors disk space consumption during processing for the `export-ldif`, `rebuild-index`, and `backup` tools. Space is monitored every 10 seconds if usable space for all monitored paths is greater than 15 percent of the capacity of those volumes. If usable space for any path drops below 15 percent, or below 10GB free, the space check frequency is increased to every second. Warning messages are generated if available space falls below 10 percent, or below 5GB free. If usable space for any path drops below two percent, or 1GB free, the tool processing is aborted and files may be removed to free up space.

The default configuration uses the same values for the low space error threshold and out of space error threshold. This is to prevent having the server online but rejecting requests, which will cause problems with applications trying to interact with the server. The low space warning threshold generates an alert before the problem becomes serious, well in advance of available disk space dropping to a point that it is critical.

The default values may not be suitable for all disk sizes, and should be adjusted to fit the deployment. Determining the best values should factor in the size of the disk, how big the database may become, how much space log files may consume, and how many backups will be stored.

The threshold values may be specified either as absolute sizes or as percentages of the total available disk space. All values must be specified as absolute values or as percentages. A mix of absolute values and percentages cannot be used. The low space warning threshold must be greater than or equal to the low space error threshold, the low space error threshold must be greater than or equal to the out of space error threshold, and the out of space error threshold must be greater than or equal to zero.

If the out of space error threshold is set to zero, then the server will not attempt to automatically shut itself down if it detects that usable disk space has become critically low. If the amount of usable space reaches zero, then the database will preserve its integrity but may enter a state in which it rejects all operations with an error and requires the server (or at least the affected backends) to be restarted. If the low space error threshold is also set to zero, then the server will generate periodic warnings about low available disk space but will remain fully functional for as long as possible. If all three threshold values are set to zero, then the server will not attempt to warn about or otherwise react to a lack of usable disk space.

## Monitoring with the PingDataMetrics Server

---

The PingDataMetrics Server is an invaluable tool for collecting, aggregating and exposing historical and instantaneous data from the various Ping Identity servers in a deployment. The PingDataMetrics Server relies on a captive PostgreSQL datastore for the metrics, which it collects from internal instrumentation across the instances, replicas, and data centers in your environment. The data is available via a Monitoring API that can be used to build custom dashboards and monitoring applications to monitor the overall health of your Ping Identity Platform system. For more information, refer to the *PingDataMetrics Server Administration Guide*.

## Monitoring Key Performance Indicators by Application

The PingDirectoryProxy Server can be configured to track many key performance metrics (for example, throughput and response-time) by the client applications requesting them. This feature is invaluable for measuring whether the Ping Identity identify infrastructure meets all of your service-level agreements (SLA) that have been defined for client applications.

When enabled, the per-application monitoring data can be accessed in the `cn=monitor` backend, the Periodic Stats Logger, and made available for collection by the Metrics Server. See the “Profiling Server Performance Using the Periodic Stats Logger” for more information on using that component. Also, see the Directory Proxy Server Configuration section of the *PingDataMetrics Server Administration Guide* for details on configuring the server to expose metrics that interest you. Tracked application information

is exposed in the PingDataMetrics Server by metrics having the 'application-name' dimension. See the documentation under `docs/metrics` of the PingDataMetrics Server for information on which metrics are available with the 'application-name' dimension.

## Configuring the External Servers

Before you install the PingDataMetrics Server, you need to configure the servers you will be monitoring: PingDirectory Server, PingDirectoryProxy Server, and PingDataSync Server. The PingDataMetrics Server requires all servers to be version 3.5.0 or later. See the administration guides for each product for installation instructions.

Once you have installed the Directory Proxy Server, you can use the `dsconfig` tool to make configuration changes for the PingDataMetrics Server. When using the `dsconfig` tool interactively, set the complexity level to Advanced, so that you can make all the necessary configuration changes.

### Preparing the Servers Monitored by the PingDataMetrics Server

The Metrics Backend manages the storage of metrics and provides access to the stored blocks of metrics via LDAP. The Metrics Backend is configured to keep a maximum amount of metric history based on log retention policies. The default retention policy uses the Default Size Limit Retention Policy, Free Disk Space Retention Policy, and the File Growth Limit Policy, limiting the total disk space used to 500 MB. This amount of disk typically contains more than 24 hours of metric history, which is ample. The Directory Proxy Server keeps a metric history so that the PingDataMetrics Server can be down for a period and then catch up when it comes back online.

The following two commands create a Retention Policy that limits the number of files to 2000, and sets the Metrics Backend to flush data to a new file every 30 seconds.

```
$ bin/dsconfig create-log-retention-policy \
 --policy-name StatsCollectorRetentionPolicy \
 --type file-count --set number-of-files:2000

$ bin/dsconfig set-backend-prop \
 --backend-name metrics --set sample-flush-interval:30s \
 --set retention-policy:StatsCollectorRetentionPolicy
```

These commands configure the Metrics Backend to keep 16 hours of metric history, which consumes about 250 MB of disk, ensuring that captured metrics are available to the PingDataMetrics Server within 30 seconds of when the metric was captured. The value of the `sample-flush-interval` attribute determines the maximum delay between when a metric is captured and when it can be picked up by the PingDataMetrics Server.

The flush interval can be set between 15 seconds and 60 seconds, with longer values resulting in less processing load on the PingDataMetrics Server. However, this flush interval increases the latency between when the metric was captured and when it becomes visible in the Dashboard Application. If you change the `sample-flush-interval` attribute to 60 seconds in the example above, then the Directory Proxy Server keeps 2000 minutes of history. Because the number of metrics produced per unit of time can vary depending on the configuration, no exact formula can be used to compute how much storage is required for each hour of history. However, 20 MB per hour is a good estimate.

### Configuring the Processing Time Histogram Plugin

The Processing Time Histogram plugin is configured on each Directory Proxy Server and Directory Proxy Server as a set of histogram bucket ranges. When the bucket ranges for a histogram change, the PingDataMetrics Server notices the change and marks samples differently. This process allows for histograms with the same set of bucket definitions to be properly aggregated and understood when returned in a query. If different servers have different bucket definitions, then a single metric query cannot return histogram data from the servers.

You should try to keep the Processing Time Histogram bucket definitions the same on all servers. Having different definitions restricts the ability of the PingDataMetrics Server API to aggregate histogram data

across servers and makes the results of a query asking "What percentage of the search requests took less than 12 milliseconds?" harder to understand.

For each server in your topology, you must set the `separate-monitor-entry-per-tracked-application` property of the processing time histogram plugin to `true`. This property must be set to expose per-application monitoring information under `cn=monitor`. When the `separate-monitor-entry-per-tracked-application` property is set to `true`, then the `per-application-ldap-stats` property must be set to `per-application-only` on the Stats Collector Plugin and vice versa.

For example, the following `dsconfig` command line sets the required properties of the Processing Time Histogram plugin:

```
$ bin/dsconfig set-plugin-prop --plugin-name "Processing Time Histogram" \
 --set separate-monitor-entry-per-tracked-application:true
```

The following `dsconfig` command line sets the `per-application-ldap-stats` property of the Stats Collector plugin to `per-application-only`:

```
$ bin/dsconfig set-plugin-prop --plugin-name "Stats Collector" \
 --set per-application-ldap-stats:per-application-only
```

### Setting the Connection Criteria to Collect SLA Statistics by Application

If you want to collect data about your SLAs, you need to configure connection criteria for each Service Level Agreement that you want to track. The connection criteria are used in many areas within the server. They are used by the client connection policies, but they can also be used when the server needs to perform matching based on connection-level properties, such as filtered logging. For assistance using connection criteria, contact your authorized support provider.

For example, imagine that we are interested in collecting statistics on data that is accessed by clients authenticating as the Directory Manager. We need to create connection criteria on the Directory Proxy Server that identifies any user authenticating as the Directory Manager. The connection criteria name corresponds to the `application-name` dimension value that clients will specify when accessing the data via the API. When you define the Connection Criteria, change the `included-user-base-dn` property to include the Directory Manager's full LDIF entry.

The following `dsconfig` command line creates connection criteria for the Directory Manager:

```
$ bin/dsconfig create-connection-criteria \
 --criteria-name "Directory Manager" \
 --type simple \
 --set "included-user-base-dn:cn=Directory Manager,cn=Root DNs,cn=config"
```

### Updating the Global Configuration

You also need to create Global Configuration-tracked applications for each app (connection criteria) you intend to track. The `tracked-application` property allows individual applications to be identified in the server by connection criteria. The name of the tracked application is the same as the name you defined for the connection criteria.

For example, the following `dsconfig` command line adds the connection criteria we created in the previous step to the list of tracked applications:

```
$ bin/dsconfig set-global-configuration-prop \
 --set "tracked-application:Directory Manager"
```

The value of the `tracked-application` field corresponds to the value of the `application-name` dimension value that clients will specify when accessing the data via the API.

## Proxy Considerations for Tracked Applications

In a proxy environment, the criteria should be defined in the Directory Proxy Server since the Directory Proxy Server passes the application name through to the Directory Server in the intermediate client control. If a client of the Directory Proxy Server or Directory Server happens to use the intermediate client control, then the client name specified in the control will be used as the application name regardless of the criteria listed in the tracked-application property.

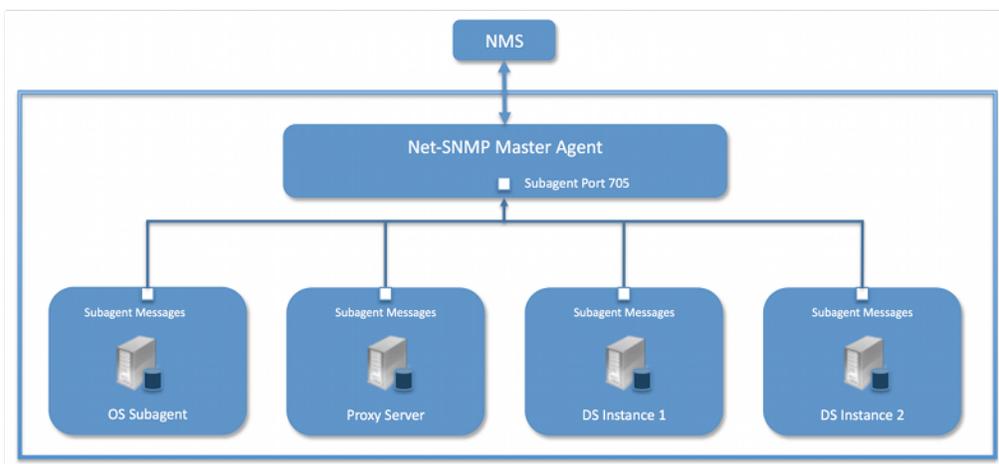
## Monitoring Using SNMP

The PingDirectoryProxy Server supports real-time monitoring using the Simple Network Management Protocol (SNMP). The Directory Proxy Server provides an embedded SNMPv3 subagent plugin that, when enabled, sets up the server as a managed device and exchanges monitoring information with a master agent based on the AgentX protocol.

### SNMP Implementation

In a typical SNMP deployment, many production environments use a network management system (NMS) for a unified monitoring and administrative view of all SNMP-enabled devices. The NMS communicates with a master agent, whose main responsibility is to translate the SNMP protocol messages and multiplex any request messages to the subagent on each managed device (for example, Directory Proxy Server instance, Directory Proxy Server, Data Sync Server, or OS Subagent). The master agent also processes responses or traps from the agents. Many vendors provide commercial NMS systems. Consult with your NMS system for specific information.

The PingDirectoryProxy Server contains an SNMP subagent plugin that connects to a Net-SNMP master agent over TCP. The main configuration properties of the plugin are the address and port of the master agent, which default to localhost and port 705, respectively. When the plugin is initialized, it creates an AgentX subagent and a managed object server, and then registers as a MIB server with the Directory Proxy Server instance. Once the plugin's startup method is called, it starts a session thread with the master agent. Whenever the connection is lost, the subagent automatically attempts to reconnect with the master agent. The Directory Proxy Server's SNMP subagent plugin transmits only read-only values for polling or trap purposes. (Set and inform operations are not supported). SNMP management applications cannot perform actions on the server on their own or by means of an NMS system.



**Figure 8: Example SNMP Deployment**

One important note is that the PingDirectoryProxy Server was designed to interface with a Net-SNMP (version 5.3.2.2 or later) master agent implementation with AgentX over TCP. Many operating systems provide their own Net-SNMP module. However, SMA disables some features present in the Net-SNMP package and only enables AgentX over UNIX Domain Sockets, which cannot be supported by Java. If your

operating system has a native Net-SNMP master agent that only enables UNIX Domain Sockets, you must download and install a separate Net-SNMP binary from its web site.

## Configuring SNMP

Because all server instances provide information for a common set of MIBs, each server instance provides its information under a unique SNMPv3 context name, equal to the server instance name. The server instance name is defined in the Global Configuration, and is constructed from the host name and the server LDAP port by default. Consequently, information must be requested using SNMPv3, specifying the context name that pertains to the desired server instance. This context name is limited to 30 characters or less. Any context name longer than 30 characters will result in an error message. Since the default context name is limited to 30 characters or less, and defaults to the server instance name and the LDAP port number, pay special attention to the length of the fully-qualified (DNS) host name.

**Note:** The Directory Proxy Server supports SNMPv3, and only SNMPv3 can access the MIBs. For systems that implement SNMP v1 and v2c, Net-SNMP provides a proxy function to route requests in one version of SNMP to an agent using a different SNMP version.

### To Configure SNMP

#### Steps

1. Enable the Directory Proxy Server's SNMP plugin by using the `dsconfig` tool. Make sure to specify the address and port of the SNMP master agent. On each Directory Proxy Server instance, enable the SNMP subagent. Note that the SNMPv3 context name is limited to 30 bytes maximum. If the default dynamically-constructed instance name is greater than 30 bytes, there will be an error when attempting to enable the plugin. Enable the SNMP Subagent Alert Handler so that the sub-agent will send traps for administrative alerts generated by the server.

```
$ bin/dsconfig set-alert-handler-prop \
 --handler-name "SNMP Subagent Alert Handler" --set enabled:true
```

2. View the error log. You will see a message that the master agent is not connected, because it is not yet online.

```
The SNMP sub-agent was unable to connect to the master
agent at localhost/705: Timeout
```

3. Edit the SNMP agent configuration file, `snmpd.conf`, which is often located in `/etc/snmp/snmpd.conf`. Add the directive to run the agent as an AgentX master agent:

```
master agentx agentXSocket tcp:localhost:705
```

Note that the use of `localhost` means that only sub-agents running on the same host can connect to the master agent. This requirement is necessary since there are no security mechanisms in the AgentX protocol.

4. Add the trap directive to send SNMPv2 traps to `localhost` with the community name, `public` (or whatever SNMP community has been configured for your environment) and the port.

```
trap2sink localhost public 162
```

5. To create a SNMPv3 user, add the following lines to the `/etc/snmp/snmpd.conf` file.

```
rwuser initial
createUser initial MD5 setup_passphrase DES
```

6. Run the following command to create the SNMPv3 user.

```
snmpusm -v3 -u initial -n "" -l authNoPriv -a MD5 -A setup_passphrase \
localhost create snmpuser initial
```

7. Start the `snmpd` daemon and after a few seconds you should see the following message in the Directory Proxy Server error log:

```
The SNMP subagent connected successfully to the master agent
at localhost:705. The SNMP context name is host.example.com:389
```

8. Set up a trap client to see the alerts that are generated by the Directory Proxy Server. Create a config file in `/tmp/snmptrapd.conf` and add the directive below to it. The directive specifies that the trap client can process traps using the public community string, and can log and trigger executable actions.

```
authcommunity log, execute public
```

9. Install the MIB definitions for the Net-SNMP client tools, usually located in the `/usr/share/snmp/mibs` directory.

```
$ cp resource/mib/* /usr/share/snmp/mibs
```

10. Then, run the trap client using the `snmptrapd` command. The following example specifies that the command should not create a new process using `fork()` from the calling shell (`-f`), do not read any configuration files (`-C`) except the one specified with the `-c` option, print to standard output (`-Lo`), and then specify that debugging output should be turned on for the User-based Security Module (`-Dusm`). The path after the `-M` option is a directory that contains the MIBs shipped with our product (i.e., `server-root/resource/mib`).

```
$ snmptrapd -f -C -c /tmp/snmptrapd.conf -Lf /root/trap.log -Dusm \
-m all -M +/usr/share/snmp/mibs
```

11. Run the Net-SNMP client tools to test the feature. The following options are required: `-v <SNMP version>`, `-u <user name>`, `-A <user password>`, `-l <security level>`, `-n <context name (instance name)>`. The `-m all` option loads all MIBs in the default MIB directory in `/usr/share/snmp/mibs` so that MIB names can be used in place of numeric OIDs.

```
$ snmpget -v 3 -u snmpuser -A password -l authNoPriv -n host.example.com:389 \
-m all localhost localDBBackendCount.0

$ snmpwalk -v 3 -u snmpuser -A password -l authNoPriv -n
host.example.com:389 \
-m all localhost systemStatus
```

## MIBS

The Directory Proxy Server provides SMIv2-compliant MIB definitions (RFC 2578, 2579, 2580) for distinct monitoring statistics. These MIB definitions are to be found in text files under `resource/mib` directory under the server root directory.

Each MIB provides managed object tables for each specific SNMP management information as follows:

- **LDAP Remote Server MIB.** Provides information related to the health and status of the LDAP servers that the Directory Proxy Server connects to, and statistics about the operations invoked by the Directory Proxy Server on those LDAP servers.
- **LDAP Statistics MIB.** Provides a collection of connection-oriented performance data that is based on a connection handler in the Directory Proxy Server. A server typically contain only one connection handler and therefore supplies only one table entry.
- **Local DB Backend MIB.** Provides key metrics related to the state of the local database backends contained in the server.
- **Processing Time MIB.** Provides a collection of key performance data related to the processing time of operations broken down by several criteria but reported as a single aggregated data set.
- **Replication MIB.** Provides key metrics related to the current state of replication, which can help diagnose how much outstanding work replication may have to do.

- **System Status MIB.** Provides a set of critical metrics for determining the status and health of the system in relation to its work load.

For information on the available monitoring statistics for each MIB available on the Directory Server and the Directory Proxy Server, see the text files provided in the `resource/mib` directory below the server installation.

The Directory Proxy Server generates an extensive set of SNMP traps for event monitoring. The traps display the severity, description, name, OID, and summary. For information about the available alert types for event monitoring, see the `resource/mib/UNBOUNDID-ALERT-MIB.txt` file.

## Monitoring with the Administrative Console

---

Ping Identity has an Administrative Console for administrators to configure the directory server. The console also provides a status option that accesses the server's monitor content.

### To View the Monitor Dashboard

#### Steps

1. Ensure that the Directory Proxy Server is running.
2. Open a browser to `http://server-name:8443/console`.
3. Type the root user DN and password, and then click **Login**.
4. Use the top level navigation dropdown and select 'Status.'
5. On the Administrative Console's Status page, select the Monitors tab.

## Accessing the Processing Time Histogram

---

The PingDirectoryProxy Server provides a processing time histogram that classifies operation response time into user-defined buckets. The histogram tracks the processing on a per operation basis and as a percentage of the overall processing time for all operations. It also provides statistics for each operation type (add, bind, compare, delete, modify, modify DN, search).

### To Access the Processing Time Histogram

#### Steps

1. On the Administrative Console, click **Configuration > Status > Monitors tab**.
2. Select **Processing Time Histogram**. Other monitor entries can be accessed in similar ways.

## Monitoring with JMX

---

The PingDirectoryProxy Server supports monitoring the JVM™ through a Java Management Extensions (JMX™) management agent, which can be accessed using JConsole or any other kind of JMX client. The JMX interface provides JVM performance and resource utilization information for applications running Java. You can monitor generic metrics exposed by the JVM itself, including memory pools, threads, loaded classes, and MBeans, as well as all the monitor information that the Directory Proxy Server provides. You can also subscribe to receive JMX notifications for any administrative alerts that are generated within the server.

## Running JConsole

Before you can access JConsole, you must configure and enable the JMX Connection Handler for the Directory Proxy Server using the `dsconfig` tool. See [Configuring the JMX Connection Handler and Alert Handler](#).

To invoke the JConsole executable, type `jconsole` on the command line. If `JDK_HOME` is not set in your path, you can access JConsole in the `bin` directory of the `JDK_HOME` path.

### To Run JConsole

#### Steps

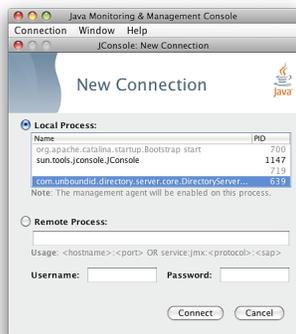
1. Use JConsole to open the Java Monitoring and Management Console. You can also run JConsole to monitor a specific process ID for your application: `jconsole PID`. Or you can run JConsole remotely using: `jconsole hostname:port`.

```
$ jconsole
```

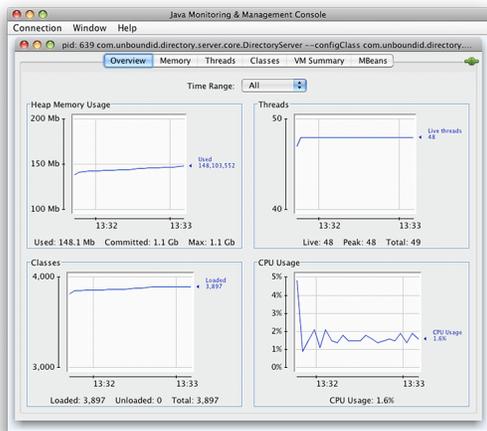
**Note:** If SSL is configured on the JMX Connection Handler, you must specify the Directory Proxy Server jar file in the class path when running `jconsole` over SSL. For example, run the following `jconsole` command:

```
$ jconsole \
 -J-Djavax.net.ssl.trustStore=/path/to/certStores/truststore \
 -J-Djavax.net.ssl.trustStorePassword=secret \
 -J-Djava.class.path=$SERVER_ROOT/lib/PingDirectoryProxy.jar:/Library/Java/
 JavaVirtualMachines/jdk-version.jdk/Contents/Home/lib/jconsole.jar
```

2. On the **Java Monitoring & Administrative Console**, click **Local Process**, and then click the **PID** corresponding to the directory server.



3. Review the resource monitoring information.



## Monitoring the Directory Proxy Server Using JConsole

You can set up JConsole to monitor the Directory Proxy Server using a remote process. Make sure to enable the JMX Connection Handler and to assign at least the `jmx-read` privilege to a regular user account (the `jmx-notify` privilege is required to subscribe to receive JMX notifications). Do not use a root user account, as this would pose a security risk.

### To Monitor the Directory Proxy Server using JConsole

#### Steps

1. Start the Directory Proxy Server.

```
$ bin/start-server
```

2. Enable the JMX Connection handler using the `dsconfig` tool. The handler is disabled by default. Remember to include the LDAP connection parameters (host name, port, bindDN, bindPassword).

```
$ bin/dsconfig set-connection-handler-prop \
 --handler-name "JMX Connection Handler" --set enabled:true
```

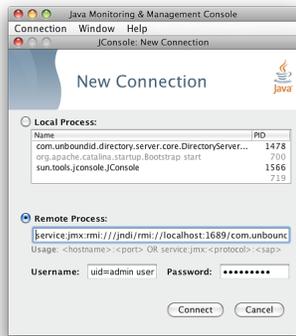
3. Assign `jmx-read`, `jmx-write`, and `jmx-notify` (if the user receives notifications) to the user.

```
$ bin/ldapmodify --hostname server1.example.com --port 1389 \
 --bindDN "cn=Directory Manager" --bindPassword secret
dn: uid=admin,dc=example,dc=com
changetype: modify
replace: ds-privilege-name
ds-privilege-name: jmx-read
ds-privilege-name: jmx-write
ds-privilege-name: jmx-notify
```

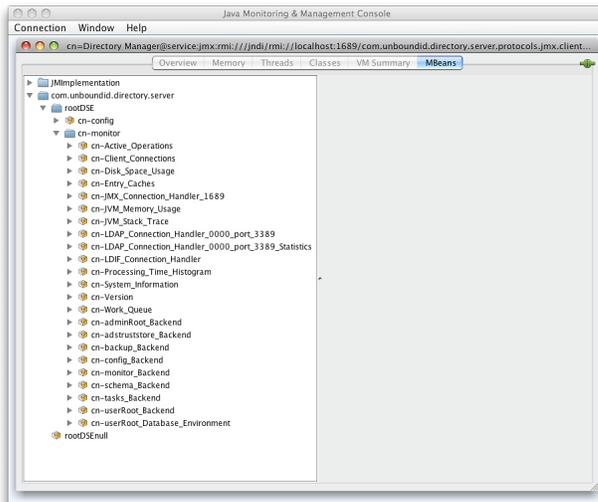
4. On the **Java Monitoring & Administrative Console**, click **Remote Process**, and enter the following JMX URL using the host and port of your Directory Proxy Server.

```
service:jmx:rmi:///jndi/rmi://<host>:<port>/
com.unboundid.directory.server.protocols.jmx.client-unknown
```

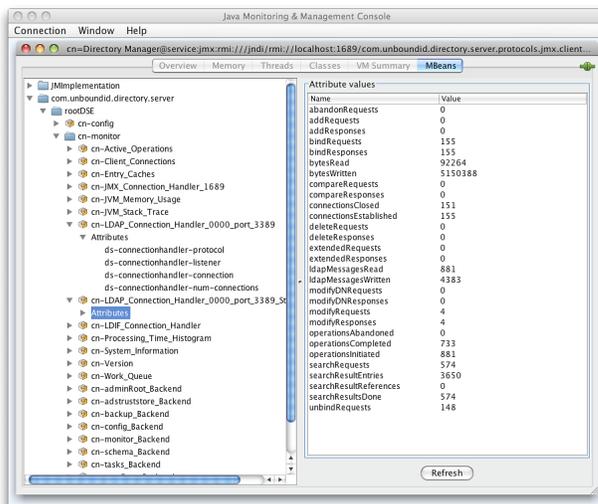
5. In the **Username** and **Password** fields, type the bind DN and password for a user that has at least the `jmx-read` privilege. Click **Connect**.



6. Click **com.unboundid.directory.server**, and expand the `rootDSE` node and the `cn-monitor` subnode.



7. Click a monitoring entry. In this example, click the **LDAP Connection Handler** entry.



## Monitoring Using the LDAP SDK

You can use the monitoring API to retrieve monitor entries from the Directory Proxy Server as well as to retrieve specific types of monitor entries.

For example, you can retrieve all monitor entries published by the Directory Proxy Server and print the information contained in each using the generic API for accessing monitor entry data as follows:

```
for (MonitorEntry e : MonitorManager.getMonitorEntries(connection))
{
 System.out.println("Monitor Name: " + e.getMonitorName());
 System.out.println("Monitor Type: " + e.getMonitorDisplayName());
 System.out.println("Monitor Data:");
 for (MonitorAttribute a : e.getMonitorAttributes().values())
 {
 for (Object value : a.getValues())
 {
 System.out.println(" " + a.getDisplayName() + ": " +
String.valueOf(value));
 }
 }
 System.out.println();
}
}
```

For more information about the LDAP SDK and the methods in this example, see the *LDAP SDK* documentation.

## Monitoring over LDAP

---

The PingDirectoryProxy Server exposes a majority of its information under the `cn=monitor` entry. You can access these entries over LDAP using the `ldapsearch` tool.

```
$ bin/ldapsearch --hostname server1.example.com --port 1389 \
--bindDN "uid=admin,dc=example,dc=com" --bindPassword secret \
--baseDN "cn=monitor" "(objectclass=*)"
```

## Profiling Server Performance Using the Stats Logger

---

The Directory Proxy Server ships with a built-in Stats Logger that is useful for profiling server performance for a given configuration. At a specified interval, the Stats Logger writes server statistics to a log file in a comma-separated format (.csv), which can be read by spreadsheet applications. The logger has a negligible impact on server performance unless the `log-interval` property is set to a very small value (less than 1 second). The statistics logged and their verbosity can be customized.

The Stats Logger can also be used to view historical information about server statistics including replication, LDAP operations, host information, and gauges. Either update the configuration of the existing Stats Logger Plugin to set the advanced `gauge-info` property to `basic/extended` to include this information, or create a dedicated Periodic Stats Logger for information about statistics of interest.

### To Enable the Stats Logger

#### About this task

By default, the Directory Proxy Server ships with the built-in 'Stats Logger' disabled. To enable it using the `dsconfig` tool or the Administrative Console, go to **Plugins** menu (available on the Advanced object menu), and then, select .

#### Steps

1. Run `dsconfig` in interactive mode. Enter the LDAP or LDAPS connection parameters when prompted.

```
$ bin/dsconfig
```

2. Enter `o` to change to the Advanced Objects menu.
3. On the main menu, enter the number for Plugins.
4. On the **Plugin** menu, enter the number corresponding to view and edit an existing plugin.
5. On the **Plugin selection** list, enter the number corresponding to the Stats Logger.
6. On the **Stats Logger Plugin** menu, enter the number to set the `enabled` property to `TRUE`. When done, enter `f` to save and apply the configuration. The default logger will log information about the server every second to `<server-root>/logs/dsstats.csv`. If the server is idle, nothing will be logged, but this can be changed by setting the `suppress-if-idle` property to `FALSE` (`suppress-if-idle=false`).

```
>>>> Configure the properties of the Stats Logger Plugin

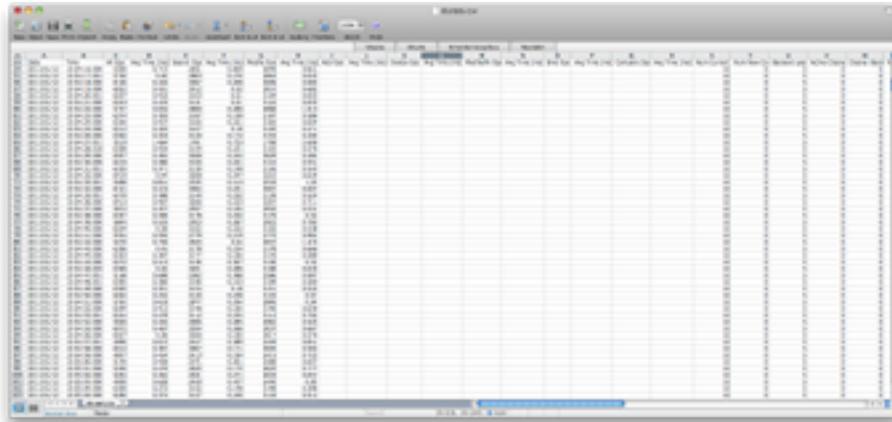
Property Value(s)

1) description Logs performance stats to a log file
 periodically.
2) enabled false
3) local-db-backend-info basic
4) replication-info basic
5) entry-cache-info -
6) host-info -
7) included-ldap-application
 If per-application LDAP stats is enabled,
 then stats will be included for all
 applications.
8) log-interval 1 s
9) collection-interval 200 ms
10) suppress-if-idle true
11) header-prefix-per-column
 false
12) empty-instead-of-zero
 true
13) lines-between-header
 50
14) included-ldap-stat
 active-operations, num-connections,
 op-count-and-latency, work-queue
15) included-resource-stat
 memory-utilization
16) histogram-format count
17) histogram-op-type all
18) per-application-ldap-stats
 aggregate-only
19) ldap-changelog-info
 -
20) gauge-info none
21) log-file logs/dsstats.csv
22) log-file-permissions
 640
23) append true
24) rotation-policy Fixed Time Rotation Policy, Size Limit
 Rotation Policy
25) retention-policy File Count Retention Policy

?) help
f) finish - apply any changes to the Periodic Stats Logger Plugin
a) hide advanced properties of the Periodic Stats Logger Plugin
d) display the equivalent dsconfig command lines to either re-create this
 object or only to apply pending changes
b) back
q) quit

Enter choice [b]:
```

7. Run the Directory Proxy Server. For example, if you are running in a test environment, you can run the `search-and-mod-rate` tool to apply some searches and modifications to the server. You can run `search-and-mod-rate --help` to see an example command.
8. View the Stats log output at `<server-root>/logs/dsstats.csv`. You can open the file in a spreadsheet. The following image displays a portion of the file's output. On the actual file, you will need to scroll right for more statistics.



## To Configure Multiple Periodic Stats Loggers

### About this task

Multiple Periodic Stats Loggers can be created to log different statistics, view historical information about gauges, or to create a log at different intervals (such as logging cumulative operations statistics every hour). To create a new log, use the existing Stats Logger as a template to get reasonable settings, including rotation and retention policy.

### Steps

1. Run `dsconfig` by repeating steps 1–3 in [To Enable the Stats Logger](#).
2. From the **Plugin management** menu, enter the number to create a new plugin.
3. From the **Create a New Periodic Stats Logger Plugin** menu, enter `t` to use an existing plugin as a template.
4. Enter the number corresponding to the existing stats logger as a template.
5. Next, enter a descriptive name for the new stats logger. For this example, type `Stats Logger-10s`.
6. Enter the log file path to the file. For this example, type `logs/dsstats2.csv`.
7. On the menu, make any other change to the logger. For this example, change the `log-interval` to `10s`, and the `suppress-if-idle` to `false`. When finished, enter `f` to save and apply the configuration.
8. You should now see two loggers `dsstats.csv` and `dsstats2.csv` in the `logs` directory.

## Adding Custom Logged Statistics to a Periodic Stats Logger

Add custom statistics based on any attribute in any entry under `cn=monitor` using the Custom Logged Stats object. This configuration object provides powerful controls for how monitor attributes are written to the log. For example, you can extract a value from a monitor attribute using a regular expression. Newly created Custom Logged Stats will automatically be included in the Periodic Stats Logger output.

Besides allowing a straight pass-through of the values using the 'raw' statistic-type, you can configure attributes to be treated as a counter (where the interval includes the difference in the value since the last interval), an average, a minimum, or a maximum value held by the attribute during the specified interval. The value of an attribute can also be scaled by a fixed value or by the value of another monitor attribute.

**Note:** Custom third-party server extensions that were written using the Server SDK can also expose interval statistics using a Periodic Stats Logger. The extension must first implement the SDK's `MonitorProvider` interface and register with the server. The monitor attributes produced by this custom `MonitorProvider` are then available to be referenced by a Custom Logged Stats object.

