

# American National Standard

*for Information Technology –  
Role Based Access Control*

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**INCITS 359-2004**

American National Standard  
for Information Technology –  
**Role Based Access Control**

Secretariat  
**Information Technology Industry Council**

Approved February 3, 2004  
**American National Standards Institute, Inc.**

# American National Standard

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**Foreword** (This foreword is not part of American National Standard ANSI INCITS 359-2004.)

A process to develop this standard was initiated by the National Institute of Standards and Technology (NIST) in recognition of a need among government and industry purchasers of information technology products for a consistent and uniform definition of role based access control (RBAC) features. In recent years, vendors have begun implementing role based access control features in their database management systems, security management and network operating system products, without general agreement on the definition of RBAC features. This lack of a widely accepted model results in uncertainty and confusion about RBAC's utility and meaning. This standard seeks to resolve this situation by using a reference model to define RBAC features and then describing the functional specifications for those features.

This standard incorporates contributions from several rounds of open public review. An initial draft of a consensus standard for RBAC was proposed at the 2000 ACM Workshop on Role Based Access Control.<sup>1)</sup> Published comments on this earlier document<sup>2)</sup> and panel session discussions at the 2000 ACM Workshop assisted in developing the reference model and functional specification in a second version released publicly in 2001.<sup>3)</sup> The second version was submitted to the InterNational Committee for Information Technology Standards (INCITS) for fast track processing on October 15, 2001. The public review of INCITS BSR 359 (November 16, 2001 to December 31, 2001) resulted in comments from INCITS Technical Committee T4. In response to these comments, editorial and some substantive changes have been incorporated into this version.

This standard contains two annexes. Annex A is normative and is considered part of the standard. Annex B is informative and is not considered part of the standard.

Requests for interpretation, suggestions for improvement or addenda, or defect reports are welcome. They should be sent to InterNational Committee for Information Technology Standards (INCITS), ITI, 1250 Eye Street, NW, Suite 200, Washington, DC 20005.

This standard was processed and approved for submittal to ANSI by INCITS. Committee approval of this standard does not necessarily imply that all committee members voted for its approval. At the time it approved this standard, INCITS had the following members:

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<sup>1)</sup> R. Sandhu, D. Ferraiolo, R. Kuhn. The NIST model for role-based access control: Towards a unified standard. In *Proceedings of 5th ACM Workshop on Role-Based Access Control*, pp. 47-63 (Berlin, Germany, July 2000). ACM.

<sup>2)</sup> T. Jaeger and J. Tidswell. Rebuttal to the NIST RBAC model proposal. In *Proceedings of 5th ACM Workshop on Role-Based Access Control*, pp. 65-66 (Berlin, Germany, July 2000). ACM.

<sup>3)</sup> D. Ferraiolo, R. Sandhu, S. Gavrilu, D.R. Kuhn, R. Chandramouli, "A Proposed Standard for Role Based Access Control," *ACM Transactions on Information and System Security*, vol. 4, no. 3 (August 2001).

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## **Introduction**

This standard describes RBAC features that have achieved acceptance in the commercial marketplace. It includes a reference model and functional specifications for the RBAC features defined in the reference model. It is intended for (1) software engineers and product development managers who design products incorporating access control features; and (2) managers and procurement officials who seek to acquire computer security products with features that provide access control capabilities in accordance with commonly known and understood terminology and functional specifications.

# American National Standard for Information Technology –

## Role Based Access Control

### 1 SCOPE

This standard consists of two main parts – the *RBAC Reference Model* and the *RBAC System and Administrative Functional Specification*.

The RBAC Reference Model defines sets of basic RBAC elements (i.e., users, roles, permissions, operations and objects) and relations as types and functions that are included in this standard. The RBAC reference model serves two purposes. First, the reference model defines the scope of RBAC features that are included in the standard. This identifies the minimum set of features included in all RBAC systems, aspects of role hierarchies, aspects of static constraint relations, and aspects of dynamic constraint relations. Second, the reference model provides a precise and consistent language, in terms of element sets and functions for use in defining the functional specification.

The RBAC System and Administrative Functional Specification specifies the features that are required of an RBAC system. These features fall into three categories, administrative operations, administrative reviews, and system level functionality. The administrative operations define functions in terms of an administrative interface and an associated set of semantics that provide the capability to create, delete and maintain RBAC elements and relations (e.g., to create and delete user role assignments). The administrative review features define functions in terms of an administrative interface and an associated set of semantics that provide the capability to perform query operations on RBAC elements and relations. System level functionality defines features for the creation of user sessions to include role activation/deactivation, the enforcement of constraints on role activation, and for calculation of an access decision. Informative Annex B provides a rationale for the major RBAC components defined in this document.

### 2 CONFORMANCE

Not all RBAC features are appropriate for all applications. As such, this standard provides a method of packaging features through the selection of functional components and feature options within a component, beginning with a core set of RBAC features that must be included in all packages. Other components that may be selected in arriving at a relevant package of features pertain to role hierarchies, static constraints (Static Separation of Duty), and dynamic constraints (Dynamic Separation of Duty).

To conform to this standard, an RBAC system shall comply with all of the core set of RBAC functional specifications in 6.1. Conformance of an RBAC system to any other functional specifications for a particular component and feature option, found in 6.2

through 6.4, is optional and dependent upon the functional requirements of a particular application.

### 3 NORMATIVE REFERENCES

. This document makes use of the Z formal description language as defined in

- ISO/IEC 13568:2002. Information technology - Z formal specification notation.

### 4 TERMS AND DEFINITIONS

The following terms have specialized meanings within this standard.

**component:** As used in this standard, *component* refers to one of the major blocks of RBAC features, core RBAC, hierarchical RBAC, SSD relations, and DSD relations.

**objects:** As used in this standard, an *object* can be any system resource subject to access control, such as a file, printer, terminal, database record, etc.

**operations:** An *operation* is an executable image of a program, which upon invocation executes some function for the user.

**permissions:** *Permission* is an approval to perform an operation on one or more RBAC protected objects.

**Role:** A *role* is a job function within the context of an organization with some associated semantics regarding the authority and responsibility conferred on the user assigned to the role.

**User:** A *user* is defined as a human being. Although the concept of a user can be extended to include machines, networks, or intelligent autonomous agents, the definition is limited to a person in this document for simplicity reasons.

### 5 RBAC REFERENCE MODEL

The RBAC reference model is defined in terms of four *model components*—Core RBAC, Hierarchical RBAC, Static Separation of Duty Relations, and Dynamic Separation of Duty Relations. Core RBAC defines a minimum collection of RBAC elements, element sets, and relations in order to completely achieve a Role-Based Access Control system. This includes user-role assignment and permission-role assignment relations, considered fundamental in any RBAC system. In addition, Core RBAC introduces the concept of role activation as part of a user's session within a computer system. Core RBAC is required in any RBAC system, but the other components are independent of each other and may be implemented separately.

The Hierarchical RBAC component adds relations for supporting role hierarchies. A hierarchy is mathematically a partial order defining a seniority relation between roles, whereby senior roles acquire the permissions of their juniors and junior roles acquire users of their seniors. In addition, Hierarchical RBAC goes beyond simple user and permission role assignment by introducing the concept of a role's set of authorized users and authorized permissions. A third model component, Static Separation of Duty Relations,

adds exclusivity relations among roles with respect to user assignments. Because of the potential for inconsistencies with respect to static separation of duty relations and inheritance relations of a role hierarchy, the SSD relations model component defines relations in both the presence and absence of role hierarchies. The fourth model component, Dynamic Separation of Duty Relations, defines exclusivity relations with respect to roles that are activated as part of a user's session.

Each model component is defined by the following sub-components:

- a set of basic element sets
- a set of RBAC relations involving those element sets (containing subsets of Cartesian products denoting valid assignments)
- a set of Mapping Functions, which yield instances of members from one element, set for a given instance from another element set.

It is important to note that the RBAC reference model defines a taxonomy of RBAC features that can be composed into a number of feature packages. Rather than attempting to define a complete set of RBAC features, this model focuses on providing a standard set of terms for defining the most salient features as represented in existing models and implemented in commercial products.

### 5.1 Core RBAC

Core RBAC model element sets and relations are defined in Figure 1. Core RBAC includes sets of five basic data elements called users (USERS), roles (ROLES), objects (OBS), operations (OPS), and permissions (PRMS). The RBAC model as a whole is fundamentally defined in terms of individual users being assigned to roles and permissions being assigned to roles. As such, a role is a means for naming many-to-many relationships among individual users and permissions. In addition, the core RBAC model includes a set of sessions (SESSIONS) where each session is a mapping between a user and an activated subset of roles that are assigned to the user.

A *user* is defined as a human being. Although the concept of a user can be extended to include machines, networks, or intelligent autonomous agents, the definition is limited to a person in this document for simplicity reasons. A *role* is a job function within the context of an organization with some associated semantics regarding the authority and responsibility conferred on the user assigned to the role. *Permission* is an approval to perform an operation on one or more RBAC protected objects. An *operation* is an executable image of a program, which upon invocation executes some function for the user. The types of operations and objects that RBAC controls are dependent on the type of system in which it will be implemented. For example, within a file system, operations might include read, write, and execute; within a database management system, operations might include insert, delete, append and update.

The purpose of any access control mechanism is to protect system resources (i.e., protected objects). Consistent with earlier models of access control an *object* is an entity that contains or receives information. For a system that implements RBAC, the objects

can represent information containers (e.g., files, 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 CPU cycles. The set of objects covered by RBAC includes all of the objects listed in the permissions that are assigned to roles.

Central to RBAC is the concept of role relations, around which a role is a semantic construct for formulating policy. Figure 1 illustrates *user assignment (UA)* and *permission assignment (PA)* relations. The arrows indicate a many-to-many relationship (e.g., a user can be assigned to one or more roles, and a role can be assigned to one or more users). This arrangement provides great flexibility and granularity of assignment of permissions to roles and users to roles. Without these conveniences there is an enhanced danger that a user may be granted more access to resources than is needed because of limited control over the type of access that can be associated with users and resources. Users may need to list directories and modify existing files, for example, without creating new files, or they may need to append records to a file without modifying existing records. Any increase in the flexibility of controlling access to resources also strengthens the application of the principle of least privilege.

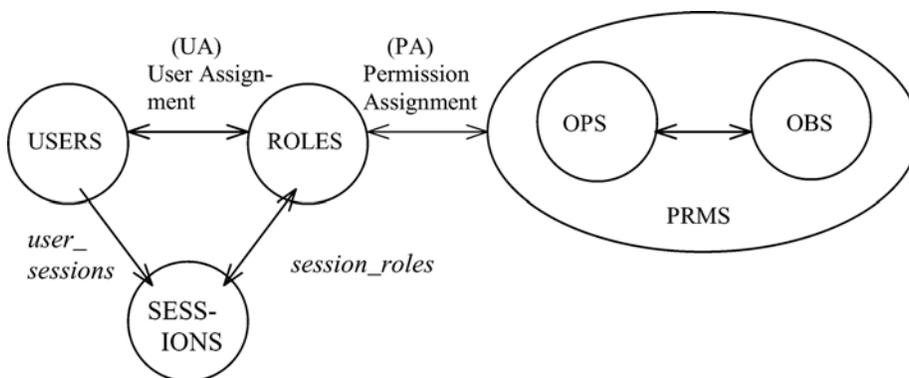


Figure 1: Core RBAC

Each session is a mapping of one user to possibly many roles, i.e., a user establishes a session during which the user activates some subset of roles that he or she is assigned. Each session is associated with a single user and each user is associated with one or more sessions. The function *session\_roles* gives us the roles activated by the session and the function *session\_users* gives us the user that is associated with a session. The permissions available to the user are the permissions assigned to the roles that are currently active across all the user's sessions.

**Core RBAC specification:**

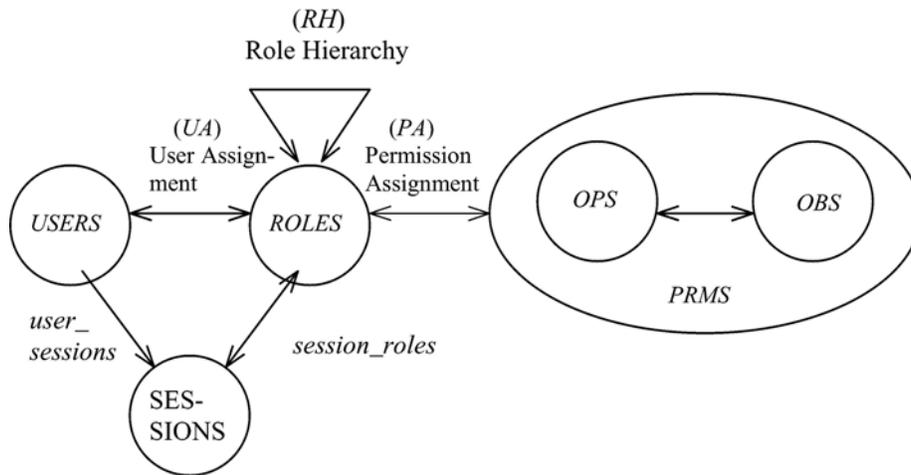
- *USERS*, *ROLES*, *OPS*, and *OBS* (users, roles, operations and objects respectively).
- $UA \subseteq USERS \times ROLES$ , a many-to-many mapping user-to-role assignment relation.

- *assigned\_users*: ( $r:ROLES$ )  $\rightarrow 2^{USERS}$ , the mapping of role  $r$  onto a set of users.  
Formally:  $assigned\_users(r) = \{u \in USERS \mid (u, r) \in UA\}$
- $PRMS = 2^{(OPS \times OBS)}$ , the set of permissions.
- $PA \subseteq PERMS \times ROLES$ , a many-to-many mapping permission-to-role assignment relation.
- *assigned\_permissions*( $r: ROLES$ )  $\rightarrow 2^{PRMS}$ , the mapping of role  $r$  onto a set of permissions. Formally:  
 $assigned\_permissions(r) = \{p \in PRMS \mid (p, r) \in PA\}$
- $Op(p: PRMS) \rightarrow \{op \subseteq OPS\}$ , the permission to operation mapping, which gives the set of operations associated with permission  $p$ .
- $Ob(p: PRMS) \rightarrow \{ob \subseteq OBS\}$ , the permission to object mapping, which gives the set of objects associated with permission  $p$ .
- $SESSIONS$  = the set of sessions
- *session\_users* ( $s: SESSIONS$ )  $\rightarrow USERS$ , the mapping of session  $s$  onto the corresponding user.
- *session\_roles* ( $s: SESSIONS$ )  $\rightarrow 2^{ROLES}$ , the mapping of session  $s$  onto a set of roles.  
Formally:  $session\_roles(s) \subseteq \{r \in ROLES \mid (session\_users(s), r) \in UA\}$
- *avail\_session\_perms*( $s:SESSIONS$ )  $\rightarrow 2^{PRMS}$ , the permissions available to a user in a session = 
$$\bigcup_{r \in session\_roles(s)} assigned\_permissions(r)$$

## 5.2 Hierarchal RBAC

This model component introduces role hierarchies (RH) as indicated in Figure 2. Role hierarchies are commonly included as a key aspect of RBAC models and are often included as part of RBAC product offerings. Hierarchies are a natural means of structuring roles to reflect an organization's lines of authority and responsibility.

