

Revised Joint Proposal – Cardiff University and LSE

Cardiff University (CU) and LSE propose that CU's "HighTIME" project and LSE's "HEIdI" project be merged, thus creating a joint project which addresses both the Identity Management within Institutions and the Identity Management Across Institutional Boundaries strands of the JISC e-Infrastructure development programme. CU is the lead financial institution in this proposal.

Overview

Both CU and LSE feel that a joint project, which aims to accomplish the vast majority of what each separate proposal aimed to do, would be beneficial to both the JISC and the community at large.

The key points of our joint proposal are thus:

1. CU's proposal of a very broad survey of current identity management practises, with deeper investigations into the most representative institutions, merges well with LSE's proposal of studying identity management in depth within itself and its 7 partner institutions;
2. In effect, CU would provide the broad survey as before, and the deeper investigations in the most representative institutions would go ahead, but with a guaranteed 9 institutions already definitely being a part of this. CU would alter the part of its proposal where it studied itself first to fit in with the methodology and outputs of the other 8 surveys planned by LSE;
3. CU's survey would still retain its original seven work packages: The core work package of examining current identity management practises in a range of institutions; Investigating practise and policy around institutional membership; Investigating how having NHS links affects Identity Management needs; Investigating how having Grid Infrastructure affect Identity Management needs; Examining existing tools available; Identifying common problems and solutions; and Identifying Best Practise and future developments (see the original Cardiff "HighTIME" bid for further information.
4. This merging together of survey methodologies helps mitigate against the risk of non-cooperation from other UK institutions expounded in CU's Risk Log;
5. LSE would manage the majority of working with the 7 partner institutions, and also would manage the web-based dissemination effort planned by LSE, and as such have had all of the money for dissemination allocated to them;
6. Of only two substantive changes in this joint proposal compared to the individual proposals, the first is that less FTE time per the 7 partner institutions is being "bought", as CU and LSE will take on part of the burden of documentation;
7. The second substantive change is that CU's dissemination budget be removed. We are proposing that instead of CU running an identity management conference at the end of the project, the JISC could run and manage a national Identity Management event at which we (CU and LSE) would provide the main content and be the main speakers. We feel that a JISC managed event would be more encompassing to other UK institutions and would receive a higher level of interest than a purely institutional run conference;
8. Any further substantive changes, made to lessen the joint budget, would necessitate cutting core aspects and key deliverables from either CU or LSE's original proposals.

Thus, in this joint proposal, the main outputs of Cardiff's proposal and LSE's proposal would be retained in both substance and delivery. The combined project would produce a wide-ranging overview of Identity Management practice in UK F&HE, and 9 detailed studies of institutional Identity Management, to be published and structured so that they could be used as a basis for similar audits by other institutions on their own initiative. The project would use this work as a vehicle to make a significant contribution to awareness-raising by JISC within the community.

Project Consortium

The seven partner institutions (in addition to LSE and Cardiff) that will undertake detailed studies of their internal and cross-domain Identity Management practices bring a number of strengths to the project and the documented experience it will deliver for JISC:

- They provide a diverse group of higher education institutions (large/small; single/general subject focus; research/teaching focus; traditional/non-traditional student base).
- They show an interest in identity management issues (demonstrated for many of them by prior collaboration in the ShibboLEAP project).
- They provide a diverse range of identity management issues to cover all the points of the call (including Grid use, Shibboleth installations of varying degrees of maturity, Single Sign On (SSO), collaborative courses and other long-term inter-institutional collaborations, internal and shared dynamic virtual organisations, classes of users other than the standard staff/student mix, library access schemes, and NHS involvement).
- They have successfully completed past project work in collaboration with other partners.

The partners form a representative range of institutions which will be a good testbed for the identity management issues which are likely to face UK higher education as a whole in the next few years. The project will be structured to make full use of this diversity while offering central support from the LSE/Cardiff Project Team.

The successful ShibboLEAP project provides a good base for this work because the partners gained experience with identity management issues in the process of ensuring that their internal systems were ready for the secure installation of the Shibboleth Identity Provider software. The emphasis of ShibboLEAP on ensuring the security of institutional identity management before exposing credentials externally with Shibboleth and other SSO technology has achieved international recognition, including from Jim Farmer and Chad la Joie at Georgetown University in Washington DC, who wish to adopt a similar approach to their own Shibboleth roll out projects, and have already expressed an interest in this project. This experience will help them and the other partners to carry out similar audits of other internal systems and identity management needs. Partners in this bid previously involved in ShibboLEAP are: Birkbeck, Imperial College London, LSE, Royal Holloway, SOAS, and University College London.

The institutional partners also demonstrate a range of current identity management environments (in both technical and organisational senses), and different stages of readiness to address these issues, which will make them a representative sample of UK higher education institutions in this respect. Between them the project partners can justifiably represent identity management experts, practitioners and stakeholders in the higher education community. More detailed descriptions of each partner institution are included in the original HEIdI project proposal submitted by LSE.

