



Cross-Enterprise Security and Privacy Authorization (XSPA) Profile of Security Assertion Markup Language (SAML) for Healthcare Version 1.0

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Abstract:

This profile describes a framework in which SAML is encompassed by cross-enterprise security and privacy authorization (XSPA) to satisfy requirements pertaining to information-centric security within the healthcare community.

Status:

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Table of Contents

1	Introduction.....	5
1.1	Terminology.....	5
1.2	Normative References.....	5
1.3	Non-Normative References.....	6
2	XSPA profile of SAML Implementation.....	7
2.1	Interactions between Parties.....	7
2.1.1	Access Control Service (Service User).....	7
2.1.2	Access Control Service (Service Provider).....	7
2.1.3	Attributes.....	7
2.1.4	Security Policy.....	8
2.1.5	Privacy Policy.....	8
2.2	Protocols.....	8
2.3	Transmission Integrity.....	8
2.4	Transmission Confidentiality.....	8
2.5	Error States.....	8
2.6	Security Considerations.....	8
2.7	Confirmation Identifiers.....	9
2.8	Metadata Definitions.....	9
2.9	Naming Syntax, Restrictions and Acceptable Values.....	9
2.10	Namespace Requirements.....	9
2.11	Attribute Rules of Equality.....	9
2.12	Attribute Naming Syntax, Restrictions and Acceptable Values.....	9
2.12.1	Name.....	9
2.12.2	National Provider Identifier (NPI) – (optional).....	9
2.12.3	Organization.....	10
2.12.4	Organization-ID.....	10
2.12.5	Structural Role.....	10
2.12.6	Functional Role.....	10
2.12.7	Permission (optional).....	10
2.12.8	Action.....	10
2.12.9	Execute (optional).....	10
2.12.10	Object.....	11
2.12.11	Purpose of Use (POU).....	11
2.12.12	Resource.....	12
3	Conformance.....	13
3.1	Introduction.....	13
3.2	Conformance Tables.....	14
A.	Acknowledgements.....	15
B.	Revision History.....	17

Table of Figures

Figure 1: Interaction between Parties 7

Figure 2: Determining Subject Permissions 12

1 Introduction

This document describes a framework that provides access control interoperability useful in the healthcare environment. Interoperability is achieved using SAML assertions that carry common semantics and vocabularies in exchanges specified below.

1.1 Terminology

The key words “MUST”, “MUST NOT”, “REQUIRED”, “SHALL”, “SHALL NOT”, “SHOULD”, “SHOULD NOT”, “RECOMMENDED”, “MAY”, and “OPTIONAL” in this document are to be interpreted as described in [RFC2119].

The keywords “MUST”, “MUST NOT”, “REQUIRED”, “SHALL”, “SHALL NOT”, “SHOULD”, “SHOULD NOT”, “RECOMMENDED”, “MAY”, and “OPTIONAL” are to be interpreted as described in [RFC2119].

The following definitions establish additional terminology and usage in this profile:

Access Control Service (ACS) – The Access Control Service is the enterprise security service that supports and implements user-side and service-side access control capabilities. The service would be utilized by the Service and/or Service User.

Object – An *object* is an entity that contains or receives information. The *objects* can represent information containers (e.g., files or directories in an operating system, and/or columns, rows, tables, and views within a database management system) or *objects* can represent exhaustible system resources, such as printers, disk space, and **central processing unit** (CPU) cycles. ANSI RBAC (American National Standards Institute Role Based Access Control)

Operation - An *operation* is an executable image of a program, which upon invocation executes some function for the user. Within a file system, *operations* might include read, write, and execute. Within a database management system, *operations* might include insert, delete, append, and update. An *operation* is also known as an action or privilege. ANSI RBAC

Permission - An approval to perform an operation on one or more RBAC protected objects. ANSI RBAC

Structural Role - A job function within the context of an organization whose permissions are defined by operations on workflow objects. ASTM (**American Society for Testing and Materials**) E2595-2007

Service Provider (SP) - The service provider represents the system providing a protected resource and relies on the provided security service.

Entity - An entity may also be known as a principal and/or subject, which represents an application, a machine, or any other type of entity that may act as a requester in a transaction.

Service User - The service user represents any individual entity [such as on an Electronic Health Record (EHR)/**personal health record (PHR)** system] that needs to make a service request of a Service Provider.

1.2 Normative References

[RFC2119] S. Bradner, *Key words for use in RFCs to Indicate Requirement Levels*, <http://www.ietf.org/rfc/rfc2119.txt>, IETF RFC 2119, March 1997.

