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- Additional information:
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Draft NIST Special Publication 800-126A

**SCAP 1.3 Component Specification
Version Updates**

An Annex to NIST Special Publication 800-126 Revision 3

Harold Booth
David Waltermire
Lee Badger
Melanie Cook
Stephen D. Quinn
Karen Scarfone

C O M P U T E R S E C U R I T Y



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An Annex to NIST Special Publication 800-126 Revision 3

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101

102 **Abstract**

103 The Security Content Automation Protocol (SCAP) is a multi-purpose framework of component
104 specifications that support automated configuration, vulnerability, and patch checking, security
105 measurement, and technical control compliance activities. The SCAP version 1.3 specification is
106 defined by the combination of NIST Special Publication (SP) 800-126 Revision 3 and this
107 document. This document allows the use of particular minor version updates to SCAP 1.3
108 component specifications and the use of particular Open Vulnerability and Assessment Language
109 (OVAL) core schema and platform schema versions. Allowing use of these updates and schemas
110 provides additional functionality for SCAP 1.3 without causing any loss of existing functionality.

111

112 **Keywords**

113 Open Vulnerability and Assessment Language (OVAL); security automation; security
114 configuration; Security Content Automation Protocol (SCAP)

115

116

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147 **1 Introduction**

148 *Specification versioning* is the process of denoting a revision to a specification by changing its
149 version number. For example, the Security Content Automation Protocol (SCAP) specification
150 documents are updated from time to time, and these updates trigger an increase in the SCAP
151 version number (1.0, 1.1, 1.2, etc.) What makes specification versioning challenging is that there
152 is no standard convention or terminology for it; each specification imparts different meanings
153 into its version numbers. For example, moving from version 3.4 to version 3.5 might break
154 backward compatibility for one specification, add new functionality for another specification,
155 and simply correct an error in a third specification.

156 This document defines two key terms for SCAP 1.3 component specification versioning: major
157 and minor version updates. A *major version update* is a revision of a specification that breaks
158 backward compatibility with the previous revision of the specification in numerous significant
159 ways. A *minor version update* is a revision of a specification that may add or enhance
160 functionality, fix bugs, and make other changes from the previous revision, but the changes have
161 minimal impact, if any, on backward compatibility.

162 **1.1 Purpose and Scope**

163 The purpose of this document is to extend the contents of NIST Special Publication (SP) 800-
164 126 Revision 3 so that SCAP 1.3 is defined by the combination of the two documents. Readers
165 should be familiar with NIST SP 800-126 Revision 3 before reading this document.

166 This document can only be used to add minor version updates of component specifications
167 already included in SCAP 1.3 by NIST SP 800-126 Revision 3. Major version updates to SCAP
168 1.3 component specifications, as well as new component specifications not included in NIST SP
169 800-126 Revision 3, can only be added to a future version of SCAP as documented in a future
170 revision of NIST SP 800-126.

171 Each SCAP 1.3 extension specified in this document takes one of two forms. First, it may allow
172 the use of particular minor version updates to SCAP 1.3 component specifications, or the use of
173 particular Open Vulnerability and Assessment Language (OVAL) platform schema versions that
174 work in conjunction with the OVAL 5.11 core schema included in SCAP 1.3. Second, it may
175 specify one or more requirements for using these updates or OVAL platform schemas in an
176 SCAP 1.3-conformant manner.

177 This document specifies exactly which component specification minor version updates and
178 OVAL platform schema versions may be used as part of SCAP 1.3 for several reasons, including
179 the following:

- 180 • To support the interoperability of SCAP 1.3 tools and content
- 181 • To provide a basis for testing tools to ensure they comply with SCAP 1.3
- 182 • To reduce the burden on SCAP 1.3 tool and content developers by clearly defining all
183 SCAP 1.3 extensions in a single place

184 While organizations are free to use SCAP 1.3 with any schema or specification that they choose
185 in any manner they choose, such usage is not considered SCAP 1.3-conformant unless defined as
186 such in this document or in NIST SP 800-126 Revision 3.

