

*OMG CORBAmed DTF*

*Healthcare Resource Access Control (HRAC)*

*Initial Submission*

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*IBM*

*OMG TC Document corbamed/98-10-02*

*18 October 1998*

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# History

| <b>Initial Submission Draft 1</b>   | <b>18 October 1998</b> |
|---|------------------------|
| <p>The Editor of this document is Carol Burt of 2AB.</p> <p>The initial submission to the OMG Healthcare Resource Access Control Facility (HRAC) is the result of collaboration between the four submitting companies listed on the cover and the list of supporting companies named in the initial submission.</p> |                        |

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# 1. Preface

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This submission is a response to CORBAmed RFP, Healthcare Resource Access Control (HRAC), Object Management Group (OMG) document number corbamed/98-02-16.

## 1.1 Submission Contact Points

|  |   |
|--|---|
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## 1.2 Supporting Organizations

The following organizations have been involved in the process of developing, prototyping and/or reviewing this submission. The submitters of this response thank them for participating and giving their valuable input. A special thank you goes out to those organizations. The editor would like to extend a special thanks to John Barkley of NIST for providing text and a detailed review of each version of this submission.

- Concept Five
- Inprise
- Los Alamos National Laboratory
- National Institute of Standards (NIST)
- National Security Agency (NSA)
- Philips Medical Systems

## 1.3 Conventions

|  |
|--|
| IDL appears using this font and in a border. |
|--|

## 1.4 Terminology

**Access Decision Object (ADO)** - The HRAC object that implements access decision functions. From the perspective of a client requesting an access decision of HRAC, this is the only interface that they are required to use. Although similar in function to the CORBAsec object of the same name, the HRAC ADO has a different signature and semantics.

**ADO Client** - the immediate invoker of the HRAC Access Decision Object. This could be an integral part of the application that controls the secured resources or it could be an interceptor that decides whether to allow the CORBA Request to reach the application.

**Access Policy** - the policy or rules that govern access to a secured resource.

**AttributeList** - a list of security attributes that are used to determine whether access should be allowed. An AttributeList may contain both static and dynamic attributes.

**Authorization** - The granting of authority, which includes the granting of access based on access rights.<sup>1</sup>

**Component** - A cohesive set of software services

**Credentials** - Information describing the security attributes (identity and/or privileges) of a user or other principal. Credentials are claimed through authentication or delegation and used by access control.<sup>1</sup> The attributes contained in an HRAC AttributeList are derived from CORBAsec credentials, if possible.

**Dynamic attribute** - a security attribute that can only be determined at the time an access decision is requested. Dynamic attributes are often based on the relationship between a principal and the secured resource (such as attending physician) and cannot be statically configured. This submission allows dynamic attributes to be resolved and used during the access decision computation.

**Identity (attribute)** -A security attribute with the property of uniqueness; no two principals' identities may be identical. Principals may have several different kinds of identities, each unique (for example, a principal may have both a unique audit identity and a unique access identity). Other security attributes (e.g. groups, roles, etc...) need not be unique.<sup>1</sup>

**Naming Authority** - Any organization that assigns names determines the scope of uniqueness of the names and takes the responsibility for making sure the names are unique within its name space. In the same way that ID values are meaningful only within the context of their ID Domains, names are unique only within the context of their naming authority.<sup>2</sup>

**Operation** - an action which may be performed on a secured resource (such as create, get, set, use...). Operations are represented within the HRAC as strings.

**Principal** - A user or programmatic entity with the ability to use the resources of a system.<sup>1</sup>

**Privilege (Attributes)** - security attributes which need not have the property of uniqueness, and which thus may be shared by many users and other principals. Examples of privileges include groups, roles, and clearances.<sup>1</sup>

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<sup>1</sup> This definition is taken from the OMG CORBAsecurity 1.2 specification. OMG document number ptc/98-02-01

<sup>2</sup> This definition is taken from the OMG CORBAMED Person Identification Service (PIDS). OMG document number corbamed/98-02-29

**Secured Resource** - a “secured resource” is any valuable asset of an application owner, which is accessed by an application on behalf of a principal using it, and access to which is to be controlled according to the owner’s interests.

**Security attributes** - Characteristics of a principal which form the basis of the system’s policies governing that subject.<sup>3</sup>

**Static Attribute** - a security attribute that is (typically) statically configured by an administrator. Examples would be access\_id:john\_doe or role:physician.

**System** - An application or set of applications that interact with each other, interact with the HRAC or implement HRAC. System in this context is synonymous with application. Examples of systems might include a hospital or clinical information system, an ancillary system such as a lab or radiology system, or a financial/administrative system such as an ADT.

## 1.5 *Proof of Concept*

The initial submission is based on experience gained in implementation of proprietary access control systems by 2AB, Concept Five, and IBM and with requirements input from end user organizations such as Baptist Health Systems of South Florida, and Healthcare vendors such as Phillips Medical Systems and CareFlow|Net. The interfaces in the initial submission will be prototyped by at least one submitting organization prior to the final submission.

## 1.6 *Changes to Adopted OMG Specifications*

No changes to the existing OMG specifications are needed by this specification.

## 1.7 *Response to RFP Requirements*

### 1.7.1 MANDATORY RFP REQUIREMENTS

#### *Use of the CORBA Security service credentials as the source for identifying caregivers’ privileges*

The submission’s AccessDecision Interface takes a Security::AttributeList as the source for identifying caregivers’ privileges. This attribute list is directly accessible from the Security::Credentials. The Credentials object itself is not passed because it is locality constrained whereas the submission’s AccessDecision object is not locality constrained. Thus, to pass the object reference of the locality constrained Credentials object to the potentially remote AccessDecision object would violate CORBA Security.

#### *Ability to define secured resource categories.*

The ResourceName is a sequence of string where the first string in the sequence is required to be a NamingAuthority::QualifiedNameStr. This allows an implementation to define categories of secured resources and for a client to determine from the resource name how those categories are

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<sup>3</sup> This definition is taken from the OMG CORBAsecurity 1.2 specification. OMG document number ptc/98-02-01

arranged into hierarchies. The use of the NamingAuthority module allows these categories to be unique.

*An interface for defining access control rules for secured resources based on credentials.*

The submission does not provide interfaces for defining rules, as there are a large number of rule languages supported by existing products, and there does not appear to be a consensus regarding which language or languages should be chosen. The submission does provide interfaces for applying named policies (presumably created and named through proprietary interfaces) to secured resources.

*A set of Healthcare specific secured resources.*

The final submission will define a set of standard resource names for use in healthcare environments. The initial submission does not yet contain these definitions.

*An interface to an access control decision facility that may be used to request access control decisions.*

The AccessDecision interface provides this capability

### 1.7.2 OPTIONAL RFP REQUIREMENTS

*Provide the ability for secured resources to be grouped for the purpose of defining access control rules*

The submission does not constrain an applications' assignment of ResourceNames to application entities; this allows applications to create ResourceNames which refer to groups of application entities if desired.

*An interface for defining access control rules based on attributes of the Principle (in addition)*

The submission does not constrain the form of access control rules. The AccessDecision interface accepts the list of Principal attributes as an input parameter to the access\_allowed() method; this allows AccessDecision objects whose rules are based on Principal attributes to receive the information they need to have in order to evaluate their rules. As noted above, the submission does not provide an interface for defining access control rules.

*An interface that extends the definition of access control rules to include context sensitive access control based on a) the day and time when the resource is accessed, b) the location of an invoking principal, c) the values of request parameters.*

The AccessDecision interface does not need any explicit parameters to support rules based on day and time; implementations can support such rules using the interfaces defined in the submission.

The submission does not support access control rules based on the location of the invoking Principal, unless information about the invoking Principal's location is provided as a security attribute (it is not clear to the submitters what data could be used to define the invoking Principal's location). The submission does not support access control based on the values of request parameters, unless parameter value information is encoded into the ResourceName by the application.

*An interface that extends the definition of the access control rules to include notion of the relationship between a patient and a caregiver*

The DynamicAttributeService interface was designed specifically as a generic way to support relationship based (and other dynamic-attribute based) decision rules. The DynamicAttributeService interface permits the AccessDecision object to determine at runtime what dynamic attributes (e.g. relationship between caregiver requesting access and patient to whose record access is requested) apply to the requested operation. Each PolicyEvaluator object

accepts as input a list of attributes, including dynamic attributes, and uses these to make its access decision.

*A reference object model for the healthcare domain that provides a sufficient foundation for access decision logic.*

The submission contains a description of the access control model (including object/interface diagrams and object interaction diagrams) and its interaction with invoking healthcare applications.

*An interface that permits management of policy, which controls how multiple access control policy decisions governing access to the same resource are reconciled.*

The submission defines a DecisionCombinator interface that meets this requirement.

### 1.7.3 DISCUSSION POINTS REQUESTED

*How new CORBAMED specifications will employ the submitted specification.*

Due to the generality of the submitted response, the specified service can be used in various ways. The usage patterns will highly depend on a particular enterprise, its workflow and access control policies. Usage of the service even in systems compliant with CORBAMED specifications is expected to vary from company to company. On the other hand, the submission team believes that semantics of the interactions between an HRAC service and its clients should be defined completely and precisely. It is the intent of the submission team to provide in further revisions of this response a complete and precise definition of the semantics. Besides defining semantics of interactions between HRAC service and its clients, the response provides sample scenarios and use cases. The appendix in Section 6 of the response provide such scenario's and use cases along with discussion about how the specified service is intended to be used in general cases and specifically in healthcare applications compliant with the OMG standards.

*How existing CORBAMED specifications are to be modified.*

The submitters do not believe any modification is necessary for existing CORBAMED specifications to use the services of an HRAC, however it might be useful for some standard ResourceNames to be defined within the CORBAMED community for common resources within standard services. Such definition would be a compatible extension of existing specifications.

*Scalability and Performance of the proposal*

The process of making authorization decisions on fine grained resources is an expensive and inefficient action when compared to the coarse interface/operation control provided by the existing CORBA access control facilities. The HRAC service is intended for use when granularity and/or expressiveness of CORBA security access control model is insufficient. Thus, the submission team believes that use of HRAC service is a necessary "evil" in terms of overall system performance. Performance impact can be kept to a minimum by clever implementations, but it cannot be eliminated in any security-aware application.

Scalability and performance of systems implementing the proposed specification and usage of it by other CORBA-compliant systems are highly dependent on the following factors:

- Internal design and implementation of the HRAC-compliant service, including ability to cache policies.
- Co-location of HRAC services and HRAC clients.
- Distribution of load over multiple instances of the HRAC services.
- Organization of the resource space.

- Complexity of access control policies.

