Web Services Reliable Messaging Policy Assertion (WS-RM Policy)

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See the Acknowledgments (Appendix A).

Abstract:  
This specification describes a domain-specific policy assertion for WS-ReliableMessaging [WS-RM] that can be specified within a policy alternative as defined in WS-Policy Framework [WS-Policy].

By using the XML [XML], SOAP [SOAP 1.1], [SOAP 1.2] and WSDL [WSDL 1.1] extensibility models, the WS* specifications are designed to be composed with each other to provide a rich Web services environment. This by itself does not provide a negotiation solution for Web services. This is a building block that is used in conjunction with other Web service and application-specific protocols to accommodate a wide variety of policy exchange models.

Status:  
This document was last revised or approved by the WS-RX on the above date. The level of approval is also listed above. Check the current location noted above for possible later revisions of this document. This document is updated periodically on no particular schedule. Technical Committee members should send comments on this specification to the Technical Committee's email list. Others should send comments to the Technical Committee by using the "Send A Comment" button on the Technical Committee's web page at http://www.oasis-open.org/committees/ws-rx. For information on whether any patents have been disclosed that may be essential to implementing this specification, and any offers of patent licensing terms, please refer to the Intellectual Property Rights section of the Technical Committee web page (http://www.oasis-open.org/committees/ws-rx/ipr.php). The non-normative errata page for this specification is located at http://www.oasis-open.org/committees/ws-rx.
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1 Introduction

This specification defines a domain-specific policy assertion for reliable messaging for use with WS-Policy and WS-ReliableMessaging.

1.1 Goals and Requirements

1.1.1 Requirements

1.2 Notational Conventions

The keywords "MUST", "MUST NOT", "REQUIRED", "SHALL", "SHALL NOT", "SHOULD", "SHOULD NOT", "RECOMMENDED", "MAY", and "OPTIONAL" in this document are to be interpreted as described in RFC 2119 [KEYWORDS].

This specification uses the following syntax to define normative outlines for messages:

- The syntax appears as an XML instance, but values in italics indicate data types instead of values.
- Characters are appended to elements and attributes to indicate cardinality:
  - "?" (0 or 1)
  - "*" (0 or more)
  - "+" (1 or more)
- The character "|" is used to indicate a choice between alternatives.
- The characters "[" and "]" are used to indicate that contained items are to be treated as a group with respect to cardinality or choice.
- An ellipsis (i.e. "...") indicates a point of extensibility that allows other child, or attribute, content. Additional children and/or attributes MAY be added at the indicated extension points but MUST NOT contradict the semantics of the parent and/or owner, respectively. If an extension is not recognized it SHOULD be ignored.
- XML namespace prefixes (See Section 1.3) are used to indicate the namespace of the element being defined.

Elements and Attributes defined by this specification are referred to in the text of this document using XPath 1.0 [XPATH 1.0] expressions. Extensibility points are referred to using an extended version of this syntax:

- An element extensibility point is referred to using {any} in place of the element name. This indicates that any element name can be used, from any namespace other than the wsr: namespace.
- An attribute extensibility point is referred to using @{any} in place of the attribute name. This indicates that any attribute name can be used, from any namespace other than the wsr: namespace.
1.3 Namespace

The XML namespace [XML-ns] URI that MUST be used by implementations of this specification is:

http://docs.oasis-open.org/ws-rx/wsrmp/200608

Dereferencing the above URI will produce the Resource Directory Description Language [RDDL 2.0] document that describes this namespace.

Table 1 lists the XML namespaces that are used in this specification. The choice of any namespace prefix is arbitrary and not semantically significant.

<table>
<thead>
<tr>
<th>Prefix</th>
<th>Namespace</th>
<th>Specification</th>
</tr>
</thead>
<tbody>
<tr>
<td>wsdl</td>
<td><a href="http://schemas.xmlsoap.org/wsdl/">http://schemas.xmlsoap.org/wsdl/</a></td>
<td>[WSDL 1.1]</td>
</tr>
<tr>
<td>wsrmp</td>
<td><a href="http://docs.oasis-open.org/ws-rx/wsrmp/200608">http://docs.oasis-open.org/ws-rx/wsrmp/200608</a></td>
<td>This specification.</td>
</tr>
</tbody>
</table>

1.4 Compliance

An implementation is not compliant with this specification if it fails to satisfy one or more of the MUST or REQUIRED level requirements defined herein. A SOAP Node MUST NOT use the XML namespace identifier for this specification (listed in Section 1.3) within SOAP Envelopes unless it is compliant with this specification.