187 The scope of this document is versioning for SCAP 1.3 component specifications only.

188 **1.2 Document Structure**

189 The rest of this document consists of the following sections and appendices:

- 190 • Section 2 presents all minor version updates in SCAP 1.3 component specifications that
191 have been approved for inclusion in SCAP 1.3, along with any corresponding
192 requirements to be added to SCAP 1.3. This section also lists the criteria used to evaluate
193 a minor version update for potential inclusion in SCAP 1.3.
- 194 • Section 3 specifies all OVAL platform schemas that have been approved for inclusion in
195 SCAP 1.3, along with any corresponding requirements to be added to SCAP 1.3. This
196 section also lists the criteria used to evaluate an OVAL platform schema for potential
197 inclusion in SCAP 1.3.
- 198 • Section 4 describes the management processes for the document.
- 199 • Appendix A contains a list of acronyms and abbreviations used in the document.
- 200 • Appendix B contains a glossary for selected terms defined in the document.

201

2 Minor Version Updates in SCAP 1.3 Component Specifications

This section defines the criteria used to evaluate minor version updates in SCAP 1.3 component specifications for potential inclusion in SCAP 1.3, then lists all such updates that have been approved for inclusion in SCAP 1.3, along with any corresponding requirements added to SCAP 1.3. It also provides the current schema and Schematron file locations corresponding to all SCAP 1.3 component specifications.

2.1 Criteria for Potential Inclusion

The following defines the criteria that a minor version update to an SCAP 1.3 component specification and associated requirements must meet before being considered for potential inclusion in this document:

1. One or more of the following must be true:
 - a. The component specification is being revised strictly for bug fix or errata purposes. In other words, the update does not add new functionality or enhance existing functionality.
 - b. The new minor version of the component specification is already being used by tools and/or content.
2. The minor version update and associated requirements must not conflict with any existing SCAP 1.3 requirements. This includes minimizing any negative impact on backward compatibility.

2.2 Approved Minor Version Updates and SCAP 1.3 Requirements

The following SCAP 1.3 component specification minor version updates have been approved for inclusion in SCAP 1.3:

- OVAL 5.11.1¹

See Table 1 for the schema location for the component specification listed above.

As of this writing, no requirements need to be added to SCAP 1.3 to support the approved component specification minor version updates.

2.3 Schema and Schematron File Locations

Table 1 lists the schema file locations (and Schematron file locations, when applicable) for the SCAP component specifications.

¹ For more information on the changes from OVAL 5.11 to OVAL 5.11.1, see the changelog at <https://github.com/OVALProject/Language/wiki/Changelog>.

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Table 1: SCAP Schema and Schematron File Locations

Prefix	Schema Location	Schematron Location (if applicable)
AI	https://scap.nist.gov/schema/asset-identification/1.1/asset-identification_1.1.0.xsd	
ARF	https://scap.nist.gov/schema/asset-reporting-format/1.1/asset-reporting-format_1.1.0.xsd	Embedded in the schema
CPE Applicability Language	https://scap.nist.gov/schema/cpe/2.3/cpe-language_2.3.xsd	
CPE Dictionary	https://scap.nist.gov/schema/cpe/2.3/cpe-dictionary_2.3.xsd	
CPE Dictionary Extension	https://scap.nist.gov/schema/cpe/2.3/cpe-dictionary-extension_2.3.xsd	
CPE Naming	https://scap.nist.gov/schema/cpe/2.3/cpe-naming_2.3.xsd	
OCIL	https://scap.nist.gov/schema/ocil/2.0/ocil-2.0.xsd	Embedded in the schema
OVAL 5.11.1 Common Schema	https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/oval-common-schema.xsd	
OVAL Definitions	https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/oval-definitions-schema.xsd	
OVAL Directives	https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/oval-directives-schema.xsd	
OVAL Results	https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/oval-results-schema.xsd	
OVAL System Characteristics	https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/oval-system-characteristics-schema.xsd	
OVAL Variables	https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/oval-variables-schema.xsd	
SCAP constructs	https://scap.nist.gov/schema/scap/1.2/scap-constructs_1.2.xsd	https://scap.nist.gov/revision/1.2/scap-schematron-rules.zip
SCAP source data stream	https://scap.nist.gov/schema/scap/1.2/scap-source-data-stream_1.2.xsd	
SWID	http://standards.iso.org/iso/19770/-2/2015-current/schema.xsd	
TMSAD	https://scap.nist.gov/schema/tmsad/1.0/tmsad_1.0.xsd	https://scap.nist.gov/schema/tmsad/1.0/tmsad_1.0.sch
XCCDF	https://scap.nist.gov/schema/xccdf/1.2/xccdf_1.2.xsd (XSD 1.0, where xsd:import statements use absolute URLs), https://scap.nist.gov/schema/xccdf/1.2/xccdf_1.2.zip (complete schema bundle, where xsd:import statements use relative URLs)	https://scap.nist.gov/schema/xccdf/1.2/xccdf_1.2.sch

232

233 **3 OVAL Platform Schemas**

234 OVAL version 5.11 introduced a new versioning policy that was a significant change from
235 previous OVAL versions.² OVAL is divided into the Core and Platform Extension languages.
236 The Core defines the general functionality for OVAL, while each Platform Extension defines
237 functionality specific to a particular platform, such as an operating system or an application. The
238 Core and Platform Extensions languages can be updated separately, which provides greater
239 flexibility. Interoperability is supported by requiring each Platform Extension to be based on a
240 particular version of the Core.

