



Cross-Enterprise Security and Privacy Authorization (XSPA) Profile of XACML v2.0 for Healthcare Version 1.0

Public Review Draft 01

5 November 2008

Specification URIs:

This Version:

<http://docs.oasis-open.org/xacml/xspa/v1.0/saml-xspa-1.0-pr01.html>
<http://docs.oasis-open.org/xacml/xspa/v1.0/saml-xspa-1.0-pr01.doc>
<http://docs.oasis-open.org/xacml/xspa/v1.0/saml-xspa-1.0-pr01.pdf>

Previous Version:

N/A

Latest Version:

<http://docs.oasis-open.org/xacml/xspa/v1.0/saml-xspa-1.0.html>
<http://docs.oasis-open.org/xacml/xspa/v1.0/saml-xspa-1.0.doc>
<http://docs.oasis-open.org/xacml/xspa/v1.0/saml-xspa-1.0.pdf>

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Related work:

This specification is related to:

- [eXtensible Access Control Markup Language\(XACML\) Version 2.0](#)

Declared XML Namespace(s):

N/A

Abstract:

A profile of XACML used to support cross-enterprise security and privacy authorization.

Status:

This document was last revised or approved by the OASIS eXtensible Access Control Markup Language (XACML) TC on the above date. The level of approval is also listed above. Check the "Latest Version" or "Latest Approved Version" location noted above for possible later revisions of this document.

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1 Introduction

Enterprises, including the healthcare enterprise, need a mechanism to exchange security and privacy policies, evaluate consent directives and determine authorizations in an interoperable manner. This document provides a cross-enterprise security and privacy profile that describes how to use eXtensible Access Control Markup Language (XACML) to provide these functions in an interoperable manner.

The Cross-Enterprise Security and Privacy Authorization (XSPA) profile of XACML describes several mechanisms to authenticate, administer, and enforce authorization policies controlling access to protected information residing within or across enterprise boundaries. The policies being administered and enforced relate to security, privacy, and consent directives. This profile MAY be used in coordination with additional standards including Web Services Trust Language (WS-Trust) and Security Assertion Markup Language (SAML).

This profile specifies the use of XACML 2.0 to promote interoperability within the healthcare community by providing common semantics and vocabularies for interoperable policy request/response, policy lifecycle, and policy enforcement.

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 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.

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.

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

Policy Administration Point (PAP) – Manages and makes available policies that may be stored in and retrieved from the Policy Repository.

Policy Decision Point (PDP) – Takes information from an Authorization Decision Request and returns an access control decision based on evaluation of XACML policy.

Policy Enforcement Point (PEP) – The system entity that performs access control by making decision requests and enforcing authorization decisions. It facilitates passing XACML authorization request attributes and enforcing XACML response decisions and obligations. This module MAY be used for obtaining attributes required for authorization from a Policy Information Point (PIP) by an application. Typical attributes collected at this level include Health Level Seven (HL7) Provider Permissions, HL7 Resource Permission, and HL7 Patient Privacy Constraints.

Policy Information Point (PIP) – Repository of attribute data that is made available to support authorization decisions.

47 **Structural Role** - A job function within the context of an organization whose permissions are defined by
48 operations on workflow objects. ASTM (American Society for Testing and Materials) [E2595-2007]
49 **Service Provider (SP)** - The service provider represents the system providing a protected resource and
50 relies on the provided security service.
51 **Service User** – The service user represents any individual entity [such as on an Electronic Health Record
52 (EHR)/personal health record (PHR) system] that needs to make a service request of a Service Provider.

