

# 4.1 Entity Categories for Service Providers

 This is a set of entity categories in use by SWAMID. Entity categories for SAML is defined by REFEDS in the RFC8409 specification.

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For an example on how to consume and process this information in an Identity Provider look at the page [Example of a standard attribute filter for Shibboleth IdP v3.4.0 and above](#). ADFS Toolkit support the use of entity categories.

## REFEDS Personalized Access Entity Category

entity-category URI	<a href="https://refeds.org/category/personalized">https://refeds.org/category/personalized</a>
eduGAIN enabled	Yes

### Definition

Candidates for the REFEDS Personalized Access Entity Category are Service Providers that have a proven need to receive a small set of personally identifiable information about their users in order to effectively provide their service to the user or to enable the user to signal their identity to other users within the service. The Service Provider must be able to effectively demonstrate this need to their registrar and demonstrate their compliance with regulatory requirements concerning personal data through a published Privacy Notice.

Please note that the REFEDS Personalized Access Entity Category was published at the end of 2021 and therefore not so many Identity Providers has support for it yet. SWAMID recommends that you complement the REFEDS Personalized Access Entity Category with the entity category GÉANT Data Protection Code of Conduct until end of 2023 to get the expected attribute release.

The Personalized Access Entity Category is used both within SWAMID and in the eduGAIN interfederation to make services available to users of the higher education institutions in Sweden and around the world. The entity category makes it possible to automatically release a set of mostly harmless attributes to Service Providers registered in the academic federations.

The expected Identity Provider behaviour is to release to the Service Provider a predefined set of attributes. Service Providers signals their need of Personalized Access Entity Category via an entity category tag in metadata. There is furthermore an identity provider entity support category that should be registered for all Identity Providers that supports the Personalized Access Entity Category.

For REFEDS Personalized Access Entity Category there is a formal requirement that the service shall publish a public Privacy Policy. SWAMID have published a [Service Provider Privacy Policy Template](#) for GÉANT Data Protection Code of Conduct that can be used except for the requirement for mention the GÉANT Data Protection Code of Conduct.

### Expected attribute release from an Identity Provider

Attribute(s)	SAML2 Attribute Identifier	Comment
subject-id	urn:oasis:names:tc:SAML:attribute:subject-id	

mail	urn:oid:0.9.2342.19200300.100.1.3	Can be more than one address released but Identity Providers are recommended to release only one.
displayName	urn:oid:2.16.840.1.113730.3.1.241	
givenName	urn:oid:2.5.4.42	
sn	urn:oid:2.5.4.4	
eduPersonAssurance	urn:oid:1.3.6.1.4.1.5923.1.1.1.11	
eduPersonScopedAffiliation	urn:oid:1.3.6.1.4.1.5923.1.1.1.9	
schacHomeOrganization	urn:oid:1.3.6.1.4.1.25178.1.2.9	

## Process for applying for tagging a service with entity category REFEDS Personalized Access Entity Category

For a service to be tagged with REFEDS Personalized Access Entity Category it must contact the federation that it has registered with. If the service is registered within the SWAMID federation the service operator updates the service metadata in the [SWAMID Metadata Tool](#).

The request must besides the metadata update contain the following administrative information:

- Purpose and scope of the service.
- Documentation which proves that the service has fulfilled all the requirements for REFEDS Personalized Access Entity Category if it isn't defined by purpose and scope of the service.
  - The service has a proven and documented need for the personally identifiable information that forms the attribute bundle for this entity category.
  - The Service Provider has committed to data minimisation and will not use the attributes for purposes other than as described in their application.

The entity category has the following metadata requirements:

- Well functional SAML2 metadata for the service with an entityid in URL-form.
- Display name for the Service in English and preferable also in Swedish for use in Identity Providers' login pages and Discovery Services.
- Short description of the Service in English and preferable also in Swedish for use in Identity Providers' login pages and Discovery Services.
- Administrative and technical contact for the service and it's recommended that support and security contact is also given.
- Formal organisation name of the organisation delivering the service.
- URL to the organisation delivering the service.
- URL to an informational web page that describes the service in English and preferable also in Swedish.
- URL to a web page with the service privacy policy in English and preferable also in Swedish, a privacy policy example template: [SWAMID Service Provider Privacy Policy Template](#).

