



UK Access Management Federation for
Education and Research

Rules of Membership

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Introduction

The purpose of the federation is to create a framework within which Members can securely exchange access management information in a way that is responsible and respects End User privacy.

The framework is created by each Member agreeing to be bound by these Rules which set out an agreed set of rules for exchanging information about End Users and resources, to enable access and use of resources and services.

Responsibility for the provision of the federation is shared jointly between the Higher Education Funding Council for England, the Learning and Skills Council, the Scottish Funding Council, the Higher Education Funding Council for Wales, the National Council for Education and Training for Wales and the Department of Employment and Learning Northern Ireland (represented by their Joint Information Systems Committee, the JISC) and the British Educational Communications and Technology Agency. These organisations exercise this responsibility through the Policy Governance Group. Administration of the operation of the federation has been delegated to UKERNA by these bodies.

1. Definitions

1.1. In these Rules:

Attribute	means End User data required by the Service Provider for access control decisions;
Best Practice	means best practice for the authentication and authorisation of users of online resources and services, as generally accepted within the IT industry from time to time;
Committee	means the Policy Governance Group;
Data	means Attributes and Metadata;
End User	means any user of a Service Provider's resources or services made available under the framework of the federation;
Federation	means the UK Access Management Federation for Education and Research;
Federation Operator	means the JNT Association, trading as 'UKERNA';
Federation Operator Procedures	means the 'Federation Operator Procedures' document;

Funding Councils	means the councils and government departments (other than, for the avoidance of doubt, BECTA and the Committee) mentioned in the Introduction or their successors and any other bodies which elect to participate in the funding of JANET through JISC.
Identity Provider	means any Member who is responsible for providing Attributes for End Users;
Member	means any organisation, institution or individual who has enrolled in the federation;
Metadata	means technical and administrative data related to the Member as described in the Technical Specification;
Recommendations for Use of Personal Data	means the document ‘Recommendations for Use of Personal Data’;
Rules	means these rules and the Federation Operator Procedures, Technical Specification and Recommendations for Use of Personal Data each as updated from time to time by the Federation Operator pursuant to Section 11;
Service Provider	means any Member who grants access to End Users to services or resources made available by that Member;
System	means the Member’s hardware, software and any other IT asset which is used to process the Data;
Technical Specification	means the documents ‘Technical Recommendations for Participants’ and ‘Federation Technical Specification’; and
Working Day	means any day of the week, other than Saturday, Sunday or any public holiday in the United Kingdom.

- 1.2. In the event of any conflict or inconsistency between this document and any of the Federation Operator Procedures, Technical Specification and Recommendations for Use of Personal Data then this document will prevail.

2. Membership

- 2.1. Eligibility for membership and the enrolment process is set out in the Federation Operator Procedures.

- 2.2. Membership of the federation is conditional upon the Member accepting and abiding by these Rules and the Member acknowledges that these Rules are binding upon and enforceable against the Member by the Federation Operator.
- 2.3. The Member acknowledges that membership of the federation does not itself grant it or its End Users automatic access to the resources of other Members, and that such access is conditional upon each Member agreeing appropriate terms with the relevant Service Provider governing that access. The Federation Operator will not be responsible for, nor have any liability in respect of, the performance or otherwise of those terms and will not be required to resolve any disputes in relation to those terms.
- 2.4. The Member acknowledges that the Federation Operator may, without incurring any liability to the Member and without prejudice to any other rights or remedies of the Federation Operator, take such action or may require the Member to take such action as is necessary in the opinion of the Federation Operator to protect the legitimate interests of other Members or the reputation of the federation or the Federation Operator or to ensure the efficient operation of the federation.
- 2.5. The Member acknowledges that the Federation Operator may introduce charges to cover its costs in administering the federation. Such charges will only be introduced following consultation with the Committee and following a reasonable period of notice. If the Member is unwilling to pay such charges, it may withdraw from the federation in accordance with Section 9.1.
- 2.6. The Federation Operator will provide support to Members as detailed in the Federation Operator Procedures.