53 1.2 Normative References

54 **[RFC2119]** S. Bradner, *Key words for use in RFCs to Indicate Requirement Levels*,
55 <http://www.ietf.org/rfc/rfc2119.txt>, IETF RFC 2119, March 1997.
56 **[XACML CORE]** OASIS Standard, “XACML 2.0 Core: eXtensible Access Control Markup
57 Language (XACML) Version 2.0”, March 2005
58 http://docs.oasis-open.org/xacml/2.0/access_control-xacml-2.0-core-spec-os.pdf
59 **[SAML-XACML20]** OASIS Working Draft, “SAML 2.0 profile of XACML 2.0 Errata”, November 2005,
60 <http://www.oasis-open.org/committees/download.php/15447/xacml-2.0-saml-errata-wd.zip>
61
62 **[SX20-ASSN-SCH]** OASIS Standard, schema (assertion), http://www.oasis-open.org/committees/download.php/11474/access_control-xacml-2.0-saml-assertion-schema-os.xsd
63
64
65 **[SX20-PROT-SCH]** OASIS Standard, schema (protocol), http://www.oasis-open.org/committees/download.php/11475/access_control-xacml-2.0-saml-protocol-schema-os.xsd
66
67
68 **[HL7-PERM]** HL7 Security Technical Committee, HL7 Version 3 Standard: Role-based Access
69 Control Healthcare Permission Catalog, (Available through
70 <http://www.hl7.org/library/standards.cfm>), Release 1, Designation: ANSI/HL7 V3
71 RBAC, R1-2008, Approval Date 2/20/2008.
72 **[HL7-CONSENT]** HL7 Consent Related Vocabulary Confidentiality Codes Recommendation,
73 <http://lists.oasis-open.org/archives/xacml-demo-tech/200712/doc00003.doc>, from
74 project submission: <http://lists.oasis-open.org/archives/xacml-demo-tech/200712/msg00015.html>
75
76 **[ASTM E1986-98 (2005)]** Standard Guide for Information Access Privileges to Health Information.
77 **[ASTM E2595 (2007)]** Standard Guide for Privilege Management Infrastructure

78 1.3 Non-Normative References

79 **[SAML-XACML20V2]** OASIS Working Draft, “SAML 2.0 profile of XACML Version 2”, July 2007
80 (current working draft covers all versions of XACML).
81 <http://www.oasis-open.org/committees/download.php/24681/xacml-profile-saml2.0-v2-spec-wd-5-en.pdf>
82
83 **[XACML-RBAC]** OASIS Standard, “Core and hierarchical role based access control (RBAC)
84 profile of XACML v2.0”, February 2005
85 http://docs.oasis-open.org/xacml/2.0/access_control-xacml-2.0-rbac-profile1-spec-os.pdf
86
87 **[HITSP]** Healthcare Information Technology Standards Panel (HITSP) at www.hitsp.org
88 **[XSPA-XACML-EXAMPLES]** Cross-Enterprise Security and Privacy Authorization (XSPA)
89 Profile of XACML v2.0 for Healthcare, Implementation Examples.
90 http://www.oasis-open.org/committees/document.php?document_id=30430
91 **[SNOMED CT]** SNOMED CT User Guide (July 2008) <http://www.ihtsdo.org/snomed-ct/snomed-ct-publications/>
92
93
94

2 XSPA profile of XACML

2.1 Interactions between Parties

Figure 1 displays an overview of interactions between parties in the exchange of healthcare information. Elements described in the figure are explained in the subsections below.