The request is highly recommended to also have the following information for metadata publication:

- URL beginning with https to the service logotype for use in Identity Providers login pages and Discovery Services.

Besides the formal requirements and recommendations of REFEDS Personalized Access Entity Category are Service Providers it is highly recommended that the service also adheres to the [REFEDS Security Incident Response Trust Framework for Federated Identity \(Sirtifi\)](#).

## REFEDS Research and Scholarship

entity-category URI	<a href="http://refeds.org/category/research-and-scholarship">http://refeds.org/category/research-and-scholarship</a>
eduGAIN enabled	Yes

### Definition

Candidates for the Research and Scholarship (R&S) Category are Service Providers that are operated for the purpose of supporting research and scholarship interaction, collaboration or management, at least in part. For more information please see [REFEDS Entity Category Research and Scholarship](#).

R&S is used both within SWAMID and in the eduGAIN interfederation to make services available to users of the higher education institutions in Sweden and around the world. The R&S makes it possible to automatically release mostly harmless attributes to Service Providers within the higher educational sector.

The expected IdP behaviour is to release to the Service Provider a predefined set of R&S Category Attributes. Service Providers signals their need of R&S via an entity category tag in metadata. There is furthermore an identity provider entity support category that should be registered for all Identity Providers that supports the R&S entity category and this can be used for filter purpose in a discovery service.

Example of services that uses the entity category includes (but are not limited to) collaborative tools and services such as wikis, blogs, project and grant management tools that require some personal information about users to work effectively. This Entity Category should not be used for access to licensed content such as e-journals.

For REFEDS Research and Scholarship there is no formal requirement that the service shall publish a public Privacy Policy. However all services that are registered in SWAMID must have a Privacy Policy to inform end users about how personal data are processed. SWAMID have published a [Service Provider Privacy Policy Template](#) for GÉANT Data Protection Code of Conduct that can be used except for mention the GÉANT Data Protection Code of Conduct.

## Expected attribute release from an Identity Provider

Attribute(s)	SAML2 Attribute Identifier	Comment
eduPersonTargetedID	urn:oid: 1.3.6.1.4.1.5923.1.1.1.10	Should only be released by the Identity Provider if eduPersonPrincipalName is re-assignable to another user.
eduPersonPrincipalName	urn:oid: 1.3.6.1.4.1.5923.1.1.1.6	
mail	urn:oid: 0.9.2342.19200300.100. 1.3	Can be more than one address released but Identity Providers are recommended to release only one.
displayName and/or givenName and sn	urn:oid: 2.16.840.1.113730.3.1.2 41 urn:oid:2.5.4.42 urn:oid:2.5.4.4	A user's name can be released in different ways and it's expected that the Service Provider can handle this.
eduPersonAssurance	urn:oid: 1.3.6.1.4.1.5923.1.1.1.11	Local addon within SWAMID. Services shall only expect this attribute to be available from Identity Providers within SWAMID.
eduPersonScopedAffiliation	urn:oid: 1.3.6.1.4.1.5923.1.1.1.9	

## Process for applying for tagging a service with entity category REFEDS Research and Scholarship

For a service to be tagged with REFEDS Research and Scholarship (R&S) it must contact the federation that it has registered with. If the service is registered within the SWAMID federation the service operator sends an e-mail to [operations@swamid.se](mailto:operations@swamid.se) with a formal request that contains the information below. Upon receiving the request SWAMID operations will respond within two weeks.

The request must besides the metadata update contain the following administrative information:

- Purpose and scope of the service.
- Documentation which proves that the service has fulfilled all the requirements for R&S if it's not defined by purpose and scope of the service.

Unless the following is already published in current service metadata, the metadata update request must contain:

- Well functional SAML2 metadata for the service with an entityid in URL-form.
- Display name for the Service in English and preferable also in Swedish for use in Identity Providers' login pages and Discovery Services.
- Short description of the Service in English and preferable also in Swedish for use in Identity Providers' login pages and Discovery Services.
- Administrative and technical contact for the service and it's recommended that support and security contact is also given.
- Formal organisation name of the organisation delivering the service.
- URL to the organisation delivering the service.
- URL to an informational web page that describes the service in English and preferable also in Swedish.
- URL to a web page with the service privacy policy in English and preferable also in Swedish, a privacy policy example template: [SWAMID Service Provider Privacy Policy Template](#).