Normative text within this specification takes precedence over normative outlines, which in turn take precedence over the XML Schema [XML-Schema Part1, XML-Schema Part2] descriptions.
2 RM Policy Assertions

WS-Policy Framework and WS-Policy Attachment [WS-PolicyAttachment] collectively define a framework, model and grammar for expressing the requirements, and general characteristics of entities in an XML Web services-based system. To enable an RM Destination and an RM Source to describe their requirements for a given Sequence, this specification defines a single RM policy assertion that leverages the WS-Policy framework.

2.1 Assertion Model

The RM policy assertion indicates that the RM Source and RM Destination MUST use WS-ReliableMessaging to ensure reliable delivery of messages. Specifically, the WS-ReliableMessaging protocol determines invariants maintained by the reliable messaging endpoints and the directives used to track and manage the delivery of a Sequence of messages.

2.2 Normative Outline

The normative outline for the RM assertion is:

```
<wsrmp:RMAssertion [wsp:Optional="true"]? ... >
  <wsp:Policy>
    [ <wsrmp:SequenceSTR/> | <wsrmp:SequenceTransportSecurity/> ] ?
  </wsp:Policy>
  ... 
</wsrmp:RMAssertion>
```

The following describes the content model of the RMAssertion element.

```
/wsrmp:RMAssertion
  A policy assertion that specifies that WS-ReliableMessaging protocol MUST be used when sending messages.
/wsrmp:RMAssertion/@wsp:Optional="true"
  Per WS-Policy, this is compact notation for two policy alternatives, one with and one without the assertion. The intuition is that the behavior indicated by the assertion is optional, or in this case, that WS-ReliableMessaging MAY be used.
/wsrmp:RMAssertion/wsp:Policy
  This required element allows for the inclusion of nested policy assertions.
/wsrmp:RMAssertion/wsp:Policy/wsrmp:SequenceSTR
  When present, this assertion defines the requirement that an RM Sequence MUST be bound to an explicit token that is referenced from a wsse:SecurityTokenReference in the CreateSequence message. See section 2.5.1.
/wsrmp:RMAssertion/wsp:Policy/wsrmp:SequenceTransportSecurity
  When present, this assertion defines the requirement that an RM Sequence MUST be bound to the session(s) of the underlying transport-level protocol used to carry the CreateSequence and CreateSequenceResponse message. See section 2.5.2.
```

This is an extensibility mechanism to allow different (extensible) types of information, based on a
schema, to be passed.

/wsrm:RMAssertion/@{any}

This is an extensibility mechanism to allow different (extensible) types of information, based on a
schema, to be passed.

2.3 Assertion Attachment

The RM policy assertion is allowed to have the following Policy Subjects [WS-PolicyAttachment]:

- Endpoint Policy Subject
- Message Policy Subject

WS-PolicyAttachment defines a set of WSDL/1.1 policy attachment points for each of the above Policy
Subjects. Since an RM policy assertion specifies a concrete behavior, it MUST NOT be attached to the
abstract WSDL policy attachment points.

The following is the list of WSDL/1.1 elements whose scope contains the Policy Subjects allowed for an
RM policy assertion but which MUST NOT have RM policy assertions attached:

- \texttt{wsdl:message}
- \texttt{wsdl:portType/wsdl:operation/wsdl:input}
- \texttt{wsdl:portType/wsdl:operation/wsdl:output}
- \texttt{wsdl:portType/wsdl:operation/wsdl:fault}
- \texttt{wsdl:portType}

The following is the list of WSDL/1.1 elements whose scope contains the Policy Subjects allowed for an
RM policy assertion and which MAY have RM policy assertions attached:

- \texttt{wsdl:port}
- \texttt{wsdl:binding}
- \texttt{wsdl:binding/wsdl:operation/wsdl:input}
- \texttt{wsdl:binding/wsdl:operation/wsdl:output}
- \texttt{wsdl:binding/wsdl:operation/wsdl:fault}

