



Create the FPolicy configuration

ONTAP 9

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Create the FPolicy configuration

Create ONTAP FPolicy external engines

You must create an external engine to start creating an FPolicy configuration. The external engine defines how FPolicy makes and manages connections to external FPolicy servers. If your configuration uses the internal ONTAP engine (the native external engine) for simple file blocking, you do not need to configure a separate FPolicy external engine and do not need to perform this step.

Before you begin

The [external engine](#) worksheet should be completed.

About this task

If the external engine is used in a MetroCluster configuration, you should specify the IP addresses of the FPolicy servers at the source site as primary servers. The IP addresses of the FPolicy servers at the destination site should be specified as secondary servers.

Steps

1. Create the FPolicy external engine by using the `vserver fpolicy policy external-engine create` command.

The following command creates an external engine on storage virtual machine (SVM) `vs1.example.com`. No authentication is required for external communications with the FPolicy server.

```
vserver fpolicy policy external-engine create -vserver-name vs1.example.com  
-engine-name engine1 -primary-servers 10.1.1.2,10.1.1.3 -port 6789 -ssl-option  
no-auth
```

2. Verify the FPolicy external engine configuration by using the `vserver fpolicy policy external-engine show` command.

The following command display information about all external engines configured on SVM `vs1.example.com`:

```
vserver fpolicy policy external-engine show -vserver vs1.example.com
```

External Vserver Type	Engine	Primary		Secondary	
		Servers	Servers	Port	Engine
vs1.example.com	engine1	10.1.1.2, 10.1.1.3	-	6789	

The following command displays detailed information about the external engine named “engine1” on SVM

vs1.example.com:

```
vserver fpolicy policy external-engine show -vserver vs1.example.com -engine  
-name engine1
```

```
Vserver: vs1.example.com  
Engine: engine1  
Primary FPolicy Servers: 10.1.1.2, 10.1.1.3  
Port Number of FPolicy Service: 6789  
Secondary FPolicy Servers: -  
External Engine Type: synchronous  
SSL Option for External Communication: no-auth  
FQDN or Custom Common Name: -  
Serial Number of Certificate: -  
Certificate Authority: -
```

Create ONTAP FPolicy events

As part of creating an FPolicy policy configuration, you need to create an FPolicy event. You associate the event with the FPolicy policy when it is created. An event defines which protocol to monitor and which file access events to monitor and filter.

Before you begin

You should complete the FPolicy event [worksheet](#).

Create the FPolicy event

1. Create the FPolicy event by using the `vserver fpolicy policy event create` command.

```
vserver fpolicy policy event create -vserver vs1.example.com -event-name  
event1 -protocol cifs -file-operations open,close,read,write
```

2. Verify the FPolicy event configuration by using the `vserver fpolicy policy event show` command.

```
vserver fpolicy policy event show -vserver vs1.example.com
```

Vserver	Event Name	File Protocols	Operations	Filters	Is Volume Operation
vs1.example.com	event1	cifs	open, close, - read, write		false

Create the FPolicy access denied events

Beginning with ONTAP 9.13.1, users can receive notifications for failed file operations due to lack of permissions. These notifications are valuable for security, ransomware protection, and governance.

1. Create the FPolicy event by using the `vserver fpolicy policy event create` command.

```
vserver fpolicy policy event create -vserver vs1.example.com -event-name event1 -protocol cifs -monitor-fileop-failure true -file-operations open
```

Create ONTAP FPolicy persistent stores

Persistent stores can help decouple client I/O processing from FPolicy notification processing to reduce client latency. Beginning with ONTAP 9.14.1, FPolicy allows you to set up [persistent stores](#) to capture file access events for asynchronous non-mandatory policies in the SVM. Synchronous (either mandatory or non-mandatory) and asynchronous mandatory configurations are not supported.

Beginning with ONTAP 9.15.1, FPolicy persistent store configuration is simplified. The `persistent-store create` command automates volume creation for the SVM and configures the volume for the persistent store.

There are two ways to create a persistent store, depending on the ONTAP release:

- ONTAP 9.15.1 or later: When you create the persistent store, ONTAP automatically creates and configures its volume at the same time. This simplifies FPolicy persistent store configuration and implements all best practices.
- ONTAP 9.14.1: Manually create and configure a volume and then create a persistent store for the newly created volume.

Only one persistent store can be set up on each SVM. This single persistent store needs to be used for all FPolicy configurations on that SVM, even if the policies are from different partners.

Create a persistent store (ONTAP 9.15.1 or later)

Beginning with ONTAP 9.15.1, use the `fpolicy persistent-store create` command to create the FPolicy persistent store with inline volume creation and configuration. ONTAP automatically blocks the volume from external user protocol access (CIFS/NFS).