Taking the above discussion into account, the submission team believes does not believe there is anything in the proposed design model of HRAC service that would preclude implementation and deployment of scalable, high performance HRAC services.

#### 1.7.4 Mechanisms provided for extensibility

This discussion will provided in the final submission after outstanding issues are resolved.

## 2. Overview of Response

### 2.1 Introduction

This document is a response to the Healthcare Resource Access Control RFP. The response describes a specification of Healthcare Resource Access Control (HRAC) Service. HRAC service is a mechanism for obtaining authorization decisions and administrating access control policies. It enables a common way for an application to request and receive an authorization decision. The service is intended to be used by security-aware applications.

This submission provides access control functionality not supported by CORBAsecurity which is required in healthcare and other application environments. It is intended to be implementable using CORBAsecurity as a base; it is also intended to be implementable in ORB environments which do not provide CORBAsecurity. For detailed information about the healthcare environment's access control requirements, refer to the HRAC RFP (OMG document number corbamed/98-02-23).

In the proposed design, authorization logic is encapsulated within an authorization service that is external to the application. In order to perform an application-level access control, an application requests an authorization decision from such a service and enforces that decision. A simplified schema of application flow is depicted in Figure 1.

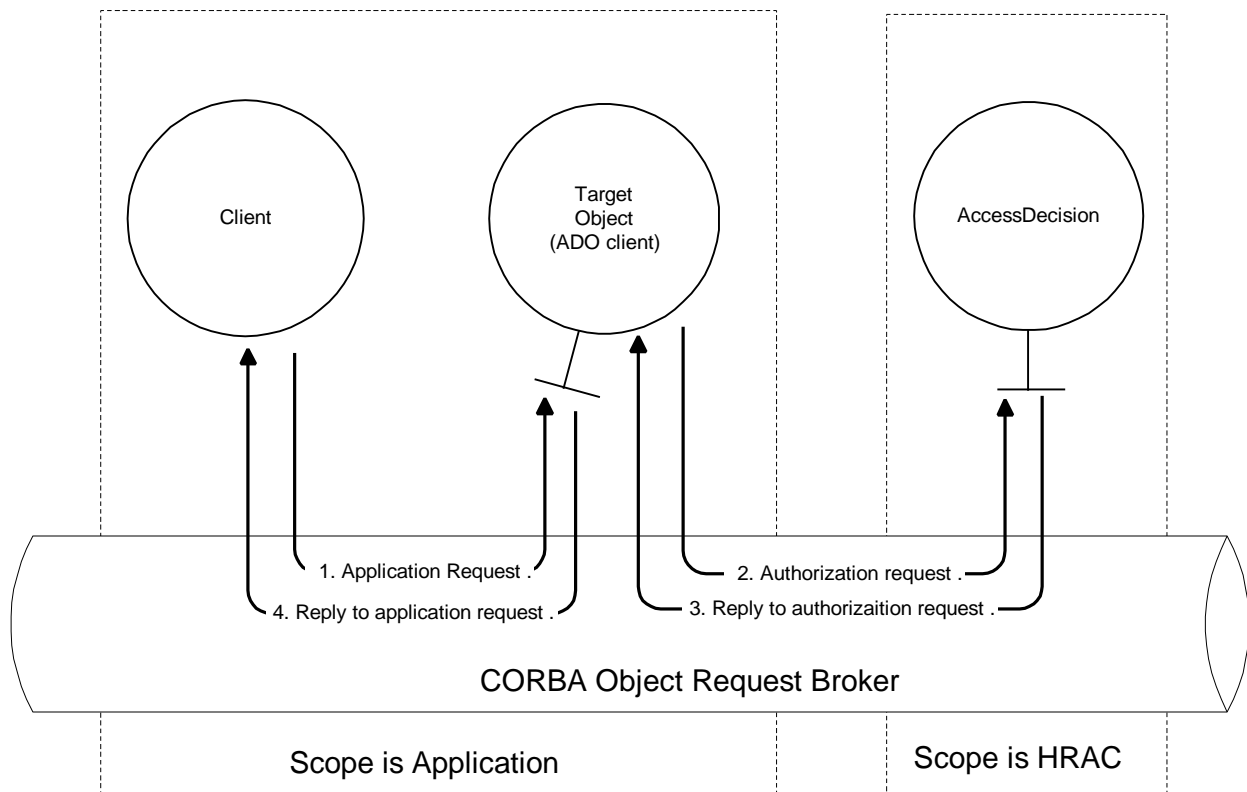


Figure 1

The sequence of the interaction, illustrated by Figure 1, is as follows:

1. An application client invokes an operation of the interface provided by the target object. The object request broker transfers this request to the target object and causes invocation of the appropriate method in the target object.
2. While processing the request, the target object requests authorization decision(s) from the Access Decision object by invoking the `access_allowed()` method of the ADO.
3. The Access Decision object consults other objects that are internal to the HRAC (described in this submission) to make an access decision. The access decision is returned to the Target Object (ADO client) as a boolean.
4. The target object, after receiving an authorization decision, is responsible for enforcing the decision. If access was granted by the ADO, the target object performs the requested operation and returns the results. If access to secured resources was denied, the target object may return partial results or raise an exception to the Client.

A detailed description of the object model and design of the ADO (and its interaction with other HRAC objects) can be found in Section 2.3 of this submission.

## 2.2 *Design Goals*

The submitters had the following goals in mind during the design of this submission:

### 2.2.1 Conservatism:

The proposal should extend the CORBAsecurity mechanisms rather than replacing them with a different model. The proposal should be implementable using CORBAsecurity as a base. Specifically, the proposal should use the CORBA security attribute structure to identify authenticated subjects to the access control mechanism.

### 2.2.2 Minimality:

The proposal should define the smallest number of interfaces and methods possible. The proposal should be easy to implement, and implementations should be small.

### 2.2.3 Simplicity:

The proposal should have a simple administrative model and a trivial runtime-programming model.

### 2.2.4 Generality:

The proposal should be applicable to and useful in domains other than healthcare.

### 2.2.5 Relevance:

The proposal should satisfy the healthcare access control requirements set forth in the HRAC RFP. Specifically, the proposal should:

- (a) Define a notion of controlled resource, which allows extension of CORBA security protection to system entities other than CORBA objects.
- (b) Support enforcement of policies which take the following factors into account when making access control decisions:
  - relationship between the requester and the accessed resource or its owner, subject, or referent
  - value or sensitivity of information contained within resource
  - time (e.g. time of day, day of week)
- (c) Support management of access control policy in a policy-language-independent way
- (d) Support OMG PIDS and COAS access scenarios

### 2.2.6 Flexibility:

The proposal should support a wide variety of policies (especially healthcare-appropriate policies). The proposal should be implementable using a variety of policy management and enforcement engines (including existing healthcare security packages).

### 2.2.7 Scalability:

The proposal should scale well, both in terms of runtime performance and in terms of management interface simplicity and management data size.

## 2.3 Reference Models

Two views of the HRAC are presented in the following models. The first is the access decision model. This represents the relationship of objects involved in making an access decision. The second view is the Administrative view and represents how an HRAC is configured. Administration of Access Policy is beyond the scope of the HRAC and is clearly indicated as such on this model diagram.

The Healthcare Resource Access control facility reference model defines a framework within which a wide variety of access control policies may be supported. The reference models below clearly indicate the scope of this submission response by heavy dotted lines. In some cases there are types that occur within the scope of this response that represents concepts and/or services that lie beyond the scope of the HRAC. An example of this is the concept of a “secured resource” which is only represented within the scope of the HRAC by a ResourceName. Where this occurs these external concepts appear in the model, but outside the dotted line to aid the reader in an understanding of the relationship between the HRAC and the external concepts and/or services. The appearance of objects outside the scope of the submission is conceptual and is presented only to aid in understanding the types that occur within the HRAC.

### **HRAC types that represent or encapsulate external concepts and/or services:**

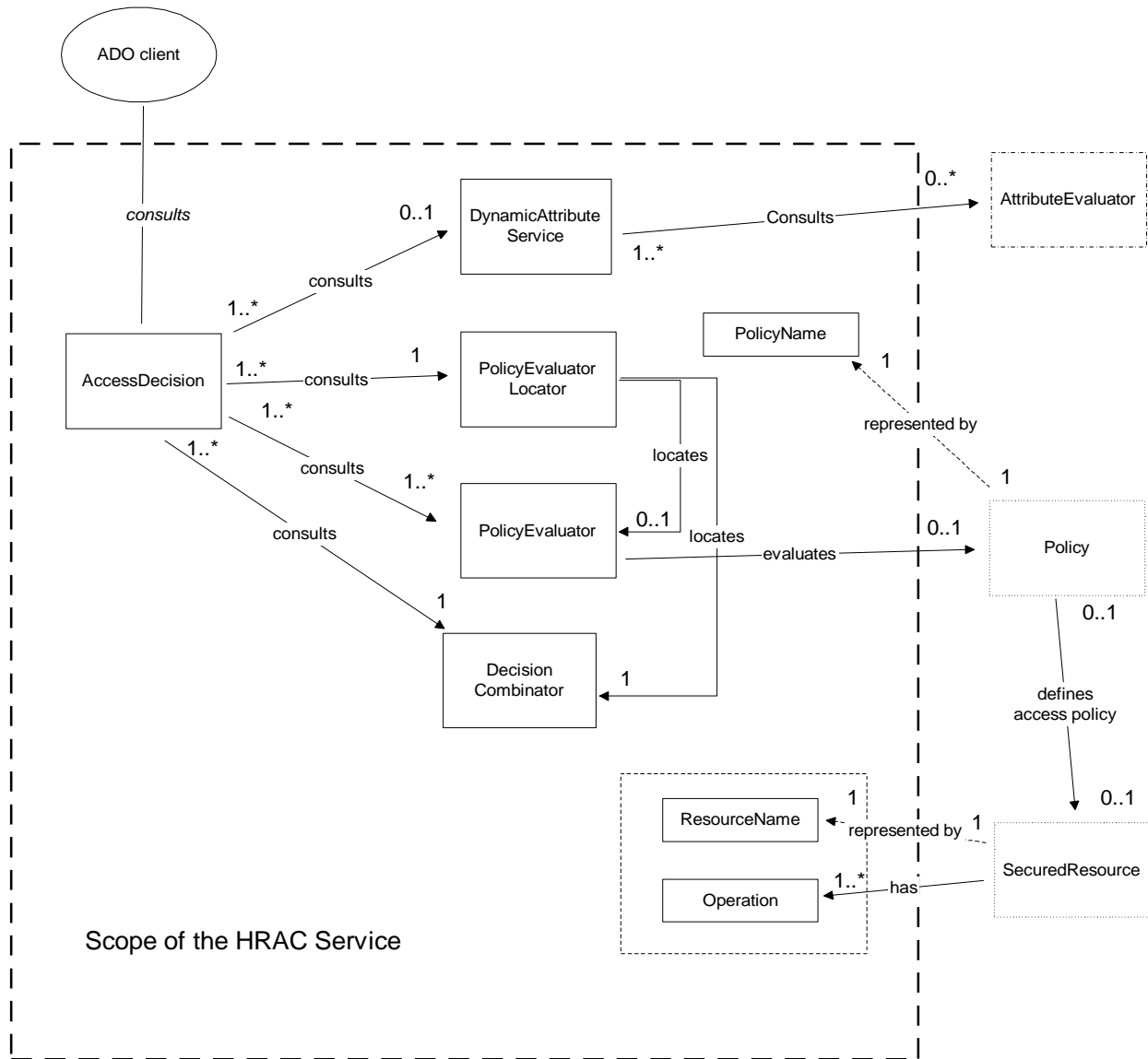
**ResourceName:** A “secured resource” is represented within the HRAC by a ResourceName that is a sequence of strings.