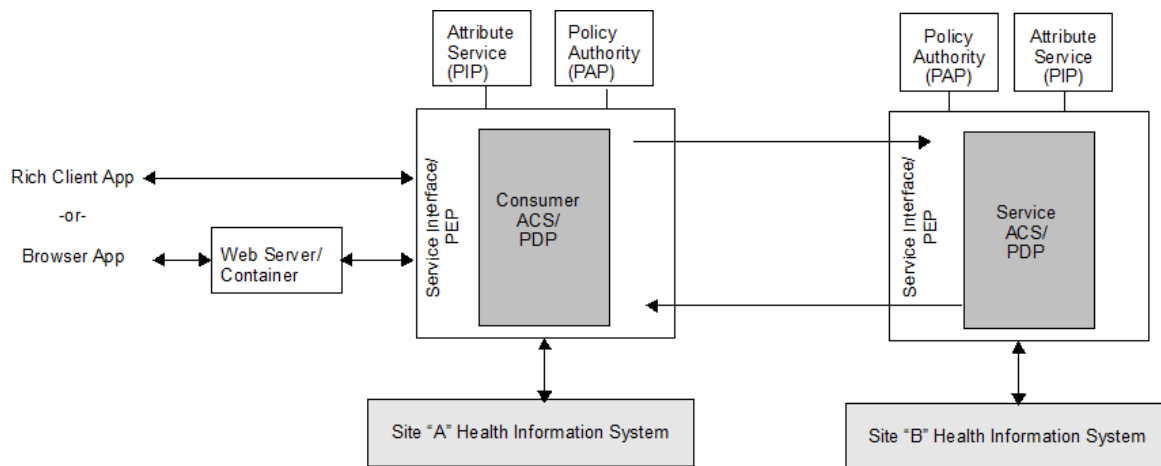


Figure 1: Interaction between Parties

2.1.1 Service Interface

XAMCL functions of the Policy Enforcement Point (PEP) are carried out by the Service Interface.

The PEP interacts with the Policy Information Point (PIP) of the Attribute Service and the Policy Decision Point (PDP) functionality of the Access Control Service (ACS), in enforcing authorization decisions.

2.1.2 Access Control Service (Service Consumer)

The XSPA profile of XACML supports sending all Service User requests through an ACS. XACML functions of the PDP are carried out by the ACS.

Attributes necessary to make a local access control decision are determined and HL7 Permission [HL7-PERM] are granted to the Service User based on their role, purpose of use (POU), the service endpoint of the external resource, and any site specific operational attributes.

2.1.3 Attribute Service

XACML functions of the Policy Information Point (PIP) are carried out by the Attribute Service.

The Attribute Service has access to attribute information (e.g., location, purpose of use), object preferences, consent directives and other privacy conditions (object masking, object filtering, user, role, purpose, etc.) that constrain enforcement.

2.1.4 Policy Authority

XACML functions of the Policy Administration Point (PAP) are carried out by the Policy Authority.

The Policy Authority has access to security policies that include rules regarding authorizations required to access a protected resource and additional security conditions (location, time of day, cardinality, separation of duty purpose, etc.) that constrain enforcement.

122 **2.1.5 Access Control Service (Service Provider)**

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

125 **2.2 Transmission Integrity**

126 The XSPA profile of XACML recommends the use of reliable transmission protocols. Where transmission
127 integrity is required, this profile makes no specific recommendations regarding mechanism or assurance
128 level.

129 **2.3 Transmission Confidentiality**

130 The XSPA profile of XACML recommends the use of secure transmission protocols. Where transmission
131 confidentiality is required, this profile makes no specific recommendations regarding mechanisms.

132 **2.4 Error States**

133 This profile adheres to error states described in **[XACML-CORE]**.

134 **2.5 Security Considerations**

135 The following security considerations are established for the XSPA profile of XACML:

- 136 • Entities must be members of defined information domains under the authorization control of a defined
137 set of policies,
- 138 • Entities must have been identified and provisioned (credentials issued, privileges granted, etc.) in
139 accordance with policy,
- 140 • Privacy policies must have been identified and provisioned (consents, user preferences, etc.) in
141 accordance with policy,
- 142 • Pre-existing security and privacy policies must have been provisioned to Access Control Services,
- 143 • The capabilities and location of requested information/document repository services must be known,
- 144 • Secure channels must be established as required by policy,
- 145 • Audit services must be operational and initialized, and
- 146 • Entities have pre-asserted membership in an information domain by successful and unique
147 authentication.

148 **2.6 Confirmation Identifiers**

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

155 **2.7 Metadata Definitions**

156 A XACML extension is used to enable the SAML protocol layer. This is described in the **[SAML-XACML-
157 20]** specification and in the **[SX20-PROT-SCH]** schema.