The request is highly recommended to also have the following information for metadata publication:

- URL beginning with https to the service logotype for use in Identity Providers login pages and Discovery Services.

Besides the formal requirements and recommendations of REFEDS R&S it is highly recommended that the service also adheres to the [REFEDS Security Incident Response Trust Framework for Federated Identity \(Sirtfi\)](#).

## REFEDS/GÉANT Data Protection Code of Conduct

entity-category URI	<a href="https://refeds.org/category/code-of-conduct/v2">https://refeds.org/category/code-of-conduct/v2</a> and <a href="http://www.geant.net/uri/dataprotection-code-of-conduct/v1">http://www.geant.net/uri/dataprotection-code-of-conduct/v1</a>
eduGAIN enabled	Yes



### Definition

The REFEDS Data protection Code of Conduct (CoCo v2) defines an approach at a European level to meet the requirements of the European General Data Protection Regulation (GDPR) for releasing mostly harmless personal attributes to a Service Provider (SP) from an Identity Provider (IdP). For more information please see [REFEDS Data Protection Code of Conduct](#).

The earlier GÉANT Data protection Code of Conduct (CoCo v1) defines an approach at a European level to meet the requirements of the European Union Data Protection Directive. The Data Protection Directive has been superseded by GDPR and therefore GDPR must be taken into account for CoCo v1. CoCo v1 is in the same spirit as GDPR, i.e. the Charter of Fundamental Rights of the European Union. For more information please see [GÉANT Data Protection Code of Conduct](#).

CoCo v1 will exist in parallel with CoCo v2 for an extended time and therefore we recommend all services that uses CoCo v2 to also declare CoCo v1 and the other way around.

CoCo is used both within SWAMID and in the eduGAIN interfederation to make services available to users of the higher education institutions in Sweden and around Europe. The CoCo makes it possible to automatically release mostly harmless attributes to Service Providers which fulfill the EU Data Protection legislation. The expected Identity Provider behaviour is to release the Service Provider required attributes if the IdP is able to. Required attributes means attributes the service must have to be able to work for the user. However it's possible to require more than one attribute of a specific type, i.e. name and identifier attributes, to increase the possibility to get the needed set of attributes. The required attributes for a specific service is defined in the the service metadata and must be described in the mandatory Service Provider Privacy Policy. There is furthermore an identity provider entity support category that should be registered for all Identity Provider that supports the CoCo entity category that can be used for filter purpose in a discovery service.

### Expected attribute availability from an Identity Provider for attributes required by indication in metadata

Attribute (s)	SAML2 Attribute Identifier	Comment
eduPerson TargetedID	urn:oid: 1.3.6.1.4.1. 5923.1.1.1. 10	
eduPerson PrincipalName	urn:oid: 1.3.6.1.4.1. 5923.1.1.1.6	
eduPerson Orcid	urn:oid: 1.3.6.1.4.1. 5923.1.1.1. 16	