**Operation:** Secured resources have one or more operations which may be performed on them (such as create, get, set, use..). These operations are represented within the HRAC as strings.

**PolicyName:** “Policy” (the rules used for controlling access to secured resources and their operations) is beyond the scope of the HRAC, but when referenced within the HRAC, is identified by a PolicyName that is a string.

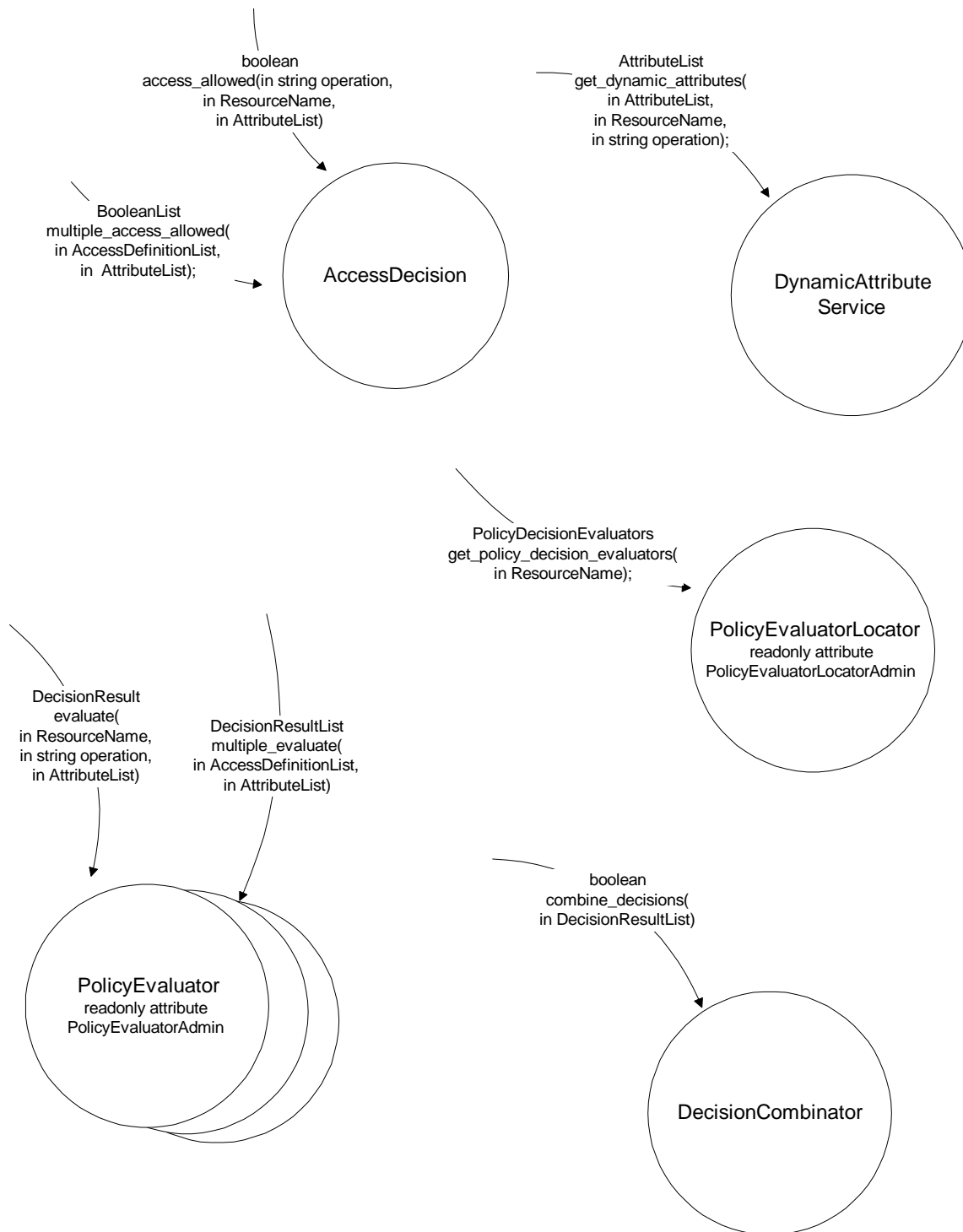
**DynamicAttributeService:** The DynamicAttributeService may consult an external AttributeEvaluator. The submitters plan to include standard administrative interfaces for this facility in the revised submission.

### 2.3.1 Access Decision Model



Healthcare Resource Access Control (HRAC)  
Access Decision Model

An Access Decision is requested by a client by invoking the `access_allowed()` method of the `AccessDecision` object (ADO) passing a `ResourceName`, `operation`, and `SecAttributes`. The ADO consults a `DynamicAttributeService` to obtain an updated list of `SecAttributes` that include any dynamic attributes currently applicable for this access decision. The `DynamicAttributeService` may consult externally provided dynamic attribute evaluators as part of its implementation. The `AccessDecision` object also consults the `PolicyEvaluatorLocator` to obtain object references for the `PolicyEvaluator(s)` and the `DecisionCombinator` that are required for an access decision. The `AccessDecision` object consults each `PolicyEvaluator(s)`. `PolicyEvaluators` are responsible for interpreting access policy that controls access to the `ResourceName/operation`. The `AccessDecision` object consults (passes the results of those `evaluate()` methods) the `DecisionCombinator` who is responsible for understanding the policy that controls how a series of results from `PolicyEvaluators` are combined. It is the response from the `DecisionCombinator` that is returned to the client.



### Interfaces involved in Access Decisions

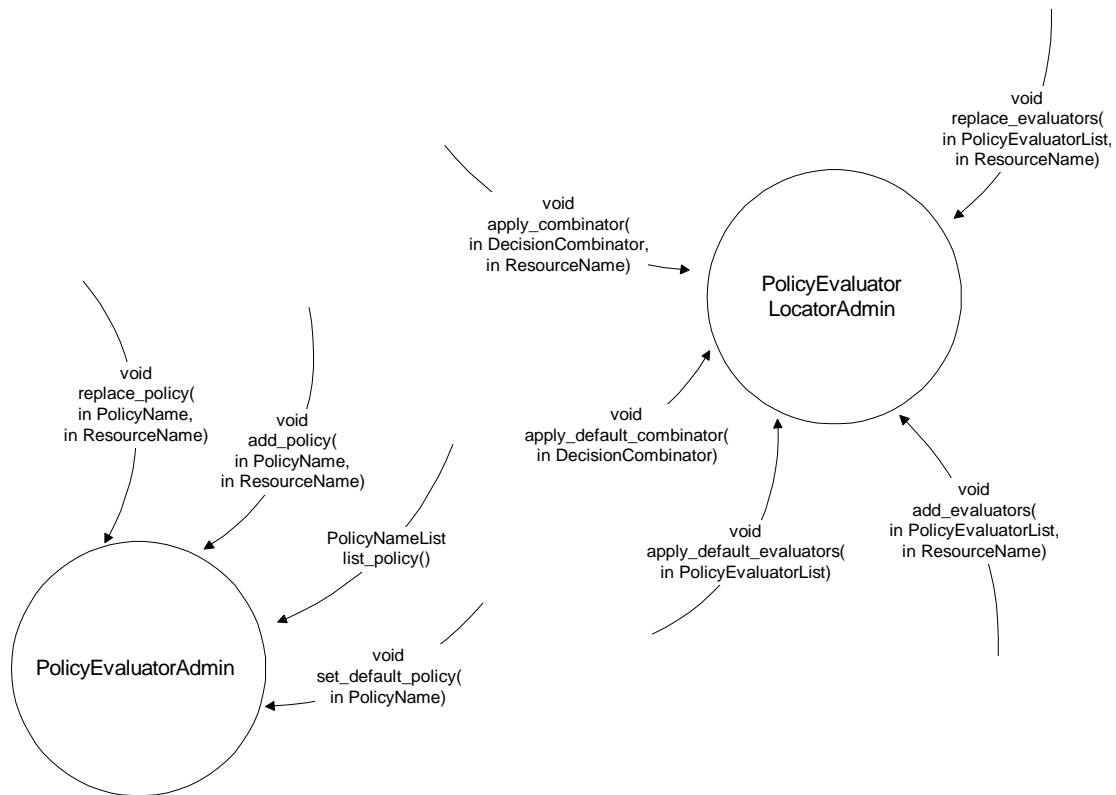
The interfaces and associated methods are described in detail in Section 3 of this submission.



this submission. This Administrative model clearly indicates this by placing Policy administration outside the dotted line that delineates the scope of the HRAC submission.

The PolicyEvaluatorLocatorAdmin interface is used to associate PolicyEvaluators and DecisionCombinators with a ResourceName. Multiple PolicyEvaluators may be associated with a single ResourceName. These evaluators will all be consulted during access decisions. There is only one DecisionCombinator provided for a ResourceName. This combinator is responsible for taking the results of the PolicyEvaluators evaluate() method and making a final access decision. PolicyEvaluators have an endless series of options for implementation. For this reason, the interface is public and evaluators may be “plugged-in” to an HRAC framework by vendors and/or users. In the same sense, there are many possible policies for combining policy decisions. Some secured resources should not be accessible unless all the PolicyEvaluators return ACCESS\_DECISION\_ALLOWED. Other secured resources may be accessible if any one of the PolicyEvaluators allow access. Defining an interface for the DecisionCombinators allows custom combinators to be configured for a secured resource. It is possible to assign a default DecisionCombinator.