If an RM policy assertion is attached to any of:

- \texttt{wsdl:binding/wsdl:operation/wsdl:input}
- \texttt{wsdl:binding/wsdl:operation/wsdl:output}
- \texttt{wsdl:binding/wsdl:operation/wsdl:fault}

then an RM policy assertion, specifying \texttt{wsp:Optional=true} MUST be attached to the corresponding
\texttt{wsdl:binding} or \texttt{wsdl:port}, indicating that the endpoint supports WS-RM. Any messages, regardless of
whether they have an attached Message Policy Subject RM policy assertion, MAY be sent to that endpoint
using WS-RM. Additionally, the receiving endpoint MUST NOT reject any message belonging to a
Sequence, simply because there was no Message Policy Subject RM policy assertion attached to that
message. There might be certain RM implementations that are incapable of applying RM Quality of
Service (QoS) semantics on a per-message basis. In order to ensure the broadest interoperability, when
an endpoint decorates its WSDL with RM policy assertions using Message Policy Subject, it MUST also
be prepared to accept that all messages sent to that endpoint might be sent within the context of an RM Sequence, regardless of whether the corresponding wsdl:input, wsdl:output or wsdl:fault had an attached RM policy assertion.

Rather than turn away messages that were unnecessarily sent with RM semantics, the receiving endpoint described by the WSDL MUST accept these messages.

By attaching an RM policy assertion that specifies wsp:Optional="true" to the corresponding endpoint that has attached RM policy assertions at the Message Policy Subject level, the endpoint is describing the above constraint in policy.

In the case where an optional RM Assertion applies to an output message, there is no requirement on the client to support an RM Destination implementation

2.4 Assertion Example

Table 2 lists an example use of the RM policy assertion.

Table 2: Example policy with RM policy assertion

```
(01)<wsdl:definitions
(02)    targetNamespace="example.com"
(03)    xmlns:tns="example.com"
(04)    xmlns:wsdl="http://schemas.xmlsoap.org/wsdl/"
(05)    xmlns:wsp="http://schemas.xmlsoap.org/ws/2004/09/policy"
(06)    xmlns:wsrmp="http://docs.oasis-open.org/ws-rx/wsrmp/200608"
(07)    xmlns:wsu="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-wssecurity-utility-1.0.xsd">
(08)  
(09)  <wsp:UsingPolicy wsdl:required="true" />
(10) 
(11)  <wsp:Policy wsu:Id="MyPolicy" >
(12)     <wsrmp:RMAssertion>
(13)         <wsp:Policy/>
(14)     </wsrmp:RMAssertion>
(15)     <!-- omitted assertions -->
(16)  </wsp:Policy>
(17) 
(18)  <!-- omitted elements -->
(19) 
(20)  <wsdl:binding name="MyBinding" type="tns:MyPortType" >
(21)     <wsp:PolicyReference URI="#MyPolicy" />
(22)  <!-- omitted elements -->
(23)  </wsdl:binding>
(24)
(25)</wsdl:definitions>
```

Line (09) in Table 2 indicates that WS-Policy is in use as a required extension.

Lines (11-16) are a policy expression that includes a RM policy assertion (lines 12-14) to indicate that WS-ReliableMessaging must be used.

Lines (20-23) are a WSDL binding. Line (21) indicates that the policy in lines (11-16) applies to this binding, specifically indicating that WS-ReliableMessaging must be used over all the messages in the binding.
2.5 Sequence Security Policy

WS-SecurityPolicy [SecurityPolicy] provides a framework and grammar for expressing the security requirements and characteristics of entities in a XML web services based system. The following assertions MAY be used in conjunction with WS-SecurityPolicy to express additional security requirements particular to RM Sequences.

2.5.1 RM Assertion with Sequence STR Assertion

This version of the RM assertion includes the requirement that an RM Sequence MUST be bound to an explicit token that is referenced from a wsse:SecurityTokenReference in the CreateSequence message.

This assertion MUST apply to [Endpoint Policy Subject]. The normative outline for this form of the Sequence STR Assertion is:

```xml
<wrmp:RMAssertion [wsp:Optional="true"]? ...>
    <wsp:Policy>
        <wrmp:SequenceSTR/>
    <wsp:Policy>
</wrmp:RMAssertion>
```

The following describes the content model of the SequenceSTR element.