Role hierarchies define an inheritance relation among roles. Inheritance has been described in terms of permissions; i.e.,  $r_1$  "inherits" role  $r_2$  if all privileges of  $r_2$  are also privileges of  $r_1$ . For some distributed RBAC implementations, role permissions are not managed centrally, while the role hierarchies are. For these systems, role hierarchies are managed in terms of user containment relations: role  $r_1$  "contains" role  $r_2$  if all users authorized for  $r_1$  are also authorized for  $r_2$ . Note, however, that user containment implies that a user of  $r_1$  has (at least) all the privileges of  $r_2$ , while the permission inheritance for  $r_1$  and  $r_2$  does not imply anything about user assignment.



**Figure 2:** Hierarchical RBAC

This standard recognizes two types of role hierarchies—general role hierarchies and limited role hierarchies. General role hierarchies provide support for an arbitrary partial order to serve as the role hierarchy, to include the concept of multiple inheritances of permissions and user membership among roles. Limited role hierarchies impose restrictions resulting in a simpler tree structure (i.e., a role may have one or more immediate ascendants, but is restricted to a single immediate descendent).

### General Role Hierarchies:

- $RH \subseteq ROLES \times ROLES$  is a partial order on  $ROLES$  called the inheritance relation, written as  $\succeq$ , where  $r_1 \succeq r_2$  only if all permissions of  $r_2$  are also permissions of  $r_1$ , and all users of  $r_1$  are also users of  $r_2$ , i.e.,  $r_1 \succeq r_2 \Rightarrow authorized\_permissions(r_2) \subseteq authorized\_permissions(r_1)$ .
- $authorized\_users(r: ROLES) \rightarrow 2^{USERS}$ , the mapping of role  $r$  onto a set of users in the presence of a role hierarchy. Formally:  
 $authorized\_users(r) = \{u \in USERS \mid r' \succeq r, (u, r') \in UA\}$
- $authorized\_permissions(r: ROLES) \rightarrow 2^{PRMS}$ , the mapping of role  $r$  onto a set of permissions in the presence of a role hierarchy. Formally:  
 $authorized\_permissions(r) = \{p \in PRMS \mid r' \succeq r, (p, r') \in PA\}$

General role hierarchies support the concept of *multiple inheritance*, which provides the ability to inherit permission from two or more role sources and to inherit user membership from two or more role sources. Multiple inheritances provide two important hierarchy properties. The first is ability to compose a role from multiple subordinate roles

(with fewer permissions) in defining roles and relations that are characteristic of the organization and business structures, which these roles are intended to represent. Second, multiple inheritances provides uniform treatment of user/role assignment relations and role/role inheritance relations. Users can be included in the role hierarchy, using the same relation  $\succ$  to denote the user assignment to roles, as well as well as permission inheritance from a role to its assigned users.

Roles in a limited role hierarchy are restricted to a single *immediate descendent*. Although limited role hierarchies do not support multiple inheritances, they nonetheless provide clear administrative advantages over Core RBAC.

Node  $r_1$  is represented as an immediate descendent of  $r_2$  by  $r_1 \succ r_2$ , if  $r_1 \succeq r_2$ , but no role in the role hierarchy lies between  $r_1$  and  $r_2$ . That is, there exists no role  $r_3$  in the role hierarchy such that  $r_1 \succeq r_3 \succeq r_2$ , where  $r_1 \neq r_2$  and  $r_2 \neq r_3$ .

Limited role hierarchies are defined as a restriction on the immediate descendents of the general role hierarchy.

### Limited Role Hierarchies:

- General Role Hierarchies with the following limitation:  

$$\forall r, r_1, r_2 \in ROLES, r \succeq r_1 \wedge r \succeq r_2 \Rightarrow r_1 = r_2$$

A general role hierarchy can be represented as a Hasse Diagram. Nodes in the graph represent the roles of the hierarchy and there is a directed line segment (arrow) drawn from  $r_1$  to  $r_2$  whenever  $r_1$  is an immediate descendent of  $r_2$ . By definition,  $r_1 \rightarrow r_2$  if  $r_1 \succ r_2$ . In the graph thus created,  $r_x \succeq r_y$  if and only if there is a directed path (sequence of arrows) from  $r_x$  to  $r_y$ . In addition, there are no (directed) cycles in the graph of  $RH$  since the order relation is anti-symmetric and transitive. Usually, the graph is represented with the arcs corresponding to the inheritance relation  $\succ$  oriented top-down. Thus, user membership is inherited top-down, and the role permissions are inherited bottom-up.

### 5.3 Constrained RBAC

Constrained RBAC adds Separation of Duty relations to the RBAC model. Separation of duty relations are used to enforce conflict of interest policies that organizations may employ to prevent users from exceeding a reasonable level of authority for their positions.

As a security principle, separation of duty has long been recognized for its wide application in business, industry, and government. Its purpose is to ensure that failures of omission or commission within an organization are caused only as a result of collusion among individuals. To minimize the likelihood of collusion, individuals of different skills or divergent interests are assigned to separate tasks required in the performance of a business function. The motivation is to ensure that fraud and major errors cannot occur

without deliberate collusion of multiple users. This RBAC standard allows for both static and dynamic separation of duty as defined within the next two subsections.

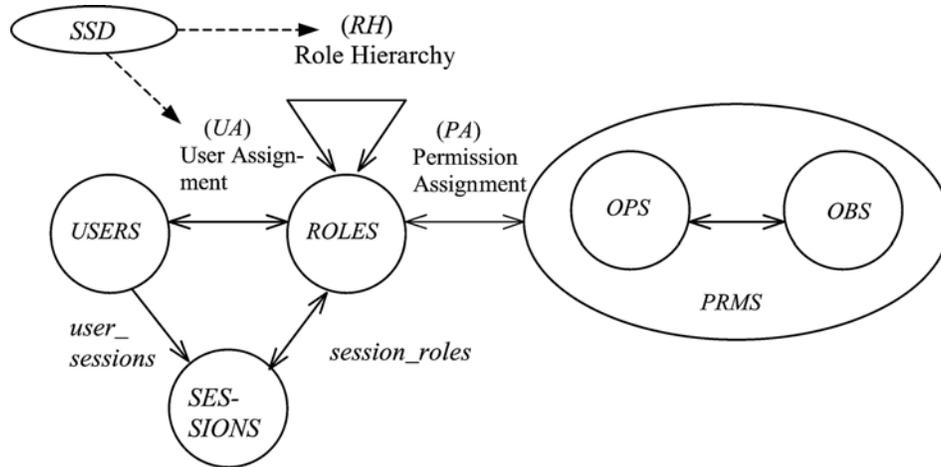
### 5.3.1 Static Separation of Duty Relations

Conflict of interest in a role-based system may arise as a result of a user gaining authorization for permissions associated with conflicting roles. One means of preventing this form of conflict of interest is through *static separation of duty*, that is, to enforce constraints on the assignment of users to roles. Static constraints can take on a wide variety of forms. A common example is that of Static Separation of Duty (SSD) that defines mutually disjoint user assignments with respect to sets of roles. Static constraints have also been shown to be a powerful means of implementing a number of other important Separation of Duty policies.

The static constraints defined in this model are limited to those relations that place restrictions on sets of roles and in particular on their ability to form *UA* relations. This means that if a user is assigned to one role, the user is prohibited from being a member of a second role. An SSD policy can be centrally specified and then uniformly imposed on specific roles. From a policy perspective, static constraint relations provides a powerful means of enforcing conflict of interest and other separation rules over sets of RBAC elements. Static constraints generally place restrictions on administrative operations that have the potential to undermine higher-level organizational Separation of Duty policies.

RBAC models have defined SSD relations with respect to constraints on user-role assignments over pairs of roles (i.e., no user can be simultaneously assigned to both roles in SSD). Although real world examples of this SSD policy exist, this definition is overly restrictive in two important aspects. The first aspect being the size of the set of roles in the SSD and the second being the combination of roles in the set for which user assignment is restricted. In this model SSD is defined with two arguments—a role set that includes two or more roles and cardinality greater than one indicating a combination of roles that would constitute a violation of the SSD policy. For example, an organization may require that no one user may be assigned to three of the four roles that represent the purchasing function.

As illustrated in figure 3, SSD relations may exist within hierarchical RBAC. When applying SSD relations in the presence of a role hierarchy, special care must be applied to ensure that user inheritance does not undermine SSD policies. As such, role hierarchies have been defined to include the inheritance of SSD constraints. To address this potential inconsistency SSD is defined as a constraint on the authorized users of the roles that have an SSD relation.



**Figure 3: SSD within Hierarchical RBAC**

### Static Separation of Duty:

- $SSD \subseteq (2^{ROLES} \times \mathbb{N})$  is collection of pairs  $(rs, n)$  in *Static Separation of Duty*, where each  $rs$  is a role set,  $t$  a subset of roles in  $rs$ , and  $n$  is a natural number  $\geq 2$ , with the property that no user is assigned to  $n$  or more roles from the set  $rs$  in each

$(rs, n) \in SSD$ . Formally:

$$\forall (rs, n) \in SSD, \forall t \subseteq rs : |t| \geq n \Rightarrow \bigcap_{r \in t} \text{assigned\_users}(r) = \emptyset.$$

### Static Separation of Duty in the Presence of a Hierarchy:

In the presence of a role hierarchy *Static Separation of Duty* is redefined based on authorized users rather than assigned users as follows:

$$\forall (rs, n) \in SSD, \forall t \subseteq rs : |t| \geq n \Rightarrow \bigcap_{r \in t} \text{authorized\_users}(r) = \emptyset.$$

#### 5.3.2 Dynamic Separation of Duty Relations

Static separation of duty relations reduce the number of potential permissions that can be made available to a user by placing constraints on the users that can be assigned to a set of roles. Dynamic Separation of duty (DSD) relations, like SSD relations, are intended to limit the permissions that are available to a user. However, DSD relations differ from SSD relations by the context in which these limitations are imposed. SSD relations define and place constraints on a user's total permission space. This model component defines DSD properties that limit the availability of the permissions over a user's permission space by placing constraints on the roles that can be activated within or across a user's

sessions. DSD properties provide extended support for the principle of least privilege in that each user has different levels of permission at different times, depending on the role being performed. These properties ensure that permissions do not persist beyond the time that they are required for performance of duty. This aspect of least privilege is often referred to as *timely revocation of trust*. Dynamic revocation of permissions can be a rather complex issue without the facilities of dynamic separation of duty, and as such it has been generally ignored in the past for reasons of expediency.

This model component provides the capability to enforce an organization-specific policy of dynamic separation of duty (DSD). SSD relations provide the capability to address potential conflict-of-interest issues at the time a user is assigned to a role. DSD allows a user to be authorized for two or more roles that do not create a conflict of interest when acted in independently, but produce policy concerns when activated simultaneously. For example, a user may be authorized for both the roles of Cashier and Cashier Supervisor, where the supervisor is allowed to acknowledge corrections to a Cashier's open cash drawer. If the individual acting in the role Cashier attempted to switch to the role Cashier Supervisor, RBAC would require the user to drop the Cashier role, and thereby force the closure of the cash drawer before assuming the role Cashier Supervisor. As long as the same user is not allowed to assume both of these roles at the same time, a conflict of interest situation will not arise. Although this effect could be achieved through the establishment of a static separation of duty relationship, DSD relationships generally provide the enterprise with greater operational flexibility.

Dynamic separation of duty relations are defined as a constraint on the roles that are activated in a user's session (see Figure 4).

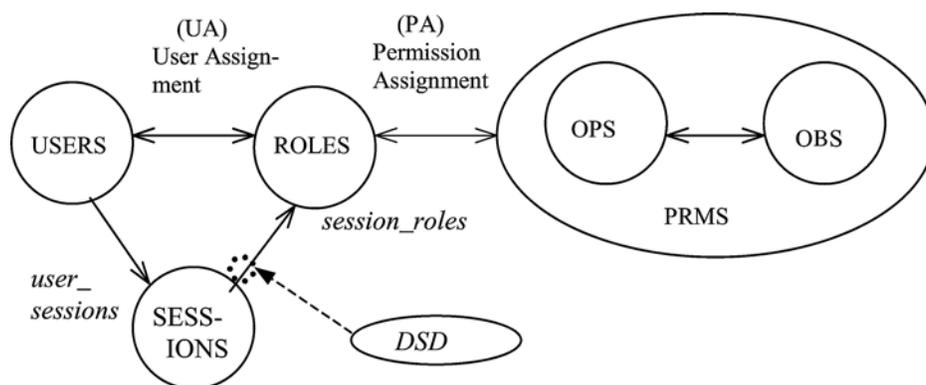


Figure 4: Dynamic Separation of Duty Relations

### Dynamic Separation of Duty:

- $DSD \subseteq (2^{ROLES} \times \mathbb{N})$  is collection of pairs  $(rs, n)$  in *Dynamic Separation of Duty*, where each  $rs$  is a role set and  $n$  is a natural number  $\geq 2$ , with the property that no subject may activate  $n$  or more roles from the set  $rs$  in each  $dsd \in DSD$ . Formally:

$$\forall rs \in 2^{ROLES}, n \in \mathbb{N}, (rs, n) \in DSD \Rightarrow n \geq 2 \cdot |rs| \geq n, \text{ and}$$

$$\forall s \in SESSIONS, \forall rs \in 2^{ROLES}, \forall role\_subset \in 2^{ROLES}, \forall n \in \mathbb{N}, (rs, n) \in DSD, \\ role\_subset \subseteq rs, role\_subset \subseteq session\_roles(s) \Rightarrow |role\_subset| < n.$$

## 6 RBAC SYSTEM AND ADMINISTRATIVE FUNCTIONAL SPECIFICATION

The RBAC Functional specification specifies administrative operations for the creation and maintenance of RBAC element sets and relations; administrative review functions for performing administrative queries; and system functions for creating and managing RBAC attributes on user sessions and making access control decisions. Functions are defined with sufficient precision to meet the needs of conformance testing and assurance, while providing developers with design flexibility and the ability to incorporate additional features to meet the needs of users.

