

# SAML V2.0 Attribute Sharing Profile for X.509 Authentication-Based Systems

# Committee Specification 01

## 5 27 March 2008

6	Specification URIs:
7 8	This Version: http://docs.oasis-open.org/security/saml/Post2.0/sstc-saml-x509-authn-attrib-profile-cs-01.htm
9	http://docs.oasis-open.org/security/saml/Post2.0/sstc-saml-x509-authn-attrib-profile-cs-01.odt
10	http://docs.oasis-open.org/security/saml/Post2.0/sstc-saml-x509-authn-attrib-profile-cs-01.pdf
11	Previous Version:
12	http://docs.oasis-open.org/security/saml/Post2.0/sstc-saml-x509-authn-attrib-profile-cd-05.htm
13	http://docs.oasis-open.org/security/saml/Post2.0/sstc-saml-x509-authn-attrib-profile-cd-05.odt
14	http://docs.oasis-open.org/security/saml/Post2.0/sstc-saml-x509-authn-attrib-profile-cd-05.pdf
15	Latest Version:
16	http://docs.oasis-open.org/security/saml/Post2.0/sstc-saml-x509-authn-attrib-profile-cd.html
17	http://docs.oasis-open.org/security/saml/Post2.0/sstc-saml-x509-authn-attrib-profile-cd.odt
18	http://docs.oasis-open.org/security/saml/Post2.0/sstc-saml-x509-authn-attrib-profile-cd.pdf
19 20	Technical Committee: OASIS Security Services TC
21 22 23	Chair(s): Hal Lockhart, BEA Systems, Inc. Brian Campbell, Ping Identity Corporation
24 25 26 27 28	Editor(s):  Eve Maler, Sun Microsystems Rob Philpott, EMC Tom Scavo, National Center for Supercomputing Applications (NCSA) Ari Kermaier, Oracle
29 30 31	Contributor(s): Scott Cantor, Internet2 Paul Madsen, NTT Corporation
32 33 34	Related Work:  This specification is an alternative to the SAML V2.0 Deployment Profiles for X.509 Subjects [SAMLX509].

#### **Declared XML Namespace(s):** 35 N/A 36 **Abstract:** 37 This deployment profile specifies the use of SAML V2.0 attribute queries and assertions to 38 support distributed authorization in support of X.509-based authentication. 39 Status: 40 This document was last revised or approved by the SSTC on the above date. The level of 41 approval is also listed above. Check the current location noted above for possible later revisions 42 of this document. This document is updated periodically on no particular schedule. 43 TC members should send comments on this specification to the TC's email list. Others should 44 send comments to the TC by using the "Send A Comment" button on the TC's web page at http:// 45 46 www.oasis-open.org/committees/security. For information on whether any patents have been disclosed that may be essential to 47 implementing this specification, and any offers of patent licensing terms, please refer to the IPR 48 section of the TC web page (http://www.oasis-open.org/committees/security/ipr.php. 49

The non-normative errata page for this specification is located at http://www.oasis-

open.org/committees/security.