3. Rules which apply to all Members

- 3.1. The Member warrants and undertakes that:
 - 3.1.1. all and any Data, when provided to the Federation Operator or another Member (as the case may be), are accurate and up-to-date and any changes to Metadata are promptly provided to the Federation Operator;
 - 3.1.2. it will comply with the mandatory requirements of the Technical Specification, and use its reasonable endeavours to adopt the non-mandatory recommendations of the Technical Specification;
 - 3.1.3. the System itself and the security of such System complies with or exceeds the mandatory requirements of the Technical Specification;
 - 3.1.4. it will observe Best Practice in relation to the exchange and processing of any Data and in the obtaining and management of the DNS names, digital certificates and private keys;

- 3.1.5. it holds and will continue to hold all necessary licences, authorisations and permissions required to meet its obligations under these Rules.
- 3.2. The Member will not act in any manner which damages or is likely to damage or otherwise adversely affect the reputation of the federation.
- 3.3. The Member may use the federation logo in accordance with the federation logo usage rules.
- 3.4. The Member grants the Federation Operator the right to publish and otherwise use and hold the Data for the purpose of promoting and administering the operation of the federation.

4. Rules which apply to Service Providers

- 4.1. The Service Provider must not aggregate or disclose to third parties any Attributes supplied by Identity Providers.
- 4.2. The Service Provider will only use the Attributes for the purpose of making resource or service access control decisions and only in respect of the service or resource for which the Attributes have been provided.
- 4.3. The Service Provider acknowledges that it is responsible for management of access rights to its services or resources and the Federation Operator will have no liability in respect thereof.

5. Data Protection and Privacy

- 5.1. The Member must comply with any applicable legislation in relation to data protection and privacy, including without limitation the Data Protection Act 1998.
- 5.2. The Member must comply with the mandatory requirements set out in the Recommendations for Use of Personal Data, and use its reasonable endeavours to comply with the non-mandatory recommendations set out in that document.

6. User Accountability

- 6.1. Where Identity Providers have the technical and organisational ability to match use of services or resources provided by Service Providers to individual End Users, then the Member may either upon enrolment or at any time thereafter declare this to the Federation Operator in the Metadata. Once the Identity Provider has made this declaration, it must comply with the provisions of this section 6. The Identity Provider acknowledges that where it is unable or unwilling to make this declaration this may affect access for End Users to Service Providers' services or resources.
- 6.2. The Identity Provider must have a documented process for issuing credentials that may give access to Service Providers' services or resources. This documentation must be made available on request to Service Providers to whom the Identity Provider is, or is planning to, provide access management information.

- 6.3. The Identity Provider must use reasonable endeavours to provide those End Users in respect of whom the Identity Provider provides Attributes with appropriate information on how to use their credentials safely and securely.
- 6.4. The Identity Provider must ensure that it provides accurate information about such End Users, in particular:
 - 6.4.1. credentials of End Users who are no longer members of the organisation must be revoked promptly, or at least no Attributes must be asserted for such End Users to the federation;
 - 6.4.2. where unique persistent Attributes (e.g. eduPersonTargettedID) are associated with an End User, the Identity Provider must ensure that these Attribute values are not re-issued to another End User for at least 24 months;
 - 6.4.3. where an End User's status, or any other information described by Attributes, changes, the relevant Attributes must be also changed as soon as possible.
- 6.5. The Identity Provider must retain sufficient logging information to be able to associate a particular End User with a given session that it has authenticated. This information must be kept for a minimum of three months to enable misuse to be investigated but no longer than six months or such other period agreed with the Service Provider, subject always to the principles of Data Protection Act 1998.
- 6.6. The Identity Provider will be responsible and liable for the acts or omissions of any End User they authenticate and they must ensure that complaints about those End Users are dealt with promptly and effectively.
- 6.7. When using services or resources provided by Service Providers, the Identity Provider must ensure that End Users abide by the licences or other agreements in relation to those services or resources, as well as rules and policies set by their own organisation, by any Identity Provider that makes statements about them (if different from the End User's own organisation), and by the network(s) they use to access those services or resources. If an End User is subject to conflicting policies then the more restrictive policy will apply.
- 6.8. Members must give reasonable assistance to an Identity Provider investigating misuse. In particular, Members that use outsourced Identity Providers must ensure that they cooperate with the Identity Provider to investigate and punish misuse.

7. Disclaimer and Limitation of Liability

- 7.1. Unless agreed otherwise in writing between Members, the Member will have no liability to any other Member solely by virtue of the Member's membership of the federation. In particular, membership of the federation alone does not create any enforceable rights or obligations directly between Members.