241 SCAP 1.3 supports the version(s) of the OVAL core schema listed in Section 2 of this document.
242 As a result, SCAP 1.3 could be extended to support one or more OVAL platform schemas that
243 are based on a specified version of the OVAL core schema. Each OVAL platform schema has a
244 composite version number; the first half corresponds to the core schema version it is based on,
245 and the second half corresponds to the version of the platform schema itself. For example, a
246 platform schema with version 5.11.1:1.0 would be the original version (1.0) of a platform
247 schema based on core schema version 5.11.1.

248 This section defines the criteria used to evaluate OVAL platform schema versions that work in
249 conjunction with SCAP 1.3-conformant OVAL core schema for potential inclusion in SCAP 1.3.
250 It then lists all OVAL platform schema versions that have been approved for inclusion in SCAP
251 1.3, along with any corresponding requirements added to SCAP 1.3.

252 **3.1 Criteria for Potential Inclusion**

253 The following defines the criteria that an OVAL platform schema version and associated
254 requirements must meet before being considered for potential inclusion in this document:

- 255 1. The OVAL platform schema version must correspond to an SCAP 1.3-conformant
256 OVAL core schema version.
- 257 2. The OVAL platform schema version and associated requirements must not conflict with
258 any existing SCAP 1.3 requirements. This includes preserving full backward
259 compatibility.
- 260 3. One or more of the following must be true:
 - 261 a. One or more platform vendors are already making significant use of the platform
262 schema version.
 - 263 b. One or more tool vendors are already making significant use of the platform
264 schema version.
 - 265 c. Operational organizations that are consuming SCAP 1.3 tools and content are
266 already making significant use of the platform schema version.
 - 267 d. The platform schema version provides significant benefits, such as offering a
268 solution for an important use case that previously had no solution.
 - 269 e. SCAP content is available that makes significant use of the platform schema
270 version.

² <http://ovalproject.github.io/documentation/policy/versioning/>

271 f. The OVAL Board has demonstrated that there are significant benefits to using the
272 platform schema version in conjunction with the SCAP 1.3 component
273 specifications.

274 **3.2 Approved OVAL Platform Schema Versions and SCAP 1.3 Requirements**

275 Table 2 lists the OVAL platform schema versions³ that have been approved for inclusion in
276 SCAP 1.3.

277 **Table 2: Approved OVAL Platform Schema Versions**

Platform Name	Schema Version	Schema Locations
General		
Independent	5.11.1:1.1	Definitions Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/independent-definitions-schema.xsd System Characteristics Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/independent-system-characteristics-schema.xsd
Server/client operating system		
AIX (IBM)	5.11.1:1.0	Definitions Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/aix-definitions-schema.xsd System Characteristics Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/aix-system-characteristics-schema.xsd
FreeBSD (The FreeBSD Project)	5.11.1:1.0	Definitions Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/freebsd-definitions-schema.xsd System Characteristics Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/freebsd-system-characteristics-schema.xsd
HP-UX (HP Enterprise)	5.11.1:1.0	Definitions Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/hpux-definitions-schema.xsd System Characteristics Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/hpux-system-characteristics-schema.xsd

³ More information on some OVAL platform schema versions is available at <https://github.com/OVALProject/Language/wiki/Latest>.

Platform Name	Schema Version	Schema Locations
Linux	5.11.1:1.1	Definitions Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/linux-definitions-schema.xsd System Characteristics Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/linux-system-characteristics-schema.xsd
MacOS (Apple)	5.11.1:1.1	Definitions Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/macos-definitions-schema.xsd System Characteristics Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/macos-system-characteristics-schema.xsd
Solaris (Oracle Corporation)	5.11.1:1.0	Definitions Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/solaris-definitions-schema.xsd System Characteristics Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/solaris-system-characteristics-schema.xsd
UNIX	5.11.1:1.1	Definitions Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/unix-definitions-schema.xsd System Characteristics Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/unix-system-characteristics-schema.xsd
Windows (Microsoft Corporation)	5.11.1:1.1	Definitions Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/windows-definitions-schema.xsd System Characteristics Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/windows-system-characteristics-schema.xsd
Hypervisor		
ESX (VMware)	5.11.1:1.0	Definitions Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/esx-definitions-schema.xsd System Characteristics Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/esx-system-characteristics-schema.xsd
Mobile operating system		
Android (Google)	5.11.1:1.0	Definitions Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/android-definitions-schema.xsd System Characteristics Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/android-system-characteristics-schema.xsd