50

51

# **Notices**

- 53 Copyright © OASIS Open 2007-2008. All Rights Reserved.
- 54 All capitalized terms in the following text have the meanings assigned to them in the OASIS Intellectual
- 55 Property Rights Policy (the "OASIS IPR Policy"). The full Policy may be found at the OASIS website.
- 56 This document and translations of it may be copied and furnished to others, and derivative works that
- 57 comment on or otherwise explain it or assist in its implementation may be prepared, copied, published,
- and distributed, in whole or in part, without restriction of any kind, provided that the above copyright notice
- and this section are included on all such copies and derivative works. However, this document itself may
- not be modified in any way, including by removing the copyright notice or references to OASIS, except as
- 61 needed for the purpose of developing any document or deliverable produced by an OASIS Technical
- 62 Committee (in which case the rules applicable to copyrights, as set forth in the OASIS IPR Policy, must be
- followed) or as required to translate it into languages other than English.
- The limited permissions granted above are perpetual and will not be revoked by OASIS or its successors
- 65 or assigns.
- This document and the information contained herein is provided on an "AS IS" basis and OASIS
- 67 DISCLAIMS ALL WARRANTIES, EXPRESS OR IMPLIED, INCLUDING BUT NOT LIMITED TO ANY
- 68 WARRANTY THAT THE USE OF THE INFORMATION HEREIN WILL NOT INFRINGE ANY
- 69 OWNERSHIP RIGHTS OR ANY IMPLIED WARRANTIES OF MERCHANTABILITY OR FITNESS FOR A
- 70 PARTICULAR PURPOSE.
- 71 OASIS requests that any OASIS Party or any other party that believes it has patent claims that would
- 72 necessarily be infringed by implementations of this OASIS Committee Specification or OASIS Standard, to
- 73 notify OASIS TC Administrator and provide an indication of its willingness to grant patent licenses to such
- 74 patent claims in a manner consistent with the IPR Mode of the OASIS Technical Committee that produced
- 75 this specification.
- OASIS invites any party to contact the OASIS TC Administrator if it is aware of a claim of ownership of any
- patent claims that would necessarily be infringed by implementations of this specification by a patent
- holder that is not willing to provide a license to such patent claims in a manner consistent with the IPR
- 79 Mode of the OASIS Technical Committee that produced this specification. OASIS may include such
- claims on its website, but disclaims any obligation to do so.
- OASIS takes no position regarding the validity or scope of any intellectual property or other rights that
- might be claimed to pertain to the implementation or use of the technology described in this document or
- the extent to which any license under such rights might or might not be available; neither does it represent
- that it has made any effort to identify any such rights. Information on OASIS' procedures with respect to
- rights in any document or deliverable produced by an OASIS Technical Committee can be found on the
- 86 OASIS website. Copies of claims of rights made available for publication and any assurances of licenses
- to be made available, or the result of an attempt made to obtain a general license or permission for the
- use of such proprietary rights by implementers or users of this OASIS Committee Specification or OASIS
- 89 Standard, can be obtained from the OASIS TC Administrator. OASIS makes no representation that any
- 90 information or list of intellectual property rights will at any time be complete, or that any claims in such list
- 91 are, in fact, Essential Claims.
- The name "OASIS" is a trademark of OASIS, the owner and developer of this specification, and should be
- used only to refer to the organization and its official outputs. OASIS welcomes reference to, and
- 94 implementation and use of, specifications, while reserving the right to enforce its marks against
- 95 misleading uses. Please see http://www.oasis-open.org/who/trademark.php for above guidance.

# **Table of Contents**

97	1 Introduction	5
98	1.1 Notation	5
99	1.2 Terminology	5
100	1.3 Outline	6
101	1.4 Normative References	6
102	1.5 Non-Normative References	6
103	2 Use Cases	8
104	2.1.1 Overview	8
105	2.1.2 Sequence	8
106	3 Basic Mode	10
107	3.1 Required Information	10
108	3.2 <samlp:attributequery> Issued by Service Provider</samlp:attributequery>	10
109	3.2.1 <samlp:attributequery> Usage</samlp:attributequery>	10
110	3.3 <samlp:response> Issued by Identity Provider</samlp:response>	10
111	3.3.1 <samlp:response> Usage</samlp:response>	11
112	3.4 Use of Metadata	11
113	4 Encrypted Mode	12
114	4.1 Required Information	12
115	4.2 <samlp:attributequery> Issued by Service Provider</samlp:attributequery>	12
116	4.2.1 <samlp:attributequery> Usage</samlp:attributequery>	12
117	4.2.2 Use of Encryption	12
118	4.2.3 Use of Digital Signatures	13
119	4.3 <samlp:response> Issued by Identity Provider</samlp:response>	13
120	4.3.1 <samlp:response> Usage</samlp:response>	13
121	4.3.2 Use of Encryption	14
122	4.3.3 Use of Digital Signatures	14
123	4.4 Use of Metadata	14
124	5 Security and Privacy Considerations	15
125	5.1 Background	15
126	5.2 General Security Requirements	15
127	5.3 User Privacy	15
128	6 Implementation Conformance	16
129	7 Implementation Guidance (Informative)	17
130	7.1 Identity Provider Policy	17
131	7.2 Caching of Attributes	17
132		

## 1 Introduction

- The SAML V2.0 Attribute Sharing Profile for X.509 Authentication-Based Systems describes the use of the
- 135 SAML V2.0 Assertion Query and Request Protocol [SAMLCore] in conjunction with the SAML V2.0 SOAP
- Binding [SAMLBind] to retrieve the attributes of a principal who has authenticated using an X.509
- 137 certificate.

133

142

149

150

151

152 153

154

155

156

157

160

- 138 There are two modes of operation specified in this deployment profile: Basic Mode (section 3) and
- 139 Encrypted Mode (section 4). The Basic Mode deployment profile extends the SAML V2.0 Assertion Query/
- Request Profile [SAMLProf]. The Encrypted Mode deployment profile specifies the use of encryption to
- protect the privacy of the principal.