[SAMLPROF] OASIS Standard, “Profiles for the OASIS Security Assertion Markup Language, v2.0,” March 2005. <http://docs.oasis-open.org/security/saml/v2.0/saml-profiles-2.0-os.pdf>

[ASTM E1986-98 (2005)] Standard Guide for Information Access Privileges to Health Information.

[ASTM E2595 (2007)] Standard Guide for Privilege Management Infrastructure

[SAML] OASIS Standard, “Security Assertion Markup Language (SAML) v2.0” <http://docs.oasis-open.org/security/saml/v2.0/saml-core-2.0-os.pdf>

44 **[HL7-PERM]** HL7 Security Technical Committee, HL7 Version 3 Standard: Role-based Access
45 Control Healthcare Permission Catalog, (Available through
46 <http://www.hl7.org/library/standards.cfm>), Release 1, Designation: ANSI/HL7 V3
47 RBAC, R1-2008, Approval Date 2/20/2008.
48 **[HL7-CONSENT]** HL7 Consent Related Vocabulary Confidentiality Codes Recommendation,
49 <http://lists.oasis-open.org/archives/xacml-demo-tech/200712/doc00003.doc>, from
50 project submission: [http://lists.oasis-open.org/archives/xacml-demo-](http://lists.oasis-open.org/archives/xacml-demo-tech/200712/msg00015.html)
51 [tech/200712/msg00015.html](http://lists.oasis-open.org/archives/xacml-demo-tech/200712/msg00015.html)

52 **1.3 Non-Normative References**

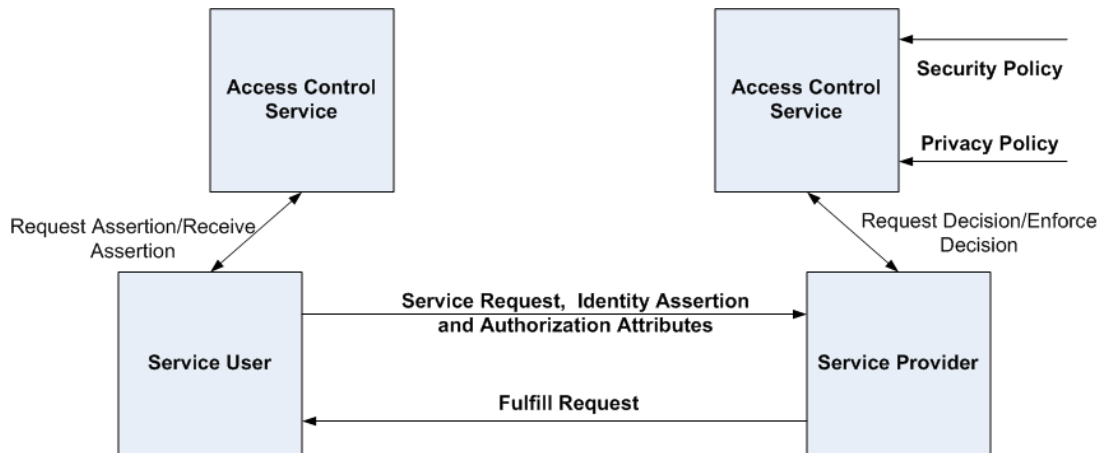
53 **[XSPA-SAML-INTRO]**
54 OASIS Committee Working Draft, "Introductory overview of XSPA Profile of
55 SAML for Healthcare," [http://www.oasis-](http://www.oasis-open.org/committees/document.php?document_id=30407)
56 [open.org/committees/document.php?document_id=30407](http://www.oasis-open.org/committees/document.php?document_id=30407)
57 **[XSPA-SAML-EXAMPLES]**
58 OASIS Committee Working Draft, "Implementation examples of XSPA Profile of
59 SAML for Healthcare," [http://www.oasis-](http://www.oasis-open.org/committees/document.php?document_id=30408)
60 [open.org/committees/document.php?document_id=30408](http://www.oasis-open.org/committees/document.php?document_id=30408)

2 XSPA profile of SAML Implementation

61
62 The XSPA profile of SAML describes the minimum vocabulary necessary to provide access control over
63 resources and functionality within and between healthcare information technology (IT) systems.
64 Additional introductory information and examples can be found in Cross-Enterprise Security and Privacy
65 Authorization (XSPA) a Profile of Security Assertion Markup Language (SAML) Implementation Examples
66 [XSPA-SAML-EXAMPLES].

