TLS-Federation – a Secure and Relying-Party-Friendly Approach for Federated Identity Management
(Extended Abstract¹)

Bud P. Bruegger¹ · Detlef Hühnlein² · Jörg Schwenk³
¹ Comune di Grosseto, Italy
bud@comune.grosseto.it
² secunet Security Networks AG, Germany
detlef.huehnlein@secunet.com
³ Ruhr Universität Bochum, Germany
joerg.schwenk@nds.rub.de

Abstract: Federated Single-Sign-On using web browsers as User Agents becomes increasingly important. However, current proposals require substantial changes in the implementation of the Relying-Party, and concentrate on functionality rather than security against real-world attacks like Cross Site Scripting (XSS) and Pharming. We therefore propose a different approach based on Transport Layer Security (TLS), which is implemented in any web browser and web server, and which is immune against all currently known attacks.

1 Introduction

Web-based services undoubtedly become more and more important. For example, it is believed (cf. [Herr07]) that by 2012, 80% of all private, and 50% of all professional users will cover half of all necessary applications and resources using web-platforms.

This rises a need for identification and authentication schemes which integrate existing user credentials, work across domains, and provide Single Sign-On functionality. As there are different approaches for Federated Identity Management – in particular the protocols and profiles specified within by the Liberty Alliance project (cf. [LA-ID-FF-P&S] and [LA-ID-FF-B&P]), and by the WS-* specifications (cf. [WS-Federation], [WS-Mex(v1.1)], [WS-SeePol(v1.1)] and [WS-Trust(v1.3)]), which are supported by identity agents such as Microsoft Card Space [MS-CardSpace] or Higgins [Higgins] and that are promoted by the Information Card Foundation [ICF] – it is natural to analyse the strength and weaknesses of the different approaches in order to determine which is most suitable in which scenario.

¹ The full paper is available at http://www.ecsec.de/pub/TLS-Federation.pdf.
For this purpose, we will introduce an abstract model for Federated Identity Management (cf. Section 2.1) which is a generalization of the existing proposals (cf. Section 2.2). This model facilitates the analysis of the similarities, differences, advantages, and disadvantages of the existing approaches (cf. Section 2.3). Since this analysis will reveal that some proposals are vulnerable to well-known web-attacks, such as Cross-Site-Scripting (XSS) and Pharming (DNS\(^2\) spoofing), and since all existing approaches require substantial changes at “typical relying parties”, we will introduce a novel approach called “TLS-Federation”, which solves both kinds of problems: Firstly, the relying party only needs to support the ubiquitously deployed Transport Layer Security (TLS) protocol [RFC2246] which means that relying parties only need standard web servers without any extension. Secondly, the protocol that exchanges session credentials between user and Service Provider excludes wide classes of known web-attacks.

As explained in Section 3, the key idea of TLS-Federation is that the Identity Authority issues [X.509]-certificates instead of SAML-assertions or other security tokens, and that these short-lived session credentials are presented to the Service Provider within the extensively proven TLS-handshake protocol [RFC2246]. While TLS has been a well-established work horse of strong authentication for years, this paper newly proposes the use of TLS in a federated setting. Although the necessary technology is already ubiquitously available, the innovation of this paper is in the uncommon use of existing PKI-components and the proposal to use TLS and X.509-certificates instead of other federation solutions based on SAML or WS-*.

The rest of the paper is structured as follows: Section 2 contains the necessary background on Federated Identity Management, including the introduction of an abstract model and (in the full paper) the discussion of existing approaches. In Section 3, we will introduce the concept of TLS-Federation and reason how it avoids some vulnerabilities and allows that Relying-Parties use standard web servers even in a scenario of Federated Identity Management. Section 4 finally draws some conclusions and provides an outlook on possible further steps.

2 Background on Federated Identity Management

2.1 An Abstract Model for Federated Identity Management

In this section, we will introduce an abstract model for Federated Identity Management which will serve as a reference when summarizing the existing approaches in Section 2.2 (the full paper) and introducing TLS-Federation in Section 3.