158 **2.8 Naming Syntax, Restrictions and Acceptable Values**

159 This profile will support the namespace requirements described in **[XACML-CORE]**.

160 **2.9 Namespace Requirements**

161 This profile will support the namespace requirements described in [XACML-CORE].

162 **2.10 Attribute Rules of Equality**

163 This profile will support the attribute evaluation requirements described in [XACML-CORE].

164 **2.11 Attribute Naming Syntax, Restrictions and Acceptable Values**

165 *Table 1: Standard Attributes (Normative)*

Attribute ID*	Identifier	Type	Valid Values
subject:subject-id	urn:oasis:names:tc:xacml:2.0:subject:subject-id	String	Unique identifier of subject defined by and controlled at the consuming organization.
subject:locality	urn:oasis:names:tc:xacml:2.0:subject:locality	String	Unique identifier of the consuming organization and/or facility.
subject:hl7:permission	urn:oasis:names:tc:xspa:1.0:subject:hl7:permission	String	Refer to [HL7-PERM]
subject:role	urn:oasis:names:tc:xacml:2.0:subject:role	String	Structural Role refer to [ASTM E1986-98 (2005)]
subject:purposeofuse	urn:oasis:names:tc:xspa:1.0:subject:purposeofuse	String	Healthcare Treatment, Emergency Treatment, System Administration, Operations, Payment, Research, Marketing, Public Health
resource:resource-id	urn:oasis:names:tc:xacml:2.0:resource:resource-id	String	Unique identifier of the resource defined by and controlled by the service organization.
resource:hl7:type	urn:oid: 2.16.840.1.113883.13.27	String	For minimum interoperability set of objects and supporting actions refer to [HL7-PERM]
resource:hl7:permission	urn:oid: 2.16.840.1.113883.13.27	String	Refer to [HL7-PERM]
resource:hl7:confidentiality-code	urn:oasis:names:tc:xspa:1.0:resource:hl7:confidentiality-code	String	Refer to [HL7-CONSENT]
resource:hl7:dissenting-subject-id	urn:oasis:names:tc:xspa:1.0:resource:hl7:dissenting-subject-id	String	Unique identifier of the subject defined and controlled by the consuming organization.
resource:hl7:dissenting-role	urn:oasis:names:tc:xspa:1.0:resource:hl7:dissenting-role	String	Listing of functional roles whose values are agreed upon by participating organizations.
environment:locality	urn:oasis:names:tc:xspa:1.0:environment:locality	String	Unique identifier of the service organization.

166 *Note: Attribute-ID is provided for mapping to pseudo-code in the [XSPA-XACML-EXAMPLES] document.

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

169 *Table 2: Standard Attributes (Non-Normative)*

Attribute ID*	Identifier	Type	Valid Values
subject:npi	urn:oasis:names:tc:xspa:2.0:subject:npi	String	National Provider ID provided by U.S. Government for all active providers.
resource:snomedct:type	urn:oasis:names:tc:xspa:2.0:resource:snomedct:type	String	For full implementation information on healthcare objects refer to [SNOMED CT].

170 *Note: Attribute-ID is provided for mapping to pseudo-code in the [XSPA-XACML Example] document.
171 Systematized Nomenclature of Medicine--Clinical Terms [SNOMED CT] provides the core general
172 terminology for the electronic health record (EHR). As used in this profile, SNOMED CT is used to
173 designate clinically relevant protected information objects.

174 2.12 Standard Rules (Normative)

175 At this time no Standard Rule requirements have been defined for this profile.

176 2.13 Standard Rules (Non-normative)

177 At this time no optional Rules have been defined for this profile.

178 2.14 Obligations (Normative)

179 This profile describes the use of <Obligation> element as optional.

180 2.15 Obligations (Non-normative)

181 The <Obligation> element will be used in the XACML response to notify requestor that additional
182 processing requirements are needed. This profile focuses on the use of obligations to enforce patient
183 privacy election. The XACML response may contains one or more obligations. Processing of an
184 obligation is application specific. An <Obligation> may contain the object(resource) action pairing
185 information. If multiple vocabularies are used for resource definitions the origin of the vocabulary must be
186 identified.

