
Systemic Infrastructure Initiative Reporting Requirements

There are two parts to the Reporting Requirements, both of which need to be completed.

The first part is called **A. Summary of Progress Report**, which is included with this document. It should include a Summary of the Project, Management Arrangements for the Project, and a Report on Progress to Date.

The second part is called **B. Cash Flow Report**, which should show the Source of Funds (Income), Application of Funds (Expenditure) and Net Result (Surplus/Loss).

Please download and complete both reports and return them as email attachments to: anne.herbert@dest.gov.au

Please complete the following information.

I have completed and attached the following information:

- X A. Summary of Progress Report**
- X B. Cash Flow Report**

I understand that giving false or misleading information is a serious offence.

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Report Date:	10th March 2008

"Information on this form is collected in order to fulfil the reporting requirements of the Systemic Infrastructure Initiative Agreement. The information collected may be passed to the Minister for Education, Science and Training. In other instances, information on this form can be disclosed without your consent where authorised or required by law."

A. Summary of Progress Report

The University of Queensland

Australian Access Federation

Reporting Period: 1st July to 31st December 2007

<p>Summary of the Project:</p> <p>Please include:</p> <ul style="list-style-type: none">• Expected outcomes• Dependence on third parties or other projects• Major milestones <p>Commencement Date: 01/03/2007</p> <p>Expected Completion Date: 31st December 2008</p>	<p>The Australian Access Federation Project aims to establish a formal Trust Federation which, with its policy framework and infrastructure, may facilitate trusted electronic communications and collaboration within and between higher education and research institutions both locally and internationally as well as with other organizations. This project builds on the existing DEST funded work in the first phase of the e-Security Framework project (based at the University of Queensland) and the MAMS (Meta Access Management System project, based at Macquarie University).</p> <p>Part of this project is dependent on the progress made by the MAMS Shibboleth and the eSecurity Framework projects.</p> <p>This Project involves three linked components:</p> <p>Part 1: The development of overarching governance and policies for the whole Trust Federation (these are independent of delivery technologies);</p> <p>Part 2: The development of specific policies, technical implementation and rollout of PKI for a Trust Federation; and</p> <p>Part 3: The development of specific policies, technical implementation and rollout of Shibboleth for a Trust Federation.</p> <p>The University of Queensland has contracted AusCERT to develop the first 2 components of this project and has contracted Macquarie University to develop the 3rd component.</p> <p>The project plan has been agreed by the Steering Committee.</p> <p>Please find below a list of the major milestones to be achieved during this project by its components:</p> <p><i>Phase 1 – Q3 – Q4 2007</i></p> <p>AAF Governance</p> <ul style="list-style-type: none">• Propose and Review of type of entity for management of the Trust Federation.• Review and consolidate existing policy and governance recommendations from prior work (especially MAMS and e-Security).<ul style="list-style-type: none">○ Attribute Policy○ Credential Policy○ Identification Policy• Propose business model requirements for ongoing support (staffing requirements and costs for users of the Trust Federation). <p>AAF PKI</p> <ul style="list-style-type: none">• Develop the processes, procedures, policies and technical specifications required for a production Public Key Infrastructure (PKI) for the Australian Higher Education and Research Federation• Develop a secure infrastructure to support a production PKI for the sector, using appropriate international standards• Develop AusCERT Root CA/RA, Sub CA/RA, Grid CA, Trusted CA, Server CA, Validation and Recovery Service.
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AAF Shibboleth

- Develop technical policies for Shibboleth Trust Federation
- Develop/test technology required for joining the Shibboleth Trust Federation as an Identity Provider
- Develop/test technology required for joining the Shibboleth Trust Federation as a Service Provider
- Support for early adoption of Shibboleth among Australian universities (including continuation of MAMS mini-grant program)

Phase 2 – Q1 – Q2 2008**AAF Governance**

- Develop policy and governance for Trust Federation management entity
 - Federation operation procedures
 - Development of an FAQ
 - Membership Agreement development
 - Federation Participation Guidelines
 - Application Submission Guidelines
 - Fee schedule
- Legal review of Trust Federation requirements
- Wide consultation on the policy, governance and organisation of the Trust Federation
 - Formal call for review from the community
- Development of AAF website
 - Populate website with content

AAF PKI

- Implement the processes, procedures, policies and technical specifications which are needed for a production Public Key Infrastructure (PKI) for the Australian Higher Education and Research Federation.
- Implement a secure infrastructure to support a production PKI for the sector, including AusCERT Root CA/RA, Sub CA/RA, Grid CA, Trusted CA, Server CA, Validation and Recovery Service.