#### 1.1 Notation

- 143 This specification uses normative text to describe the use of SAML attribute queries and assertions.
- The keywords "MUST", "MUST NOT", "REQUIRED", "SHALL", "SHALL NOT", "SHOULD", "SHOULD"
- NOT", "RECOMMENDED", "MAY", and "OPTIONAL" in this specification are to be interpreted as
- described in [RFC 2119].
- 147 ...they MUST only be used where it is actually required for interoperation or to limit behavior 148 which has potential for causing harm (e.g., limiting retransmissions)...
  - These keywords are thus capitalized when used to unambiguously specify requirements over protocol and application features and behavior that affect the interoperability and security of implementations. When these words are not capitalized, they are meant in their natural-language sense.

```
Listings of XML schemas appear like this.

Example code listings appear like this.
```

Conventional XML namespace prefixes are used throughout the listings in this specification to stand for their respective namespaces as follows, whether or not a namespace declaration is present in the example:

Prefix	XML Namespace	Comments
saml:	urn:oasis:names:tc:SAML:2.0:assertion	This is the SAML V2.0 assertion namespace [SAMLCore].
samlp:	urn:oasis:names:tc:SAML:2.0:protocol	This is the SAML V2.0 protocol namespace [SAMLCore].
md:	urn:oasis:names:tc:SAML:2.0:metadata	This is the SAML V2.0 metadata namespace [SAMLMeta].
query:	urn:oasis:names:tc:SAML:metadata:ext:query	This is the SAML metadata extension query requester namespace [SAMLMeta-Ext].
ds:	http://www.w3.org/2000/09/xmldsig#	This is the XML Signature namespace [XMLSig].
xenc:	http://www.w3.org/2001/04/xmlenc#	This is the XML Encryption namespace [XMLEnc].

- This specification uses the following typographical conventions in text: <UnqualifiedElement>,
- 159 <ns:QualifiedElement>, Attribute, **Datatype**, OtherKeyword.

## 1.2 Terminology

- The term *identity provider* as used in this specification refers to an ordinary SAML attribute authority
- 162 [SAMLGloss]. The term service provider refers to a SAML attribute requester. However, as used in this

- specification, a service provider is not a typical SAML service provider since it performs X.509 163 authentication in lieu of consuming a SAML authentication assertion. 164
- The term X.509 identity certificate as used in this specification refers to an X.509 end entity certificate 165
- [RFC3280] or a certificate based on an X.509 end entity certificate (such as an X.509 proxy certificate 166
- [RFC38201). 167

168

173

204

#### 1.3 Outline

- The next section describes a typical use case scenario that motivates the Basic Mode deployment profile. 169
- Then sections 3 and 4 specify Basic Mode and Encrypted Mode, respectively. Security and privacy issues 170
- are discussed in section 5, while section 6 specifies requirements that all conforming implementations 171
- must follow. Finally, in section 7, some guidance for implementers is given. 172

#### 1.4 Normative References

174 175	[FIPS 140-2]	Security Requirements for Cryptographic Modules, May 2001. See http://csrc.nist.gov/publications/fips/fips140-2/fips1402.pdf.
176 177	[RFC 2119]	S. Bradner. Key words for use in RFCs to Indicate Requirement Levels. IETF RFC 2119, March 1997. See http://www.ietf.org/rfc/rfc2119.txt.
178 179	[RFC2246]	T. Dierks and C. Allen. <i>The TLS Protocol Version 1.0.</i> IETF RFC 2246, January 1999. See http://www.ietf.org/rfc/rfc2246.txt
180 181 182	[RFC3280]	R. Housley et al. <i>Internet X.509 Public Key Infrastructure: Certificate and Certificate Revocation List (CRL) Profile.</i> IETF RFC 3280, April 2002. See http://www.ietf.org/rfc/rfc3280.txt
183 184 185	[SAMLBind]	S. Cantor et al. <i>Bindings for the OASIS Security Assertion Markup Language</i> (SAML) V2.0. OASIS Standard, March 2005. See http://docs.oasis-open.org/security/saml/v2.0/saml-bindings-2.0-os.pdf.
186 187 188	[SAMLCore]	S. Cantor et al. Assertions and Protocols for the OASIS Security Assertion Markup Language (SAML) V2.0. OASIS Standard, March 2005. See http://docs.oasis-open.org/security/saml/v2.0/saml-core-2.0-os.pdf.
189 190 191	[SAMLProf]	S. Cantor et al. <i>Profiles for the OASIS Security Assertion Markup Language</i> (SAML) V2.0. OASIS Standard, March 2005. See http://docs.oasis-open.org/security/saml/v2.0/saml-profiles-2.0-os.pdf.
192 193 194	[SAMLMeta]	S. Cantor et al. <i>Metadata for the OASIS Security Assertion Markup Language</i> (SAML) V2.0. OASIS Standard, March 2005. See http://docs.oasis-open.org/security/saml/v2.0/saml-metadata-2.0-os.pdf.
195 196 197	[SAMLMeta-Ext]	T. Scavo and S. Cantor. <i>Metadata Extension for SAML V2.0 and V1.x Query Requesters</i> . OASIS Standard, November 2007. See http://docs.oasis-open.org/security/saml/Post2.0/sstc-saml-metadata-ext-query-os.pdf
198 199	[SSL3]	A. Frier et al. <i>The SSL Protocol Version 3.0</i> , IETF Internet-Draft, November 1996. See http://wp.netscape.com/eng/ssl3/draft302.txt
200 201	[XMLEnc]	D. Eastlake et al. <i>XML Encryption Syntax and Processing</i> . World Wide Web Consortium. See http://www.w3.org/TR/2002/REC-xmlenc-core-20021210/.
202 203	[XMLSig]	D. Eastlake et al. <i>XML-Signature Syntax and Processing</i> , World Wide Web Consortium, February 2002. http://www.w3.org/TR/xmldsig-core/.