\(^2\) Please refer to [Heis08] for a recently discovered DNS vulnerability with potentially high impact.
Within this model, there are the following actors that are connected via some standardized communication interface:

- **User (U) with User Agent (UA)**
  
The User uses a User Agent in order to communicate with both, the Identity Authority and the Service Provider, in order to access a service offered by the Service Provider. It is assumed that the User has a Source Credential\footnote{According to the broad definition in \textit{[ModTerm]} “a credential is a piece of information attesting to the integrity of certain stated facts”. In our specific case the “facts” may in particular be (identity) attributes of the User and Credential may be a pair of user-ID and password, a certificate according to \textit{[X.509]} or \textit{[ISO7816-8]}, a SAML-token according to \textit{[SAML-v1.1]} or \textit{[SAML-v2.0]} or any other signed security token according to \textit{[WS-Security-1.1]}, such as a Kerberos-ticket according to \textit{[RFC1510]} for example.} that is recognized by the Identity Authority and optionally also by the Service Provider.

- **Service Provider (SP)**
  
The Service Provider offers some service to the User. Before access to this service is granted, the User needs to be authenticated. In the case that the Service Provider recognizes the Source Credential, the authentication can be performed directly by the Service Provider. Otherwise, the authentication needs to be delegated to the Identity Authority that is trusted by the Service Provider.

- **Identity Authority (IA)**
  
The Identity Authority validates the Source Credential and issues a Session Credential to the User. The Session Credential is then validated by the Service Provider as a prerequisite of grating access.
Based on these definitions, a *Federated Identity Management System* can be viewed as a sequence of entities that transform a Source Credential of a User into a Session Credential that is consumable by a Service Provider who makes a decision on whether to grant access to a sensitive service.

Before the User is able to use the service offered by the Service Provider, the following steps are typically performed:

1. **UA → SP**: The User Agent contacts the Service Provider and requests some service.
2. **SP → UA**: The Service Provider answers the request, usually including information about supported protocols and Identity Authorities.
3. **UA → IA**: The User Agent connects to the Identity Authority in order to authenticate with the Source Credential and request a Session Credential that can be presented to the Service Provider.
4. **IA**: The Identity Authority authenticates the User based on the Source Credential or alternatively uses an existing session in which authentication has already been performed previously.
5. **IA → UA**: If the authentication was successful, the Identity Authority returns a Session Credential to the User Agent.
6. **UA → SP**: The User Agent sends the Session Credential received from the Identity Authority to the Service Provider.
7. **SP**: The Service Provider validates the Session Credential and verifies the access rights of the now authenticated User.
8. **SP → UA**: The Service Provider serves the requested resource to the User Agent.

Furthermore, there may be additional steps for Identity Selection (IS), in which the User, the User Agent, and/or the Service Provider interact in order to select an appropriate electronic identity and hence Identity Authority to be contacted in step 3.

### 2.2 Review and discussion of existing approaches (in the full paper)

Please refer to the full paper for a review of the most important existing approaches of identity federation and Single Sign-On. This will include the profiles defined in the Liberty-Alliance project (cf. [LA-ID-FF-P&S] and [LA-ID-FF-B&P]) and the use of the WS-* specifications (cf. [WS-Federation], [WS-Mex(v1.1)], [WS-SecPol(v1.1)] and [WS-Trust(v1.3)]) in identity agents such as Microsoft Card Space [MS-CardSpace] or Higgins [Higgins].
The discussion of the different approaches in the full paper reveals that the Liberty-variants, which only require a standard browser lack user-centricity and are susceptible to wide classes of web-attacks such as Cross Site Scripting (XSS) (cf. [GHP07]) and Pharming (cf. [SRJ06]), similar attacks are possible against Liberty-enabled clients and WS-*-based systems (cf. [GSX08]) and all existing approaches require substantial changes at typical Relying Parties. Therefore we propose to use TLS-Federation, which is introduced in the following section.

3 TLS-Federation

In this section we will provide an overview of TLS-Federation and briefly discuss advantages and disadvantages of this approach. The full paper will provide more detailed information on implementation aspects.