- 7.2. The Member must ensure that each of its End Users waives any claims of whatever nature, to the extent permitted by applicable law, against the Federation Operator or other Members related in any way to the authentication and authorisation framework created by the federation.
- 7.3. The Member acknowledges and agrees that the Federation Operator has no liability under these Rules or otherwise in respect of:
 - 7.3.1. authentication of End Users (which is the responsibility of the relevant Identity Provider);
 - 7.3.2. authorisation of End Users (which is the responsibility of the relevant Service Provider);
 - 7.3.3. the provision of resources or services by Service Providers;
 - 7.3.4. errors or faults in the registration or publication of Metadata.save as may be expressly agreed otherwise in writing between the Federation Operator and the Member.
- 7.4. The Member acknowledges and agrees that, although the Federation Operator may carry out certain auditing, monitoring and verification activities in respect of Members, as set out in the Federation Operator Procedures and pursuant to Section 8.1, the Federation Operator will not be obliged to carry out such activities and will have no liability to Identity Providers or Service Providers in respect of such activities.
- 7.5. Neither the Federation Operator nor the Member will be liable in any circumstances, whether in contract, tort (including negligence or breach of statutory duty) or otherwise for:
 - 7.5.1. loss of profits or revenue, loss of savings, loss of use or opportunity, loss of business, loss or spoiling of data, loss of contracts, lost or wasted management or employee time or any increased costs or expenses, in each case whether direct or indirect;
 - 7.5.2. any special, indirect or consequential damage of whatever nature that does not flow directly or naturally from the breach or tort in question, that results from any intervening causeeven if in all cases the party had been advised or, or knew of, the likelihood of that loss or type of loss arising.
- 7.6. Nothing in these Rules will operate to exclude or limit liability for death or personal injury caused by the negligence of employees of the Member or the Federation Operator (as the case may be), or for fraud.

8. Audit and Compliance

- 8.1. The Member acknowledges and agrees that the Federation Operator will, on reasonable notice to the Member, have the right to audit the System and the Member's processes and documentation to verify that the Member is complying with these Rules. The Member shall co-

operate with and provide such assistance as reasonably required by the Federation Operator in connection with such audit.

- 8.2. Whether pursuant to an audit or otherwise, where the Federation Operator has reasonable grounds for believing that the Member is not so complying, then the Federation Operator may notify the Member of such alleged non-compliance in sufficient detail to allow the Member to take action in respect of the non-compliance. Following receipt of such notice, if the Member disputes such allegation, it must provide the Federation Operator with its detailed response to the allegation within 30 days of the notice. If the Member has not provided such response, or otherwise cured the non-compliance to the Federation Operator's reasonable satisfaction within 30 days of the notice, then the Federation Operator may terminate the Member's membership of the federation.

9. Termination

- 9.1. The Member may voluntarily withdraw from the federation upon 5 Working Days' notice to the Federation Operator.
- 9.2. The Federation Operator may dissolve the federation upon no less than 5 months' notice to all Members if the Federation Operator is served with notice by the Funding Councils of the termination of the Funding Memorandum between the Funding Councils and the Federation Operator, or of the Funding Councils' intention to withdraw funding for the Federation Operator.
- 9.3. The Federation Operator may terminate this Agreement with immediate effect by giving written notice to the Member, without any compensation or damages due to the Member, but without prejudice to any other rights or remedies which either Member may have, if the member has a receiver, administrative receiver, administrator or other similar officer appointed over it or over any part of its undertaking or assets or passes a resolution for winding up (other than for the purpose of a bona fide scheme of solvent amalgamation or reconstruction) or a court of competent jurisdiction makes an order to that effect or if the Member becomes subject to an administration order or enters into any voluntary arrangement with its creditors or ceases or threatens to cease to carry on business or is unable to pay its debts or is deemed by section 123 of the Insolvency Act 1986 to be unable to pay its debts, or undergoes or is subject to any analogous acts or proceedings under any foreign law, including, but not limited to, bankruptcy proceedings.

10. Consequences of Cessation of Membership

Following cessation of the Member's membership (under any circumstances):

- 10.1. the Federation Operator will cease to publish the Member's Metadata and will inform the remaining Members that the entity is no longer a Member;

- 10.2. the entity will cease to hold itself out as being a Member and will inform its End Users that its membership has ceased;
- 10.3. the entity will remove the federation logo from all of its materials.

11. Changes to Rules

The Federation Operator may, following consultation with the Committee, publish amendments to these Rules from time to time, which will become binding upon the Member upon publication. The latest version of these Rules will always be found on the federation website. Changes to these Rules will also be communicated in writing to all Members.