A policy assertion that specifies security requirements which MUST be used with an RM Sequence that are particular to WS-RM and beyond what can be expressed in WS-SecurityPolicy.

2.5.2 RM Assertion with Sequence Transport Security Assertion

This version of the RM assertion includes the requirement that an RM Sequence MUST be bound to the session(s) of the underlying transport-level security protocol (e.g. SSL/TLS) used to carry the CreateSequence and CreateSequenceResponse messages.

This assertion MUST apply to [Endpoint Policy Subject]. This assertion is effectively meaningless unless it occurs in conjunction with the sp:TransportBinding assertion that requires the use of some transport-level security mechanism (e.g. sp:HttpsToken).

The normative outline for this form of the RM Assertion with the Sequence Transport Security Assertion is:

```xml
<wsp:Policy>
    <wsp:ExactlyOne>
        <wsp:All>
            <wrmp:RMAssertion [wsp:Optional="true"]>
            <wsp:Policy>
                <wrmp:SequenceTransportSecurity/>
            <wsp:Policy>
        </wrmp:RMAssertion>
    </wsp:Policy>
</wsp:Policy>
```

The following describes the content model of the SequenceTransportSecurity element.

A policy assertion that specifies security requirements which MUST be used with an RM Sequence that are particular to WS-RM and beyond what can be expressed in WS-SecurityPolicy.
A policy assertion that specifies that any Sequences targeted to the indicated endpoint MUST be bound to
the underlying session(s) of the transport-level security used to carry messages related to the Sequence.

This form of the RM Assertion says that an endpoint MAY have RM as an option but always requires
HTTPS to be used. All the SequenceTransportSecurity assertion indicates is that RM's rules for protecting
the Sequence over TLS are followed.
3 Security Considerations

It is strongly RECOMMENDED that policies and assertions be signed to prevent tampering.

It is RECOMMENDED that policies SHOULD NOT be accepted unless they are signed and have an associated security token to specify the signer has proper claims for the given policy. That is, a relying party shouldn’t rely on a policy unless the policy is signed and presented with sufficient claims to pass the relying parties acceptance criteria.

It should be noted that the mechanisms described in this document could be secured as part of a SOAP message using WS-Security [WS-Security] or embedded within other objects using object-specific security mechanisms.
4 References

4.1 Normative

[KEYWORDS]
S. Bradner, "Key words for use in RFCs to Indicate Requirement Levels," RFC 2119, Harvard University, March 1997.
http://www.ietf.org/rfc/rfc2119.txt

[SOAP 1.1]
http://www.w3.org/TR/2000/NOTE-SOAP-20000508/

[SOAP 1.2]
http://www.w3.org/TR/2003/REC-soap12-part1-20030624/

[URI]
http://ietf.org/rfc/rfc3986

[WS-RM]
OASIS WS-RX Technical Committee Draft, "Web Services Reliable Messaging (WS-ReliableMessaging),"
August 2005.

[WS-Policy]
W3C Member Submission, "Web Services Policy Framework (WS-Policy)," April 2006.
http://www.w3.org/Submission/2006/SUBM-WS-Policy-20060425/

[WS-PolicyAttachment]
http://www.w3.org/Submission/2006/SUBM-WS-PolicyAttachment-20060425/

[WSDL 1.1]
W3C Note, "Web Services Description Language (WSDL 1.1)," 15 March 2001.
http://www.w3.org/TR/2001/NOTE-wsdl-20010315

[XML]
http://www.w3.org/TR/REC-xml/
4.2 Non Normative

[RDDL 2.0]
http://www.openhealth.org/RDDL/20040118/rrdl-20040118.html

[SecurityPolicy]

[WS-Security]
Appendix A. Acknowledgments

This document is based on initial contribution to OASIS WS-RX Technical Committee by the following authors:

