Introduction to IAM Architecture

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Note: the IDPro BoK does not endorse a particular architecture framework. IAM practitioners will face many different approaches, and an IAM practitioner will need to adopt the model that best suits their organization.

Table of Contents

ABSTRACT ............................................................................................................................................... 2
INTRODUCTION ..................................................................................................................................... 2
TERMINOLOGY ........................................................................................................................................2
ACRONYMS ............................................................................................................................................3
IAM ARCHITECTURE OVERVIEW............................................................................................................ 3
BUSINESS SYSTEM ARCHITECTURE (BSA) ..........................................................................................4
INFORMATION ARCHITECTURE ...........................................................................................................4
APPLICATION PORTFOLIO......................................................................................................................5
TECHNICAL ARCHITECTURE...................................................................................................................5
ARCHITECTURAL APPROACH ................................................................................................................ 6
ARCHITECTURE PATTERNS ..................................................................................................................6
Host ..........................................................................................................................................................7
Client-Server ............................................................................................................................................7
N-tier ..........................................................................................................................................................7
Hub & Spoke ...........................................................................................................................................8
Remote Access .......................................................................................................................................8
Cloud Environments ..............................................................................................................................9
APPLYING AN ARCHITECTURAL APPROACH ....................................................................................... 9
IDENTITY GOVERNANCE AND ADMINISTRATION ............................................................................9
Identity Lifecycle .....................................................................................................................................10
IGA System Components .....................................................................................................................10
IGA Solution Architecture ...................................................................................................................11
ACCESS MANAGEMENT ......................................................................................................................13
Access Management Overview ............................................................................................................13
Access Management Solution Architecture .........................................................................................14
Access Management Patterns...............................................................................................................15
IDENTITY STANDARDS .....................................................................................................................16
CONCLUSION ....................................................................................................................................... 17
AUTHORS .............................................................................................................................................17
Abstract
This article explores several conceptual architectures for Identity and Access Management systems and how those architectures enable IAM solutions across the enterprise. Services built within a structured enterprise environment must adhere to the capabilities of the IAM system. This article provides a basic approach for IAM professionals to consider when designing an IAM architecture that fits in the broader ICT environment.

Introduction
Identity and Access Management (IAM) touches all aspects of an organization's IT environment. Whether it is the human resources (HR) system, email system, phone system, or corporate applications, each system needs to interface to the IAM environment. IAM will always play a role in making IT operations efficient and secure, by supporting the enforcement of user provisioning rules, as an example, or validating the access of non-corporate users. An architectural approach to developing IAM systems will heighten the probability that the organization will achieve a consistent and comprehensive IAM solution.

If the organization maintains an enterprise architecture (EA), any IAM solution they deploy must adhere to the enterprise models and be reflected in the organization's EA artifacts. This article provides a basic approach for IAM professionals to consider whether or not there is an EA in place.

Terminology
- **Access Management**: use of identity information to provide access control to protected resources such as computer systems, databases, or physical spaces.
- **Architecture**: Framework for the design, deployment, and operation of an information technology infrastructure. It provides a structure whereby an organization can standardize the technology it uses and align its IT infrastructure with digital transformation policy, IT development plans, and business goals.
- **Architecture Overview**: Describes the architecture components required for supporting IAM across the enterprise.
- **Architecture Patterns**: Identifies the essential patterns that categorize the IT infrastructure architecture in an organization and will guide the deployment choices for IAM solutions.
- **Enterprise Architecture**: an architecture covering all components of the information technology (IT) environment
- **Identity Governance and Administration (IGA)**: includes the collection and use of identity information as well as the governance processes that ensure the right person has the right access to the right systems at the right time.
 IAM Architecture Overview

IAM professionals must have a vision for the IAM environment that satisfies corporate requirements. Each IAM project must build towards the desired target state. An architectural approach will enable the IAM professional to plan, design, and deploy IAM solutions that are both coordinated and integrated; and combine to form a comprehensive IAM environment that meets both current and projected needs of corporate stakeholders.

Identity management within an enterprise touches virtually all systems in use within the organization. Systems, in this context, comprise computer systems that staff and business partners use in the performance of their job responsibilities and physical access systems, such as a requirement to show an identity pass to gain access to a restricted area. Staff includes contractors; they are typically managed through a different system (many HR systems only accommodate employees) but need access to many of the same corporate systems as employees. Including non-human accounts should also be considered; most organizations have service accounts that they for machine access to systems. As more automation is incorporated into company operations, providing access control for sensors or bots should be incorporated in the IAM environment. Including non-human entities in the architecture allows the enterprise to manage their access control in a manner consistent with all other accounts; IAM professionals should consider these entities should during the system development planning process.