2.1 Interactions between Parties

67
68 Figure 1 displays an overview of interactions between parties in the exchange of healthcare information.
69 Elements described in the figure are explained in the subsections below. The Service Request, Identity
70 Assertion, and Authorization Attributes in Figure 1 are prepared by the Service User Access Control
71 Service and MAY be passed in a single assertion from the Service User to the Service Provider. The
72 Service Provider Access Control Service evaluates the request against policy and indicates to the Service
73 Provider if the request may be fulfilled.



74
75 *Figure 1: Interaction between Parties*

2.1.1 Access Control Service (Service User)

76
77 The XSPA profile of SAML supports sending all requests through an Access Control Service (ACS). The
78 Access Control Service receives the Service User request and responds with a SAML assertion
79 containing user authorizations and attributes. To perform its function, the ACS collects all the attributes
80 (e.g. organization-id, structural role, functional role, purpose of use, requested resource, and actions)
81 necessary to create the Service User requested assertion.

82 In addition to creating the request, the requesting ACS is responsible for enforcing local security and
83 privacy policy.

2.1.2 Access Control Service (Service Provider)

84
85 The Service Provider ACS is responsible for the parsing of assertions, evaluating the assertions against
86 the security and privacy policy, and making and enforcing a decision on behalf of the Service Provider.

2.1.3 Attributes

87
88 Attributes are information related to user location, role, purpose of use, and requested resource
89 requirements and actions necessary to make an access control decision.

90 **2.1.4 Security Policy**

91 The security policy includes the rules regarding authorizations required to access a protected resource
92 and additional security conditions (location, time of day, cardinality, separation of duty, purpose, etc.) that
93 constrain enforcement.

94 **2.1.5 Privacy Policy**

95 The privacy policy includes the set of consent directives and other privacy conditions (object masking,
96 object filtering, user, role, purpose, etc.) that constrain enforcement.

97 **2.2 Protocols**

98 This profile utilizes the SAML 2.0 core specification to define the elements exchanged in a cross-
99 enterprise service request that supports security and privacy policies. Requests MAY be exchanged
100 using a SAML assertion containing elements such as saml2:Issuer, saml2:NameID, and
101 saml2:AttributeStatement.

102 **2.3 Transmission Integrity**

103 The XSPA profile of SAML recommends the use of reliable transmission protocols. Where transmission
104 integrity is required, this profile makes no specific recommendations regarding mechanism or assurance
105 level.

106 **2.4 Transmission Confidentiality**

107 The XSPA profile of SAML recommends the use of secure transmission protocols. Where transmission
108 confidentiality is required, this profile makes no specific recommendations regarding mechanisms.

109 **2.5 Error States**

110 This profile adheres to error states describe in SAML 2.0.

111 **2.6 Security Considerations**

112 The following security considerations are established for the XSPA profile of SAML:

- 113 • Participating information domains have agreed to use XSPA profile and that a trust relationship
114 exists,
- 115 • Entities are members of defined information domains under the authorization control of a defined
116 set of policies,
- 117 • Entities have been identified and provisioned (credentials issued, privileges granted, etc.) in
118 accordance with policy,
- 119 • Privacy policies have been identified and provisioned (consents, user preferences, etc.) in
120 accordance with policy,
- 121 • Pre-existing security and privacy policies have been provisioned to Access Control Services,
- 122 • The capabilities and location of requested information/document repository services are known,
- 123 • Secure channels are established as required by policy,
- 124 • Audit services are operational and initialized, and
- 125 • Entities have asserted membership in an information domain by successful and unique
126 authentication.

127 2.7 Confirmation Identifiers

128 The manner used by the relying party to confirm that the requester message came from a system entity
129 that is associated with the subject of the assertion will depend upon the context and sensitivity of the
130 data. For confirmations requiring a specific level of assurance, this profile specifies the use of National
131 Institute of Standards and Technology (NIST) Special Publication 800-63 Electronic Authentication
132 Guideline. In addition, this profile specifies the Liberty Identity Access Framework (LIAF) criteria for
133 evaluating and approving credential service providers.

134 2.8 Metadata Definitions

135 This profile will utilize the SAML <Attribute> element for all assertions.

136 2.9 Naming Syntax, Restrictions and Acceptable Values

137 This profile conforms to SAML 2.0 specification.

138 2.10 Namespace Requirements

139 The NameFormat Extensible Markup Language (XML) attribute in <Attribute> elements MUST be
140 urn:oasis:names:tc:SAML:2.0:attrname-format:uri.