187 The obligation should conform to following structure:

188 urn:oasis:names:tc:xspa:1.0:obligation:<action>:privacy:constraint:<object vocabulary>:object

189 The following is an example response obligation segment.

```
190 <xacml:Obligations  
191 xmlns:xacml="urn:oasis:names:tc:xacml:2.0:policy:schema:os" >  
192   <xacml:Obligation  
193  
194   ObligationId="urn:oasis:names:tc:xspa:1.0::obligation:ma:privacy:constraint:hl  
195   7:radiology" FulfillOn="Permit">  
196     </xacml:Obligation>  
197 </xacml:Obligations>
```

198 2.16 Examples of Use

199 The following section of this profile provides examples of XACML request and response messages. The
200 examples are intended to provide additional guidance to implementers of this profile.

201 All XACML request and response attributes are identified by a Uniform Resource Name (URN) from the
202 vocabulary. This enables seamless mapping of data values between the client interface and policy
203 services.

204 It is recommended that the SAML 2.0 profile of XACML v2.0 [**SAML-XACML20**] be used for PEP-PDP
205 communications. (Note: make sure to use [**SX20-ASSN-SCH**] and [**SX20-PROT-SCH**] schema files and
206 specification in 17-Nov-05 Errata version.)

207 Following are the expected SOAP-wrapped request and response messages. Further analysis needs to
208 be done here to confirm these formats and determine if they can be used by the participating vendors.

209 **Sample SOAP SAML XACML Request wrapper:**

```
210 <?xml version="1.0" encoding="UTF-8"?>
211 <soapenv:Envelope
212   xmlns:soapenv="http://schemas.xmlsoap.org/soap/envelope/"
213   xmlns:xsd="http://www.w3.org/2001/XMLSchema"
214   xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance">
215   <soapenv:Body>
216     <xacml-samlp:XACMLAuthzDecisionQuery
217       xmlns:xacml-samlp="urn:oasis:xacml:2.0:saml:protocol:schema:os"
218       ID="_e064bd912f83c1544fea110307000acf"
219       IssueInstant="2007-05-21T22:00:36Z"
220       Version="2.0">
221       <xacml-context:Request
222         xmlns:xacml-
223         context="urn:oasis:names:tc:xacml:2.0:context:schema:os">
224         <!-- See [XACML-Request-01] for sample content of this element -->
225         </xacml-context:Request>
226       </xacml-samlp:XACMLAuthzDecisionQuery>
227     </soapenv:Body>
228   </soapenv:Envelope>
```

229 The request message above contains three protocol layers:

- 230 • **soapenv:** is the SOAP layer. A SOAP Envelope contains a SOAP Body.
- 231 • **xacml-samlp:** is the SAML protocol layer, which is enabled by the XACML extension to the SAML
232 protocol, which is described in [**SAML-XACML-20**] specification and in the [**SX20-PROT-SCH**]
233 schema. Note that the usual `samlp:` is not declared here because `xacml-samlp:` extends `samlp:` and
234 will transparently include the `samlp:` base declarations.
- 235 • **xacml-context:** is the XACML request/response layer which is described in [**XACML-CORE**].

236 **Sample SOAP SAML XACML response wrapper:**

```
237 <soapenv:Envelope
238   xmlns:soapenv="http://schemas.xmlsoap.org/soap/envelope/"
239   xmlns:xsd="http://www.w3.org/2001/XMLSchema"
240   xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance">
241   <soapenv:Body>
242     <samlp:Response
243       xmlns:samlp="urn:oasis:names:tc:SAML:2.0:protocol"
244       ID="A12345602"
245       Version="2.0"
246       IssueInstant="2007-05-09T00:00:01Z">
247       <samlp:Status>
248         <samlp:StatusCode
249           Value="urn:oasis:names:tc:SAML:2.0:status:Success"/>
250       </samlp:Status>
251       <saml:Assertion
252         xmlns:saml="urn:oasis:names:tc:SAML:2.0:assertion"
253         Version="2.0"
254         ID="A12345603"
255         IssueInstant="2007-05-09T00:00:01Z">
256         <saml:Issuer>xacml.interop.com</saml:Issuer>
257         <saml:Statement
258           xmlns:xacml-saml="urn:oasis:xacml:2.0:saml:assertion:schema:os"
```

```
259         xsi:type="xacml-saml:XACMLAuthzDecisionStatementType">
260         <xacml-context:Response
261           xmlns:xacml-
262 context="urn:oasis:names:tc:xacml:2.0:context:schema:os">
263           <!-- See [XACML-Response-01] for sample content of this element --
264 >
265           </xacml-context:Response>
266         </saml:Statement>
267       </saml:Assertion>
268     </samlp:Response>
269   </soapenv:Body>
270 </soapenv:Envelope>
```