It is the task of an IAM practitioner to ensure that, wherever and whenever identity information is used within an enterprise, the information is collected and used in a properly designed environment that ensures efficiency, protects privacy, and safeguards integrity. Applying an architectural approach, i.e., developing project requirements within a structured framework, will significantly raise the likelihood that an IAM project will be completed consistently and comprehensively with a controlled impact on stakeholders.
There are four levels that the IAM practitioner should consider when developing a solution architecture:

![Generic Enterprise Architecture Framework](image)

**Figure 1 - Generic Enterprise Architecture Framework**

**Business System Architecture (BSA)**
Mapping business processes for the collection, usage, and eventual deletion of identity data will greatly assist in understanding the breadth of the IAM task. While BPMn is typically used for business process mapping, the IAM practitioner should adopt whatever tool is typically used in their company.

Considering IT architecture at the business level will facilitate a more holistic approach that considers the identity requirements of all connected systems and ensures consistency in naming conventions. It will also reduce the probability of an IAM project running over-budget or over-time (a common occurrence when a system owner, who has not previously been consulted, hears about an IAM project and adds unanticipated requirements).

**Information Architecture**
It is important to map the identity data elements required by the various applications to the IAM collection, management, and governance systems. This mapping will ensure no application is ‘left behind’ when the IAM systems are re-developed. A useful tool is an ‘entity-relationship diagram’ that maps each attribute collected to each system that requires it. The Information Architecture (IA) should drive consistency between connected systems (e.g., should Firstname, Middle Initial, and Lastname be used, or should Common name, Lastname be used). It should also help define roles (e.g., is this role for a Payroll Clerk or a Financial Officer). The IA should nominate attribute authority (e.g., which system is the authority for phone numbers). Best practice is for the IAM system to be the ‘source of truth’ for identity information in the company (sometimes called the ‘book of record’) because it is typically bad practice for source systems (HR, PABx, etc.) to be queried for data attribute lookups.
The IA becomes the vehicle for ‘identity data orchestration.’ It is the master plan for the collection and use of identity data within an enterprise.

Application Portfolio
An inventory of applications to be included in the IAM project ‘should be conducted. How current are they? Are any of the included applications under development? Will the IAM project materially change how each application interacts with the IAM environment? For instance, if an API gateway is being deployed for access to IAM attributes, any application redevelopment should migrate from existing authentication mechanisms to the gateway operation.

A company’s Application Portfolio (AP) becomes an inventory of corporate applications. The record for each application should identify the system owner, type of application (web app, client-server, mainframe, etc.), and its reliance on the IAM environment. Some applications will expect the IAM system to pass authenticated sessions to it. In contrast, others will require user attributes so that it can determine the authorization that a user has to application functionality. The AP should identify the level of integration between each relying application and the IAM system. Web applications will likely pass user requests and responses via HTTP headers. In other scenarios, client-server applications may use an API, while cloud applications may use a SAML request or, if it maintains its own data repository, the SCIM protocol.

The AP becomes an important record for an organization because it facilitates the planning required as applications are updated.

Technical Architecture
The Technical Architecture (TA) describes, among other things, the technical environment to be supported by the IAM environment. This description will involve understanding the patterns used within the company. Most organizations will have “n-tier” web services and hybrid cloud patterns, but there might still be client-server patterns and potentially mainframe hub-and-spoke patterns. Each additional pattern to be supported will increase the complexity and cost of the project. Often IAM environments with older infrastructure, such as RACF directories, leave out support for legacy technology due to cost considerations, but this fragments the IAM task. Properly constituted, a cost/benefit analysis for the deployment of an RACF connector will typically be successful.

The TA impacts the IAM environment because different solutions are required for different patterns. For example, a web services pattern will mandate a single sign-on (SSO) environment capable of supporting RESTful APIs and SAML assertions and passing identity attributes in JSON arrays or XML files. An on-premise Windows environment, as another example, will typically use the Kerberos authentication protocol from an AD infrastructure.
or an LDAP directory. A cloud environment will often require a SAML operation or an IDaaS offering, whereas a RACF directory should be supported via a connector from the IAM infrastructure.