The notation used in the formal specification of the RBAC functions is a subset of the Z notation. The only change is the representation of a schema as follows:

Schema-Name (Declaration)  $\triangleleft$  Predicate; ...; Predicate  $\triangleright$ .

Most abstract data types and functions used in the formal specification are defined in Section 3, RBAC Reference Model. New abstract data types and functions are introduced as needed. *NAME* is an abstract data type whose elements represent identifiers of entities that may or may not be included in the RBAC system (roles, users, sessions, etc.).

### 6.1 Core RBAC

#### 6.1.1 Administrative Commands for Core RBAC

##### AddUser

This command creates a new RBAC user. The command is valid only if the new user is not already a member of the *USERS* data set. The *USER* data set is updated. The new user does not own any session at the time of its creation. The following schema formally describes the command AddUser:

$$\begin{aligned} &AddUser(user: NAME) \triangleleft \\ &\quad user \notin USERS \\ &\quad USERS' = USERS \cup \{user\} \\ &\quad user\_sessions' = user\_sessions \cup \{user \mapsto \emptyset\} \triangleright \end{aligned}$$

##### DeleteUser

This command deletes an existing user from the RBAC database. The command is valid if and only if the user to be deleted is a member of the *USERS* data set. The *USERS* and *UA* data sets and the *assigned\_users* function are updated. It is an implementation decision how to proceed with the sessions owned by the user to be deleted. The RBAC system could wait for such a session to terminate normally, or it could force its termination. The following schema formally describes the command DeleteUser:

$$\begin{aligned}
&DeleteUser(user: NAME) \triangleleft \\
&user \in USERS \\
&[\forall s \in SESSIONS \bullet s \in user\_sessions(user) \Rightarrow DeleteSession(s)] \\
&UA' = UA \setminus \{r: ROLES \bullet user \mapsto r\} \\
&assigned\_users' = \{r: ROLES \bullet r \mapsto (assigned\_users(r) \setminus \{user\})\} \\
&USERS' = USERS \setminus \{user\} \triangleright
\end{aligned}$$

### AddRole

This command creates a new role. The command is valid if and only if the new role is not already a member of the *ROLES* data set. The *ROLES* data set and the functions *assigned\_users* and *assigned\_permissions* are updated. Initially, no user or permission is assigned to the new role. The following schema formally describes the command

AddRole:

$$\begin{aligned}
&AddRole(role: NAME) \triangleleft \\
&role \notin ROLES \\
&ROLES' = ROLES \cup \{role\} \\
&assigned\_users' = assigned\_users \cup \{role \mapsto \emptyset\} \\
&assigned\_permissions' = assigned\_permissions \cup \{role \mapsto \emptyset\} \triangleright
\end{aligned}$$

### DeleteRole

This command deletes an existing role from the RBAC database. The command is valid if and only if the role to be deleted is a member of the *ROLES* data set. It is an implementation decision how to proceed with the sessions in which the role to be deleted is active. The RBAC system could wait for such a session to terminate normally, it could force the termination of that session, or it could delete the role from that session while allowing the session to continue.

$$\begin{aligned}
&DeleteRole(role: NAME) \triangleleft \\
&role \in ROLES \\
&[\forall s \in SESSIONS \bullet role \in session\_roles(s) \Rightarrow DeleteSession(s)] \\
&UA' = UA \setminus \{u: USERS \bullet u \mapsto role\} \\
&assigned\_users' = assigned\_users \setminus \{role \mapsto assigned\_users(role)\} \\
&PA' = PA \setminus \{op: OPS, obj: OBJ \bullet (op, obj) \mapsto role\} \\
&assigned\_permissions' = assigned\_permissions \setminus \{role \mapsto assigned\_permissions(role)\} \\
&ROLES' = ROLES \setminus \{role\} \triangleright
\end{aligned}$$

### AssignUser

This command assigns a user to a role. The command is valid if and only if the user is a member of the *USERS* data set, the role is a member of the *ROLES* data set, and the user is not already assigned to the role. The data set *UA* and the function *assigned\_users* are updated to reflect the assignment. The following schema formally describes the command:

$$\begin{aligned}
& \text{AssignUser}(user, role: NAME) \triangleleft \\
& user \in USERS; role \in ROLES; (user \mapsto role) \notin UA \\
& UA' = UA \cup \{user \mapsto role\} \\
& assigned\_users' = assigned\_users \setminus \{role \mapsto assigned\_users(role)\} \cup \\
& \quad \{role \mapsto (assigned\_users(role) \cup \{user\})\} \triangleright
\end{aligned}$$

### DeassignUser

This command deletes the assignment of the user *user* to the role *role*. The command is valid if and only if the user is a member of the *USERS* data set, the role is a member of the *ROLES* data set, and the user is assigned to the role.

It is an implementation decision how to proceed with the sessions in which the session user is *user* and one of his/her active roles is *role*. The RBAC system could wait for such a session to terminate normally, could force its termination, or could inactivate the role. The following schema formally describes the command *DeassignUser*:

$$\begin{aligned}
& \text{DeassignUser}(user, role: NAME) \triangleleft \\
& user \in USERS; role \in ROLES; (user \mapsto role) \in UA \\
& [\forall s: SESSIONS \bullet s \in user\_sessions(user) \wedge role \in session\_roles(s) \Rightarrow DeleteSession(s)] \\
& UA' = UA \setminus \{user \mapsto role\} \\
& assigned\_users' = assigned\_users \setminus \{role \mapsto assigned\_users(role)\} \cup \\
& \quad \{role \mapsto (assigned\_users(role) \setminus \{user\})\} \triangleright
\end{aligned}$$

### GrantPermission

This command grants a role the permission to perform an operation on an object to a role. The command may be implemented as granting permissions to a group corresponding to that role, i.e., setting the access control list of the object involved.

The command is valid if and only if the pair (operation, object) represents a permission, and the role is a member of the *ROLES* data set. The following schema formally defines the command:

$$\begin{aligned}
& \text{GrantPermission}(object, operation, role: NAME) \triangleleft \\
& (operation, object) \in PERMS; role \in ROLES \\
& PA' = PA \cup \{(operation, object) \mapsto role\} \\
& assigned\_permissions' = assigned\_permissions \setminus \{role \mapsto assigned\_permissions(role)\} \cup \\
& \quad \{role \mapsto (assigned\_permissions(role) \cup \{(operation, object)\})\} \triangleright
\end{aligned}$$

### RevokePermission

This command revokes the permission to perform an operation on an object from the set of permissions assigned to a role. The command may be implemented as revoking permissions from a group corresponding to that role, i.e., setting the access control list of the object involved.

The command is valid if and only if the pair (operation, object) represents a permission, the role is a member of the *ROLES* data set, and the permission is assigned to that role. The following schema formally describes the command:

$$\begin{aligned} & \text{RevokePermission}(\text{operation}, \text{object}, \text{role}: \text{NAME}) \triangleleft \\ & (\text{operation}, \text{object}) \in \text{PERMS}; \text{role} \in \text{ROLES}; ((\text{operation}, \text{object}) \mapsto \text{role}) \in \text{PA} \\ & \text{PA}' = \text{PA} \setminus \{(\text{operation}, \text{object}) \mapsto \text{role}\} \\ & \text{assigned\_permissions}' = \text{assigned\_permissions} \setminus \{\text{role} \mapsto \text{assigned\_permissions}(\text{role})\} \cup \\ & \quad \{\text{role} \mapsto (\text{assigned\_permissions}(\text{role}) \setminus \{(\text{operation}, \text{object})\})\} \triangleright \end{aligned}$$

### 6.1.2 Supporting System Functions for Core RBAC

#### **CreateSession**(*user*, *session*)

This function creates a new session with a given user as owner and an active role set. The function is valid if and only if:

- the user is a member of the *USERS* data set, and
- the active role set is a subset of the roles assigned to that user. In a RBAC implementation, the session's active roles might actually be the groups that represent those roles.

The following schema formally describes the function. The *session* parameter, which represents the session identifier, is actually generated by the underlying system.

$$\begin{aligned} & \text{CreateSession}(\text{user}: \text{NAME}; \text{ars}: 2^{\text{NAMES}}; \text{session}: \text{NAME}) \triangleleft \\ & \text{user} \in \text{USERS}; \text{ars} \subseteq \{r: \text{ROLES} \mid (\text{user} \mapsto r) \in \text{UA}\}; \text{session} \notin \text{SESSIONS} \\ & \text{SESSIONS}' = \text{SESSIONS} \cup \{\text{session}\} \\ & \text{user\_sessions}' = \text{user\_sessions} \setminus \{\text{user} \mapsto \text{user\_sessions}(\text{user})\} \cup \\ & \quad \{\text{user} \mapsto (\text{user\_sessions}(\text{user}) \cup \{\text{session}\})\} \\ & \text{session\_roles}' = \text{session\_roles} \cup \{\text{session} \mapsto \text{ars}\} \triangleright \end{aligned}$$

#### **DeleteSession**(*user*, *session*)

This function deletes a given session with a given owner user. The function is valid if and only if the session identifier is a member of the *SESSIONS* data set, the user is a member of the *USERS* data set, and the session is owned by the given user. The following schema formally describes the function:

$$\begin{aligned} & \text{DeleteSession}(\text{user}, \text{session}: \text{NAME}) \triangleleft \\ & \text{user} \in \text{USERS}; \text{session} \in \text{SESSIONS}; \text{session} \in \text{user\_sessions}(\text{user}) \\ & \text{user\_sessions}' = \text{user\_sessions} \setminus \{\text{user} \mapsto \text{user\_sessions}(\text{user})\} \cup \\ & \quad \{\text{user} \mapsto (\text{user\_sessions}(\text{user}) \setminus \{\text{session}\})\} \\ & \text{session\_roles}' = \text{session\_roles} \setminus \{\text{session} \mapsto \text{session\_roles}(\text{session})\} \\ & \text{SESSIONS}' = \text{SESSIONS} \setminus \{\text{session}\} \triangleright \end{aligned}$$

#### **AddActiveRole**

This function adds a role as an active role of a session whose owner is a given user. The function is valid if and only if:

- the user is a member of the *USERS* data set, and
- the role is a member of the *ROLES* data set, and

- the session identifier is a member of the *SESSIONS* data set, and
- the role is assigned to the user, and
- the session is owned by that user.

In an implementation, the new active role might be a group that corresponds to that role.

The following schema formally describes the function:

$$\begin{aligned}
 & \text{AddActiveRole}(user, session, role: NAME) \triangleleft \\
 & user \in USERS; session \in SESSIONS; role \in ROLES; session \in user\_sessions(user) \\
 & (user \mapsto role) \in UA; role \notin session\_roles(session) \\
 & session\_roles' = session\_roles \setminus \{session \mapsto session\_roles(session)\} \cup \\
 & \quad \{session \mapsto (session\_roles(session) \cup \{role\})\} \triangleright
 \end{aligned}$$

### DropActiveRole

This function deletes a role from the active role set of a session owned by a given user. The function is valid if and only if the user is a member of the *USERS* data set, the session identifier is a member of the *SESSIONS* data set, the session is owned by the user, and the role is an active role of that session. The following schema formally describes this function:

$$\begin{aligned}
 & \text{DropActiveRole}(user, session, role: NAME) \triangleleft \\
 & user \in USERS; role \in ROLES; session \in SESSIONS \\
 & session \in user\_sessions(user); role \in session\_roles(session) \\
 & session\_roles' = session\_roles \setminus \{session \mapsto session\_roles(session)\} \cup \\
 & \quad \{session \mapsto (session\_roles(session) \setminus \{role\})\} \triangleright
 \end{aligned}$$

### CheckAccess

This function returns a Boolean value meaning whether the subject of a given session is allowed or not to perform a given operation on a given object. The function is valid if and only if the session identifier is a member of the *SESSIONS* data set, the object is a member of the *OBJS* data set, and the operation is a member of the *OPS* data set. The session's subject has the permission to perform the operation on that object if and only if that permission is assigned to (at least) one of the session's active roles. An implementation might use the groups that correspond to the subject's active roles and their permissions as registered in the object's access control list. The following schema formally describes the function:

$$\begin{aligned}
 & \text{CheckAccess}(session, operation, object: NAME; out result: BOOLEAN) \triangleleft \\
 & session \in SESSIONS; operation \in OPS; object \in OBJS \\
 & result = (\exists r: ROLES \bullet r \in session\_roles(session) \wedge ((operation, object) \mapsto r) \in PA) \triangleright
 \end{aligned}$$

#### 6.1.3 Review Functions for Core RBAC

### AssignedUsers

This function returns the set of users assigned to a given role. The function is valid if and only if the role is a member of the *ROLES* data set. The following schema formally describes the function:

$$\begin{aligned} & \text{AssignedUsers}(\text{role: NAME}; \text{out result: } 2^{\text{USERS}}) \triangleleft \\ & \text{role} \in \text{ROLES} \\ & \text{result} = \{u: \text{USERS} \mid (u \mapsto \text{role}) \in \text{UA}\} \triangleright \end{aligned}$$

### AssignedRoles

This function returns the set of roles assigned to a given user. The function is valid if and only if the user is a member of the *USERS* data set. The following schema formally describes the function:

$$\begin{aligned} & \text{AssignedRoles}(\text{user: NAME}; \text{result: } 2^{\text{ROLES}}) \triangleleft \\ & \text{user} \in \text{USERS} \\ & \text{result} = \{r: \text{ROLES} \mid (\text{user} \mapsto r) \in \text{UA}\} \triangleright \end{aligned}$$

## 6.1.4 Advanced Review Functions for Core RBAC

### RolePermissions

This function returns the set of permissions (*op*, *obj*) granted to a given role. The function is valid if and only if the role is a member of the *ROLES* data set. The following schema formally describes the function:

$$\begin{aligned} & \text{RolePermissions}(\text{role: NAME}; \text{result: } 2^{\text{PERMS}}) \triangleleft \\ & \text{role} \in \text{ROLES} \\ & \text{result} = \{op: \text{OPS}; obj: \text{OBS} \mid ((op, obj) \mapsto \text{role}) \in \text{PA}\} \triangleright \end{aligned}$$