To illustrate how to configure a Custom Logged Statistics Logger, the following procedure reproduces the built-in "Consumer Total GB" column that shows up in the output when the `included-resource-stat`

property is set to `memory-utilization` on the Periodic Stats Logger. The column is derived from the `total-bytes-used-by-memory-consumers` attribute of the `cn=JVM Memory Usage,cn=monitor` entry as follows:

```
dn: cn=JVM Memory Usage,cn=monitor
objectClass: top
objectClass: ds-monitor-entry
objectClass: ds-memory-usage-monitor-entry
objectClass: extensibleObject
cn: JVM Memory Usage
...
total-bytes-used-by-memory-consumers: 3250017037
```

## To Configure a Custom Logged Statistic Using `dsconfig` Interactive

### Steps

1. Run `dsconfig` and enter the LDAP/LDAPS connection parameters when prompted.

```
$ bin/dsconfig
```

2. On the Directory Proxy Server configuration main menu (Advanced Objects menu), enter the number corresponding to Custom Logged Stats.
3. On the Custom Logged Stats menu, enter the number corresponding to Create a new Custom Logged Stats.
4. Select the Stats Logger Plugin from the list if more than one is present on the system. If you only have one stats logger, press **Enter** to confirm that you want to use the existing plugin.
5. Enter a descriptive name for the Custom Logged Stats. For this example, enter `Memory Usage`.
6. From the `monitor-objectclass` property menu, enter the objectclass attribute to monitor. For this example, enter `ds-memory-usage-monitor-entry`. You can run `ldapsearch` using the base DN `"cn=JVM Memory Usage,cn=monitor"` entry to view the entry.
7. Next, specify the attributes of the monitor entry that you want to log in the stats logger. In this example, enter `total-bytes-used-by-memory-consumers`, and then press **Enter** again to continue.
8. Next, specify the type of statistics for the monitored attribute that will appear in the log file. In this example, enter the option for raw statistics as recorded by the logger.
9. In the Custom Logged Stats menu, review the configuration. At this point, we want to set up a column name that lists the Memory Usage. Enter the option to change the `column-name` property.
10. Next, we want to add a specific label for the column name. Enter the option to add a value, and then enter **Memory Consumer Total (GB)**, and press **Enter** again to continue.
11. Confirm that you want to use the `column-name` value that you entered in the previous step, and then press **Enter** to use the value.
12. Next, we want to scale the Memory Consumer Totals by one gigabyte. On the **Custom Logged Stats** menu, enter the option to change the `divide-value-by` property.
13. On the `divide-value-by` property menu, enter the option to change the value, and then enter `1073741824` (i.e., `1073741824` bytes = 1 gigabytes).
14. On the **Custom Logged Stats** menu, review your configuration. When finished, enter `f` to save and apply the settings.

```
>>>> Configure the properties of the Custom Logged Stats
>>>> via creating 'Memory Usage' Custom Logged Stats
```

|    | Property                         | Value(s)                                   |
|----|----------------------------------|--------------------------------------------|
| 1) | <code>description</code>         | -                                          |
| 2) | <code>enabled</code>             | <code>true</code>                          |
| 3) | <code>monitor-objectclass</code> | <code>ds-memory-usage-monitor-entry</code> |

```

4) include-filter -
5) attribute-to-log total-bytes-used-by-memory-consumers
6) column-name Memory Consumer Total (GB)
7) statistic-type raw
8) header-prefix -
9) header-prefix-attribute -
10) regex-pattern -
11) regex-replacement -
12) divide-value-by 1073741824
13) divide-value-by-attribute -
14) decimal-format #.##
15) non-zero-implies-not-idle false

?) help
f) finish - create the new Custom Logged Stats
a) hide advanced properties of the Custom Logged Stats
d) display the equivalent dsconfig arguments to create this object
b) back
q) quit

```

Enter choice [b]:

The Custom Logged Stats was created successfully

When the Custom Logged Stats configuration change is completed, the new stats value should immediately show up in the Stats Logger output file.

## To Configure a Custom Stats Logger Using dsconfig Non-Interactive

### Steps

- Use the dsconfig non-interactive command-line equivalent to create your custom stats logger. The following one-line command replicates the procedure in the previous section. This command produces a column named "Memory Consumer Total (GB)" that contains the value of the of `total-bytes-used-by-memory-consumers` attribute pulled from the entry with the `ds-memory-usage-monitor-entry` objectclass. This value is scaled by 1073741824 to get to a value represented in GBs.

```

$ bin/dsconfig create-custom-logged-stats --plugin-name "Stats Logger" \
--stats-name "Memory Usage" --type custom \
--set monitor-objectclass:ds-memory-usage-monitor-entry \
--set attribute-to-log:total-bytes-used-by-memory-consumers \
--set "column-name:Memory Consumer Total (GB)" --set statistic-type:raw \
--set divide-value-by:1073741824

```

## Troubleshooting the Directory Proxy Server

---

This chapter provides the common problems and potential solutions that might occur when running PingDirectoryProxy Server. It is primarily targeted at cases in which the Directory Proxy Server is running on Linux® systems, but much of the information can be useful on other platforms as well.

This chapter presents the following information:

### Garbage Collection Diagnostic Information

---

You can enable the JVM debugging options to track garbage collection data for your system. The options can impact JVM performance, but they provide valuable data to tune your server when troubleshooting garbage collection issues. While the `jstat` utility with the `-gc` option can be used to obtain some

information about garbage collection activity, there are additional arguments that can be added to the JVM to use when running the server to provide additional detail.

```
-XX:+PrintGCDetails
-XX:+PrintTenuringDistribution
-XX:+PrintGCApplicationConcurrentTime
-XX:+PrintGCApplicationStoppedTime
-XX:+PrintGCDateStamps
```

To run the Directory Proxy Server with these options, edit the `config/java.properties` file and add them to the end of the line that begins with " `bin/start-server.java-args`". After the file has been saved, invoke the following command to make those new arguments take effect the next time the server is started:

```
$ bin/dsjavaproperties
```

## Working with the Troubleshooting Tools

---

If problems arise with the Directory Proxy Server (whether from issues in the Directory Proxy Server itself or a supporting component, like the JVM, operating system, or hardware), then it is essential to be able to diagnose the problem quickly to determine the underlying cause and the best course of action to take towards resolving it.

### Working with the Collect Support Data Tool

The Directory Proxy Server provides a significant amount of information about its current state including any problems that it has encountered during processing. If a problem occurs, the first step is to run the `collect-support-data` tool in the `bin` directory. The tool aggregates all relevant support files into a zip file that administrators can send to your authorized support provider for analysis. The tool also runs data collector utilities, such as `jps`, `jstack`, and `jstat` plus other diagnostic tools, and bundles the results in the zip file.

The tool may only archive portions of certain log files to conserve space, so that the resulting support archive does not exceed the typical size limits associated with e-mail attachments.

The data collected by the `collect-support-data` tool varies between systems. However, the tool always tries to get the same information across all systems for the target Directory Proxy Server. The data collected includes the configuration directory, summaries and snippets from the `logs` directory, an LDIF of the monitor and RootDSE entries, and a list of all files in the server root.

#### Available Tool Options

The `collect-support-data` tool has some important options that you should be aware of:

- **--noLdap**. Specifies that no effort should be made to collect any information over LDAP. This option should only be used if the server is completely unresponsive or will not start and only as a last resort.
- **--pid {pid}**. Specifies the ID of an additional process from which information is to be collected. This option is useful for troubleshooting external server tools and can be specified multiple times for each external server, respectively.
- **--sequential**. Use this option to diagnose "Out of Memory" errors. The tool collects data in parallel to minimize the collection time necessary for some analysis utilities. This option specifies that data collection should be run sequentially as opposed to in parallel. This action has the effect of reducing the initial memory footprint of this tool at a cost of taking longer to complete.
- **--reportCount {count}**. Specifies the number of reports generated for commands that supports sampling (for example, `vmstat`, `iostat`, or `mpstat`). A value of 0 (zero) indicates that no reports will be generated for these commands. If this option is not specified, it defaults to 10.

- **--reportInterval {interval}**. Specifies the number of seconds between reports for commands that support sampling (for example, `mpstat`). This option must have a value greater than 0 (zero). If this option is not specified, it default to 1.
- **--maxJstacks {number}**. Specifies the number of jstack samples to collect. If not specified, the default number of samples collected is 10.
- **--collectExpensiveData**. Specifies that data on expensive or long running processes be collected. These processes are not collected by default, because they will impact the performance of a running server.
- **--comment {comment}**. Provides the ability to submit any additional information about the collected data set. The comment will be added to the generated archive as a README file.
- **--includeBinaryFiles**. Specifies that binary files be included in the archive collection. By default, all binary files are automatically excluded in data collection.
- **--adminPassword {adminPassword}**. Specifies the global administrator password used to obtain `dsreplication status` information.
- **--adminPasswordFile {adminPasswordFile}**. Specifies the file containing the password of the global administrator used to obtain `dsreplication status` information.

### To Run the Collect Support Data Tool

#### Steps

1. Go to the server root directory.
2. Use the `collect-support-data` tool. Make sure to include the host, port number, bind DN, and bind password.

```
$ bin/collect-support-data --hostname 127.0.0.1 --port 389 \
 --bindDN "cn=Directory Manager" --bindPassword secret \
 --serverRoot /opt/PingDirectoryProxy --pid 1234
```

3. Email the zip file to your Authorized Support Provider.

## Directory Proxy Server Troubleshooting Tools

---

The PingDirectoryProxy Server provides a set of tools that can also be used to obtain information for diagnosing and solving problems.

### Server Version Information

If it becomes necessary to contact your authorized support provider, then it will be important to provide precise information about the version of the Directory Proxy Server software that is in use. If the server is running, then this information can be obtained from the `"cn=Version,cn=monitor"` entry. It can also be obtained using the command:

```
$ bin/status --fullVersion
```

This command outputs a number of important pieces of information, including:

- Major, minor, point and patch version numbers for the server.
- Source revision number from which the server was built.
- Build information including build ID with timestamp, OS, user, Java and JVM version for the build.
- Auxiliary software versions: Jetty, JZlib, SNMP4j (SNMP4J, Agent, Agentx), Groovy, LDAP SDK for Java, and the Server SDK.

### LDIF Connection Handler

The Directory Proxy Server provides an LDIF connection handler that provides a way to request operations that do not require any network communication with the server. This can be particularly helpful if a

configuration problem or bug in the server has left a connection handler unusable, or if all worker threads are busy processing operations.

The LDIF connection handler is enabled by default and looks for LDIF files to be placed in the `config/auto-process-ldif` directory. This Directory Proxy Server does not exist by default, but if it is created and an LDIF file is placed in it that contains one or more changes to be processed, then those changes will be applied.

Any changes that can be made over LDAP can be applied through the LDIF connection handler. It is primarily intended for administrative operations like updating the server configuration or scheduling tasks, although other types of changes (including changes to data contained in the server) can be processed. As the LDIF file is processed, a new file is written with comments for each change providing information about the result of processing that change.

## Embedded Profiler

If the Directory Proxy Server appears to be running slowly, then it is helpful to know what operations are being processed in the server. The JVM Stack Trace monitor entry can be used to obtain a point-in-time snapshot of what the server is doing, but in many cases, it might be useful to have information collected over a period of time.

The embedded profiler is configured so that it is always available but is not active by default so that it has no impact on the performance of the running server. Even when it is running, it has a relatively small impact on performance, but it is recommended that it remain inactive when it is not needed. It can be controlled using the `dsconfig` tool or the Administrative Console by managing the "Profiler" configuration object in the "Plugin" object type, available at the standard object level. The `profile-action` property for this configuration object can have one of the following values:

- **start** – Indicates that the embedded profiler should start capturing data in the background.
- **stop** – Indicates that the embedded profiler should stop capturing data and write the information that it has collected to a `logs/profile{timestamp}` file.
- **cancel** – Indicates that the embedded profiler should stop capturing data and discard any information that it has collected.

Any profiling data that has been captured can be examined using the `profiler-viewer` tool. This tool can operate in either a text-based mode, in which case it dumps a formatted text representation of the profile data to standard output, or it can be used in a graphical mode that allows the information to be more easily understood.

### To Invoke the Profile Viewer in Text-based Mode

#### Steps

- Run the `profile-viewer` command and specify the captured log file using the `--fileName` option.

```
$ bin/profile-viewer --fileName logs/profile.20110101000000Z
```

### To Invoke the Profile Viewer in GUI Mode

#### Steps

- Run the `profile-viewer` command and specify the captured log file using the `--fileName` option. To invoke GUI mode, add the option `--useGUI`.

```
$ bin/profile-viewer --fileName logs/profile.20110101000000Z --useGUI
```

## Troubleshooting Resources for Java Applications

---

Because the PingDirectoryProxy Server is written entirely in Java, it is possible to use standard Java debugging and instrumentation tools when troubleshooting problems with the Directory Proxy Server. In many cases, obtaining the full benefit of these tools requires access to the Directory Proxy Server source code. These Java tools should be used under the advisement of your authorized support provider.

### Java Troubleshooting Tools

The Java Development Kit provides a number of very useful tools to obtain information about Java applications and diagnosing problems. These tools are not included with the Java Runtime Environment (JRE), so the full Java Development Environment (JDK) should always be installed and used to run the PingDirectoryProxy Server.

#### **jps**

The `jps` tool is a Java-specific version of the UNIX `ps` tool. It can be used to obtain a list of all Java processes currently running and their respective process identifiers. When invoked by a non-root user, it will list only Java processes running as that user. When invoked by a root user, then it lists all Java processes on the system.

This tool can be used to see if the Directory Proxy Server is running and if a process ID has been assigned to it. This process ID can be used in conjunction with other tools to perform further analysis.

This tool can be run without any arguments, but some of the more useful arguments that include:

- **-v** – Includes the arguments passed to the JVM for the processes that are listed.
- **-m** – Includes the arguments passed to the main method for the processes that are listed.
- **-l** – (lowercase L). Include the fully qualified name for the main class rather than only the base class name.

#### **jstack**

The `jstack` tool is used to obtain a stack trace of a running Java process, or optionally from a core file generated if the JVM happens to crash. A stack trace can be extremely valuable when trying to debug a problem, because it provides information about all threads running and exactly what each is doing at the point in time that the stack trace was obtained.

Stack traces are helpful when diagnosing problems in which the server appears to be hung or behaving slowly. Java stack traces are generally more helpful than native stack traces, because Java threads can have user-friendly names (as do the threads used by the PingDirectoryProxy Server), and the frame of the stack trace may include the line number of the source file to which it corresponds. This is useful when diagnosing problems and often allows them to be identified and resolved quickly.

To obtain a stack trace from a running JVM, use the command:

```
jstack {processID}
```

where `{processID}` is the process ID of the target JVM as returned by the `jps` command. To obtain a stack trace from a core file from a Java process, use the command:

```
jstack {pathToJava} {pathToCore}
```

where `{pathToJava}` is the path to the java command from which the core file was created, and `{pathToCore}` is the path to the core file to examine. In either case, the stack trace is written to standard output and includes the names and call stacks for each of the threads that were active in the JVM.

In many cases, no additional options are necessary. The `-l` option can be added to obtain a long listing, which includes additional information about locks owned by the threads. The `-m` option can be used to include native frames in the stack trace.

## jmap

The `jmap` tool is used to obtain information about the memory consumed by the JVM. It is very similar to the native `pmap` tool provided by many operating systems. As with the `jstack` tool, `jmap` can be invoked against a running Java process by providing the process ID, or against a core file, like:

```
jmap {processID}
jmap {pathToJava} {pathToCore}
```

Some of the additional arguments include:

- **-dump:live,format=b,file=filename** – Dump the live heap data to a file that can be examined by the `jhat` tool
- **-heap** – Provides a summary of the memory used in the Java heap, along with information about the garbage collection algorithm in use.
- **-histo:live** – Provides a count of the number of objects of each type contained in the heap. If the “:live” portion is included, then only live objects are included; otherwise, the count include objects that are no longer in use and are garbage collected.

## jhat

The `jhat` (Java Heap Analysis Tool) utility provides the ability to analyze the contents of the Java heap. It can be used to analyze a heap dump file, which is generated if the Directory Proxy Server encounters an out of memory error (as a result of the “-XX:+HeapDumpOnOutOfMemoryError” JVM option) or from the use of the `jmap` command with the “-dump” option.

The `jhat` tool acts as a web server that can be accessed by a browser in order to query the contents of the heap. Several predefined queries are available to help determine the types of objects consuming significant amounts of heap space, and it also provides a custom query language (OQL, the Object Query Language) for performing more advanced types of analysis.

The `jhat` tool can be launched with the path to the heap dump file, like:

```
jhat /path/to/heap.dump
```

This command causes the `jhat` web server to begin listening on port 7000. It can be accessed in a browser at `http://localhost:7000` (or `http://address:7000` from a remote system). An alternate port number can be specified using the “-port” option, like:

```
jhat -port 1234 /path/to/heap.dump
```

To issue custom OQL searches, access the web interface using the URL `http://localhost:7000/oql/` (the trailing slash must be provided). Additional information about the OQL syntax may be obtained in the web interface at `http://localhost:7000/oqlhelp/`.

## jstat

The `jstat` tool is used to obtain a variety of statistical information from the JVM, much like the `vmstat` utility that can be used to obtain CPU utilization information from the operating system. The general manner to invoke it is as follows:

```
jstat {type} {processID} {interval}
```

The `{interval}` option specifies the length of time in milliseconds between lines of output. The `{processID}` option specifies the process ID of the JVM used to run the Directory Proxy Server, which can be obtained by running `jps` as mentioned previously. The `{type}` option specifies the type of output that should be provided. Some of the most useful types include:

- **-class** – Provides information about class loading and unloading.
- **-compile** – Provides information about the activity of the JIT complex.
- **-printcompilation** – Provides information about JIT method compilation.

- **-gc** – Provides information about the activity of the garbage collector.
- **-gccapacity** – Provides information about memory region capacities.

## Java Diagnostic Information

In addition to the tools listed in the previous section, the JVM can provide additional diagnostic information in response to certain events.

### Garbage Collection Diagnostic Information

You can enable the JVM debugging options to track garbage collection data for your system. The options can impact JVM performance, but they provide valuable data to tune your server when troubleshooting garbage collection issues. While the `jstat` utility with the `-gc` option can be used to obtain some information about garbage collection activity, there are additional arguments that can be added to the JVM to use when running the server to provide additional detail.

```
-XX:+PrintGCDetails
-XX:+PrintTenuringDistribution
-XX:+PrintGCApplicationConcurrentTime
-XX:+PrintGCApplicationStoppedTime
-XX:+PrintGCDateStamps
```

To run the Directory Proxy Server with these options, edit the `config/java.properties` file and add them to the end of the line that begins with " `bin/start-server.java-args`". After the file has been saved, invoke the following command to make those new arguments take effect the next time the server is started:

```
$ bin/dsjavaproperties
```

### JVM Crash Diagnostic Information

If the JVM itself should happen to crash for some reason, then it generates a fatal error log with information about the state of the JVM at the time of the crash. By default, this file is named `hs_err_pid{processID}.log` and is written into the base directory of the Directory Proxy Server installation. This file includes information on the underlying cause of the JVM crash, information about the threads running and Java heap at the time of the crash, the options provided to the JVM, environment variables that were set, and information about the underlying system.

## Troubleshooting Resources in the Operating System

The underlying operating system also provides a significant amount of information that can help diagnose issues that impact the performance and the stability of the Directory Proxy Server. In some cases, problems with the underlying system can be directly responsible for the issues seen with the Directory Proxy Server, and in others system, tools can help narrow down the cause of the problem.

### Identifying Problems with the Underlying System

If the underlying system itself is experiencing problems, it can adversely impact the function of applications running on it. To look for problems in the underlying system view the system log file (`/var/log/messages` on Linux). Information about faulted or degraded devices or other unusual system conditions are written there.

### Monitoring System Data Using the PingDataMetrics Server

The PingDataMetrics Server provides collection and storage of performance data from your server topology. You can use the System Utilization Monitor with the PingDataMetrics Server to collect information about the host system CPU, disk, and network utilization on any platform except Linux. If you are not using the PingDataMetrics Server, you do not need to use the system utilization monitor. When data is being collected, it periodically forks the process and executes commands.

For more information about using the System Utilization Monitor, refer to the data collection chapter of the PingDataMetrics Server documentation.

### Examining CPU Utilization

Observing CPU utilization for the Directory Proxy Server process and the system as a whole provides clues as to the nature of the problem.

#### System-Wide CPU Utilization

To investigate CPU consumption of the system as a whole, use the `vmstat` command with a time interval in seconds, like:

```
vmstat 5
```

The specific output of this command varies between different operating systems, but it includes the percentage of the time the CPU was spent executing user-space code (user time), the percentage of time spent executing kernel-space code (system time), and the percentage of time not executing any code (idle time).

If the CPUs are spending most of their time executing user-space code, the available processors are being well-utilized. If performance is poor or the server is unresponsive, it can indicate that the Directory Proxy Server is not optimally tuned. If there is a high system time, it can indicate that the system is performing excessive disk and/or network I/O, or in some cases, there can be some other system-wide problem like an interrupt storm. If the system is mostly idle but the Directory Proxy Server is performing poorly or is unresponsive, there can be a resource constraint elsewhere (for example, waiting on disk or memory access, or excessive lock contention), or the JVM can be performing other tasks like stop-the-world garbage collection that cannot be run heavily in parallel.

#### Per-CPU Utilization

To investigate CPU consumption on a per-CPU basis, use the `mpstat` command with a time interval in seconds, like:

```
mpstat 5
```

On Linux systems, it might be necessary to add "-P ALL" to the command, like:

```
mpstat -P ALL 5
```

Among other things, this shows the percentage of time each CPU has spent in user time, system time, and idle time. If the overall CPU utilization is relatively low but `mpstat` reports that one CPU has a much higher utilization than the others, there might be a significant bottleneck within the server or the JVM might be performing certain types of garbage collection which cannot be run in parallel. On the other hand, if CPU utilization is relatively even across all CPUs, there is likely no such bottleneck and the issue might be elsewhere.

#### Per-Process Utilization

To investigate CPU consumption on a per-process basis, use a command such as the `top` utility on Linux. If a process other than the Java process used to run the Directory Proxy Server is consuming a significant amount of available CPU, it might be interfering with the ability of the Directory Proxy Server to run effectively.

### Examining Disk Utilization

If the underlying system has a very high disk utilization, it can adversely impact Directory Proxy Server performance. It could delay the ability to read or write database files or write log files. It could also raise concerns for server stability if excessive disk I/O inhibits the ability of the cleaner threads to keep the database size under control.

The `iostat` tool may be used to obtain information about the disk activity on the system.

On Linux systems, `iostat` should be invoked with the "-x" argument, like:

```
iostat -x 5
```

A number of different types of information will be displayed, but to obtain an initial feel for how busy the underlying disks are, look at the "%util" column on Linux. This field shows the percentage of the time that the underlying disks are actively servicing I/O requests. A system with a high disk utilization likely exhibits poor Directory Proxy Server performance.

If the high disk utilization is on one or more disks that are used to provide swap space for the system, the system might not have enough free memory to process requests. As a result, it might have started swapping blocks of memory that have not been used recently to disk. This can cause very poor server performance. It is important to ensure that the server is configured appropriately to avoid this condition. If this problem occurs on a regular basis, then the server is likely configured to use too much memory. If swapping is not normally a problem but it does arise, then check to see if there are any other processes running, which are consuming a significant amount of memory, and check for other potential causes of significant memory consumption (for example, large files in a `tmpfs` file system).

### Examining Process Details

There are a number of tools provided by the operating system that can help examine a process in detail.

#### ps

The standard `ps` tool can be used to provide a range of information about a particular process. For example, the command can be used to display the state of the process, the name of the user running the process, its process ID and parent process ID, the priority and nice value, resident and virtual memory sizes, the start time, the execution time, and the process name with arguments:

```
ps -fly -p {processID}
```

Note that for a process with a large number of arguments, the standard `ps` command displays only a limited set of the arguments based on available space in the terminal window.

#### pstack

The `pstack` command can be used to obtain a native stack trace of all threads in a process. While a native stack trace might not be as user-friendly as a Java stack trace obtained using `jstack`, it includes threads that are not available in a Java stack trace. For example, the command displays those threads used to perform garbage collection and other housekeeping tasks. The general usage for the `pstack` command is:

```
pstack {processID}
```

#### dbx / gdb

A process debugger provides the ability to examine a process in detail. Like `pstack`, a debugger can obtain a stack trace for all threads in the process, but it also provides the ability to examine a process (or core file) in much greater detail, including observing the contents of memory at a specified address and the values of CPU registers in different frames of execution. The GNU debugger `gdb` is widely-used on Linux systems.

Note that using a debugger against a live process interrupts that process and suspends its execution until it detaches from the process. In addition, when running against a live process, a debugger has the ability to actually alter the contents of the memory associated with that process, which can have adverse effects. As a result, it is recommended that the use of a process debugger be restricted to core files and only used to examine live processes under the direction of your authorized support provider.

#### pfiles / lsof

To examine the set of files that a process is using (including special types of files, like sockets), you can use a tool such as `lsof` on Linux systems, (

```
lsof -p {processID}
```

```
)
```

### Tracing Process Execution

If a process is unresponsive but is consuming a nontrivial amount of CPU time, or if a process is consuming significantly more CPU time than is expected, it might be useful to examine the activity of that process in more detail than can be obtained using a point-in-time snapshot. For example, if a process is performing a significant amount of disk reads and/or writes, it can be useful to see which files are being accessed. Similarly, if a process is consistently exiting abnormally, then beginning tracing for that process just before it exits can help provide additional information that cannot be captured in a core file (and if the process is exiting rather than being terminated for an illegal operation, then no core file may be available).

This can be accomplished using the `strace` tool on Linux (

```
strace -f -p {processID}
```

```
).
```

Consult the `strace` manual page for additional information.

### Problems with SSL Communication

Enable TLS debugging in the server to troubleshoot SSL communication issues:

```
$ dsconfig create-debug-target \
 --publisher-name "File-Based Debug Logger" \
 --target-name
com.unboundid.directory.server.extensions.TLSConnectionSecurityProvider \
 --set debug-level:verbose \
 --set include-throwable-cause:true
```

```
$ dsconfig set-log-publisher-prop \
 --publisher-name "File-Based Debug Logger" \
 --set enabled:true \
 --set default-debug-level:disabled
```

In the `java.properties` file, add `-Djavax.net.debug=ssl` to the `start-server` line, and run `bin/dsjavaproperties` to make the option take effect on a scheduled server restart.

### Examining Network Communication

Because the PingDirectoryProxy Server is a network-based application, it can be valuable to observe the network communication that it has with clients. The Directory Proxy Server itself can provide details about its interaction with clients by enabling debugging for the protocol or data debug categories, but there may be a number of cases in which it is useful to view information at a much lower level. A network sniffer, like the `tcpdump` tool on Linux, can be used to accomplish this.

There are many options that can be used with these tools, and their corresponding manual pages will provide a more thorough explanation of their use. However, to perform basic tracing to show the full details of the packets received for communication on port 389 with remote host 1.2.3.4, the following command can be used on Linux:

```
tcpdump -i {interface} -n -XX -s 0 host 1.2.3.4 and port 389
```

It does not appear that the `tcpdump` tool provides support for LDAP parsing. However, it is possible to write capture data to a file rather than displaying information on the terminal (using `"-w {path}"` with `tcpdump`), so that information can be later analyzed with a graphical tool like Wireshark, which provides the ability to interpret LDAP communication on any port.

Note that enabling network tracing generally requires privileges that are not available to normal users and therefore may require root access.

## Common Problems and Potential Solutions

This section describes a number of different types of problems that can occur and common potential causes for them.

### General Methodology to Troubleshoot a Problem

When a problem is detected, Ping Identity recommends using the following general methodology to isolate the problem:

1. Run the `bin/status` tool or look at the server status in the Administrative Console. The `status` tool provides a summary of the server's current state with key metrics and a list of recent alerts.
2. Look in the server logs. In particular, view the following logs:
  - `logs/errors`
  - `logs/failed-ops`
  - `logs/expensive-ops`
3. Use system commands, such as `vmstat` and `iostat` to determine if the server is bottle-necked on a system resource like CPU or disk throughput.
4. For performance problem (especially intermittent ones like spikes in response time), enabling the `periodic-stats-logger` can help to isolate problems, because it stores important server performance information on a per-second basis. The `periodic-stats-logger` can save the information in a csv-formatted file that can be loaded into a spreadsheet. The information this logger makes available is very configurable. You can create multiple loggers for different types of information or a different frequency of logging (for example, hourly data in addition to per-second data). For more information, see "Profiling Server Performance Using the Periodic Stats Logger".
5. For replication problem, run `dsreplication status` and look at the `logs/replication` file.
6. For more advanced users, run the `collect-support-data` tool on the system, unzip the archive somewhere, and look through the collected information. This is often useful when administrators most familiar with the Ping Identity Platform do not have direct access to the systems where the production servers are running. They can examine the `collect-support-data` archive on a different server. For more information, see Using the Collect Support Data Tool.

**Important:** Run the `collect-support-data` tool whenever there is a problem whose cause is not easily identified, so that this information can be passed back to your authorized support provider before corrective action can be taken.

### The Server Will Not Run Setup

If the `setup` tool does not run properly, some of the most common reasons include the following:

#### A Suitable Java Environment Is Not Available

The PingDirectoryProxy Server requires that Java be installed on the system and made available to the server, and it must be installed prior to running `setup`. If the `setup` tool does not detect that a suitable Java environment is available, it will refuse to run.

To ensure that this does not happen, the `setup` tool should be invoked with an explicitly-defined value for the `JAVA_HOME` environment variable that specifies the path to the Java installation that should be used. For example:

```
env JAVA_HOME=/ds/java ./setup
```

If this still does not work for some reason, then it can be that the value specified in the provided `JAVA_HOME` environment variable can be overridden by another environment variable. If that occurs, try the following command, which should override any other environment variables that can be set:

```
env UNBOUNDID_JAVA_HOME="/ds/java" UNBOUNDID_JAVA_BIN="" ./setup
```

### Unexpected Arguments Provided to the JVM

If the `setup` script attempts to launch the `java` command with an invalid set of Java arguments, it might prevent the JVM from starting. By default, no special options are provided to the JVM when running `setup`, but this might not be the case if either the `JAVA_ARGS` or `UNBOUNDID_JAVA_ARGS` environment variable is set. If the `setup` tool displays an error message that indicates that the Java environment could not be started with the provided set of arguments, then invoke the following command before trying to re-run `setup`:

```
unset JAVA_ARGS UNBOUNDID_JAVA_ARGS
```

### The Server Has Already Been Configured or Used

The `setup` tool is only intended to provide the initial configuration for the Directory Proxy Server. It refuses to run if it detects that the `setup` tool has already been run, or if an attempt has been made to start the Directory Proxy Server prior to running the `setup` tool. This protects an existing Directory Proxy Server installation from being inadvertently updated in a manner that could harm an existing configuration or data set.

If the Directory Proxy Server has been previously used and if you want to perform a fresh installation, it is recommended that you first remove the existing installation, create a new one and run `setup` in that new installation. However, if you are confident that there is nothing of value in the existing installation (for example, if a previous attempt to run `setup` failed to complete successfully for some reason but it will refuse to run again), the following steps can be used to allow the `setup` program to run:

- Remove the `config/config.ldif` file and replace it with the `config/update/config.ldif.{revision}` file containing the initial configuration.
- If there are any files or subdirectories below the `db` directory, then remove them.
- If a `config/java.properties` file exists, then remove it.
- If a `lib/setup-java-home` script (or `lib\set-java-home.bat` file on Microsoft Windows) exists, then remove it.

### The Server Will Not Start

If the Directory Proxy Server does not start, then there are a number of potential causes.

#### The Server or Other Administrative Tool Is Already Running

Only a single instance of the Directory Proxy Server can run at any time from the same installation root. If an instance is already running, then subsequent attempts to start the server will fail. Similarly, some other administrative operations can also prevent the server from being started. In such cases, the attempt to start the server should fail with a message like:

```
The Directory Proxy Server could not acquire an exclusive lock on file
/ds/PingDirectoryProxy/locks/server.lock: The exclusive lock requested for
file
/ds/PingDirectoryProxy/locks/ server.lock was not granted, which indicates
that another process already holds a shared or exclusive lock on that
file. This generally means that another instance of this server is already
running
```

If the Directory Proxy Server is not running (and is not in the process of starting up or shutting down) and there are no other tools running that could prevent the server from being started, and the server still believes that it is running, then it is possible that a previously-held lock was not properly released. In that case, you can try removing all of the files in the `locks` directory before attempting to start the server.

If you wish to have multiple instances running at the same time on the same system, then you should create a completely separate installation in another location on the file system.

## There Is Not Enough Memory Available

When the Directory Proxy Server is started, the JVM attempts to allocate all memory that it has been configured to use. If there is not enough free memory available on the system, then the Directory Proxy Server generates an error message that indicates that the server could not be started with the specified set of arguments. Note that it is possible that an invalid option was provided to the JVM (as described below), but if that same set of JVM arguments has already been used successfully to run the server, then it is more likely that the system does not have enough memory available.

There are a number of potential causes for this:

- If the amount of memory in the underlying system has changed (for example, system memory has been removed, or if the Directory Proxy Server is running in a zone or other type of virtualized container and a change has been made to the amount of memory that container will be allowed to use), then the Directory Proxy Server might need to be re-configured to use a smaller amount of memory than had been previously configured.
- Another process running on the system is consuming a significant amount of memory so that there is not enough free memory available to start the server. If this is the case, then either terminate the other process to make more memory available for the Directory Proxy Server, or reconfigure the Directory Proxy Server to reduce the amount of memory that it attempts to use.
- The Directory Proxy Server was just shut down and an attempt was made to immediately restart it. In some cases, if the server is configured to use a significant amount of memory, then it can take a few seconds for all of the memory that had been in use by the server, when it was previously running, to be released back to the operating system. In that case, run the `vmstat` command and wait until the amount of free memory stops growing before attempting to restart the server.
- If the system is configured with one or more memory-backed file systems, verify whether any large files might be consuming a significant amount of memory in any of those locations. If so, remove them or relocate them to a disk-based file system.
- For Linux systems only, if a mismatch exists between the huge pages setting for the JVM and the huge pages reserved in the operating system.

If nothing else works and there is still not enough free memory to allow the JVM to start, then as a last resort, try rebooting the system.

## An Invalid Java Environment or JVM Option Was Used

If an attempt to start the Directory Proxy Server fails with an error message indicating that no valid Java environment could be found, or indicates that the Java environment could not be started with the configured set of options, then you should first ensure that enough memory is available on the system as described above. If there is a sufficient amount of memory available, then other causes for this error can include the following:

- The Java installation that was previously used to run the server no longer exists (for example, an updated Java environment was installed and the old installation was removed). In that case, update the `config/java.properties` file to reference to path to the new Java installation and run the `bin/dsjavaproperties` command to apply that change.
- The Java installation used to run the server has been updated and the server is trying to use the correct Java installation but one or more of the options that had worked with the previous Java version no longer work with the new version. In that case, it is recommended that the server be re-configured to use the previous Java version, so that it can be run while investigating which options should be used with the new installation.
- If an `UNBOUNDID_JAVA_HOME` or `UNBOUNDID_JAVA_BIN` environment variable is set, then its value may override the path to the Java installation used to run the server as defined in the `config/java.properties` file. Similarly, if an `UNBOUNDID_JAVA_ARGS` environment variable is set, then its value might override the arguments provided to the JVM. If this is the case, then explicitly unset the `UNBOUNDID_JAVA_HOME`, `UNBOUNDID_JAVA_BIN`, and `UNBOUNDID_JAVA_ARGS` environment variables before trying to start the server.

Note that any time the `config/java.properties` file is updated, the `bin/dsjavaproperties` tool must be run to apply the new configuration. If a problem with the previous Java configuration prevents the `bin/dsjavaproperties` tool from running properly, then it can be necessary to remove the `lib/set-java-home` script (or `lib\set-java-home.bat` file on Microsoft Windows) and invoke the `bin/dsjavaproperties` tool with an explicitly-defined path to the Java environment, like:

```
env UNBOUNDED_ID_JAVA_HOME=/ds/java bin/dsjavaproperties
```

### An Invalid Command-Line Option Was Provided

There are a small number of arguments that are provided when running the `bin/start-server` command, but in most cases, none are required. If one or more command-line arguments were provided for the `bin/start-server` command and any of them is not recognized, then the server provides an error message indicating that an argument was not recognized and displays version information. In that case, correct or remove the invalid argument and try to start the server again.

### The Server Has an Invalid Configuration

If a change is made to the Directory Proxy Server configuration using an officially-supported tool like `dsconfig` or the Administrative Console, the server should validate that configuration change before applying it. However, it is possible that a configuration change can appear to be valid at the time that it is applied, but does not work as expected when the server is restarted. Alternately, a change in the underlying system can cause a previously-valid configuration to become invalid.

In most cases involving an invalid configuration, the Directory Proxy Server displays (and writes to the error log) a message that explains the problem, and this can be sufficient to identify the problem and understand what action needs to be taken to correct it. If for some reason the startup failure does not provide enough information to identify the problem with the configuration, then look in the `logs/config-audit.log` file to see what recent configuration changes have been made with the server online, or in the `config/archived-configs` directory to see if there might have been a recent configuration change resulting from a direct change to the configuration file itself that was not made through a supported configuration interface.

If the server does not start as a result of a recent invalid configuration change, then it can be possible to start the server using the configuration that was in place the last time that the server started successfully (for example, the "last known good" configuration). This can be achieved using the `--useLastKnownGoodConfig` option:

```
$ bin/start-server --useLastKnownGoodConfig
```

Note that if it has been a long time since the last time the server was started and a number of configuration changes have been made since that time, then the last known good configuration can be significantly out of date. In such cases, it can be preferable to manually repair the configuration.