AAF Shibboleth

- Implement technical policies for Shibboleth Trust Federation
- Implement technology required for joining the Shibboleth Trust Federation as an Identity Provider
- Implement technology required for joining the Shibboleth Trust Federation as a Service Provider
- Develop/test technology to support collaboration services within the Shibboleth Trust Federation (e.g. eResearch Toolkit, Open Standards Repositories, and Collaborative Workflow Software)

Phase 3 – Q3 – Q4 2008**AAF Governance**

- Establishment of the Trust Federation
- Develop training and compliance audit for the federation
 - Develop training materials for AAF operation

AAF PKI

- Conduct web trust audit of the infrastructure and the procedures, policies and technical specifications of the PKI.
- Request integration of the AusCERT root certificate into a number of web browsers.
- Process bridging requests with other CAs.
- Develop training courses for implementing PKI in universities and research institutions.
- Develop of the Hosted CA infrastructure for institutions unable or unwilling to implement their own CA.

	<ul style="list-style-type: none"> • Provide support for adoption of PKI among Australian universities. <p>AAF Shibboleth</p> <ul style="list-style-type: none"> • Implement technology to support collaboration services within the Shibboleth Trust Federation (e.g. eResearch Toolkit, Open Standards Repositories, and Collaborative Workflow Software) • Process bridging requests with overseas federations, e.g. in the US, UK, and other EU countries who are Shibboleth compatible • Develop training courses for implementing Shibboleth in universities and research institutions • Develop and implement a Virtual Identity Provider infrastructure for institutions unable to implement their own IdP, with appropriate vetting by federation members • Maintain and further develop a conversion service, which converts Shibboleth assertions to PKI certificates, in order to provide seamless Single Sign-On access for the grid community • Support for adoption of Shibboleth among Australian universities • Propose evolution of Federation infrastructure to accommodate new technological developments
<p>Management arrangements for the project</p> <p>Please include:</p> <ul style="list-style-type: none"> • Sharing/partnership arrangements • Management committee • Financial arrangements 	<p>Sharing/partnership arrangements</p> <p>The University of Queensland is the lead institution for this project and is supported by Macquarie University and AusCERT.</p> <p>AusCERT is implementing parts 1 and 2 of this project, while Macquarie University is implementing part 3 of this project.</p> <p>Management Committee</p> <p>This project has a Steering Committee representative of the stakeholders.</p> <p>The Steering Committee for this project is as follows:</p> <ul style="list-style-type: none"> • Alan Bevan (<i>The Learning Federation</i>) • Andrew Cheetham (PVCR, University of Western Sydney) • James Dalziel (<i>Macquarie University</i>) • Michael Dupe' (<i>Australian Government Information Management Office (AGIMO)</i>) • Rhys Francis (<i>National Collaborative Research Infrastructure Strategy (NCRIS)</i>) • Chris Marlin (DVCR, Flinders University) • Clare McLaughlin (<i>Department of Education, Science and Training (DEST)</i>) • Thien Tran (<i>Department of Education, Science and Training (DEST)</i>) • Peter Nicholson (<i>Department of Education, Science and Training (DEST)</i>) • Richard Northam (<i>Council of Australian University Directors of Information Technology (CAUDIT)</i>) • Viviani Paz (<i>Australian Computer Emergency Response Team (AusCERT) - AAF Project Manager</i>) • Alex Reid (<i>Australia's research and education network (AARNet)</i>) • Nick Tate, Chair (<i>The University of Queensland</i>) • Thien Tran (<i>Department of Education, Science and Training (DEST)</i>) • Keith Webster (<i>Council of Australian University Librarians (CAUL)</i>) <p>The SC has voted to invite Mr Alex Reid to participate in the SC, in addition CAUL has requested to replace Ms Maxine Brodie with Mr Keith Webster, which the SC has accepted.</p> <p>Financial arrangements</p>