The PolicyEvaluatorAdmin interface is used to apply an existing named access policy to a secured resource. An application that wished to dynamically apply policy to newly created resources would be required to specify the names of those policies. The policy would be configured by an administrator using the administrative interfaces of the underlying access policy system and the required name associated with it (this is outside the scope of the HRAC admin interfaces). Once this had been accomplished, an HRAC client could apply this named policy using the PolicyName to a ResourceName. The PolicyEvaluatorAdmin also allows default policy to be assigned “by name” and a list of existing PolicyNames can be retrieved via the interface.



### Interfaces Involved in Administration

## 2.4 Discussion of Proposal Scope

### 2.4.1 Scope as defined by the RFP

The CORBAmed Healthcare Resource Access Control RFP defined the scope of proposals sought as follows:

*“Mechanisms this RFP is asking for are sought to allow application systems to be unaware of advanced security policies existing in healthcare enterprises where those systems are deployed.*

*This RFP scope is threefold:*

- 1. to de-couple access control decision logic from application logic,*
- 2. to provide a standard interface for the definition of access control rules,*
- 3. to provide a standard interface for requesting access control decisions.*

*An illustration of the RFP scope is provided in Figure 1. The RFP scope is limited to the additional security decision logic shown in the figure with striped background. It has a “Decision” interface to an interceptor(s) performing access control functions and an application itself to consult such Security Decision Logic for access control decisions. The “Admin” interface allows defining access control rules.*

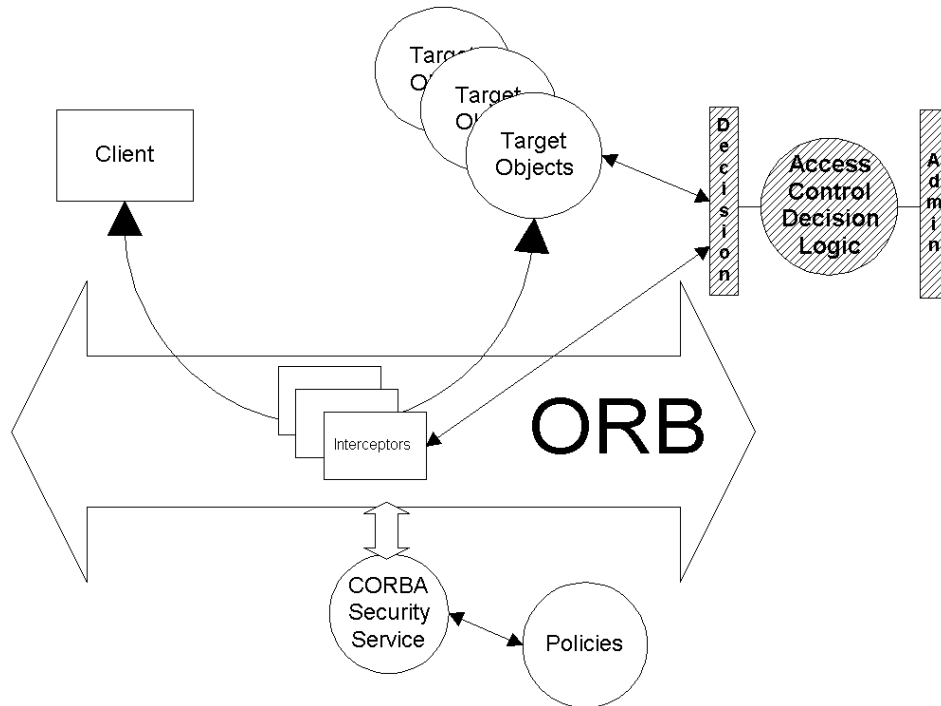


Figure 1: A Possible Solution

*The RFP is looking for a solution where individual applications, or target objects, play the most minimal role possible in the realization of an enterprise security policy. Optimally, each application's, or object's, contribution to security will be limited to requesting and enforcing access control decisions - without knowing or caring about how the decisions are made. This then*

*allows the definition, implementation and management of each application, or object, and the enterprise-specific security policy to be orthogonal. “*

### 2.4.2 The Scope of this submission

The initial submission addresses the following scope issues of the RFP

1. to de-couple access control decision logic from application logic

The submission supports the separation of access control logic from the application. The submitters are discussing extending this support in the final submission by allowing applications to register dynamic attribute evaluators via a standard interface.

2. to provide a standard interface for requesting access control decisions.

The AccessDecision interface provides this functionality.

In addition, this submission extends this scope to provide a framework that supports the following:

1. replaceable authorization engines (PolicyEvaluatorLocator, PolicyEvaluatorLocatorAdmin, and PolicyEvaluator)
2. custom integration of multiple authorization engines (PolicyEvaluatorLocatorAdmin and DecisionCombinator)
3. use of dynamic attributes in access decisions (DynamicAttributeService)
4. The application of pre-defined access policy to a resource. (PolicyEvaluatorAdmin)

The submission does *not* address the following scope issue of the RFP:

1. to provide a standard interface for the definition of access control rules

The submitters could not agree on IDL for the definition of access control rules. This is primarily because there are so many diverse ways that people express access control policies and accommodation from a single IDL interface for this diversity is not an easy task. The final submission may include an example of how the CORBAsecurity required rights model could be used to provide for the definition of access control rules if access control policy uses a “required rights” model. In general, the administration of access control policy was felt to be out of scope of this submission.

## 2.5 Outstanding Issues

The problems described in this section are not yet addressed by the current submission. The submission team intends to address some of them in future revisions of the proposed specification.

### 2.5.1 The ability to apply complex logic to combining access policy decisions

Passing only a list of the PolicyEvaluator objects' ternary decision results to the DecisionCombinator, without identifying which PolicyEvaluator (and/or policies) generated each result, does not support policies which impose precedence relations on PolicyEvaluators. In order to support precedence based policies, it will be necessary for the DecisionCombinator to determine what the precedence relationships among the various ternary results it receives are. The submitters intend to support precedence-based policies; the final submission will be enhanced to accommodate precedence.

### 2.5.2 Understanding of Application Functionality or Data

Intimate understanding of an application functionality may be needed for proper exercising of access control policies. The submission team refrained from making HRAC service interfaces syntax or semantics dependent or oriented towards functionality of any particular application or application domain. Instead, the design of the HRAC service introduces a notion of "secured resource" names and operations on them, as well as dynamic attributes and policy evaluators. This allows a more general approach that may be tailored to the specifics of most applications' functionality and the semantics of data they manipulate. The submitters believe that an administrative interface on the DynamicAttributeService will allow applications to provide "plugins" that are separate from the application logic to support access policies where intimate application knowledge is required. The submitters will attempt to agree on this administrative interface for the final submission.

### 2.5.3 Format of Authorization Rules

The submission team decided NOT to specify interfaces through which authorization rules or policies are to be expressed. The specified model of HRAC service allows policy evaluators that implement different authorization policies. Policy evaluators may have any interfaces and/or mechanism for expressing authorization rules that govern access to secured resources. Such interfaces and/or mechanisms are beyond the scope of this submission.

### 2.5.4 Quality of Protection as Authorization Decision Factor

It may be reasonable to grant particular access to secured resources only if the quality of protection (QoP) for the reply is of sufficient strength (for example, data confidentiality and/or data integrity is guaranteed). QoP can be considered as another factor in authorization decisions. The current version of the submission is not providing mechanisms that allow QoP as a factor in authorization decisions. The submission team did not reach consensus on whether to provide such mechanisms in HRAC specification or have a separate service (thus another specification) that would provide mechanisms for this. The team may address this problem in the revised submission.

### 2.5.5 Exceptions

In the current version of the submitted interface, exceptions are not present. It is not because the submission team believes that no exceptions should be raised by the corresponding objects. The exceptions will be specified in the future versions of the submission. At the time of this

submission, we do not have consensus on what exceptions make sense to specify and how they would be used by programmers in developing ADO clients and HRAC services.

### 3. *DfResourceAccessControl* module

---

```
//File: DfResoureAccessControl

#ifndef _DF_RESOURCE_ACCESS_CONTROL_IDL_
#define _DF_RESOURCE_ACCESS_CONTROL_IDL_

#include <orb.idl>
#include <Security.idl>

#pragma prefix "omg.org"

module DfResourceAccessControl
{

interface AccessDecision {
...
};

interface DynamicAttributeService {
...
};

interface PolicyEvaluatorLocator {
...
};

interface PolicyEvaluatorLocatorAdmin {
...
};

interface PolicyEvaluator {
...
};

interface PolicyEvaluatorAdmin {
...
};

interface DecisionCombinator {
...
};

};

#endif // _DF_RESOURCE_ACCESS_CONTROL_IDL_
```

The DfResourceAccessControl contains four interfaces defined below and has type dependencies on the CORBA Security Service and the CORBAMED NamingAuthority modules.

```
#include <Security.idl>
```

The types declared within the Security service and used by the HRAC are:

```
Security::AttributeList
```

These types are used for consistency with CORBASec and have the same meaning when used in HRAC interfaces. They are typedef'd in this specification for ease of use.

```
#pragma prefix "omg.org"
```

In order to prevent name pollution and name clashing of IDL types this module (and all modules defined in this specification) uses the pragma prefix that is the omg DNS name.

## 3.1 Types

There are a number of structured types used widely through out the DfResourceAccessControl Model. These types are described in this section:

### 3.1.1 Basic Types & Types used from the CORBA Security service

```
/******  
//          Basic Types  
//*****  
  
typedef sequence<boolean> BooleanList;  
  
typedef Security::AttributeList AttributeList;
```

#### **BooleanList**

A sequence of boolean used as a return value when multiple decisions are requested. This type is used as a return value in the `multiple_access_allowed()` method of the `AccessDecision` interface.

#### **AttributeList**

The `Security::AttributeList` is defined as follows in CORBA Security 1.2 (ptc/98-01-02). The `AttributeList` is provided as an input parameter by the “application” client when a request for an access decision is made. The `AttributeList` used for access decisions may be modified to include dynamic attributes by use of the `get_dynamic_attributes()` method of the `DynamicAttributeService` interface. As a convenience to the reader, the structure of a `Security::AttributeList` is replicated below.

```
typedef sequence<octet> Opaque;  
  
// security attributes  
typedef unsigned long SecurityAttributeType;  
  
struct ExtensibleFamily {  
    unsigned short    family_definer;  
    unsigned short    family;  
};  
struct AttributeType {  
    ExtensibleFamily  attribute_family;  
    SecurityAttributeType attribute_type;  
};  
  
struct SecAttribute {  
    AttributeType      attribute_type;  
    Opaque             defining_authority;  
    Opaque             value;  
    // the value of this attribute can be  
    // interpreted only with knowledge of type  
};
```

```
typedef sequence <SecAttribute> AttributeList;
```

### 3.1.2 Types that identify and manage information about secured resources

```
/**
 * *****
 * // Types that identify a secured resource
 * *****
 */
typedef sequence<string> ResourceName;
typedef sequence<string> OperationList;
```

#### **ResourceName**

A ResourceName is used to identify a **secured resource**. ResourceName is a sequence of string allowing for groupings of resources. It is required that the first string in the sequence is formatted as a NamingAuthority::QualifiedNameStr. This ensures globally unique resource names (and/or groups) See NamingAuthority module in corbamed/98-02-29. Issue: Submitters are discussing whether we want to make this a stronger requirement by putting the type in the IDL (this is a typedef for a string with a standard format in NamingAuthority).