### UserPermissions

This function returns the permissions a given user gets through his/her assigned roles. The function is valid if and only if the user is a member of the *USERS* data set. The following schema formally describes this function:

$$\begin{aligned} & \text{UserPermissions}(\text{user: NAME}; \text{result: } 2^{\text{PERMS}}) \triangleleft \\ & \text{user} \in \text{USERS} \\ & \text{result} = \{r: \text{ROLES}; op: \text{OPS}; obj: \text{OBS} \mid (\text{user} \mapsto r) \in \text{UA} \wedge ((op, obj) \mapsto r) \in \text{PA} \bullet (op, obj)\} \triangleright \end{aligned}$$

### SessionRoles

This function returns the active roles associated with a session. The function is valid if and only if the session identifier is a member of the *SESSIONS* data set. The following schema formally describes this function:

$$\begin{aligned} & \text{SessionRoles}(\text{session: NAME}; \text{out result: } 2^{\text{ROLES}}) \triangleleft \\ & \text{session} \in \text{SESSIONS} \\ & \text{result} = \text{session\_roles}(\text{session}) \triangleright \end{aligned}$$

### SessionPermissions

This function returns the permissions of the session *session*, i.e., the permissions assigned to its active roles. The function is valid if and only if the session identifier is a member of the *SESSIONS* data set. The following schema formally describes this function:

$$\begin{aligned}
 & \text{SessionPermissions}(\text{session: NAME}; \text{out result: } 2^{\text{PERMS}}) \triangleleft \\
 & \quad \text{session} \in \text{SESSIONS} \\
 & \quad \text{result} = \{r: \text{ROLES}; \text{op} \in \text{OPS}; \text{obj} \in \text{OBJS} \mid r \in \text{session\_roles}(\text{session}) \wedge ((\text{op}, \text{obj}) \mapsto r) \in \text{PA} \bullet \\
 & \quad (\text{op}, \text{obj})\} \triangleright
 \end{aligned}$$

### RoleOperationsOnObject

This function returns the set of operations a given role is permitted to perform on a given object. The function is valid only if the role is a member of the *ROLES* data set, and the object is a member of the *OBJS* data set. The following schema formally describes the function:

$$\begin{aligned}
 & \text{RoleOperationsOnObject}(\text{role: NAME}; \text{obj: NAME}; \text{result: } 2^{\text{OPS}}) \triangleleft \\
 & \quad \text{role} \in \text{ROLES} \\
 & \quad \text{obj} \in \text{OBJS} \\
 & \quad \text{result} = \{\text{op: OPS} \mid ((\text{op}, \text{obj}) \mapsto \text{role}) \in \text{PA}\} \triangleright
 \end{aligned}$$

### UserOperationsOnObject

This function returns the set of operations a given user is permitted to perform on a given object, obtained either directly or through his/her assigned roles. The function is valid if and only if the user is a member of the *USERS* data set and the object is a member of the *OBJS* data set. The following schema formally describes this function:

$$\begin{aligned}
 & \text{UserOperationsOnObject}(\text{user: NAME}; \text{obj: NAME}; \text{result: } 2^{\text{OPS}}) \triangleleft \\
 & \quad \text{user} \in \text{USERS} \\
 & \quad \text{obj} \in \text{OBJS} \\
 & \quad \text{result} = \{r: \text{ROLES}; \text{op: OPS} \mid (\text{user} \mapsto r) \in \text{UA} \wedge ((\text{op}, \text{obj}) \mapsto r) \in \text{PA} \bullet \text{op}\} \triangleright
 \end{aligned}$$

## 6.2 Hierarchical RBAC

### 6.2.1 General Role Hierarchies

#### 6.2.1.1 Administrative Commands for General Role Hierarchies

All functions of 6.1.1 remain valid. In addition, this section defines the following new, specific functions:

### AddInheritance

This command establishes a new immediate inheritance relationship  $r\_asc \succ r\_desc$  between existing roles  $r\_asc$ ,  $r\_desc$ . The command is valid if and only if  $r\_asc$  and  $r\_desc$  are members of the *ROLES* data set,  $r\_asc$  is not an immediate ascendant of  $r\_desc$ , and  $r\_desc$  does not properly inherit  $r\_asc$  (in order to avoid cycle creation). The following schema uses the notations:

$$\begin{aligned} \geq & == \quad \succ \\ >> & == \quad \succ \succ \end{aligned}$$

to formally describes the command:

$$\begin{aligned} & \text{AddInheritance}(r\_asc, r\_desc: NAME) \triangleleft \\ & r\_asc \in ROLES; r\_desc \in ROLES; \neg(r\_asc \gg r\_desc); \neg(r\_desc \geq r\_asc) \\ & \geq' = \geq \cup \{r, q: ROLES \mid r \geq r\_asc \wedge r\_desc \geq q \bullet r \mapsto q\} \triangleright \end{aligned}$$

### DeleteInheritance

This command deletes an existing immediate inheritance relationship  $r\_asc \succ r\_desc$ . The command is valid if and only if the roles  $r\_asc$  and  $r\_desc$  are members of the *ROLES* data set, and  $r\_asc$  is an immediate ascendant of  $r\_desc$ . The new inheritance relation is computed as the reflexive-transitive closure of the immediate inheritance relation resulted after deleting the relationship  $r\_asc \succ r\_desc$ . The following schema formally describes this command:

$$\begin{aligned} & \text{DeleteInheritance}(r\_asc, r\_desc: NAME) \triangleleft \\ & r\_asc \in ROLES; r\_desc \in ROLES; r\_asc \gg r\_desc \\ & \geq' = (\gg \setminus \{r\_asc \mapsto r\_desc\})^* \triangleright \end{aligned}$$

### AddAscendant

This commands creates a new role  $r\_asc$ , and inserts it in the role hierarchy as an immediate ascendant of the existing role  $r\_desc$ . The command is valid if and only if  $r\_asc$  is not a member of the *ROLES* data set, and  $r\_desc$  is a member of the *ROLES* data set. Note that the validity conditions are verified in the schemas *AddRole* and *AddInheritance*, referred to by *AddAscendant*.

$$\begin{aligned} & \text{AddAscendant}(r\_asc, r\_desc: NAME) \triangleleft \\ & \text{AddRole}(r\_asc) \\ & \text{AddInheritance}(r\_asc, r\_desc) \triangleright \end{aligned}$$

### AddDescendant

This commands creates a new role  $r\_desc$ , and inserts it in the role hierarchy as an immediate descendant of the existing role  $r\_asc$ . The command is valid if and only if  $r\_desc$  is not a member of the *ROLES* data set, and  $r\_asc$  is a member of the *ROLES* data set. Note that the validity conditions are verified in the schemas *AddRole* and *AddInheritance*, referred to by *AddDescendant*.

$$\begin{aligned} & \text{AddDescendant}(r\_asc, r\_desc: NAME) \triangleleft \\ & \text{AddRole}(r\_desc) \\ & \text{AddInheritance}(r\_asc, r\_desc) \triangleright \end{aligned}$$

### 6.2.1.2 Supporting System Functions for General Role Hierarchies

This section redefines the functions CreateSession and AddActiveRole of 7.1.2. The other functions of 6.1.2 remain valid.

#### CreateSession(*user*, *session*)

This function creates a new session with a given user as owner, and a given set of active roles. The function is valid if and only if:

- the user is a member of the *USERS* data set, and
- the active role set is a subset of the roles authorized for that user. Note that if a role is active for a session, its descendants or ascendants are not necessarily active for that session. In a RBAC implementation, the session's active roles might actually be the groups that represent those roles.

The following schema formally describes the function. The parameter *session*, which identifies the session, is actually generated by the underlying system.

$$\begin{aligned} & \text{CreateSession}(\text{user}: \text{NAME}; \text{ars}: 2^{\text{NAME}}; \text{session}: \text{NAME}) \triangleleft \\ & \text{user} \in \text{USERS}; \text{ars} \subseteq \{r, q: \text{ROLES} \mid (\text{user} \mapsto q) \in \text{UA} \wedge q \geq r \bullet r\}; \text{session} \notin \text{SESSIONS} \\ & \text{SESSIONS}' = \text{SESSIONS} \cup \{\text{session}\} \\ & \text{user\_sessions}' = \text{user\_sessions} \setminus \{\text{user} \mapsto \text{user\_sessions}(\text{user})\} \cup \\ & \quad \{\text{user} \mapsto (\text{user\_sessions}(\text{user}) \cup \{\text{session}\})\} \\ & \text{session\_roles}' = \text{session\_roles} \cup \{\text{session} \mapsto \text{ars}\} \triangleright \end{aligned}$$

#### AddActiveRole

This function adds a role as an active role of a session whose owner is a given user. The function is valid if and only if:

- the user is a member of the *USERS* data set, and
- the role is a member of the *ROLES* data set, and
- the session identifier is a member of the *SESSIONS* data set, and
- the user is authorized to that role, and
- the session is owned by that user.

The following schema formally describes the function:

$$\begin{aligned} & \text{AddActiveRole}(\text{user}, \text{session}, \text{role}: \text{NAME}) \triangleleft \\ & \text{user} \in \text{USERS}; \text{session} \in \text{SESSIONS}; \text{role} \in \text{ROLES}; \text{session} \in \text{user\_sessions}(\text{user}) \\ & \text{user} \in \text{authorized\_users}(\text{role}); \text{role} \notin \text{session\_roles}(\text{session}) \\ & \text{session\_roles}' = \text{session\_roles} \setminus \{\text{session} \mapsto \text{session\_roles}(\text{session})\} \cup \\ & \quad \{\text{session} \mapsto (\text{session\_roles}(\text{session}) \cup \{\text{role}\})\} \triangleright \end{aligned}$$

### 6.2.1.3 Review Functions for General Role Hierarchies

All functions of 6.1.3 remain valid. In addition, this section defines the following review functions:

**AuthorizedUsers**

This function returns the set of users authorized to a given role, i.e., the users that are assigned to a role that inherits the given role. The function is valid if and only if the given role is a member of the *ROLES* data set. The following schema formally describes the function:

$$\begin{aligned} & \text{AuthorizedUsers}(\text{role: NAME}; \text{out result: } 2^{\text{USERS}}) \triangleleft \\ & \text{role} \in \text{ROLES} \\ & \text{result} = \text{authorized\_users}(\text{role}) \triangleright \end{aligned}$$
**AuthorizedRoles**

This function returns the set of roles authorized for a given user. The function is valid if and only if the user is a member of the *USERS* data set. The following schema formally describes the function:

$$\begin{aligned} & \text{AuthorizedRoles}(\text{user: NAME}; \text{result: } 2^{\text{ROLES}}) \triangleleft \\ & \text{user} \in \text{USERS} \\ & \text{result} = \{r, q: \text{ROLES} \mid (\text{user} \mapsto q) \in \text{UA} \wedge q \geq r\} \triangleright \end{aligned}$$
**6.2.1.4 Advanced Review Functions for General Role Hierarchies**

This section redefines the functions RolePermissions and UserPermissions of 6.1.4. All other functions of 6.1.4 remain valid.

**RolePermissions**

This function returns the set of all permissions (*op, obj*), granted to or inherited by a given role. The function is valid if and only if the role is a member of the *ROLES* data set. The following schema formally describes the function:

$$\begin{aligned} & \text{RolePermissions}(\text{role: NAME}; \text{result: } 2^{\text{PERMS}}) \triangleleft \\ & \text{role} \in \text{ROLES} \\ & \text{result} = \{q: \text{ROLES}; \text{op: OPS}; \text{obj: OBJ} \mid (\text{role} \geq q) \wedge ((\text{op}, \text{obj}) \mapsto \text{role}) \in \text{PA} \bullet (\text{op}, \text{obj})\} \triangleright \end{aligned}$$
**UserPermissions**

This function returns the set of permissions a given user gets through his/her authorized roles. The function is valid if and only if the user is a member of the *USERS* data set. The following schema formally describes this function:

$$\begin{aligned} & \text{UserPermissions}(\text{user: NAME}; \text{result: } 2^{\text{PERMS}}) \triangleleft \\ & \text{user} \in \text{USERS} \\ & \text{result} = \{r, q: \text{ROLES}; \text{op: OPS}; \text{obj: OBJ} \mid (\text{user} \mapsto q) \in \text{UA} \wedge (q \geq r) \wedge ((\text{op}, \text{obj}) \mapsto r) \in \text{PA} \bullet \\ & \quad (\text{op}, \text{obj})\} \triangleright \end{aligned}$$

### RoleOperationsOnObject

This function returns the set of operations a given role is permitted to perform on a given object. The set contains all operations granted directly to that role or inherited by that role from other roles. The function is valid only if the role is a member of the *ROLES* data set, and the object is a member of the *OBJS* data set. The following schema formally describes the function:

$$\begin{aligned} & \text{RoleOperationsOnObject}(\text{role: NAME; obj: NAME; result:2 OPS}) \triangleleft \\ & \text{role} \in \text{ROLES} \\ & \text{obj} \in \text{OBJS} \\ & \text{result} = \{q: \text{ROLES}; op: \text{OPS} \mid (\text{role} \geq q) \wedge ((op, obj) \mapsto \text{role}) \in \text{PA} \bullet op\} \triangleright \end{aligned}$$

### UserOperationsOnObject

This function returns the set of operations a given user is permitted to perform on a given object. The set consists of all the operations obtained by the user either directly, or through his/her authorized roles. The function is valid if and only if the user is a member of the *USERS* data set and the object is a member of the *OBJS* data set. The following schema formally describes this function:

$$\begin{aligned} & \text{UserOperationsOnObject}(\text{user: NAME; obj: NAME; result:2 OPS}) \triangleleft \\ & \text{user} \in \text{USERS} \\ & \text{obj} \in \text{OBJS} \\ & \text{result} = \{r, q: \text{ROLES}; op: \text{OPS} \mid (\text{user} \mapsto q) \in \text{UA} \wedge (q \geq r) \wedge ((op, obj) \mapsto r) \in \text{PA} \bullet op\} \triangleright \end{aligned}$$

## 6.2.2 Limited Role Hierarchies

### 6.2.2.1 Administrative Commands for Limited Role Hierarchies

This section redefines the function AddInheritance of 6.2.1.1. All other functions of 6.2.1.1 remain valid.