**Architectural Approach**

Even if an organization does not maintain an enterprise architecture, taking an architectural approach to planning and deploying an IAM solution is recommended. It is an unfortunate fact that many IAM (identity and access management) projects exceed their scheduled time and budget. The usual reason for this is a misunderstanding of the extent of the project and the systems impacted. The project team tends to focus just on the task at hand, e.g., the installation of the IAM software package, without realizing that IAM systems within an enterprise touch virtually all other systems in use within the organization. These other systems might include a birthright system such as email, an administrative system such as the Financial Management system, or an operational system such as an Enterprise Resource Management system.

In some circumstances, the change caused by an IAM project will be minimal, with a limited impact on resources. In other cases, the change will be significant, impacting both infrastructure and personnel across the organization. An architectural approach will ensure that a solution architecture is developed for each IAM project to understand the extent of the work required and effectively plan for the change it will generate.

It is the task of an IAM practitioner to ensure that, wherever and whenever identity information is used within an enterprise, the information is collected and used in a properly designed environment that ensures efficiency, protects privacy and safeguards integrity.

For organizations with an enterprise architecture, understanding how information is collected and used should be quite easy, as is fundamentally a part of how the systems are deployed. For other organizations, the environment will be a “greenfield,” allowing the IAM practitioner to develop their own architectural approach.

**Architecture Patterns**

At the Technical Architecture level, a “pattern” approach is useful to understand the supported technology within an organization. For instance: what is the predominant server infrastructure – is it Linux or Windows or both? What server operating system versions are supported? Are VMs used? What is the support for cloud infrastructure – public, private, hybrid? Is AWS, Azure, or Google Cloud supported? Can the scale required for customer IAM be accommodated? For IoT devices – how does the IoT platform integrate with the corporate environment?
The TA will define the computer system “patterns” to be supported by the IAM environment within an organization. For young companies, this will be web-based patterns, either “2-tier” or “n-tier.” Increasingly managed cloud environments are being engaged, potentially with a micro-services approach. But for mature organizations, there will typically be legacy applications with a client-server pattern, or even a mainframe ‘hub and spoke’ pattern, with PCs running terminal emulator software.

The IAM environment must support the selected patterns and ensure a managed approach that adheres to the organization’s governance and cybersecurity policy.

Host
There are few mainframe systems left in service, with notable exceptions in the banking industry and some government installations. The IAM environment will often be required to synchronise to a RACF data store to support a mainframe system.

Client-Server
Client-server environments can present a complex support requirement since many such systems maintain their own identity database in order to provide fine-grained access control to system functionality. Redevelopment of a client-server application to externalise access control decisions to an authentic authorization server can be a way to harmonise access policies across an organization.

N-tier
The most common on-premise application environment these days is an “n-tier” web services infrastructure. While there are many variants, a user accessing the front-end web server will be redirected to an authentication service, usually supporting SSO, with an authentication token passed back to the application in an HTTP header. If the application requires user authentication, the IAM system should set us user entitlements as part of the initial provisioning activity when a user joins the organization.
**Hub & Spoke**

Hub and spoke systems are typically only in large transaction processing systems. Often the only IAM touchpoint is access control for DevOps staff via a privileged access management system.

**Remote Access**

Increasingly remote access to corporate systems must be supported. The authentication server must accommodate the required access control mechanisms used, from basic LDAP lookups for password accounts to sophisticated MFA environments capable of elevating authentication levels to suit application security requirements. The provisioning task in such environments requires the maintenance of one or more identity provider services within the enterprise.
Cloud Environments
Most organizations employ cloud services these days and the IAM environment must support the adopted pattern. In some cases it will be 100% cloud, in some cases it will be a hybrid cloud/on-premise environment. In the cloud it might be private cloud infrastructure or one of the public cloud platforms that are adopted. The IAM professional must ensure the selected pattern is supported so that any relying application is serviced by up-to-date identity data.

Figure 7 - Cloud-based architecture model

The architecture patterns supported by an organization directly affect the cost of maintaining their Information and Communications Technology (ICT) operations. Each additional pattern increases the overall cost. The IAM environment must support the patterns in use and must accommodate pattern rationalization as companies reduce the complexity of their infrastructure. For instance, companies retiring mainframe systems that typically use RACF for authentication will need an alternate solution. IAM practitioner should be involved across ICT development programs to ensure the IAM environment supports the direction of the enterprise.

Applying an Architectural Approach
An architectural approach can be taken to an IAM project regardless of whether it is in the collection and management of identity information or access management, using identity information for access control to protected resources.