If there is no last known good configuration, if the server no longer starts with the last known good configuration, or if the last known good configuration is significantly out of date, then manually update the configuration by editing the `config/config.ldif` file. In that case, you should make sure that the server is offline and that you have made a copy of the existing configuration before beginning. You might wish to discuss the change with your authorized support representative before applying it to ensure that you understand the correct change that needs to be made.

**Note:** In addition to manually-editing the config file, you can look at previous archived configurations to see if the most recent one works. You can also use the `ldif-diff` tool to compare the configurations in the archive to the current configuration to see what is different.

### You Do Not Have Sufficient Permissions

The Directory Proxy Server should only be started by the user or role used to initially install the server. In most cases, if an attempt is made to start the server as a user or role other than the one used to create the initial configuration, then the server will fail to start, because the user will not have sufficient permissions to access files owned by the other user, such as database and log files. However, if the server was initially

installed as a non-root user and then the server is started by the root account, then it can no longer be possible to start the server as a non-root user because new files that are created would be owned by root and could not be written by other users.

If the server was inadvertently started by root when it is intended to be run by a non-root user, or if you wish to change the user account that should be used to run the server, then it should be sufficient to simply change ownership on all files in the Directory Proxy Server installation, so that they are owned by the user or role under which the server should run. For example, if the Directory Proxy Server should be run as the "ds" user in the "other" group, then the following command can be used to accomplish this (invoked by the root user):

```
chown -R ds:other /ds/PingDirectoryProxy
```

### The Server Has Crashed or Shut Itself Down

You can first check the current server state by using the `bin/server-state` command. If the Directory Proxy Server was previously running but is no longer active, then the potential reasons include the following:

- The Directory Proxy Server was shut down by an administrator. Unless the server was forcefully terminated (for example, using "kill -9"), then messages are written to the `error` and `server.out` logs explaining the reason for the shutdown.
- The Directory Proxy Server was shut down when the underlying system crashed or was rebooted. If this is the case, then running the `uptime` command on the underlying system shows that it was recently booted.
- The Directory Proxy Server process was terminated by the underlying operating system for some reason (for example, the out of memory killer on Linux). If this happens, then a message will be written to the system error log.
- The Directory Proxy Server decided to shut itself down in response to a serious problem that had arisen. At present, this should only occur if the server has detected that the amount of usable disk space has become critically low, or if significant errors have been encountered during processing that left the server without any remaining worker threads to process operations. If this happens, then messages are written to the `error` and `server.out` logs (if disk space is available) to provide the reason for the shutdown.
- The JVM in which the Directory Proxy Server was running crashed. If this happens, then the JVM should dump a fatal error log (a `hs_err_pid{processID}.log` file) and potentially a core file.

In the event that the operating system itself crashed or terminated the process, then you should work with your operating system vendor to diagnose the underlying problem. If the JVM crashed or the server shut itself down for a reason that is not clear, then contact your authorized support provider for further assistance.

### Conditions for Automatic Server Shutdown

All PingDirectoryProxy Server servers will shutdown in an out of memory condition, a low disk space error state, or for running out of file descriptors. The Directory Server will enter lockdown mode on unrecoverable database environment errors, but can be configured to shutdown instead with this setting:

```
$ dsconfig set-global-configuration-prop \
 --set unrecoverable-database-error-mode:initiate-server-shutdown
```

### The Server Will Not Accept Client Connections

You can first check the current server state by using the `bin/server-state` command. If the Directory Proxy Server does not appear to be accepting connections from clients, then potential reasons include the following:

- The Directory Proxy Server is not running.
- The underlying system on which the Directory Proxy Server is installed is not running.

- The Directory Proxy Server is running but is not reachable as a result of a network or firewall configuration problem. If that is the case, then connection attempts should time out rather than be rejected.
- If the Directory Proxy Server is configured to allow secure communication via SSL or StartTLS, then a problem with the key manager and/or trust manager configuration can cause connections to be rejected. If that is the case, then messages should be written to the server access log for each failed connection attempt.
- If the Directory Proxy Server has been configured with a maximum allowed number of connections, then it can be that the maximum number of allowed client connections are already established. If that is the case, then messages should be written to the server access log for each rejected connection attempt.
- If the Directory Proxy Server is configured to restrict access based on the address of the client, then messages should be written to the server access log for each rejected connection attempt.
- If a connection handler encounters a significant error, then it can stop listening for new requests. If this occurs, then a message should be written to the server error log with information about the problem. Another solution is to restart the server. A third option is to restart the connection handler using the LDIF connection handler to make it available again. To do this, create an LDIF file that disables and then re-enables the connection handler, create the `config/auto-process-ldif` directory if it does not already exist, and then copy the LDIF file into it.

### The Server is Unresponsive

You can first check the current server state by using the `bin/server-state` command. If the Directory Proxy Server process is running and appears to be accepting connections but does not respond to requests received on those connections, then potential reasons for this behavior include:

- If all worker threads are busy processing other client requests, then new requests that arrive will be forced to wait in the work queue until a worker thread becomes available. If this is the case, then a stack trace obtained using the `jstack` command shows that all of the worker threads are busy and none of them are waiting for new requests to process.

A dedicated thread pool can be used for processing administrative operations. This thread pool enables diagnosis and corrective action if all other worker threads are processing operations. To request that operations use the administrative thread pool, using the `ldapsearch` command for example, use the `--useAdministrativeSession` option. The requester must have the `use-admin-session` privilege (included for root users). By default, eight threads are available for this purpose. This can be changed with the `num-administrative-session-worker-threads` property in the work queue configuration.

**Note:** If all of the worker threads are tied up processing the same operation for a long time, the server will also issue an alert that it might be deadlocked, which may not actually be the case. All threads might be tied up processing unindexed searches.

- If a request handler is stuck performing some expensive processing for a client connection, then other requests sent to the server on connections associated with that request handler is forced to wait until the request handler is able to read data on those connections. If this is the case, then only some of the connections can experience this behavior (unless there is only a single request handler, in which it will impact all connections), and stack traces obtained using the `jstack` command shows that a request handler thread is continuously blocked rather than waiting for new requests to arrive. Note that this scenario is a theoretical problem and one that has not appeared in production.
- If the JVM in which the Directory Proxy Server is running is not properly configured, then it can be forced to spend a significant length of time performing garbage collection, and in severe cases, could cause significant interruptions in the execution of Java code. In such cases, a stack trace obtained from a `pstack` of the native process should show that most threads are idle but at least one thread performing garbage collection is active. It is also likely that one or a small number of CPUs is 100% busy while all other CPUs are mostly idle. The server will also issue an alert after detecting a long JVM pause (due to garbage collection). The alert will include details of the pause.

- If the JVM in which the Directory Proxy Server is running has hung for some reason, then the `pstack` utility should show that one or more threads are blocked and unable to make progress. In such cases, the system CPUs should be mostly idle.
- If a network or firewall configuration problem arises, then attempts to communicate with the server cannot be received by the server. In that case, a network sniffer like `snoop` or `tcpdump` should show that packets sent to the system on which the Directory Proxy Server is running are not receiving TCP acknowledgement.
- If the system on which the Directory Proxy Server is running has become hung or lost power with a graceful shutdown, then the behavior is often similar to that of a network or firewall configuration problem.

If it appears that the problem is with the Directory Proxy Server software or the JVM in which it is running, then you need to work with your authorized support provider to fully diagnose the problem and determine the best course of action to correct it.

### The Server is Slow to Respond to Client Requests

If the Directory Proxy Server is running and does respond to clients, but clients take a long time to receive responses, then the problem can be attributable to a number of potential problems. In these cases, use the Periodic Stats Logger, which is a valuable tool to get per-second monitoring information on the Directory Proxy Server. The Periodic Stats Logger can save the information in csv format for easy viewing in a spreadsheet. For more information, see "Profiling Server Performance Using the Periodic Stats Logger". The potential problems that cause slow responses to client requests are as follows:

- The server is not optimally configured for the type of requests being processed, or clients are requesting inefficient operations. If this is the case, then the access log should show that operations are taking a long time to complete and they will likely be unindexed. In that case, updating the server configuration to better suit the requests, or altering the requests to make them more efficient, could help alleviate the problem. In this case, view the expensive operations access log in `logs/expensive-ops`, which by default logs operations that take longer than 1 second. You can also run the `bin/status` command or view the status in the Administrative Console to see the Directory Proxy Server's Work Queue information (also see the next bullet point).
- The server is overwhelmed with client requests and has amassed a large backlog of requests in the work queue. This can be the result of a configuration problem (for example, too few worker thread configured), or it can be necessary to provision more systems on which to run the Directory Proxy Server software. Symptoms of this problem appear similar to those experienced when the server is asked to process inefficient requests, but looking at the details of the requests in the access log show that they are not necessarily inefficient requests. Run the `bin/status` command to view the Work Queue information. If everything is performing well, you should not see a large queue size or a server that is near 100% busy. The %Busy statistic is calculated as the percentage of worker threads that are busy processing operations.

```

--- Work Queue ---
: Recent : Average : Maximum
-----:-----:-----:-----
Queue Size : 10 : 1 : 10
% Busy : 17 : 14 : 100

```

You can also view the expensive operations access log in `logs/expensive-ops`, which by default logs operations that take longer than 1 second.

- The server is not configured to fully cache all of the data in the server, or the cache is not yet primed. In this case, `iostat` reports a very high disk utilization. This can be resolved by configuring the server to fully cache all data, and to load database contents into memory on startup. If the underlying system does not have enough memory to fully cache the entire data set, then it might not be possible to achieve optimal performance for operations that need data which is not contained in the cache. For more information, see Disk-Bound Deployments.
- If the JVM is not properly configured, then it will need to perform frequent garbage collection and periodically pause execution of the Java code that it is running. In that case, the server error log should

report that the server has detected a number of pauses and can include tuning recommendations to help alleviate the problem.

- If the Directory Proxy Server is configured to use a large percentage of the memory in the system, then it is possible that the system has gotten low on available memory and has begun swapping. In this case, `iostat` should report very high utilization for disks used to hold swap space, and commands like `cat /proc/meminfo` on Linux can report a large amount of swap memory in use. Another cause of swapping is if `swappiness` is not set to 0 on Linux. For more information, see [Disable File System Swapping](#).
- If another process on the system is consuming a significant amount of CPU time, then it can adversely impact the ability of the Directory Proxy Server to process requests efficiently. Isolating the processes (for example, using processor sets) or separating them onto different systems can help eliminate this problem.

### The Server Returns Error Responses to Client Requests

If a large number of client requests are receiving error responses, then view the `logs/failed-ops` log, which is an access log for only failed operations. The potential reasons for the error responses include the following:

- If clients are requesting operations that legitimately should fail (for example, they are targeting entries that do not exist, are attempting to update entries in a way that would violate the server schema, or are performing some other type of inappropriate operation), then the problem is likely with the client and not the server.
- If a portion of the Directory Proxy Server data is unavailable (for example, because an online LDIF import or restore is in progress), then operations targeting that data will fail. Those problems will be resolved when the backend containing that data is brought back online. During the outage, it might be desirable to update proxies or load balancers or both to route requests away from the affected server. As of Directory Proxy Server version 3.1 or later, the Directory Proxy Server will indicate that it is in a degraded status and the Directory Proxy Server will route around it.
- If the Directory Proxy Server work queue is configured with a maximum capacity and that capacity has been reached, then the server begins rejecting all new requests until space is available in the work queue. In this case, it might be necessary to alter the server configuration or the client requests or both, so that they can be processed more efficiently, or it might be necessary to add additional server instances to handle some of the workload.
- If an internal error occurs within the server while processing a client request, then the server terminates the connection to the client and logs a message about the problem that occurred. This should not happen under normal circumstances, so you will need to work with your authorized support provider to diagnose and correct the problem.
- If a problem is encountered while interacting with the underlying database (for example, an attempt to read from or write to disk failed because of a disk problem or lack of available disk space), then it can begin returning errors for all attempts to interact with the database until the backend is closed and re-opened and the database has been given a change to recover itself. In these cases, the `je.info.*` file in the database directory should provide information about the nature of the problem.

### The Server Must Disconnect a Client Connection

If a client connection must be disconnected due to the expense of the client's request, such as an unindexed search across a very large database, perform the following:

- Find the client's connection ID by looking in the `cn=Active Operations,cn=monitor` monitor entry.

```
$ bin/ldapsearch -baseDN cn=monitor "cn=active operations" \
 --bindDN "cn=directory manager" \
 --bindPassword password
```

- The monitor entry will contain attribute values for `operation-in-progress`, which look like an access log message. Look for the value of `conn` in the client request that should be

disconnected. In the following example, the client to be disconnected is requesting a search for (description=expensive), which is on connection 6.

```
dn: cn=Active Operations,cn=monitor
objectClass: top
objectClass: ds-monitor-entry
objectClass: ds-active-operations-monitor-entry
objectClass: extensibleObject
cn: Active Operations
num-operations-in-progress: 2
operation-in-progress: [15/Dec/2014:10:55:35 -0600] SEARCH conn=6 op=3
msgID=4
 clientIP="10.8.4.21" authDN="cn=apl,ou=applications,dc=example,dc=com"
 base="dc
 =example,dc=com" scope=wholeSubtree filter="(description=expensive)"
 attrs="A
 LL" unindexed=true
operation-in-progress: [15/Dec/2014:10:56:11 -0600] SEARCH conn=7 op=1
msgID=2
 clientIP="127.0.0.1" authDN="cn=Directory Manager,cn=Root
DNs,cn=config" base="c
n=monitor" scope=wholeSubtree filter="(cn=active operations)"
 attrs="ALL"
 num-persistent-searches-in-progress: 0
```

- With the connection ID value, create a file with the following contents, named disconnect6.ldif.

```
dn: ds-task-id=disconnect6,cn=scheduled Tasks,cn=tasks
objectClass: top
objectClass: ds-task
objectClass: ds-task-disconnect
ds-task-disconnect-connection-id: 6
ds-task-id: disconnect6
ds-task-class-name:
 com.unboundid.directory.server.tasks.DisconnectClientTask
```

- This LDIF file represents a task entry. The connection ID value 6 is assigned to ds-task-disconnect-connection-id. The value for ds-task-id value does not follow a specific convention. It must be unique among other task entries currently cached by the server.
- Disconnect the client and cancel the associated operation by adding the task entry to the server:

```
$ bin/ldapmodify --filename disconnect6.ldif \
 --defaultAdd --bindDN "cn=directory manager" \
 --bindPassword password
```

## Problems with the Administrative Console

If a problem arises when trying to use the Administrative Console, then potential reasons for the problem may include the following:

- The web application container used to host the console is not running. If an error occurs while trying to start it, then consult the logs for the web application container.
- If a problem occurs while trying to authenticate to the web application container, then make sure that the target Directory Proxy Server is online. If it is online, then the access log may provide information about the reasons for the authentication failure.
- If a problem occurs while attempting to interact with the Directory Proxy Server instance using the Administrative Console, then the access and error logs for that Directory Proxy Server instance might provide additional information about the underlying problem.

## Problems with the Administrative Console: JVM Memory Issues

**Console runs out of memory (PermGen).** An inadequate PermSize setting in the server, while hosting web applications like the Administrative Console may result in errors like this in the error log:

```
[02/Mar/2016:07:50:27.017 -0600] threadID=2 category=UTIL
severity=SEVERE_ERROR msgID=-1 msg="The server experienced an unexpected
error. Please report this problem and include this log file.
OutOfMemoryError: PermGen space
()\ncom.unboundid.directory.server.core.DirectoryServer.uncaughtException
(DirectoryServer.java:15783)\njava.lang.ThreadGroup.uncaughtException
(ThreadGroup.java:1057)\njava.lang.ThreadGroup.uncaughtException
(ThreadGroup.java:1052)\njava.lang.ThreadGroup.uncaughtException
(ThreadGroup.java:1052)\njava.lang.Thread.dispatchUncaughtException
(Thread.java:1986)\nBuild revision: 22496\n"
```

This is only relevant for servers running Java 7.

### Global Index Growing Too Large

If the global index appears to be growing too large, you can reload from the backend directory servers. Use the `reload-index` tool with the `--fromDS` option, overriding the configuration of the `prime-index-source` property. You can do this on a one off basis if the global index appears to be growing too large as follows:

```
$ bin/reload-index \
 --bindPassword password \
 --baseDN "dc=example,dc=com" \
 --fromDS
```

### Forgotten Proxy User Password

If you have forgotten the password you set for the `cn=Proxy User` entry, you can work around the problem as follows:

- You can temporarily add a second password to the proxy user entry so that you can transition all of the proxy server instances to the new password. However, you should have multiple passwords on the `cn=Proxy User` entry for the shortest time possible.
- If you do not know the clear-text value, then you can use the encrypted value when configuring the new Directory Proxy Server. The encryption scheme allows reversible passwords that are stored in the server configuration so that they can be decrypted by any server instance.
- You can create a new root user in the directory server instances with the appropriate set of privileges and have the new proxy server instance use that account to authenticate. Since it is not a good idea to have an account for which you do not know the password, you may want to update all of the other proxy server instances to use the new account.
- You can use a protocol analyzer like `snoop` or `Wireshark`, to capture the password from the network communication.

### Providing Information for Support Cases

If a problem arises that you are unable to fully diagnose and correct on your own, then contact your authorized support provider for assistance. To ensure that the problem can be addressed as quickly as possible, be sure to provide all of the information that the support personnel may need to fully understand the underlying cause by running the `collect-support-data` tool, and then sending the generated zip file to your authorized support provider. It is good practice to run this tool and send the ZIP file to your authorized support provider before any corrective action has taken place.

## Managing the SCIM Servlet Extension

---

The PingDirectoryProxy Server provides a System for Cross-domain Identity Management (SCIM) servlet extension to facilitate moving users to, from, and between cloud-based Software-as-a-Service (SaaS) applications in a secure, fast, and simple way. SCIM is an alternative to LDAP, allowing identity data provisioning between cloud-based applications over HTTPS.

This section describes fundamental SCIM concepts and provides information on configuring SCIM on your server.

## Overview of SCIM Fundamentals

Understanding the basic concepts of SCIM can help you use the SCIM extension to meet your deployment needs. SCIM allows you to:

- **Provision identities.** Through the API, you have access to the basic create, read, update, and delete functions, as well as other special functions.
- **Provision groups.** SCIM also allows you to manage groups.
- **Interoperate using a common schema.** SCIM provides a well-defined, platform-neutral user and group schema, as well as a simple mechanism to extend it.

The SCIM extension implements the 1.1 version of the SCIM specification. Familiarize yourself with this specification to help you understand and make efficient use of the SCIM extension and the SCIM SDK. The SCIM specifications are located on the Simplecloud website.

**Note:** SCIM will be deprecated in a future release and replaced with the Directory API.

## Summary of SCIM Protocol Support

PingDirectoryProxy Server supports all required features of the SCIM protocol and most optional features. The following table describes SCIM features and whether they are supported.

**Table 12: SCIM Protocol Support**

| SCIM Feature                        | Supported                                                     |
|-------------------------------------|---------------------------------------------------------------|
| Etags                               | Yes                                                           |
| JSON                                | Yes                                                           |
| XML*                                | Yes                                                           |
| Authentication/Authorization        | Yes, via HTTP basic authentication or OAuth 2.0 bearer tokens |
| Service Provider Configuration      | Yes                                                           |
| Schema                              | Yes                                                           |
| User resources                      | Yes                                                           |
| Group resources                     | Yes                                                           |
| User-defined resources              | Yes                                                           |
| Resource retrieval via GET          | Yes                                                           |
| List/query resources                | Yes                                                           |
| Query filtering*                    | Yes                                                           |
| Query result sorting*               | Yes                                                           |
| Query result pagination*            | Yes (Directory Server, not Directory Proxy Server)            |
| Resource updates via PUT            | Yes                                                           |
| Partial resource updates via PATCH* | Yes                                                           |
| Resource deletes via DELETE         | Yes                                                           |
| Resource versioning*                | Yes (requires configuration for updated servers)              |

| SCIM Feature            | Supported |
|-------------------------|-----------|
| Bulk*                   | Yes       |
| HTTP method overloading | Yes       |
| Raw LDAP Endpoints**    | Yes       |

\* denotes an optional feature of the SCIM protocol.

\*\* denotes a PingDirectoryProxy Server extension to the basic SCIM functionality.

## About the Identity Access API

The PingDirectory Server, PingDirectoryProxy Server, and PingDataSync Server support an extension to the SCIM standard called the Identity Access API. The Identity Access API provides an alternative to LDAP by supporting CRUD (create, read, update, and delete) operations to access directory server data over an HTTP connection.

SCIM and the Identity Access API are provided as a unified service through the SCIM HTTP Servlet Extension. The SCIM HTTP Servlet Extension can be configured to only enable core SCIM resources (e.g., 'Users' and 'Groups'), only LDAP object classes (e.g., `top`, `domain`, `inetOrgPerson`, or `groupOfUniqueNames`), or both. Because SCIM and the Identity Access API have different schemas, if both are enabled, there may be two representations with different schemas for any resources defined in the `scim-resources.xml` file: the SCIM representation and the raw LDAP representation. Likewise, because resources are exposed by an LDAP object class, and because these are hierarchical (e.g., `top` --> `person` --> `organizationalPerson` --> `inetOrgPerson`, etc.), a client application can access an entry in multiple ways due to the different paths/URIs to a given resource.

This chapter provides information on configuring the SCIM and the Identity Access API services on the PingDirectory Server.

## Creating Your Own SCIM Application

---

The System for Cross-domain Identity Management (SCIM) is an open initiative designed to make moving identity data to, from, and between clouds standard, secure, fast, and easy. The SCIM SDK is a pre-packaged collection of libraries and extensible classes that provides developers with a simple, concrete API to interact with a SCIM service provider.

The SCIM SDK is available for download at <https://github.com/pingidentity/scim>.

**Note:** The value of a read-only SCIM attribute can be set by a POST operation if the SCIM attribute is a custom attribute in the `scim-resource.xml` config file, but not if the SCIM attribute is a core SCIM attribute.

## Configuring SCIM

---

This section discusses details about the PingDirectoryProxy Server implementation of the SCIM protocol. Before reading this chapter, familiarize yourself with the SCIM Protocol specification, available on the Simplecloud website.

### Before You Begin

To set up your SCIM servlet extension, the Directory Proxy Server provides a `dsconfig` batch file, `scim-config-ds.dsconfig`, that contains the necessary commands to set up a SCIM extension, which is located in the `config` directory. The batch file assumes that the JKS key and trust manager providers are already enabled. Setup examples are presented in later sections.

The SCIM resource mappings are defined by the `scim-resources.xml` file located in the `config` directory. This file defines the SCIM schema and maps it to the LDAP schema. This file can be customized to define and expose deployment specific resources. See [Managing the SCIM Schema](#) for more information.

## Configuring the SCIM Servlet Extension

The Directory Proxy Server provides a default SCIM HTTP Servlet Extension that can be enabled and configured using a `dsconfig` batch script located in the `config` directory. The script runs a series of commands that enables an HTTPS Connection Handler, increases the level of detail logged by the HTTP Detailed Access log publisher, and adds access controls to allow access to LDAP controls used by the SCIM Servlet Extension. There are additional optional configurations (e.g., changing the log format, enable `entryDN` virtual attribute and using VLV indexes) that you can make by altering the `dsconfig` batch script.

The SCIM resource mappings are defined by the `scim-resources.xml` file located in the `config` directory. This file defines the SCIM schema and maps it to the LDAP schema. This file can be customized to define and expose deployment specific resources. See [Managing the SCIM Schema](#) for more information.

The following procedures show how to configure SCIM on the server. The first example procedure shows the steps to manually configure SCIM without using the script. The second example procedure uses the `dsconfig` batch script to configure SCIM.

### To Configure the SCIM Servlet Extension

#### Steps

1. Before you enable the SCIM servlet extension, add access controls on each of the backend Directory Servers to allow read access to operational attributes used by the SCIM Servlet Extension. We recommend using the following non-interactive command to add access control instructions, rather than its `dsconfig` interactive equivalent.

```
$ bin/dsconfig set-access-control-handler-prop \
 --add 'global-aci:(targetattr="entryUUID || entryDN || ds-entry-unique-id
 ||
 createTimestamp || modifyTimestamp")
 (version 3.0;acl "Authenticated read access to operational attributes \
 used by the SCIM servlet extension"; allow (read,search,compare)
 userdn="ldap:///all";)'
```

2. On the Directory Proxy Server, enable the SCIM servlet extension by running the `dsconfig` batch file.

```
$ bin/dsconfig --batch-file config/scim-config-proxy.dsconfig
```

3. The `dsconfig` batch file must be edited to use the correct request processor name and base DN name(s) for the `set-request-processor-prop` and `set-root-dse-backend-prop` commands, respectively, as described in the "Configuring LDAP Control Support on All Request Processors" and "SCIM Servlet Extension Authentication" sections later in the chapter.

### To Enable Resource Versioning

#### About this task

Resource versioning is enabled by default in new installations. Upgraded servers that had SCIM enabled need additional configuration to enable resource versioning.

#### Steps

1. Enable the `ds-entry-checksum` virtual attribute.

```
$ bin/dsconfig set-virtual-attribute-prop \
 --name ds-entry-checksum \
 --set enabled:true
```

2. Remove any existing access controls required by SCIM for read access to operational attributes:

```
$ bin/dsconfig set-access-control-handler-prop \
 --remove 'global-aci:(targetattr="entryUUID ||
entryDN || ds-entry-unique-id || createTimestamp || ds-create-time ||
modifyTimestamp || ds-update-time")(version 3.0;acl "Authenticated read
access to operational attributes used by the SCIM servlet extension"; allow
(read,search,compare) userdn="ldap:///all"'
```

3. On the backend Directory Server, make sure new access controls required by SCIM for read access to operational attributes are enabled with the following command. If this ACI is not present, issues will occur when a SCIM client tries to authenticate with a non-root DN.

```
$ bin/dsconfig set-access-control-handler-prop \
 --add 'global-aci:(targetattr="entryUUID ||
entryDN || ds-entry-unique-id || createTimestamp || ds-create-time ||
modifyTimestamp || ds-update-time || ds-entry-checksum")(version 3.0;acl
"Authenticated read access to operational attributes used by the SCIM
servlet extension"; allow (read,search,compare) userdn="ldap:///all"'
```

## Configuring LDAP Control Support on All Request Processors (Proxy Only)

You need to configure support for the required LDAP controls on all request processors handling LDAP requests that result from SCIM requests. Change the request processor name that was provided as an example and repeat the command for all additional request processors.

### To Configure LDAP Control Support on All Request Processors

#### Steps

- Use `dsconfig` to change the request processor name that was provided as an example and repeat the command for all additional request processors. Make sure to use your deployment's request processor name.

```
$ bin/dsconfig set-request-processor-prop \
 --processor-name dc_example_dc_com-req-processor \
 --add supported-control-oid:1.2.840.113556.1.4.319 \
 --add supported-control-oid:1.2.840.113556.1.4.473 \
 --add supported-control-oid:2.16.840.1.113730.3.4.9
```

## SCIM Servlet Extension Authentication

The SCIM servlet supports authentication using either the HTTP Basic authentication scheme, or OAuth 2.0 bearer tokens. When authenticating using HTTP Basic authentication, the SCIM servlet attempts to correlate the user name component of the Authorization header to a DN in the Directory Proxy Server. If the user name value cannot be parsed directly as a DN, it is correlated to a DN using an Identity Mapper. The DN is then used in a simple bind request to verify the password.

In deployments that use an OAuth authorization server, the SCIM extension can be configured to authenticate requests using OAuth bearer tokens. The SCIM extension supports authentication with OAuth 2.0 bearer tokens (per RFC 6750) using an OAuth Token Handler Server SDK Extension. Because the OAuth 2.0 specification does not specify how contents of a bearer token are formatted, PingDirectoryProxy Server provides the token handler API to decode incoming bearer tokens and extract or correlate associated authorization DNs.

Neither HTTP Basic authentication nor OAuth 2.0 bearer token authentication are secure unless SSL is used to encrypt the HTTP traffic.

## Enabling HTTPS Communications

If you want the SCIM HTTP connection handler to use SSL, which is mandated by the SCIM specification, you need to enable a Key Manager provider and Trust Manager provider.

To enable SSL during the Directory Proxy Server's initial setup, include the `--ldapsPort` and the `--generateSelfSignedCertificate` arguments with the `setup` command. If your server already has a certificate that you would like to use, set the `key-manager-provider` to the value you set when you enabled SSL in the Directory Proxy Server, or define a new key manager provider (see [Configuring HTTP Connection Handlers](#)).

## To Configure Basic Authentication Using an Identity Mapper

### About this task

By default, the SCIM servlet is configured to use the Exact Match Identity Mapper, which matches against the `uid` attribute. In this example, an alternate Identity Mapper is created so that clients can authenticate using `cn` values.

### Steps

1. Create a new Identity Mapper that uses a match attribute of `cn`.

```
$ bin/dsconfig create-identity-mapper \
 --mapper-name "CN Identity Mapper" \
 --type exact-match \
 --set enabled:true \
 --set match-attribute:cn
```

2. Configure the SCIM servlet to use the new Identity Mapper.

```
$ bin/dsconfig set-http-servlet-extension-prop \
 --extension-name SCIM \
 --set "identity-mapper:CN Identity Mapper"
```

## To Enable OAuth Authentication

### About this task

To enable OAuth authentication, you need to create an implementation of the `OAuthTokenHandler` using the API provided in the Server SDK. For details on creating an `OAuthTokenHandler` extension, see the [Server SDK documentation](#).

### Steps

1. Install your OAuth token handler on the server using `dsconfig`.

```
$ bin/dsconfig create-oauth-token-handler \
 --handler-name ExampleOAuthTokenHandler \
 --type third-party \
 --set extension-
class:com.unboundid.directory.sdk.examples.ExampleOAuthTokenHandler
```

2. Configure the SCIM servlet extension to use it as follows:

```
$ bin/dsconfig set-http-servlet-extension-prop \
 --extension-name SCIM \
 --set oauth-token-handler:ExampleOAuthTokenHandler
```

## Using HTTP Basic Authentication with Bare UID on the Directory Proxy Server

As discussed above, clients can authenticate to the SCIM extension using HTTP basic authentication and a bare UID value. However, when a SCIM extension is hosted by a Directory Proxy Server, the server needs to be explicitly configured with the names of subordinate base DNs to search. To do this, run the following command on the Directory Proxy Server for every base DN that may be accessed via SCIM. Make sure to specify your deployment's subordinate base DN.

```
$ bin/dsconfig set-root-dse-backend-prop \
 --set subordinate-base-dn:dc=example,dc=com
```

## Verifying the SCIM Servlet Extension Configuration

You can verify the configuration of the SCIM extension by navigating to a SCIM resource URL via the command line or through a browser window.

### To Verify the SCIM Servlet Extension Configuration

#### About this task

You can verify the configuration of the SCIM extension by navigating to a SCIM resource URL via the command line or through a browser window.

#### Steps

- Run `curl` to verify that the SCIM extension is running. The `-k` (or `--insecure`) option is used to turn off `curl`'s verification of the server certificate, since the example Directory Proxy Server is using a self-signed certificate.

```
$ curl -u "cn=Directory Manager:password" \
-k "https://localhost:8443/scim/ServiceProviderConfigs"

{"schemas":["urn:scim:schemas:core:1.0"],"id":"urn:scim:schemas:core:1.0",
"patch":{"supported":true},"bulk":{"supported":true,"maxOperations":10000,
"maxPayloadSize":10485760},"filter":{"supported":true,"maxResults":100},
"changePassword":{"supported":true},"sort":{"supported":true},
"etag":{"supported":false},"authenticationSchemes":[{"name":"HttpBasic",
"description":"The HTTP Basic Access Authentication scheme. This scheme is
not considered to be a secure method of user authentication (unless used in
conjunction with some external secure system such as SSL), as the user
name and password are passed over the network as cleartext.","specUrl":
"http://www.ietf.org/rfc/rfc2617","documentationUrl":
"http://en.wikipedia.org/wiki/Basic_access_authentication"}]}
```

- If the user ID is a valid DN (such as `cn=Directory Manager`), the SCIM extension authenticates by binding to the Directory Proxy Server as that user. If the user ID is not a valid DN, the SCIM extension searches for an entry with that `uid` value, and binds to the server as that user. To verify authentication to the server as the user with the `uid` of `user.0`, run the following command:

```
$ curl -u "user.0:password" \
-k "https://localhost:8443/scim/ServiceProviderConfigs"
```

## Configuring Advanced SCIM Extension Features

The following sections show how to configure advanced SCIM servlet extension features, such as bulk operation implementation, mapping SCIM resource IDs, and transformations.

## Managing the SCIM Schema

This section describes the SCIM schema and provides information on how to map LDAP schema to the SCIM resource schema.

### About SCIM Schema

SCIM provides a common user schema and extension model, making it easier to interoperate with multiple Service Providers. The core SCIM schema defines a concrete schema for user and group resources that encompasses common attributes found in many existing schemas.

Each attribute is defined as either a single attribute, allowing only one instance per resource, or a multi-valued attribute, in which case several instances may be present for each resource. Attributes may be defined as simple, name-value pairs or as complex structures that define sub-attributes.

While the SCIM schema follows an object extension model similar to object classes in LDAP, it does not have an inheritance model. Instead, all extensions are additive, similar to LDAP Auxiliary Object Classes.

### Mapping LDAP Schema to SCIM Resource Schema

The resources configuration file is an XML file that is used to define the SCIM resource schema and its mapping to LDAP schema. The default configuration of the `scim-resources.xml` file provides definitions for the standard SCIM Users and Groups resources, and mappings to the standard LDAP `inetOrgPerson` and `groupOfUniqueNames` object classes.

The default configuration may be customized by adding extension attributes to the Users and Groups resources, or by adding new extension resources. The resources file is composed of a single `<resources>` element, containing one or more `<resource>` elements.

For any given SCIM resource endpoint, only one `<LDAPAdd>` template can be defined, and only one `<LDAPSearch>` element can be referenced. If entries of the same object class can be located under different subtrees or base DN's of the Directory Proxy Server, then a distinct SCIM resource must be defined for each unique entry location in the Directory Information Tree. This can be implemented in many ways. For example:

- Create multiple SCIM servlets, each with a unique `scim-resources.xml` configuration, and each running under a unique HTTP connection handler.
- Create multiple SCIM servlets, each with a unique `scim-resources.xml` configuration, each running under a single, shared HTTP connection handler, but each with a unique context path.

Note that LDAP attributes are allowed to contain characters that are invalid in XML (because not all valid UTF-8 characters are valid XML characters). The easiest and most-correct way to handle this is to make sure that any attributes that may contain binary data are declared using `"dataType=binary"` in the `scim-resources.xml` file. Likewise, when using the Identity Access API make sure that the underlying LDAP schema uses the Binary or Octet String attribute syntax for attributes which may contain binary data. This will cause the server to automatically base64-encode the data before returning it to clients and will also make it predictable for clients because they can assume the data will always be base64-encoded.

However, it is still possible that attributes that are not declared as binary in the schema may contain binary data (or just data that is invalid in XML), and the server will always check for this before returning them to the client. If the client has set the content-type to XML, then the server may choose to base64-encode any values which are found to include invalid XML characters. When this is done, a special attribute is added to the XML element to alert the client that the value is base64-encoded. For example:

```
<scim:value base64Encoded="true">AAABPB0EBZc=</scim:value>
```

The remainder of this section describes the mapping elements available in the `scim-resources.xml` file.

### About the `<resource>` Element

A `resource` element has the following XML attributes:

- `schema`: a required attribute specifying the SCIM schema URN for the resource. Standard SCIM resources already have URNs assigned for them, such as `urn:scim:schemas:core:1.0`. A new URN must be obtained for custom resources using any of the standard URN assignment methods.
- `name`: a required attribute specifying the name of the resource used to access it through the SCIM REST API.
- `mapping`: a custom Java class that provides the logic for the resource mapper. This class must extend the `com.unboundid.scim.ldap.ResourceMapper` class.

A resource element contains the following XML elements in sequence:

- `description`: a required element describing the resource.
- `endpoint`: a required element specifying the endpoint to access the resource using the SCIM REST API.
- `LDAPSearchRef`: a mandatory element that points to an `LDAPSearch` element. The `LDAPSearch` element allows a SCIM query for the resource to be handled by an LDAP service and also specifies how the SCIM resource ID is mapped to the LDAP server.
- `LDAPAdd`: an optional element specifying information to allow a new SCIM resource to be added through an LDAP service. If the element is not provided then new resources cannot be created through the SCIM service.
- `attribute`: one or more elements specifying the SCIM attributes for the resource.

