



InCommon Assurance Community Call

Introducing CTAB: Renewing Community Guidance for InCommon's Trust and Assurance
Community

December 6, 2017

Brett Bieber
InCommon Assurance Advisory Chair



Topics

What is the Community Trust and Assurance Board (CTAB)?

Charter for CTAB

- Name Change: AAC to CTAB

- Expanded Membership

- Change in Duties

Consultation Open

Nominations for New Members

What is the InCommon
Community Trust
& Assurance Board (CTAB)?

AAC Charter Changes Needed

Assurance Advisory Committee (AAC) Charter Updated and Approved by InCommon Steering 2014, December 2014

Table of Contents

- 1 Membership
- 1.2 Selection of Chair and Vice Chair
- 2 Duties
- 3 Criteria for Success
- 4 Voting Requirements
- 5 Resource Requirements
- 6 Group Meetings and Communications
- 7 Membership Expectations
- 8 Acknowledgments
- 9 Change Log

1. Description & Constitution

The Assurance Advisory Committee (AAC) is the **advisory body of the InCommon Assurances Program** and an advisory body to the InCommon Steering Committee. In the event that clarification is required the AAC shall refer to InCommon Steering and shall act according to their request.

1.1 Membership

Voting Membership of the AAC is by appointment of the InCommon Steering Committee. Members serve three year terms at the pleasure of the Steering Committee. In the event that a member must resign, they shall submit that resignation 60 days prior to the need to cease performing responsibilities.

The AAC should consist of no more than ten voting individuals, including a member of the InCommon Steering Committee and at least one representative from each of the following stakeholder groups:

1. Organization supporting an Identity Provider (IdP)
2. Organization supporting a Service Provider (SP)
3. Auditor
4. InCommon Staff and
5. Interested individuals at Large.

In addition the Membership may include non-voting Subject Matter Experts, as deemed necessary, to advise on and support assessments and interpretation and understanding of the Identity Assurance documents or other matters.

1.2 Selection of Chair and Vice Chair

The chair and vice chair of the AAC shall be selected by the InCommon Steering Committee. The chair and vice chair will serve one year terms to begin on January 1st and end on December 31st. The InCommon Steering Committee will select a new vice chair each year who will become the chair following one year of service as vice chair.

Updated Dec. 2014

1

1. Duties

The duties of the AAC are to:

1. Provide leadership and oversight of the entire InCommon Assurance Program
2. Review applications for certification to assist one or more InCommon Identity Assurance Qualifiers as set forth in the latest published InCommon Identity Assurance documents, as well as any renewals, relocations or appeals thereof, including resolving any complaints or concerns submitted about certified IdPs.
3. **Identify and engage in opportunities to provide new assurance services within the Assurance Trust and Identity in Education and Research.**
4. Coordinate with the InCommon Steering Committee and other groups as directed or deemed reasonable.
5. Make Recommendations to InCommon Steering Committee for the following:
 - a. Award or denial of Identity Assurance Certificates
 - b. Assurance Issues
 - c. Changes to Assurance documents
 - d. Changes to the Assurance certification program

1. Criteria for Success

The AAC shall be deemed to be effective in its operations when each of the following goals is consistently achieved:

1. **Conducts an timely assessment of applications, renewals and appeals for certification**
2. **Professional and reasonable resolution of assessment issues (open to the existing nature of levels of assurance), in consultation with the Identity Assurance Assessment Framework (IAAF)**
3. **Confidentiality maintained throughout the process**
4. **Continuity of use of the InCommon Assurance system**

4. Voting Requirements

The following voting rules shall apply to decisions of the AAC:

1. A quorum comprises of least a simple majority of the voting members whether participating in person or electronically.
2. Recommendations to Steering Committee should be reached using a group decision process that seeks the consent, not necessarily the agreement, of all participants and the resolution of legitimate objections. If a simple majority vote is necessary due to absence of general agreement, all those voting "no" must submit a minority report to accompany the recommendation.
3. In the event that a minority report does not accompany AAC recommendations, the Steering Committee will consider them as concurred by the majority of the AAC and absent of significant concern.

5. Resource Requirements

Updated Dec. 2014

2

1. The AAC requires the following support from InCommon:
 - a. Access to InCommon Staff and Steering Committee for its receipt of certification recommendations and their timely processing
 - b. Secure, restricted, and segregated access storage of certification applications, supporting documentation, and correspondence with applicants that is isolated from the general member area.
 - c. Access to the web-based applications as well as associated applications and related documentation
 - d. Conference call facilities
 - e. Logistics and administrative support, including documenting meeting discussions and decisions, and support for an annual face-to-face meeting

6. Group Meetings and Communications

Communication is conducted mainly through electronic mail utilizing the meeting lists and through conference calls. AAC voting may be conducted through email or through telephone communications as determined most appropriate. Face-to-face meetings will occur as necessary, annually at a minimum, in conjunction with regular scheduled InCommon meetings when possible.