12. Dispute Resolution

- 12.1. If any dispute arises between the parties arising from or relating to these Rules, the Federation Operator or the Member will refer the dispute to their respective representatives, whereupon the Federation Operator representative and the Member representative will promptly discuss the dispute with a view to its resolution.
- 12.2. If any dispute cannot be resolved in accordance with Section 12.1 within 10 Working Days, the Member or the Federation Operator may require that the matter be referred for consultation between the Chief Executive or equivalent of the Member and the Chief Executive of the Federation Operator. In this event, both the Member and the Federation Operator will be represented by one or more members of their respective Boards in consultations which will be held within 15 Working Days of the requirement.
- 12.3. Subject to Sections 12.4 to 12.6 in the event that any dispute cannot be resolved under Sections 12.1 and 12.2, then the dispute will be referred by either party to the Committee. The decision of the Committee will be final and binding.
- 12.4. With respect to any dispute concerning the compliance by the Member with these Rules, if such dispute cannot be resolved under Sections 12.1 and 12.2 then the dispute will be referred by either party to a person agreed by the parties, and in the absence of such agreement within 5 Working Days of notice from either party calling on the other so to agree, to a person chosen on the application of either party by the British Computer Society. Such person ('the Expert') will be appointed to act as an expert and not as an arbitrator. The costs of such expert will be borne equally by the parties unless such expert decides one party has acted unreasonably in which case he will have discretion as to costs.
- 12.5. In all cases the terms of appointment of the Expert by whomsoever appointed will include:
 - 12.5.1. a commitment by the parties to supply to the Expert all such assistance, documents and information as he may reasonably require for the purpose of his determination;

- 12.5.2. a requirement on the Expert to act fairly as between the parties and according to the principles of natural justice;
 - 12.5.3. a requirement on the Expert to hold professional indemnity insurance both then and for 3 years following the date of his determination; and
 - 12.5.4. a requirement to give a decision as soon as reasonably practicable and in any event within 20 Working Days of the Expert's appointment.
- 12.6. The Expert's decision will be final and binding on the parties. The parties expressly acknowledge and agree that they do not intend the reference to the Expert to constitute an arbitration, that the Expert's decision is not a quasi judicial procedure and that the parties will have no right of appeal against the Expert's decision, provided always that this will not be construed as waiving any rights the parties might have against the Expert for breaching his terms of appointment or otherwise being negligent.

13. General

- 13.1. These Rules are governed by laws of England and Wales and the English Courts will have exclusive jurisdiction to deal with any dispute which may arise out of or in connection with these Rules.
- 13.2. If any provision of these Rules is held to be unenforceable by any court of competent jurisdiction, all other provisions will nevertheless continue in full force and effect.
- 13.3. All notices which are required to be given under these Rules must be in writing and sent, in respect of the Federation Operator, to c/o UKERNA, Atlas Centre, Chilton, Didcot, Oxfordshire, OX11 0QS and, in respect of the Member, to the address of its principal office, or in either case, to any other address in the United Kingdom which the recipient may designate by notice given in accordance with the provisions of this Section. In the case of notice by electronic mail, it must be sent, in respect of the Member, to the address provided by the member in the Metadata and, in respect of the Federation Operator, to *service@ukerna.ac.uk*.
- 13.4. Except where otherwise stipulated in these Rules, any notice may be delivered by first class prepaid letter or by facsimile transmission or by electronic mail or by a URL reference contained in an electronic mail. Notice will be deemed to have been served:
- 13.4.1. if by first class post, 48 hours after posting;
 - 13.4.2. if by facsimile transmission or electronic mail or by a URL reference contained in an electronic mail, when dispatched.

Notification of an introduction or variation of charges under Section 2.5 termination of membership under Sections 8 or 9 may only be given by first class post or facsimile transmission.

- 13.5. The Member agrees that no third party is entitled to the benefit of these Rules under the Contracts (Rights of Third Parties) Act 1999, or otherwise. No right of either the Member or the Federation Operator to agree any amendment, variation, waiver or settlement under or arising in respect of these Rules, or to terminate these Rules, will be subject to the consent of any person who has rights or can benefit under these Rules by virtue of that Act.
- 13.6. These Rules and all the documents referred to in them supersede all other agreements, arrangements and understandings between the parties in respect of their subject matter, and constitute the entire agreement between them relating to their subject matter.
- 13.7. The Member may not assign or otherwise transfer its membership of the federation without the prior written consent of the Federation Operator.

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