#### 1.5 Non-Normative References

- [RFC3820] S. Tuecke et al. Internet X.509 Public Key Infrastructure (PKI) Proxy Certificate 205 206
  - Profile. IETF RFC 3820, June 2004. See http://www.ietf.org/rfc/rfc3820.txt
- [SAMLGloss] 207 J. Hodges et al. Glossary for the OASIS Security Assertion Markup Language

208		(SAML) V2.0. OASIS Standard, March 2005. See http://docs.oasis-
209		open.org/security/saml/v2.0/saml-glossary-2.0-os.pdf
210	[SAMLSecure]	F. Hirsch et al. Security and Privacy Considerations for the OASIS Security
211		Assertion Markup Language (SAML) V2.0. OASIS Standard, March 2005. See
212		http://docs.oasis-open.org/security/saml/v2.0/saml-sec-consider-2.0-os.pdf
213	[SAMLX509]	T. Scavo. SAML V2.0 Deployment Profiles for X.509 Subjects. OASIS Committee
214		Draft, August 2007. Document ID sstc-saml2-profiles-deploy-x509-cd-02.

## 215 2 Use Cases

The following non-normative material describes a typical use case that motivates the Basic Mode deployment profile described in section 3.

#### 2.1.1 Overview

218

228

230

231 232

233 234

235

236

237

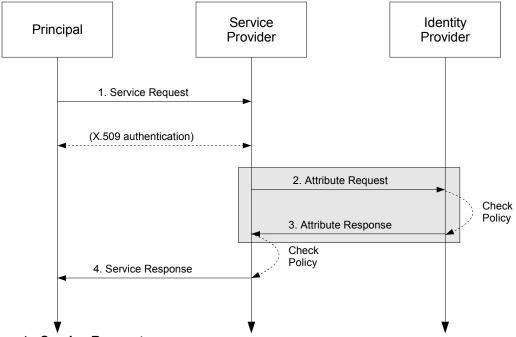
238

239

- A principal attempts to access a secured resource maintained at a service provider. Principal authentication is accomplished by presenting a trusted X.509 identity certificate and by demonstrating proof of possession of the associated private key.
- After the principal has been authenticated, the service provider requires additional information about the principal in order to determine whether to grant access to the resource. To obtain this information, the service provider uses the Subject Distinguished Name (Subject DN) field of the principal's X.509 identity certificate to query an identity provider for the required information about the principal. When the identity provider returns the relevant attributes, the service provider is able to make an informed authorization decision.

#### 2.1.2 Sequence

- 229 The sequence of steps for the full use case is shown below.
  - **Note:** The steps constrained by this profile are highlighted with a gray box. The other steps are shown only for completeness; the profile does not constrain them.



#### 1. Service Request

In step 1, the principal requests a secured resource from a service provider who requires that the principal be authenticated. The principal authenticates to the service provider with an X.509 identity certificate. The details of this step are out of scope for this deployment profile.

#### 2. Attribute Request

In step 2, the service provider sends a SAML V2.0 <samlp: AttributeQuery> to the identity

- provider using a SAML SOAP Binding. The Subject DN from the principal's X.509 identity certificate
- (presented in step 1 above) is used to construct the <saml: Subject> element. Thus, the
- principal's X.509 identity certificate.

#### 3. Attribute Response

- In step 3, after verifying that the service provider is a valid requester, the identity provider issues a
- <p
- 247 attributes returned to the service provider are subject to policy at the identity provider.

#### 248 4. Service Response

244

- In step 4, based on the attributes received from the identity provider in step 3, the service provider returns the requested resource or an error, subject to policy.
- Of the sequence of steps described above, it is steps 2 and 3 that are profiled in sections 3 and 4 of this specification.