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Appendix B. XML Schema

A normative copy of the XML Schema [XML-Schema Part1, XML-Schema Part2] description for this specification may be retrieved from the following address:

http://docs.oasis-open.org/ws-rx/wsrmp/200608/hsrmp-1.1-schema-200608.xsd

The following copy is provided for reference.

```xml
<?xml version="1.0" encoding="UTF-8" standalone="no"?>
<!--
OASIS takes no position regarding the validity or scope of any intellectual property or other rights that might be claimed to pertain to the implementation or use of the technology described in this document or to any use of such proprietary rights by implementors or users of this specification, can be obtained from the OASIS Executive Director.

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-->

<xs:schema xmlns:xs="http://www.w3.org/2001/XMLSchema"
  targetNamespace="http://docs.oasis-open.org/ws-rx/wsrmp/200608"
  elementFormDefault="qualified" attributeFormDefault="unqualified">
  <xs:element name="RMAssertion">
    <xs:complexType>
      <xs:sequence>
        <xs:element name="#other" processContents="lax" minOccurs="0" maxOccurs="0"/>
      </xs:sequence>
    </xs:complexType>
  </xs:element>
</xs:schema>
```
<xs:element name="SequenceSTR">
  <xs:complexType>
    <xs:sequence/>
    <xs:anyAttribute namespace="##any" processContents="lax"/>  
  </xs:complexType>
</xs:element>

<xs:element name="SequenceTransportSecurity">
  <xs:complexType>
    <xs:sequence/>
    <xs:anyAttribute namespace="##any" processContents="lax"/>  
  </xs:complexType>
</xs:element>
</xs:schema>
# Appendix C. Revision History