Budget

	<i>JISC Contribution Requested</i>	<i>Internal Contribution</i>	<i>Total</i>
Cardiff University			
<i>Staffing costs (gross):</i>			
<i>FeC Costs (for total of 1.3 FTE):</i>			
Recruitment costs		£910	£910
Staff training		£6,500	£6,500
Consumables		£650	£650
Small equipment		£1,300	£1,300
Accommodation		£7,150	£7,150
Lighting		£312	£312
Heating		£572	£572
HR and Financial Administration		£780	£780
Secretarial support		£1,950	£1,950
Car Parking		£260	£260
<i>Other:</i>			
Travel & Subsistence	£5,000		£5,000
Equipment (specify individual items over £10k)	£8,000		£8,000
Dissemination activities			
Evaluation activities		£5,000	£5,000
Sub-Total for Cardiff University	£77,183	£25,384	£102,567
LSE			
<i>Staffing costs (gross):</i>			
Admin, Support (AR2, 0.7 FTE)	£27,644		£27,644
Institutional Key Researcher, LSE (AR2, 0.2 FTE)	£8,821		£8,821
<i>FeC Costs (for total of 2.1 FTE):</i>			
Based upon London-averaged FeC costs		£107,369	£107,369
<i>Other:</i>			
Travel & Subsistence	£2,000		£2,000
Equipment (specify individual items over £10k)			
Dissemination activities	£2,000		£2,000
Evaluation activities		£5,000	£5,000
Sub-Total for LSE	£101,853	£112,369	£214,222

	<i>JISC Contribution Requested</i>	<i>Internal Contribution</i>	<i>Total</i>
<i>Partner Institutions</i>			
<i>Staffing costs (gross):</i>			
Institutional Key Researcher, BBK (AR2, 0.2 FTE)	£8,821		£8,821
Institutional Key Researcher, GOLD (AR2, 0.2 FTE)	£8,821		£8,821
Institutional Key Researcher, ICL (AR2, 0.2 FTE)	£8,821		£8,821
Institutional Key Researcher, QMUL (AR2, 0.2 FTE)	£8,821		£8,821
Institutional Key Researcher, RHUL (AR2, 0.2 FTE)	£8,821		£8,821
Institutional Key Researcher, SOAS (AR2, 0.2 FTE)	£8,821		£8,821
Institutional Key Researcher, UCL (AR2, 0.2 FTE)	£8,821		£8,821
<i>FeC Costs (Based upon London-averaged FeC costs, 0.2 FTE each):</i>			
BBK		£10,226	£10,226
GOLD		£10,226	£10,226
ICL		£10,226	£10,226
QMUL		£10,226	£10,226
RHUL		£10,226	£10,226
SOAS		£10,226	£10,226
UCL		£10,226	£10,226
<i>Sub-Total for Partner Institutions</i>	£61,746	£71,579	£133,325
<i>Overall Total</i>	£240,782	£209,229	£450,112
<i>(Percentage of total funding)</i>	53.5%	46.5%	
Total requested from JISC	£240,782		

Project Management & Support

The joint project will have a national steering committee, guiding the project as a whole. Core project management and support functions will be divided between the staff at Cardiff and LSE, with Joan Wright at Cardiff (as the Lead Partner) taking named responsibility for financial and formal progress reporting to JISC, and John Paschoud at LSE taking responsibility for liaison between the partnership, with external agencies and relevant projects (such as the parallel JISC-funded investigations into Levels Of Assurance), and for reporting to the national steering committee.

The core project team at Cardiff and LSE will perform the bulk of the work on both the National IM Overview, and the 9 Institutional IM Studies, depending on local staff in each partner institution to gather basic information from their own institution, and lead on local dissemination activities about the work of the project. The core project team will also devote significant time to outward-facing dissemination, during the whole life of the project, contributing to and working with other channels of dissemination available to JISC.

It will be recommended that all partners (including LSE and Cardiff) should establish (or identify an existing institutional body that can act as) a local project advisory group, representing key departments or services of their institution concerned with Identity Management. These bodies will provide local advice to the project and help to raise local awareness of the issues with which it is dealing. The relevant groups of representatives at LSE and Cardiff have already been identified.

An important feature of the Consortium Agreement (already in draft) for the project will be trust between partners, so that potentially sensitive or security-compromising information about the

internal infrastructures, policies and procedures of a partner can be disclosed to the project team in the knowledge that it will be handled appropriately and not published without proper approvals and safeguards.

Overall Governance

A national oversight committee for the project would be set up. This committee would exert overall control of the joint project, ensuring that the deliverables produced during the project are appropriate.

The committee would invite a senior representative from each of the 9 partner institutions, with LSE being invited to nominate a Chair of the group. Cardiff would nominate Dr Hugh Beedie (CTO and Assistant Director, INSRV) as Vice-Chair of the group. Representatives would also be invited from relevant outside bodies, including UCISA (David Harrison, current UCISA Vice-Chair) and the JISC. The steering group would aim to meet face to face 3 times during the 1 year project (at the start of the project, 6 months in, and at the end), and would meet virtually through video conferencing and email collaboration as often as deemed necessary.

A sub-group of this committee would be set up as a working group to interact with relevant key communities identified by the committee (e.g. the UK Access Management Federation, the NHS-HE Forum, BECTA). Direct links to various communities already exist, e.g. David Harrison is a member of the NHS-HE Forum).

Core Project Management Team

Mr Rhys Smith	Development Engineer, INSRV - Principal Investigator
Mr Jonathan Giddy	Grid Technologies Coordinator, WeSC
Mr Paul Rock	Principal Consultant Engineer (Directory Services), INSRV
Ms Joan Wright	Principal Consultant (Strategy, Projects & Liaison), INSRV - Project Manager
Mr John Paschoud	InfoSystems Engineer & Projects Manager, LSE Library
Mr Simon McLeish	Principal Technical Officer, LSE Library

Conclusions

We at Cardiff University and at the LSE feel that a project, in collaboration between our two institutions (and in partnership with the 7 project partners named in LSE's original proposal), which addresses both the Identity Management within Institutions and the Identity Management Across Institutional Boundaries strands of the JISC e-Infrastructure development programme, would be of great benefit to the JISC and the community as a whole. We feel that our two institutions can work together and bring the sum total of our knowledge and experience within the area of identity management within, and between, institutions, to guide the joint project to a successful completion.