### About the `<attribute>` Element

An `attribute` element has the following XML attributes:

- `schema`: a required attribute specifying the schema URN for the SCIM attribute. If omitted, the schema URN is assumed to be the same as that of the enclosing resource, so this only needs to be provided for SCIM extension attributes. Standard SCIM attributes already have URNs assigned for them, such as `urn:scim:schemas:core:1.0`. A new URN must be obtained for custom SCIM attributes using any of the standard URN assignment methods.
- `name`: a required attribute specifying the name of the SCIM attribute.
- `readOnly`: an optional attribute indicating whether the SCIM sub-attribute is not allowed to be updated by the SCIM service consumer. The default value is `false`.
- `required`: an optional attribute indicating whether the SCIM attribute is required to be present in the resource. The default value is `false`.

An attribute element contains the following XML elements in sequence:

- `description`: a required element describing the attribute. Then just one of the following elements:
  - `simple`: specifies a simple, singular SCIM attribute.
  - `complex`: specifies a complex, singular SCIM attribute.
  - `simpleMultiValued`: specifies a simple, multi-valued SCIM attribute.
  - `complexMultiValued`: specifies a complex, multi-valued SCIM attribute.

### About the `<simple>` Element

A `simple` element has the following XML attributes:

- `dataType`: a required attribute specifying the simple data type for the SCIM attribute. The following values are permitted: `binary`, `boolean`, `dateTime`, `decimal`, `integer`, `string`.
- `caseExact`: an optional attribute that is only applicable for string data types. It indicates whether comparisons between two string values use a case-exact match or a case-ignore match. The default value is `false`.

A `simple` element contains the following XML element:

- `mapping`: an optional element specifying a mapping between the SCIM attribute and an LDAP attribute. If this element is omitted, then the SCIM attribute has no mapping and the SCIM service ignores any values provided for the SCIM attribute.

### About the <complex> Element

The `complex` element does not have any XML attributes. It contains the following XML element:

- `subAttribute`: one or more elements specifying the sub-attributes of the complex SCIM attribute, and an optional mapping to LDAP. The standard `type`, `primary`, and `display` sub-attributes do not need to be specified.

### About the <simpleMultiValued> Element

A `simpleMultiValued` element has the following XML attributes:

- `childName`: a required attribute specifying the name of the tag that is used to encode values of the SCIM attribute in XML in the REST API protocol. For example, the tag for the standard emails SCIM attribute is `email`.
- `dataType`: a required attribute specifying the simple data type for the plural SCIM attribute (i.e. the data type for the value sub-attribute). The following values are permitted: `binary`, `boolean`, `dateTime`, `integer`, `string`.
- `caseExact`: an optional attribute that is only applicable for string data types. It indicates whether comparisons between two string values use a case-exact match or a case-ignore match. The default value is `false`.

A `simpleMultiValued` element contains the following XML elements in sequence:

- `canonicalValue`: specifies the values of the type sub-attribute that is used to label each individual value, and an optional mapping to LDAP.
- `mapping`: an optional element specifying a default mapping between the SCIM attribute and an LDAP attribute.

### About the <complexMultiValued> Element

A `complexMultiValued` element has the following XML attribute:

- `tag`: a required attribute specifying the name of the tag that is used to encode values of the SCIM attribute in XML in the REST API protocol. For example, the tag for the standard addresses SCIM attribute is `address`.

A `complexMultiValued` element contains the following XML elements in sequence:

- `subAttribute`: one or more elements specifying the sub-attributes of the complex SCIM attribute. The standard `type`, `primary`, and `display` sub-attributes do not need to be specified.
- `canonicalValue`: specifies the values of the type sub-attribute that is used to label each individual value, and an optional mapping to LDAP.

### About the <subAttribute> Element

A `subAttribute` element has the following XML attributes:

- `name`: a required element specifying the name of the sub-attribute.
- `readOnly`: an optional attribute indicating whether the SCIM sub-attribute is not allowed to be updated by the SCIM service consumer. The default value is `false`.
- `required`: an optional attribute indicating whether the SCIM sub-attribute is required to be present in the SCIM attribute. The default value is `false`.
- `dataType`: a required attribute specifying the simple data type for the SCIM sub-attribute. The following values are permitted: `binary`, `boolean`, `dateTime`, `integer`, `string`.
- `caseExact`: an optional attribute that is only applicable for string data types. It indicates whether comparisons between two string values use a case-exact match or a case-ignore match. The default value is `false`.

A `subAttribute` element contains the following XML elements in sequence:

- `description`: a required element describing the sub-attribute.

- `mapping`: an optional element specifying a mapping between the SCIM sub-attribute and an LDAP attribute. This element is not applicable within the `complexMultiValued` element.

### About the `<canonicalValue>` Element

A `canonicalValue` element has the following XML attribute:

- `name`: specifies the value of the type sub-attribute. For example, `work` is the value for emails, phone numbers and addresses intended for business purposes.

A `canonicalValue` element contains the following XML element:

- `subMapping`: an optional element specifying mappings for one or more of the sub-attributes. Any sub-attributes that have no mappings will be ignored by the mapping service.

### About the `<mapping>` Element

A `mapping` element has the following XML attributes:

- `ldapAttribute`: A required element specifying the name of the LDAP attribute to which the SCIM attribute or sub-attribute map.
- `transform`: An optional element specifying a transformation to apply when mapping an attribute value from SCIM to LDAP and vice-versa. The available transformations are described in the [Mapping LDAP Entries to SCIM Using the SCIM-LDAP API](#) section.

### About the `<subMapping>` Element

A `subMapping` element has the following XML attributes:

- `name`: a required element specifying the name of the sub-attribute that is mapped.
- `ldapAttribute`: a required element specifying the name of the LDAP attribute to which the SCIM sub-attribute maps.
- `transform`: an optional element specifying a transformation to apply when mapping an attribute value from SCIM to LDAP and vice-versa. The available transformations are described later. The available transformations are described in [Mapping LDAP Entries to SCIM Using the SCIM-LDAP API](#).

### About the `<LDAPSearch>` Element

An `LDAPSearch` element contains the following XML elements in sequence:

- `baseDN`: a required element specifying one or more LDAP search base DN's to be used when querying for the SCIM resource.
- `filter`: a required element specifying an LDAP filter that matches entries representing the SCIM resource. This filter is typically an equality filter on the LDAP object class.
- `resourceIDMapping`: an optional element specifying a mapping from the SCIM resource ID to an LDAP attribute. When the element is omitted, the resource ID maps to the LDAP entry DN. Note The `LDAPSearch` element can be added as a top-level element outside of any `<Resource>` elements, and then referenced within them via an ID attribute.

**Note:** The `LDAPSearch` element can be added as a top-level element outside of any `<Resource>` elements, and then referenced within them via an ID attribute.

### About the `<resourceIDMapping>` Element

The `resourceIDMapping` element has the following XML attributes:

- `ldapAttribute`: a required element specifying the name of the LDAP attribute to which the SCIM resource ID maps.
- `createdBy`: a required element specifying the source of the resource ID value when a new resource is created by the SCIM consumer using a POST operation. Allowable values for this element include `scim-consumer`, meaning that a value must be present in the initial resource content provided by the SCIM consumer, or `Directory Proxy Server`, meaning that a value is automatically provided by the Directory Proxy Server (as would be the case if the mapped LDAP attribute is `entryUUID`).

The following example illustrates an `LDAPSearch` element that contains a `resourceIDMapping` element:

```
<LDAPSearch id="userSearchParams">
 <baseDN>ou=people,dc=example,dc=com</baseDN>
 <filter>(objectClass=inetOrgPerson)</filter>
 <resourceIDMapping ldapAttribute="entryUUID" createdBy="directory"/>
</LDAPSearch>
```

### About the <LDAPAdd> Element

An LDAPAdd element contains the following XML elements in sequence:

- `DNTemplate`: a required element specifying a template that is used to construct the DN of an entry representing a SCIM resource when it is created. The template may reference values of the entry after it has been mapped using `{ldapAttr}`, where `ldapAttr` is the name of an LDAP attribute.
- `fixedAttribute`: zero or more elements specifying fixed LDAP values to be inserted into the entry after it has been mapped from the SCIM resource.

### About the <fixedAttribute> Element

A `fixedAttribute` element has the following XML attributes:

- `ldapAttribute`: a required attribute specifying the name of the LDAP attribute for the fixed values.
- `onConflict`: an optional attribute specifying the behavior when the LDAP entry already contains the specified LDAP attribute. The value `merge` indicates that the fixed values should be merged with the existing values. The value `overwrite` indicates that the existing values are to be overwritten by the fixed values. The value `preserve` indicates that no changes should be made. The default value is `merge`.

A `fixedAttribute` element contains one or more `fixedValue` XML element, which specify the fixed LDAP values.

### Validating Updated SCIM Schema

The PingDirectoryProxy Server SCIM extension is bundled with an XML Schema document, `resources.xsd`, which describes the structure of a `scim-resources.xml` resource configuration file. After updating the resource configuration file, you should confirm that its contents are well-formed and valid using a tool such as `xmllint`.

For example, you could validate your updated file as follows:

```
$ xmllint --noout --schema resources.xsd scim-resources.xml
scim-resources.xml validates
```

## Mapping SCIM Resource IDs

The default `scim-resources.xml` configuration maps the SCIM resource ID to the LDAP `entryUUID` attribute. The `entryUUID` attribute, whose read-only value is assigned by the Directory Proxy Server, meets the requirements of the SCIM specification regarding resource ID immutability. However, configuring a mapping to the attribute may result in inefficient group processing, since LDAP groups use the entry DN as the basis of group membership. The resource configuration allows the SCIM resource ID to be mapped to the LDAP entry DN. However, the entry DN does not meet the requirements of the SCIM specification regarding resource ID immutability. LDAP permits entries to be renamed or moved, thus modifying the DN. Likewise, you can use the Identity Access API to change the value of an entry's RDN attribute, thereby triggering a MODDN operation.

A resource may also be configured such that its SCIM resource ID is provided by an arbitrary attribute in the request body during POST operations. This SCIM attribute must be mapped to an LDAP attribute so that the SCIM resource ID may be stored in the Directory Proxy Server. By default, it is the responsibility of the SCIM client to guarantee ID uniqueness. However, the UID Unique Attribute Plugin may be used by the Directory Proxy Server to enforce attribute value uniqueness. For information about the UID Unique Attribute Plugin, see "Working with the UID Unique Attribute plugin" in the *PingDirectory Server Administration Guide*.

**Note:** Resource IDs may not be mapped to virtual attributes. For more information about configuring SCIM Resource IDs, see "About the <resourceIDMapping> Element".

## Using Pre-defined Transformations

Transformations are required to change SCIM data types to LDAP syntax values. The following pre-defined transformations may be referenced by the transform XML attribute:

- `com.unboundid.scim.ldap.BooleanTransformation`. Transforms SCIM boolean data type values to LDAP Boolean syntax values and vice-versa.
- `com.unboundid.scim.ldap.GeneralizedTimeTransformation`. Transforms SCIM dateTime data type values to LDAP Generalized Time syntax values and vice-versa.
- `com.unboundid.scim.ldap.PostalAddressTransformation`. Transforms SCIM formatted address values to LDAP Postal Address syntax values and vice-versa. SCIM formatted physical mailing addresses are represented as strings with embedded new lines, whereas LDAP uses the \$ character to separate address lines. This transformation interprets new lines in SCIM values as address line separators.
- `com.unboundid.scim.ldap.TelephoneNumberTransformation`. Transforms LDAP Telephone Number syntax (E.123) to RFC3966 format and vice-versa.

You can also write your own transformations using the SCIM API described in the following section.

## Mapping LDAP Entries to SCIM Using the SCIM-LDAP API

In addition to the SCIM SDK, PingDirectoryProxy Server provides a library called SCIM-LDAP, which provides facilities for writing custom transformations and more advanced mapping.

You can add the SCIM-LDAP library to your project using the following dependency:

```
<dependency>
 <groupId>com.unboundid.product.scim</groupId>
 <artifactId>scim-ldap</artifactId>
 <version>1.5.0</version>
</dependency>
```

Create your custom transformation by extending the `com.unboundid.scim.ldap.Transformation` class. Place your custom transformation class in a jar file in the server's `lib` directory.

**Note:** The Identity Access API automatically maps LDAP attribute syntaxes to the appropriate SCIM attribute types. For example, an LDAP `DirectoryString` is automatically mapped to a SCIM string.

## SCIM Authentication

SCIM requests to the LDAP endpoints will support HTTP Basic Authentication and OAuth2 Authentication using a bearer token. There is existing support for this feature in the Directory Server and the Directory Proxy Server using the `OAuthTokenHandler` API (i.e., via a Server SDK extension, which requires some technical work to implement).

Note that our implementation only supports the HTTP Authorization header for this purpose; we do not support the form-encoded body parameter or URI query parameter mechanisms for specifying the credentials or bearer token.

## SCIM Logging

The Directory Proxy Server already provides a detailed HTTP log publisher to capture the SCIM and HTTP request details. To be able to correlate this data to the internal LDAP operations that are invoked behind the scenes, the Access Log Publisher will use `origin=scim` in access log messages that are generated by the SCIM servlet.

For example, you will see a message for operations invoked by replication:

```
[30/Oct/2012:18:45:10.490 -0500] MODIFY REQUEST conn=-3 op=190 msgID=191
origin="replication" dn="uid=user.3,ou=people,dc=example,dc=com"
```

Likewise for SCIM messages, you will see a message like this:

```
[30/Oct/2012:18:45:10.490 -0500] MODFIY REQUEST conn=-3 op=190 msgID=191
origin="scim" dn="uid=user.3,ou=people,dc=example,dc=com"
```

## SCIM Monitoring

There are two facilities that can be used to monitor the SCIM activity in the server.

- **HTTPConnectionHandlerStatisticsMonitorProvider** -- Provides statistics straight about total and average active connections, requests per connection, connection duration, processing time, invocation count, etc.
- **SCIMServletMonitorProvider** -- Provides high level statistics about request methods (POST, PUT, GET, etc.), content types (JSON, XML), and response codes, for example, "user-patch-404:26".

The LDAP object class endpoints are treated as their own resource types, so that for requests using the Identity Access API, there will be statistics, such as `person-get-200` and `inetorgperson-post-401`.

## Configuring the Identity Access API

Once you have run the `<server-root>/config/scim-config-ds.dsconfig` script, the resources defined in the `scim-resources.xml` will be available as well as the Identity Access API. However, to allow SCIM access to the raw LDAP data, you must set a combination of configuration properties on the SCIM Servlet Extension using the `dsconfig` tool.

- **include-ldap-objectclass**. Specifies a multi-valued property that lists the object classes for entries that will be exposed. The object class used here will be the one that clients need to use when referencing Identity Access API resources. This property allows the special value "\*" to allow all object classes. If "\*" is used, then the SCIM servlet uses the same case used in the Directory Proxy Server LDAP Schema.
- **exclude-ldap-objectclass**. Specifies a multi-valued property that lists the object classes for entries that will not be exposed. When this property is specified, all object classes will be exposed except those in this list.
- **include-ldap-base-dn**. Specifies a multi-valued property that lists the base DN's that will be exposed. If specified, only entries under these base DN's will be accessible. No parent-child relationships in the DN's are allowed here.
- **exclude-ldap-base-dn**. Specifies a multi-valued property that lists the base DN's that will not be exposed. If specified, entries under these base DN's will not be accessible. No parent-child relationships in the DN's are allowed here.

Using a combination of these properties, SCIM endpoints will be available for all included object classes, just as if they were SCIM Resources defined in the `scim-resources.xml` file.

## To Configure the Identity Access API

### Steps

1. Ensure that you have run the `scim-config-ds.dsconfig` script to configure the SCIM interface. Be sure to enable the `entryDN` virtual attribute. See the [Configure SCIM](#) section for more information.
2. Set a combination of properties to allow the SCIM clients access to the raw LDAP data: `include-ldap-objectclass`, `exclude-ldap-objectclass`, `include-ldap-base-dn`, or `exclude-ldap-base-dn`.

```
$ bin/dsconfig set-http-servlet-extension-prop \
 --extension-name SCIM --set 'include-ldap-objectclass:*' \
 --set include-ldap-base-dn:ou=People,dc=example,dc=com
```

The SCIM clients now have access to the raw LDAP data via LDAP object class-based resources as well as core SCIM resources as defined in the `scim.resource.xml` file.

## To Disable Core SCIM Resources

### Steps

1. Open the `config/scim-resources.xml` file, and comment out or remove the `<resource>` elements that you would like to disable.
2. Disable and re-enable the HTTP Connection Handler, or restart the server to make the changes take effect. In general, changing the `scim-resources.xml` file requires a HTTP Connection Handler restart or server restart.

**Note:** When making other changes to the SCIM configuration by modifying the SCIM HTTP Servlet Extension using `dsconfig`, the changes take effect immediately without any restart required.

## To Verify the Identity Access API Configuration

### Steps

- Perform a curl request to verify the Identity Access API configuration.

```
$ curl -k -u "cn=directory manager:password" \
-H "Accept: application/json" \
"https://example.com/top/56c9fd6b-f870-35ef-9959-691c783b7318?
attributes=entryDN,uid,givenName,sn,entryUUID"
{"schemas":
["urn:scim:schemas:core:1.0", "urn:unboundid:schemas:scim:ldap:1.0"],
"id": "56c9fd6b-f870-35ef-9959-691c783b7318",
"meta": {"lastModified": "2013-01-11T23:38:26.489Z",
"location": "https://example.com:443/v1/top/56c9fd6b-
f870-35ef-9959-691c783b7318"},
"urn:unboundid:schemas:scim:ldap:1.0": {"givenName": ["Rufus"], "uid":
["user.1"],
"sn": ["Firefly"], "entryUUID": ["56c9fd6b-f870-35ef-9959-691c783b7318"],
"entrydn": "uid=user.1,ou=people,dc=example,dc=com"}}
```

## Monitoring the SCIM Servlet Extension

The SCIM SDK provides a command-line tool, `scim-query-rate`, that measures the SCIM query performance for your extension. The SCIM extension also exposes monitoring information for each SCIM resource, such as the number of successful operations per request, the number of failed operations per request, the number of operations with XML or JSON to and from the client. Finally, the Directory Proxy Server automatically logs SCIM-initiated LDAP operations to the default File-based Access Logger. These operations will have an `origin='scim'` attribute to distinguish them from operations initiated by LDAP clients. You can also create custom logger or request criteria objects that can track incoming HTTP requests, which the SCIM extension rewrites as internal LDAP operations.

## Testing SCIM Query Performance

You can use the `scim-query-rate` tool, provided in the SCIM SDK, to test query performance, by performing repeated resource queries against the SCIM server.

The `scim-query-rate` tool performs searches using a query filter or can request resources by ID. For example, you can test performance by using a filter to query randomly across a set of one million users with eight concurrent threads. The user resources returned to the client in this example is in XML format and includes the `userName` and `name` attributes.

```
scim-query-rate --hostname server.example.com --port 80 \
--authID admin --authPassword password --xml \
--filter 'userName eq "user.[1-1000000]"' --attribute userName \
--attribute name --numThreads 8
```

You can request resources by specifying a resource ID pattern using the `--resourceID` argument as follows:

```
scim-query-rate --hostname server.example.com --port 443 \
--authID admin --authPassword password --useSSL --trustAll \
--resourceName User \
--resourceID 'uid=user.[1-150000],ou=people,dc=example,dc=com'
```

The `scim-query-rate` tool reports the error `"java.net.SocketException: Too many open files"` if the open file limit is too low. You can increase the open file limit to increase the number of file descriptors.

## Monitoring Resources Using the SCIM Extension

The monitor provider exposes the following information for each resource:

- Number of successful operations per request type (such as GET, PUT, and POST).
- Number of failed operations and their error codes per request type.
- Number of operations with XML or JSON from client.
- Number of operations that sent XML or JSON to client.

In addition to the information about the user-defined resources, monitoring information is also generated for the schema, service provider configuration, and monitor resources. The attributes of the monitor entry are formatted as follows:

```
{resource name}-resource-{request type}-{successful or error status code}
```

You can search for one of these monitor providers using an `ldapsearch` such as the following:

```
$ bin/ldapsearch --port 1389 bindDN uid=admin,dc=example,dc=com \
--bindPassword password --baseDN cn=monitor \
--searchScope sub "(objectclass=scim-servlet-monitor-entry)"
```

For example, the following monitor output was produced by a test environment with three distinct SCIM servlet instances, Aleph, Beth, and Gimel. Note that the first instance has a custom resource type called `host`.

```
$ bin/ldapsearch --baseDN cn=monitor \
'(objectclass=scim-servlet-monitor-entry)'
dn: cn=SCIM Servlet (SCIM HTTP Connection Handler),cn=monitor
objectClass: top
objectClass: ds-monitor-entry
objectClass: scim-servlet-monitor-entry
objectClass: extensibleObject
cn: SCIM Servlet (SCIM HTTPS Connection Handler) [from
ThirdPartyHTTPServletExtension:SCIM (Aleph)]
ds-extension-monitor-name: SCIM Servlet (SCIM HTTPS Connection Handler)
ds-extension-type: ThirdPartyHTTPServletExtension
ds-extension-name: SCIM (Aleph)
version: 1.2.0
build: 20120105174457Z
revision: 820
schema-resource-query-successful: 8
schema-resource-query-401: 8
schema-resource-query-response-json: 16
user-resource-delete-successful: 1
user-resource-put-content-xml: 27
user-resource-query-response-json: 3229836
```

```
user-resource-put-403: 5
user-resource-put-content-json: 2
user-resource-get-401: 1
user-resource-put-response-json: 23
user-resource-get-response-json: 5
user-resource-get-response-xml: 7
user-resource-put-400: 2
user-resource-query-401: 1141028
user-resource-post-content-json: 1
user-resource-put-successful: 22
user-resource-post-successful: 1
user-resource-delete-404: 1
user-resource-query-successful: 2088808
user-resource-get-successful: 10
user-resource-put-response-xml: 6
user-resource-get-404: 1
user-resource-delete-401: 1
user-resource-post-response-json: 1
host-resource-query-successful: 5773268
host-resource-query-response-json: 11576313
host-resource-query-400: 3
host-resource-query-response-xml: 5
host-resource-query-401: 5788152
dn: cn=SCIM Servlet (SCIM HTTP Connection Handler),cn=monitor
objectClass: top
objectClass: ds-monitor-entry
objectClass: scim-servlet-monitor-entry
objectClass: extensibleObject
cn: SCIM Servlet (SCIM HTTPS Connection Handler) [from
 ThirdPartyHTTPServletExtension:SCIM (Beth)]
ds-extension-monitor-name: SCIM Servlet (SCIM HTTPS Connection
 Handler)
ds-extension-type: ThirdPartyHTTPServletExtension
ds-extension-name: SCIM (Beth)
version: 1.2.0
build: 20120105174457Z
revision: 820
serviceproviderconfig-resource-get-successful: 3
serviceproviderconfig-resource-get-response-json: 2
serviceproviderconfig-resource-get-response-xml: 1
schema-resource-query-successful: 8
schema-resource-query-401: 8
schema-resource-query-response-json: 16
group-resource-query-successful: 245214
group-resource-query-response-json: 517841
group-resource-query-400: 13711
group-resource-query-401: 258916
user-resource-query-response-json: 107876
user-resource-query-400: 8288
user-resource-get-400: 33
user-resource-get-response-json: 1041
user-resource-get-successful: 2011
user-resource-query-successful: 45650
user-resource-get-response-xml: 1003
user-resource-query-401: 53938
dn: cn=SCIM Servlet (SCIM HTTP Connection Handler),cn=monitor
objectClass: top
objectClass: ds-monitor-entry
objectClass: scim-servlet-monitor-entry
objectClass: extensibleObject
cn: SCIM Servlet (SCIM HTTPS Connection Handler) [from
 ThirdPartyHTTPServletExtension:SCIM (Gimel)]
ds-extension-monitor-name: SCIM Servlet (SCIM HTTPS Connection
 Handler)
```

```

ds-extension-type: ThirdPartyHTTPServletExtension
ds-extension-name: SCIM (Gimel)
version: 1.2.0
build: 20120105174457Z
revision: 820
schema-resource-query-successful: 1
schema-resource-query-401: 1
schema-resource-query-response-json: 2
user-resource-query-successful: 65
user-resource-get-successful: 4
user-resource-get-response-json: 6
user-resource-query-response-json: 132
user-resource-get-404: 2
user-resource-query-401: 67

```

## About the HTTP Log Publishers

HTTP operations may be logged using either a Common Log File HTTP Operation Log Publisher or a Detailed HTTP Operation Log Publisher. The Common Log File HTTP Operation Log Publisher is a built-in log publisher that records HTTP operation information to a file using the W3C common log format. Because the W3C common log format is used, logs produced by this log publisher can be parsed by many existing web analysis tools.

Log messages are formatted as follows:

- IP address of the client.
- RFC 1413 identification protocol. The Ident Protocol is used to format information about the client.
- The user ID provided by the client in an Authorization header, which is typically available server-side in the REMOTE\_USER environment variable. A dash appears in this field if this information is not available.
- A timestamp, formatted as "[dd/MM/yyyy:HH:mm:ss Z]"
- Request information, with the HTTP method followed by the request path and HTTP protocol version.
- The HTTP status code value.
- The content size of the response body in bytes. This number does not include the size of the response headers.

The HTTP Detailed Access Log Publisher provides more information than the common log format in a format that is familiar to administrators who use the File-Based Access Log Publisher.

The HTTP Detailed Access Log Publisher generates log messages such as the following. The lines have been wrapped for readability.

```

[15/Feb/2012:21:17:04 -0600] RESULT requestID=10834128
from="10.2.1.114:57555" method="PUT"
url="https://10.2.1.129:443/Aleph/Users/6272c691-
38c6-012f-d227-0dfae261c79e" authorizationType="Basic"
requestContentType="application/json" statusCode=200
etime=3.544 responseContentLength=1063
redirectURI="https://server1.example.com:443/Aleph/Users/6272c691-38c6-012f-
d227-0dfae261c79e"
responseContentType="application/json"

```

In this example, only default log publisher properties are used. Though this message is for a RESULT, it contains information about the request, such as the client address, the request method, the request URL, the authentication method used, and the Content-Type requested. For the response, it includes the response length, the redirect URI, the Content-Type, and the HTTP status code.

You can modify the information logged, including adding request parameters, cookies, and specific request and response headers. For more information, refer to the `dsconfig` command-line tool help.

# Managing Server SDK Extensions

---

The PingDirectoryProxy Server provides support for any custom extensions that you create using the Server SDK. This chapter summarizes the various features and extensions that can be developed using the Server SDK.

## About the Server SDK

---

You can create extensions that use the Server SDK to extend the functionality of your Directory Proxy Server. Extension bundles are installed from a .zip archive or a file system directory. You can use the `manage-extension` tool to install or update any extension that is packaged using the extension bundle format. It opens and loads the extension bundle, confirms the correct extension to install, stops the server if necessary, copies the bundle to the server install root, and then restarts the server.

**Note:** The `manage-extension` tool may only be used with Java extensions packaged using the extension bundle format. Groovy extensions do not use the extension bundle format. For more information, see the "Building and Deploying Java-Based Extensions" section of the Server SDK documentation, which describes the extension bundle format and how to build an extension.

## Available Types of Extensions

---

The Server SDK provides support for creating a number of different types of extensions for Ping Identity Server Products, including the PingDirectory Server, PingDirectoryProxy Server, and PingDataSync Server. Some of those extensions include:

### Cross-Product Extensions

- Access Loggers
- Alert Handlers
- Error Loggers
- Key Manager Providers
- Monitor Providers
- Trust Manager Providers
- OAuth Token Handlers
- Manage Extension Plugins

### PingDirectory Server Extensions

- Certificate Mappers
- Change Subscription Handlers
- Extended Operation Handlers
- Identity Mappers
- Password Generators
- Password Storage Schemes
- Password Validators
- Plugins
- Tasks
- Virtual Attribute Providers

### PingDirectoryProxy Server Extensions

- LDAP Health Checks
- Placement Algorithms

Proxy Transformations

### PingDataSync Server Extensions

JDBC Sync Sources

JDBC Sync Destinations

LDAP Sync Source Plugins

LDAP Sync Destination Plugins

Sync SourcesSync Destinations

Sync Pipe Plugins

For more information on the Server SDK, see the documentation available in the SDK build.

## Command-Line Tools

---

The PingDirectoryProxy Server provides a full suite of command-line tools necessary to administer the server. The command-line tools are available in the `bin` directory for UNIX or Linux systems and `bat` directory for Microsoft Windows systems.

This chapter presents the following topics:

### Using the Help Option

---

Each command-line utility provides a description of the subcommands, arguments, and usage examples needed to run the tool. You can view detailed argument options and examples by typing `--help` with the command.

```
bin/dsconfig --help
```

For those utilities that support additional subcommands (for example, `dsconfig`), you can get a list of the subcommands by typing `--help-subcommands`.

```
bin/dsconfig --help-subcommands
```

You can also get more detailed subcommand information by typing `--help` with the specific subcommand.

```
bin/dsconfig list-log-publishers --help
```

**Note:** For detailed information and examples of the command-line tools, see the *Ping Identity Directory Proxy Server Command-Line Tool Reference*.

### Available Command-Line Utilities

---

The Directory Proxy Server provides the following command-line utilities, which can be run directly in interactive, non-interactive, or script mode.

**Table 13: Command-Line Utilities**

Command-Line Tools	Description
authrate	Perform repeated authentications against an LDAP directory server, where each authentication consists of a search to find a user followed by a bind to verify the credentials for that user.

Command-Line Tools	Description
backup	Run full or incremental backups on one or more Directory Proxy Server backends. This utility also supports the use of a properties file to pass predefined command-line arguments. See <a href="#">Managing the tools.properties File</a> for more information.
base64	Encode raw data using the base64 algorithm or decode base64-encoded data back to its raw representation.
collect-support-data	Collect and package system information useful in troubleshooting problems. The information is packaged as a ZIP archive that can be sent to a technical support representative.
create-initial-proxy-config	Create an initial Directory Proxy Server configuration.
create-rc-script	Create a Run Control (RC) script that may be used to start, stop, and restart the Directory Proxy Server on UNIX-based systems.
create-recurring-task	Create a recurring task to run on the server. Tasks can be created for backups, LDIF exports, a statically defined task, or a third-party task.
create-recurring-task-chain	Create a chain of recurring tasks to run on the server.
dsconfig	View and edit the Directory Proxy Server configuration.
dsjavaproperties	Configure the JVM arguments used to run the Directory Proxy Server and associated tools. Before launching the command, edit the properties file located in <code>config/java.properties</code> to specify the desired JVM options and <code>JAVA_HOME</code> environment variable.
dump-dns	Obtain a listing of all of the DNSs for all entries below a specified base DN in the Directory Server.
enter-lockdown-mode	Request that the Directory Proxy Server enter lockdown mode, during which it only processes operations requested by users holding the <code>lockdown-mode</code> privilege.
global-index-size	Estimates the size in memory of one or more global indexes from the actual number of keys, the configured number of keys and the average key size.
ldap-diff	Compare the contents of two LDAP directory server servers.
ldap-result-code	Display and query LDAP result codes.
ldapcompare	Perform LDAP compare operations in the Directory Proxy Server.
ldapdelete	Perform LDAP delete operations in the Directory Proxy Server.
ldapmodify	Perform LDAP modify, add, delete, and modify DN operations in the Directory Proxy Server.
ldappasswordmodify	Perform LDAP password modify operations in the Directory Proxy Server.
ldapsearch	Perform LDAP search operations in the Directory Proxy Server.
ldif-diff	Compare the contents of two LDIF files, the output being an LDIF file needed to bring the source file in sync with the target.
ldifmodify	Apply a set of modify, add, and delete operations against data in an LDIF file.
ldifsearch	Perform search operations against data in an LDIF file.

Command-Line Tools	Description
leave-lockdown-mode	Request that the Directory Proxy Server leave lockdown mode and resume normal operation.
list-backends	List the backends and base DN's configured in the Directory Proxy Server.
make-ldif	Generate LDIF data based on a definition in a template file.
manage-extension	Install or update extension bundles. An extension bundle is a package of extension(s) that utilize the Server SDK to extend the functionality of the PingDirectoryProxy Server. Extension bundles are installed from a zip archive or file system directory. The Directory Proxy Server will be restarted if running to activate the extension(s).
manage-tasks	Access information about pending, running, and completed tasks scheduled in the Directory Proxy Server.
modrate	Perform repeated modifications against an LDAP directory server.
move-subtree	Move a subtree entries or a single entry from one server to another.
parallel-update	Perform add, delete, modify, and modify DN operations concurrently using multiple threads.
prepare-external-server	Prepare and a directory server for communication.
profile-viewer	View information in data files captured by the Directory Proxy Server profiler.
reload-index	Reload the contents of the global index.
remove-backup	Safely remove a backup and optionally all of its dependent backups from the specified Directory Proxy Server backend.
remove-defunct-server	Remove a server from this server's topology.
restore	Restore a backup of the Directory Proxy Server backend.
revert-update	Returns a server to the version before the last update was performed.
review-license	Review and/or indicate your acceptance of the product license.
scramble-ldif	Obscure the contents of a specified set of attributes in an LDIF file.
search-and-mod-rate	Perform repeated searches against an LDAP directory server and modify each entry returned.
search-rate	Perform repeated searches against an LDAP directory server.
server-state	View information about the current state of the Directory Proxy Server process.
setup	Perform the initial setup for the Directory Proxy Server instance.
start-server	Start the Directory Proxy Server.
status	Display basic server information.
stop-server	Stop or restart the Directory Proxy Server.
subtree-accessibility	List or update the a set of subtree accessibility restrictions defined in the Directory Server.
sum-file-sizes	Calculate the sum of the sizes for a set of files.
summarize-access-log	Generate a summary of one or more access logs to display a number of metrics about operations processed within the server.

Command-Line Tools	Description
uninstall	Uninstall the Directory Proxy Server.
update	Update the Directory Proxy Server to a newer version by downloading and unzipping the new server install package on the same host as the server you wish to update. Then, use the <code>update</code> tool from the new server package to update the older version of the server. Before upgrading a server, you should ensure that it is capable of starting without severe or fatal errors. During the update process, the server is stopped if running, then the update performed, and a check is made to determine if the newly updated server starts without major errors. If it cannot start cleanly, the update will be backed out and the server returned to its prior state. See the <code>revert-update</code> tool for information on reverting an update.
validate-ldif	Validate the contents of an LDIF file against the server schema.

## Managing the tools.properties File

The PingDirectoryProxy Server supports the use of a tools properties file that simplifies command-line invocations by reading in a set of arguments for each tool from a text file. Each property is in the form of name/value pairs that define predetermined values for a tool's arguments. Properties files are convenient when quickly testing the Directory Proxy Server in multiple environments.

The Directory Proxy Server supports two types of properties file: default properties files that can be applied to all command-line utilities or tool-specific properties file that can be specified using the `--propertiesFilePath` option. You can override all of the Directory Proxy Server's command-line utilities with a properties file using the `config/tools.properties` file.