3.1 Overview

TLS-Federation is the application of the existing and ubiquitously implemented Transport Layer Security (TLS) protocol [RFC2246] with client-certificate authentication to a federated setting. Similarly to how Identity Authorities sign SAML-Assertions or WS-* Claims in the previously discussed approaches, the Identity Authorities in TLS-Federation use standard X.509 certificates to express their statements about user identities.

In the same way as the Liberty Alliance protocols and WS-* specifications are defined independently of the type of Source Credential to use, an Identity Authority in TLS-Federation is unlimited in its choice of authentication methods. Possibilities include the use of X.509 credentials (soft certificates or secure tokens) themselves, as well as username/password, one time passwords on paper or created by hardware tokens, non-X.509 tokens such as those used by Austrian Citizen Cards, etc. Really, like in Liberty Alliance and WS-*, any current or future authentication technology can be equally supported.

It is even possible that a TLS-Federation Identity Authority uses other federation solutions such as Liberty Alliance or WS-* to authenticate users. This means that a TLS-Federation Identity Authority can act as “translation point” that renders credentials from different federation solutions accessible to service providers who support solely the ubiquitous TLS client-cert authentication as has been included out of the box with every standard web server for years and is based on an exceptionally stable, secure (cf. [MSW08]), tested, and widely deployed IETF standard.

TLS-Federation can also be seen as a very light-weight and simple meta-layer that integrates all possible national choices that span all possible token types both through direct access or use of existing federation solutions (Liberty, WS-*).
Also trust management in a TLS-Federation is comparable to that of Liberty Alliance and WS-*; in a “circle of trust”, a Service Provider needs to know which Identity Authorities it can trust and needs to validate the certificate received as Session Credential. One possible difference is that a certificate, unlike a SAML-Assertion or a WS-* Claim can be revoked. This is motivated by the relatively long validity period of common X.509 certificates compared to the session-only life time of SAML assertions and WS-* Claims. In TLS-Federation, is is possible to either use very short-lived certificates without checking revocation status or the usual long-lived hardware-based credentials that require verification of revocation status.

TLS client-certificate authentication is usually not associated with the concept of Single Sign-On, as every time a User navigates from one Service Provider to another, its identity has to be newly established by a TLS-handshake and proven through the signature of a different challenge. We nevertheless consider TLS as being a Single Sign-On solution as it provides the same user experience: Repeated execution of a TLS-handshake for maximum security is indeed transparent for Users since they need to log in to the “Identity-providing entity” only once at the beginning of a Single Sign-On session.

For a better understanding of how TLS can be applied to a federated setting, the various steps of the abstract model of federation provided in section 2.1 are described in the following:

1. **UA → SP:** The User Agent sends an HTTP GET request to the Service Provider to access a page protected by TLS. Users recognize such protected areas as HTTPS URLs. If a clear-text HTTP GET request is used, TLS can be enabled by sending a HTTP REDIRECT status code pointing to a HTTPS URL. The Service Provider has enabled the TLS option to request a client-certificate for authentication of the User.

2. **SP → UA:** Using the standard TLS protocol as implemented in the major browsers, the Service Provider informs the browser on which Identity Authorities it considers trustworthy. This happens in the transport layer, even before the Service Provider receives the user’s HTTP request. Service Providers typically configure this simply by populating their trust store with certificates of trusted IAs.

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4 This statement not only applies to Identity Authorities but also for authentication with secure tokens like smartcard-based eIDs where a single login with PIN may be valid for an unlimited number of signatures of challenges and is interrupted only when the token is removed from the card terminal.
3. **UA → IA:** All major browsers ask users in a dialogue which of the available certificates shall be presented to the Service Provider. The user decision determines which Identity Authority is to be used. Note that different implementation options of TLS-Federation differ in their timing of when the Identity Authority is contacted (see Section 3.2 for details on a possible implementation). In particular, as a first option, it can be contacted before contacting the Service Provider such that the browser already has a key pair and certificate ready for use; or as a second option, the browser can interact with the Identity Authority using some middleware that creates key pairs and requests certificates on the fly. The difference is solely in timing and not in essence.

4. **IA:** The Identity Authority authenticates the User in this step if this has not already happened before. Note that for this purpose a standard X.509 certificate according to [RFC3280] or any other token type could be used.