141 2.11 Attribute Rules of Equality

142 All asserted attributes will be typed as strings. Two <Attribute> elements refer to the same SAML
143 attribute if and only if their Name XML attribute values are equal in a binary comparison.

144 2.12 Attribute Naming Syntax, Restrictions and Acceptable Values

145 The Name XML attribute MUST adhere to the rules specified for that format, as defined by **[SAMLCore]**.
146 For purposes of human readability, there may also be a requirement for some applications to carry an
147 optional string name together with the Object Identifier (OID) [Uniform Resource Name](#) (URN). The
148 optional XML attribute FriendlyName (defined in **[SAMLCore]**) MAY be used for this purpose, but is not
149 translatable into an XACML attribute equivalent.

150 This profile will utilize the namespace of urn:oasis:names:tc:xspa:1.0

151 Example of use:

```
152 <saml:Attribute NameFormat="urn:oasis:names:tc:SAML:2.0:attrname-format:uri"  
153 Name="urn:oasis:names:tc:xspa:1.0:organization">  
154 <saml:AttributeValue xsi:type="http://www.w3.org/2001/XMLSchema#string">  
155 County Hospital  
156 </saml:AttributeValue>  
157 </saml:Attribute>
```

158 2.12.1 Name

159 Name is the name of the user as required by Health Insurance Portability and Accountability Act (HIPAA)
160 Privacy Disclosure Accounting. The name will be typed as a string and in plain text with an identifying tag
161 of <urn:oasis:names:tc:xspa:1.0:subject:subject-id>.

162 2.12.2 National Provider Identifier (NPI) – (optional)

163 NPI is a US Government issued unique provider identifier required for all Health Insurance Portability and
164 Accountability Act (HIPAA) Privacy Disclosure Accounting transactions. NPI will be typed as a string in
165 plain text with an identifying element of <urn:oasis:names:tc:xspa:1.0:subject:npi>.

166 **2.12.3 Organization**

167 Organization is the organization that the user belongs to as required by HIPAA Privacy Disclosure
168 Accounting. Organization will be typed as a string in plain text with an identifying element of
169 <urn:oasis:names:tc:xspa:1.0:subject:organization>.

170 **2.12.4 Organization-ID**

171 Organization-ID is the unique identifier of the consuming organization and/or facility.

172 **2.12.5 Structural Role**

173 Structural Role is the value of the principal's structural role. Structural roles that are used in this profile
174 are defined in Table 2 "Healthcare Personnel that Warrant Differing Levels of Access Control" of ASTM
175 1986-98 (2005) Standard Guide for Information Access Privileges to Health Information. ASTM E1986

176 Structural roles are described in greater depth in ASTM E2595-07, Standard Guide for Privilege
177 Management Infrastructure.

178 Structural roles provide authorizations on objects at a global level without regard to internal details.
179 Examples include authorization to participate in a session, authorization to connect to a database,
180 authorization to participate in an order workflow, or connection to a protected uniform resource locator
181 (URL). The structural role is the role name referenced by the patient's consent directive.

182 **2.12.6 Functional Role**

183 Functional role can include custom attributes related to application functionality agreed upon by the
184 parties in an exchange.

185 **2.12.7 Permission (optional)**

186 Permission is not required by this profile. Permission is determined by the action on the target. See
187 "Action" below. The permission is the ANSI INCITS (International Committee for Information Technology
188 Standards) RBAC compliant action-object pair representing the authorization required for access by the
189 protected resource.

190 **2.12.8 Action**

191 The HL7 (Health Level Seven) RBAC Permission catalog is an ANSI INCITS 359-2004 RBAC compliant
192 vocabulary that provides a minimal permission subset for interoperability. This profile specifies the use of
193 the following HL7 RBAC Permission Catalog Actions:

- 194 • Append
- 195 • Create
- 196 • Delete
- 197 • Read
- 198 • Update
- 199 • Execute

200 **2.12.9 Execute (optional)**

201 Execute refers to complex functions and stored procedures that provide for extended actions within the
202 healthcare environment. Examples include "print", "suspend", and "sign". Execute can include custom
203 attributes related to functionality agreed upon by the parties in an exchange.