## Creating a Tools Properties File

You can create a properties file with a text editor by specifying each argument, or option, using standard Java properties file format (name=value). For example, you can create a simple properties file that define a set of LDAP connection parameters as follows:

```
hostname=server1.example.com
port=1389
bindDN=cn=Directory\ Manager
bindPassword=secret
baseDN=dc=example,dc=com
```

Next, you can specify the location of the file using the `--propertiesFilePath /path/to/ File` option with the command-line tool. For example, if you save the previous properties file as `bin/mytool.properties`, you can specify the path to the properties file with `ldapsearch` as follows:

```
$ bin/ldapsearch --propertiesFilePath bin/mytools.properties "(objectclass=*)"
```

Properties files do not allow quotation marks of any kind around values. Any spaces or special characters should be escaped. For example,

```
bindDN=cn=QA\ Managers,ou=groups,dc=example,dc=com
```

The following is not allowed as it contains quotation marks:

```
bindDN=cn="QA Managers,ou=groups,dc=example,dc=com"
```

## Tool-Specific Properties

The Directory Proxy Server also supports properties for specific tool options using the format: `tool.option=value`. Tool-specific options have precedence over general options. For example, the following properties file uses `ldapsearch.port=2389` for `ldapsearch` requests by the client. All other tools that use the properties file uses `port=1389`.

```
hostname=server1.example.com
port=1389
ldapsearch.port=2389
bindDN=cn=Directory\ Manager
```

Another example using the `dsconfig` configuration tool is as follows:

```
hostname=server1.example.com
port=1389
bindDN=cn=Directory\ Manager
dsconfig.bindPasswordField=/ds/config/password
```

**Note:** The `.bindPasswordField` property requires an absolute path. If you were to specify `~/ds/config/password`, where `~` refers to the home directory, the server does not expand the `~` value when read from the properties file.

## Specifying Default Properties Files

The Directory Proxy Server provides default properties files that apply to all command-line utilities used in client requests. A default properties file, `tools.properties`, is located in the `<server-root>/config` directory.

If you place a custom properties file that has a different file name as `tools.properties` in this default location, specify the path by using the `--propertiesFilePath` option. If you make changes to the `tools.properties` file, you do not need the `--propertiesFilePath` option. See the examples in the next section.

## Evaluation Order Summary

The Directory Proxy Server uses the following evaluation ordering to determine options for a given command-line utility:

- All options used with a utility on the command line takes precedence over any options in any properties file.
- If the `--propertiesFilePath` option is used with no other options, the Directory Proxy Server takes its options from the specified properties file.
- If no options are used on the command line including the `--propertiesFilePath` option (and `--noPropertiesFile`), the Directory Proxy Server searches for the `tools.properties` file at `<server-root>`
- If no default properties file is found and a required option is missing, the tool generates an error.
- Tool-specific properties (for example, `ldapsearch.port=3389`) have precedence over general properties (for example, `port=1389`).

## Evaluation Order Example

Given the following properties file that is saved as `<server-root>/bin/tools.properties`:

```
hostname=server1.example.com
port=1389
bindDN=cn=Directory\ Manager
bindPassword=secret
```

The Directory Proxy Server locates a command-line option in a specific priority order.

1. All options presented with the tool on the command line take precedence over any options in any properties file. In the following example, the client request is run with the options specified on the command line (port and baseDN). The command uses the `bindDN` and `bindPassword` arguments specified in the properties file.

```
$ bin/ldapsearch --port 2389 --baseDN ou=People,dc=example,dc=com \
 --propertiesFilePath bin/tools.properties "(objectclass=*)"
```

2. Next, if you specify the properties file using the `--propertiesFilePath` option and no other command-line options, the Directory Proxy Server uses the specified properties file as follows:

```
$ bin/ldapsearch --propertiesFilePath bin/tools.properties \
 "(objectclass=*)"
```

3. If no options are presented with the tool on the command line and the `--noPropertiesFile` option is not present, the Directory Proxy Server attempts to locate any default `tools.properties` file in the following location:

```
<server-root>/config/tools.properties
```

Assume that you move your `tools.properties` file from `<server-root>/bin` to the `<server-root>/config` directory. You can then run your tools as follows:

```
$ bin/ldapsearch "(objectclass=*)"
```

The Directory Proxy Server can be configured so that it does not search for a properties file by using the `--noPropertiesFile` option. This option tells the Directory Proxy Server to use only those options specified on the command line. The `--propertiesFilePath` and `--noPropertiesFile` options are mutually exclusive and cannot be used together.

4. If no default `tools.properties` file is found and no options are specified with the command-line tool, then the tool generates an error for any missing arguments.

## Running Task-based Utilities

The Directory Proxy Server has a Tasks subsystem that allows you to schedule basic operations, such as backup, restore, `bin/start-server`, `bin/stop-server` and others. All task-based utilities require the `--task` option that explicitly indicates the utility is intended to run as a task rather than in offline mode. The following table shows the arguments that can be used for task-based operations:

**Table 14: Task-based Utilities**

Option	Description
<code>--task</code>	Indicates that the tool is invoked as a task. The <code>--task</code> argument is required. If a tool is invoked as a task without this <code>--task</code> argument, then a warning message will be displayed stating that it must be used. If the <code>--task</code> argument is provided but the tool was not given the appropriate set of authentication arguments to the server, then an error message will be displayed and the tool will exit with an error.
<code>--start</code>	Indicates the date and time, expressed in the format 'YYYYMMDDhhmmss', when the operation starts when scheduled as a server task. A value of '0' causes the task to be scheduled for immediate execution. When this option is used, the operation is scheduled to start at the specified time, after which this utility will exit immediately.
<code>--dependency</code>	Specifies the ID of a task upon which this task depends. A task will not start execution until all its dependencies have completed execution. This option can be used multiple times in a single command.

Option	Description
--failedDependencyAction	Specifies the action this task will take should one of its dependent tasks fail. The value must be one of the following: PROCESS, CANCEL, DISABLE. If not specified, the default value is CANCEL. This option can be used multiple times in a single command.
--completionNotify	Specifies the email address of a recipient to be notified when the task completes. This option can be used multiple times in a single command.
--errorNotify	Specifies the email address of a recipient to be notified if an error occurs when this task executes. This option can be used multiple times in a single command.

## PingDirectoryProxy Server 7.3.0.1 Release Notes

### Upgrade Considerations

Important considerations for upgrading to this version of PingDirectoryProxy Server:

The file `remove-sample-directory-data-aci.ldif`, which is provided with the Delegated Admin installation package, was updated in version 3.5.0 to reinstate permissions for users to change their own passwords (self-service password reset). If you have used an earlier version of this LDIF file, consider manually adding the following ACI from the updated version:

```
dn: dc=example,dc=com
changetype: modify
add: aci
aci: (targetattr="userPassword")(version 3.0; acl "Allow users to update
their own password"; allow (write) userdn="ldap:///self";)
```

### Resolved Issues

The following issues have been resolved with this release of PingDirectoryProxy Server:

Ticket ID	Description
DS-17278	<p>Added a <code>cn=Server Status Timeline,cn=monitor</code> monitor entry to track a history of the local server's last 100 status changes and their timestamps.</p> <p>Updated the LDAP external server monitor to include attributes that track health-check state changes for external servers. The new attributes include the following information:</p> <ul style="list-style-type: none"> <li>• Number of times a health-check transition has occurred</li> <li>• Timestamps of the most recent transitions</li> <li>• Messages associated with the most recent transitions</li> </ul>

Ticket ID	Description
DS-39176, DS-39308	<p>Updated the Groovy scripting language version to 2.5.7. For a list of changes, visit <a href="http://groovy-lang.org">groovy-lang.org</a> and view the Groovy 2.5 Release Notes.</p> <p>As of this release, only the core Groovy runtime and the <code>groovy-json</code> module are bundled with the server. To deploy a Groovy-scripted Server SDK extension that requires a Groovy module not bundled with the server, such as <code>groovy-xml</code> or <code>groovy-sql</code>, download the appropriate JAR file from <a href="http://groovy-lang.org">groovy-lang.org</a> and place it in the server's <code>lib/extensions</code> directory.</p>
DS-39347	<p>Fixed an issue in which Delegated Admin did not work properly if the name of the REST resource type was not the same as the resource endpoint.</p>
DS-39525, DS-39526	<p>Delegated Admin enhancements for constructed attributes.</p> <ul style="list-style-type: none"> <li>• Allow a required attribute to be read-only if it is constructed.</li> <li>• Add a configured list of "Update Constructed Attributes" on the REST resource type, similar to the "Post Create Constructed Attributes", so that constructed attributes can be updated when dependent attributes change.</li> <li>• Handle constructed attributes that reference other constructed attributes.</li> </ul>
DS-39693	<p>Fixed an issue in which Delegated Admin search results were truncated and invalid upon encountering a Directory entry that contained a Boolean or Integer syntax attribute whose values did not conform to the appropriate syntax. With this fix, the offending values are omitted from the results, and a warning message is logged to the server errors log.</p>

## Release Notes Archive

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Release notes for previous versions of PingDirectoryProxy Server are included for reference.

### PingDirectoryProxy Server 7.3.0.0 Release Notes

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#### Upgrade Considerations

Important considerations for upgrading to this version of PingDirectoryProxy Server

- To ensure correct search results with Delegated Admin, disable client caching by updating the Delegated Admin HTTP Servlet Extension to return response headers, and then stop and restart the server, as follows:

```
dsconfig set-http-servlet-extension-prop --extension-name "Delegated Admin" --set "response-
header:Cache-Control: no-cache, no-store, must-revalidate" --set "response-header:Expires: 0" --set
"response-header:Pragma: no-cache"
```

## What's New

These are new features for this release of PingDirectoryProxy Server

- New features for data encryption in transit and at rest: added support for TLS 1.3, ability to encrypt and automatically decrypt sensitive files such as tools.properties and keystore pin files using the server data encryption keys, and the ability to more easily and securely separate master keys from data encryption keys by protecting the server encryption settings database using either Amazon Key Management Service (AWS KMS) or HashiCorp Vault.
- Added support for Amazon Corretto JDK 8, Windows Server 2019, Red Hat Enterprise Linux 7.6, CentOS 7.6, Amazon Linux 2, and Docker 18.09.0 on Ubuntu 18.04 LTS.
- New load balancing algorithm for performance and improved reliability. By default for new configurations, the load balancing algorithm uses a failover strategy for writes and fewest operations strategy for reads. This means that normally all writes will go to the same server, which reduces replication conflicts or unique attribute conflicts, while all reads are distributed to the servers with lightest load, which distributes server utilization and improves performance. This combination strategy works in tandem with a change to PingDirectoryProxy to use assured replication by default for several types of write operations, which reduces the chances of data consistency issues when write operations are immediately followed by read operations for the same objects and attributes.

## Resolved Issues

The following issues have been resolved with this release of PingDirectoryProxy Server:

Ticket ID	Description
PDSTAGING-570,DS-38334	<p>The following enhancements were made to the topology manager to make it easier to diagnose the connection errors described in PDSTAGING-570:</p> <ul style="list-style-type: none"> <li>- Added monitoring information for all the failed outbound connections (including the time since it's been failing and the last error message seen when the failure occurred) from a server to one of its configured peers and the number of failed outbound connections.</li> <li>- Added alarms/alerts for when a server fails to connect to a peer server within a configured grace period.</li> </ul>
PDSTAGING-570,DS-38344	<p>The topology manager will now raise a mirrored-subtree-manager-connection-asymmetry alarm when a server is able to establish outbound connections to its peer servers, but those peer servers are unable to establish connections back to the server within the configured grace period. The alarm is cleared as soon as there is connection symmetry.</p>
PDSTAGING-570,DS-38335	<p>The dsreplication tool has been fixed to work when the node being used to enable replication is currently out-of-sync with the topology master.</p>

Ticket ID	Description
DS-15734	Added a cipher stream provider that can be used to protect the contents of the encryption settings database with a key from the Amazon Key Management Service.
DS-18060	<p>Added an HTTP servlet extension that can be used to retrieve the server's current availability state. It accepts any GET, POST, or HEAD request sent to a specified endpoint and returns a minimal response whose HTTP status code may be used to determine whether the server considers itself to be AVAILABLE, DEGRADED, or UNAVAILABLE. The status code for each of these states is configurable, and the response may optionally include a JSON object with an "availability-state" field with the name of the current state.</p> <p>Two instances of this servlet extension are now available in the default configuration. A request sent to /available-state will return an HTTP status code of 200 (OK) if the server has a state of AVAILABLE, and 503 (Service Unavailable) if the server has a state of DEGRADED or UNAVAILABLE. A request sent to the /available-or-degraded-state will return an HTTP status code of 200 for a state of AVAILABLE or DEGRADED, and 503 for a state of UNAVAILABLE. The former may be useful for load balancers that you only want to have route requests to servers that are fully available. The latter may be useful for orchestration frameworks if you wish to destroy and replace any instance that is completely unavailable.</p>
DS-36474	Updated the ldapdelete command-line tool to improve robustness and add features. Some of the new features include support for client-side subtree delete, deleting entries that match search filters, following referrals, writing failures to a rejects file, rate limiting, and support for a variety of additional controls.
DS-37174	Made visible the index-priming-idle-listener-timeout property of the Entry Balancing Request Processor configuration object. During global index priming, this property specifies the amount of time an extended operation response listener can be idle while in progress. For example, if the global index is priming and a backend server stops returning results but does not disconnect, this timeout can be used to force a retry of the operation.

Ticket ID	Description
DS-37617	HTTP Connection Handlers now accept client-provided correlation IDs by default. To adjust the set of HTTP request headers that may include a correlation ID value, change the HTTP Connection Handler's correlation-id-request-header property.
DS-37839	Make Fingerprint Certificate Mapper and Subject DN to User Attribute Certificate Mapper disabled by default on fresh installations. This will not affect upgrades from installations where these mappers are enabled.

Ticket ID	Description
DS-37959	<p data-bbox="850 216 1455 275">Added support for insignificant configuration archive attributes.</p> <p data-bbox="850 296 1455 926">The configuration archive is a collection of the configurations that have been used by the server at some time. It is updated whenever a change is made to data in the server configuration, and it is very useful for auditing and troubleshooting. However, because the entries that define root users and topology administrators reside in the configuration, changes to those entries will also cause a new addition to the configuration archive. This is true even for changes that affect metadata for those entries, like updates to the password policy state information for one of those users. For example, if last login time tracking is enabled for one of those users, especially with high-precision timestamps, a new configuration may be generated and added to the configuration archive every time that user authenticates to the server. While it is important for this information to be persisted, it is not as important for it to be part of the server's configuration history.</p> <p data-bbox="850 947 1455 1199">This update can help avoid the configuration archive from storing information about updates that only affect this kind of account metadata. If a configuration change only modifies an existing entry, and if the only changes to that entry affect insignificant configuration archive attributes, then that change may not be persisted in the server's configuration archive.</p> <p data-bbox="850 1220 1455 1308">By default, the following attributes are now considered insignificant for the purpose of the configuration archive:</p> <p data-bbox="850 1329 1455 1671">* ds-auth-delivered-otp * ds-auth-password-reset-token * ds-auth-single-use-token * ds-auth-totp-last-password-used * ds-last-access-time * ds-pwp-auth-failure * ds-pwp-last-login-ip-address * ds-pwp-last-login-time * ds-pwp-password-changed-by-required-time * ds-pwp-reset-time * ds-pwp-retired-password * ds-pwp-warned-time * modifiersName * modifyTimestamp * pwdAccountLockedTime * pwdChangedTime * pwdFailureTime * pwdGraceUseTime * pwdHistory * pwdReset</p>

Ticket ID	Description
DS-37960	<p>The Delegated Admin configuration has changed significantly. Delegated Admin Resource Types were removed and replaced by REST Resource Types. Delegated Administrators and Delegated Group Administrators were removed and replaced by Delegated Admin Rights and Delegated Admin Resource Rights. Previous configurations are converted to the new configuration definitions by the update tool when the server is updated.</p>
DS-38021	<p>Updated create-initial-proxy-config to change the load-balancing configuration that it generates.</p> <p>Previously, the tool generated a fewest operations load-balancing configuration for all operations. While this may provide the best overall performance throughput, it increases the risk of replication conflicts, unique attribute conflicts, and application issues resulting from replication latency.</p> <p>The tool now generates a criteria-based load-balancing configuration that uses a failover strategy for writes and fewest operations for reads. This ensures that under normal circumstances when all servers are available, all write requests will go to the same server, which eliminates the change for replication conflicts or unique attribute conflicts. When paired with a corresponding change in the Directory Server to use assured replication by default for all add, delete, and modify DN operations, as well as for all modify operations that involve passwords or certain password policy state attributes, the risk of read-after-write issues resulting from replication latency is also dramatically reduced, so it is therefore safe to continue using a fewest operations load-balancing algorithm for read operations.</p>
DS-38050	<p>Updated the server to support encrypting the contents of the PIN files needed to unlock certificate key and trust stores. If data encryption is enabled during setup, then the default PIN files will automatically be encrypted.</p> <p>Also, updated the command-line tool framework so that the tools.properties file (which can provide default values for arguments not provided on the command line), and passphrase files (for example, used to hold the bind password) can be encrypted.</p>
DS-38072	<p>Updated the server to enable TLSv1.3 by default on JVMs that support it (Java 11 and higher).</p>

Ticket ID	Description
DS-38085	Fixed an issue in the installer where the Administrative Console's trust store type would be incorrectly set if it differed from the key store type.
DS-38090,DS-38564,DS-38567	The response header used for correlation IDs may now be set at the HTTP Servlet Extension level using the correlation-id-response-header configuration property. If set, this property overrides the HTTP Connection Handler's correlation-id-response-header property.
DS-38109	Added the --skipHostnameCheck command line option to the setup script, which bypasses validation of the provided host name for the server.
DS-38176	Reduced the default max-connection-age value in LDAP External Server configuration objects to 10 minutes. This should avoid the problems created when firewalls between the proxy and the external server silently close connections that have been open for too long.
DS-38403	Fixed an issue that could prevent certain types of initialization failures from appearing in the server error log by default.
DS-38421	Updated the file retention recurring task to no longer log an informational message if there are no log matching files to delete.
DS-38512	Added a cipher stream provider that can be used to protect the contents of the encryption settings database with a secret passphrase obtained from a HashiCorp Vault instance.
DS-38550	Fixed an issue in which backups of the encryption settings database could be encrypted with a key from the encryption settings database.
DS-38670	Fixed a bug where the startIndex value for SCIM requests would be incorrect if the used LDAPSearch element had more than one baseDN defined in the scim-resources XML file.
DS-38737	Fixed an issue where inter-server bind requests would fail if the cipher used reported a maximum unencrypted block size of 0.
DS-38849	Added an indent-ldap-filter tool that can make it easier to visualize the structure and components of a complex search filter.

Ticket ID	Description
DS-38864	Changed the default value of the HTTP Configuration property include-stack-traces-in-error-pages from 'true' to 'false'. Disabling this property prevents information about exceptions thrown by servlet or web application extensions from being revealed in HTTP error responses.
DS-38873	Internal connections created by HTTP requests are now associated with one of the configured client connection policies. A client connection policy may be selected using simple client connection criteria matching the client address, the user performing the request, and the protocol "HTTP/1.1". This change affects the following HTTP interfaces: SCIM, Directory REST API, Consent API and Delegated Admin API.

Ticket ID	Description
DS-38897,DS-38908	<p data-bbox="850 216 1442 306">Fixed two issues in which the server could have exposed some clear-text passwords in files on the server file system.</p> <p data-bbox="850 327 1463 611">* When creating an encrypted backup of the alarms, alerts, configuration, encryption settings, schema, tasks, or trust store backends, the password used to generate the encryption key (which may have been obtained from an encryption settings definition) could have been inadvertently written into the backup descriptor. This problem does not affect local DB backends (like userRoot), the LDAP changelog backend, or the replication database.</p> <p data-bbox="850 632 1458 1262">* When running certain command-line tools with an argument instructing the tool to read a password from a file, the password contained in that file could have been written into the server's tool invocation log instead of the path to that file. Affected tools include backup, create-initial-config, create-initial-proxy-config, dsreplication, enter-lockdown-mode, export-ldif, import-ldif, ldappasswordmodify, leave-lockdown-mode, manage-tasks, manage-topology, migrate-ldap-schema, parallel-update, prepare-endpoint-server, prepare-external-server, realtime-sync, rebuild-index, re-encode-entries, reload-http-connection-handler-certificates, reload-index, remove-defunct-server, restore, rotate-log, and stop-server. Other tools are not affected. Also note that this only includes passwords contained in files that were provided as command-line arguments; passwords included in the tools.properties file, or in a file referenced from tools.properties, would not have been exposed.</p> <p data-bbox="850 1283 1455 1598">In each of these cases, the files would have been written with permissions that make their contents only accessible to the system account used to run the server. Further, while administrative passwords may have been exposed in the tool invocation log, neither the passwords for regular users, nor any other data from their entries, should have been affected. We have introduced new automated tests to help ensure that such incidents do not occur in the future.</p> <p data-bbox="850 1619 1463 2049">We recommend changing any administrative passwords you fear may have been compromised as a result of this issue. If you are concerned that the passphrase for an encryption settings definition may have been exposed, then we recommend creating a new encryption settings definition that is preferred for all subsequent encryption operations, exporting your data to LDIF, and re-importing so that it will be encrypted with the new key. You also may wish to re-encrypt or destroy any existing backups, LDIF exports, or other data encrypted with a compromised key, and you may wish to sanitize or destroy any existing tool invocation log files that may contain clear-text passwords.</p>

Ticket ID	Description
DS-38913	Added a set of message types to Trace Log Publishers that records events related to access token validation.
DS-38957	Fixed an issue that would throw an exception when trying to delete an entry containing uncached attributes if the LDAP changelog was enabled and using reversible form.
DS-39086	Removed the version information page from the docs/build-info.txt endpoint. This information is now available in build-info.txt, which is located in the root directory.

## PingDirectoryProxy Server 7.2.1.0 Release Notes

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### Upgrade Considerations

Important considerations for upgrading to this version of the Directory Proxy Server

- To ensure correct search results with Delegated Admin, disable client caching by updating the Delegated Admin HTTP Servlet Extension to return response headers, and then stop and restart the server, as follows:

```
dsconfig set-http-servlet-extension-prop --extension-name "Delegated Admin" --set "response-header:Cache-Control: no-cache, no-store, must-revalidate" --set "response-header:Expires: 0" --set "response-header:Pragma: no-cache"
```

### Resolved Issues

The following issues have been resolved with this release of the Directory Proxy Server:

Ticket ID	Description
DS-37960	The Delegated Admin configuration has changed significantly. Delegated Admin Resource Types were removed and replaced by REST Resource Types. Delegated Administrators and Delegated Group Administrators were removed and replaced by Delegated Admin Rights and Delegated Admin Resource Rights. Previous configurations are converted to the new configuration definitions by the update tool when the server is updated.

Ticket ID	Description
DS-38334	<p>The following enhancements were made to the topology manager to make it easier to diagnose the connection errors:</p> <ul style="list-style-type: none"> <li>- Added monitoring information for all the failed outbound connections (including the time since it's been failing and the last error message seen when the failure occurred) from a server to one of its configured peers and the number of failed outbound connections.</li> <li>- Added alarms/alerts for when a server fails to connect to a peer server within a configured grace period.</li> </ul>
DS-38335	<p>The dsreplication tool has been fixed to work when the node being used to enable replication is currently out-of-sync with the topology master.</p>
DS-38344	<p>The topology manager will now raise a mirrored-subtree-manager-connection-asymmetry alarm when a server is able to establish outbound connections to its peer servers, but those peer servers are unable to establish connections back to the server within the configured grace period. The alarm is cleared as soon as there is connection symmetry.</p>

## PingDirectoryProxy Server 7.2.0.0 Release Notes

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### Upgrade Considerations

Important considerations for upgrading to this version of the Directory Proxy Server

- The Delegated Admin web app now supports creation of new users. Installations created using older versions of the install script require a command like the following to be run after upgrade. The 'sn' attribute is a required attribute for inetOrgPerson entries.

```
dsconfig create-delegated-admin-attribute --type-name users --attribute-type sn --set "display-name:Last Name"
```

To enable user creation, one of the new configuration properties org-entry-dn or org-search-filter must be set on the Delegated Admin resource type.

### What's New

These are new features for this release of the Directory Proxy Server

- Introduced a Directory REST API to create, read, update and delete (CRUD) any object in the directory using JSON over HTTP. Compared to the SCIM-based Identity Access API (introduced in 4.0), the Directory REST API offers more capability without the configuration overhead and SCIM protocol limitations.
- Improved user and group management in the delegated user administration web app (packaged separately.) Administrators can configure the presentation order and groupings of profile attributes,

improving delegated admin usability for large user profiles. Also, delegated admins can now create new users, and add and remove entire sub-groups of users to and from groups.

- Added support for Oracle Java JDK 11 and OpenJDK 11. Added support for RedHat 7.5, CentOS 7.5, and Ubuntu 18.04 LTS. When running on JDK 11, we now configure G1GC as the default garbage collection algorithm. This eliminates long garbage collection pauses in most environments.
- Improved event tracing across coordinating HTTP and directory servers. For example, admins can now trace requests to HTTP-based services, like the Directory REST API, through the log files to the LDAP access log of the Directory Server. All HTTP-based services (e.g. SCIM, Consent API) can be configured to accept and/or generate HTTP request headers with correlation identifiers. These identifiers are logged in trace logs, HTTP access logs, and LDAP access logs.

### Known Issues/Workarounds

The following are known issues in the current version of the Directory Proxy Server

- There are known issues when running the server with Java 11.0.0. These are addressed in Java 11.0.1. In general, when using Java 11, we recommend using the latest available release.
- The Identity Access API has been deprecated and will not be supported in the next major release.
- On Microsoft Windows systems, JVM arguments for verbose GC logging do not work as expected. So these arguments are not added to any of the server or client tools.

### Resolved Issues

The following issues have been resolved with this release of the Directory Proxy Server:

Ticket ID	Description
DS-1132	Updated the server to allow delaying the response to failed bind operations by a specified length of time. While the response is delayed, no other operations will be allowed on the connection. This can be used instead of, or in addition to, account lockout as a means of limiting the rate at which an attacker may try to guess user passwords.
DS-6930	To facilitate testing in multiple GC (garbage collection) environments, GC JVM options having been moved to separate Java properties in the java.properties file. The new ".gc-type" suffix will select the GC type to use, and the new ".gc-<GC type>-args" suffix will have the JVM options for that GC type.
DS-35567	Updated the server to expose information about the duration of lengthy phases of server startup. The longest phases are logged to the error log and more detail is provided in the "cn=Startup Phase Times,cn=monitor" monitor entry. Starting the server with the --verbose option will show fine-grained timing information for all phases of server startup.

Ticket ID	Description
DS-35652,DS-36559	<p>Added support for a new file retention task that can identify files in an indicated directory that match a given pattern and remove any matching files that fall outside of the specified retention criteria. You can specify the minimum number of files that should be retained, the minimum age of files that should be retained, the minimum aggregate size of files that should be retained, or any combination thereof. The files that match the pattern will be sorted by timestamp so that if any files are to be removed, the most recent files will be retained and the oldest files will be deleted.</p> <p>The file retention task can be scheduled as a standalone task or as a recurring task. Two instances of the file retention recurring task have been defined in the default configuration: one that can clean up old expensive operation dump files, and another that can clean up old work queue backlog thread dump files. In each case, the recurring task is configured to keep at least the 100 most recent files, and no files less than 30 days old will be removed. While these recurring tasks are defined in the out-of-the-box configuration, they are not part of any recurring task chain and therefore will not actually be invoked unless they are configured as part of a chain.</p> <p>The Directory Server and Directory Proxy Server now include recurring tasks in the out-of-the-box configuration that can clean up old expensive operation dump log files or work queue backlog thread dump log files if too many of them have collected in the server logs directory. For each type of file, if there are more than 100 of them in the server logs directory, then any of the remaining files that are more than 30 days old are candidates for removal. A recurring task chain will perform this cleanup every day at 12:05 a.m. in the JVM's default time zone.</p>
DS-35865	<p>Multiple instances of the SCIM HTTP Servlet Extension may now be created, allowing for multiple SCIM 1.1 service configurations per server instance. For more information, please refer to the "Managing the SCIM Servlet Extension" chapter of the Administration Guide.</p>

Ticket ID	Description
DS-35873	<p>Added support for an exec task that can invoke commands on the server. There are several safeguards in place to prevent unauthorized users from invoking arbitrary commands on the server system, including a new exec-task privilege and a whitelist file that must be updated to include the absolute paths of the allowed commands. A new schedule-exec-task tool helps create an exec task from the command line, and the LDAP SDK has also been updated to allow interacting with exec tasks programmatically.</p>
DS-35873	<p>Added support for recurring exec tasks.</p>
DS-35909	<p>HTTP Connection Handlers will now raise an alarm during initialization if a context path conflict is detected.</p>
DS-36023,DS-37686	<p>A new --topologyFilePath argument has been added to remove-defunct-server, making it possible to remove a defunct server cleanly from the topology using one of the servers in the provided topology file. The topology file may be obtained by running the manage-topology export command.</p>
DS-36209	<p>A header containing a correlation ID is now added to outgoing HTTP servlet responses, allowing HTTP responses to be correlated with log messages across server instances. The name of the correlation ID response header defaults to "Correlation-Id" but may be changed by setting the HTTP Connection Handler's correlation-id-response-header property. By default, the server will generate a globally unique correlation ID automatically, but the correlation-id-request-header configuration property may be used to optionally specify one or more request headers that provide an existing correlation ID value from the requesting client. The correlation ID header can be disabled on a per-HTTP Connection Handler basis using the use-correlation-id-header configuration property.</p> <p>For Server SDK extensions that have access to the current HttpServletRequest, the correlation ID can be retrieved as a String via the HttpServletRequest's "com.pingidentity.pingdata.correlation_id" attribute. For example: <code>(String) request.getAttribute("com.pingidentity.pingdata.correlation_id");</code></p>

Ticket ID	Description
DS-36433	<p>Added a Mock Access Token Validator, which accepts access tokens without validating the authenticity of the tokens using a trusted authorization server or signing certificate. When enabled, a Mock Access Token Validator accepts bearer tokens in the form of a plain text JSON object containing an arbitrary set of claims. Mock Access Token Validators are intended for test or demonstration use only and should never be enabled in production deployments or used to access sensitive data.</p>
DS-36510	<p>Added support for a delay task, which can be used on its own or as a recurring task. It is primarily intended to be used as a spacer between other tasks, and can sleep for a specified period of time, wait for the server to be idle (that is, there are no outstanding operations and all worker threads are idle), or wait for sets of search criteria to match at least one entry (for example, until a monitor entry indicates that the server is in a desired state).</p>
DS-36519	<p>Bearer token authentication for the Consent API may now be enabled or disabled using the bearer-token-auth-enabled property of the Consent HTTP Servlet Extension.</p>
DS-36585	<p>Updated the client connection policy configuration to add a maximum-concurrent-operations-per-connection-exceeded-behavior property that specifies the behavior that the server should exhibit if a client tries to exceed the limit set by the maximum-concurrent-operations-per-connection property. Previously, any requests in excess of the maximum-concurrent-operations-per-connection limit would have been rejected with a busy result. The server now offers additional choices for the result code to use when rejecting requests (including admin limit exceeded, constraint violation, unavailable, unwilling to perform, or other), and the server can also be configured to close the connection and abandon all outstanding operations on that connection.</p>

Ticket ID	Description
DS-36595	<p>Updated the fewest operations load-balancing algorithm configuration to add a <code>balance-requests-across-servers-with-same-operation-count</code> property to specify the behavior the server should exhibit if there are multiple servers of equal preference with the same number of outstanding operations.</p> <p>By default, the property has a value of <code>true</code>, which means that if there are multiple servers that have the same number of operations in progress, then the load-balancing algorithm will randomize the order in which those servers are selected to more evenly spread the requests across those servers.</p> <p>If the property is changed to <code>false</code>, then the request will be sent to the first server encountered with the fewest number of operations. This will ensure that requests are routed more consistently, especially in environments with low utilization, but one server may handle a disproportionately high percentage of requests.</p>
DS-36674	<p>Updated the administrative alert health check to improve error handling and to add safeguards against the possibility of having too many active persistent searches to consume alerts from backend servers.</p>
DS-36834	<p>All tools will now enforce a minimum heap size requirement. Overriding the heap size for the system, using the <code>--maxHeapSize</code> argument of the <code>dsjavaproperties</code> tool, is only effective if the provided value is greater than the minimum required heap size for the tool.</p>
DS-36988	<p>The SCIM v1 servlet extension is no longer enabled by default for new installations. Existing installations will be unaffected on an upgrade. Customers are encouraged to use the new "Directory REST API" for REST access from now on.</p>
DS-37131	<p>Fixed an issue in which the HTTP Servlet Config Monitor could cause an exception in an HTTP Servlet Extension when attempting to determine its context paths. This caused the status tool and the Administrative Console to potentially omit the HTTP Servlet Extension from the list of active HTTP extensions.</p>
DS-37153	<p>Fixed an uncommon issue where unsuccessful searches, with a base DN below the entry balancing point, would remove the data set from the global attribute index.</p>

Ticket ID	Description
DS-37255	Updated the Periodic Stats Logger to include columns for the average response time of operations sent to each LDAP external server.
DS-37492	Added a time limit retention policy to support removing log files older than a specified age.
DS-37660	Updated the Work Queue to increase the number of internal queues when num-queues is configured with the default of 0 (i.e., the server automatically determines the value). An internal queue is now created for every two worker threads rather than eight. This can reduce thread contention and increase throughput when under extreme load.
DS-37723	Added an optional "titleText" field to Consent API consent definition localization objects. This field may be used to store a localized title or summary for a consent request. A corresponding "titleText" field has also been added to consent record objects.

## PingDirectoryProxy Server 7.0.1.0 Release Notes

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### What's New

These are new features for this release of PingDirectoryProxy Server

- New capabilities have been added to the Delegated Admin application (packaged separately). Now directory administrators can delegate the responsibility of managing group memberships for users in PingDirectory Server. Administrators can delegate to individuals or groups of users, and assign authority over one or more groups in PingDirectory Server.
- Improved the way PingDirectoryProxy Server distributes requests in the failover load-balancing configuration. This is especially helpful for multi-tenant environments to better distribute requests per tenant. Now you can configure a load-spreading base DN such that requests to DIT branches below the load-spreading base DN are balanced among the PingDirectory Servers. The proxy will automatically maintain affinity between servers and DIT branches.

### Known Issues/Workarounds

The following are known issues in the current version of the Directory Proxy Server

- An ACI starting with "GENERATED D-ADMIN ACCESS" is generated automatically by the server from Delegated Admin configuration. Do not create your own custom ACI with the same prefix, for example by copying and pasting from the generated ACI. A custom ACI with this prefix will be deleted when the server is restarted, and whenever a Delegated Admin configuration change causes the Delegated Admin ACI to be regenerated.
- Servers to be monitored by the PingDataMetrics Server must have an instance name of less than 256 characters. A server's instance name is specified during setup.

### Resolved Issues

The following issues have been resolved with this release of the Directory Proxy Server:

Ticket ID	Description
DS-17439	<p data-bbox="849 216 1466 533">Updated the failover load-balancing algorithm to add support for load spreading. By default, the failover load-balancing algorithm will consistently route all requests to the same server (subject to the health and location of each of the backend servers), which provides the highest level of protection against issues that may result from replication propagation delay. However, it also means that most of the servers are left idle, only to be used if a problem arises with the primary server.</p> <p data-bbox="849 552 1466 993">Load spreading allows the server to retain many of the consistent routing benefits of the failover load-balancing algorithm's default configuration while also taking better advantage of the available servers in the topology. If the failover load-balancing algorithm is configured with one or more load-spreading base DNs, then requests that target entries below a load-spreading base DN may be balanced across any of the servers with the same health check state and location. Requests targeting a specific portion of the data will consistently be routed to the same server, but requests targeting a different portion of the data may be sent to a different server.</p> <p data-bbox="849 1012 1466 1360">Load spreading is primarily beneficial to deployments in which the DIT contains a large number of branches below a common parent, and in which most operations (including search operations, as indicated by the search base DN) only target entries at least one level below that common parent. For example, this may be a good fit for a multi-tenant deployment in which all of the entries for a given tenant are within their own branch, and all of the tenant branches reside below a common parent.</p>

Ticket ID	Description
DS-36325	<p>Improved the behavior that the server exhibits under certain network conditions when it is not possible to write to a client without blocking. This includes:</p> <ul style="list-style-type: none"><li>* If the server cannot write data to a client after waiting for a length of time specified by the connection handler's max-blocked-write-time-limit configuration property, the access log message indicating that the client has been disconnected because of an I/O timeout will now more clearly indicate that the reason was the inability to write data to the client.</li><li>* The server now limits the number of threads that can be blocked while trying to send data to the same client over the same client connection. If too many threads would have been blocked while trying to send data over the same connection, that connection will be terminated, and the disconnect access log message will include the reason for the disconnect.</li><li>* If the server is trying to send data to the client that it considers optional (for example, certain types of unsolicited notifications), then the server may skip sending that optional data if the write would have caused the server thread to block.</li></ul>
DS-36642	<p>Added a configuration option to allow a null serverFQDN for the GSSAPI SASL mechanism to allow an unbound SASL server connection.</p>
DS-36814	<p>Fixed an issue in which an unprivileged Consent API client could modify the actor value of a consent record.</p>
DS-37021	<p>Delegated Admin operations now appear in the LDAP access log.</p>
DS-37132	<p>Changed Resource IDs produced by the Delegated Admin API so that they no longer contain percent characters from Base64 padding.</p>
DS-37141	<p>Updated the external server monitor entry to include a histogram of response times per operation type. This makes it easier to understand the source of response time outliers in the proxy.</p>
DS-37169	<p>Added a getRequestProcessors() method to the ProxyServerContext interface within the Server SDK. This can be used to gain access to an EntryBalancingRequestProcessor, and hence the global index.</p>

Ticket ID	Description
DS-37175	Updated the name of LDAP external server monitor entries to not include product version information, since this can affect integration with JMX monitoring tools.
DS-37235	<p>Updated the keys and values used in the monitoring JMX MBeans to conform with best practices. The keys "type" and "name" are now used in place of "Rdn1" and "Rdn2".</p> <p>To maintain backwards compatibility with existing monitoring solutions, installations upgrading to this release will retain the old behavior, but they can revert to the default behavior by changing the Global Configuration property <code>jmx-use-legacy-mbean-names</code> to false.</p>
DS-37292	The Notification Delivery Thread will now log unexpected errors rather than throwing them as exceptions.
DS-37362	Prevent a notification destination from assuming the master notification delivery role if that server is in lockdown mode or replication hasn't finished initialization.