Identity Governance and Administration
Identity Governance and Administration (IGA) covers the identity management side of IAM, i.e., the ‘admin-time’ events that establish user entitlements, as opposed to ‘real-time’ events that occur when users request access to protected resources. IGA combines administration and governance over the collection, use, and disposal of identity information. It requires a governance facility that enables managers to certify the
entitlements that their staff have been granted. In addition, IGA typically includes monitoring and reporting functions for identity services that, in turn, support corporate requirements.

IGA systems support:

- Administering accounts and credentials
- Identity and account provisioning
- Managing entitlements
- Segregation of duties
- Role management
- Analytics and reporting

IGA systems provide additional functionality beyond standard IAM systems. In particular, they help organizations meet compliance requirements and enable them to audit access for compliance reporting. They also automate workflows for tasks such as access approvals and provisioning/deprovisioning.

Identity Lifecycle

The business rules that tie these elements together are generally referred to as the Identity Lifecycle. In the Identity Lifecycle, an identity is created that defines who or what (human or non-human) needs access to a protected resource. Every stage of the Identity Lifecycle sees the activities of the identity managed to ensure business rules are enforced according to the identity and security rules of the enterprise.

<table>
<thead>
<tr>
<th>Identity Onboarding</th>
<th>Identity Management</th>
<th>Account Management</th>
<th>Entitlement Management</th>
<th>Access Management</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Identity Persons of Interest via Delegated Administration Process</strong></td>
<td><strong>Enable accounts to access Resources</strong></td>
<td><strong>Provision the Account enabling access to Resources</strong></td>
<td><strong>Enforce application access policies</strong></td>
<td></td>
</tr>
<tr>
<td>✓ Assign Person Identifier</td>
<td>✓ Assign Account Identifier</td>
<td>✓ Birthright Entitlements</td>
<td>✓ Users are Authorized by attributes or group memberships</td>
<td></td>
</tr>
<tr>
<td>✓ Create Core Profile Attributes</td>
<td>✓ Create Enterprise Account(s)</td>
<td>✓ Runtime (requested) Entitlements</td>
<td>✓ Access is reviewed and approved for continued use</td>
<td></td>
</tr>
<tr>
<td>✓ Approvals required</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

![Figure 8 - Identity Lifecycle Categories](image)

IGA System Components

Identity governance and administration tools help facilitate identity lifecycle management.
IGA systems generally include the following components for identity administration:

- **Password management**: Using tools like password vaults or, more often, SSO, IGAs ensure users don’t have to remember many different passwords to access applications.
- **Integration connectors**: These are used to integrate with directories and other systems that contain information about users and the applications and systems they have access to, as well as their authorization in those systems.
- **Access request approval workflows**: These workflows support the automation of a user’s request for access to applications and systems, and ensures all access is properly authorized.
- **Automated de-provisioning**: This supports the removal of a user’s entitlement to access an application when the user is no longer authorized to access a system.
- **Attestation reporting**: This is used to periodically verify user entitlements in various applications (such as add, edit, view, or delete data) and is usually sent to a user’s manager.
- **Recertification of user entitlements**: Often a response to an attestation report, recertification of user entitlements involves recording a manager’s approval of their staff’s system access. If access is no longer required, this shifts to automatic de-provisioning.
- **Segregation of duties**: An IGA system will often have rules that prevent risky sets of access from being granted to a person. For example, if a person has the ability to both view a corporate bank account and transfer funds to outside accounts, this might enable a user to transfer money to a personal account.
- **Access reviews**: These reviews include tools that streamline the review and verification (or revocation) of a user’s access to different apps and resources. Some IGA tools also provide discovery features that help identify entitlements that have been granted.
- **Role-based management**: Also known as Role-based Access Control (RBAC), this includes defining and managing access through user roles.
- **Analytics and reporting**: This includes tools that log activities, generate reports (including for compliance), and provide analytics to identify issues and optimizations.

**IGA Solution Architecture**

An example of how an IGA solution could support and authentication service is shown in Figure 8 (access management shown for context):
Figure 9 - IAM Architecture Components
This architecture supports the following IAM Processes:

<table>
<thead>
<tr>
<th>Process</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Identity Provisioning</td>
<td>Creates identity records based on initiation from trusted identity sources (e.g., the HR System)</td>
</tr>
<tr>
<td>Account Provisioning</td>
<td>Creates accounts in Enterprise Directories based on birthright provisioning rules. Also supports creation of application accounts based on request / approval workflows.</td>
</tr>
<tr>
<td>Entitlement Management</td>
<td>Supports the workflow and administration requirements of enabling user to group/role mappings that enable access management rule creation.</td>
</tr>
</tbody>
</table>

**Access Management**
Access Management is the ‘real-time’ component of IAM. It encompasses the processes that are critical in protecting corporate resources and securing the digital business. Whether it is giving access to customers to enable e-commerce or securing resources for partners to conduct business securely, the Access Management architecture will control the planning, design, and development of the enabling technology.