#### AddInheritance

This commands establishes a new immediate inheritance relationship  $r\_asc \succ r\_desc$  between existing roles  $r\_asc, r\_desc$ . The command is valid if and only if  $r\_asc$  and  $r\_desc$  are members of the *ROLES* data set,  $r\_asc$  has no descendants, and  $r\_desc$  does not properly inherit  $r\_asc$  (in order to avoid cycle creation). The following schema uses the notations:

$$\begin{aligned} \geq & \equiv \succeq \\ >> & \equiv \succ \end{aligned}$$

to formally describes the command:

$$\begin{aligned} & \text{AddInheritance}(r\_asc, r\_desc: \text{NAME}) \triangleleft \\ & r\_asc \in \text{ROLES}; r\_desc \in \text{ROLES}; \forall r \in \text{ROLES} \bullet \neg(r\_asc >> r); \neg(r\_desc \geq r\_asc) \\ & \geq' = \geq \cup \{r, q: \text{ROLES} \mid r \geq r\_asc \wedge r\_desc \geq q \bullet r \mapsto q\} \triangleright \end{aligned}$$

**6.2.2.2 Supporting System Functions for Limited Role Hierarchies**

All functions of 6.2.1.2 remain valid.

**6.2.2.3 Review Functions for Limited Role Hierarchies**

All functions of 6.2.1.3 remain valid.

**6.2.2.4 Advanced Review Functions for Limited Role Hierarchies**

Advanced review functions of 6.2.1.4 remain valid.

**6.3 Static Separation of Duty (SSD) Relations****6.3.1 Core RBAC**

The static separation of duty property, as defined in the model, uses a collection SSD of pairs of a role set and an associated cardinality. This section defines the new data type *SSD*, which in an implementation could be the set of names used to identify the pairs in the collection.

The functions *ssd\_set* and respectively *ssd\_card* are used to obtain the role set and the associated cardinality from each SSD pair:

$$ssd\_set: SSD \rightarrow 2^{ROLES}$$

$$ssd\_card: SSD \rightarrow \mathbb{N}$$

$$\forall ssd \in SSD \bullet ssd\_card(ssd) \geq 2 \wedge ssd\_card(ssd) \leq |ssd\_set(ssd)|$$

**6.3.1.1 Administrative commands for SSD Relations**

This section redefines the function *AssignUser* of 6.1.1 and defines a set of new, specific functions. The other functions of 6.1.1 remain valid.

**AssignUser**

The *AssignUser* command replaces the command with the same name of Core RBAC.

This command assigns a user to a role. The command is valid if and only if:

- the user is a member of the *USERS* data set, and
- the role is a member of the *ROLES* data set, and
- the user is not already assigned to the role, and
- the SSD constraints are satisfied after assignment.

The data set *UA* and the function *assigned\_users* are updated to reflect the assignment.

The following schema formally describes the command:

*AssignUser*(*user*, *role*: *NAME*)  $\triangleleft$   
 $user \in USERS; role \in ROLES; (user \mapsto role) \notin UA$   
 $\forall ssd \in SSD \bullet \bigcap_{\substack{r \in subset \\ subset \subseteq ssd\_set(ssd) \\ |subset|=ssd\_card(ssd) \\ us = \text{if } r=role \text{ then } \{user\} \text{ else } \emptyset}} (assigned\_users(r) \cup us) = \emptyset$   
 $UA' = UA \cup \{user \mapsto role\}$   
 $assigned\_users' = assigned\_users \setminus \{role \mapsto assigned\_users(role)\} \cup$   
 $\{role \mapsto (assigned\_users(role) \cup \{user\})\} \triangleright$

### CreateSsdSet

This command creates a named SSD set of roles and sets the cardinality  $n$  of its subsets that cannot have common users. The command is valid if and only if:

- the name of the SSD set is not already in use
- all the roles in the SSD set are members of the *ROLES* data set
- $n$  is a natural number greater than or equal to 2 and less than or equal to the cardinality of the SSD role set, and
- the SSD constraint for the new role set is satisfied.

The following schema formally describes this command:

*CreateSsdSet*(*set\_name*: *NAME*; *role\_set*:  $2^{NAMES}$ ;  $n$ :  $\mathbb{N}$ )  $\triangleleft$   
 $set\_name \notin SSD; (n \geq 2) \wedge (n \leq |role\_set|); role\_set \subseteq ROLES$   
 $\bigcap_{\substack{r \in subset \\ subset \subseteq role\_set \\ |subset|=n}} assigned\_users(r) = \emptyset$   
 $SSD' = SSD \cup \{set\_name\}$   
 $ssd\_set' = ssd\_set \cup \{set\_name \mapsto role\_set\}$   
 $ssd\_card' = ssd\_card \cup \{set\_name \mapsto n\} \triangleright$

### AddSsdRoleMember

This command adds a role to a named SSD set of roles. The cardinality associated with the role set remains unchanged. The command is valid if and only if:

- the SSD role set exists, and
- the role to be added is a member of the *ROLES* data set but not of a member of the SSD role set, and
- the SSD constraint is satisfied after the addition of the role to the SSD role set.

The following schema formally describes the command:

*AddSsdRoleMember*(*set\_name*: *NAME*; *role*: *NAME*)  $\triangleleft$   
 $set\_name \in SSD; role \in ROLES; role \notin ssd\_set(set\_name)$   
 $\bigcap_{\substack{r \in subset \\ subset \subseteq ssd\_set(set\_name) \cup \{role\} \\ |subset|=n}} assigned\_users(r) = \emptyset$   
 $ssd\_set' = ssd\_set \setminus \{set\_name \mapsto ssd\_set(set\_name)\} \cup$   
 $\{set\_name \mapsto (ssd\_set(set\_name) \cup \{role\})\} \triangleright$

**DeleteSsdRoleMember**

This command removes a role from a named SSD set of roles. The cardinality associated with the role set remains unchanged. The command is valid if and only if:

- the SSD role set exists, and
- the role to be removed is a member of the SSD role set, and
- the cardinality associated with the SSD role set is less than the number of elements of the SSD role set.

Note that the SSD constraint should be satisfied after the removal of the role from the SSD role set. The following schema formally describes the command:

$$\begin{aligned}
 &DeleteSsdRoleMember(set\_name: NAME; role: NAME) \triangleleft \\
 & \quad set\_name \in SSD; role \in ssd\_set(set\_name); ssd\_card(set\_name) < |ssd\_set(set\_name)| \\
 & \quad ssd\_set' = ssd\_set \setminus \{set\_name \mapsto ssd\_set(set\_name)\} \cup \\
 & \quad \quad \{set\_name \mapsto (ssd\_set(set\_name) \setminus \{role\})\} \triangleright
 \end{aligned}$$

**DeleteSsdSet**

This command deletes a SSD role set completely. The command is valid if and only if the SSD role set exists. The following schema formally describes the command:

$$\begin{aligned}
 &DeleteSsdSet(set\_name: NAME) \triangleleft \\
 & \quad set\_name \in SSD; ssd\_card' = ssd\_card \setminus \{set\_name \mapsto ssd\_card(set\_name)\} \\
 & \quad ssd\_set' = ssd\_set \setminus \{set\_name \mapsto ssd\_set(set\_name)\} \\
 & \quad SSD' = SSD \setminus \{set\_name\} \triangleright
 \end{aligned}$$

**SetSsdSetCardinality**

This command sets the cardinality associated with a given SSD role set. The command is valid if and only if:

- the SSD role set exists, and
- the new cardinality is a natural number greater than or equal to 2 and less than or equal to the number of elements of the SSD role set, and
- the SSD constraint is satisfied after setting the new cardinality.

The following schema formally describes the command:

$$\begin{aligned}
 &SetSsdSetCardinality(set\_name: NAME; n: \mathbb{N}) \triangleleft \\
 & \quad set\_name \in SSD; (n \geq 2) \wedge (n \leq |ssd\_set(set\_name)|) \\
 & \quad \bigcap_{\substack{r \in subset \\ subset \subseteq ssd\_set(set\_name) \\ |subset|=n}} assigned\_users(r) = \emptyset \\
 & \quad ssd\_card' = ssd\_card \setminus \{set\_name \mapsto ssd\_card(set\_name)\} \cup \{set\_name \mapsto n\} \triangleright
 \end{aligned}$$

**6.3.1.2 Supporting System Functions for SSD**

All functions in 6.1.2 remain valid.

**6.3.1.3 Review Functions for SSD**

All functions in 6.1.3 remain valid. In addition, this section defines the following functions:

## SsdRoleSets

This function returns the list of all SSD role sets. The following schema formally describes the function:

$$SsdRoleSets(out\ result:2^{NAME}) \triangleleft result = SSD \triangleright$$

## SsdRoleSetRoles

This function returns the set of roles of a SSD role set. The function is valid if and only if the role set exists. The following schema formally describes the function:

$$SsdRoleSetRoles(set\_name: NAME; out\ result:2^{ROLES}) \triangleleft \\ set\_name \in SSD \\ result = ssd\_set(set\_name) \triangleright$$

## SsdRoleSetCardinality

This function returns the cardinality associated with a SSD role set. The function is valid if and only if the role set exists. The following schema formally describes the function:

$$SsdRoleSetCardinality(set\_name: NAME; out\ result:N) \triangleleft \\ set\_name \in SSD \\ result = ssd\_card(set\_name) \triangleright$$

### 6.3.1.4 Advanced Review Functions for SSD

All functions in 6.1.4 remain valid.

### 6.3.2 SSD with General Role Hierarchies

#### 6.3.2.1 Administrative Commands for SSD with General Role Hierarchies

This section redefines the functions AssignUser and AddInheritance of 6.2.1.1, and the functions CreateSsdSet, AddSsdRoleMember, SetSsdSetCardinality of 6.3.1.1. The other functions of 6.2.1.1 and 6.3.1.1 remain valid.

#### AssignUser

The command AssignUser replaces the command with the same name from Core RBAC with Static Separation of Duties. This command assigns a user to a role. The command is valid if and only if:

- the user is a member of the *USERS* data set, and
- the role is a member of the *ROLES* data set, and
- the user is not already assigned to the role, and
- the SSD constraints are satisfied after assignment.

The data set UA and the function *assigned\_users* are updated to reflect the assignment. The following schema formally describes the command:

$$\begin{aligned}
& \text{AssignUser}(user, role: NAME) \triangleleft \\
& user \in USERS; role \in ROLES; (user \mapsto role) \notin UA \\
& \forall ssd \in SSD \bullet \bigcap_{\substack{r \in subset \\ subset \subseteq ssd\_set(ssd) \\ |subset|=ssd\_card(ssd) \\ au = \text{if } r=role \text{ then } \{user\} \text{ else } \emptyset}} (authorized\_users(r) \cup au) = \emptyset \\
& UA' = UA \cup \{user \mapsto role\} \\
& assigned\_users' = assigned\_users \setminus \{role \mapsto assigned\_users(role)\} \cup \\
& \quad \{role \mapsto (assigned\_users(role) \cup \{user\})\} \triangleright
\end{aligned}$$

### AddInheritance

This command establishes a new immediate inheritance relationship  $r\_asc \succ r\_desc$  between existing roles  $r\_asc, r\_desc$ . The command is valid if and only if:

- $r\_asc$  and  $r\_desc$  are members of the *ROLES* data set, and
- $r\_asc$  is not an immediate ascendant of  $r\_desc$ , and
- $r\_desc$  does not properly inherit  $r\_asc$ , and
- the SSD constraints are satisfied after establishing the new inheritance.

The following schema uses the notations:

$$\begin{aligned}
\geq & == \succeq \\
>> & == \succ
\end{aligned}$$

to formally describes the command:

$$\begin{aligned}
& \text{AddInheritance}(r\_asc, r\_desc: NAME) \triangleleft \\
& r\_asc \in ROLES; r\_desc \in ROLES; \neg(r\_asc >> r\_desc); \neg(r\_desc \geq r\_asc) \\
& \forall ssd \in SSD \bullet \bigcap_{\substack{r \in subset \\ subset \subseteq ssd\_set(ssd) \\ |subset|=ssd\_card(ssd) \\ au = \text{if } r=r\_desc \text{ then } authorized\_users(r\_asc) \text{ else } \emptyset}} (authorized\_users(r) \cup au) = \emptyset \\
& \geq' = \geq \cup \{r, q: ROLES \mid r \geq r\_asc \wedge r\_desc \geq q \bullet r \mapsto q\} \triangleright
\end{aligned}$$

### CreateSsdSet

This command creates a named SSD set of roles and sets the associated cardinality  $n$  of its subsets that cannot have common users. The command is valid if and only if:

- the name of the SSD set is not already in use
- all the roles in the SSD set are members of the *ROLES* data set
- $n$  is a natural number greater than or equal to 2 and less than or equal to the cardinality of the SSD role set, and
- the SSD constraint for the new role set is satisfied.

The following schema formally describes this command:

$$\begin{aligned}
& \text{CreateSsdSet}(\text{set\_name}: \text{NAME}; \text{role\_set}: 2^{\text{NAMES}}; n: \mathbb{N}) \triangleleft \\
& \text{set\_name} \notin \text{SSD}; (n \geq 2) \wedge (n \leq |\text{role\_set}|); \text{role\_set} \subseteq \text{ROLES} \\
& \bigcap_{\substack{r \in \text{subset} \\ \text{subset} \subseteq \text{role\_set} \\ |\text{subset}|=n}} \text{authorized\_users}(r) = \emptyset \\
& \text{SSD}' = \text{SSD} \cup \{\text{set\_name}\} \\
& \text{ssd\_set}' = \text{ssd\_set} \cup \{\text{set\_name} \mapsto \text{role\_set}\} \\
& \text{ssd\_card}' = \text{ssd\_card} \cup \{\text{set\_name} \mapsto n\} \triangleright
\end{aligned}$$

### AddSsdRoleMember

This command adds a role to a named SSD set of roles. The cardinality associated with the role set remains unchanged. The command is valid if and only if:

- the SSD role set exists, and
- the role to be added is a member of the *ROLES* data set but not of a member of the SSD role set, and
- the SSD constraint is satisfied after the addition of the role to the SSD role set.