204 **2.12.10 Object**

205 Objects are any system resource subject to access control. This profile specifies the use of HL7 RBAC
206 Permission Catalog as the object vocabulary in an action-object permission pair. HL7 RBAC Permission
207 Catalog provides the minimum set of interoperable objects suitable for the support of security and privacy
208 access control decisions in this profile.

209 **2.12.11 Purpose of Use (POU)**

210 Purpose of use provides context to requests for information resources. Each purpose of use will be
211 unique to a specific assertion, and will establish the context for other security and privacy attributes. For
212 a given claim, all assertions must be bound to the same purpose of use. Purpose of use allows the
213 service to consult its policies to determine if the user's authorizations meet or exceed those needed for
214 access control. Purpose of Use will be typed as string with an identifying element of
215 <urn:oasis:names:tc:xspa:1.0:subject:purposeofuse>

216 The following list of healthcare related purposes of use is specified by this profile:

217

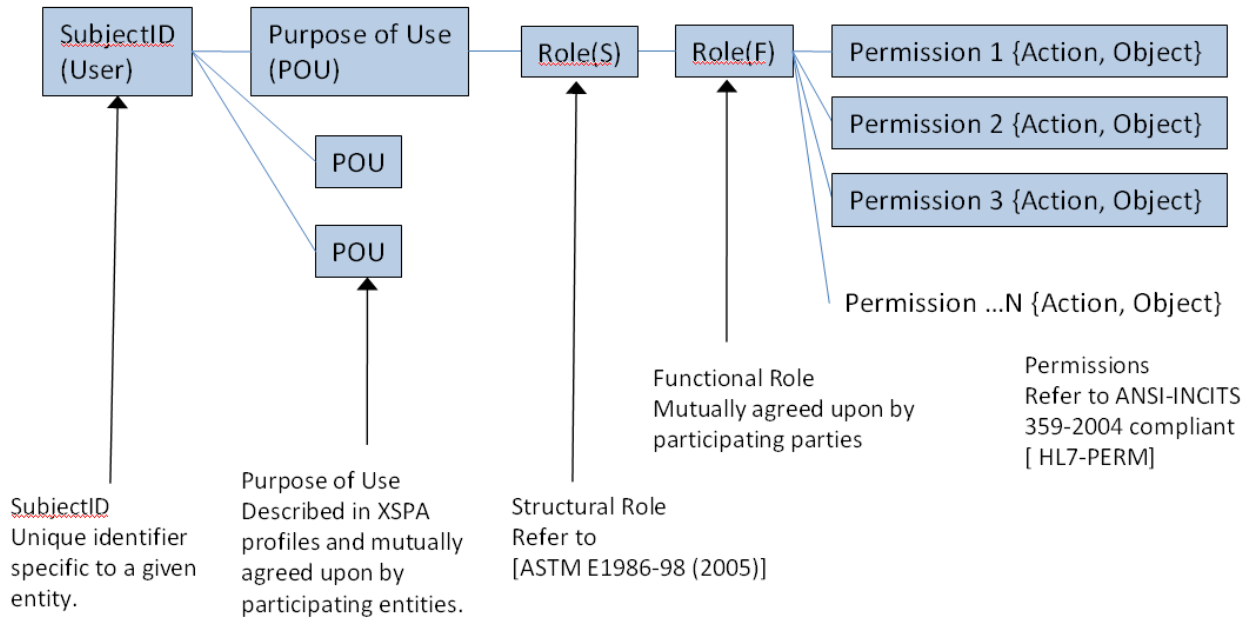
218

Table 1: Values for Purpose of Use

Description	Allowed Value
Healthcare Treatment	TREATMENT
Payment	PAYMENT
Operations	OPERATIONS
Emergency Treatment	EMERGENCY
System Administration	SYSADMIN
Research	RESEARCH
Marketing	MARKETING
Request of the Individual	REQUEST
Public Health	PUBLICHEALTH

219

220 Figure 2 illustrates the general relationship between subject (user) and granted permissions to specific
221 objects as a relationship to their POU. Roles in this relationship are placeholders for permissions.
222 Permission defines the object-action relationship.



223
224

Figure 2: Determining Subject Permissions

225 **2.12.12 Resource**

226 The object(s) for which access is requested must be identical to the object(s) for which the authorization
 227 assertions of this profile apply. A requested resource is not required to be a simple object but may
 228 instead be a process or workflow. This profile specifies the use of HL7 RBAC Permission Catalog as the
 229 resource vocabulary. .