## PingDirectoryProxy Server 7.0.0.0 Release Notes

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### Upgrade Considerations

Important considerations for upgrading to this version of PingDirectoryProxy Server

- This release introduces significant changes to the way servers in a topology are configured with information about each other. Once a server has been upgraded from a pre-7.0 version to 7.0 or later, reverting to the previous version is not supported. Before beginning the upgrade process, make sure you have read and understood the Administration Guide's chapter "Upgrading the Server".
- SCIM 2 error responses, including Config API error responses, now represent the "status" field as a JSON string rather than as a number. Clients written to expect the earlier version format will need to be updated. In particular, clients written using the SCIM 2 SDK for Java should upgrade to version 2.2.0 or higher.
- The Administrative Console now uses server information found in the topology registry to populate its server selection control. If the Console is used to manage a legacy server that does not use the topology registry, then the server selection control will not be populated. To manage a different server, the administrator will need to log out of the Console and provide the other server's connection details from the login page.

### What's New

These are new features for this release of PingDirectoryProxy Server

- Simplified management tasks related to configuring servers in a large cluster topology or in an automated deployment. Most notably, servers can now be added to a cluster while other servers are offline.

- Added management features for SSL/TLS certificates. The default certificates used in inter-server replication can be replaced; validation of client certificates for HTTPS-based services like the SCIM REST API can be configured; and you can reload from the trust store for HTTPS client certificates without restarting the server or the HTTP-based services.
- Added support for these operating system versions: Ubuntu LTS 16.04, CentOS 7.4, RedHat Linux 7.4, SUSE Enterprise 12 SP3

### Known Issues/Workarounds

The following are known issues in the current version of PingDirectoryProxy Server:

- Simultaneous cloning multiple PingDirectoryProxy Servers, PingDataSync Servers, and PingDataGovernance Servers from another server of the same type is not currently possible. To create server instances that are identical to a master server, cloning must be performed one at a time.

### Resolved Issues

The following issues have been resolved with this release of PingDirectoryProxy Server:

Ticket ID	Description
DS-426	Added the ability to generate administrative alert notifications when a task starts running, when it completes successfully, or when it fails to complete successfully. Also added the ability to send an email message to a specified set of users when a task starts running or completes successfully, which complements the existing ability to send an email message when a task fails to complete successfully or when it completes with any state, regardless of success or failure.
DS-426	Added support for recurring tasks, which can be used to automatically invoke certain kinds of administrative tasks based on a specified schedule.  At present, only certain kinds of tasks can be scheduled as recurring tasks. This includes both backups and LDIF exports, each of which provides retention support to limit the amount of disk space that the backups and LDIF files consume. It also includes support for any kind of task in which each instance of the task should use exactly the same values for all of the task-specific attributes. The Server SDK also provides an API for creating custom third-party recurring task implementations.
DS-4406	Implemented invocation logging for several server tools, which will write to logs/tools/tool-invocation.log by default upon startup and shutdown. Some of the information recorded by log entries include the tool's start and completion times, the command-line arguments used to initialize them, and the name of the system account used to launch the tool. To modify this behavior, edit the config/tool-invocation-logging.properties file.

Ticket ID	Description
DS-4570,DS-14281,DS-14282,DS-14283,DS-14284,DS-17197,DS-17366	The admin backend and the tool used to manage it, dsframework, have been replaced by the topology registry and dsconfig, respectively. The topology registry is automatically mirrored across all servers in the topology, so administrative information is kept in-sync on all servers at all times.
DS-6970	Added support for encrypted logging, using a key generated from an encryption settings definition. Encrypted log files may be decrypted with the encrypt-file tool.

Ticket ID	Description
DS-12157,DS-35896	<p>Made a number of improvements to backend backup and restore, and to LDIF export and import:</p> <ul style="list-style-type: none"><li>* Added the ability to encrypt backups and LDIF exports with a key generated from a user-supplied passphrase or with a key generated from an encryption settings definition. Previously, encrypted backups and LDIF exports only used a secret key that was known only to servers within the replication topology. The new options make it easier to restore encrypted backups and import encrypted LDIF files in servers outside of the replication topology. The encrypt-file utility can be used to decrypt encrypted backups and LDIF exports, regardless of how the encryption key was obtained.</li><li>* Added the ability to limit the rate at which backups and LDIF exports will be written to disk, which can help avoid performance problems that result from these operations saturating the disk subsystem.</li><li>* Added new global configuration properties for automatically encrypting backups and LDIF exports by default, which will be set to true if data encryption is enabled during setup.</li><li>* Added new global configuration properties that can specify which encryption settings definitions will be used to obtain the encryption keys for automatically encrypted backups and LDIF exports. If not specified, then the server will use its preferred encryption settings definition, or an internal topology key if no encryption settings definitions are available.</li><li>* Added a new configuration property for automatically compressing encrypted LDIF exports.</li><li>* Updated the backup tool to add new --promptForEncryptionPassphrase, --encryptionPassphraseFile, and --encryptionSettingsDefinitionID arguments that can be used to specify which key to use for encrypting the backup. Added a new --doNotEncrypt argument that can be used to force a backup to be unencrypted even if automatic encryption is enabled. Added a new --maxMegabytesPerSecond argument that can be used to impose a limit on the rate at which the backup may be written to disk.</li><li>* Updated the restore tool to add new --promptForEncryptionPassphrase and --encryptionPassphraseFile arguments that can be used to provide a user-supplied passphrase for use in accessing the contents of an encrypted backup. For backups encrypted with an encryption settings definition or an internal topology key, the server will automatically be able to determine the correct key.</li><li>* Updated the export-ldif tool to add new --promptForEncryptionPassphrase, --encryptionPassphraseFile, and --encryptionSettingsDefinitionID arguments that can</li></ul>

Ticket ID	Description
DS-15223,DS-35895	<p>Added the ability to configure data encryption during setup using a randomly generated key, a key generated from a user-supplied passphrase, or a key obtained from an export of another server's encryption settings database. When setting up multiple instances, providing the same encryption passphrase to each instance will ensure that all instances have the same encryption key.</p> <p>The encryption-settings tool has also been updated to allow creating encryption settings definitions from a passphrase, to allow providing a description when creating a new encryption settings definition, and to record a create timestamp for new definitions. It is now possible to create ciphers that use the Galois Counter Mode (GCM) cipher mode (for example, using a cipher transformation of "AES/GCM/PKCS5Padding") for authenticated encryption. Definitions created with just a cipher algorithm but no transformation will now use stronger settings.</p> <p>The default encryption settings export format now provides stronger encryption. Newer server instances should be able to import encryption settings exported from other servers without issue. When exporting encryption settings for import into older servers, use the new --use-legacy-export-format argument.</p>
DS-16508	<p>Updated the dsconfig list subcommands to list objects of all complexity levels rather than requiring the --advanced flag to list advanced and expert objects.</p>
DS-17176	<p>Updated the entry balancing request processor's handling of add operations within an atomic multi-update extended operation. Now, backend servers are not searched for a pre-existing entry if the parent entry was already found to not exist while processing the multi-update request. This eliminates some redundant searches, which reduces the load on the backend servers.</p>
DS-17883	<p>Added an ldap-debugger tool that acts as a simple LDAP proxy between a client and a directory server and decodes all requests and responses that pass through it.</p>
DS-17891	<p>Added a new manage-certificates tool that can be used to perform a number of functions related to TLS certificate management.</p>

Ticket ID	Description
DS-18204	Fixed a defect where a web application extension's base context path could be set to "/" with no name.
DS-35523	The update tool now enforces specification of a new product license when updating to a new major version. The license can be specified using the --licenseKeyFile command-line options, or by copying the license file to the top-level directory of the server package used to perform the update. Request a license key through the Ping Identity licensing website <a href="https://www.pingidentity.com/en/account/request-license-key.html">https://www.pingidentity.com/en/account/request-license-key.html</a> , or contact <a href="mailto:sales@pingidentity.com">sales@pingidentity.com</a> .
DS-35536	Support for the IBM JDK has been retired.
DS-35576	Updated the JMX connection handler's monitor provider so that when a JMX connection is closed, it is removed from the list of established connections. After a JMX client disconnects, it may take the server a few minutes to detect the closure and update the monitor.
DS-35581	Updated the server to include an instance of the Periodic Stats Logger Plugin that is enabled out-of-the-box to aid in diagnosing support issues. The "Historical Stats Logger" plugin will log performance statistics to logs/monitor-history/historical-dsstats.csv every five minutes. This works in concert with the "Monitor History" plugin, which logs the full contents of cn=monitor to logs/monitor-history every five minutes. The tail of this csv file is automatically included in the output generated by collect-support-data.
DS-35583	Fixed a defect where configuring a Directory server on a Windows machine with a space in the home directory pathname would cause server setup to fail.

Ticket ID	Description
DS-35596	<p>Updated the Directory Proxy Server to improve performance when detecting that a server has become unavailable, especially when communication is secured with TLS and TLS negotiation is stalled.</p> <p>Also added a new health-check-connect-timeout configuration property for LDAP external servers. This property can be used to specify a shorter timeout when connecting to a server for the purpose of evaluating the health of the server than when creating a connection that will be used to forward client requests to that server. If a health-check-connect-timeout value is not configured, then the Directory Proxy Server will continue to use the value of the connect-timeout property for health check connections as well as for connections used to process client requests.</p>
DS-35601	<p>Added a new Monitor Entry for SSL Cipher Suite and Protocol information. It is available under <code>cn=SSL Context,cn=monitor</code>.</p>
DS-35648	<p>Added a missing double-quote to <code>bat/transform-ldif.bat</code>, which prevented the command from being invoked successfully on Windows systems.</p>
DS-35697	<p>Fixed an issue in which the Directory Proxy Server did not set the correct response timeout for forwarded bind operations. If a backend server did not respond to a bind request, the Directory Proxy Server would have waited for up to five minutes before trying another server or returning an error response to the client.</p>
DS-35709	<p>Changed <code>enable-sub-operation-timer</code> on the Global Configuration to be true by default. This exposes operation timing information in the Sub-Operation Timing Monitor and any Operation Timing Access Log Publishers that have been configured. Enabling this tracking has about a 3% impact on operation throughput and latency, which will not be noticeable in most deployments and is an acceptable tradeoff for understanding where operation processing time is spent. However, it can be explicitly set to false to turn this tracking off.</p>
DS-35727,DS-35728	<p>Updated setup to include key usage, extended key usage, and subject alternative name extensions in the self-signed certificates that it generates.</p>

Ticket ID	Description
DS-35750	Added support for multiple client connection policies for sensitive attributes. Support for different sensitive attributes per client requires the use of multiple client connection policies with the same names on the Directory Server and the Proxy Server. When a client request is processed by a Proxy Server, the Directory Server looks for a policy in its own configuration with the same name as the one in the Proxy Server. The Directory Server then uses this policy rather than the one associated with the Proxy Server's connection.
DS-35868	The create-systemd-script command now suggests placing the script created in "/etc/systemd/system."
DS-35990	Provided the means to request that the server dynamically reload the certificate key and trust stores used by all HTTP connection handler instances that provide support for HTTPS. The request can be made using a new reload HTTP connection handler certificates task, the reload-http-connection-handler-certificates tool, or programmatically from a Server SDK extension using the <code>ServerContext#reloadHTTPConnectionHandlerCertificates</code> method.
DS-36025	Added a close-connections-when-unavailable property to the LDAP Connection Handler configuration. This allows a connection handler to be closed whenever the server sets an unavailable alert type, such as when backend data is unavailable. This should trigger clients to failover to another server. When the unavailable alert type is cleared, the connection handler is started again. When using this configuration setting, we recommend using two connection handlers: one for client traffic, with this option set to true, and one for administration and monitoring, with this option set to false. This allows the server to be visible to administrators but not to clients.
DS-36054	Added an encrypt-file tool that can encrypt and decrypt data with a user-supplied passphrase, an encryption settings definition, or a topology key shared among server instances. It includes support for decrypting the content in encrypted backups, LDIF exports, and log files.
DS-36070	Fixed an issue with compressed logging that could leave some data buffered in memory and not actually written out to disk until the logger is closed.

Ticket ID	Description
DS-36075	Updated tools that interact with log or LDIF files to support reading from input files that are compressed and encrypted and writing to compressed and encrypted output files.
DS-36088	In addition to specifying an exact set of desired cipher suites for the LDAP and HTTP Connection Handlers, administrators can now specify inclusions to, or exclusions from, the set of cipher suites selected by the server.
DS-36093	Added support for TLS1.2 with STARTTLS to connect to an SMTP server.
DS-36093	Added support for TLS1.2 with STARTTLS to connect to SMTP server
DS-36230	Improved the server's handling of DN's and RDN's that contain characters whose UTF-8 encodings require more than two bytes.
DS-36315	Updated the Directory Proxy Server so that if it encounters a problem while trying to follow a referral on behalf of the client (for example, if it can't establish a connection to the server indicated in the referral), it will include additional information about the failure in the access log message for that operation.
DS-36328	Updated the server to reduce contention when converting between strings and the bytes that comprise those strings.
DS-36360	Increased the default size of the queue used to hold alert notifications so they can be asynchronously processed by a background thread. This makes it less likely that the queue will become full if many alerts are generated in a short period of time, which would cause subsequent attempts to generate alerts to block while the server catches up. Also updated the server to log a message when the queue becomes full so that administrators will be aware of the problem and will have suggestions for addressing it.
DS-36377	Fixed an issue where a configuration change to enable a Delegated Administrator could be incorrectly rejected after a configuration change to the parent Delegated Admin Resource Type.

Ticket ID	Description
DS-36455	Updated the proxy server to discard a connection whenever an operation times out rather than reusing it. A new connection is then established. This avoids a cascading error condition when a network problem allows traffic from the proxy server to the directory server but not the reverse.
DS-36545	Added a sanitize option to the Monitor History Plugin that, if enabled, will redact the small amount of potentially personally identifiable information that could appear in search filters and LDAP DNs within the monitor. This makes it easier to share the monitor history files with the support team in secure environments.

## Directory Proxy Server 6.2.0.0 Release Notes

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### Resolved Issues

The following issues have been resolved with this release of the PingDirectoryProxy Server:

Ticket ID	Description
DS-811	Added an optional reason parameter for dsconfig changes that will be automatically included in the server's config-audit.log file.
DS-811	Added an optional reason parameter for dsconfig changes that will be automatically included in the server's config-audit.log file.
DS-1029	The server now monitors important certificates used for client and inter-server communication. Certificate information is available in the Administrative Console and in the status tool output. An alarm is raised and alerts are sent when a monitored certificate is 30 days from expiration.
DS-1029	The server now monitors important certificates used for client and inter-server communication. Certificate information is available in the Administrative Console and in the status tool output. An alarm is raised and alerts are sent when a monitored certificate is 30 days from expiration.

Ticket ID	Description
DS-2074	<p data-bbox="850 218 1458 275">Updated the installer to discourage the use of weak root passwords.</p> <p data-bbox="850 296 1458 642">When run in interactive mode, setup will display a list of password quality recommendations before prompting for the initial root password, suggesting that it should be at least 12 characters long, should not be contained in a dictionary of English words, and should not be contained in a dictionary of commonly-used passwords. If the proposed password does not meet these constraints, then the user will be given the option of proceeding with the provided weak password or choosing a different password.</p> <p data-bbox="850 663 1458 814">When run in non-interactive mode, setup will exit with an error if the proposed initial root password does not satisfy the above constraints, unless the command line also includes the <code>--allowWeakRootUserPassword</code> argument.</p> <p data-bbox="850 835 1458 987">In either mode, when a strong initial root password is supplied, setup will also configure the root users' password policy to ensure that subsequent root user passwords will also be required to satisfy these constraints.</p>
DS-2074	<p data-bbox="850 1031 1458 1087">Updated the installer to discourage the use of weak root passwords.</p> <p data-bbox="850 1108 1458 1455">When run in interactive mode, setup will display a list of password quality recommendations before prompting for the initial root password, suggesting that it should be at least 12 characters long, should not be contained in a dictionary of English words, and should not be contained in a dictionary of commonly-used passwords. If the proposed password does not meet these constraints, then the user will be given the option of proceeding with the provided weak password or choosing a different password.</p> <p data-bbox="850 1476 1458 1627">When run in non-interactive mode, setup will exit with an error if the proposed initial root password does not satisfy the above constraints, unless the command line also includes the <code>--allowWeakRootUserPassword</code> argument.</p> <p data-bbox="850 1648 1458 1799">In either mode, when a strong initial root password is supplied, setup will also configure the root users' password policy to ensure that subsequent root user passwords will also be required to satisfy these constraints.</p>

Ticket ID	Description
DS-4161	Updated PingDirectory, PingDirectoryProxy, PingDataSync, and PingDataGovernance with the capability to run as Windows Services.
DS-4161	Updated PingDirectory, PingDirectoryProxy, PingDataSync, and PingDataGovernance with the capability to run as Windows Services.
DS-10694	<p>Updated the Server SDK to provide methods for obtaining a single LDAP connection or an LDAP connection pool with connections established to a specified LDAP external server defined in the server configuration.</p> <p>Also updated the server configuration to add support for obscured values. An obscured value is a general-purpose string that is stored in an obscured form in the configuration so that its plaintext value is not readily discernible to anyone looking at the configuration file and so that the value is not displayed in administrative interfaces. The Server SDK provides a method for obtaining the plaintext representation of an obscured value, and this mechanism can be used to store potentially sensitive values in the configuration for use in Server SDK extensions without the need to store those values in the clear.</p>
DS-10694	<p>Updated the Server SDK to provide methods for obtaining a single LDAP connection or an LDAP connection pool with connections established to a specified LDAP external server defined in the server configuration.</p> <p>Also updated the server configuration to add support for obscured values. An obscured value is a general-purpose string that is stored in an obscured form in the configuration so that its plaintext value is not readily discernible to anyone looking at the configuration file and so that the value is not displayed in administrative interfaces. The Server SDK provides a method for obtaining the plaintext representation of an obscured value, and this mechanism can be used to store potentially sensitive values in the configuration for use in Server SDK extensions without the need to store those values in the clear.</p>
DS-10748	Added configuration options for setting the SSL Protocol and/or the SSL Cipher Suites to the HTTPS Connection Handler.

Ticket ID	Description
DS-10748	Added configuration options for setting the SSL Protocol and/or the SSL Cipher Suites to the HTTPS Connection Handler.
DS-11217	The Globally-Unique Attribute Plugin has a new multiple-attribute behavior option named "unique-in-combination." When selected, this option ensures the uniqueness of combinations of values for the configured attributes. For example, if no two users may have the same value for both givenName and sn, but users may have the same givenName or the same sn, use unique-in-combination.
DS-11217	The Globally-Unique Attribute Plugin has a new multiple-attribute behavior option named "unique-in-combination." When selected, this option ensures the uniqueness of combinations of values for the configured attributes. For example, if no two users may have the same value for both givenName and sn, but users may have the same givenName or the same sn, use unique-in-combination.
DS-12520	Updated the Server SDK to include an example plugin that enforces that values of a specified JSON field are unique across entries or across multiple values within the same entry. The plugin can be used in either the Directory Server (for cases in which each server contains a complete copy of the data) or the Directory Proxy Server (for cases in which the data is spread across multiple servers, like when using entry balancing).
DS-12520	Updated the Server SDK to include an example plugin that enforces that values of a specified JSON field are unique across entries or across multiple values within the same entry. The plugin can be used in either the Directory Server (for cases in which each server contains a complete copy of the data) or the Directory Proxy Server (for cases in which the data is spread across multiple servers, like when using entry balancing).
DS-13721	Corrected the port number returned in the error message that is displayed when an administrator is trying to set up a server that is already running.
DS-13721	Corrected the port number returned in the error message that is displayed when an administrator is trying to set up a server that is already running.
DS-14650	Enhanced the HTTPS Connection Handler to send a HTTP Strict Transport Security header by default in all responses.

Ticket ID	Description
DS-14650	Enhanced the HTTPS Connection Handler to send a HTTP Strict Transport Security header by default in all responses.
DS-15861,DS-15862	Replaced the ldapsearch and ldapmodify tools with new versions. The new versions are backward-compatible, but offer a number of new features, including better connection handling, better output formatting, better support for bulk operations, support for referrals, support for additional request and response controls, and rate limiting. The ldapsearch tool now offers the ability to output results in JSON, CSV, or tab-delimited text as an alternative to LDIF, and provides support for a number of data transformations. The ldapmodify tool now supports the LDIF control syntax, as well as writing to output and reject files.
DS-15861,DS-15862	Replaced the ldapsearch and ldapmodify tools with new versions. The new versions are backward-compatible, but offer a number of new features, including better connection handling, better output formatting, better support for bulk operations, support for referrals, support for additional request and response controls, and rate limiting. The ldapsearch tool now offers the ability to output results in JSON, CSV, or tab-delimited text as an alternative to LDIF, and provides support for a number of data transformations. The ldapmodify tool now supports the LDIF control syntax, as well as writing to output and reject files.
DS-15871	Improved support for password modify extended requests processed through the Directory Proxy Server. Those operations will now be processed more reliably and the results will be more consistent with the results obtained from sending the requests directly to a Directory Server instance.
DS-15871	Improved support for password modify extended requests processed through the Directory Proxy Server. Those operations will now be processed more reliably and the results will be more consistent with the results obtained from sending the requests directly to a Directory Server instance.

Ticket ID	Description
DS-16361	<p>Updated the server to fix a problem with the way that DNs containing hex-encoded RDN values are treated, which could cause the server to accept certain incorrectly encoded DNs, to incorrectly store DNs provided with hex encoding, and to fail to identify the correct DN when using a non-hex-encoded DN to reference a DN that was stored with a hex-encoded representation or when using a hex-encoded DN to reference a DN that was stored with a non-hex-encoded representation.</p> <p>Using hexadecimal encoding in DNs is very rare in practice, so this should have no effect on most deployments. However, any deployments that contain entries stored with hex-encoded DNs, whether used in the DN of the entry or as a value for an indexed attribute with a DN syntax, may need to export that data before performing an update and re-import that data after the update has completed.</p>
DS-16361	<p>Updated the server to fix a problem with the way that DNs containing hex-encoded RDN values are treated, which could cause the server to accept certain incorrectly encoded DNs, to incorrectly store DNs provided with hex encoding, and to fail to identify the correct DN when using a non-hex-encoded DN to reference a DN that was stored with a hex-encoded representation or when using a hex-encoded DN to reference a DN that was stored with a non-hex-encoded representation.</p> <p>Using hexadecimal encoding in DNs is very rare in practice, so this should have no effect on most deployments. However, any deployments that contain entries stored with hex-encoded DNs, whether used in the DN of the entry or as a value for an indexed attribute with a DN syntax, may need to export that data before performing an update and re-import that data after the update has completed.</p>
DS-16405	<p>The SNMP context name for the server can now be configured using the new context-name property of the SNMP Subagent Plugin. The server instance name remains the default context name when this property is not set.</p>
DS-16405	<p>The SNMP context name for the server can now be configured using the new context-name property of the SNMP Subagent Plugin. The server instance name remains the default context name when this property is not set.</p>

Ticket ID	Description
DS-16509	Updated the access and audit loggers so that, when logging information about an internal operation that was triggered by an external client request, the log message will include the connection and operation ID for that request. Also updated the error logger so that when logging a message from a thread that is actively processing an operation, the log message will include the connection and operation ID for that operation.
DS-16509	Updated the access and audit loggers so that, when logging information about an internal operation that was triggered by an external client request, the log message will include the connection and operation ID for that request. Also updated the error logger so that when logging a message from a thread that is actively processing an operation, the log message will include the connection and operation ID for that operation.
DS-16593	Fixed an issue where incorrect names were displayed in the usage for the start scripts.
DS-16593	Fixed an issue where incorrect names were displayed in the usage for the start scripts.
DS-16789	The script files used to stop and start the server have been renamed stop-server and start-server. The older scripts are still present but may be removed in a future release of the product.
DS-16789	The script files used to stop and start the server have been renamed stop-server and start-server. The older scripts are still present but may be removed in a future release of the product.
DS-16858	The modifierName and modifyTimestamp attributes are now updated when offline configuration changes are made.
DS-16858	The modifierName and modifyTimestamp attributes are now updated when offline configuration changes are made.
DS-16906	Added a disabled-alert-type configuration property to the Alert Backend that can be used to suppress specific alert types from being added to the backend.
DS-16906	Added a disabled-alert-type configuration property to the Alert Backend that can be used to suppress specific alert types from being added to the backend.

Ticket ID	Description
DS-17002	<p data-bbox="850 218 1453 369">Updated support for the UNBOUNDID-MS-CHAP-V2 SASL mechanism to make it easier for an intermediate application to support delegating MS-CHAPv2 authentication to the Directory Server. This includes:</p> <ul data-bbox="850 394 1453 1052" style="list-style-type: none"><li data-bbox="850 394 1453 579">- The client SDK has been updated to make it easier to issue separate bind requests for each phase of the two-step authentication process. Previously, the API only exposed a single bind request that would perform both stages of the process.</li><li data-bbox="850 604 1453 789">- A new "proxied MS-CHAPv2 details" request control has been provided, which can be used to allow an intermediate application acting as an MS-CHAPv2 server to generate its own server challenge rather than obtaining one from the Directory Server.</li><li data-bbox="850 814 1453 1052">- The client SDK has been updated to improve the javadoc documentation. A number of examples are included to demonstrate the process of using the SDK to authenticate with the UNBOUNDID-MS-CHAP-V2 mechanism. The README file has also been updated with instructions for enabling server-side support for the UNBOUNDID-MS-CHAP-V2 mechanism.</li></ul>

Ticket ID	Description
DS-17002	<p>Updated support for the UNBOUNDID-MS-CHAP-V2 SASL mechanism to make it easier for an intermediate application to support delegating MS-CHAPv2 authentication to the Directory Server. This includes:</p> <ul style="list-style-type: none"> <li>- The client SDK has been updated to make it easier to issue separate bind requests for each phase of the two-step authentication process. Previously, the API only exposed a single bind request that would perform both stages of the process.</li> <li>- A new "proxied MS-CHAPv2 details" request control has been provided, which can be used to allow an intermediate application acting as an MS-CHAPv2 server to generate its own server challenge rather than obtaining one from the Directory Server.</li> <li>- The client SDK has been updated to improve the javadoc documentation. A number of examples are included to demonstrate the process of using the SDK to authenticate with the UNBOUNDID-MS-CHAP-V2 mechanism. The README file has also been updated with instructions for enabling server-side support for the UNBOUNDID-MS-CHAP-V2 mechanism.</li> </ul>
DS-17008	Fixed an issue that could impede the timely replication of subtree-delete requests contained in a transaction.
DS-17008	Fixed an issue that could impede the timely replication of subtree-delete requests contained in a transaction.
DS-17019	The server now requires Java version 8.
DS-17019	The server now requires Java version 8.
DS-17078	Updated a couple of cases where filtered SCIM searches for groups with missing members were not returned.
DS-17078	Updated a couple of cases where filtered SCIM searches for groups with missing members were not returned.
DS-17080	Improved error reporting for the manage-extensions tool.
DS-17080	Improved error reporting for the manage-extensions tool.

Ticket ID	Description
DS-17146	<p data-bbox="849 216 1450 405">Updated the logic used to select which TLS cipher suites should be enabled by default, and the logic used to prioritize those cipher suites. The selection process has been updated to use the guidelines provided in the OWASP "Transport Layer Protection Cheat Sheet" document.</p> <p data-bbox="849 422 1203 453">Some of the changes include:</p> <ul data-bbox="849 470 1466 1392" style="list-style-type: none"><li data-bbox="849 470 1466 596">- The server already preferred cipher suites that support forward secrecy over those that don't. It now prefers DHE over ECDHE, and avoids suites that use non-RSA keys.</li><li data-bbox="849 613 1466 835">- The server already avoided cipher suites that used known-weak cryptographic weaknesses, including null encryption, the RC4 symmetric cipher, and the MD5 digest algorithm. It now also avoids anonymous encryption, the single-DES symmetric cipher, the IDEA symmetric cipher, and any suite using export-level encryption.</li><li data-bbox="849 852 1466 947">- The server now prefers cipher suites that use the Galois/Counter Mode (GCM) over the Cipher Block Chaining (CBC) mode.</li><li data-bbox="849 963 1466 1152">- The server now prefers AES-based cipher suites with 256-bit keys over those that use 128-bit keys. For suites with equivalent key sizes, it prefers suites with a stronger message digest algorithm over suites with a weaker digest algorithm (e.g., SHA384 over SHA256 over SHA).</li><li data-bbox="849 1169 1466 1392">- The server now provides better support for selecting and prioritizing ciphers when running on the IBM JVM. The IBM JVM uses somewhat different naming for its cipher suites than the Oracle implementation, which previously allowed certain desirable suites to not be included in the selected set.</li></ul>

Ticket ID	Description
DS-17146	<p>Updated the logic used to select which TLS cipher suites should be enabled by default, and the logic used to prioritize those cipher suites. The selection process has been updated to use the guidelines provided in the OWASP "Transport Layer Protection Cheat Sheet" document.</p> <p>Some of the changes include:</p> <ul style="list-style-type: none"><li>- The server already preferred cipher suites that support forward secrecy over those that don't. It now prefers DHE over ECDHE, and avoids suites that use non-RSA keys.</li><li>- The server already avoided cipher suites that used known-weak cryptographic weaknesses, including null encryption, the RC4 symmetric cipher, and the MD5 digest algorithm. It now also avoids anonymous encryption, the single-DES symmetric cipher, the IDEA symmetric cipher, and any suite using export-level encryption.</li><li>- The server now prefers cipher suites that use the Galois/Counter Mode (GCM) over the Cipher Block Chaining (CBC) mode.</li><li>- The server now prefers AES-based cipher suites with 256-bit keys over those that use 128-bit keys. For suites with equivalent key sizes, it prefers suites with a stronger message digest algorithm over suites with a weaker digest algorithm (e.g., SHA384 over SHA256 over SHA).</li><li>- The server now provides better support for selecting and prioritizing ciphers when running on the IBM JVM. The IBM JVM uses somewhat different naming for its cipher suites than the Oracle implementation, which previously allowed certain desirable suites to not be included in the selected set.</li></ul>
DS-17241	<p>The Administrative Console is no longer compatible with older versions of the server.</p>
DS-17241	<p>The Administrative Console is no longer compatible with older versions of the server.</p>

Ticket ID	Description
DS-17243	<p data-bbox="850 218 1446 407">Added support for a uniqueness request control, which can be included in an add, modify, or modify DN request to indicate that the server should attempt to identify any conflicts that the requested operation might introduce with one or more other entries that exist within the directory topology.</p> <p data-bbox="850 428 1463 743">Criteria for identifying conflicts can be specified with one or more attribute types, with a search filter, or both. If the uniqueness criteria includes multiple attribute types, then a multiple attribute behavior can be used to indicate whether to enforce uniqueness separately for each attribute type, to prevent conflicts across any of the specified attribute types, or to ensure that each entry has a unique combination of the values of those attributes.</p> <p data-bbox="850 764 1463 1268">The server can perform pre-commit validation, in which case it will reject the request without applying any changes if it detects that it would have introduced a conflict, and it can also perform post-commit validation, where it can detect conflicts that may have arisen after changes were applied (for example, because of another change being processed at the same time on a different server). When attached to a request sent through the Directory Proxy Server, the uniqueness request control may include pre-commit and post-commit validation levels to indicate how thoroughly it should work to identify conflicts (for example, to perform the search in a single backend server, in at least one server in each backend set, or in all available backend servers).</p> <p data-bbox="850 1289 1463 1562">The control can also include a base DN that can be used to narrow the scope of conflict detection (for example, to ensure that there will not be any conflicts within one particular branch, while ignoring conflicts with entries that may exist elsewhere in the DIT), and it can detect or ignore conflicts with soft-deleted entries. Multiple uniqueness controls can be included in the same request if multiple uniqueness constraints should be enforced.</p>

Ticket ID	Description
DS-17243	<p>Added support for a uniqueness request control, which can be included in an add, modify, or modify DN request to indicate that the server should attempt to identify any conflicts that the requested operation might introduce with one or more other entries that exist within the directory topology.</p> <p>Criteria for identifying conflicts can be specified with one or more attribute types, with a search filter, or both. If the uniqueness criteria includes multiple attribute types, then a multiple attribute behavior can be used to indicate whether to enforce uniqueness separately for each attribute type, to prevent conflicts across any of the specified attribute types, or to ensure that each entry has a unique combination of the values of those attributes.</p> <p>The server can perform pre-commit validation, in which case it will reject the request without applying any changes if it detects that it would have introduced a conflict, and it can also perform post-commit validation, where it can detect conflicts that may have arisen after changes were applied (for example, because of another change being processed at the same time on a different server). When attached to a request sent through the Directory Proxy Server, the uniqueness request control may include pre-commit and post-commit validation levels to indicate how thoroughly it should work to identify conflicts (for example, to perform the search in a single backend server, in at least one server in each backend set, or in all available backend servers).</p> <p>The control can also include a base DN that can be used to narrow the scope of conflict detection (for example, to ensure that there will not be any conflicts within one particular branch, while ignoring conflicts with entries that may exist elsewhere in the DIT), and it can detect or ignore conflicts with soft-deleted entries. Multiple uniqueness controls can be included in the same request if multiple uniqueness constraints should be enforced.</p>
DS-17318	<p>Removed the default root password from the out-of-the-box configuration. This password was never actually used because it was replaced by the user-supplied password provided when running setup, and it has been removed for additional security.</p>

Ticket ID	Description
DS-17318	<p>Removed the default root password from the out-of-the-box configuration. This password was never actually used because it was replaced by the user-supplied password provided when running setup, and it has been removed for additional security.</p>
DS-17444	<p>Updated the server to reduce the use of the SHA-1 message digest. The server will now use a 256-bit SHA-2 digest instead of a SHA-1 digest in all of the following cases:</p> <ul style="list-style-type: none"><li>- When hashing or signing a backup.</li><li>- When signing an LDIF export.</li><li>- When signing log data.</li><li>- When generating MACs for an encrypted collect-support-data archive.</li><li>- When generating unique identifiers for encryption settings definitions.</li><li>- When determining whether the configuration changed with the server offline.</li></ul> <p>In all of the above cases, the server includes metadata in the output of the cryptographic processing to indicate the digest or MAC algorithm used for that processing, which ensures that the output remains compatible across server versions. For example, an LDIF export that uses a signature generated with the SHA-2 digest can be successfully imported into older versions of the server.</p> <p>Also, the fingerprint certificate mapper has been updated so that it can use the 256-bit SHA-2 digest when mapping a client certificate to the corresponding user entry. The previous MD5 and SHA-1 digests remain supported.</p> <p>Finally, the example enhanced password storage scheme provided with the UnboundID Server SDK has been updated so that it uses the 256-bit SHA-2 digest instead of a SHA-1 digest.</p>

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DS-17444	<p>Updated the server to reduce the use of the SHA-1 message digest. The server will now use a 256-bit SHA-2 digest instead of a SHA-1 digest in all of the following cases:</p> <ul style="list-style-type: none"><li>- When hashing or signing a backup.</li><li>- When signing an LDIF export.</li><li>- When signing log data.</li><li>- When generating MACs for an encrypted collect-support-data archive.</li><li>- When generating unique identifiers for encryption settings definitions.</li><li>- When determining whether the configuration changed with the server offline.</li></ul> <p>In all of the above cases, the server includes metadata in the output of the cryptographic processing to indicate the digest or MAC algorithm used for that processing, which ensures that the output remains compatible across server versions. For example, an LDIF export that uses a signature generated with the SHA-2 digest can be successfully imported into older versions of the server.</p> <p>Also, the fingerprint certificate mapper has been updated so that it can use the 256-bit SHA-2 digest when mapping a client certificate to the corresponding user entry. The previous MD5 and SHA-1 digests remain supported.</p> <p>Finally, the example enhanced password storage scheme provided with the UnboundID Server SDK has been updated so that it uses the 256-bit SHA-2 digest instead of a SHA-1 digest.</p>
DS-17463	<p>Updated the Admin Alerts Health Check to tolerate an incorrect LDAP result code returned by Active Directory when testing for the existence of <code>cn=alerts</code>. With this change, having <code>use-for-all-servers=true</code> configured on the Admin Alerts Health Check will no longer cause Active Directory servers to be flagged as UNAVAILABLE.</p>
DS-17463	<p>Updated the Admin Alerts Health Check to tolerate an incorrect LDAP result code returned by Active Directory when testing for the existence of <code>cn=alerts</code>. With this change, having <code>use-for-all-servers=true</code> configured on the Admin Alerts Health Check will no longer cause Active Directory servers to be flagged as UNAVAILABLE.</p>
DS-17544	<p>The Administrative Console can be deployed in an external web container, such as Tomcat, using the contents of <code>resource/admin-console.zip</code>, located in the server root.</p>

Ticket ID	Description
DS-17544	The Administrative Console can be deployed in an external web container, such as Tomcat, using the contents of resource/admin-console.zip, located in the server root.
DS-17576	Updated the Server SDK's ServerContext to expose a ValueConstructor, which can be used to build String values using a value-pattern template that references attribute values within an Entry. See the Javadoc for the ValueConstructor class with the Server SDK packaging for more information.
DS-17576	Updated the Server SDK's ServerContext to expose a ValueConstructor, which can be used to build String values using a value-pattern template that references attribute values within an Entry. See the Javadoc for the ValueConstructor class with the Server SDK packaging for more information.
DS-17606	Fixed an issue in the fingerprint, subject attribute to user attribute, and subject DN to user attribute certificate mappers. When configured for use in processing SASL EXTERNAL bind requests, these certificate mappers would return the target user entry without any operational attributes. This could cause the server to behave incorrectly for any user-specific functionality that depends on operational attributes to function properly. This problem did not affect the subject equals DN certificate mapper, nor any custom certificate mapper implemented with the Server SDK.
DS-17606	Fixed an issue in the fingerprint, subject attribute to user attribute, and subject DN to user attribute certificate mappers. When configured for use in processing SASL EXTERNAL bind requests, these certificate mappers would return the target user entry without any operational attributes. This could cause the server to behave incorrectly for any user-specific functionality that depends on operational attributes to function properly. This problem did not affect the subject equals DN certificate mapper, nor any custom certificate mapper implemented with the Server SDK.

