



Policy requirements for joining the UK federation

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Policy framework

1. Mandatory

- Rules of Membership

2. Advisory

- Recommendations for Use of Personal Data
- Technical Recommendations for Participants
- Federation Technical Specifications
- Federation Operator Procedures



Rules of Membership

- The basic contractual framework for trust

1. Definitions
2. Membership
3. Rules which apply to all members
4. Rules applying to SPs
5. Data Protection and Privacy
6. User Accountability
7. Liability
8. Audit and Compliance
9. Termination
10. Membership Cessation
11. Changes to Rules
12. Dispute Resolution
13. General



Introduction

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

1. Definitions

- Attribute
- Data
- End User
- End User Organisation
- Federation
- Federation Operator
- Federation Operator Procedures
- Funding Councils
- Good Practice
- Member
- Metadata
- Policy and Governance



2. Membership

- Membership – conditional upon the member accepting and abiding by the rules
- The member acknowledges that membership does not grant automatic access to resources
- Federation operator may take action to protect other members



3. Rules – All Members

- All statements must be accurate and up-to-date
- Must not act in a manner which damages federation
- Must grant right to federation operator to publish metadata
- Must give reasonable assistance to other members investigating misuse
- Should use reasonable endeavours to comply with the Technical Specifications
- Should observe good practice in relation to the exchange and processing of any data



4. Rules - Service Providers

- SPs will only use attributes to
 - Make service access control or presentation decisions and only for the service for which the attributes have been supplied
 - Generate aggregated anonymised usage statistics for service development, reporting or by contractual agreement
- SPs are responsible for the management of access rights to their services



5. Data Protection & Privacy

- The Member must comply with any applicable legislation in relation to data protection and privacy including the Data Protection Act 1998
- The Member must use reasonable endeavours to comply with the Recommendations for Use of Personal Data



6. User Accountability

- End user organisation may declare user accountability
- End user organisation must have a documented process for issuing credentials, which must be made available to SPs upon request (does not need to be published)
- Must provide appropriate information to their users about how to use their credentials safely and securely



6. User Accountability (cont)

- End user organisations must ensure that accurate information is provided, in particular
 - Credentials of end users must be promptly revoked
 - Where unique persistent attributes are associated with an end user, they must not be re-issued for at least 24 months
 - Other information about end user status must be updated promptly
- Retain sufficient logging to associate end user with authenticated session (min 3 – max 6 months)
- Complaints must be dealt with promptly and effectively



7. Disclaimer & Limitation of Liability

- Membership does not create any enforceable rights or obligations between federation operator and members
- Membership does not create any enforceable rights or obligations directly between members
- Members may agree variations, to the exclusions of liability, with other members



8. Audit & Compliance

- The federation operator has the right to audit the system and the members processes and documentation to verify that the member is complying with the rules
- If the federation operator has reasonable grounds for believing that the member is not complying with the rules and following 30 days notice where a remedy has not been applied the federation operator may terminate a members membership



9. Termination

- A member may voluntarily withdraw from the federation with 20 working days notice
- The federation operator may dissolve the federation upon no less than 3 months notice to all members if:
 - The Funding Councils notify the federation operator of termination of funding
 - The Policy Board notifies the federation operator that the federation is to be closed-down



10. Consequences of Cessation of Membership

- The federation operator will cease to publish the members metadata and will inform the remaining members that the organisation is no longer a member
- The organisation will at its own cost:
 - Cease to hold itself out as being a member and inform its end users
 - Remove the federation logo from all material



11. Changes to the rules

- The federation operator may, following consultation with the Policy Board, publish amendments to these rules from time to time which will be binding on publication.

12. Dispute Resolution

- Resolving issues within the federation



Questions?

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