norEduPersonNIN	urn:oid: 1.3.6.1.4.1. 2428.90.1.5	This attribute is for students systems that needs to be synchronised with the the student documentations system directly or indirectly. Within SWAMID norEduPersonNIN can besides Swedish Personal Numbers and Swedish Co-ordination Numbers also contain Interim Personal Numbers from the student documentation system Ladok and the Swedish national study enrolment system.  SWAMID Identity Providers only release this attribute to services registered in SWAMID.
personalIdentityNumber	urn:oid: 1.2.752.29. 4.13	Within SWAMID personalIdentityNumber only contain Swedish Personal Numbers or Swedish Co-ordination Numbers.  SWAMID Identity Providers only release this attribute to services registered in SWAMID.
schacDateOfBirth	urn:oid: 1.3.6.1.4.1. 25178.1.2.3	
mail	urn:oid: 0.9.2342.19 200300.100 .1.3	Can be more than one address released but Identity Providers are recommended to release only one.
displayName	urn:oid: 2.16.840.1. 113730.3.1. 241	
givenName	urn:oid: 2.5.4.42	
sn ( <i>aka surname</i> )	urn:oid: 2.5.4.4	
cn ( <i>aka commonName</i> )	urn:oid: 2.5.4.3	Due to that cn is use for different things in different in different identity management systems it's highly recommended to use the attribute displayName instead.
eduPersonAssurance	urn:oid: 1.3.6.1.4.1. 5923.1.1.1. 11	Services shall only expect this attribute to be available from Identity Providers within SWAMID.
eduPersonScopedAffiliation	urn:oid: 1.3.6.1.4.1. 5923.1.1.1.9	
eduPersonAffiliation	urn:oid: 1.3.6.1.4.1. 5923.1.1.1.1	Due to eduPersonAffiliations non domain scoped nature it's highly recommended to use the attribute eduPersonScopedAffiliation instead.
o ( <i>aka organizationName</i> )	urn:oid: 2.5.4.10	This attribute is also be available as an metadata attribute.

norEduOrg Acronym	urn:oid: 1.3.6.1.4.1. 2428.90.1.6	
c (aka countryName)	urn:oid: 2.5.4.6	
co (aka friendlyCountryName)	urn:oid: 0.9.2342.19 200300.100 .1.43	
schacHomeOrganization	urn:oid: 1.3.6.1.4.1. 25178.1.2.9	
schacHomeOrganizationType	urn:oid: 1.3.6.1.4.1. 25178.1.2.10	

Multivalued attributes that have different values for different services shall not be requested via metadata, examples of such attributes are eduPersonEntitlement, norEduPersonLIN and schacPersonalUniqueCode. The reason for this is that an Identity Provider may unintentional release sensitive information to services that are not eligible for these values. SWAMID recommends member Identity Providers to not release this type of attributes based on requested attributes in metadata.

## Process for applying for tagging a service with entity category GÉANT Data Protection Code of Conduct

For a service to be tagged with GÉANT Data Protection Code of Conduct it must contact the federation that it has registered with. If the service is registered within the SWAMID federation the service operator sends an e-mail to [operations@swamid.se](mailto:operations@swamid.se) with a formal request that contains the information below. Upon receiving the request SWAMID operations will respond within two weeks.

The request must besides the metadata update contain the following administrative information:

- Purpose and scope of the service.
- A list of the required attributes that the service needs to function (the list is also required in the privacy policy of the service). It is possible to require more than one attribute of a specific type, i.e. name and identifier attributes, to increase the possibility to get the needed set of attributes.
- Documentation which proves that the service has fulfilled all the requirements for CoCo and lawfulness of processing as described in GDPR Article 6 if it's not defined by purpose and scope of the service.

Unless the following is already published in current service metadata, the metadata update request must contain:

- Well functional SAML2 metadata for the service with an entityid in URL-form.
- Display name for the Service in English and preferable also in Swedish for use in Identity Providers' login pages and Discovery Services.
- Short description of the Service in English and preferable also in Swedish for use in Identity Providers' login pages and Discovery Services.
- A list of required attributes of the Service.
- Administrative and technical contact for the service and it's recommended that support and security contact is also given.
- Formal organisation name of the organisation delivering the service.
- URL to the organisation delivering the service.
- URL to an informational web page that describes the service in English and preferable also in Swedish.
- URL to a publicly accessible web page (not a pdf document) with the service privacy policy in English and preferable also in Swedish, a privacy policy example template: [SWAMID Service Provider Privacy Policy Template](#). The privacy policy must at least contain:
  - the name, address and jurisdiction of the Service Provider;
  - the purpose or purposes of the processing of the Attributes;
  - a description of the Attributes being processed;
  - the third party recipients or categories of third party recipient to whom he Attributes might be disclosed, and proposed transfers of Attributes to countries outside of the European Economic Area;
  - the existence of the rights to access, rectify and delete the Attributes held about the End User;
  - the retention period of the Attributes; and
  - a reference to this Code of Conduct including the formal reference URL <http://www.geant.net/uri/dataprotection-code-of-conduct/v1>.