#### **OperationList**

An OperationList is used to identify a list of operations that may be performed on a secured resource.

### 3.1.3 Types associated with evaluating Access Policy

```
/**
 * *****
 * // Types associated with evaluating Access Policy
 * *****
 */
typedef string PolicyName;
typedef sequence<PolicyName> PolicyNameList;

const PolicyName NO_ACCESS_POLICY = "NO_ACCESS_POLICY";

interface PolicyEvaluator;
typedef sequence<PolicyEvaluator> PolicyEvaluatorList;

struct PolicyDecisionEvaluators {
    PolicyEvaluatorList    policy_evaluator_list;
    DecisionCombinator    decision_combinator;
};
```

#### **PolicyName**

A PolicyName is a string used to identify an access policy for a secured resource. This type is only used in the PolicyEvaluatorAdmin interface. It is used as an input parameter to the replace\_policy(), add\_policy(), and set\_default\_policy() methods of the PolicyEvaluatorAdmin interface. PolicyNames are assigned by the administrative interface of the policy engine and cannot be modified or control by the HRAC. There is one standard PolicyName of “NO\_ACCESS\_POLICY”. See the PolicyEvaluatorAdmin interface for usage.

#### **PolicyNameList**

A PolicyNameList is a sequence of PolicyNames. It is returned from the list\_policy() method of the PolicyEvaluatorAdmin interface.

#### **PolicyEvaluatorList**

A PolicyEvaluatorList is a sequence of PolicyEvaluator object references. The PolicyEvaluatorAdmin interface allows the association of lists of PolicyEvaluators with a ResourceName. This type is used as an input parameter in the add\_evaluators(), replace\_evaluators(), and set\_default\_evaluators() methods of this interface. See also PolicyDecisionEvaluators below for additional usage.

#### **PolicyDecisionEvaluators**

The PolicyDecisionEvaluators struct contains a PolicyEvaluatorList and the DecisionCombinator. This is the type returned from the get\_policy\_decision\_evaluators() method of the PolicyEvaluatorLocator interface. This structure contains the references of all the objects that must be consulted by the ADO during an access decision.

### 3.1.4 Types used to request access decisions

```

//*****
//      Types used to request Access Decisions
//*****

struct AccessDefinition {
    ResourceName  resource_name;
    string        operation;
};
typedef sequence<AccessDefinition> AccessDefinitionList;

enum DecisionResult {ACCESS_DECISION_ALLOWED,
                    ACCESS_DECISION_NOT_ALLOWED,
                    ACCESS_DECISION_UNKNOWN
};

typedef sequence<DecisionResult> DecisionResultList;
```

#### **AccessDefinition**

The AccessDefinition struct is provided to allow multiple access definitions to be defined. It contains the ResourceName and the operation name for the secured resource access being requested. AccessDefinition is used as an input parameter to the access\_allowed() method of the AccessDecision interface and the evaluate() method of the PolicyEvaluator interface.

#### **AccessDefinitionList**

AccessDefinitionList is the type used to request multiple access decisions in a single operation. It is used as an input parameter to the multiple\_access\_allowed() method of the AccessDecision interface and the multiple\_evaluate() method of the PolicyEvaluator interface.

#### **DecisionResult**

DecisionResult is an enum with three possible values. The values are:

ACCESS\_DECISION\_ALLOWED: the policy evaluated for this ResourceName, operation and Attribute list indicates that access is ALLOWED.

ACCESS\_DECISION\_NOT\_ALLOWED: the policy evaluated for this ResourceName, operation and Attribute list indicates access is NOT\_ALLOWED.

ACCESS\_DECISION\_UNKNOWN: the policy evaluated for this ResourceName, operation and Attribute list indicates an access decision cannot be made.

This type is used as a result in access decisions where access policy is applied. This is the type returned from the evaluate() method of the PolicyEvaluator.

#### DecisionResultList

DecisionResultList is a sequence of DecisionResult. This is the type returned from the multiple\_evaluate() method of the PolicyEvaluator and is the type provided as an input parameter to the combine\_decisions() method of the DecisionCombinator.

### 3.1.5 Exceptions

The following exceptions are generally useful by most or all of the interfaces of this module.

Exceptions will be added in the final submission.

## 3.2 AccessDecision interface

```
/** *****  
/**      interface AccessDecision  
/** *****  
  
interface AccessDecision {  
  
    boolean access_allowed(  
        in ResourceName  resource_name,  
        in string        operation,  
        in AttributeList attribute_list  
    );  
  
    BooleanList multiple_access_allowed(  
        in AccessDefinitionList access_requests,  
        in AttributeList        attribute_list  
    );  
  
};
```

The Access Decision object is used to request decisions on access based on a ResourceName, an Operation, and a list of SecAttributes. This submission provides a framework for the support of many policy evaluators. It is out of the scope of this submission to mandate how policy is defined or evaluated using the information provided by the client at the time access decisions are

requested. This is the only interface that is necessary for a client to be familiar with in order to obtain access decisions from the HRAC.

`access_allowed()`

A single access decision is requested and a boolean is returned

`multiple_access_allowed()`

Multiple access decisions are requested in a single method invocation and a sequence of booleans are returned. The boolean sequence maps one to one in the same order to the provided sequence of ResourceName/operation pairs.

### 3.3 *DynamicAttributeService interface*

```
/**
 * *****
 * //      interface DynamicAttributeService
 * //      *****
 *
 * interface DynamicAttributeService {
 *
 *     AttributeList get_dynamic_attributes(
 *         in AttributeList  attribute_list,
 *         in ResourceName   resource_name,
 *         in string         operation
 *     );
 * };
 */
```

The DynamicAttributeService interface is used to obtain a new list of SecAttributes that are applicable to an access decision. This service may encapsulate calls to a relationship service and/or application specific logic to determine how the original AttributeList provided by the client should be modified.

NOTE: It is the intent of the submitters to provide an administrative interface for the DynamicAttributeService in the final submission. This would provide a standard way for an application to register custom DynamicAttributeService(s) that would be used by this object at access decision time to determine applicable dynamic attributes.

`get_dynamic_attributes()`

This method takes the parameters provided by the client of the AccessDecision object; the AttributeList, the ResourceName, and the operation and determines what (if any) dynamic attributes should be added to the AttributeList. In addition, the returned AttributeList may be modified by this service. The service may add or remove SecAttributes to this list. It is the returned list of SecAttributes that is used as the basis of access decisions by the HRAC.

### 3.4 *PolicyEvaluatorLocator interface*

```
/**
 * *****
 * //      interface PolicyEvaluatorLocator
 * //      *****
 *
 * interface PolicyEvaluatorLocator {
 *
 *     readonly attribute PolicyEvaluatorLocatorAdmin policy_evaluator_locator_admin;
 *
 *     PolicyDecisionEvaluators get_policy_decision_evaluators(
 *
 * 
```

```

        in ResourceName resource_name
    );
};

```

The PolicyEvaluatorLocator interface is used to locate the PolicyEvaluators and the DecisionCombinator associated with a ResourceName. This submission provides a framework for the support of one or more policy evaluators for a single resource.

**readonly attribute PolicyEvaluatorLocatorAdmin**

If the PolicyEvaluatorLocator has an associated administrative interface, it can be obtained via this attribute. If an administrative interface is not available for this evaluator, this attribute will be nil.

**get\_policy\_decision\_evaluators()**

A PolicyDecisionEvaluators structure which contains a list of PolicyEvaluator object references and the DecisionCombinator object reference for the resource is returned to the client.

### 3.5 PolicyEvaluatorLocatorAdmin interface

```

//*****
//      interface PolicyEvaluatorLocatorAdmin
//*****

interface PolicyEvaluatorLocatorAdmin {

    void add_evaluators (
        in PolicyEvaluatorList policy_evaluator_list,
        in ResourceName resource_name
    );

    void replace_evaluators (
        in PolicyEvaluatorList policy_evaluator_list,
        in ResourceName resource_name
    );

    void set_default_evaluators(
        in PolicyEvaluatorList policy_evaluator_list
    );

    void apply_combinator (
        in DecisionCombinator decision_combinator,
        in ResourceName resource_name
    );

    void set_default_combinator(
        in DecisionCombinator decision_combinator
    );

};

```

The PolicyEvaluatorLocatorAdmin object is used to associate PolicyEvaluators with a ResourceName. The object is also used to associate the appropriate DecisionCombinator with the ResourceName. This submission provides a framework for the support of one or more policy evaluators for a single resource.

**add\_evaluators()**

A list of PolicyEvaluators is added to the list of evaluators for the named resource. These evaluators will be in the list of PolicyEvaluators returned by the PolicyEvaluatorLocator get\_policy\_decision\_evaluators() method. The addition of evaluators to a ResourceName which

previously had none results in the added list of evaluators being the only evaluators consulted on an access decision (system default evaluators are no longer consulted).

#### **replace\_evaluators()**

A list of PolicyEvaluators is assigned for the named resource. If the resource had existing PolicyEvaluators assigned, they are removed and the entire list is replaced with the ones provided in this method. These evaluators will be the PolicyEvaluators returned by the PolicyEvaluatorLocator get\_policy\_decision\_evaluators() method.

#### **set\_default\_evaluators()**

The list of PolicyEvaluators provided is set as the default evaluators for any ResourceName for which PolicyEvaluators have not been explicitly assigned. Default evaluators are overridden by the add\_evaluators() or replace\_evaluators() methods. The default evaluators will be returned by the PolicyEvaluatorLocator get\_policy\_decision\_evaluators() method when no PolicyEvaluators have been explicitly assigned for a ResourceName.

#### **apply\_combinator()**

A DecisionCombinator is specified for the named resource. This combinator will be returned by the PolicyEvaluatorLocator get\_policy\_decision\_evaluators() method. The DecisionCombinator provided replaces any previous combinator specified for the secured resource.

#### **set\_default\_combinator()**

The DecisionCombinator provided is set as a default. This combinator is now the combinator used when a DecisionCombinator has not been explicitly applied for a secured resource. This combinator will be returned by the PolicyEvaluatorLocator get\_policy\_decision\_evaluators() method for these resources.