If there is no need, both conference calls and face-to-face meetings may be canceled by the AAC chair in consultation with InCommon Staff.

7. Membership Expectations

AAC members shall:

1. **Maintain strict confidentiality throughout the assessment process - before, during and after.**
2. Any conflict of interest must be disclosed and parties involved should recuse themselves from the affected vote.
3. Participate in meetings, teleconferences, and e-mail discussions before, during and after certification program reviews as needed. AAC members will be required to be available with a reasonable response time via email and/or telephone during **business hours**.
4. Cover their own costs incurred as a result of participation, including the repetition of attending at least one face-to-face AAC meeting per year.

8. Acknowledgments

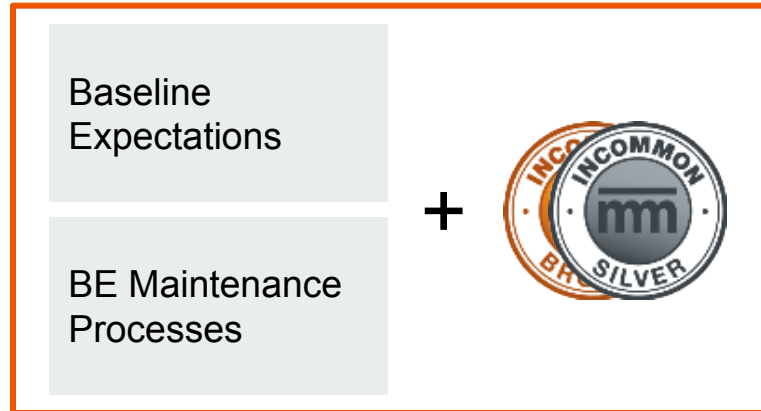
This Charter was modified on the Karlsruhe Assurance Review Board Charter with permission.

Updated Dec. 2014

3

What is the CTAB?

Formerly the Assurance Advisory Committee, the Community Trust and Assurance Board (CTAB) represents the InCommon community in InCommon's trust and assurance related programs and initiatives.



Charter: Areas of Change



Proposed CTAB Membership

Universities and Colleges, both large and small

Research and scholarly communities

Commercial service providers, both large and small

IT and IT Security strategic leadership

IAM and Information Security operations

International perspective

Internal Audit

InCommon Staff



IdPs



Proposed CTAB Membership

Universities and Colleges, both large and small

Research and scholarly communities

Commercial service providers, both large and small

IT and IT Security strategic leadership

IAM and Information Security operations

International perspective

Internal Audit

InCommon Staff



SPs



Proposed CTAB Membership

Universities and Colleges, both large and small
Research and scholarly communities
Commercial service providers, both large and small
IT and IT Security strategic leadership
IAM and Information Security operations
International perspective
Internal Audit
InCommon Staff



FedOps



Proposed CTAB Membership

Universities and Colleges, both large and small
Research and scholarly communities
Commercial service providers, both large and small
IT and IT Security strategic leadership
IAM and Information Security operations
International perspective
Internal Audit
InCommon Staff



IdPs

SPs

FedOps

Community Trust & Assurance Board Duties



Proposed CTAB Duties

Shepherd community consensus on trust and assurance related issues.



Proposed CTAB Duties

Review trust and assurance related disputes between InCommon Federation participants. Liaise with international federations to address related disputes.



Proposed CTAB Duties

Provide leadership and oversight of InCommon's trust and assurance programs and initiatives. Identify and engage in opportunities to develop new initiatives and assurance profiles to enhance trust and assurance for InCommon, its participants, and other Research and Education federations.



Proposed CTAB Duties

Perform identified functions supporting the InCommon Assurance Program.

Coordinate with the InCommon Steering Committee and other groups as directed or reasonable.

Questions for the Community



Questions

Does the membership correctly represent InCommon?

Are there other duties the CTAB should perform?



Consultation Open

Internet2 Spaces Wiki, Consultation on the Charter is open until January 2nd.