## 253 3 Basic Mode

- In this mode, a service provider sends a SAML V2.0 < samlp: AttributeQuery> message directly to an identity provider. This message contains a name identifier assigned to a principal that authenticated to the service provider using an X.509 identity certificate.
- 257 If the identity provider receiving the request can:
- recognize the name identifier; and
- fulfill the request, subject to any applicable policies;
- the identity provider responds with a successful <samlp:Response> containing the relevant attributes for the identified principal.
- The <samlp:AttributeQuery>, <samlp:Response>, and <saml:Assertion> elements MAY be
- 263 signed in this mode.

## 3.1 Required Information

265 Identification:

264

- urn:oasis:names:tc:SAML:2.0:profiles:query:attribute:X509-basic
- 267 Contact information: security-services-comment@lists.oasis-open.org
- 268 **Description:** Given below.
- 269 Updates: N/A
- 270 **Extends:** Attribute Query/Request Profile (defined in [SAMLProf])

## 271 3.2 <samlp:AttributeQuery> Issued by Service Provider

- To initiate the profile, the service provider uses the SAML SOAP Binding (see section 3.2 of [SAMLBind])
- to send a SAML V2.0 <samlp: AttributeQuery> message to an identity provider. The query MUST
- 274 conform to the Assertion Query/Request Profile described in section 6 of [SAMLProf] except as specified
- 275 below.

276

283

## 3.2.1 <samlp:AttributeQuery> Usage

- 277 The <samlp: AttributeQuery> element MUST conform to the following rules:
- The <saml:Subject> element must contain a <saml:NameID> element whose value is the Subject DN from the principal's X.509 identity certificate.
- The <saml:NameID> element MUST have a Format attribute whose value is
  urn:oasis:names:tc:SAML:1.1:nameid-format:X509SubjectName, as defined in
  section 8.3.3 of [SAMLCore].

## 3.3 <samlp:Response> Issued by Identity Provider

- The identity provider processes the <samlp: AttributeQuery> element and any enclosed
- 285 <saml:Attribute> elements and returns a response to the service provider. The response MUST
- 286 conform to the Assertion Query/Request Profile described in section 6 of [SAMLProf] except as specified
- 287 below.
- 288 The service provider MUST process the <samlp:Response> message and any enclosed

#### 3.3.1 <samlp:Response> Usage

290

292

293

294 295

296

297

298

299

302

303

304

305

306

307

308

309

310

291 If the request is successful, the samlp:Response> element MUST conform to the following rules:

- Any <saml: Assertion> element(s) MUST satisfy the following conditions:
  - The <saml:Assertion> element MUST contain at least one <saml:AttributeStatement> element that conveys the attributes of the principal to the service provider.
  - The <saml: Assertion> element MUST contain an <saml: AudienceRestriction> element that includes the service provider's unique identifier as an <saml: Audience>.
  - Other conditions (and other <saml:Audience> elements) MAY be included as requested by the service provider or at the discretion of the identity provider.
- Otherwise, if the identity provider wishes to return an error, it MUST NOT include any assertions in the <samlp:Response> message.

#### 3.4 Use of Metadata

The service provider and identity provider MAY use metadata in support of this deployment profile for locating endpoints, communicating key information, and so on. If SAML V2.0 metadata is used:

- The identity provider SHOULD use the <md:AttributeAuthorityDescriptor> element defined by the SAML metadata specification [SAMLMeta].
- The service provider SHOULD use the query:AttributeQueryDescriptorType complex type defined by the SAML metadata extension specification [SAMLMeta-Ext], or it MAY use the <md:SPSSODescriptor> element defined by the SAML metadata specification [SAMLMeta] if it also offers profile support consistent with that element.

Other role types defined in future specifications MAY be used in conjunction with this profile, subject to agreement by the parties.

## **4 Encrypted Mode**

- In this mode, as in Basic Mode, a service provider sends a SAML V2.0 <samlp:AttributeQuery>
- message directly to an identity provider. The Encrypted Mode request differs from that of Basic Mode in
- that the query message contains an encrypted name identifier assigned to a principal that authenticated to
- the service provider using an X.509 identity certificate.
- 318 If the identity provider receiving the request can:
  - decrypt and recognize the name identifier; and
  - fulfill the request subject to any applicable policies;
- the identity provider responds with a successful <samlp:Response> containing the relevant attributes for
- the identified principal. The returned attributes MUST be encrypted as described below.
- 323 Each of the <samlp:AttributeQuery>, <samlp:Response>, and <saml:Assertion> elements
- 324 MUST be signed in this mode.