The following schema formally describes the command:

$$\begin{aligned}
& \text{AddSsdRoleMember}(\text{set\_name}: \text{NAME}; \text{role}: \text{NAME}) \triangleleft \\
& \text{set\_name} \in \text{SSD}; \text{role} \in \text{ROLES}; \text{role} \notin \text{ssd\_set}(\text{set\_name}) \\
& \bigcap_{\substack{r \in \text{subset} \\ \text{subset} \subseteq \text{ssd\_set}(\text{set\_name}) \cup \{\text{role}\} \\ |\text{subset}|=n}} \text{authorized\_users}(r) = \emptyset \\
& \text{ssd\_set}' = \text{ssd\_set} \setminus \{\text{set\_name} \mapsto \text{ssd\_set}(\text{set\_name})\} \cup \\
& \{\text{set\_name} \mapsto (\text{ssd\_set}(\text{set\_name}) \cup \{\text{role}\})\} \triangleright
\end{aligned}$$

### SetSsdSetCardinality

This command sets the cardinality associated with a given SSD role set. The command is valid if and only if:

- the SSD role set exists, and
- the new cardinality is a natural number greater than or equal to 2 and less than or equal to the number of elements of the SSD role set, and
- the SSD constraint is satisfied after setting the new cardinality.

The following schema formally describes the command:

$$\begin{aligned}
& \text{SetSsdSetCardinality}(\text{set\_name}: \text{NAME}; n: \mathbb{N}) \triangleleft \\
& \text{set\_name} \in \text{SSD}; (n \geq 2) \wedge (n \leq |\text{ssd\_set}(\text{set\_name})|) \\
& \bigcap_{\substack{r \in \text{subset} \\ \text{subset} \subseteq \text{ssd\_set}(\text{set\_name}) \\ |\text{subset}|=n}} \text{authorized\_users}(r) = \emptyset \\
& \text{ssd\_card}' = \text{ssd\_card} \setminus \{\text{set\_name} \mapsto \text{ssd\_card}(\text{set\_name})\} \cup \{\text{set\_name} \mapsto n\} \triangleright
\end{aligned}$$

#### 6.3.2.2 Supporting System Functions for SSD with General Role Hierarchies

All functions of 6.2.1.2 remain valid.

### 6.3.2.3 Review Functions for SSD with General Role Hierarchies

All functions of 6.2.1.3 and 6.3.1.3 remain valid.

### 6.3.2.4 Advanced Review Functions for SSD with General Role Hierarchies

Advanced review functions of 6.2.1.4 above remain valid.

## 6.3.3 SSD Relations with Limited Role Hierarchies

### 6.3.3.1 Administrative Commands for SSD with Limited Role Hierarchies

This section redefines the function AddInheritance of 6.3.2.1. All other functions of 6.3.2.1 above remain valid.

#### AddInheritance

This command establishes a new immediate inheritance relationship  $r\_asc \succ r\_desc$  between existing roles  $r\_asc, r\_desc$ . The command is valid if and only if  $r\_asc$  and  $r\_desc$  are members of the *ROLES* data set,  $r\_asc$  has no descendants, and  $r\_desc$  does not properly inherit  $r\_asc$  (in order to avoid cycle creation). The following schema uses the notations:

$$\begin{aligned} \geq & \equiv \succ \\ >> & \equiv \succ \succ \end{aligned}$$

to formally describes the command:

$$\begin{aligned} & \text{AddInheritance}(r\_asc, r\_desc: \text{NAME}) \triangleleft \\ & r\_asc \in \text{ROLES}; r\_desc \in \text{ROLES}; \forall r \in \text{ROLES} \bullet \neg(r\_asc >> r); \neg(r\_desc \geq r\_asc) \\ & \forall \text{ssd} \in \text{SSD} \bullet \bigcap_{\substack{r \in \text{subset} \\ \text{subset} \subseteq \text{ssd\_set}(\text{ssd}) \\ |\text{subset}| = \text{ssd\_card}(\text{ssd})}} (\text{authorized\_users}(r) \cup \text{au}) = \emptyset \\ & \text{au} = \text{if } r=r\_desc \text{ then } \text{authorized\_users}(r\_asc) \text{ else } \emptyset \\ & \geq' = \geq \cup \{r, q: \text{ROLES} \mid r \geq r\_asc \wedge r\_desc \geq q \bullet r \mapsto q\} \triangleright \end{aligned}$$

### 6.3.3.2 Supporting System Functions for SSD with Limited Role Hierarchies

All functions of 6.3.2.1 above remain valid.

### 6.3.3.3 Review Functions for SSD with Limited Role Hierarchies

All functions of 6.2.1.3 above and 6.3.1.3 above remain valid.

### 6.3.3.4 Advanced Review Functions for SSD with Limited Role Hierarchies

All functions of 6.2.1.4 above remain valid.

## 6.4 Dynamic Separation of Duties (DSD) Relations

### 6.4.1 Core RBAC

The dynamic separation of duty property, as defined in the model, uses a collection DSD of pairs of a role set and an associated cardinality. This section defines the new data type *DSD*, which in an implementation could be the set of names used to identify the pairs in the collection.

The functions *dsd\_set* and respectively *dsd\_card* are used to obtain the role set and the associated cardinality from each DSD pair:

$$\begin{aligned}
 dsd\_set: DSD &\rightarrow 2^{ROLES} \\
 dsd\_card: DSD &\rightarrow \mathbb{N} \\
 \forall dsd \in SSD &\bullet dsd\_card(dsd) \geq 2 \wedge dsd\_card(dsd) \leq |dsd\_set(dsd)|
 \end{aligned}$$

#### 6.4.1.1 Administrative Commands for DSD Relations

All functions of 6.1.1 above remain valid. In addition, this section defines the following functions:

##### CreateDsdSet

This command creates a named DSD set of roles and sets an associated cardinality *n*. The DSD constraint stipulates that the DSD role set cannot contain *n* or more roles simultaneously active in the same session.

The command is valid if and only if:

- the name of the DSD set is not already in use
- all the roles in the DSD set are members of the *ROLES* data set
- *n* is a natural number greater than or equal to 2 and less than or equal to the cardinality of the DSD role set, and
- the DSD constraint for the new role set is satisfied.

The following schema formally describes this command:

$$\begin{aligned}
& \text{CreateDsdSet}(set\_name: NAME; role\_set: 2^{NAMES}; n: \mathbb{N}) \triangleleft \\
& \quad set\_name \notin DSD; (n \geq 2) \wedge (n \leq |role\_set|); role\_set \subseteq ROLES \\
& \quad \forall s: SESSIONS; role\_subset: 2^{role\_set} \bullet role\_subset \subseteq session\_roles(s) \Rightarrow |role\_subset| < n \\
& \quad DSD' = DSD \cup \{set\_name\} \\
& \quad dsd\_set' = dsd\_set \cup \{set\_name \mapsto role\_set\} \\
& \quad dsd\_card' = dsd\_card \cup \{set\_name \mapsto n\} \triangleright
\end{aligned}$$

### AddDsdRoleMember

This command adds a role to a named DSD set of roles. The cardinality associated with the role set remains unchanged. The command is valid if and only if:

- the DSD role set exists, and
- the role to be added is a member of the *ROLES* data set but not of a member of the DSD role set, and
- the DSD constraint is satisfied after the addition of the role to the DSD role set.

The following schema formally describes the command:

$$\begin{aligned}
& \text{AddDsdRoleMember}(set\_name: NAME; role: NAME) \triangleleft \\
& \quad set\_name \in DSD; role \in ROLES; role \notin dsd\_set(set\_name) \\
& \quad \forall s: SESSIONS; role\_subset: 2^{dsd\_set(set\_name) \cup \{role\}} \bullet \\
& \quad \quad role\_subset \subseteq session\_roles(s) \Rightarrow |role\_subset| < dsd\_card(set\_name) \\
& \quad dsd\_set' = dsd\_set \setminus \{set\_name \mapsto dsd\_set(set\_name)\} \cup \\
& \quad \quad \{set\_name \mapsto (dsd\_set(set\_name) \cup \{role\})\} \triangleright
\end{aligned}$$

### DeleteDsdRoleMember

This command removes a role from a named DSD set of roles. The cardinality associated with the role set remains unchanged. The command is valid if and only if:

- the DSD role set exists, and
- the role to be removed is a member of the DSD role set, and
- the cardinality associated with the DSD role set is less than the number of elements of the DSD role set.

Note that the DSD constraint should be satisfied after the removal of the role from the DSD role set. The following schema formally describes the command:

$$\begin{aligned}
& \text{DeleteDsdRoleMember}(set\_name: NAME; role: NAME) \triangleleft \\
& \quad set\_name \in DSD; role \in dsd\_set(set\_name); dsd\_card(set\_name) < |dsd\_set(set\_name)| \\
& \quad dsd\_set' = dsd\_set \setminus \{set\_name \mapsto dsd\_set(set\_name)\} \cup \\
& \quad \quad \{set\_name \mapsto (dsd\_set(set\_name) \setminus \{role\})\} \triangleright
\end{aligned}$$

### DeleteDsdSet

This command deletes a DSD role set completely. The command is valid if and only if the DSD role set exists. The following schema formally describes the command:

```

DeleteDsdSet(set_name: NAME)
{
  set_name ∈ DSD
  dsd_card' = dsd_card \ {set_name ↦ dsd_card(set_name)}
  dsd_set' = dsd_set \ {set_name ↦ dsd_set(set_name)}
  DSD' = DSD \ {set_name}
}

```

### SetDsdSetCardinality

This command sets the cardinality associated with a given DSD role set. The command is valid if and only if:

- the DSD role set exists, and
- the new cardinality is a natural number greater than or equal to 2 and less than or equal to the number of elements of the DSD role set, and
- the DSD constraint is satisfied after setting the new cardinality.

The following schema formally describes the command:

```

SetDsdSetCardinality(set_name: NAME; n: N) ◁
  set_name ∈ DSD; (n ≥ 2) ∧ (n ≤ |dsd_set(set_name)|)
  ∀s: SESSIONS; role_subset: 2dsd_set(set_name) •
    role_subset ⊆ session_roles(s) ⇒ |role_subset| < n
  dsd_card' = dsd_card \ {set_name ↦ dsd_card(set_name)} ∪ {set_name ↦ n} ▷

```

#### 6.4.1.2 Supporting System Functions for DSD Relations

This section redefines the functions CreateSession and AddActiveRole of 6.1.2 above. The other functions of 6.1.2 above remain valid.

#### CreateSession

This function creates a new session whose owner is the user *user* and a given active role set. The function is valid if and only if:

- the user is a member of the *USERS* data set, and
- the session's active role set is a subset of the roles assigned to the session's owner, and
- the session's active role set satisfies the DSD constraints.

The following schema formally describes the function. The *session* parameter, which identifies the new session, is actually generated by the underlying system.

$$\begin{aligned}
& \text{CreateSession}(\text{user}: \text{NAME}; \text{ars}: 2^{\text{NAME}}; \text{session}: \text{NAME}) \triangleleft \\
& \text{user} \in \text{USERS}; \text{ars} \subseteq \{r: \text{ROLES} \mid (\text{user} \mapsto r) \in \text{UA}\}; \text{session} \notin \text{SESSIONS} \\
& \forall \text{dset}: \text{DSD}; \text{rset}: 2^{\text{NAME}} \bullet \\
& \quad \text{rset} \subseteq \text{dsd\_set}(\text{dset}) \wedge \text{rset} \subseteq \text{ars} \Rightarrow |\text{rset}| < \text{dsd\_card}(\text{dset}) \\
& \text{SESSIONS}' = \text{SESSIONS} \cup \{\text{session}\} \\
& \text{user\_sessions}' = \text{user\_sessions} \setminus \{\text{user} \mapsto \text{user\_sessions}(\text{user})\} \cup \\
& \quad \{\text{user} \mapsto (\text{user\_sessions}(\text{user}) \cup \{\text{session}\})\} \\
& \text{session\_roles}' = \text{session\_roles} \cup \{\text{session} \mapsto \text{ars}\} \triangleright
\end{aligned}$$

### AddActiveRole

This function adds a role as an active role of a session whose owner is a given user. The function is valid if and only if:

- the user is a member of the *USERS* data set, and
- the role is a member of the *ROLES* data set, and
- the session identifier is a member of the *SESSIONS* data set, and
- the role is assigned to the user, and
- the old active role set completed with the role to be activated satisfies the DSD constraints, and
- the session is owned by that user.

The following schema formally describes the function:

$$\begin{aligned}
& \text{AddActiveRole}(\text{user}, \text{session}, \text{role}: \text{NAME}) \triangleleft \\
& \text{user} \in \text{USERS}; \text{session} \in \text{SESSIONS}; \text{role} \in \text{ROLES}; \text{session} \in \text{user\_sessions}(\text{user}) \\
& \text{user} \in \text{assigned\_users}(\text{role}); \text{role} \notin \text{session\_roles}(\text{session}) \\
& \forall \text{dset}: \text{DSD}; \text{rset}: 2^{\text{NAME}} \bullet \\
& \quad \text{rset} \subseteq \text{dsd\_set}(\text{dset}) \wedge \text{rset} \subseteq \text{session\_roles}(\text{session}) \cup \{\text{role}\} \Rightarrow |\text{rset}| < \text{dsd\_card}(\text{dset}) \\
& \text{session\_roles}' = \text{session\_roles} \setminus \{\text{session} \mapsto \text{session\_roles}(\text{session})\} \cup \\
& \quad \{\text{session} \mapsto (\text{session\_roles}(\text{session}) \cup \{\text{role}\})\} \triangleright
\end{aligned}$$

#### 6.4.1.3 Review Functions for DSD Relations

All functions of 6.1.3 above remain valid. In addition, this section defines new, specific functions.

### DsdRoleSets

This function returns the list of all DSD role sets. The following schema formally describes the function:

$$\text{DsdRoleSets}(\text{out result}: 2^{\text{NAME}}) \triangleleft \text{result} = \text{DSD} \triangleright$$

### DsdRoleSetRoles

This function returns the set of roles of a DSD role set. The function is valid if and only if the role set exists. The following schema formally describes the function:

*DsdRoleSetRoles*(*set\_name*: NAME; out result: 2<sup>ROLES</sup>) ◁  
*set\_name* ∈ DSD  
*result* = *dsd\_set*(*set\_name*) ▷

### **DsdRoleSetCardinality**

This function returns the cardinality associated with a DSD role set. The function is valid if and only if the role set exists. The following schema formally describes the function:

*DsdRoleSetCardinality*(*set\_name*: NAME; out result: N) ◁  
*set\_name* ∈ DSD  
*result* = *dsd\_card*(*set\_name*) ▷

#### **6.4.1.4 Advanced Review Functions for DSD Relations**

All functions of 6.1.4 above remain valid.