<https://spaces.internet2.edu/display/InCAssurance/Consultation+for+Community+Trust+and+Assurance+Board+%28CTAB%29+Charter>



The Road Ahead



Next Steps

Finalize Charter, approval from InCommon Steering

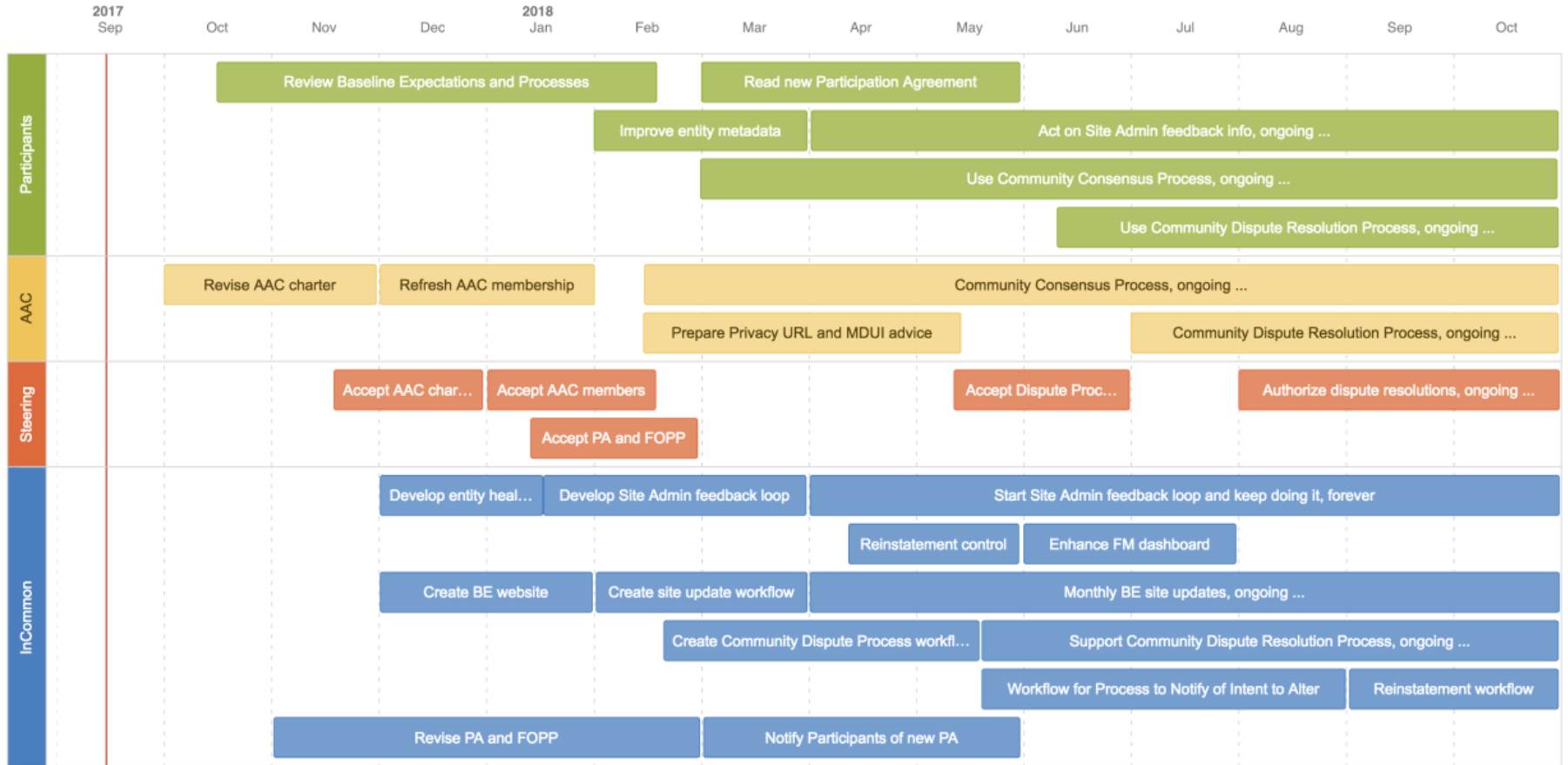
Boot-up Baseline Expectations & Maintenance Processes

- Communicate changes in support of Baseline Expectations

- Consult with InCommon Ops on Metadata Health Check services

- Seed community consensus process

- Support community dispute resolution process



Marker 1

Roadmap: <https://spaces.internet2.edu/display/BE/Baseline+Processes+Roadmap>



Accepting Nominations for CTAB

We are currently accepting nominations for the Community Trust & Assurance Board.

Please reach out to express interest or with any questions to Brett Bieber, InCommon Assurance Advisory Committee Chair, aac@incommon.org.

Nominations will be accepted through Friday, December 22, 2017.



Upcoming Webinars

January, 2018 – IdP and SP Baseline Expectations

February, 2018 – Baseline Expectations Health Checks on metadata

March, 2018 – Participation Agreement Changes

If the idea of helping InCommon to mature and increase its value appeals to you, please consider serving on the CTAB, or on a Review Board when asked.