**Access Management Overview**
An access management architecture will have components that enable only those accounts that are authorized to perform an action on a protected enterprise resource.

The key functions supported in an Access Management Architecture are:

- User Authentication (staff, contractors, business partners)
- Access Policy Management
- Access Policy Decision making and enforcement
- Authorization Control (Coarse / Fine-Grained)
- Adaptive Access controls
- Single Sign-On (SSO)
- Authenticated Session Management
- Security Token Services
- Access Event Logging
- User Behavior Analytics
**Access Management Solution Architecture**

The two most common Access Management services supported in most scenarios are:

- Authentication – logging into a computer system - typically role-based
- Authorization – accessing computer system functionality – typically attribute-based

Policy-based authorization is increasingly being deployed. It provides access control to corporate resources in accordance with centrally managed corporate policy rather than entitlements established on a system-by-system basis.

An example of a fine-grained authorization environment is shown in Figure 9. The components of the solution combine to control access to corporate resources based on the policies in the Decision Point.

![Figure 10 - Typical Components of an Authorization Service](image)

The architecture of an authorization service will typically contain the key elements that are involved in the flow from an actor (person or system) on a device (mobile or desktop) that accesses an application or service (typically over the internet) that resides within an enterprise boundary (behind network firewalls).
Policy Administration Point (PAP) responsible for creating policy statements that tie the user to a role or group and defines the type of access to a resource

Policy Enforcement Point (PEP) responsible for protecting the resource, intercepts traffic to the resource and validates access with the PDP

Policy Decision Point (PDP) determines access to a resource, uses policy to determine if a subject (user) has access to a resource, usually via an attribute value or role or group membership.

Policy Information Point (PIP) typically a user or attribute store that provide information about managed users (i.e., Active Directory or LDAP directory)

Access Management Patterns
A well-crafted IAM architecture is able to both improve user experience and increase security by combining the flow between architecture components in a connected, orchestrated framework. Historically, organizations have seen security and ease of use as tradeoffs, but with the new identity technologies available today it is possible to have both.

When combining these key components in a deployment blueprint (solution configuration), an architecture pattern evolves to support most, if not all, access management needs across the organization.

Figure 11 - Access Management Patterns
<table>
<thead>
<tr>
<th>Pattern</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Browser to Web Application</td>
<td>A user needs to sign in to a web application that is secured by an Authentication Service</td>
</tr>
<tr>
<td>Native App (also Single Page App) to Web API</td>
<td>A native application needs to authenticate a user to access resources from a web API that is secured by an Authentication Service</td>
</tr>
<tr>
<td>Server App to Web API</td>
<td>A server application with no web user interface needs to get resources from a web API secured by an Authentication Service</td>
</tr>
</tbody>
</table>

Identity Standards

No IAM solution architecture is complete without addressing the applicable standards. Because IAM touches virtually all corporate systems, interfaces need to adhere to standards in order to minimize the amount of customization that would otherwise be required. An IAM Architecture should support a “pluggable” approach that facilitates interconnection and ties together key security enablers that are built on industry standards. There are several industry organizations (standards bodies) like IETF, OASIS, Kantara Initiative, and the OpenID Foundation.

The key standards that support modern identity and access management today are:

Figure 12 - Logos for OIDC, OAuth2, SAML
Conclusion
IAM practitioners should adopt the enterprise architecture approach used within the organization in which they are working. In the absence of a corporate approach to architecture, IAM practitioners should develop an architectural approach that ensures their IAM projects consider all the business systems that might be affected, the types of applications to be supported, and the infrastructure on which IAM solutions are to be deployed.

An IAM project that takes such an approach will have a significantly better chance of being completed within schedule and budget constraints. It will also be much more likely to satisfy users.

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ii “SCIM: System for Cross-domain Identity Management” http://www.simplecloud.info/

iii OpenID Connect, website, OpenID Foundation, https://openid.net/connect/

iv OAuth2, website, https://oauth.net/2/. 