230 3 Conformance

231 3.1 Introduction

232 The XSPA profile of SAML addresses the following aspects of conformance:

233 This profile describes a minimum vocabulary set that must be supported in order to claim conformance.

234 An Implementation must conform at minimum to the SAML v2.0 specification. The following tables
235 describes the Attribute naming syntax, restrictions, and acceptable values,

236

237

Table 2: Attribute Naming, Typing, and Acceptable Value Set

Identifier	Type	Valid Values
urn:oasis:names:tc:xacml:1.0:subject:subject-id	String	Is the name of the user as required by Health Insurance Portability and Accountability Act (HIPAA) Privacy Disclosure Accounting. The name will be typed as a string and in plain text.
urn:oasis:names:tc:xpsa:1.0:subject:organization	String	Organization the requestor belongs to as required by Health Insurance Portability and Accountability Act (HIPAA) Privacy Disclosure Accounting.
urn:oasis:names:tc:xpsa:1.0:subject:organization-id	anyURI	Unique identifier of the consuming organization and/or facility
urn:oasis:names:tc:xpsa:1.0:subject:hl7:permission	String	Refer to [HL7-PERM] and its OID representation.
urn:oasis:names:tc:xacml:2.0:subject:role	String	Structural Role refer to [ASTM E1986-98 (2005)] and its OID representation.
urn:oasis:names:tc:xpsa:1.0:subject:purposeofuse	String	TREATMENT, PAYMENT, OPERATIONS, EMERGENCY, SYSADMIN, MARKETING, RESEARCH, REQUEST, PUBLICHEALTH
urn:oasis:names:tc:xacml:1.0:resource:resource-id	String	Unique identifier of the resource defined by and controlled by the servicing organization. In healthcare this is the patient unique identifier.
urn:oasis:names:tc:xpsa:1.0:resource:hl7:type	String	For minimum interoperability set of objects and supporting actions refer to [HL7-PERM] and their OID representations.
urn:oasis:names:tc:xpsa:1.0:environment:locality	String	Unique identifier of the servicing organization.
urn:oasis:names:tc:xpsa:2.0:subject:npi	String	National Provider ID provided by U.S. Government for all active providers.

238 *Note: The OID for the HL7 Permission Catalog [HL7-PERM] is 2.16.840.1.113883.13.27. The OID for
239 structural roles referenced in [ASTM E1986-98 (2005)] is 1.2.840.10065.1986.7

240

241 The mechanism used to identify the patient in a standardized way, e.g. resource:resource-id, is outside
242 the scope of the profile.

243 HL7 RBAC Permission Catalog [HL7-PERM] represents a conformant minimum interoperability set for
 244 object/action pairings.
 245

246 3.2 Conformance Tables

247 The following section identifies portions of the profile that MUST be adhered to in order to claim
 248 conformance.

249 Note: “M” is mandatory “O” is optional.

250 **Attributes**

251 The implementation MUST use the attributes associated with the following identifiers in the way this
 252 profile has defined.

253 *Table 3: Conformance Attributes*

Identifiers	
urn:oasis:names:tc:xacml:1.0:subject:subject-id	M
urn:oasis:names:tc:xspa:1.0:subject:organization-id	M
urn:oasis:names:tc:xspa:1.0:organization	M
urn:oasis:names:tc:xspa:1.0:subject:hl7:permission	O
urn:oasis:names:tc:xacml:2.0:subject:role ASTM E1986-98 (2005) Structured Role Value	M
Urn:oasis:names:tc:xspa:1.0:subject:functional-role	O
urn:oasis:names:tc:xspa:1.0:subject:purposeofuse	M
urn:oasis:names:tc:xacml:1.0:resource:resource-id	M
urn:oasis:names:tc:xacml:1.0:action:action-id HL7 Permission Catalog Resource Action Value	O
urn:oasis:names:tc:xspa:1.0:resource:hl7:type HL7 Permission Catalog Object Value	O
urn:oasis:names:tc:xspa:1.0:environment:locality	M
urn:oasis:names:tc:xspa:2.0:subject:npi	O

254

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260 Daniel Dority, Jericho Systems Corporation
261 Brian McClung, Jericho Systems Corporation
262 Brendon Unland, Jericho Systems Corporation
263 Anil Saldhana, Red Hat
264 Dilli Doral, Sun Microsystems
265 Steven Jarosz, Sun Microsystems
266 Mike Davis, Veterans Health Administration
267 Duane DeCouteau, Veterans Health Administration
268 David Staggs, Veterans Health Administration
269

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325

B. Revision History

326

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327