Before you begin

- The SVM where you want to create the persistent store must have at least one aggregate.
- You should have access to the aggregates available for the SVM and sufficient permissions to create volumes.

Steps

1. Create the persistent store, which creates and configures the volume automatically:

```
vserver fpolicy persistent-store create -vserver <vserver> -persistent-store <name> -volume <volume_name> -size <size> -autosize-mode <off|grow|grow_shrink>
```

- The `vserver` parameter is the name of the SVM.
- The `persistent-store` parameter is the name of the persistent store.
- The `volume` parameter is the name of the persistent store volume.



If you want to use an existing, empty volume, use the `volume show` command to find it and specify it in the `volume` parameter.

- The `size` parameter is based on the time duration for which you want to persist the events that are not delivered to the external server (partner application).

For example, if you want 30 minutes of events to persist in a cluster with a 30K notifications per second capacity:

Required Volume Size = $30000 \times 30 \times 60 \times 0.6\text{KB}$ (average notification record size) = 32400000 KB = ~32 GB

To find the approximate notification rate, you can either reach out to your FPolicy partner application or use the FPolicy counter `requests_dispatched_rate`.



If you are using an existing volume, the `size` parameter is optional. If you do provide a value for the `size` parameter, it will modify the volume with the size you specify.

- The `autosize-mode` parameter specifies the autosize mode for the volume. The supported autosize modes are:
 - `off` - The volume does not grow or shrink in size in response to the amount of used space.
 - `grow` - The volume automatically grows when used space in the volume is above the grow threshold.
 - `grow_shrink` - The volume grows or shrinks in size in response to the amount of used space.

2. Create the FPolicy policy and add the persistent store name to that policy. For more information, see [Create the FPolicy policy](#).

Create a persistent store (ONTAP 9.14.1)

You can create a volume, and then create a persistent store to use that volume. You can then block the newly created volume from external user protocol access (CIFS/NFS).

Steps

1. Create an empty volume on the SVM that can be provisioned for the persistent store:

```
volume create -vserver <SVM Name> -volume <volume> -state <online> -policy <default> -unix-permissions <777> -size <value> -aggregate <aggregate name> -snapshot-policy <none>
```

It is expected that an administrator user with sufficient RBAC privileges (to create a volume) creates a volume (using the `volume` cli command or REST API) of the desired size and provide the name of that volume as the `-volume` in the persistent store create CLI command or REST API.

- The `vserver` parameter is the name of the SVM.
- The `volume` parameter is the name of the persistent store volume.

- The `state` parameter should be set to `online` so the volume is available for use.
- The `policy` parameter is set to the FPolicy service policy, if you have one already configured. If not, you can use the `volume modify` command later to add the policy.
- The `unix-permissions` parameter is optional.
- The `size` parameter is based on the time duration for which you want to persist the events that are not delivered to the external server (partner application).

For example, if you want 30 minutes of events to persist in a cluster with a 30K notifications per second capacity:

Required Volume Size = $30000 \times 30 \times 60 \times 0.6\text{KB}$ (average notification record size) = 32400000 KB = ~32 GB

To find the approximate notification rate, you can either reach out to your FPolicy partner application or use the FPolicy counter `requests_dispatched_rate`.

- The `aggregate` parameter is needed for FlexVol volumes, otherwise it is not required.
- The `snapshot-policy` parameter must be set to `none`. This ensures that there is no accidental restore of the snapshot leading to loss of current events and prevents possible duplicate event processing.

If you want to use an existing, empty volume, use the `volume show` command to find it and the `volume modify` command to make any needed alterations. Ensure the `policy`, `size`, and `snapshot-policy` parameters are set correctly for the persistent store.

2. Create the persistent store:

```
vserver fpolicy persistent store create -vserver <SVM> -persistent-store
<PS_name> -volume <volume>
```

- The `vserver` parameter is the name of the SVM.
- The `persistent-store` parameter is the name of the persistent store.
- The `volume` parameter is the name of the persistent store volume.

3. Create the FPolicy policy and add the persistent store name to that policy. For more information, see [Create the FPolicy policy](#).

Create ONTAP FPolicy policies

When you create the FPolicy policy, you associate an external engine and one or more events to the policy. The policy also specifies whether mandatory screening is required, whether the FPolicy servers have privileged access to data on the storage virtual machine (SVM), and whether passthrough-read for offline files is enabled.

Before you begin

- The FPolicy policy worksheet should be completed.
- If you plan on configuring the policy to use FPolicy servers, the external engine must exist.
- At least one FPolicy event that you plan on associating with the FPolicy policy must exist.

- If you want to configure privileged data access, a SMB server must exist on the SVM.
- To configure a persistent store for a policy, the engine type must be **async** and the policy must be **non-mandatory**.