5. **IA → UA:** On successful authentication, the Identity Authority returns the Session Credential, an X.509 certificate, to the User Agent. The certificate may contain extensions (e.g. those defined in [RFC3281]) which transport identity and/or role/authorization information to the Relying-Party. In this case the functionality requested from the Identity Authority is just that of an ordinary Certification Authority that replies to a certification request. Alternatively, if Relying-Parties would prefer to receive the identity information in form of XML-based SAML-Assertions, the Identity Authority could simply include the SAML-Assertion into a certificate-extension in order to realize a secure SAML-binding in the spirit of [GLS08].

6. **UA → SP:** Through the standard mechanisms of the TLS-handshake, the User Agent sends the received certificate to the Service Provider.

7. **SP:** The Service Provider validates the presented Credential. For this purpose, the Service Provider sends a challenge to the UA to request a proof that the certificate has been presented by its legitimate owner. This is comparable to the “proof key” in WS-* and is a mandatory and integral part of the TLS handshake. The Service Provider further validates the IA's signature, the validity period, the revocation status of the IA-certificate and optionally (see discussion above) the revocation status of the session credential. The necessary functionality is available in all major web servers.

8. **SP → UA:** The Service Provider, now that the authentication is completed, determines whether the user has access to the requested resource/service (authorization) and either provides the requested resource or presents a page informing about the rejection.

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5 Browsers have their standard APIs for such middleware. Currently PKCS#11 is supported by the Mozilla family of browsers, the Microsoft CSP-interface is supported by the Internet Explorer and emerging standards such as ISO/IEC 24727-3 and CEN 15480-3 may provide a common interface in the long term. Such middleware is commonly used to interact with locally connected hardware tokens but it is conceptually equivalent if the communications used to receive the Session Credential reaches a remote Identity Authority instead of a local token and if a local PIN entry is replaced by the authentication to a remote Identity Authority.
3.2 Discussion of advantages and disadvantages

As illustrated using the abstract model of federation in Section 2.1, the various federation solutions are basically equivalent from a conceptual point of view; all solutions use a set of statements that are signed by a trusted Identity Authority and compose the Session Credential. The most significant conceptual difference is whether the credential incorporates a “proof key”; i.e., a public key that is then used in a challenge-response-protocol to determine whether the presenter of the credential is its legitimate owner. TLS/X.509 always uses such “proof keys”, in WS-* the use of them is optional (depending on the type of Security Token) and in SAML/Liberty “proof keys” do not seem to be supported at all. The remaining differences are limited to the choice of data formats and protocols to exchange credentials. The TLS standard [RFC2246] defines these protocols at a transport layer level in a way specific to the needs of highly-secure authentication. The protocols are highly stable, ubiquitously implemented and tested. Also, in TLS, there is a single protocol without major options or profiles to choose from and to support. These characteristics are crucial for high-levels of security and ease of large-scale deployment.

In Liberty Alliance/SAML, the protocols used to interact between the various parties of the federation scenario are based on HTTP (redirect of the Browser Artifact Profile), HTTP/HTML (in the Browser Post Profile), or a custom protocol (Liberty-Enabled Client), respectively. The former two are difficult to deploy in certain settings, for example that of eID interoperability in Europe. There problem here is the lack of a User-centric approach in which Users may select the identity and thus Identity Authority to use. Instead, these Liberty Alliance profiles make the assumption that Servers already know the Identity Authority chosen by a user (since otherwise they couldn't issue the redirect or form POST). Distributing up to date lists of Identity Authorities in Europe to all relevant Service Providers of both private and public sector at a European scale is surely a deployment issue; but beyond that, a hard-coded association of Identity Authority to User surely prohibits the application of privacy-friendly and User-centric solutions where Users need to make choices on the identity and personal data to present to a specific service.

These shortcomings apply only to the first two Liberty Profiles and it seems that the third profile was conceived precisely with the objective to overcome them. While it surely succeeds in resolving both the security and User-centricity issues, we see a major problem in the fact that all current browsers lack support for that profile.