### **6.4.2 DSD Relations with General Role Hierarchies**

#### **6.4.2.1 Administrative commands for DSD Relations with General Role Hierarchies**

All functions of 6.2.1.1 and 6.4.1.1 remain valid.

#### **6.4.2.2 Supporting System Functions for DSD Relations with General Role Hierarchies**

This section redefines the functions *CreateSession* and *AddActiveRole* of 6.1.2 (or 6.2.1.2). All other functions of 6.1.2 remain valid.

### **CreateSession**

This function creates a new session whose owner is the user *user* and a given active role set. The function is valid if and only if:

- the user is a member of the *USERS* data set, and
- the session's active role set is a subset of the roles authorized for the session's owner, and
- the session's active role set satisfies the DSD constraints.

The underlying system generates a new session identifier, which is included in the *SESSIONS* data set.

The following schema formally describes the function:

$$\begin{aligned}
& \text{CreateSession}(\text{user}: \text{NAME}; \text{ars}: 2^{\text{NAME}}; \text{session}: \text{NAME}) \triangleleft \\
& \text{user} \in \text{USERS}; \text{ars} \subseteq \{r, q: \text{ROLES} \mid (\text{user} \mapsto q) \in \text{UA} \wedge q \geq r \bullet r\}; \text{session} \notin \text{SESSIONS} \\
& \forall \text{dset}: \text{DSD}; \text{rset}: 2^{\text{NAME}} \bullet \\
& \quad \text{rset} \subseteq \text{dsd\_set}(\text{dset}) \wedge \text{rset} \subseteq \text{ars} \Rightarrow |\text{rset}| < \text{dsd\_card}(\text{dset}) \\
& \text{SESSIONS}' = \text{SESSIONS} \cup \{\text{session}\} \\
& \text{user\_sessions}' = \text{user\_sessions} \setminus \{\text{user} \mapsto \text{user\_sessions}(\text{user})\} \cup \\
& \quad \{\text{user} \mapsto (\text{user\_sessions}(\text{user}) \cup \{\text{session}\})\} \\
& \text{session\_roles}' = \text{session\_roles} \cup \{\text{session} \mapsto \text{ars}\} \triangleright
\end{aligned}$$

### AddActiveRole

This function adds a role as an active role of a session whose owner is a given user. The function is valid if and only if:

- the user is a member of the *USERS* data set, and
- the role is a member of the *ROLES* data set, and
- the session identifier is a member of the *SESSIONS* data set, and
- the role is authorized for that user, and
- the old active role set completed with the role to be activated satisfies the DSD constraints, and
- the session is owned by that user.

The following schema formally describes the function:

$$\begin{aligned}
& \text{AddActiveRole}(\text{user}, \text{session}, \text{role}: \text{NAME}) \triangleleft \\
& \text{user} \in \text{USERS}; \text{session} \in \text{SESSIONS}; \text{role} \in \text{ROLES}; \text{session} \in \text{user\_sessions}(\text{user}) \\
& \text{user} \in \text{authorized\_users}(\text{role}); \text{role} \notin \text{session\_roles}(\text{session}) \\
& \forall \text{dset}: \text{DSD}; \text{rset}: 2^{\text{NAME}} \bullet \\
& \quad \text{rset} \subseteq \text{dsd\_set}(\text{dset}) \wedge \text{rset} \subseteq \text{session\_roles}(\text{session}) \cup \{\text{role}\} \Rightarrow |\text{rset}| < \text{dsd\_card}(\text{dset}) \\
& \text{session\_roles}' = \text{session\_roles} \setminus \{\text{session} \mapsto \text{session\_roles}(\text{session})\} \cup \\
& \quad \{\text{session} \mapsto (\text{session\_roles}(\text{session}) \cup \{\text{role}\})\} \triangleright
\end{aligned}$$

#### 6.4.2.3 Review Functions for DSD Relations with General Role Hierarchies

All functions of 6.4.1.3 and 6.2.1.3 remain valid.

#### 6.4.2.4 Advanced Review Functions for DSD Relations with General Role Hierarchies

All functions of 6.2.1.4 remain valid.

### 6.4.3 DSD Relations with Limited Role Hierarchies

#### 6.4.3.1 Administrative Commands for DSD Relations with Limited Role Hierarchies

All functions of 6.2.2 and 6.4.1.1 remain valid.

#### 6.4.3.2 Supporting System Functions for DSD Relations with Limited Role Hierarchies

All functions of 6.4.2.2 remain valid.

**6.4.3.3 Review Functions for DSD Relations with Limited Role Hierarchies**

All functions of 6.4.2.3 remain valid.

**6.4.3.4 Advanced Review Functions for DSD Relations with Limited Role Hierarchies**

All functions of 6.2.1.4 remain valid.

## A FUNCTIONAL SPECIFICATION OVERVIEW

This annex provides an overview of the specifications for each of the components defined in the previous section. In Section 3, RBAC was defined as four Model Components in terms of an abstract set of element sets, relations, and administrative queries. In this annex, the abstract model concepts are cast into functional specifications for administrative operations, session management, and administrative review. The RBAC Functional specification outlines the semantics of the various functions that are required for creation and maintenance of the RBAC Model components (element sets and relations), as well as supporting system functions.

The three categories of functions in the RBAC functional specification and their purpose are:

- *Administrative Functions*: Creation and maintenance of elements sets and relations for building the various component RBAC models;
- *Supporting System Functions*: Functions that are required by the RBAC implementation to support the RBAC model constructs (e.g., RBAC session attributes and access decision logic) during user interaction with an IT system;
- *Review Functions*: Review the results of the actions created by administrative functions.

A complete specification of these functions using the Z notation is given in Section 6. Each section in annex A provides an overview of the correspondingly numbered subsection in Section 6 (e.g., 6.1.2 summarizes 7.1.2.) Function descriptions in Section 6 are intended to provide a level of detail sufficient for evaluating RBAC implementations for conformance with the RBAC Reference Model.

### A.1 Functional specification for Core RBAC

#### A.1.1 Administrative Functions

*Creation and Maintenance of Element Sets*: The basic element sets in Core RBAC are USERS, ROLES, OPS and OBS. Of these element sets, OPS and OBS are considered predefined by the underlying information system for which RBAC is deployed. For example, a banking system may have predefined transactions (OPS) for savings deposit and others, and predefined data sets (OBS) such as savings files, address files, and other necessary data. Administrators create and delete USERS and ROLES, and establish relationships between roles and existing operations and objects. Required administrative functions for USERS are AddUser and DeleteUser, and for ROLES are AddRole and DeleteRole.

*Creation and Maintenance of Relations*: The two main relations of Core RBAC are (a) user-to-role assignment relation (UA) and (b) permission-to-role assignment relation (PA). Functions to create and delete instances of User-to-Role Assignment (UA) relations are AssignUser and DeassignUser. For Permission-to-Role Assignment (PA) the required functions are GrantPermission and RevokePermission.

### A.1.2 Supporting System Functions

Supporting System Functions are required for session management and in making access control decisions. An Active Role is necessary for regulating access control for a user in a session. The function that creates a session establishes a default set of active roles for the user at the start of the session. The composition of this default set can then be altered by the user during the session by adding or deleting roles. Functions relating to addition and dropping of active roles and other auxiliary functions are given below:

- *CreateSession*: Creates a User Session and provides the user with a default set of active roles
- *AddActiveRole*: Adds a role as an active role for the current session
- *DropActiveRole*: Deletes a role from the active role set for the current session
- *CheckAccess*: Determines if the session subject has permission to perform the requested operation on an object.

### A.1.3 Review Functions

When User-to-Role Assignment (UA) and Permission-to-Role relation (PA) instances have been created, it should be possible to view the contents of those relations from both the user and role perspectives. For example, from the UA relation, the administrator should have the facility to view all the users assigned to a given role as well to view all the roles assigned to a given user. In addition, it should be possible to view the results of the supporting system functions to determine some session attributes – like the active roles in a given session, the total permission domain for a given session. Since not all RBAC implementations provide facilities for viewing role, user and session permissions or active roles for a session, these functions have been designated as optional/advance functions in this specification. Mandatory (M) and Optional (O) review functions are:

- *AssignedUsers (M)*: Returns the set of users assigned to a given role
- *AssignedRoles (M)*: Returns the set of roles assigned to a given user
- *RolePermissions (O)*: Returns the set of permissions granted to a given role
- *UserPermissions (O)*: Returns the set of permissions a given user gets through his/her assigned roles
- *SessionRoles(O)*: Returns the set of active roles associated with a session
- *SessionPermissions (O)*: Returns the set of permissions available in the session (i.e., union of all permissions assigned to session's active roles)
- *RoleOperationsOnObject (O)*: Returns the set of operations a given role may perform on a given object
- *UserOperationsOnObject (O)*: Returns the set of operations a given user may perform on a given object (obtained either directly or through his/her assigned roles)

## A.2 Functional specification for Hierarchical RBAC

### A.2.1 Hierarchical Administrative Functions

The administrative functions required for hierarchical RBAC include all the administrative functions that were required for Core RBAC. However, the semantics for `DeassignUser` must be redefined because the presence of role hierarchies gives rise to the concept of authorized roles for a user. In other words, a user may inherit authorization for a role even if he or she is not directly assigned to the role. The hierarchy allows users to inherit permissions from roles that are junior to their assigned roles. An important issue is whether a user can only be deassigned from a role that was *directly* assigned to the user or can be deassigned from one of the (indirectly) authorized roles. The appropriate course of action is left as an implementation issue and is not prescribed in this specification.

The additional administrative functions required for the Hierarchical RBAC model pertain to creation and maintenance of the partial order relation (RH) among roles. The operations for a partial order involve either: (a) creating (or deleting) an inheritance relationship among two *existing roles* in a role set or (b) adding a newly created role at an appropriate position in the hierarchy by making it the ascendant or descendant role of another role in the *existing hierarchy*. The name and purpose of these functions are summarized below:

- *AddInheritance*: Establish a new immediate inheritance relationship between two existing roles
- *DeleteInheritance*: Delete an existing immediate inheritance relationship between two roles
- *AddAscendant*: Create a new role and add it as an immediate ascendant of an existing role
- *AddDescendant*: Create a new role and add it as an immediate descendant of an existing role

The model provides for both general and limited hierarchies. A general hierarchy allows multiple inheritance, while a limited hierarchy is essentially a tree (or inverted tree) structure. For a limited hierarchy, the `AddInheritance` function is constrained to a single ascendant (or descendent) role.

The outcome of `DeleteInheritance` function may result in multiple scenarios. When `DeleteInheritance` is invoked with two given roles, say Role A and Role B, the implementation system is required to do one of two things: (1) The system may preserve the implicit inheritance relationships that roles A and B have with other roles in the hierarchy. That is, if role A inherits other roles, say C and D, through role B, role A will maintain permissions for C and D after the relationship with role B is deleted; (2) A second option is to break those relationships because an inheritance relationship no longer exists between Role A and Role B. The question of which semantics the `DeleteInheritance` should carry is left as an implementation issue and is not prescribed in this specification.

### A.2.2 Supporting System Functions

The Supporting System Functions for Hierarchical RBAC are the same as for Core RBAC and provide the same functionality. However, because of the presence of a role hierarchy, the functions *CreateSession* and *AddActiveRole* have to be redefined. In a role hierarchy, a given role may inherit one or more of other roles. When that given role is activated by a user, the question of whether the inherited roles are automatically activated or must be explicitly activated is left as an implementation issue and no one course of action is prescribed as part of this specification. However, when the latter scenario is implemented (i.e. explicit activation) the corresponding supporting functionality shall be provided in the supporting system functions. For example, in the case of *CreateSession* function, the active role set created as a result of the new session shall include not only roles directly assigned to a user but also some or all of the roles inherited by those “directly assigned roles” (that were previously included in the default Active Role Set) as well. Similarly, in the *AddActiveRole* function, a user can activate a directly assigned role or one or more of the roles inherited by the “directly assigned role”.

### A.2.3 Review Functions

All the review functions specified for Core RBAC remain valid for Hierarchical RBAC as well. In addition, since the user membership set for a given role includes not only users directly assigned to that *given role* but also those users assigned to *roles that inherit the given role*. Analogously the role membership set for a given user includes not only roles *directly assigned to the given user* but also those *roles inherited by the directly assigned roles*. To capture this expanded “User Memberships for Roles” and “Role Memberships for a User” the following functions are defined:

- *AuthorizedUsers*: Returns the set of users directly assigned to a given role as well as those who were members of those “roles that inherited the given role”.
- *AuthorizedRoles*: Returns the set of roles directly assigned to a given user as well as those “roles that were inherited by the directly assigned roles”.

Because of the presence of partial order among the roles, the permission set for a given role includes not only the permissions directly assigned to a given role but also permissions obtained from the roles that the given role inherited. Consequently, the permission set for user who is assigned that given role becomes expanded as well. These “Permissions Review” functions are listed below. As already alluded to, since not all RBAC implementations provide this facility, these are treated as advanced/optional functions:

- *RolePermissions*: Returns the set of all permissions either directly granted to or inherited by a given role
- *UserPermissions*: Returns the set of permissions of a given user through his/her authorized roles (sum of directly assigned roles and roles inherited by those roles)
- *RoleOperationsOnObject*: Returns the set of operations a given role may perform on a given object (obtained either directly or by inheritance)

- *UserOperationsOnObject*: Returns the set of operations a given user may perform on a given object (obtained directly or through his/her assigned roles or through roles inherited by those roles)

### A.3 Functional specification for SSD Relation

#### A.3.1 Administrative Functions

The administrative functions for an SSD RBAC model without hierarchies shall include all the administrative functions for Core RBAC. However, since the SSD property relates to membership of users in conflicting roles, the AssignUser function shall incorporate functionality to verify and ensure that a given user assignment does not violate the constraints associated with any instance of an SSD relation.