### 4.1 Required Information

326 Identification:

319

320

325

332

338

344 345

346

- 327 urn:oasis:names:tc:SAML:2.0:profiles:query:attribute:X509-encrypted
- 328 Contact information: security-services-comment@lists.oasis-open.org
- 329 **Description:** Given below.
- 330 Updates: N/A
- 331 Extends: Basic Mode Attribute Sharing Profile (specified in section 3 of this document)

## 4.2 <samlp:AttributeQuery> Issued by Service Provider

- 333 In Encrypted Mode, the service provider sends a SAML V2.0 < samlp: AttributeQuery> message to
- an identity provider as described in section 3. In addition to the requirements of Basic Mode, this mode
- has the following requirements.
- 336 All requests MUST be made over either SSL 3.0 [SSL3] or TLS 1.0 [RFC2246] to maintain confidentiality
- and message integrity. In addition, the requester MAY use SSL/TLS client authentication.

## 4.2.1 <samlp:AttributeQuery> Usage

- In addition to the rules defined for Basic Mode in section 3.2.1, the <samlp:AttributeQuery> element MUST conform to the following rules:
- The <saml:Subject> element must contain a <saml:EncryptedID> element carrying the
  encrypted value of the <saml:NameID> element (using XML Encryption as specified in [XMLEnc]).
  See section 4.2.2 for details on the use of encryption.
  - The <samlp:AttributeQuery> MUST contain a <ds:Signature> element carrying the signature of the service provider.

## 4.2.2 Use of Encryption

The SAML V2.0 Assertions and Protocols specification [SAMLCore] defines the <saml:EncryptedID> element as a means of applying confidentiality to a name identifier.

In Encrypted Mode the service provider MUST use the <saml:EncryptedID> to carry the Subject DN of the principal in the <samlp:AttributeQuery>.

- Exactly one of the following encryption procedures MUST be followed:

  - The service provider uses a previously established symmetric key to encrypt the principal's name identifier containing the Subject DN. After performing the encryption, the service provider places the resulting ciphertext in the <xenc:EncryptedData> element. In this case, the 
    <saml:EncryptedID> element MUST NOT contain an <xenc:EncryptedKey> element.
- A symmetric key transmitted in an <xenc:EncryptedKey> element MUST NOT be later reused by the service provider as a previously established symmetric key.
- An encryption algorithm satisfying FIPS 140-2 Security Requirements [FIPS 140-2] SHALL be used for the encryption operation.

#### 4.2.3 Use of Digital Signatures

- 366 The SAML V2.0 Assertions and Protocols specification [SAMLCore] describes how to use the
- 367 <ds:Signature> element (defined in [XMLSig]) as a means of providing integrity and authenticity for a
- 368 message.

352

353

354

355

356

357

358

359

360

365

373

379

381

382

383

384

385

386

387 388

389

- In Encrypted Mode, a service provider MUST sign the <samlp:AttributeQuery> element containing
- 370 the <saml: EncryptedID> element to allow the identity provider to authenticate the origin and verify the
- integrity of the request. A signing algorithm satisfying FIPS 140-2 Security Requirements [FIPS 140-2]
- 372 SHALL be used for the digital signature operation.

## 4.3 <samlp:Response> Issued by Identity Provider

- The identity provider processes the <samlp:AttributeQuery>, as defined in [SAMLCore] and
- section 6 of [SAMLProf], and returns a response to the service provider. In addition to the requirements of
- 376 Basic Mode, this mode has the following requirements.
- 377 The responding identity provider MUST authenticate to the requester, both by signing the
- 378 <samlp:Response> message and through TLS or SSL server authentication.

## 4.3.1 <samlp:Response> Usage

- If the request is successful, the <samlp:Response> element MUST conform to the following rules:
  - The <samlp:Response> element MUST contain a <ds:Signature> element carrying the signature of the identity provider.
    - It MUST contain at least one <saml:EncryptedAssertion> element (but no <saml:Assertion> elements).
  - The encrypted content of each <saml:EncryptedAssertion> element is a <saml:Assertion> element that MUST satisfy the following conditions, in addition to the rules of section 3.3.1:
    - The <saml:Assertion> element MUST contain a <ds:Signature> element carrying the signature of the identity provider.
- Otherwise, if the identity provider wishes to return an error, it MUST NOT include any encrypted assertions

#### 4.3.2 Use of Encryption

- 393 The SAML V2.0 Assertions and Protocols specification [SAMLCore] defines the
- 394 <saml: EncryptedAssertion> element as a mean of applying confidentiality to the contents of an
- 395 assertion.