Ticket ID	Description
DS-17716	Addressed an issue where LDAP throughput and response time data were not available for tracked applications configured in the Directory Proxy Server. The problem occurred when the applications were identified by user entries stored in a Directory Server that was referenced by a proxying request processor where a value of 'true' was configured for the assign-client-connection-policy-from-backend-server setting.
DS-17716	Addressed an issue where LDAP throughput and response time data were not available for tracked applications configured in the Directory Proxy Server. The problem occurred when the applications were identified by user entries stored in a Directory Server that was referenced by a proxying request processor where a value of 'true' was configured for the assign-client-connection-policy-from-backend-server setting.
DS-17880	Fixed an issue that could prevent an entry-balanced Directory Proxy Server from returning a get password policy state issues response control in response to a failed bind attempt. Also, updated the access logger to include additional details in FORWARD-FAILED messages, including matched DN, referral URLs, and response controls.
DS-17880	Fixed an issue that could prevent an entry-balanced Directory Proxy Server from returning a get password policy state issues response control in response to a failed bind attempt. Also, updated the access logger to include additional details in FORWARD-FAILED messages, including matched DN, referral URLs, and response controls.
DS-17968	Limited the ACI search on collect support data tool to only pull 100 entries. This will reduce the time the tool takes to run for organizations with a large number of ACIs.
DS-17968	Limited the ACI search on collect support data tool to only pull 100 entries. This will reduce the time the tool takes to run for organizations with a large number of ACIs.
DS-18016	Added support for the X-Forwarded-Prefix header to override the context path of operations processed by Http Servlet Extensions.
DS-18016	Added support for the X-Forwarded-Prefix header to override the context path of operations processed by Http Servlet Extensions.

Ticket ID	Description
DS-18018	<p data-bbox="849 216 1430 499">Added support for the password update behavior request control, which allows requesters with the password-reset privilege to override certain behaviors that the server would normally exhibit when setting a user's password. The control can be included in an add request, modify request, or password modify extended request and can be used to override the server's normal behavior for any or all of the following:</p> <ul data-bbox="849 520 1446 1115" style="list-style-type: none"><li data-bbox="849 520 1446 583">- Whether the password update is a self change or an administrative reset</li><li data-bbox="849 600 1446 663">- Whether to accept or reject pre-encoded passwords</li><li data-bbox="849 680 1446 743">- Whether to perform or skip password quality validation for the new password</li><li data-bbox="849 760 1446 854">- Whether to check to see if the new password matches the current password or any password in the user's history</li><li data-bbox="849 871 1446 934">- Whether to enforce or ignore the minimum password age constraint</li><li data-bbox="849 951 1446 1014">- Which password storage scheme to use when encoding the new password</li><li data-bbox="849 1031 1446 1115">- Whether the user must be required to choose a new password before being permitted to request any other operations</li></ul>

Ticket ID	Description
DS-18018	<p>Added support for the password update behavior request control, which allows requesters with the password-reset privilege to override certain behaviors that the server would normally exhibit when setting a user's password. The control can be included in an add request, modify request, or password modify extended request and can be used to override the server's normal behavior for any or all of the following:</p> <ul style="list-style-type: none"><li>- Whether the password update is a self change or an administrative reset</li><li>- Whether to accept or reject pre-encoded passwords</li><li>- Whether to perform or skip password quality validation for the new password</li><li>- Whether to check to see if the new password matches the current password or any password in the user's history</li><li>- Whether to enforce or ignore the minimum password age constraint</li><li>- Which password storage scheme to use when encoding the new password</li><li>- Whether the user must be required to choose a new password before being permitted to request any other operations</li></ul>
DS-18100	<p>A license key is required when setting up a server for the first time. Request a license key through the Ping Identity licensing website <a href="https://www.pingidentity.com/en/account/request-license-key.html">https://www.pingidentity.com/en/account/request-license-key.html</a> or contact <a href="mailto:sales@pingidentity.com">sales@pingidentity.com</a>.</p>
DS-18100	<p>A license key is required when setting up a server for the first time. Request a license key through the Ping Identity licensing website <a href="https://www.pingidentity.com/en/account/request-license-key.html">https://www.pingidentity.com/en/account/request-license-key.html</a> or contact <a href="mailto:sales@pingidentity.com">sales@pingidentity.com</a>.</p>
DS-18142	<p>Round-robin load-balancing algorithm has been deprecated. The fewest-operations load-balancing algorithm should be used instead since it utilizes a pool of servers more efficiently than a simple round-robin algorithm.</p>
DS-18142	<p>Round-robin load-balancing algorithm has been deprecated. The fewest-operations load-balancing algorithm should be used instead since it utilizes a pool of servers more efficiently than a simple round-robin algorithm.</p>

Ticket ID	Description
DS-18185	Addressed an issue in the Server SDK where internal searches performed by extensions could fail in entry balanced environments. An internal search listener was not properly synchronized and could become corrupted when accessed by multiple threads when doing a broadcast search.
DS-18185	Addressed an issue in the Server SDK where internal searches performed by extensions could fail in entry balanced environments. An internal search listener was not properly synchronized and could become corrupted when accessed by multiple threads when doing a broadcast search.
DS-18188	Removed the ability to create custom HTTP trace loggers using the Server SDK.
DS-18188	Removed the ability to create custom HTTP trace loggers using the Server SDK.
DS-35495	Updated dsconfig batch mode to operate more efficiently over the WAN by consolidating the number of LDAP searches required to retrieve the full configuration when pre-validating configuration changes.
DS-35495	Updated dsconfig batch mode to operate more efficiently over the WAN by consolidating the number of LDAP searches required to retrieve the full configuration when pre-validating configuration changes.

## Directory Proxy Server 6.0.0.0 Release Notes

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### Upgrade Considerations

Important considerations for upgrading to this version of the PingDirectoryProxy Server

- Note: The product names have been updated to reflect the UnboundID acquisition by Ping Identity. This is a naming and branding change only; the code base is the same as in prior releases and will continue to be maintained into the future.
- If upgrading the server that was running an older version of the JDK, run the `dsjavaproperties --initialize` command after the software upgrade to compare the settings of the older JDK with requirements for the new server software. Apply any necessary changes to the upgraded server based on previous performance settings.
- The 6.0 release makes these changes to supported platforms:
  - CentOS 7.2 and RedHat 7.2 are now supported operating system versions.
  - SUSE 11 SP4 is now supported; SUSE 11 SP2 support has been retired.
  - Linux KVM and VMWare ESXi 6.x have been added as supported virtual machine environments.
  - Deprecation of JDKs 7.x. Customers are strongly advised to use JDK 8 with this release. A later release of the platform will remove support for JDK versions 7.x. At that time customers will be

required to upgrade to JDK 8.x when upgrading servers. This will apply to all of our JDK flavors (OpenJDK, OracleJDK, IBM JDK) on all platforms.

- WildFly 9.x (renamed from JBoss) is now a supported application server for all web applications, including the Administrative Console and sample applications. Support for JBoss 7.x has been retired. Tomcat support remains unchanged in this release.
- PBKDF2 is now the default encoding for root passwords. This only affects new installations.
- In addition to changing the default password storage scheme for root users to PBKDF2, the default password storage scheme for regular users has been changed to salted 256-bit SHA-2.
- HTTPS defaults to ON: servers now default to use HTTPS for console and API connections including the SCIM API. This may affect automation scripts and development environments where HTTPS has not been in use before.
- Generated user passwords, for example those created by the server during a password reset sequence, are now created as pass-phrases instead of random character strings. This makes them easier to type and remember. This change will not affect upgrades.
- The /config directory file permissions have been changed so that they are only accessible by the server user.
- Customers who choose to use the optional encryption algorithms provided by the third-party BouncyCastle library are encouraged to upgrade to BouncyCastle 1.54.

## What's New

These are new features for this release of the PingDirectoryProxy Server

- Added a new control for very large result sets 'maximum-sort-size-limit-without-ylv-index,' which allows client applications to request that the server gracefully degrades to unsorted results in cases where sorting a very large result set would have caused a time-out.
- Added LDAP support for applications that authenticate users with Yubikey one-time passwords. The extensions include the UNBOUNDID-YUBIKEY-OTP SASL handler configuration object, extended operations and command line tools for registering a user's Yubikey device, deregistering, and supporting authentication using either the one-time password (OTP) only, or the OTP together with a static password. The server can be configured to use the public Yubico validation service, or a different validation service. The Yubikey FIDO U2F, OATH HOTP, and PGP modes are not supported.
- Added new "generate TOTP shared secret" and "revoke TOTP shared secret" extended operations to make it easier for applications to enable TOTP authentication for users. While these operations are primarily intended to be invoked programmatically, a generate-totp-shared-secret tool can be used to invoke these operations from the command line.
- A new transform-ldif tool is available to read an LDIF file and write an updated file with a number of changes applied. The transformations include:
  - Scramble, replace, redact, or exclude a specified set of attributes.
  - Replace values of a specified attribute with a generated value that includes a sequential counter.
  - Exclude entries matching a provided set of criteria.
  - Add a given set of attribute values to entries matching a provided set of criteria.
  - Rename attributes.
  - Replace the base DN for entries in a specified subtree.
- A new load-ldap-schema-file tool is available for loading LDAP schemas while a server is active and on-line.
- A new register-yubikey-otp-device tool is available for creating or changing associations between users and specific OTP devices.
- The \*rate performance testing tools now includes some additional sample rate pattern files: hockey stick, step-function, sine, triangle, sawtooth and square wave patterns.
- The setup command now logs its input arguments, making it easier to confirm or duplicate a setup process. This changes the content of the log and may affect automated scripts that read these log files.

- The config-diff tool, which makes it easy to compare and reconcile settings between server instances, now also supports the --pretty-print option which adds line breaks to the generated lists of dsconfig commands.
- The manage-account tool has been enhanced significantly to make it easier to perform operations that affect large sets of user accounts including bulk lock-outs, parallel processing of updates, support for input filter criteria and DN lists. In particular, the manage-account tool now supports explicitly setting user accounts to the "locked-out" state. This is an improvement over earlier versions which required manipulation of operational attributes. See the command help for a complete list of the options and new sub-commands.
- For easier consumption by third-party analysis tools, the Directory and Proxy Servers can now output JSON log formats. Similar support will be added to the Data Sync and Governance Brokers in a later release.
- To help avoid issues when indexes near their index-entry-limit, the verify-indexes command now has the following two options:--listKeysNearestIndexEntryLimit, and --listKeysExceedingIndexEntryLimit. The Admin Guide includes a new section, "Monitoring Index Entry Limits", which explains how to set, track, and tune the server's Index Entry Limit values.
- Monitor entries have been added for a number of related metrics, all of which can be set to trigger alarms:
  - ds-index-unique-keys-near-entry-limit-accessed-by-search-since-db-open
  - ds-index-unique-keys-exceeding-entry-limit-accessed-by-search-since-db-open
  - ds-index-unique-keys-near-entry-limit-accessed-by-write-since-db-open
  - ds-index-unique-keys-exceeding-entry-limit-accessed-by-write-since-db-open
- The Pass-Through Authentication plugin has a new "allowLaxPassThroughAuthenticationPasswords" option that permits password changes that do not comply with the Directory Server's password policy. This facilitates integration in cases where the pass-through system has less-strict rules for new passwords.
- For Java developers whose tools and workflows make use of Maven, the Server SDK jar has been deployed to Maven Central so that a developer can now add the Server SDK as a project dependency by adding a few lines to a project's pom.xml. Also, developers can now generate a Server SDK project that Maven-aware IDEs such as IntelliJ IDEA can package into an extension bundle with no special configuration needed. This benefit extends similarly to continuous integration systems such as Jenkins.
- The dsconfig tool provides the ability to search for and quickly navigate to configuration objects and properties in which the name, synopsis, or description matches a provided pattern.
- A new rotate-log tool and task have been added, which can be used to trigger rotation of one or more log files.
- The Configuration API is now fully supported for all servers. In this release, the API was changed to match SCIM conventions for attribute naming, resource modeling, and the standard HTTP verbs. The UnboundID SCIM 2 SDK (available through GitHub) can now be used with the Configuration API.
- All servers have an updated web Administrative Console, which includes:
  - New layouts for operational statistics, processing time, queues, all monitors, and the list of installed extensions.
  - Alert and alarm displays, summarizing the data in cn=alerts and cn=alarms and based on the configured gauges. Plus, filtering and searching for these.
  - A new LDAP Schema Editor for importing schema files, validity checking, creation and editing of object classes and attribute types. The editor also supports viewing of the attribute syntaxes, inheritance, and indexes that exist for each attribute and the dependencies between object classes and attributes.
- The new Administrative Console can also be deployed to independent application servers instead of being co-hosted by the servers. This simplifies deployment models and increases separation between data and application layers.
- To assist with situations where a very large number of changes may cause disk, memory, and server start time to increase unexpectedly, alerting and gauge features have been added to the Recent Changes Database.

- Servers can now trigger events whenever log file rotation occurs. This includes "copy on rotate" and "summarize on rotate" listeners, as well as Server SDK support for creating custom log file rotation listeners.
- It is now possible to create, change, and remove root user accounts across the topology using the dsconfig tool and Administrative Console.

### Known Issues/Workarounds

The following are known issues in the current version of the PingDirectoryProxy Server

- When deploying the Administrative Console in Tomcat 8, and accessing the Administrative Console application using Tomcat's Web Application Manager, some browsers (including Safari and Firefox) will generate a path URL that encodes the dash in ubid-console. This results in a path such as `http://localhost:8888/ubid%2Dconsole/`, which causes session management errors. To workaround this issue, copy and paste the generated link into a browser, and replace the encoded dash with a dash (-) character.
- The `PermSize` and `MaxPermSize` JVM properties are no longer supported in JDK 8, and will safely be ignored. These properties can be removed by modifying the `config/java.properties` file and running `"bin/dsjavaproperties"` while the server is offline.
- Security criteria for root passwords with the default configuration will be increased in a future release. This might affect automated installation scripts that currently use less secure passwords. This will not affect existing root accounts.
- The `dsconfig` tool and the Administrative Console enables creating and managing new Root DN users in this release. However, there is a limitation with changing the password of the currently logged in administrator. The `ldappasswordmodify` command can be used to change the administrator's password by providing the current and new password.

### Resolved Issues

The following issues have been resolved with this release of the Directory Proxy Server:

Ticket ID	Description
DS-979	Added the ability to search for configuration objects and their properties by name with the dsconfig tool.
DS-4235	Added support for log file rotation listeners, which allow for custom processing whenever a log file is rotated out of service so that the server will no longer write to it. A copy listener (which will copy the rotated log file to an alternate location, optionally compressing it in the process), and a summarize listener (which will invoke the summarize-access-log tool on the rotated log file) are included. The Server SDK also includes an API for creating custom log file rotation listeners.
DS-7017	Added support for authenticating with one-time passwords generated by YubiKey devices. The server may be configured to require static passwords in conjunction with YubiKey one-time passwords as a form of two-factor authentication, or it may be configured so that a one-time password alone is sufficient for authentication.

Ticket ID	Description
DS-7505,DS-13571,DS-13860	<p data-bbox="849 216 1442 373">Updated the default file permissions for new installations on UNIX-based systems. Files and directories included in the zip file will be only be accessible to their owner (the user that unzipped the file) by default.</p> <p data-bbox="849 394 1442 678">Newly-created files and directories will also be assigned permissions that allow them to be accessed only by the account used to run the server. Existing configuration options for setting file permissions (the log-file-permissions and db-directory-permissions properties) will continue to behave as before. The new config/server.umask file will control the default permissions for all other newly-created files and directories.</p>

Ticket ID	Description
DS-9407,DS-15183,DS-15220	<p data-bbox="849 216 1458 342">Updated the initial server configuration to improve security and usability. These changes apply only to new installations and will not be applied when updating an existing installation. Changes include:</p> <ul data-bbox="849 359 1466 2100" style="list-style-type: none"><li data-bbox="849 359 1458 485">• Updated the default password policy to use a default password storage scheme that uses a salted 256-bit SHA-2 digest rather than a salted SHA-1 digest.</li><li data-bbox="849 489 1458 583">• Updated the root password policy to use a default password storage scheme of PBKDF2 rather than salted 512-bit SHA-2.</li><li data-bbox="849 588 1458 714">• Updated the secure password policy to use a default password storage scheme of PBKDF2 rather than a CRYPT variant that uses multiple rounds of 256-bit SHA-2.</li><li data-bbox="849 718 1466 938">• Updated the password policy import plugin so that it will attempt to use the default password policy to select the password storage scheme(s) to use for entries that do not explicitly specify a password policy. The plugin will also fall back to using a salted 256-bit SHA-2 scheme instead of a salted SHA-1 scheme.</li><li data-bbox="849 942 1458 1068">• A number of weaker password storage schemes have been disabled by default, including base64, clear, unsalted MD5, salted MD5, 3DES, RC4, and unsalted SHA-1.</li><li data-bbox="849 1073 1466 1230">• The default password policy has been updated to use a password generator that generates very strong yet memorable passphrases rather than a shorter and less-memorable string of randomly-selected characters.</li><li data-bbox="849 1234 1458 1360">• Many of the server loggers have been updated to include additional log elements by default, including the instance name, requester DN, requester IP address, and request controls.</li><li data-bbox="849 1365 1458 1585">• The exact match identity mapper has been updated to look at the mail attribute in addition to the uid attribute. When targeting a user with an authentication ID value (as when using SASL authentication or the proxied authorization v2 request control), it is now possible to specify an email address as an alternative to a user ID.</li><li data-bbox="849 1589 1458 1684">• The UNBOUNDID-TOTP SASL mechanism handler has been updated to prevent TOTP password reuse by default.</li><li data-bbox="849 1688 1466 1908">• Added new request criteria that make it possible to identify requests that target the root DSE or the subschema subentry. The global configuration has been updated so that requests targeting these entries will be in the default exceptions lists if the server is configured to reject insecure or unauthenticated requests.</li><li data-bbox="849 1913 1466 2100">• Updated the template that setup generates for creating sample data to use a more logical and user-friendly numeric range. When the user requests N entries, setup would previously number the entries 0 through N-1 (for example, if the user requested 1000 entries, they would</li></ul>

Ticket ID	Description
DS-10312	Added the server's process ID to the output of the status tool.
DS-10464	Added a new rotate-log tool to request the rotation of one or more log files.
DS-10466,DS-10765,DS-14479,DS-15318,DS-16154	Addressed a few issues in config-diff. In some situations, config-diff would not generate commands in an order that respected all dependencies. This has been fixed. Most expected warnings are now excluded by default but can be included in the output with the --includeAllWarnings option. The --sourceBindPasswordFile and --targetBindPassword are now applied in conjunction with the --targetConfigGroup and --sourceConfigGroup options.
DS-10946	Added a --dry-run option to dsconfig, which can be used in batch mode to validate the configuration changes in a batch file without applying them.
DS-11076	Updated the Proxy Server to forward Password Policy State and Validate TOTP Password extended operations to the backend Directory Server for processing. Also, the Proxy Server is now able to forward the following extended operations to a backend Directory Server in an entry-balancing configuration: Deliver Password Reset Token, Deliver Single Use Tokens and Get Supported OTP Delivery Mechanisms.
DS-12191	Added support for setting the request header size in the Jetty http configuration server properties.
DS-12555	Changed the Proxy Server search behavior to fail when processing a critical RouteToBackendSetRequestControl with an unknown entry balancing request processor ID included. Non-critical controls will ignore unknown request processor IDs.
DS-13401	Improved the collect-support-data tool to include information provided by systemd on platforms that support it.

Ticket ID	Description
DS-13700	<p>Updated command-line tools based on the LDAP SDK tool APIs to add the following features:</p> <ul style="list-style-type: none"><li>• Tools can obtain default values for any arguments not provided on the command line from a properties file. If it exists, the server's config/tools.properties file will be used by default. Command-line arguments can be used to specify an alternate properties file or to indicate that no properties file should be used.</li><li>• Tools can be launched in an interactive mode, in which the user is prompted for arguments used to establish and authenticate the connection, and for any other required arguments. The user can then use an interactive menu to specify values for any remaining arguments.</li></ul>
DS-13823	<p>Collect-support-data tool now captures Kerberos config and log information.</p>
DS-14213	<p>Added the ability to create local constants in LDIF template files using the new 'local' keyword.</p>
DS-14430	<p>Updated the Apache commons collections library to address the security vulnerability described by CVE 2015-4852.</p>
DS-14548	<p>Added a monitor entry for each Server SDK extension.</p>
DS-14694	<p>Added a --prettyPrint option to the config-diff tool to make the output more human-readable.</p>
DS-14699	<p>The server now enforces that attributes referenced in configuration properties are defined explicitly in the local schema. This includes cached attribute types as well, such as, the attribute types that a Proxy Server caches from backend Directory Server instances.</p>
DS-14704	<p>Updated the restore command so that it can no longer be used to restore a backup of the config backend. The command now points the administrator for safer ways to revert configuration changes, including using config-diff.</p>
DS-14749	<p>Updated the server's support for the Twilio Messaging Service so that it uses the newer "Messages" API when sending SMS messages instead of the older "SMS" API. The older API has been deprecated, and Twilio now imposes a 120-character limit for messages sent via that API. The messages API allows the server to take advantage of the full 160 characters per SMS message.</p>

Ticket ID	Description
DS-14805	Improved the admin alert health check system to handle situations where a massive number of admin alerts generated on an external server could result in the server being seen as unavailable.
DS-14807	Tools used to prepare a server for access by another server, such as prepare-external-server, now validate base DN entries before any modifications are performed on the prepared server.
DS-14857	Fixed an issue with the dsjavaproperties tool where java properties for PermSize and MaxPermSize could be added when using JDK 8, which no longer supports these options.
DS-14866	Fixed a race condition in the attribute index's cleanup thread, which was causing the Proxy Server to hang during startup.
DS-14878	Improved memory utilization when processing entries with very large attributes, to prevent possible data retention in memory.
DS-14889	Fixed an issue where the Proxy Server forwarded an atomic multi-update extended operation twice to the same backend set in an entry-balanced configuration, when the operation included a RouteToBackendSet control with absolute routing.
DS-14919	Added support for JSON-formatted access and error log messages.
DS-14922	Improved the subordinate subtree view processing logic to only use the exclude branch request control for subordinate views that are within the scope of the target DN, for search requests processed by the parent subtree view.
DS-14923	Updated the bcrypt, crypt, PBKDF2 and scrypt password storage schemes so they can be used to create new instances.
DS-14979	Fixed a case where attribute syntax configuration changes would not apply to undefined attributes, which rely on default attribute types.
DS-15015	Server SDK extensions are now built with a Java source version of 1.7 by default.

Ticket ID	Description
DS-15059	Fixed an issue with simple paged results that require spanning multiple backend servers through an entry balanced request processor to fill a single page. The operation would return with a 'no such object' result code if one of the backend servers used did not have any matching results.
DS-15088	The former suite of Administrative Console applications, each of which were tied to a particular product (for example the dsconsole.war for the Directory Server) are no longer available, and have been superceded by a new version of the Administrative Console capable of managing any server product. You can choose to access the Administrative Console by hosting it within a server, or by deploying it in an external servlet container. For the former, enable an HTTP Connection Handler and add the Administrative Console Web Application Extension to the handler. For the latter, download and unzip the management-console-[version].zip file, and install the ubid-console.war file according to your container's instructions.
DS-15108	Replaced the scramble-ldif tool with a more powerful transform-ldif tool with support for a number of additional transformation types. The new transform-ldif tool is backward compatible with the former scramble-ldif tool, and the scramble-ldif shell script and batch file are still included with the server to ensure compatibility with scripts that depend on that tool.
DS-15132	Improved the locking strategy for multi-update requests to better accommodate delete and add requests for the same entry. This also enables graceful failures for bad requests, instead of lock timeouts.
DS-15168	Increased the maximum size of the thread pool that is used to process entry balancing broadcast operations. The maximum is now 64 times the number of worker threads with an upper limit of 2048.
DS-15175	The Configuration API now returns unquoted, native Javascript values for integer, real number, and boolean properties. Duration and size property values, for example '1 w' or '100 G', continue to be represented as Javascript string types.

Ticket ID	Description
DS-15178	Improved the error messages and examples for create-rc-script and create-systemd-script by explicitly suggesting the use of sudo so that the scripts can modify protected files.
DS-15186	Fixed a rare condition where priming the Proxy server would not complete if a backend Directory Server server becomes unavailable.
DS-15195	Added support for server affinity using extended operations.
DS-15221	Changed interactive setup default value for HTTPS enablement.
DS-15337	Improved the error messages for create-rc-script and create-systemd-script when the directory in which the script will be created does not exist.
DS-15349	Added support for a "generate TOTP shared secret" extended operation that allows a client to request that the server generate a shared secret for a specified user that will be stored in the user's entry and returned to the client. That shared secret can be used to generate time-based one-time passwords for use in the course of authenticating to the server through the UNBOUNDID-TOTP SASL mechanism. A "revoke TOTP shared secret" extended operation was also added to allow a shared secret to be eliminated if it is no longer needed or may have been compromised. The password policy state extended operation and the manage-account command-line tool have also been updated to provide support for manipulating the set of TOTP shared secrets for a user.
DS-15361,DS-15363,DS-15434	Updated interactive setup to display default values, and improved the overall layout and appearance.
DS-15400	Addressed an issue where dsconfig incorrectly allowed certain configuration objects to be deleted.
DS-15412	Improved the error messages produced by the manage-extensions tool when attempting to install invalid extensions.
DS-15417	Updated the global ACIs that ship with the server to use a separate ACI for each control or extended request to allow by default, rather than grouping all desired controls together in one ACI and all desired extended requests together in a second ACI. This change will only be reflected in new installations, and not when updating an existing deployment.

Ticket ID	Description
DS-15422	Root DN User configuration entries can now be fully managed through the configuration management interfaces such as dsconfig and the Administrative Console.
DS-15466	Added more logging information when initializing web application and servlet extensions in case an extension causes conflicts or delays.
DS-15521	Updated setup to encode the root password with the PBKDF2 password storage scheme instead of SSHA512.
DS-15522	Updater tool will increase PermSize and MaxPermSize parameters to recommended value to prevent Java JVM pauses.
DS-15559	Added support for an UNBOUNDID-EXTERNALLY-PROCESSED-AUTHENTICATION SASL mechanism that indicates that an application attempted to verify the identity of a user whose account is stored in the server but that used a form of authentication that is external to the server (for example, via social login). The server will not alter the authentication state of the underlying connection, but may veto a successful external authentication if the user's account is not in a usable state (for example, the account is locked or disabled, or the password is expired), or it may update password policy state for the user to reflect the authentication attempt (for example, updating the last login time and IP address for a successful authentication, or recording the failed attempt and potentially locking the account for an unsuccessful authentication).
DS-15571	Increase the minimum memory requirements for the server process from 256MB to 384MB to accommodate the Administrative Console.
DS-15576	Added a load-ldap-schema-file tool that will allow the server to recognize a new schema file, or an updated version of an existing schema file, and make the definitions immediately available without needing to restart the server.
DS-15592	Fixed an error that could occur during upgrade when the configuration can not be loaded due to missing custom schema.
DS-15621	Updated the Groovy Scripting Language version to 2.4.6.

Ticket ID	Description
DS-15622	Fixed an issue that prevented the deletion of disabled debug loggers.
DS-15789	Updated the server to allow users with expired passwords to authenticate with SASL mechanisms that do not involve passwords.
DS-15827	Updated the globally-unique attribute plugin so that the filter property applies to conflict searches, and matches entries being added or modified.

Ticket ID	Description
DS-15849,DS-15850,DS-15851,DS-15852,DS-15853	<p>Rewrote the manage-account tool to provide many new features:</p> <ul style="list-style-type: none"><li>• Added the following new subcommands:<ul style="list-style-type: none"><li>• get-account-is-usable</li><li>• get-account-usability-notice-messages</li><li>• get-account-usability-warning-messages</li><li>• get-account-usability-errors-messages</li><li>• get-account-is-not-yet-active</li><li>• get-account-is-expired</li><li>• get-password-is-expired</li><li>• get-password-expiration-time</li><li>• get-account-is-failure-locked</li><li>• set-account-is-failure-locked</li><li>• get-failure-lockout-time</li><li>• get-account-is-idle-locked</li><li>• get-idle-lockout-time</li><li>• get-account-is-password-reset-locked</li><li>• get-password-reset-lockout-time</li><li>• get-account-activation-time</li><li>• set-account-activation-time</li><li>• clear-account-activation-time</li><li>• get-seconds-until-account-activation</li><li>• get-last-login-ip-address</li><li>• set-last-login-ip-address</li><li>• clear-last-login-ip-address</li><li>• get-password-history-count</li></ul></li><li>• Added new ways to target multiple users with a single command. It was already possible to provide a file with the DNs of the users to target. There are now additional options for providing one or more search filters or user IDs to identify which users to target.</li><li>• Added automatic retry support. If an operation fails in a manner that indicates the connection is no longer valid, the tool will retry the operation on a newly-created connection. It is also possible to provide multiple host name and port values to allow operations to be sent to multiple servers.</li><li>• Added the ability to use multiple threads to operate more quickly when targeting multiple users.</li><li>• Added the ability to limit the rate at which the tool operates. The target rate may be specified as a fixed number of operations per second, or it may vary over time.</li><li>• Changed the output format so that the result of each operation is provided in an LDIF representation. The output remains easy for a person to read, but it is now much easier to consume programmatically.</li><li>• Added the ability to send the output to a specified file instead of or in addition to standard output. Also added the ability to write a reject file that contains only information about those</li></ul>

Ticket ID	Description
DS-15920	Improved the warnings given when the maximum memory that all server components can consume is greater than the available memory in the JVM.
DS-15943	Addressed an issue where jsonObjectFilterExtensibleMatch queries in the proxy would fail if any DN Mappers were configured.
DS-16053	Improved the way we handle unexpected errors and invalid DN's during proxy transformations.
DS-16104	Updated the password policy state extended operation and the manage-account tool to provide a way to obtain a list of the SASL mechanisms and OTP delivery mechanisms that are available to a user, to determine whether a user has a TOTP shared secret, and to retrieve and manipulate the set of public IDs for the YubiKey OTP devices registered for a user.
DS-16224	Updated the sanitize-log tool to add support for JSON-formatted access and error log files.

## Directory Proxy Server 5.2.0.0 Release Notes

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### Known Issues/Workarounds

The following are known issues in the current version of the PingDirectoryProxy Server

- When deploying a .war file through the Web Application HTTP Servlet Extension, dependencies bundled in the file may conflict with the server's own dependencies if the server version differs from the version in the .war file. This may cause the Web Application HTTP Servlet Extension or the server itself to not start correctly. For reference, all server dependencies are available in <server root>/lib.

### Resolved Issues

The following issues have been resolved with this release of the PingDirectoryProxy Server:

Ticket ID	Description
DS-1261	The collect-support-data tool now has the option to collect logging information within a specified time range via the '--timeRange' argument.
DS-1706	Updated interactive dsconfig to include an option to toggle between sorting similar properties together or sorting them alphabetically.

Ticket ID	Description
DS-3095	Added a new search-logs tool. Similar to the command line tool 'grep,' this tool searches across log files to extract lines matching the provided pattern(s). The search-logs tool can handle multi-line log messages, extract log messages within a given time range, and include rotated log files.
DS-8739	Added the ability to reset user passwords with a single-use, time-limited token that is delivered to the end user through some out-of-band mechanism like SMS or email. After determining the identity of the user for whom the password reset token should be generated, an application can use the new "deliver password reset token" extended operation to cause the server to create and deliver the token to the user. This token can then be provided to the "password modify" extended operation in lieu of the user's current password in order to allow that user to select a new password. Password reset tokens can optionally permit users to reset their passwords even if their account is not usable (for example, because their account is locked or their password is expired).
DS-8794,DS-9652,DS-12704	The setup and initial configuration tools now support offline modes that can be used to bootstrap the server configuration while it is not running. Also, files generated by these tools are now saved to the server's resource directory.
DS-9842	Added the ability to configure the Globally-Unique Attribute and Unique Attribute plugins with a filter to limit attribute uniqueness checking to a subset of matching entries.
DS-10010	Reduced the memory overhead of debug logging in high throughput environments by sharing logging buffers across multiple threads.
DS-10283	Custom HTTP loggers are no longer permitted to modify the requests and responses being logged. Calling a forbidden method will result in a subclass of UnsupportedOperationException. For requests, the forbidden methods are authenticate, getReader, login, logout and setCharacterEncoding. For responses, the forbidden methods are addCookie, addHeader, addIntHeader, flushBuffer, getOutputStream, getWriter, reset, sendError, sendRedirect, setBufferSize, setCharacterEncoding, setContentLength, setContentType, setHeader, setIntHeader, setLocale and setStatus.