It's also a highly recommended that the service adheres to the [REFEDS Security Incident Response Trust Framework for Federated Identity \(Sirtfi\)](#).

# Release without any recognised Entity Categories

Most Identity Providers within SWAMID release no attributes to a service when it is not marked with any entity category.

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## Deprecated entity categories

 SWAMID has deprecated old entity categories. All future entity category based attribute release will be based on entity categories described above.

## SWAMID Service Provider Attribute Release Entity Categories (deprecated 2020-09-01)

These categories define the release of mostly harmless personal attributes to a Service Provider (SP) from a Identity Provider (IdP). It is used together with SWAMID Data Protection Entity Categories below.

 Entity categories is additive, this means that one Service Provider can have both research-and-education and sfs-1993-1153.  
*name* below means givenName, surname, initials, displayName.

Category	Description
research-and-education	SP is an application that directly or indirectly supports HEI institutions.
sfs-1993-1153	SP is an application that fulfills SFS 1993:1153

## SWAMID Research & Education (deprecated 2020-09-01)

entity-category URI	<a href="http://www.swamid.se/category/research-and-education">http://www.swamid.se/category/research-and-education</a>
eduGAIN enabled	No

 **Deprecated 2020-09-01**  
SWAMID Research & Education entity category is deprecated and is replaced with REFEDS R&S or GÉANT CoCo depending on service.

 **Definition**  
The Research & Education category applies to low-risk services that support research and education as an essential component.  
To release attributes to services tagged with the Research & Education category the service must also be tagged with at least one of the SWAMID Data Protection Entity Categories.

For instance, a service that provides tools for both multi-institutional research collaboration and instruction is eligible as a candidate for this category. This category is very similar to [InCommons Research & Scholarship Category](#). The expected IdP behaviour is to release name, eppn, eptid, mail and eduPersonScopedAffiliation only if the services is also in at least one of the safe data processing categories. It is also recommended that static organisational information is released. If the Identity Provider home organisation has fulfilled the requirements for [SWAMID Assurance Profiles](#) eduPersonAssurance should also be released.

## Expected attribute release when paired with a SWAMID Data Protection Entity Category

Attribute(s)	OID	Comment
transientId		SAML2 session user identifier.
eduPersonTargetedID	1.3.6.1.4.1.5923 .1.1.1.10	

eduPersonAssurance	1.3.6.1.4.1.5923 .1.1.1.11	One or more Assurance Profiles for the user if it is defined, please see " <a href="#">3.3 Configure Shibboleth SP - Check for Identity Assurance or REFEDS SIRTFI</a> " for more information.
eduPersonPrincipalName	1.3.6.1.4.1.5923 .1.1.1.6	
mail	0.9.2342.19200 300.100.1.3	Can be more than one address released but Identity Providers are recommended to release only one.
displayName, cn and/or givenName and sn	2.16.840.1.1137 30.3.1.241, 2.5.4.3, 2.5.4.42, 2.5.4.4	A user's name can be released in different ways and it's recommended that the Service Provider can handle this.
eduPersonScopedAffiliation	1.3.6.1.4.1.5923 .1.1.1.9	
o	2.5.4.10	
norEduOrgAcronym	1.3.6.1.4.1.2428 .90.1.6	
c	2.5.4.6	
co	0.9.2342.19200 300.100.1.43	
schacHomeOrganization	1.3.6.1.4.1.2517 8.1.2.9	

## Process for applying for tagging a service with entity category Research & Education

The service operator sends an e-mail to [operations@swamid.se](mailto:operations@swamid.se) with a formal request.

The request must contain the following information:

- Purpose and scope of the service.
- Valid SWAMID Data Protection Entity Category, i.e. what type of organisation is legally responsible for the Service. The options are defined below (HEI Service, NREN Service or EU Adequate Protection).

Upon receiving a request SWAMID operations will **respond** within two weeks.

## SWAMID SFS 1993:1153 (deprecated 2020-09-01)

entity-category URI	<a href="http://www.swamid.se/category/sfs-1993-1153">http://www.swamid.se/category/sfs-1993-1153</a>
eduGAIN enabled	No



### Deprecated 2020-09-01

SWAMID SFS 1993:1153 entity category is deprecated and is replaced with GÉANT CoCo.