	<p>Funds for Part 1 and Part 2 of this project are held at the University of Queensland.</p> <p>Funds for Part 3 of this project are held at Macquarie University.</p> <p>All currency amounts have been rounded to the nearest whole dollar.</p>
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Note: the above will remain for the duration of the project. Any variation must be approved in writing by DEST.

REPORT ON PROGRESS TO DATE

<p>Conformance with specified outcomes (as above):</p> <p>Please include:</p> <ul style="list-style-type: none"> • Project activities • Achievements • Timing issues impacting on achieving milestones • Changes to personnel, partners or arrangements • Other problems or difficulties encountered 	<p>Project activities</p> <p>The Steering Committee has been meeting regularly and is providing input into the project.</p> <p>The project plan has been drafted and approved by the steering committee.</p> <p>The following tasks were/are being undertaken by the project team:</p> <p>Outreach Activities</p> <ul style="list-style-type: none"> • Disseminate information about AAF, this has been undertaken via workshops and presentations at conferences such as eResearch Australasia 2007, AARNet Ozconference on IdM, XWorld, AICTEC Meeting, Questnet2007, APAC2007, HES Board (on 16th October), CAUDIT General Meeting in Christchurch (on 18th October), Apple in Cupertino (on 31st October), New Zealand Advanced Network Capability Development Fund IdM workshop (on 5th November), Hong Kong University IT directors (on 8th November), DVCs meeting (on 8th November). • In addition AAF PKI and Shibboleth hands on workshops were held on the following dates: <ul style="list-style-type: none"> ○ August 27th to 29th – Sydney ○ October 15th to 17th - Perth • Development of AAF project website (www.aaf.edu.au) • Development of a communications plan for AAF • Development of an animation providing an overview of the AAF. (http://www.aaf.edu.au/aaf-federated-access-management-animation) • The activities undertaken by the aueduperson, Grid and Levels of Assurance (LOA) working groups are progressing. • The aueduperson working group has developed the auEduperson Schema definition and canvassed the community for feedback (http://www.aaf.edu.au/attributes). • The Grid WG has progressed discussions and identified areas that AAF could support the Grid community, prioritise potential projects/areas. • LOA WG to progress discussions on AAF Identity and Authentication levels of assurance for the AAF. <p>Governance</p> <ul style="list-style-type: none"> • Proposed and reviewed of type of entity for management of the Trust Federation. Initial governance document has been drafted and circulated to the AAF SC. Follow up discussions and reviews are taking place at the SC meetings. • Review and consolidate existing policy and governance recommendations from prior work (especially MAMS and e-Security). <ul style="list-style-type: none"> ○ Attribute Policy ○ Credential Policy ○ Identification Policy • Propose business model requirements for ongoing support (staffing requirements and costs for users of the Trust Federation). • Sought legal advice from The University of Queensland legal officer with regards to governance models.
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	<ul style="list-style-type: none"> • Progressing discussions with Universities Australia and HES to act as AAF contracting entity. • Progressing discussions with potential operational entities. <p>AAF PKI</p> <ul style="list-style-type: none"> • Developing the processes, procedures, policies and technical specifications required for a production Public Key Infrastructure (PKI) for the Australian Higher Education and Research Federation <ul style="list-style-type: none"> ◦ Refining certificate profiles for AAF • Developing a secure infrastructure to support a production PKI for the sector, using appropriate international standards <ul style="list-style-type: none"> ◦ The AAF PKI network and architecture have been refined and deployment of the pilot core infrastructure has commenced. • Developing AusCERT Root CA/RA, Sub CA/RA, Grid CA, Trusted CA, Server CA, Validation and Recovery Service. • Discussions with vendors to include the AusCERT Root certificate in the browsers have progressed. Microsoft, Mozilla and Apple have indicated they support the business case for including the AusCERT Root certificate in the browsers providing we pass a Webtrust audit and in Microsoft's case comply with ISO21188. • Refining policies