For more information, see [Create persistent stores](#).

Steps

1. Create the FPolicy policy:

```
vserver fpolicy policy create -vserver-name vserver_name -policy-name
policy_name -engine engine_name -events event_name, [-persistent-store
PS_name] [-is-mandatory {true|false}] [-allow-privileged-access {yes|no}] [-
privileged-user-name domain\user_name] [-is-passthrough-read-enabled
{true|false}]
```

- You can add one or more events to the FPolicy policy.
- By default, mandatory screening is enabled.
- If you want to allow privileged access by setting the `-allow-privileged-access` parameter to `yes`, you must also configure a privileged user name for privileged access.
- If you want to configure passthrough-read by setting the `-is-passthrough-read-enabled` parameter to `true`, you must also configure privileged data access.

The following command creates a policy named “policy1” that has the event named “event1” and the external engine named “engine1” associated with it. This policy uses default values in the policy configuration: `vserver fpolicy policy create -vserver vs1.example.com -policy-name policy1 -events event1 -engine engine1`

The following command creates a policy named “policy2” that has the event named “event2” and the external engine named “engine2” associated with it. This policy is configured to use privileged access using the specified user name. Passthrough-read is enabled:

```
vserver fpolicy policy create -vserver vs1.example.com -policy-name policy2
-events event2 -engine engine2 -allow-privileged-access yes -privileged-
user-name example\archive_acct -is-passthrough-read-enabled true
```

The following command creates a policy named “native1” that has the event named “event3” associated with it. This policy uses the native engine and uses default values in the policy configuration:

```
vserver fpolicy policy create -vserver vs1.example.com -policy-name native1
-events event3 -engine native
```

2. Verify the FPolicy policy configuration by using the `vserver fpolicy policy show` command.

The following command displays information about the three configured FPolicy policies, including the following information:

- The SVM associated with the policy
- The external engine associated with the policy
- The events associated with the policy

- Whether mandatory screening is required
- Whether privileged access is required `vserver fpolicy policy show`

Vserver	Policy Name	Events	Engine	Is Mandatory	Privileged Access
vs1.example.com	policy1	event1	engine1	true	no
vs1.example.com	policy2	event2	engine2	true	yes
vs1.example.com	native1	event3	native	true	no

Create ONTAP FPolicy scopes

After creating the FPolicy policy, you need to create an FPolicy scope. When creating the scope, you associate the scope with an FPolicy policy. A scope defines the boundaries on which the FPolicy policy applies. Scopes can include or exclude files based on shares, export policies, volumes, and file extensions.

Before you begin

The FPolicy scope worksheet must be completed. The FPolicy policy must exist with an associated external engine (if the policy is configured to use external FPolicy servers) and must have at least one associated FPolicy event.

Steps

1. Create the FPolicy scope by using the `vserver fpolicy policy scope create` command.

```
vserver fpolicy policy scope create -vserver-name vs1.example.com -policy-name
policy1 -volumes-to-include datavol1,datavol2
```

2. Verify the FPolicy scope configuration by using the `vserver fpolicy policy scope show` command.

```
vserver fpolicy policy scope show -vserver vs1.example.com -instance
```

Vserver:	vs1.example.com
Policy:	policy1
Shares to Include:	-
Shares to Exclude:	-
Volumes to Include:	datavol1, datavol2
Volumes to Exclude:	-
Export Policies to Include:	-
Export Policies to Exclude:	-
File Extensions to Include:	-
File Extensions to Exclude:	-

Enable ONTAP FPolicy policies

After you are through configuring an FPolicy policy configuration, you enable the FPolicy policy. Enabling the policy sets its priority and starts file access monitoring for the policy.

Before you begin

The FPolicy policy must exist with an associated external engine (if the policy is configured to use external FPolicy servers) and must have at least one associated FPolicy event. The FPolicy policy scope must exist and must be assigned to the FPolicy policy.

About this task

The priority is used when multiple policies are enabled on the storage virtual machine (SVM) and more than one policy has subscribed to the same file access event. Policies that use the native engine configuration have a higher priority than policies for any other engine, regardless of the sequence number assigned to them when enabling the policy.



A policy cannot be enabled on the admin SVM.

Steps

1. Enable the FPolicy policy by using the `vserver fpolicy enable` command.

```
vserver fpolicy enable -vserver-name vs1.example.com -policy-name policy1  
-sequence-number 1
```

2. Verify that the FPolicy policy is enabled by using the `vserver fpolicy show` command.

```
vserver fpolicy show -vserver vs1.example.com
```

Vserver	Policy Name	Sequence		
		Number	Status	Engine
vs1.example.com	policy1	1	on	engine1

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