### *3.6 PolicyEvaluator interface*

```
/**
 * *****
 */
interface PolicyEvaluator
/**
 * *****
 */

interface PolicyEvaluator {

    readonly attribute PolicyEvaluatorAdmin policy_evaluator_admin;

    DecisionResult evaluate(
        in ResourceName resource_name,
        in string operation,
        in AttributeList attribute_list
    );

    DecisionResultList multiple_evaluate(
        in AccessDefinitionList access_requests,
        in AttributeList attribute_list
    );

};
```

The PolicyEvaluator interface is used to obtain an access decision based on an encapsulated policy for the ResourceName/operation when provided a list of effective Security Attributes for the requestor. This submission provides a framework for the support of one or more policy evaluators for a single resource.

**readonly attribute PolicyEvaluatorAdmin**

If the PolicyEvaluator has an associated administrative interface, it can be obtained via this attribute. If an administrative interface is not available for this evaluator, this attribute will be nil.

**evaluate()**

A single access decision is requested based on access policy(s) this evaluator determines is appropriate for the named resource. The decision is based on the ResourceName, the operation, and the effective Security Attributes. The SecAttributes passed to the AccessDecision object by the client in access\_allowed() may have been modified by the DynamicAttributeService get\_dynamic\_attributes() method before the PolicyEvaluator is called. The DecisionResult is a ternary result. The DecisionResult is as follows:

**ACCESS\_DECISION\_ALLOWED:** the policy evaluated for this ResourceName, operation and Attribute list indicates that access is ALLOWED.

**ACCESS\_DECISION\_NOT\_ALLOWED:** the policy evaluated for this ResourceName, operation and Attribute list indicates access is NOT\_ALLOWED.

**ACCESS\_DECISION\_UNKNOWN:** the policy evaluated for this ResourceName, operation and Attribute list indicates an access decision cannot be made.

**multiple\_evaluate()**

A multiple access decision is requested based on access policy(s) this evaluator determines is appropriate for the named resources. Each decision is based on the ResourceName, the operation, and the effective Security Attributes. The SecAttributes passed to the AccessDecision object by the client in access\_allowed() may have been modified by the DynamicAttributeService get\_dynamic\_attributes() method before the PolicyEvaluator is called. The DecisionResults is a sequence of ternary result as defined in the evaluate() method. The DecisionResults sequence maps one to one in the same order to the provided sequence of ResourceName/operation pairs.

### 3.7 PolicyEvaluatorAdmin interface

```
/**
 * *****
 */
interface PolicyEvaluatorAdmin
/**
 * *****
 */

interface PolicyEvaluatorAdmin {

    void    replace_policy(
        in  PolicyName  policy_name,
        in  ResourceName resource_name
    );

    void    add_policy(
        in  PolicyName  policy_name,
        in  ResourceName resource_name
    );

    PolicyNameList list_policy();

    void    set_default_policy(
        in  PolicyName  policy_name
    );

};
```

The PolicyEvaluatorAdmin interface is used to associate named access policies with secured resources. It is assumed that the administrative tool used to create and manage access policies (outside the scope of this submission) provides a mechanism to allow policies to be associated

with “names” which are represented as PolicyName (a string). This PolicyEvaluatorAdmin interface allows those policies to be applied “by name” to a secured resource represented by a ResourceName.

This interface is primarily provided for the application that wishes to assign a policy to a newly created resource programatically at the time of resource creation. It does, however, require that the application have knowledge of the named policies in order to choose an appropriate policy for access decisions.

#### `replace_policy()`

The policy identified by PolicyName is associated with the secured resource identified by the ResourceName. If the PolicyName is NO\_ACCESS\_POLICY, then all policy is removed for the resource. If a PolicyName is applied to a ResourceName that has existing policy, then the policy will be replaced by the policy identified by this PolicyName.

#### `add_policy()`

The policy identified by PolicyName is added to the list of policies used when making access decisions for the secured resource identified by the ResourceName. If a PolicyName is added to a resource that has existing policy, then the policy will be added to the list of policies that control access decisions for the resource. An implementation is not required to support multiple policies for a resource. If the implementation does not support the application of multiple policies, then an shall be thrown for this method. NOTE: Exception will be defined in the final submission.

#### `list_policy()`

A list of all existing PolicyNames is returned to the client.

#### `set_default_policy()`

The policy identified by PolicyName is associated (as default) with any secured resource which has not yet been assigned an access policy.

### *3.8 DecisionCombinator interface*

```
/** *****  
//      interface DecisionCombinator  
/** *****  
  
interface DecisionCombinator{  
  
    boolean combine_decisions(  
        in DecisionResultList decision_result_list  
    );  
};
```

The DecisionCombinator interface is used to combine the decisions of multiple PolicyEvaluators. Combinators may be provided with different behaviors. A combinator that supported an “ANY” policy would return TRUE if any of PolicyEvaluators returned ACCESS\_DECISION\_ALLOWED. A combinator that supported an “ALL” policy would return TRUE only if all of PolicyEvaluators returned ACCESS\_DECISION\_ALLOWED. DecisionCombinators may also be arbitrarily complex(although the initial submission doesn’t fully support this). A default combinator may be used for all access decisions, or combinators may be chosen specifically for access decisions on specific secured resources.

The submitters have agreed that complex combinators (wishing to apply precedence) may require more information than what is currently passed in the DecisionResultList. It is, however, still an issue of exactly what would be useful in the general case as additional parameters to the DecisionCombinator. This issue will be addressed in the final submission.

**combine\_decisions()**

The DecisionCombinator takes the DecisionResults from all of the PolicyEvaluators and returns a boolean result. This is the result that will be returned by the AccessDecision object to the original client of the HRAC facility.

## *4. DfHealthCareResource module*

---

This module will be added in the final submission and will contain the healthcare specific secured resources requested in the RFP. The submitters are planning to work with the Clinical Observation Access Service (COAS) submitters to ensure that this list of resources is compatible with the requirements of the COAS submission.

## *5. Conformance Classes*

---

Conformance classes will be defined in the final submission.

## 6. Appendix - Use Case Examples

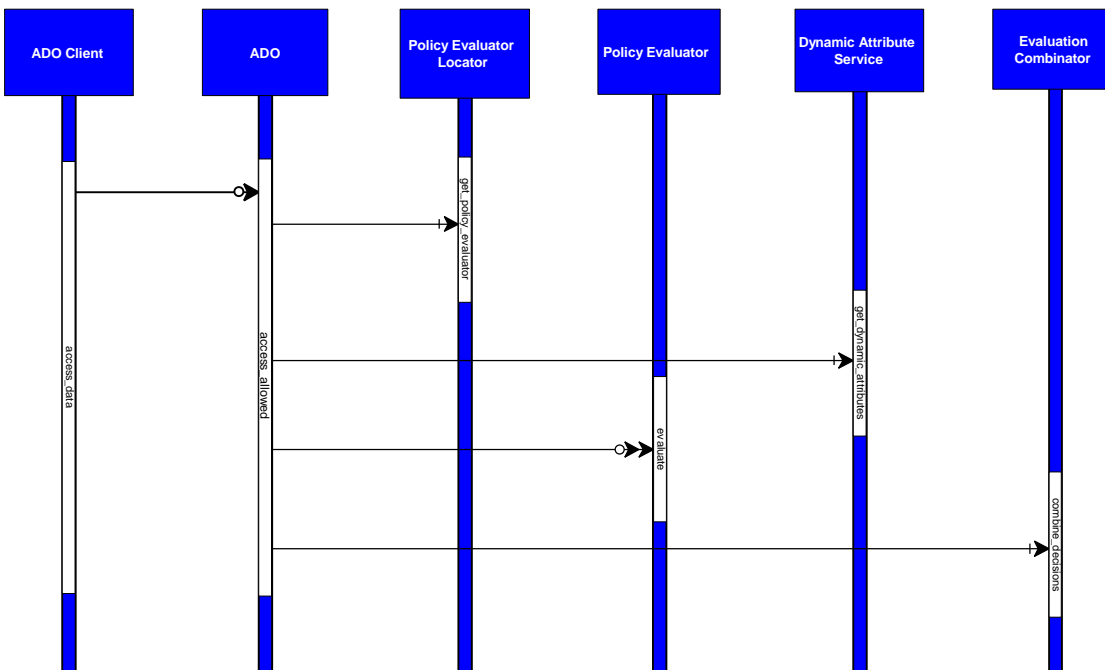
This appendix presents examples illustrating healthcare scenarios and the use of HRAC to provide access control for the instances of healthcare information access implied by these scenarios. Each example consists of several Use Cases:

1. A description of the healthcare scenario which involves one or more accesses to healthcare information.
2. For each healthcare information access required by the healthcare scenario:
  - A. A description of the actions of the healthcare application, the client of the Access Decision Object (ADO).
  - B. A description of ADO actions with an Object Interaction Diagram (OID).

Before presenting the Use Cases, a generic OID describing the ADO is provided.

### 6.1 Generic ADO Object Interaction Diagram

This section shows the generic Object Interaction Diagram for the ADO.



## 6.2 Healthcare Scenario: Out-patient Visit to Attending Physician

This scenario (see table 1) illustrates the interaction with a patient record as a result of a patient's visit with an attending physician at the hospital on an outpatient basis. In this example, the access control policy pertinent to this scenario is called the "Basic Hospital Patient Record Access Policy."

As described in more detail in the normative part of this document, an access control policy within HRAC is realized by an evaluator applied to static attributes, dynamic attributes, and other factors, such as, time of day and location of the principal. An evaluator can be implemented as an interpreter of rules expressed in some scripting language, e.g., SQL, as a process for which the rules are encapsulated as part of the process, e.g., Java Classes, or as some combination of these methods.

Static attributes are used for describing relatively fixed properties of users and resources, such as, basic user role and resource creation date. The values of static attributes are typically set by a security administrator and are obtained by the application in an implementation specific manner, e.g., from the principal's credentials. While the use of a static attribute in policy is specified by a security administrator, the values of dynamic attributes are typically set as part of normal information processing. Unlike static attributes which are usually properties of (i.e., metadata about) information content, values of dynamic attributes are information content which are necessary to make an access decision. Some examples of dynamic attributes, which may be contained in a patient record or elsewhere, are:

A list of physicians, i.e., attending physicians, which are currently treating the patient.

An authorization permitting the release of mental health information to designated parties.

Depending on the implementation, a dynamic attribute may be the value of the dynamic attribute or a reference to the value of the dynamic attribute. If a reference, then the dynamic attribute value is obtained by the evaluator if and when the evaluator determines that the value is needed to make the access decision.