392

403

404

405

406

407

408

409

410

411

412

- In Encrypted Mode the identity provider MUST use the <saml:EncryptedAssertion> element to carry the returned attribute values for the principal.
- 398 Exactly one of the following procedures MUST be followed:
- The identity provider generates a new symmetric key to encrypt the <saml:Assertion>. After performing the encryption, the identity provider places the resulting ciphertext in the <xenc:EncryptedData> element. The symmetric key MUST be encrypted with the service provider's public key and the resulting ciphertext placed in the <xenc:EncryptedKey> element.
  - The identity provider uses the symmetric key used by the service provider to encrypt the name identifier. After encrypting the saml:Assertion> using this key, the identity provider places the resulting ciphertext in the saml:EncryptedData> element. In this case, however, the saml:EncryptedAssertion> element MUST NOT contain an xenc:EncryptedKey> element.
  - If the service provider did not include a symmetric key in the <samlp:AttributeQuery> for decryption of the <saml:EncryptedID>, the identity provider uses a previously established symmetric key to encrypt the <saml:Assertion>. If the identity provider reuses a key in this manner, the <saml:EncryptedAssertion> element MUST NOT contain an <xenc:EncryptedKey> element.
- An encryption algorithm satisfying FIPS 140-2 Security Requirements [FIPS 140-2] SHALL be used for the encryption operation.

#### 415 4.3.3 Use of Digital Signatures

- 416 The SAML V2.0 Assertions and Protocols specification [SAMLCore] defines how to use the
- 417 <ds:Signature> element (defined in [XMLSig]) as a means of providing integrity and authenticity for a
- 418 message.
- In Encrypted Mode, the identity provider MUST sign both the <samlp:Response> element and the
- 420 <saml: Assertion> element to ensure integrity. A signing algorithm satisfying the FIPS 140-2 Security
- 421 Requirements [FIPS 140-2] SHALL be used for both digital signature operations.

#### 422 4.4 Use of Metadata

- As in Basic Mode, the service provider and identity provider MAY use metadata in support of this
- deployment profile. If SAML V2.0 metadata is used, in addition to the rules defined in section 3.4, there
- 425 SHOULD be at least one <md: KeyDescriptor> element with attribute use="encryption" in both the
- service provider's and the identity provider's metadata.

## 5 Security and Privacy Considerations

- The motivation for this deployment profile is to specify a secure means of obtaining SAML attributes in
- 429 conjunction with X.509 authentication. As such, security considerations are highly important from the
- 430 perspective of this deployment profile.

### 5.1 Background

431

438

463

- 432 The SAML Security and Privacy specification [SAMLSecure] provides general background material
- relevant to all SAML profiles. In addition, section 3.1.2 of the SAML Bindings specification [SAMLBind]
- 434 provides general security guidelines regardless of binding. Sections 5 and 6 of the SAML Assertions and
- 435 Protocols specification [SAMLCore] give general syntax and processing guidelines regarding XML
- 436 Signature and XML Encryption, respectively. Finally, sections 6.3 and 6.4 of the SAML Profiles
- specification [SAMLProf] give specific security requirements governing queries.

## 5.2 General Security Requirements

- 439 SAML profiles often involve a system entity that relies on an earlier act of user authentication. For
- example, the SAML Web Browser SSO Profile [SAMLProf] relies on an authentication service that
- validates a credential (typically a username/password) for a user. The authentication service must be
- 442 securely linked to an identity provider that issues SAML authentication assertions based on that user's act
- of authentication. Similarly, this deployment profile assumes that the system entity that performs the
- X.509 authentication is operating in a secure environment that includes the attribute requester.
- In this deployment profile, an end user presents an X.509 certificate to authenticate at the service
- 446 provider. The system entity that performs this authentication (i.e., validates the certificate and its trust
- chain) must be securely linked to the SAML attribute requester that subsequently initiates this deployment
- 448 profile. The latter must have a secure means of obtaining the X.509 subject name from the user
- certificate and issuing a SAML V2.0 <samlp: AttributeQuery> for that subject to the appropriate
- 450 asserting party. The mechanism by which these system entities are linked is out of scope for this
- 451 deployment profile.
- 452 Local policy settings at the attribute authority will determine whether or not the asserting party is permitted
- to return attributes for the requested subject.
- Since this deployment profile extends the SAML V2.0 Assertion Query/Reguest Profile (section 6 of
- 455 [SAMLProf]), a Basic Mode requester SHOULD authenticate and ensure message integrity to the
- 456 responder, and vice versa. In Encrypted Mode, a requester MUST authenticate and ensure message
- integrity to the responder, and vice versa.
- 458 Generally speaking, Basic Mode is applicable in point-to-point deployment scenarios where transport-level
- 459 security suffices. Thus mutually authenticated SSL/TLS will be the norm. On the other hand, Encrypted
- 460 Mode may apply in multi-hop scenarios that require end-to-end message-level security. In that case, SSL/
- 461 TLS is not sufficient to guarantee authenticity and message integrity, and digital signatures are required.
- To ensure privacy, message-level encryption is also required.

## 5.3 User Privacy

- The identity of the principal for which the assertion was issued SHOULD NOT be human readable (that is,
- stored in clear text) in log files, cache files or the cache repository (as applicable).