and procedures in light of vendors and WebTrust requirements. • Selected Certificate Management System for AAF PKI. • Progressing evaluation of Hardware Security Module appliance, required to perform cryptographic tasks and store cryptographic materials. • Surveyed CAUDIT members in order to gauge the usage of PKI server certificates and end user certificates within their institutions. • Staff recruitment. • Conducted AAF Governance and PKI Workshops: <ul style="list-style-type: none"> - August 2007 (Macquarie Uni) - October 2007 (APAC venue, Perth) <p>AAF Shibboleth</p> <ul style="list-style-type: none"> • Developing AAF Shibboleth Trust Federation related documentation: policy (rules of membership), requirements, recommendations and guidelines. • Developing/testing Federation Management technology (informational pages, interfaces for viewing AAF membership, joining as an Identity Provider (IdP), joining as a Service Provider (SP)). • Developing/testing IdP administration and privacy management technology ("ShARPE" for IdP administration, "Autograph" for end-user privacy control) • Developing/testing shared services, Shibboleth enabled tools, and "Open" IdP (virtual home organisation) • Support for early adoption of Shibboleth among Australian universities (primarily telephone support) • Preparing AAF Shibboleth MiniGrant invitation, evaluating applications, establishing service agreements and conducting project meetings. <p>MiniGrants awarded are:</p> <ul style="list-style-type: none"> - La Trobe University: IdP, AARLIN portal and repository SP - Australian National University: Lyceum blogging service SP - University of Queensland(QFAB): Bioinformatics data and tools SP - University of Melbourne: IdP, MUSE Portal and repository SP - University of South Australia: IdP, CAFAS Marking Assistant SP - University of Adelaide: IdP, Molecular/Biomedical Science Tools SP - ac3/ANSTO: IdP (ANSTO Bragg Institute), data repository SP - Aust. Bureau of Met./CSIRO: IdP (HPCCC), data server SP <ul style="list-style-type: none"> • Conducted Shibboleth Workshops: <ul style="list-style-type: none"> - August 2007 (Macquarie Uni) - October 2007 (APAC venue, Perth) - November 2007 (Aust. Bureau of Statistics, ACT) - December 2007 (Macquarie Uni)
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	<ul style="list-style-type: none">• Involvement in working groups: auEduPerson, Grid, Levels of Assurance• Recruitment & External liaison <p>Timing issues impacting on achieving milestones</p> <p>This project is tightly linked to the outcomes of the MAMS and eSecurity Framework project.</p> <p>The AAF PKI component of this project is dependent on the eSecurity Framework for Research project that was successfully completed in late June 2007. Starting this component of the project before the results of its predecessor were available would have resulted in a significant waste of time and money.</p> <p>The AAF Shibboleth component of this project is dependent on the MAMS project that was begun in 2004, and since the start of 2007, has been running in parallel with this project. The MAMS project provides support for the existing MAMS Testbed Federation and early implementation work on relevant Shibboleth technologies (eg, Federation Manager, ShARPE, Autograph, etc), which the Shibboleth component of the current project is building on the MAMS outcomes to implement the production ready Shibboleth federation for the AAF.</p> <p>In light of the initial delays to the start of the project and the dependencies on outcomes from previous projects the Project Manager has requested approval from DEST for the completion date for the project to be extended to the 31st December 2008, to enable the project to fulfil its many objectives. This request has been granted by DEST.</p> <p>There is a level of dependency on the input and support from stakeholders, including the Steering Committee, and Higher Education and Research Sector for this project to succeed.</p> <p>There are a number of technical issues involved the implementation of the AAF where different views exist between the AusCERT and Macquarie teams. While this has been a topic of ongoing discussion during the project, there remain important issues yet to be resolved. Delays in resolving these issues may impact on the wider implementation timelines. The teams are actively discussing these issues to attempt to resolve these differences and hence minimise any impact on implementation timelines.</p>
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