HRAC is able to support more than one access policy. This healthcare scenario describes HRAC functionality using the Basic Hospital Patient Record Access Policy. Different developers may implement different access policy evaluators. Dynamic attributes may be associated with only one or several evaluators. New dynamic attributes may be added to the Dynamic Attribute Service of an HRAC when new evaluators are installed. Once dynamic attributes are added to the Dynamic Attribute Service, they may be available for use by all evaluators. In addition to the Basic Hospital Patient Record Access Policy, other policies may specify access control requirements for HIV or mental health information resources which are part of the patient record.

The Basic Hospital Patient Record Access Policy used in this example specifies the conditions under which an attending physician can access a patient record. The policy specifies that attending physicians may read/update a patient record and/or modify certain authorization settings in a patient record. Within this policy, the term "update" when applied to clinical information refers to an append operation. Clinical information in the patient record once entered may not be modified.

Several static and dynamic attributes are used by the HRAC evaluator which implements the Basic Hospital Patient Record Access Policy. Among these are the static attribute "role" and the dynamic attribute "principal/patient\_relationship." The value of the static attribute role specifies the basic role of a user, such as, physician, nurse, and registrar. In this example, the value of role is obtained from the principal's credentials. The value of the dynamic attribute principal/patient\_relationship specifies the relationship between the principal accessing the patient record and the patient who is the subject of the patient record being accessed, e.g., "primary\_care," "attending," "consulting." In this example, the value of the principal/patient\_relationship dynamic attribute is obtained by the Dynamic Attribute Service by accessing the content of the patient record which contains a list of attending physicians.

|                          |  |        |
|--------------------------|--|--------|
| Use Case Name            | Out-patient Visit to Attending Physician   |        |
| Goal in Context          | Physician provides care to a visiting patient  |        |
| Scope & Level            | Summary  |        |
| Preconditions            | Patient records already exist in the system, there is already some kind of relationship between the patient and the physician (attending, consulting, admitting, etc.)           |        |
| Success End Condition    | Patient records are updated according to the visit results.  |        |
| Failed End Condition     | Patient records are not updated according to the visit results.  |        |
| Primary Actors           | Care providing physician   |        |
| Secondary Actors         |  |        |
| Trigger                  | Patient visits corresponding physician.  |        |
| Applicable Access Policy | Basic Hospital Patient Record Access   |        |
| Diagram                  | <pre> graph LR     P[Physician] --- U1((Log Into the System))     P --- U2((Read Patient Records))     P --- U3((Examine Patient))     P --- U4((Update Patient Records)) </pre> |        |
| Description              | Step   | Action |

|                         |   |  |
|-------------------------|---|--|
|                         | 1   | Physician (or physician representative) logs into the information system unless it was done previously.  |
|                         | 2   | Physician retrieves patient records and browses them.  |
|                         | 3   | Physician examines the patient.  |
|                         | 4   | Physician updates patient records.   |
|                         |   |  |
| Extensions              | Step  | Branching Action   |
|                         | 4 a   | Physician changes authorization settings for the patient records (or their sub-set) according to the patient request and/or sensitivity of the information with which records are updated. |
| Variations              | Step  | Branching Action   |
|                         |   | No variations  |
| Related Information     |   |  |
| Priority                | High  |  |
| Performance             | 1 hour  |  |
| Frequency               | Many times per hour through the hospital  |  |
| Channels to actors      | Vision, speech, various instruments and devices in order to examine the patient; computer GUI to log into the system, brows and update patient records.                 |  |
| Open Issues             | What authorization settings of the patient records can a related physician change?  |  |
|                         | What if another related physician has limited access to records that are interesting in the context of the visit and the patient agrees those records can be disclosed? |  |
| Superordinate use cases | No superordinates   |  |
| Subordinate use cases   | Log into the system, Read Patient Records, Examine Patient, Update Patient Records, Change Authorization Settings for the Patient Record(s).                            |  |

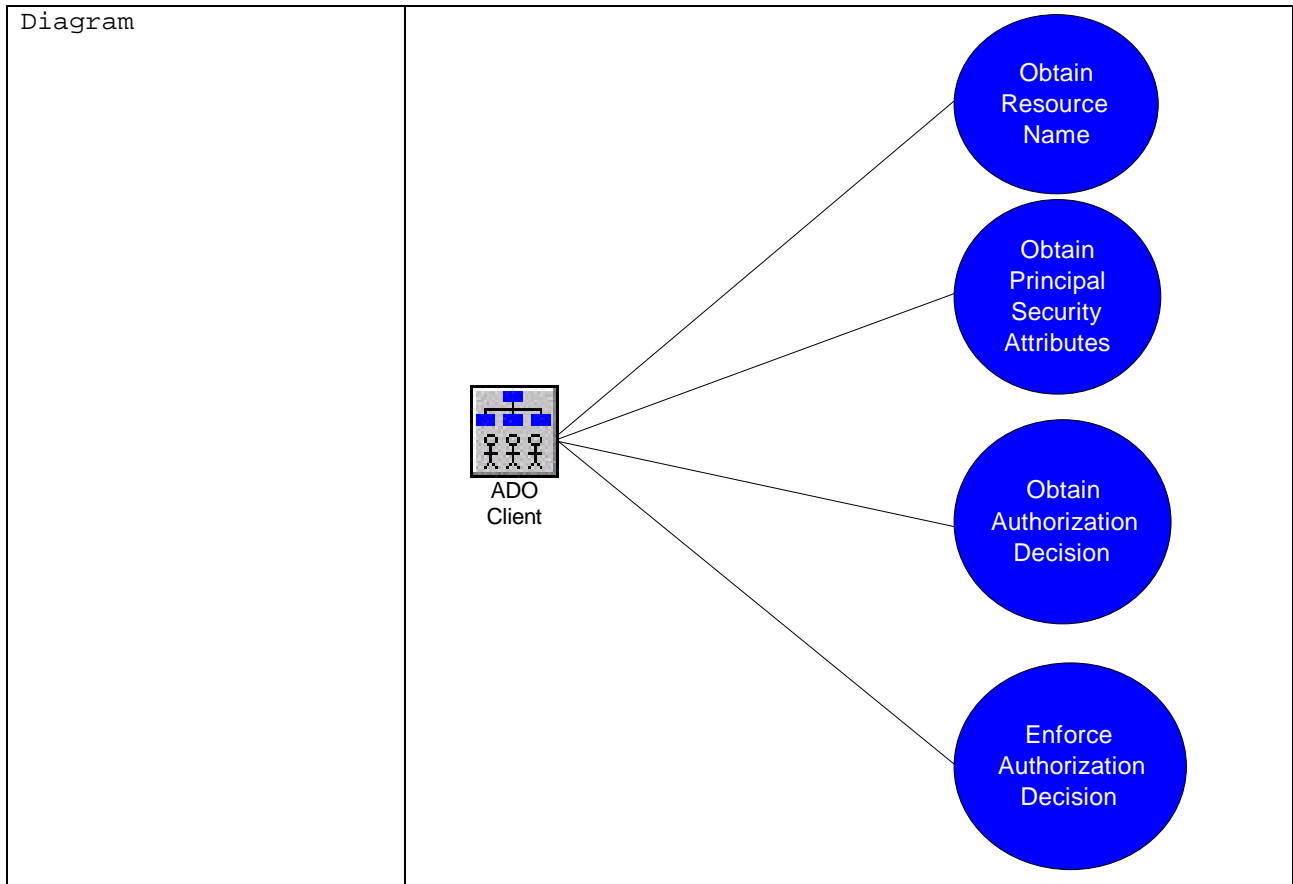
Table 1: Healthcare Scenario: Out-patient Visit to Attending Physician

As shown in table 1, there are three types of access to the patient record involved in this scenario: read, update, and change authorization.

The next section describes the actions of the application program (the ADO client) in reading the patient record including how the ADO is used to determine access according to the Basic Hospital Patient Record Access Policy.

### 6.2.1 ADO Client Actions: Read Patient Record

|                          |  |
|--------------------------|--|
| Use Case Name            | ADO Client Actions: Read Patient Record  |
| Goal in Context          | Application program (ADO client) browses patient record.   |
| Scope & Level            | Subfunction  |
| Preconditions            | Patient records already exist in the system; physician has logged into application program; application program initiated successfully.  |
| Success End Condition    | The intended part of patient records are "read" accessed by the caregiver.   |
| Failed End Condition     | The intended part of patient records are not "read" accessed by the caregiver.   |
| Primary Actors           | <ol style="list-style-type: none"> <li>1. Client program acting on behalf of the caregiver (Client)</li> <li>2. CORBA-compliant application service (Service), which provides "read" access to the required information</li> </ol> |
| Secondary Actors         | <ol style="list-style-type: none"> <li>1. Access Decision Object (ADO), which provides interface <code>DfResourceAccessControl::AccessDecision</code></li> </ol>   |
| Trigger                  | A caregiver is attempting to "browse" parts of the patient medical record.   |
| Applicable Access Policy | Basic Hospital Patient Record Access: An attending physician may read any part of the patient record.  |



| Description             | Step | Action   |
|-------------------------|------|--|
|                         | 1    | Application program (ADO client), acting on behalf of the physician, obtains the <code>resource_name</code> for the part of the patient record to be read and <code>static_attributes</code> . |
|                         | 2    | ADO client invokes <code>access_allowed(resource_name, "read", static_attributes)</code> .   |
|                         | 3    | If <code>access_allowed()</code> returns "true," then ADO client reads and displays requested part of the patient record to physician; otherwise, ADO Client displays error.                   |
| Extensions              | Step | Branching Action   |
|                         |      | No variations  |
| Variations              | Step | Branching Action   |
|                         |      | No variations  |
| Related Information     |      |  |
| Priority                |      | High   |
| Performance             |      |  |
| Frequency               |      | Many times per hour through the hospital   |
| Channels to actors      |      |  |
| Open Issues             |      |  |
| Superordinate use cases |      | Out-patient Visit to Attending Physician   |

|                       |                                  |
|-----------------------|----------------------------------|
| Subordinate use cases | ADO Actions: Read Patient Record |
|-----------------------|----------------------------------|

Table 2: ADO Client Actions: Read Patient Record

Table 2 describes the actions of the application program (ADO client) in providing the physician the capability of browsing resources contained in the patient record. The application program obtains from the physician the name of the resource to be read. It then obtains the static attributes from the physician's credentials. The application invokes the ADO which returns an indication of whether the physician is able to read the requested resource within the patient record. If the physician has read access to the resource, the application displays the resource for the physician.

The next section describes the actions of the ADO when it is invoked by the application to determine if the physician has read access to the patient record resource.