Platform Name	Schema Version	Schema Locations
iOS (Apple)	5.11.1:1.1	Definitions Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/apple-ios-definitions-schema.xsd System Characteristics Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/apple-ios-system-characteristics-schema.xsd
Networking device operations and configuration		
ASA (Cisco Systems)	5.11.1:1.1	Definitions Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/asa-definitions-schema.xsd System Characteristics Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/asa-system-characteristics-schema.xsd
CatOS (Cisco Systems)	5.11.1:1.0	Definitions Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/catos-definitions-schema.xsd System Characteristics Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/catos-system-characteristics-schema.xsd
IOS (Cisco Systems)	5.11.1:1.1	Definitions Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/ios-definitions-schema.xsd System Characteristics Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/ios-system-characteristics-schema.xsd
IOS-XE (Cisco Systems)	5.11.1:1.1	Definitions Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/iosxe-definitions-schema.xsd System Characteristics Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/iosxe-system-characteristics-schema.xsd
JunOS (Juniper Networks)	5.11.1:1.0	Definitions Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/junos-definitions-schema.xsd System Characteristics Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/junos-system-characteristics-schema.xsd
NETCONF (Internet Engineering Task Force [IETF])	5.11.1:1.0	Definitions Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/netconf-definitions-schema.xsd System Characteristics Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/netconf-system-characteristics-schema.xsd

Platform Name	Schema Version	Schema Locations
PixOS (Cisco Systems)	5.11.1:1.0	Definitions Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/pixos-definitions-schema.xsd System Characteristics Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/pixos-system-characteristics-schema.xsd
Application		
Apache (The Apache Software Foundation)	5.11.1:1.0	Definitions Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/apache-definitions-schema.xsd System Characteristics Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/apache-system-characteristics-schema.xsd
SharePoint (Microsoft Corporation)	5.11.1:1.0	Definitions Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/sharepoint-definitions-schema.xsd System Characteristics Schema: https://raw.githubusercontent.com/OVALProject/Language/424c1a3708de80292becc5e7a28d14e94a5a74ef/schemas/sharepoint-system-characteristics-schema.xsd

278 As of this writing, no requirements need to be added to SCAP 1.3 to support the approved
 279 OVAL platform schema versions.

280

4 Document Management

282 As explained in Section 1, the combination of this document and NIST SP 800-126 Revision 3
283 defines the SCAP 1.3 specification. The reason for having two documents is that it allows SCAP
284 1.3 extensions to be defined in a separate document without having to update and re-release
285 NIST SP 800-126 Revision 3 itself each time. It is also more convenient for SCAP tool and
286 content developers to have a separate document that lists only the extensions. The adoption of
287 extensions will be driven by community needs and feedback, major changes to platforms, and
288 other trends and events.

289 It is reasonable to expect that this document will be updated more often than NIST SP 800-126
290 Revision 3, but frequent updates to either document are not anticipated. Each update to either
291 document may necessitate corresponding changes to NIST IR 7511, which defines the SCAP
292 Validation Program derived test requirements (DTR).

293

294 **Appendix A—Acronyms and Abbreviations**

295 Selected acronyms and abbreviations used in this document are defined below.

DTR	Derived Test Requirements
FOIA	Freedom of Information Act
IETF	Internet Engineering Task Force
IR	Internal Report
ITL	Information Technology Laboratory
NIST	National Institute of Standards and Technology
OVAL	Open Vulnerability and Assessment Language
SCAP	Security Content Automation Protocol
SP	Special Publication

296

297 **Appendix B—Glossary**

298 Selected terms used in this document are defined below. See the glossary appendix in NIST SP
299 800-126 Revision 3 for additional definitions.

Major version update	A revision of a specification that breaks backward compatibility with the previous revision of the specification in numerous significant ways.
Minor version update	A revision of a specification that may add or enhance functionality, fix bugs, and make other changes from the previous revision, but the changes have minimal impact, if any, on backward compatibility.
Specification versioning	The process of denoting a revision to a specification by changing its version number.

300