271 The response message above contains three protocol layers:

- 272 • **soapenv:** is the SOAP layer. A SOAP Envelope contains a SOAP Body.
- 273 • **samlp:** is the SAML Protocol layer, which is explicitly declared this time because in the response
274 case the xacml extension is lower in the samlp: protocol. In particular, samlp: requires a
275 saml:Assertion, which in turn includes a saml:Statement. It is within the saml:Statement that the
276 xacml extension occurs and is referred to as xacml-saml: because it extends the
277 saml:Assertion/saml:Statement with the XACMLAuthzDecisionStatementType. The details are
278 described in the **[SAML-XACML-20]** specification and the **[SX20-ASSN-SCH]** schema.
- 279 • **xacml-context:** is the XACML request/response layer which is described in **[XACML-CORE]**

280 3 Conformance

281 3.1 Introduction

282 The XSPA profile of XACML addresses the following aspects of conformance:

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

284 An Implementation of a PDP must conform to XACML v2.0 specification.

285 3.2 Conformance Tables

286 The following section identifies portions of the profile that **MUST** be adhered to in order to claim
287 conformance.

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

289 3.2.1 Attributes

290 The implementation **MUST** use the attributes associated with the following identifiers in the way this
291 profile has defined.

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Table 3: Conformance Attributes

Identifiers	
urn:oasis:names:tc:xacml:2.0:subject:subject-id	M
urn:oasis:names:tc:xacml:2.0:subject:locality	M
urn:oasis:names:tc:xspa:1.0:subject:hl7:permission	M
urn:oasis:names:tc:xacml:2.0:subject:role	M
urn:oasis:names:tc:xspa:1.0:subject:purposeofuse	M
urn:oasis:names:tc:xacml:2.0:resource:resource-id	M
urn:oid: 2.16.840.1.113883.13.27	M
urn:oid: 2.16.840.1.113883.13.27	M
urn:oasis:names:tc:xspa:1.0:resource:hl7:confidentiality-code	M
urn:oasis:names:tc:xspa:1.0:resource:hl7:dissenting-subject-id	M
urn:oasis:names:tc:xspa:1.0:resource:hl7:dissenting-role	M
urn:oasis:names:tc:xspa:1.0:environment:locality	M
urn:oasis:names:tc:xspa:2.0:subject:npi	O
urn:oasis:names:tc:xspa:2.0:resource:snomedct:type	O

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295 **A. Acknowledgements**

296 The following individuals have participated in the creation of this specification and are gratefully
297 acknowledged:

298 **Participants:**

299 [Participant Name, Affiliation | Individual Member]

300 [Participant Name, Affiliation | Individual Member]

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B. Revision History

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Document ID	Date	Committer	Comment
xspa-xacml-profile-01	09/29/2008	Brett Burley	Initial draft v1.0
xspa-xacml-profile-01	09/29/2008	Craig Winter	QA review / revision v1.1
xspa-xacml-profile-01	10/03/2008	Duane DeCouteau	Obligation, rules, and Snomed CT. v,1,2
xspa-xacml-profile-cd01	10/10/2008	Brett Burley	Formatting as Committee Draft
xspa-xacml-profile-cd-02	10/23/2008	Duane DeCouteau	Action Items, structural roles, HL7 OID, conformance section
xspa-xacml-profile-cd-02	11/05/2008	Craig Winter	QA review / revision v1.3
xspa-xacml-profile-pr-01	11/05/2008	David Staggs	Approved Public Review Draft v1.0

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