As already described under the SSD RBAC reference model, an SSD relation consists of a triplet – (SSD\_Set\_Name, role\_set, SSD\_Card). The SSD\_Set\_Name indicates the transaction or business process in which common user membership must be restricted in order to enforce a conflict of interest policy. The role\_set is a set containing the constituent roles for the named SSD relation (and referred to as Named SSD role set). The SSD\_Card designates the cardinality of the subset within the role\_set to which common user memberships must be restricted. Hence, administrative functions relating to creation and maintenance of an SSD relation are operations that Create and Delete an instance of an SSD relation, add and delete role members to the role-set parameter of the SSD relation, as well as to change/set the SSD\_Card parameter for the SSD relation. These functions are summarized below:

- *CreateSSDSet*: Create a named instance of an SSD relation
- *DeleteSSDSet*: Deletes an existing SSD relation
- *AddSSDRoleMember*: Adds a role to a named SSD role set
- *DeleteSSDRoleMember*: Deletes a role from a named SSD role set
- *SetSSDCardinality*: Sets the cardinality of the subset of roles from named SSD role set for which common user membership restriction applies

For the case of SSD RBAC models with role hierarchies (both General Role Hierarchies and Limited Role Hierarchies), the above functions produce the same end-result with one exception: constraints governing the combination of role hierarchies and SSD relations shall be enforced when these functions are invoked. For example, roles within a hierarchical chain cannot be made members of a role set in an SSD relation.

#### A.3.2 Supporting System Functions

The Supporting System Functions for an SSD RBAC Model are the same as those for the Core RBAC Model.

### A.3.3 Review Functions

All the review functions for Core RBAC model are needed for implementation of SSD RBAC model. In addition, functions to view the results of administrative functions listed in 4.3.1 shall also be provided. These include: (a) a function to reveal the set of named SSD relations created, (b) a function that returns the set of roles associated with a named SSD role set, and (c) a function that gives the cardinality of the subset within the named SSD role set for which common user membership restriction applies.

- *SSDRoleSets*: Returns the set of named SSD relations created for the SSD RBAC model
- *SSDRoleSetRoles*: Returns the set of roles associated with a named SSD role set
- *SSDRoleSetCardinality*: Returns the cardinality of the subset within the named SSD role set for which common user membership restriction applies

## A.4 Functional specification for DSD Relation

### A.4.1 Administrative Functions

The semantics of creating an instance of DSD relation are identical to that of an SSD relation. While constraints associated with an SSD relation are enforced during user assignments (as well as while creating role hierarchies), the constraints associated with DSD are enforced only at the time of role activation within a user session. The list of administrative functions that shall be provided for DSD RBAC model and their purpose are listed below:

- *CreateDSDSet*: Create a named instance of DSD relation
- *DeleteDSDSet*: Deletes an existing DSD relation
- *AddDSDRoleMember*: Adds a role to a named DSD role set
- *DeleteDSDRoleMember*: Deletes a role from a named DSD role set
- *SetDSDCardinality*: Sets the cardinality of the subset of roles from named DSD role set for which user activation restriction within the same session applies

### A.4.2 Supporting System Functions

Recall from 4.1.2 that the supporting system functions for Core RBAC are: (a) CreateSession, (b) AddActiveRole, and (c) DeleteActiveRole. These system functions shall be available for a *DSD RBAC model implementation without role hierarchies* as well. However, the additional functionality required of these functions in the DSD RBAC model context is that they should enforce the DSD constraints. For example, during the invocation of the CreateSession function, the default active role set that is made available to the user should not violate any of the DSD constraints. Similarly, the AddActiveRole function shall check and prevent the addition of any active role to the session's active role set that violates any of the DSD constraints.

The semantics of the Supporting System Functions for a DSD RBAC Model with role hierarchies (both General Role Hierarchy and Limited Role Hierarchy) are the same as those for corresponding functions for hierarchical RBAC in 4.2.2.

- *CreateSession*: Creates a User Session and provides the user with a default set of active roles
- *AddActiveRole*: Adds a role as an active role for the current session
- *DropActiveRole*: Deletes a role from the active role set for the current session

#### A.4.3 Review Functions

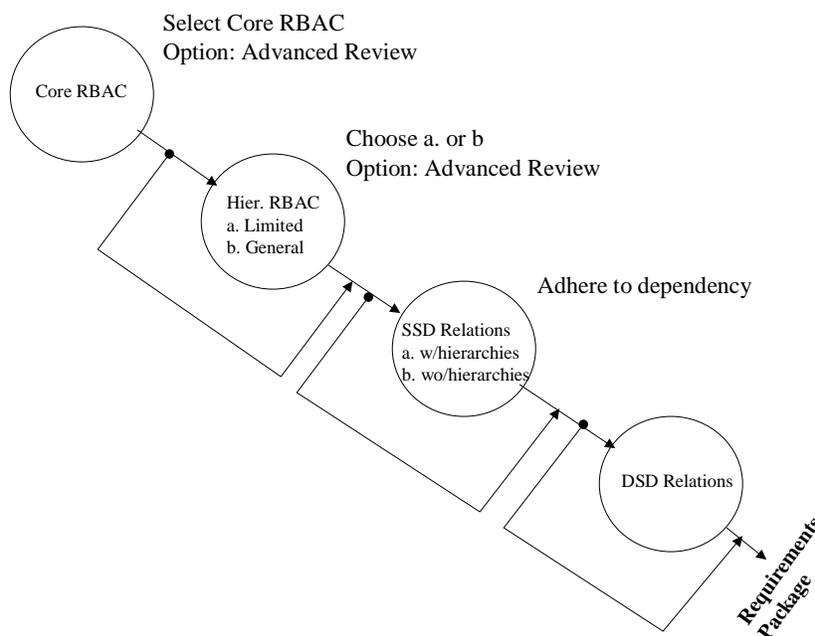
All the review functions for Core RBAC model are needed for implementation of DSD RBAC model. In addition, functions to view the results of administrative functions listed in 4.4.1 shall also be provided. These include: (a) a function to reveal the set of named DSD relations created, (b) a function that returns the set of roles associated with a named DSD role set and (c) a function that gives the cardinality of the subset within the named DSD role set for which common user membership restriction applies.

- *DSDRoleSets*: Returns the set of named SSD relations created for the DSD RBAC model
- *DSDRoleSetRoles*: Returns the set of roles associated with a named DSD role set
- *DSDRoleSetCardinality*: Returns the cardinality of the subset within the named DSD role set for which user activation restriction within the same session applies

#### A.5 Functional Specification Packages

As eluded in section 1, RBAC is a technology that provides a diverse set of access control management features. In a categorization of these features, Section 4 defined a family of four functional components to include Core RBAC, Hierarchical RBAC, Static Separation of Duty Relations, and Dynamic Separation of Duty Relations. Each functional component includes three sections—administrative operations for the creation and maintenance of RBAC sets and relations, administrative review functions, and system level functions for the binding of roles to a user's session and making access control decisions.

This section describes a logical approach for defining packages of functional components, where each package may pertain to a different threat environment and/or market segment. The basic concept is that each component can optionally be selected for inclusion into a package with one exception—Core RBAC must be included as a part of all packages. In selecting components, the reader is referred to section 2 for a rationale of each component. Also, see Figure A.1 for an overview of the methodology for composing functional packages.



**Figure A.1:** Methodology for creating functional packages

In defining functional packages, Core RBAC is unique in that it is fundamental and must be included in all packages. As such, any package must begin with the selection of Core RBAC. Core RBAC includes an advanced review feature that may be optionally selected. For some environments, the selection of the single Core RBAC component may be sufficient.

Hierarchical RBAC includes two subcomponents—General Role Hierarchies and Limited Role Hierarchies. If Hierarchical RBAC is selected to be included in a package then a choice must be made as to which of these subcomponents is to be included. Like Core RBAC, Hierarchical RBAC includes an advanced review feature that may be optionally selected.

The Static Separation of Duty Relations component also includes two subcomponents—Static Separation of Duty Relations and Static Separation of Duty Relations in the Presence of a Hierarchy. If this component is selected for inclusion in a package then a dependency relation must be recognized. That is, if the package includes a Hierarchical RBAC component then Static Separation of Duty Relations in the Presence of a Hierarchy must be included in the package; otherwise the Static Separation of Duty Relations subcomponent must be selected.

The final component is Dynamic Separation of Duty Relations. This component does not include any options or dependency relations other than with Core RBAC.

## **B RATIONALE (INFORMATIVE)**

This RBAC standard is organized into two main parts—the RBAC Reference Model and the RBAC Functional Specifications. The RBAC Reference Model provides a rigorous definition of RBAC sets and relations. The Reference Model has two primary objectives—to define a common vocabulary of terms for use in consistently specifying requirements and to set the scope of the RBAC features included in the standard. The RBAC Functional Specification defines functions over administrative operations for the creation and maintenance of RBAC element sets and relations; administrative review functions for performing administrative queries; and system functions for creating and managing RBAC attributes on user sessions and making access control decisions

The RBAC model and functional specification are organized into four RBAC components, as described below. A rationale for each of these components is also provided

### **B.1 Core RBAC**

Core RBAC embodies the essential aspects of RBAC. The basic concept of RBAC is that users are assigned to roles, permissions are assigned to roles and users acquire permissions by being members of roles. Core RBAC includes functions that user-role and permission-role assignment can be many-to-many. Thus, the same user can be assigned to many roles and a single role can have many users. Similarly, for permissions, a single permission can be assigned to many roles and a single role can be assigned to many permissions. Core RBAC includes functions for user-role review whereby the roles assigned to a specific user can be determined as well as users assigned to a specific role. A similar function for permission-role review is included as an advanced review function. Finally, core RBAC requires that users can simultaneously exercise permissions of multiple roles. This precludes products that restrict users to activation of one role at a time.

**Rationale.** Core RBAC captures the features of traditional group-based access control as implemented in operating systems through the current generation. As such, it is widely deployed and familiar technology. The features required of core RBAC are essential for any form of RBAC. The main issue in defining core RBAC is to determine which features to exclude. This standard has deliberately kept a very minimal set of features in core RBAC. In particular, these features accommodate traditional but robust group-based access control. Not every group-based mechanism qualifies because of the specifications given above. One of the features omitted as mandatory for core RBAC is permission role review. Although highly desirable, many well-accepted RBAC systems do not provide this feature.

## B.2 Hierarchical RBAC

Hierarchical RBAC adds functions for supporting role hierarchies. A hierarchy is mathematically a partial order defining a seniority relation between roles, whereby senior roles acquire the permissions of their juniors, and junior roles acquire the user membership of their seniors. This standard recognizes two types of role hierarchies.

- **General Hierarchical RBAC**

In this case, there is support for an arbitrary partial order to serve as the role hierarchy, to include the concept of multiple inheritance of permissions and user membership among roles.

- **Limited Hierarchical RBAC**

Some systems may impose restrictions on the role hierarchy. Most commonly, hierarchies are limited to simple structures such as trees or inverted trees.

**Rationale.** Roles can have overlapping capabilities, that is, users belonging to different roles may be assigned common permissions. Furthermore, within many organizations there are a number of general permissions that are performed by a large number of users. As such, it would prove inefficient and administratively cumbersome to specify repeatedly their general permission-role assignments. To improve efficiency and support organizational structure, RBAC models as well as commercial implementations include the concept of role hierarchies. Role hierarchies in the form of an arbitrary partial ordering are arguably the single most desirable feature in addition to core RBAC. This feature has often been mentioned in the literature and has precedence in existing RBAC implementations. Justification for requiring the transitive, reflexive and antisymmetric properties of a partial order has been extensively discussed in the literature. There is a strong consensus on this issue. Nevertheless, there are a number of products that support only restricted hierarchies, which provide substantially improved capabilities beyond core RBAC.

## B.3 Static Separation of Duty Relations

Separation of duty relations are used to enforce conflict of interest policies. Conflict of interest in a role-based system may arise as a result of a user gaining authorization for permissions associated with conflicting roles. One means of preventing this form of conflict of interest is through *static separation of duty*, that is, to enforce constraints on the assignment of users to roles. An example of such a static constraint is the requirement that two roles be mutually exclusive; e.g., if one role requests expenditures and another approves them, the organization may prohibit the same user from being assigned to both roles. The SSD policy can be centrally specified and then uniformly imposed on specific roles. Because of the potential for inconsistencies with respect to static separation of duty relations and inheritance relations of a role hierarchy, SSD specifications are defined in both the presence and absence of role hierarchies.

- **Static Separation of Duty**

SSD relations place constraints on the assignments of users to roles. Membership in one role may prevent the user from being a member of one or more other roles, depending on the SSD rules enforced.

- **Static Separation of Duty in the Presence of a Hierarchy**

This type of SSD relation works in the same way as basic SSD except that both inherited roles as well as directly assigned roles are considered when enforcing the constraints.

With respect to the constraints placed on the user-role assignments for defined sets of roles, SSD is defined as a pair  $(role\ set, n)$  where no user is assigned to  $n$  or more roles from the role set. As such, there exist a variety of SSD policies. For example, a user may not be assignable to *every* role in a specified role set, while a strong deployment of the same feature may restrict a user from being assigned to any combination of *two or more* roles in the role set.

**Rationale.** From a policy perspective, SSD relations provide a powerful means of enforcing conflict of interest and other separation rules over sets of RBAC elements. Static constraints generally place restrictions on administrative operations that have the potential to undermine higher-level organizational Separation of Duty policies.

Static constraints can take on a wide variety of forms. A common example is that of Static Separation of Duty (SSD), which defines mutually disjoint user assignments with respect to sets of roles. However, static constraints have been shown to be a powerful means of implementing a number of other important separation of duty policies. The static constraints defined in this standard are limited to those relations that place restrictions on sets of roles and in particular on their ability to form user-role assignment relations.

#### **B.4 Dynamic Separation of Duty Relations**

Dynamic separation of duty (DSD) relations, like SSD relations, limit the permissions that are available to a user. However, DSD relations differ from SSD relations by the context in which these limitations are imposed. DSD specifications limit the availability of the permissions by placing constraints on the roles that can be activated within or across a user's sessions.

Similar to SSD relations DSD relations define constraints as a pair  $(role\ set, n)$  where  $n$  is a natural number  $\geq 2$ , with the property that no user session may activate  $n$  or more roles from the role set.

**Rationale.** DSD properties provide extended support for the principle of least privilege in that each user has different levels of permission at different times, depending on the task being performed. This ensures that permissions do not persist beyond the time that they

are required for performance of duty. This aspect of least privilege is often referred to as *timely revocation of trust*. Dynamic revocation of permissions can be a complex issue without the facilities of dynamic separation of duty, and as such, it has been generally ignored in the past for reasons of expediency.

SSD provides the capability to address potential conflict-of-interest issues at the time a user is assigned to a role. DSD allows a user to be authorized for roles that do not cause a conflict of interest when acted in independently, but which produce policy concerns when activated simultaneously. Although this separation of duty could be achieved through the establishment of a static separation of duty relationship, DSD relationships generally provide the enterprise with greater operational flexibility.