### 6.2.2 ADO Actions: Read Patient Record

|                          |   |
|--------------------------|---|
| Use Case Name            | ADO Actions: Read Patient Record  |
| Goal in Context          | ADO renders access decision for a resource which is part of the patient record.   |
| Scope & Level            | Subfunction   |
| Preconditions            | Patient records already exist in the system;<br>Application program has invoked ADO.  |
| Success End Condition    | An access decision is returned by the ADO to the application program.   |
| Failed End Condition     | An exception occurred and an access decision is not returned by the ADO to the application program.   |
| Primary Actors           | 1. Access Decision Object (ADO), which provides interface <b>DfResourceAccessControl::AccessDecision</b>  |
| Secondary Actors         | 1. Policy Locator Object(PL), which provides the interface <b>DfResourceAccessControl::PolicyEvaluatorLocator</b><br>2. Dynamic Attribute Service Object(DAS), which provides interface <b>DfResourceAccessControl::DynamicAttributeService</b><br>3. Policy Evaluator Object (PE), which provides the interface <b>DfResourceAccessControl::PolicyEvaluator</b><br>4. Policy Combinator Object(DCO), which provides the interface <b>DfResourceAccessControl::PolicyCombinator</b> |
| Trigger                  | Application program (ADO client) invokes ADO.   |
| Applicable Access Policy | Basic Hospital Patient Record Access: An attending physician may read any part of the patient record  |

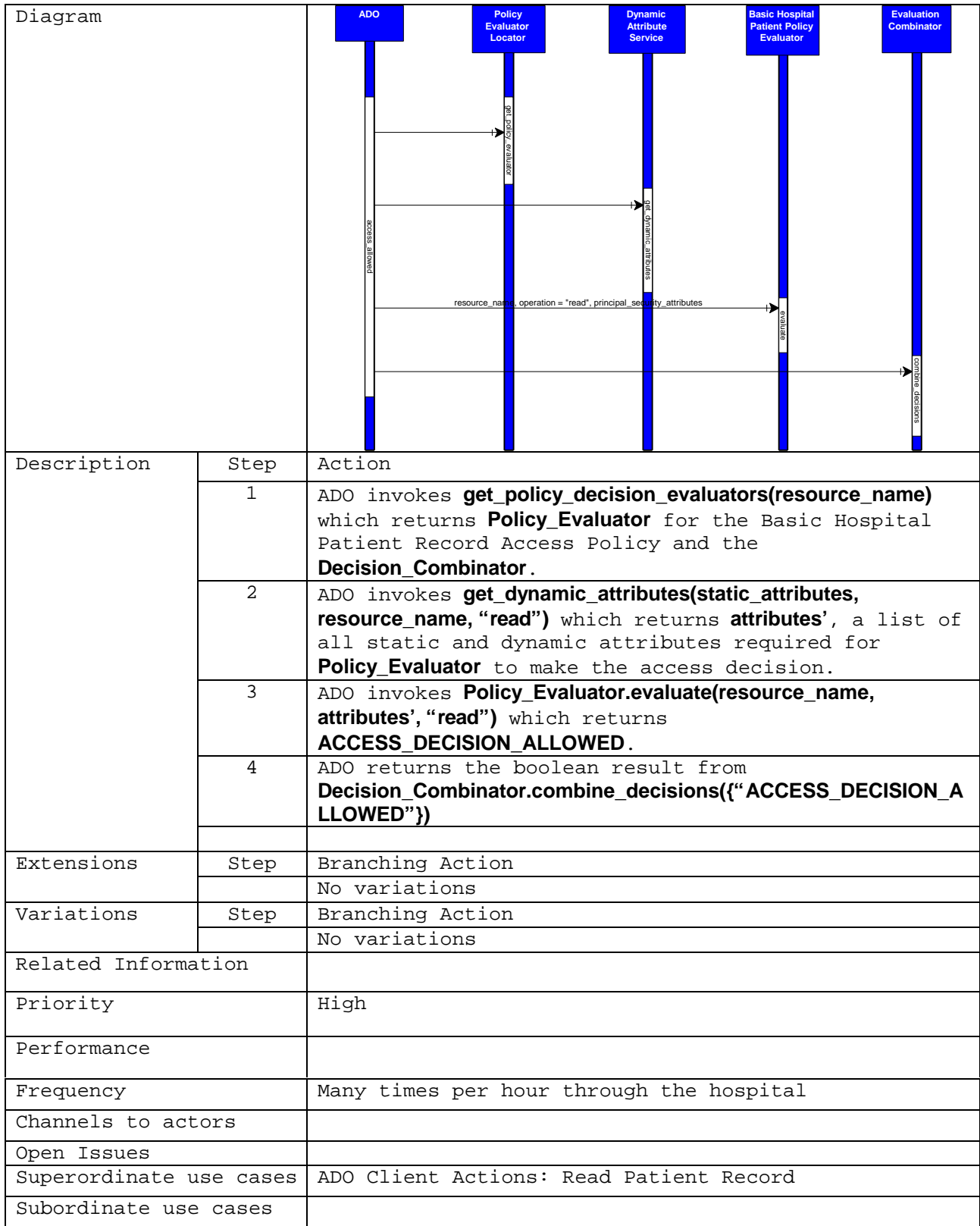


Table 3: ADO Actions: Read Patient Record

Table 3 describes the actions of the ADO in providing an access decision when invoked by the application in order to determine if the physician the capability of browsing resources contained in the patient record. Given **resource\_name**, a resource within the patient record, the operation “**read**,” and **static\_attributes**, a list of static attributes, the ADO invokes **get\_policy\_decision\_evaluators()** with the **resource\_name** which returns the single policy evaluator, **Policy\_Evaluator**, for the Basic Hospital Patient Record Access Policy and the **Decision\_Combinator** associated with **resource\_name**. The ADO obtains dynamic attributes by invoking **get\_dynamic\_attributes()** with **static\_attributes**, **resource\_name**, and the operation “**read**.” Upon return, a combined list of static and dynamic attributes is now contained in **attributes**. The ADO then invokes the evaluator referenced by **Policy\_Evaluator** which returns a **DecisionResult**. If **attributes** contains both the static attribute “physician” and the dynamic attribute “attending,” then the result from **policy\_evaluator** is **ACCESS\_DECISION\_ALLOWED** in accordance with the Basic Hospital Patient Record Access Policy. Finally, the ADO invokes **Decision\_Combinator.combine\_decisions()** with the result from the invocation of **Policy\_Evaluator** and returns the result from **Decision\_Combinator.combine\_decisions()** to the application.

## 7. Appendix - Complete IDL

---

```
//File: DfResourceAccessControl.idl
//
#ifdef _DF_RESOURCE_ACCESS_CONTROL_IDL_
#define _DF_RESOURCE_ACCESS_CONTROL_IDL_

#include <orb.idl>

#include "Security.idl"

#pragma prefix "omg.org"

module DfResourceAccessControl {

//*****
//      Basic Types (and forward refs)
//*****

typedef sequence<boolean> BooleanList;

typedef Security::AttributeList AttributeList;

interface DecisionCombinator;
interface PolicyEvaluator;
interface PolicyEvaluatorLocatorAdmin;
interface PolicyEvaluatorAdmin;

//*****
//      Types that identify a secured resource
//*****

typedef sequence<string> ResourceName;

typedef sequence<string> OperationList;

//*****
//      Types associated with evaluating Access Policy
//*****
typedef string PolicyName;
typedef sequence<PolicyName> PolicyNameList;

const PolicyName NO_ACCESS_POLICY = "NO_ACCESS_POLICY";

typedef sequence<PolicyEvaluator> PolicyEvaluatorList;

struct PolicyDecisionEvaluators {
    PolicyEvaluatorList  policy_evaluator_list;
    DecisionCombinator  decision_combinator;
};

//*****
//      Types used to request Access Decisions
//*****

struct AccessDefinition {
    ResourceName  resource_name;
    string        operation;
};

typedef sequence<AccessDefinition> AccessDefinitionList;

enum DecisionResult {ACCESS_DECISION_ALLOWED,
                    ACCESS_DECISION_NOT_ALLOWED,
                    ACCESS_DECISION_UNKNOWN
};

typedef sequence<DecisionResult> DecisionResultList;
}
```

```

//*****
//      interface AccessDecision
//*****

interface AccessDecision {

    boolean access_allowed(
        in ResourceName    resource_name,
        in string          operation,
        in AttributeList   attribute_list
    );

    BooleanList multiple_access_allowed(
        in AccessDefinitionList access_requests,
        in AttributeList       attribute_list
    );
};

//*****
//      interface DynamicAttributeService
//*****

interface DynamicAttributeService {

    AttributeList get_dynamic_attributes(
        in AttributeList   attribute_list,
        in ResourceName    resource_name,
        in string          operation
    );
};

//*****
//      interface PolicyEvaluatorLocator
//*****

interface PolicyEvaluatorLocator {

    readonly attribute
        PolicyEvaluatorLocatorAdmin  policy_evaluator_locator_admin;

    PolicyDecisionEvaluators get_policy_decision_evaluators(
        in ResourceName    resource_name
    );
};

//*****
//      interface PolicyEvaluatorLocatorAdmin
//*****

interface PolicyEvaluatorLocatorAdmin {

    void add_evaluators (
        in PolicyEvaluatorList policy_evaluator_list,
        in ResourceName resource_name
    );

    void replace_evaluators (
        in PolicyEvaluatorList policy_evaluator_list,
        in ResourceName resource_name
    );

    void set_default_evaluators(
        in PolicyEvaluatorList policy_evaluator_list
    );

    void apply_combinator (
        in DecisionCombinator decision_combinator,
        in ResourceName    resource_name
    );
};

```

```

    );

    void set_default_combinator(
        in DecisionCombinator decision_combinator
    );
};

//*****
//      interface PolicyEvaluator
//*****

interface PolicyEvaluator {

    readonly attribute PolicyEvaluatorAdmin policy_evaluator_admin;

    DecisionResult evaluate(
        in ResourceName  resource_name,
        in string        operation,
        in AttributeList attribute_list
    );

    DecisionResultList multiple_evaluate(
        in AccessDefinitionList access_requests,
        in AttributeList        attribute_list
    );
};

//*****
//      interface PolicyEvaluatorAdmin
//*****

interface PolicyEvaluatorAdmin {

    void  replace_policy(
        in PolicyName policy_name,
        in ResourceName resource_name
    );

    void  add_policy(
        in PolicyName policy_name,
        in ResourceName resource_name
    );

    PolicyNameList list_policy();

    void  set_default_policy(
        in PolicyName policy_name
    );
};

//*****
//      interface DecisionCombinator
//*****

interface DecisionCombinator{

    boolean combine_decisions(
        in DecisionResultList decision_result_list
    );
};

};

#endif // DfResourceAccessControl

```