We believe that the objective of ubiquitous browser support is rather difficult to achieve considering that one of the major browser vendor supports a competing federation solution and is not likely to help the marketing/deployment of Liberty-Enabled Client solution. Ubiquitous support of the Liberty Protocols is further hindered by the fact that there is still a rapid evolution of standards of Liberty and SAML and that the lowest common denominator among all players may well be behind the latest version.
Another issue of the Liberty Alliance solution is that the choice of three profiles makes it less likely that all Service Providers and Identity Authorities actually support the only profile option that provides the required security and User-centric properties.

The approach of a User-controlled identity agent like Microsoft CardSpace or Higgins together with WS-* seems to be a more promising approach in the long term, because it has a User-centric design and allows to use “proof keys” to reach a high level of security.

But the success of this approach requires a large-scale deployment of new components both on the User's desktop, the Service Provider, and the Identity Authority. Currently, on the desktop, the significant roll-out seem to be limited to recent Microsoft platforms and support by Service Providers still seems to be rather sparse. It is to be seen whether the recently launched Identity Card Foundation [ICF] that is supported by some major players and has the objective of deploying the approach at large scale will prove to be successful.

On the side of government Identity Authorities in Europe, judging for example from the recent Common Specification for interoperable eID [IDABC-CS] or the STORK Project [STORK], it does not seem that the adoption of WS-*/CardSpace is currently considered as one of the valid options. Much rather it seems that the choice of federation solution (Liberty, SAML 2.0, WS-*, no federation at all) is left to each Member State and that the interoperability of eIDs in Europe is planned to be achieved by a “neutral” layer above the national choices. Indeed, TLS-Federation may well be the most light-weight and straight-forward solution to realize this “pan-European Identity Layer”.

While Liberty/SAML federation solutions have been successfully deployed in corporate settings, we believe that different federation settings such as eID interoperability in Europe may impose different requirements and possibly favour different solutions. In particular, in the very complex environment of a large number of mostly governmental Identity Authorities and a very large number of Service Providers from all sectors and many countries, practical deployment issues may be one of the factors that determine between success and failure.

To achieve a consensus on the protocol, protocol version, and protocol profile to use for interoperable services among so many players who act in so many jurisdictions is a major undertaking that illustrates that the organizational/political complexity of federation may significantly outweigh the technical complexity. Surely this is a significant difference to corporate settings.
From this point of view, we believe that the more conservative the choice of protocol, the easier it is to successfully deploy a federation solution at this unprecedented scale. We therefore see great merit in TLS-Federation that uses mature, long-standing and stable protocols that are already ubiquitously implemented and tested in all major browsers and web servers. Beyond the fact that unlike the other solutions, TLS-Federation does not require the roll-out of new software components at the various players, it can out of the box integrate all possible national choices of eIDs, ranging from the use of X.509 tokens used directly without federation, over privacy-enhanced solutions like the Austrian Citizen Card, to national deployments of Liberty Alliance, SAML 2.0, or WS-* federations.

A second major difference between federation solutions is their choice of session credentials. In Liberty/SAML and WS-*, the choice is largely different from the technology of user-credentials used to authenticate to the Identity Authority. In contrast, in TLS-Federation the technology chosen for the session credential coincides with the technical choice made for a large majority of national eIDs; both are X.509.

The consequence of using the same credential format is that in countries that use X.509 credentials (soft certificates like Malta or smartcards like Belgium, Estonia, Finland, Spain, Italy, etc.), users can participate in TLS-Federation without the need of a national Identity Authority. The eID token can be seen as a local, autonomous Identity Authority and not surprisingly, the functionality and interfaces to the browser can be identical between a remote IA and a local hardware token.

4. Conclusions and outlook

In the current paper we briefly analysed different existing approaches for Federated Identity Management and introduced a novel approach called “TLS-Federation” which allows easy deployment both, by typical Relying Parties and X.509-affine communities and member states that already have adopted one of the other federation solutions. Furthermore it is advantageous from a security perspective, because it is immune against important classes of web-attacks, such as XSS or Pharming and hence it seems to be a very interesting alternative to the other approaches for Federated Identity Management based on SAML or WS-*. This is particularly true in the context of the forthcoming large scale pilot project [STORK], which aims at the cross-border recognition of national eID-cards in Europe.

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