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<thead>
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<th>Revision</th>
<th>Date</th>
<th>By Whom</th>
<th>What</th>
</tr>
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<tr>
<td>wd-01.doc</td>
<td>2005-07-06</td>
<td>Ümit Yalçınalp</td>
<td>Initial version created based on submission by the authors.</td>
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| 1.1-wd-01.swx | 2005-09-18| Ümit Yalçınalp| Applied resolution i001  
Applied resolution i015/16 (doc identifier)  
Partial application of i017, final yyyy/mm required, changed doc URI to TBD pending yyyy/mm  
Deleted original copyright section |
| 1.1-wd-01.swx | 2005-10-02| Anish Karmarkar| Applied resolution of i013 + minor editorial changes + fixed resolution of i017                                                  |
| 1.1-wd-01.swx | 2005-10-04| Ümit Yalçınalp| Applied actual value for yyyy/mm.  
Added resolution of i009                                                                                                           |
| 1.1-wd-01.swx | 2005-10-06| Ümit Yalçınalp| Editorial fixes suggested by Anish  
Updated wd draft date to October 6th                                                                                               |
<p>| 1.1-wd-01.swx | 2005-10-19| Ümit Yalçınalp| Editorial change to remove .sxw suffix from doc id                                                                               |
| wd-02     | 2005-11-03| Gilbert Pilz  | Start wd-02 by changing title page from cd-01.                                                                                     |
| wd-02     | 2005-11-30| Gilbert Pilz  | i072 – editorial nits                                                                                                              |
| wd-02     | 2005-11-30| Gilbert Pilz  | i074 - Use of [tcShortName] in artifact locations namespaces, etc                                                                    |
| wd-02     | 2005-12-01| Gilbert Pilz  | Updated fix to i074 to remove trailing '/' from wsrmp namespace.                                                                     |
| wd-02     | 2005-12-01| Anish Karmarkar| Applied resolution for i022                                                                                                         |
| wd-02     | 2005-12-01| Anish Karmarkar| Applied resolution for i024                                                                                                         |
| wd-02     | 2005-12-01| Anish Karmarkar| Applied resolution for i054                                                                                                         |
| wd-02     | 2005-12-01| Anish Karmarkar| Applied resolution of i073                                                                                                          |
| wd-2      | 2005-12-05| Anish Karmarkar| Applied resolution of i055                                                                                                          |
| wd-2      | 2005-12-05| Ümit Yalçınalp| Changed fixed date in footer to current date                                                                                         |
| wd-3      | 2005-12-21| Doug Davis    | Added i050                                                                                                                         |
| wd-3      | 2005-12-23| Ümit Yalçınalp| i057 resolution                                                                                                                     |</p>
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<td>2005-12-23</td>
<td>Ümit Yalçınalp</td>
<td>Changed the ref to WS-RM to the WS-RX committee draft instead of original version.</td>
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<td>Fixed Dug's email address.</td>
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<td>2005-12-27</td>
<td>Gilbert Pilz</td>
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<td>2006-01-04</td>
<td>Gilbert Pilz</td>
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<td>2006-01-05</td>
<td>Gilbert Pilz</td>
<td>Fix closing tag of normative outline for RMAssertion.</td>
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<tr>
<td>wd-04</td>
<td>2006-11-11</td>
<td>Doug Davis</td>
<td>Minor tweaks/typos</td>
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<tr>
<td>wd-05</td>
<td>2006-01-23</td>
<td>Gilbert Pilz</td>
<td>Start wd-05 by accepting all changes from wd-04.</td>
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<td>wd-06</td>
<td>2006-01-23</td>
<td>Doug Davis</td>
<td>Minor typos found by Marc</td>
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<td>wd-06</td>
<td>2006-02-14</td>
<td>Doug Davis</td>
<td>Issue 075 resolution</td>
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<td>wd-06</td>
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<td>Issues 086, 087 resolutions</td>
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<td>wd-06</td>
<td>2006-02-15</td>
<td>Gilbert Pilz</td>
<td>Issue 088; added link for namespace URI; added text describing link; added non-normative reference for RDDL 2.0</td>
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<tr>
<td>wd-06</td>
<td>2006-02-17</td>
<td>Anish Karmarkar</td>
<td>Removed a sentence in section 2.1 that talked about RM assertion parameters, as there aren't any.</td>
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<tr>
<td>wd-06</td>
<td>2006-02-17</td>
<td>Anish Karmarkar</td>
<td>Change the namespace to 200602.</td>
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<tr>
<td>wd-07</td>
<td>2006-02-22</td>
<td>Doug Davis</td>
<td>Accept all changes to create new WD</td>
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<td></td>
<td>Minor typo fixed – thanks to Paul Cotton</td>
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<td>wd-07</td>
<td>2006-02-23</td>
<td>Doug Davis</td>
<td>Added missing namespace table entries - MarcG</td>
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<td>wd-07</td>
<td>2006-03-08</td>
<td>Doug Davis</td>
<td>Issue 097 applied</td>
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<td>wd-08</td>
<td>2006-04-11</td>
<td>Doug Davis</td>
<td>Issue 021 applied</td>
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<td>wd-08</td>
<td>2006-04-24</td>
<td>Gilbert Pilz</td>
<td>Misc cleanups prior to publishing to TC.</td>
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<td>wd-09</td>
<td>2006-05-29</td>
<td>Gilbert Pilz</td>
<td>Issue 117 applied</td>
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<td>wd-10</td>
<td>2006-06-05</td>
<td>Gilbert Pilz</td>
<td>Accept all changes; bump WD number</td>
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<td>2006-06-07</td>
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<td>Applied lots of minor edits from Marc Goodner</td>
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<td>2006-06-13</td>
<td>Doug Davis</td>
<td>Applied a couple of minor edits</td>
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11 August 2006
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<table>
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<th>Revision</th>
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<th>By Whom</th>
<th>What</th>
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<td>wd-10</td>
<td>2006-07-21</td>
<td>Doug Davis</td>
<td>Issues 122-124 applied</td>
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<td>wd-10</td>
<td>2006-07-27</td>
<td>Doug Davis</td>
<td>Copied list of TC members from RM spec (i134)</td>
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<td>wd-10</td>
<td>2006-08-04</td>
<td>Doug Davis</td>
<td>Updated old namespaces – found by PaulC</td>
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<td>wd-10</td>
<td>2006-08-04</td>
<td>Doug Davis</td>
<td>Verify all [refs]</td>
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<td>2006-08-04</td>
<td>Doug Davis</td>
<td>Change namespace to 2006/08</td>
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<tr>
<td>cd-04</td>
<td>2006-08-11</td>
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<td>Issue 158 applied</td>
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<td>cd-04</td>
<td>2006-08-16</td>
<td>Gilbert Pilz</td>
<td>Fix date at 08/11/2006; formatting changes for better HTML rendering.</td>
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<td>2006-10-25</td>
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<td>Accept all changes, update to wd11</td>
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<td>2006-10-26</td>
<td>Doug Davis</td>
<td>PR004 applied</td>
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<td>wd-11</td>
<td>2007-01-26</td>
<td>Doug Davis</td>
<td>PR037 applied</td>
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