Ticket ID	Description
DS-10843	<p>Added support for a "name with entryUUID" request control. If this control is included in an add request, the entry will be added with a distinguished name whose RDN contains only the entryUUID attribute. This offers a number of potential benefits:</p> <ul style="list-style-type: none"><li>• It can help preserve data privacy by ensuring the entry DN does not include sensitive or personally-identifying information.</li><li>• It can reduce the need for modify DN operations, since entries are not named with user attributes that have the potential to change.</li><li>• It can serve as a convenience for entries in which there is no obvious, guaranteed-unique attribute (or combination of attributes) to use for naming those entries.</li></ul>
DS-11067	<p>Added properties to the task backend for limiting the number of log messages retained in task entries, in order to limit the size of the in-memory representation of those entries. All log messages generated by a task will still be recorded in the server error log, even if they are not all retained in the corresponding entry in the task backend.</p>
DS-11522	<p>Updated the server's JVM arguments to always log garbage collection information to a rotating set of log files stored within logs/jvm/gc.log.N. The file system usage is limited to 300MB. If the server had previously been configured with VERBOSE_GC, then garbage collection logging information will no longer be logged to logs/server.out.</p>

Ticket ID	Description
DS-12107,DS-12137	<p>Added features to allow clients to better determine the set of requirements that the server will impose for user passwords. The get password quality requirements extended operation can be used to retrieve information about the requirements before an attempted password change. Those requirements can be conveyed to the end user, and can potentially be used to enable some types of client-side validation to identify problems with a password before it is sent to the server. The password validation details request control can be included in an add request, a modify request, or a password modify extended request to identify which specific validation requirements may not have been met by the password provided in the request.</p> <p>Password validators can be configured with user-friendly messages that better describe the constraints that the validator will impose for passwords, and that the validator should return if a proposed password does not satisfy those constraints. The server will generate these messages if they are not provided in the configuration.</p>
DS-12123	<p>Updated the Configuration API output where properties and their values are listed to include those that are undefined.</p>

Ticket ID	Description
DS-12138	<p>Added support for a JSON object attribute syntax, which can be used for attribute types whose values are JSON objects. The syntax requires that each value of this type is a valid JSON object. Two matching rules have also been added for use in conjunction with the JSON object syntax: <code>jsonObjectExactMatch</code> and <code>jsonObjectFilterExtensibleMatch</code>.</p> <p>The <code>jsonObjectExactMatch</code> equality matching rule is used in evaluating equality filters in search operations, as well as for matching performed against JSON object attributes for add, compare, and modify operations. It determines whether two values are logically-equivalent JSON objects. The field names used in both objects must match exactly (although fields may appear in different orders). The values of each field must have the same data types. String values will be compared in a case-insensitive manner. The order of elements in arrays will be considered significant.</p> <p>The <code>jsonObjectFilterExtensibleMatch</code> matching rule can perform more powerful matching against JSON objects. The assertion values for these extensible matching filters should be JSON objects that express the constraints for the matching. These JSON object filters are described in detail in the Javadoc documentation (available in the Commercial Edition of the UnboundID LDAP SDK for Java) for the <code>com.unboundid.ldap.sdk.unboundidds.json.JSONObjectFilter</code> class and its subclasses. Although the LDAP SDK can facilitate searches with this matching rule, these searches can be issued through any LDAP client API that supports extensible matching.</p> <p>Indexing is supported only for the <code>jsonObjectExactMatch</code> matching rule. If possible, non-baseObject searches that use the <code>jsonObjectFilterExtensibleMatch</code> matching rule should be wrapped in an LDAP AND filter that also contains one or more indexed components so that the search can be processed more efficiently.</p>
DS-12182	<p>The setup tool has been updated to use HTTPS for initial configuration. Unsecure HTTP can be enabled post-setup, or by using non-interactive setup.</p>
DS-12218	<p>Updated the server to automatically monitor and report the length of time each operation spends waiting in the work queue before a worker thread can begin to process it.</p>

Ticket ID	Description
DS-12245	The Configuration API has been updated to support filtering, sorting, and paging for object list operations. See the Administration guide for usage.
DS-12285	Fixed an issue where changes to SMTP External Server configurations did not take effect until after a server restart.
DS-12287	Addressed cases where some messages may be suppressed in logs and alerts.
DS-12319	Updated UnboundID work queue processing to log expensive work queue operations and diagnostic thread stack traces when a queue backlog alarm is raised.
DS-12480	SCIM, through proxy, does not support pagination. Pagination requires the use of VLV and Server Side Sort controls, which are not natively supported by the Identity Proxy Server. The SCIM proxy configuration script incorrectly included these controls in the ACI and supported controls sections. These have now been removed.
DS-12483	Added support for running on Oracle Java 8 and OpenJDK 8 platforms.
DS-12496	Added logging of all HTTP requests disallowed due to CORS. This should make it easier to debug HTTP 403/Forbidden errors.
DS-12555	Fixed an issue where using the RouteToBackendSetRequestControl with an incorrect entry-balancing request processor ID could result in a NullPointerException.
DS-12560,DS-12561	Updated the server to avoid the use of the server-side sort and virtual list view request controls in search requests that span multiple subtree views or multiple entry-balanced backend sets. If the server cannot honor a non-critical server-side sort or virtual list view control, then it will process the search operation as if the control had not been included in the request. If the server cannot honor a critical server-side sort or virtual list view control, then it will return an error result to the client.
DS-12576	Update the Detailed HTTP Operation Log Publisher to log the correct return code (404 NOT FOUND) when a request is not handled by defined endpoints.

Ticket ID	Description
DS-12579	The server can now detect an "out of file handles" situation on the operating system, and shut down to prevent running in an unreliable state.
DS-12594,DS-12596	Added support for three new extended operations for interacting with single-use tokens: <ul data-bbox="850 426 1455 905" style="list-style-type: none"><li>• The "get supported OTP delivery mechanisms" operation provides information about which one-time password delivery mechanisms are configured in the server, and which of those are available for a specified user.</li><li>• The "deliver single-use token" operation can generate a token value and provide it to a specified user through an out-of-band communication mechanism like email, SMS, or voice call.</li><li>• The "consume single-use token" operation indicates that the user has received a single-use token from the "deliver single-use token" operation, and to consume that token so that it cannot be reused.</li></ul>
DS-12607	Fixed an issue where the Proxy Server returned an incorrect result code when attempting to add an entry that already exists more than one level below an entry balancing base DN. The Proxy Server in some cases would incorrectly return NO_SUCH_OBJECT rather than ENTRY_ALREADY_EXISTS.
DS-12610	Fixed an issue where configuring numeric IPv4 address filtering by connection criteria in a log publisher performed unnecessary reverse host name lookups.
DS-12616	Updated the prepare-* tools to avoid unnecessary confirmation for trust of the prepared server's certificate when the --trustStorePath argument specifies a trust store that establishes trust.
DS-12627	Updated the LDAP connection handler to enable the use of multiple threads for accepting connections and preparing them for use. This improves concurrency for deployments in which the process of accepting a new connection may take some time to complete, possibly because of expensive DNS lookups or invoking time-consuming post-connect plugins).

Ticket ID	Description
DS-12681,DS-13475	Improved the server's support for selecting TLS cipher suites. When the server is configured to use a specific set of cipher suites, it will now always validate that all of the configured suites are supported by the JVM. When the server is not configured to use a specific set of cipher suites, it will now customize the set of default suites to prioritize those using strong cryptography (especially those that offer forward secrecy), and exclude suites with known weaknesses.
DS-12727	Added a gauge to monitor the number of available file descriptors. This Available File Descriptors gauge can detect if a server is running out of file descriptors and degrade the server appropriately.
DS-12798	MakeLDIF templates now have the ability to escape special characters curly braces, angle brackets, and square brackets using a backslash. See config/MakeLDIF/examples-of-all-tags.template for further examples.
DS-12799	The following UnboundID product names have changed: - Identity Datastore to Datastore - Identity Proxy to Proxy Server - Identity Data Sync Server to Data Sync Server - Identity Broker to Data Broker
DS-12802	Fixed an issue that would result in long server startup when many locations and load balancing algorithms are defined.
DS-12833	Updated the alert handler configuration to indicate whether the alert handler should be invoked asynchronously in a background thread rather than by the thread that generated the alert. For alerts generated during the course of processing an operation, invoking potentially time-consuming alert handlers in a background thread can avoid adversely impacting the response time for that operation while still ensuring that administrators are made aware of the issue that arose.
DS-12833	Updated the server to provide support for SMTP connection pooling. When sending an email message, the server will attempt to reuse an existing SMTP connection rather than establishing a new connection for each message.
DS-12880	Fixed a rare condition that might cause the logger rotation and retention thread to exit under heavy file system load or a network file system outage.

Ticket ID	Description
DS-12897	Fixed a bug where using the advanced arguments of some tools would result in changing the saved complexity settings for the dsconfig tool.
DS-12969	Improved server locking used by dsconfig in offline batch mode, so that the server lock is held for the entire batch duration, instead of for each invocation. Also, reduced the probability of contention for file locks used by server tools to determine the server status.
DS-12982	Updated the installer to increase the maximum suggested JVM size on Linux systems with at least 48 GB of RAM.
DS-13124	Fixed an issue where debug logging at a fine-level could consume large amounts of memory.
DS-13163	Addressed an issue where data definition language (DDL) log field mappings for the JDBC error log were not previously documented.
DS-13242	Updated the prepare-external-server tool to suppress output when run with the --quiet option.
DS-13248	The Proxy Server processing for Third-Party Proxied Extended Operation Handlers has been changed for extended operations containing "Route To Backend Set" request controls. The default behavior is now to process the operation only on backends in the entry-balancing request processors specified in the request controls. The old behavior to process on backends in other request processors too may be obtained through the advanced "route-to-backend-set-behavior" configuration property on the Third-Party Proxied Extended Operation Handler.
DS-13501	Fixed a case where duplicate entry searches performed prior to an ADD operation in an entry-balanced environment may not honor a maximum response timeout.
DS-13552	Fixed a log publisher defect that would result in an unreadable file when both compression and signing were enabled at the same time.
DS-13554	Updated the server to allow an initial heap size over 128 GB. Due to limitations of older JVMs, this was previously capped at 128 GB, even when the maximum heap size was larger.

Ticket ID	Description
DS-13678	Updated the create-systemd-script tool by adding resource limits for available open file descriptors (NOFILE), and shared memory reservations (MEMLOCK). The generated script lists the recommended file descriptors limit and the resource limit setting for enabling large page support. The settings in the create-systemd-script output supersedes prior documentation for setting the number of open file descriptors on non-systemd systems.
DS-13783	Updated the server to better utilize worker threads and reduce the potential for a work queue backlog when processing multiple concurrent long-running operations.
DS-13820	Fixed an issue involving transactions sent through a Proxy Server with Entry Balancing configured. If the transaction contained requests that targeted entries that were not in the global index, then duplicate requests were included in the resulting Multi-Update operation forwarded to the Datastore.
DS-14060	Fix an issue in the SCIM interface where an attribute required by the SCIM schema could be deleted by a PATCH operation.
DS-14074	Added the ability to protect Velocity templates using the basic authentication scheme.
DS-14088	Fixed an issue where there could be missing or duplicated changes when synchronizing through a Proxy Server in an entry-balancing configuration. The issue only affected Proxy Server configurations with multiple entry-balancing request processors referencing the same proxying request processor.
DS-14140	The ldifsearch command now supports the option "--isCompressed" for LDIF files that have been compressed with gzip.
DS-14349	Fixed an issue with the collect-support-data tool when using the --pid argument. Only one jstack was being collected, instead of using the amount specified by the --maxJstacks argument.
DS-14350	Improved processing of abandon requests with subordinate operations by avoiding canceling twice and not waiting for internally canceled operations.
DS-14353	Fixed an issue where configuration changes to an external server would not notify all load-balancing algorithms defined for that server.

## Directory Proxy Server 5.1.5.2 Release Notes

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### Resolved Issues

The following issues have been resolved with this release of the PingDirectoryProxy Server:

Ticket ID	Description
DS-14074	Added the ability to protect Velocity templates using the basic authentication scheme.

## Directory Proxy Server 5.1.5.0 Release Notes

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### Resolved Issues

The following issues have been resolved with this release of the PingDirectoryProxy Server:

Ticket ID	Description
	Fixed a race condition in the LDAP SDK that could result in poor performance when using the separate-connections verify-credentials-method on an external server.
DS-12727	Added a gauge to monitor the number of available file descriptors. This Available File Descriptors gauge can detect if a server is running out of file descriptors and degrade the server appropriately.
DS-12982	Updated the installer to increase the maximum suggested JVM size on Linux systems with at least 48 GB of RAM.
DS-13554	Updated the server to allow an initial heap size over 128 GB. Due to limitations of older JVMs, this was previously capped at 128 GB, even when the maximum heap size was larger.

## Directory Proxy Server 5.1.0.0 Release Notes

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### Upgrade Considerations

Important considerations for upgrading to this version of the PingDirectoryProxy Server

- The summarize-config tool is deprecated, and will be removed in future versions of the product. Use the config-diff tool with the "sourceBaseline" argument to list a summary of changes to the local server configuration.

### What's New

These are new features for this release of the PingDirectoryProxy Server

- Added initial support for a JSON object attribute syntax, which can be used for attribute types whose values are JSON objects. Indexing options are currently limited. Please see the full release note below for DS-12138.

### Resolved Issues

The following issues have been resolved with this release of the PingDirectoryProxy Server:

Ticket ID	Description
DS-8739	Added the ability to reset user passwords with a single-use, time-limited token that is delivered to the end user through some out-of-band mechanism like SMS or email. After determining the identity of the user for whom the password reset token should be generated, an application can use the new "deliver password reset token" extended operation to cause the server to create and deliver the token to the user. This token can then be provided to the "password modify" extended operation in lieu of the user's current password in order to allow that user to select a new password. Password reset tokens can optionally permit users to reset their passwords even if their account is not usable (for example, because their account is locked or their password is expired).
DS-9842	Added the ability to configure the Globally-Unique Attribute and Unique Attribute plugins with a filter to limit attribute uniqueness checking to a subset of matching entries.
DS-10010	Reduced the memory overhead of debug logging in high throughput environments by sharing logging buffers across multiple threads.

Ticket ID	Description
DS-12107,DS-12137	<p>Added features to allow clients to better determine the set of requirements that the server will impose for user passwords. The get password quality requirements extended operation can be used to retrieve information about the requirements before an attempted password change. Those requirements can be conveyed to the end user, and can potentially be used to enable some types of client-side validation to identify problems with a password before it is sent to the server. The password validation details request control can be included in an add request, a modify request, or a password modify extended request to identify which specific validation requirements may not have been met by the password provided in the request.</p> <p>Password validators can be configured with user-friendly messages that better describe the constraints that the validator will impose for passwords, and that the validator should return if a proposed password does not satisfy those constraints. The server will generate these messages if they are not provided in the configuration.</p>
DS-12123	<p>Updated the Configuration API output where properties and their values are listed to include those that are undefined.</p>

Ticket ID	Description
DS-12138	<p>Added support for a JSON object attribute syntax, which can be used for attribute types whose values are JSON objects. The syntax requires that each value of this type is a valid JSON object. Two matching rules have also been added for use in conjunction with the JSON object syntax: <code>jsonObjectExactMatch</code> and <code>jsonObjectFilterExtensibleMatch</code>.</p> <p>The <code>jsonObjectExactMatch</code> equality matching rule is used in evaluating equality filters in search operations, as well as for matching performed against JSON object attributes for add, compare, and modify operations. It determines whether two values are logically-equivalent JSON objects. The field names used in both objects must match exactly (although fields may appear in different orders). The values of each field must have the same data types. String values will be compared in a case-insensitive manner. The order of elements in arrays will be considered significant.</p> <p>The <code>jsonObjectFilterExtensibleMatch</code> matching rule can perform more powerful matching against JSON objects. The assertion values for these extensible matching filters should be JSON objects that express the constraints for the matching. These JSON object filters are described in detail in the Javadoc documentation (available in the Commercial Edition of the UnboundID LDAP SDK for Java) for the <code>com.unboundid.ldap.sdk.unboundidds.json.JSONObjectFilter</code> class and its subclasses. Although the LDAP SDK can facilitate searches with this matching rule, these searches can be issued through any LDAP client API that supports extensible matching.</p> <p>Indexing is supported only for the <code>jsonObjectExactMatch</code> matching rule. If possible, non-baseObject searches that use the <code>jsonObjectFilterExtensibleMatch</code> matching rule should be wrapped in an LDAP AND filter that also contains one or more indexed components so that the search can be processed more efficiently.</p>
DS-12182	<p>The setup tool has been updated to use HTTPS for initial configuration. Unsecure HTTP can be enabled post-setup, or by using non-interactive setup.</p>
DS-12218	<p>Updated the server to automatically monitor and report the length of time each operation spends waiting in the work queue before a worker thread can begin to process it.</p>

Ticket ID	Description
DS-12245	The Configuration API has been updated to support filtering, sorting, and paging for object list operations. See the Administration guide for usage.
DS-12285	Fixed an issue where changes to SMTP External Server configurations did not take effect until after a server restart.
DS-12287	Addressed cases where some messages may be suppressed in logs and alerts.
DS-12319	Updated UnboundID work queue processing to log expensive work queue operations and diagnostic thread stack traces when a queue backlog alarm is raised.
DS-12480	SCIM, through proxy, does not support pagination. Pagination requires the use of VLV and Server Side Sort controls, which are not natively supported by the Identity Proxy Server. The SCIM proxy configuration script incorrectly included these controls in the ACI and supported controls sections. These have now been removed.
DS-12483	Added support for running on Oracle Java 8 and OpenJDK 8 platforms.
DS-12496	Added logging of all HTTP requests disallowed due to CORS. This should make it easier to debug HTTP 403/Forbidden errors.
DS-12555	Fixed an issue where using the RouteToBackendSetRequestControl with an incorrect entry-balancing request processor ID could result in a NullPointerException.
DS-12560,DS-12561	Updated the server to avoid the use of the server-side sort and virtual list view request controls in search requests that span multiple subtree views or multiple entry-balanced backend sets. If the server cannot honor a non-critical server-side sort or virtual list view control, then it will process the search operation as if the control had not been included in the request. If the server cannot honor a critical server-side sort or virtual list view control, then it will return an error result to the client.
DS-12576	Update the Detailed HTTP Operation Log Publisher to log the correct return code (404 NOT FOUND) when a request is not handled by defined endpoints.

Ticket ID	Description
DS-12579	The server can now detect an "out of file handles" situation on the operating system, and shut down to prevent running in an unreliable state.
DS-12594,DS-12596	<p>Added support for three new extended operations for interacting with single-use tokens:</p> <ul style="list-style-type: none"><li>- The "get supported OTP delivery mechanisms" operation provides information about which one-time password delivery mechanisms are configured in the server, and which of those are available for a specified user.</li><li>- The "deliver single-use token" operation can generate a token value and provide it to a specified user through an out-of-band communication mechanism like email, SMS, or voice call.</li><li>- The "consume single-use token" operation indicates that the user has received a single-use token from the "deliver single-use token" operation, and to consume that token so that it cannot be reused.</li></ul>
DS-12607	Fixed an issue where the Proxy Server returned an incorrect result code when attempting to add an entry that already exists more than one level below an entry balancing base DN. The Proxy Server in some cases would incorrectly return NO_SUCH_OBJECT rather than ENTRY_ALREADY_EXISTS.
DS-12610	Fixed an issue where configuring numeric IPv4 address filtering by connection criteria in a log publisher performed unnecessary reverse host name lookups.
DS-12798	MakeLDIF templates now have the ability to escape special characters curly braces, angle brackets, and square brackets using a backslash. See config/MakeLDIF/examples-of-all-tags.template for further examples.
DS-12802	Fixed an issue that would result in long server startup when many locations and load balancing algorithms are defined.
DS-12880	Fixed a rare condition that might cause the logger rotation and retention thread to exit under heavy file system load or a network file system outage.

Ticket ID	Description
DS-12969	Improved server locking used by dsconfig in offline batch mode, so that the server lock is held for the entire batch duration, instead of for each invocation. Also, reduced the probability of contention for file locks used by server tools to determine the server status.
DS-13248	The Proxy Server processing for Third-Party Proxied Extended Operation Handlers has been changed for extended operations containing "Route To Backend Set" request controls. The default behavior is now to process the operation only on backends in the entry-balancing request processors specified in the request controls. The old behavior to process on backends in other request processors too may be obtained through the advanced "route-to-backend-set-behavior" configuration property on the Third-Party Proxied Extended Operation Handler.

## Directory Proxy Server 5.0.1.0 Release Notes

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### Resolved Issues

The following issues have been resolved with this release of the PingDirectoryProxy Server:

Ticket ID	Description
DS-8739	Added the ability to reset user passwords with a single-use, time-limited token that is delivered to the end user through some out-of-band mechanism like SMS or email. After determining the identity of the user for whom the password reset token should be generated, an application can use the new "deliver password reset token" extended operation to cause the server to create and deliver the token to the user. This token can then be provided to the "password modify" extended operation in lieu of the user's current password in order to allow that user to select a new password. Password reset tokens can optionally permit users to reset their passwords even if their account is not usable (for example, because their account is locked or their password is expired).

Ticket ID	Description
DS-12107,DS-12137	<p>Added features to allow clients to better determine the set of requirements that the server will impose for user passwords. The get password quality requirements extended operation can be used to retrieve information about the requirements before an attempted password change. Those requirements can be conveyed to the end user, and can potentially be used to enable some types of client-side validation to identify problems with a password before it is sent to the server. The password validation details request control can be included in an add request, a modify request, or a password modify extended request to identify which specific validation requirements may not have been met by the password provided in the request.</p> <p>Password validators can be configured with user-friendly messages that better describe the constraints that the validator will impose for passwords, and that the validator should return if a proposed password does not satisfy those constraints. The server will generate these messages if they are not provided in the configuration.</p>
DS-12123	<p>Updated the Configuration API output where properties and their values are listed to include those that are undefined.</p>
DS-12182	<p>The setup tool has been updated to use HTTPS when configuring the HTTP Connection Handler(s). Unsecure HTTP can be enabled post-setup, or by using non-interactive setup.</p>
DS-12218	<p>Updated the server to automatically monitor and report the length of time each operation spends waiting in the work queue before a worker thread can begin to process it.</p>
DS-12287	<p>Addressed cases where some messages may be suppressed in logs and alerts.</p>
DS-12319	<p>Updated UnboundID work queue processing to log expensive work queue operations and diagnostic thread stack traces when a queue backlog alarm is raised.</p>
DS-12480	<p>SCIM, through proxy, does not support pagination. Pagination requires the use of VLV and Server Side Sort controls, which are not natively supported by the Identity Proxy Server. The SCIM proxy configuration script incorrectly included these controls in the ACI and supported controls sections. These have now been removed.</p>

Ticket ID	Description
DS-12579	The server can now detect an "out of file handles" situation on the operating system, and shut down to prevent running in an unreliable state.
DS-12802	Fixed an issue that would result in long server startup when many locations and load balancing algorithms are defined.

## Directory Proxy Server 5.0.0.0 Release Notes

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### What's New

These are new features for this release of the PingDirectoryProxy Server

- Java 7 is now required when setting up a new server or upgrading an existing server.
- Added a `poll-backend-servers-for-global-index-changes` configuration property to allow the entry-balancing request processor to retrieve information about changes processed in backend servers and keep the global index up to date. All backend servers must be configured to maintain an LDAP changelog if this feature is enabled.
- Added Server SDK support for creating custom server affinity providers.
- Enabled support for the SSLv2Hello TLS protocol by default in JVMs that support it. This does not enable support for the insecure SSLv2 protocol, but it can improve compatibility with clients running older versions of Java that may start TLS negotiation with an SSLv2 client hello packet before negotiating to a higher version of the TLS protocol. Support for SSLv2Hello in the initial phase of negotiation does not in any way compromise the strength of the integrity and/or confidentiality protection that is ultimately negotiated between the client and the server.
- Added a Monitor History plugin that periodically records `cn=monitor` to timestamped files to aid in isolating intermittent problems. By default, it logs the full `cn=monitor` branch every five minutes to compressed files within `logs/monitor-history/`. Files are deleted automatically, but a sparse set of older files are kept to provide historical perspective on server performance. The `collect-support-data` tool has also been updated to collect a few of these files to aid in root cause analysis.
- The default SCIM base context path changed from `/` to `/scim`. Any clients using the previous base context path will no longer be able to access SCIM services until they are updated. The following `dsconfig` command may be used to revert to the previous base context path after update:
 

```
dsconfig set-http-servlet-extension-prop --extension-name SCIM --set base-context-path:/
```
- Introduced the Configuration HTTP Servlet Extension, which can be used for querying and updating the configuration over a REST API. This feature is currently experimental and is subject to change in the future. Your feedback is welcome.

### Known Issues/Workarounds

The following are known issues in the current version of the PingDirectoryProxy Server

- For Entry Balancing deployments referencing custom schema in the Global Attribute Index, the attributes should be defined in the Proxy's schema as well as the external Datastore.

### Resolved Issues

The following issues have been resolved with this release of the PingDirectoryProxy Server:

Ticket ID	Description
DS-8368,DS-12120	Updated the HTTP Connection Handler to return a 404 Not Found response to requests for endpoints not handled by any servlet or web application extensions. Previously the handler would return a 200 OK with no response body.
DS-10441	Disabled log rotation during startup to prevent potential problems with rotation dependencies on server components that have not yet been initialized.
DS-10460	Fixed the dsconfig tool to suppress all stray output when run in batch mode with the --quiet option.
DS-11068,DS-11784,DS-11887	Updated the setup tools to enable definition of external server instances that are configured to reject unauthenticated requests. Previously the tools would erroneously indicate these servers were unavailable.
DS-11122	The PingDirectoryProxy Server will now periodically persist the global index to a file, and optionally prime the global index from the persisted file when the server is restarted.

Ticket ID	Description
DS-11138	<p>Fixed an issue where deleting values of a multi-valued attribute using SCIM PATCH could silently fail. Modifications in SCIM PATCH are now mapped directly to LDAP modifications to take advantage of the matching rules configured in the Identity Datastore, when matching deleted values. Since the SCIM PATCH is now applied by the Datastore, the Permissive Modify Request Control (1.2.840.113556.1.4.1413) is now required by the SCIM component. This will ensure that adding an existing value or deleting a non-existent value in the PATCH request will not result in an error.</p> <p>To continue using SCIM component after an upgrade of the PingDirectory or PingDirectoryProxy, access controls and configuration may need to be updated to allow access to the Permissive Modify Request Control.</p> <p>Directory:</p> <pre>dsconfig set-access-control-handler-prop -- remove 'global-aci:(targetcontrol="1.3.6.1.1.13.2    1.2.840.113556.1.4.473    1.2.840.113556.1.4.319    2.16.840.1.113730.3.4.9    1.3.6.1.1.12") (version 3.0;aci "Authenticated access to controls used by the SCIM servlet extension"; allow (all) userdn="ldap:///all";)'</pre> <pre>dsconfig set-access-control-handler-prop -- add 'global-aci:(targetcontrol="1.3.6.1.1.13.2    1.2.840.113556.1.4.473    1.2.840.113556.1.4.319    2.16.840.1.113730.3.4.9    1.3.6.1.1.12    1.2.840.113556.1.4.1413")(version 3.0;aci "Authenticated access to controls used by the SCIM servlet extension"; allow (all) userdn="ldap:///all";)'</pre> <p>Proxy:</p> <pre>dsconfig set-access-control-handler-prop -- remove 'global-aci:(targetcontrol="1.3.6.1.1.13.2    1.2.840.113556.1.4.473    1.2.840.113556.1.4.319    2.16.840.1.113730.3.4.9    1.3.6.1.1.12") (version 3.0;aci "Authenticated access to controls used by the SCIM servlet extension"; allow (all) userdn="ldap:///all";)'</pre> <pre>dsconfig set-access-control-handler-prop -- add 'global-aci:(targetcontrol="1.3.6.1.1.13.2    1.2.840.113556.1.4.473    1.2.840.113556.1.4.319    2.16.840.1.113730.3.4.9    1.3.6.1.1.12    1.2.840.113556.1.4.1413")(version 3.0;aci "Authenticated access to controls used by the SCIM servlet extension"; allow (all) userdn="ldap:///all";)'</pre> <pre>dsconfig set-request-processor-prop --processor- name dc_example_dc_com-req-processor --add supported-control-oid:1.2.840.113556.1.4.1413</pre> <p>Note that "dc_example_dc_com-req-processor" is the default processor name and it may be different depending on your configuration.</p> <p>Identity Broker: For each directory used as an</p>

Ticket ID	Description
DS-11396	Updated gauge alert details to include the last threshold value that was crossed.
DS-11402	Reduced the Proxy Server's global index memory use by tokenizing the attribute type in the RDN index and compacting indexed attribute values for syntaxes that support it, such as integer, hex string, and bit string syntaxes.
DS-11406	Added the ability for a Server SDK extension, such as a Plugin, to register for notifications when an operation completes using the <code>OperationContext#registerOperationCompletedListener()</code> method.
DS-11453	Reduced the severity of the "unrecognized alert type" message in the error log from SEVERE_WARNING to NOTICE. The message now states that this is expected if the server is reverted to a version prior to the implementation of these alert types.
DS-11472	Fixed the gauge configuration manager to only re-initialize the gauge that was changed, and not any of the other gauges that did not change.
DS-11541	Fixed the alarm manager to generate alarm-cleared alerts when internal alarms are cleared and the alarm manager's generated-alert-types property has the "alarm" value.
DS-11546	Fixed the alarm manager to not include the details of the old alarm, (the alarm being cleared), in the "alarm-cleared" alert message.
DS-11564	Updated the uninstall tool so that it unregisters the local server from any configured peer servers.

Ticket ID	Description
DS-11565	<p>Updated the javadoc for the Example Overload Handler plugin to include the argument "invoke-for-internal-operations" with a value of "false" during the plugin creation. Previously, the plugin, when enabled, would drop internal queries to the monitor backend initiated by the gauge state provider.</p> <p>Fixed an issue in the Example Overload Handler plugin's applyConfiguration method, where when any changes were made to the plugin's configuration itself (such as adding a new pre-parse type), it would drop requests because we were doing an LDAP search for the gauge argument in the config backend over a client connection, instead of using an internal connection.</p> <p>Fixed an issue where when the Example Overload Handler plugin was disabled and then re-enabled, an IllegalStateException occurred because the monitor provider that publishes drop stats was previously registered.</p>
DS-11624	<p>Updated the Web Console so that upon login, the user's old session is always invalidated.</p>
DS-11629,DS-11645	<p>Updated the Web Console to suppress LDAP responses in user messages, such as when the server is unavailable or for authentication failures. Also added a context parameter to exclude stack traces and detailed error messages from appearing in the application's internal error page.</p>
DS-11637	<p>Updated the alarm manager to not generate "alarm-normal" alert when a gauge's condition abates</p>
DS-11642	<p>Updated the entry-balancing request processor to reject atomic multi-update requests that have one or more changes targeting entries at or outside of the balancing point.</p>
DS-11688	<p>Fixed an issue in which tools such as dsconfig, status, and dsreplication could not connect to the server over SSL or StartTLS. This occurred when a certificate was accepted with the 'Manually validate' option, while using the interactive LDAP connection menu.</p>
DS-11719	<p>Updated the alarm manager to not persist normal alarms.</p>
DS-11719	<p>Updated the ExampleOverloadHandlerPlugin to monitor the alarm backend for delete actions, so that it can react appropriately to abating gauge conditions.</p>

Ticket ID	Description
DS-11730	Removed the "alarm-normal" alert.
DS-11738	Updated the server so that alarm-cleared, alarm-warning, alarm-minor, alarm-major, and alarm-critical alerts are not subject to duplicate alert suppression. Separate alert notifications of these types may represent distinct conditions and resources that should not be suppressed.
DS-11751	Fixed incorrect property references for trustStorePassword and keyStorePasswordFile in tools.properties that corresponded to the wrong argument names.
DS-11755	Updated the HTTP Detailed Access logger to use timestamps with millisecond precision.

Ticket ID	Description
DS-11782	<p data-bbox="849 216 1446 468">Disabled support for SSLv3 by default in the LDAP, HTTP, and JMX connection handlers, and for replication communication. The recently-discovered POODLE vulnerability could potentially allow a network attacker to determine the plaintext behind an SSLv3-encrypted session, which would effectively negate the primary benefit of the encryption.</p> <p data-bbox="849 487 1463 1213">SSLv3 was initially defined in 1996, but was supplanted by the release of the TLSv1 definition in 1999 (and subsequently by TLSv1.1 in 2006 and TLSv1.2 in 2008). These newer TLS protocols are not susceptible to the POODLE vulnerability, and the server has supported them (and preferred them over SSLv3) for many years. The act of disabling SSLv3 by default should not have any adverse effect on clients that support any of the newer TLS protocols. However, if there are any legacy client applications that attempt to communicate securely but do not support the newer TLS protocols, they should be updated to support the newer protocols. In the event that there are known clients that do not support any security protocol newer than SSLv3 and that cannot be immediately updated to support a newer protocol, SSLv3 support can be re-enabled using the newly-introduced <code>allowed-insecure-tls-protocol</code> global configuration property. However, since communication using SSLv3 can no longer be considered secure, it is strongly recommended that every effort be made to update all known clients still using SSLv3.</p> <p data-bbox="849 1232 1463 1829">It is possible to use the server access log to identify LDAP clients that use SSLv3 to communicate with the server. Whenever an LDAP client establishes a secure connection to the server, or whenever a client uses the StartTLS extended operation to secure an existing plaintext connection, the server will generate a SECURITY-NEGOTIATION access log message. The "protocol" element of a SECURITY-NEGOTIATION access log message specifies the name of the security protocol that has been negotiated between the client and the server, and any SECURITY-NEGOTIATION messages with a protocol of "SSLv3" suggest that the associated client is vulnerable to the POODLE attack. In addition, if any connections are terminated for attempting to use the disallowed SSLv3 protocol, the access log message for that disconnect should include a message stating the reason for the termination.</p>

Ticket ID	Description
DS-11837	Updated numeric gauges so that their severity changes when the current gauge value equals the threshold's exit value. Previously the value had to be strictly less than the exit value for the severity to change.
DS-11850	Updated the PingDirectoryProxy Server to return a "size limit exceeded" result for a baseObject search that matches multiple entries because entries with the same DN exist in multiple entry-balanced backend sets. Previously, the server could return multiple entries, which is undesirable for a baseObject search.
DS-11868	Fixed an issue where the server would hang during startup due to a previous unexpected service outage resulting in an empty tasks.Idif file.
DS-11879	Fixed the index rebuild job so that it does not generate redundant "index-degraded" alerts when an index is being rebuilt.
DS-11959	Updated the HTTP/HTTPS connection handler to Jetty 8.1.16.v20140903.
DS-11993	Added a gauge to the server to track JVM memory usage and alert if the amount of free memory gets low enough that it could impact server performance.
DS-12000	Fixed an issue where attempting to cancel many outstanding proxy operations could make the proxy server unresponsive.
DS-12002	Updated the proxy server to limit the number of parallel threads that will be created to process entry balancing operations that must be broadcast. In configurations with a large number of worker threads or a large number of backend sets, this keeps the server from creating too many threads.
DS-12077	Improved the PingDirectoryProxy Server's handling for the rare case in which a number of backend server connections become invalidated, but that backend server still accepts connections and those newly-established connections can be successfully used to process operations.
DS-12077	Updated the server to perform a health check against an entry-balanced backend server in the event of a failure while processing a broadcast operation.

Ticket ID	Description
DS-12147	Updated the server to make it easier to control the order of values in the ssl-protocol and ssl-cipher-suite properties in the LDAP connection handler and crypto manager configuration objects.

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