# **6 Implementation Conformance**

- 467 A client implementation of this specification shall be a conforming Basic Mode X.509 Attribute Query
- Requester or a conforming Encrypted Mode X.509 Attribute Query Requester (or both). On the server
- side, an implementation of this specification shall be a conforming Basic Mode X.509 Attribute Query
- Responder or a conforming Encrypted Mode X.509 Attribute Query Responder, respectively.
- 471 A Basic Mode X.509 Attribute Query Requester or Responder MUST conform to the relevant normative
- 472 statements in section 3. An Encrypted Mode X.509 Attribute Query Requester or Responder MUST
- conform to the relevant normative statements in section 4, which includes references to normative
- 474 portions of section 3.

## **7 Implementation Guidance (Informative)**

The following non-normative guidance is provided for implementers.

### 7.1 Identity Provider Policy

477

483

- 478 Service providers may explicitly enumerate the required attributes in queries or may issue queries
- of any attributes requested in the guery (or in metadata, if used), it is the identity provider that determines
- the actual attributes to be returned to the service provider. Thus an identity provider should institute and
- enforce policy that strictly limits the attributes released to service providers.

## 7.2 Caching of Attributes

- A capability to cache user attributes that are returned in assertions should be provided. Cache expiration
- settings should be configurable by administrators.

# A. Revision History

#### 487 TBA

Document ID	Date	Committer	Comment
Draft-01	22 Jun 2004		Initial draft
Draft-02	03 Feb 2005		
sstc-saml-x509-authn-based-attribute-protocol-profile-2.0-draft-03	25 Mar 2005	R. Randall	
sstc-saml-x509-authn-based-attribute-protocol-profile-2.0-draft-04	14 Apr 2005	R. Randall	
sstc-saml-x509-authn-based-attribute-protocol-profile-2.0-draft-05	02 May 2005	R. Randall	
sstc-saml-x509-authn-based-attribute-protocol-profile-2.0-draft-06	13 May 2005	R. Randall	
sstc-saml-x509-authn-based-attribute-protocol-profile-2.0-draft-07	23 May 2005	R. Randall	
sstc-saml-x509-authn-attrib-profile-cd-01	01 Jun 2005	E. Maler	Committee Draft
sstc-saml-x509-authn-attrib-profile-draft-08	14 Mar 2006	R. Philpott	
sstc-saml-x509-authn-attrib-profile-cd-02	28 Mar 2006	R. Philpott	Committee Draft
sstc-saml-x509-authn-attrib-profile-draft-09	26 Jun 2006	T. Scavo	
sstc-saml-x509-authn-attrib-profile-draft-10	05 Jul 2006	T. Scavo	
sstc-saml-x509-authn-attrib-profile-draft-11	13 Feb 2007	A. Kermaier	
sstc-saml-x509-authn-attrib-profile-draft-12	26 Mar 2007	T. Scavo	
sstc-saml-x509-authn-attrib-profile-draft-13	12 Apr 2007	A. Kermaier	
sstc-saml-x509-authn-attrib-profile-cd-03	07 Jun 2007	T. Scavo	Committee Draft
sstc-saml-x509-authn-attrib-profile-cd-04	28 Aug 2007	T. Scavo	Committee Draft
sstc-saml-x509-authn-attrib-profile-draft-14	06 Mar 2008	T. Scavo	
sstc-saml-x509-authn-attrib-profile-cd-05	11 Mar 2008	T. Scavo	Committee Draft

## **B. Acknowledgments**

- The editors would like to acknowledge the contributions of the OASIS Security Services Technical Committee, whose voting members at the time of publication were:
  - Hal Lockhart, BEA Systems, Inc.
- Rob Philpott, EMC Corporation
- Eric Tiffany, Liberty Alliance Project
- Scott Cantor, Internet2

491

499

502

503

504

506

509

511

- Bob Morgan, Internet2
- Tom Scavo, National Center for Supercomputing Applications (NCSA)
- Peter Davis, Neustar, Inc.
- Jeff Hodges, Neustar, Inc.
  - Frederick Hirsch, Nokia Corporation
- Abbie Barbir, Nortel Networks Limited
- Paul Madsen, NTT Corporation
  - Ari Kermaier, Oracle Corporation
    - Prateek Mishra, Oracle Corporation
  - Brian Campbell, Ping Identity Corporation
- Anil Saldhana, Red Hat
  - Eve Maler, Sun Microsystems
- Emily Xu, Sun Microsystems
- Kent Spaulding, Tripod Technology Group, Inc.
  - David Staggs, Veterans Health Administration
- 510 The editors would also like to acknowledge the contributions of the following individuals:
  - Rick Randall, Booz Allen Hamilton
- Rebekah Metz, Booz Allen Hamilton
- Thomas Wisniewski, Entrust