

# InCommon Baseline Expectations

## Steering Committee Report and Request for Action

**Prepared By** InCommon Community Trust and Assurance Board

**Date** March 27, 2019

### Requested Action

We are seeking the InCommon Steering Committee's vote to approve this [Action Plan](#) and the related recommended actions as described in [Appendix B: Organizations with Entities Missing Baseline Expectations](#).

### Executive Summary

Since adopting [the Baseline Expectations for Trust in Federation](#) in January 2018, InCommon Federation Operations, in collaboration with the InCommon Community Trust and Assurance Board (CTAB) have been working with Participants to transition to meet Baseline Expectations. This Action Plan below provides a risk-based approach to considering the non-adhering entities, including action, communication and rollback sections.

The deadline to meet the metadata requirements associated with Baseline Expectations was December 14, 2018. As of March 27, 2019, the following reflect adoption of the specification:

- 95% (720 of 758) federation Participant organizations,
- 97% (513 of 528) Identity Providers, and
- 97% (4584 of 4706) of all entities.

### Impact of Recommended Action to the Federation

The remaining 38 organizations (122 entities) can be found here ([Organizations with Entities Missing Baseline Expectations](#)) and have been cataloged in 4 groups:

NOTE: Where we recommend removal, we are referring to the removal of an non-adhering entity's metadata from the published InCommon metadata aggregate. It is meant to be a final communication tactic to incent organizations to meet Baseline Expectations. It does not affect an organization's status and relationship with the InCommon Federation, nor does it affect the status of an organization's BE-adhering entities.

Impact Level	Description	Org / Entities Count	Action
High	Higher education institutions with active InCommon IDPs or active federated service providers used by the community <b>which have neither addressed nor responded to CTAB inquiries</b>	15 Orgs 7 IDPs 11 SPs	Recommend removal
Low	<b>Organizations leaving or have left</b> the InCommon Federation	1 Org 1 IDP	Recommend removal
Varies	Organizations that InCommon Operations is <b>working to update organizational information (merger/acquisition, Exec or Site Admin update).</b>	12 orgs 6 IDPs 33 SPs	Monitor and recommend later action if necessary
Low	<b>Organizations using bi-lateral trust</b> , i.e., the service has been deployed to integrate with only one identity provider; also includes organizations with non-adhering entities that appear to be test entities (based on entity name and description).	10 orgs 1 IDP 63 SPs	Monitor and recommend later action if necessary;  Ask customer organizations to urge these service providers to make contact with InCommon.

## Action Plan

To begin closing out transitioning the InCommon Federation to meet Baseline Expectations for Trust in Federation and bring all participants into adherence, **we recommend the following actions and schedule contingent on Steering acceptance of this report:**

Date	Action	Impact
March 28, 2018	<b>Notify community of mandatory requirement that all new or updated entities submitted for publishing</b>	Informational action meant to incent

	must meet Baseline Expectations before they can be included in the InCommon metadata as of April 8, 2018.	Participant action.
April 8, 2019	<b>Enforce mandatory requirement</b> that all new or updated entities must meet Baseline Expectations.	InCommon Ops automates enforcement. No “back sliding.”
April 15, 2019	<b>Notify community</b> that effective May 15, 2019, high risk entities that do not meet Baseline Expectations, along with entities belonging to organizations separating from InCommon, will be removed from the InCommon metadata. To the extent possible, identify and announce the “intent to remove” to their federated partners as well.	Informational action meant to incent Participant action.
May 15, 2019	<b>Remove all high risk entity and all no risk entities</b> still not meeting Baseline Expectations from the InCommon metadata.	Possible service outages for high risk entities.
Ongoing	<b>For those organizations that we are working with</b> to identifying contacts, CTAB will establish reasonable mitigation plans for meeting Baseline Expectations after new contacts are on board.	Grace period for orgs working with us on outdated contacts.

## Rollback Plan

When InCommon Ops removes these entities from metadata, they will appear to the site administrator as unpublished and missing BE elements in the Federation Manager Portal. The site admin can simply update the entity and resubmit it for publishing. Alternatively, InCommon Ops can rollback and republish the non-conforming entity, if needed.