### Definition

The SFS 1993:1153 category is strictly reserved for services that are governed by the Swedish legislation [SFS 1993:1153](#).

SFS 1993:1153 limits membership in this category to services provided by Swedish universities, Swedish university colleges and the Swedish government agencies Swedish Council for Higher Education (UHR) and Statistics Sweden (SCB).

The entity category is intended for common government operated student admissions and achieved learning administration services such as NyA and LADOK as well as services for student account enrollment, course registration and learning progression processes at universities and university colleges.

Inclusion in this category is strictly reserved for services that fulfill [SFS 1993:1153](#) which implies that the application may make use of norEduPersonNIN, i.e. the Swedish Personal identity number, the Swedish Co-ordination number or the Higher education personal interim identity number. The expected IdP behavior is to release norEduPersonNIN. If the Identity Provider home organisation has fulfilled the requirements for [SWAMID Assurance Profiles](#) eduPersonAssurance should also be released.

Examples of services that are viable for this entity category is a course registration self service and a student account creation service, a learning progression registration service and an internship administration self service.

## Expected attribute release

Attribute	OID	Comment
transientId		SAML2 session user identifier.
eduPersonTargetedID	1.3.6.1.4.1.592 3.1.1.1.10	
eduPersonAssurance	1.3.6.1.4.1.592 3.1.1.1.11	One or more Assurance Profiles for the user if it is defined, please see " <a href="#">3.3 Configure Shibboleth SP - Check for Identity Assurance or REFEDS SIRTFI</a> " for more information.
norEduPersonNIN	1.3.6.1.4.1.242 8.90.1.5	Swedish government Personal Identity Number, Swedish government temporary Co-ordination number or Swedish National Admission system interim identity number.

### Process for applying for tagging a service with entity category SFS 1993:1153

The service operator sends an e-mail to [operations@swamid.se](mailto:operations@swamid.se) with a formal request.

The request must contain the following information:

- Purpose and scope of the service.
- Full description of why norEduPersonNIN is needed in the service.

Upon receiving a request SWAMID operations will **evaluate** against the Swedish legislation [SFS 1993:1153](#) (2 kap. 6 § and 4 kap. 4 §). SWAMID operations will normally respond within two weeks. If the evaluation is positive SWAMID operations will **add** the requested entity category to the service metadata.

### SWAMID Data Protection Entity Categories (deprecated 2020-09-01)

These categories indicate category classification of Identity Providers (IdP) that can release mostly harmless personal attributes to a Service Provider (SP) in conjunction with the Swedish Personal Data Act (PUL). It is used together with the Research & Education Entity Category above.

#### SWAMID HEI Service (deprecated 2020-09-01)

entity-category URI	<a href="http://www.swamid.se/category/hei-service">http://www.swamid.se/category/hei-service</a>
eduGAIN enabled	No

#### Definition

The application is provided by a Swedish Higher Education Institution (HEI) which is ultimately responsible for its operation.

This category is only relevant for attribute release from SWAMID registered IdPs to services at Swedish universities, Swedish university colleges and the Swedish Council for Higher Education.

#### SWAMID NREN Service (deprecated 2020-09-01)

entity-category URI	<a href="http://www.swamid.se/category/nren-service">http://www.swamid.se/category/nren-service</a>
eduGAIN enabled	No

#### Definition

The application is provided by SUNET (the Swedish National Research and Education Network, NREN) which is ultimately responsible for its operation.

This category is only relevant for attribute release from SWAMID registered IdPs to SUNET services.

#### SWAMID EU Adequate Protection (deprecated 2020-09-01)

entity-category URI	<a href="http://www.swamid.se/category/eu-adequate-protection">http://www.swamid.se/category/eu-adequate-protection</a>
eduGAIN enabled	No



### Definition

The application is compliant with either

- EU data protection directive as implemented in the national legislation (the service is located in a EU or EES country) or
- For services located outside EU and EES
  - EU adequate protection for third countries according to [Commission decisions on the adequacy of the protection of personal data in third countries](#) or
  - [EU Model Contracts for the transfer of personal data to third countries](#).