## Appendix A: Baseline Expectations: Dispute Resolution Action Plan

This section describes a step-by-step plan to close out the 2018 initiative to transition the InCommon Federation to Baseline Expectations, including the communication and rollback plan.

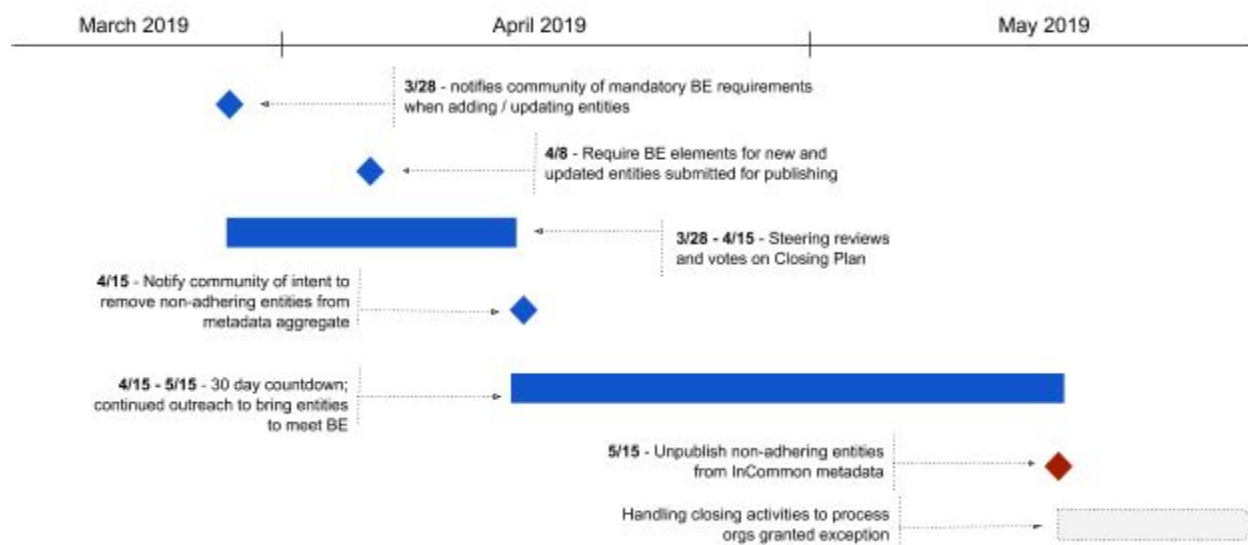


Figure: Baseline Expectations Closeout Plan Timeline

### 1. Notice of Formal Steering Committee Review and Closeout

**Timeframe:** March 28, 2019

**Action:** CTAB officially forwards this report to InCommon Steering Committee for review and decision. At the same time, CTAB and InCommon Operations formally notifies the InCommon Executive and Site Administrator(s) of the organizations listed in this report the committee's decision to forward the dispute docket to the Steering Committee for resolution.

In parallel, InCommon Operations notifies the federation participants of the intent to turn on mandatory Baseline elements enforcement in Federation Manager(see #2 below).

### 2. Mandatory Baseline Elements Enforcement

**Timeframe:** April 8, 2019

**Action:** InCommon Operations updates Federation Manager Portal to require any new or updated entity record to meet Baseline Expectations elements before it can be submitted for publication in the InCommon metadata aggregate.

**Impact:** When adding or changing metadata, participants will only be able to publish an entity's metadata to the InCommon metadata aggregates if it meets all Baseline Expectations requirements. This update stops participants from introducing additional non-adhering entities into the InCommon metadata.

This update does not affect already published entities.

### 3. Steering Committee Review and Decision

**Timeframe:** March 28, 2019 - April 15, 2019

**Action:** The Steering Committee reviews and votes on the CTAB recommendations in this report, approves or rejects the recommendations, and if applicable, requests alternative actions.

**NOTE:** The remaining actions (4,5, and 6) and their associated timing are contingent on Steering Committee's approval of this plan by April 11, 2019.

### 4. Communicating with the Impacted Parties

**Timeframe:** April 15, 2019

**Action:** InCommon officially notifies organizations operating non-adhering entities of the Steering Committee decision, (if applicable) intent to remove metadata, and required action for remediation.

In addition to notifying the organizations operating the impacted entities, where possible, InCommon operations will attempt to identify participants who may be affected by the removal of a well known or widely used entity. InCommon operations will communicate the intent to remove to these affected parties. These affected parties may include:

- The original sponsoring campus of a Sponsored Partner
- Campuses we may be able to deduce based on the ID or name of the non-adhering entity. (e.g., University of Missouri OneCampus / <https://mizzouone.onecampus.com>)

Finally, we will post the intent to remove notice on the InCommon participants list and publish the list on the InCommon web site and in the Trust and Identity newsletter.

### 5. 30 Day Countdown

**Timeframe:** April 15, 2019 - May 15, 2019

**Action:** InCommon operations will continue to work with organizations to meet Baseline Expectations, including sending weekly Baseline Expectations Health Check reminders.

This final countdown window gives organizations one final chance to update their metadata to meet Baseline Expectations. We have found throughout this project that having a definite, actionable deadline stimulates action.

## 6. Unpublishing Non-adhering Entities from InCommon Metadata

**Timeframe:** May 15, 2019

**Action:** InCommon Operations will unpublish the non-adhering entities sign metadata as usual, removing the entities. The site administrator for the entity can then log into the Federation Manager Portal and update their unpublished entity information with the new BE elements and submit it for including in the next metadata signing.

**Impact:** Once blocked, users and services relying on the InCommon metadata to reach and interoperate with the offending entity will no longer be able to do so. This may cause substantial service outage.

### Rollback Plan

When InCommon Ops removes these entities from metadata, they will appear to the site administrator as unpublished and missing BE elements in the Federation Manager Portal. The site admin can simply update the entity and resubmit it for publishing.

Alternatively, InCommon Ops can rollback and republish the non-conforming entity, if needed. The site administrator would need to contact us about this request.

## Appendix B: Organizations with Entities Missing Baseline Expectations

Please see: [InCommon Baseline Expectations Dispute Resolution Action Plan Appendix B: Organizations with Entities Missing Baseline Expectations](#)

## Appendix C: Summary of Outreach Activities

Since the start of the Baseline Expectations initiative, InCommon operations, with the help of the community volunteers, have made numerous attempts to reach out to help participants meet Baseline Expectations. These activities include:

## **Webinars, Blogs, and Presentations**

Beginning July 2017, InCommon operations and CTAB hosted a series of outreach and education webinars (July '17, January '18, February '18, March '18). Multiple blogs and Global Summit/Tech Ex presentations followed.

## **Bi-weekly Health Check Notifications**

Starting summer 2018, InCommon began sending bi-weekly health check notifications to the InCommon Executives and Site Administrators of organizations who still have entities missing Baseline Expectations. The bi-weekly notices continued through January 2019, when Baseline Expectations entered Stage 3 of the Community Dispute Resolution process, and CTAB began the review of the dispute dockets.

## **Individual phone calls and emails**

In Fall 2018, InCommon contracted with 2 individuals to individually contact each named InCommon Exec and Site Admin affiliated with organizations with entities missing Baseline Expectations.

In parallel, InCommon operations sought to update any out-of-date Executive and Site Admin contacts.

## **Office Hours**

Between October 2018 and mid January 2019, InCommon operations and CTAB hosted weekly office hours to help organizations complete the Baseline Expectations updates.

## **CTAB Outreach**

In January 2019, per the Community Dispute Resolution Process, InCommon forwarded the dockets of organizations still missing Baseline Expectations to CTAB for review and follow up. Beginning February 1, 2019, CTAB members began directly reaching out to organizations to resolve issues. Where necessary and possible, CTAB members also reached out to their individual network of community members who may assist with establishing contact where the named InCommon contacts were missing or unresponsive. During this review and follow up between February 1, 2019 and this document's writing, 26 organizations met Baseline Expectations.

## **Appendix D: References**

[Baseline Expectations for Trust in Federation Wiki](#)

[Transitioning the Community - October 2018](#)

[Baseline Processes Roadmap](#)

[Implementing Baseline Expectations in InCommon Metadata](#)

[Processes to Maintain Baseline Expectations by InCommon and its Members](#)

[Community Consensus Process](#)

[Community Dispute Resolution Process](#)

[Testing Your Own Metadata for Baseline Expectations](#)