**Draft**

**Memorandum of Understanding (MoU)**

**for the establishment of a**

**Federated Identity Management System (“Umbrella”)**

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hereinafter referred to individually as “**Party**” or collectively as “**Parties”,**

have agreed upon the following provisions regarding their collaboration on the establishment of a Federated Identity Management System:

**Preamble**

Recognizing, THAT

* the Parties are operating and developing Photon and Neutron facilities with a user community of >30’000 + visiting scientists alone in Europe;
* about 30 - 40% of these users increasingly perform experiments at different European facilities, which augments their need for trans-facility services such as:
  1. access to and management of experimental data,
  2. remote experiment access,
  3. access to efficient data analysis tools,
  4. remote file access,
  5. harmonized proposal forms, and
  6. harmonized application surfaces;
* unified access to these trans-facility services requires a unique, persistent user identification in the form of a Federated Identity Management System (so-called “Umbrella”);
* the Umbrella is a European-wide, community-overlapping system, which was developed within the framework of different EU FP7 projects (namely EuroFEL, PaNdata Europe, PaNdata ODI, CRISP, NMI3, as well as CALIPSO [[1]](#footnote-1)) within this collaboration under the coordination of PSI.

BEING UNDERSTOOD,

that a close cooperation is needed between the involved facilities regarding the establishment of the Umbrella in order to meet the technological and scientific challenges of novel and rapidly developing technologies in the field of trans-facility access and services.

**ARTICLE 1**

**Purpose and Scope**

* 1. The Purpose of this MoU is to establish an efficient long-term collaboration between the Parties in order to facilitate authentication and authorization procedures to access trans-facility user services. Due to the shared infrastructure, the most essential services will remain fully functional, even if the entire Umbrella breaks down.
  2. The preamble and its annexes form an integral part of the present MoU.
  3. The Parties will jointly further develop, implement and operate the Umbrella, which provides a unique and persistent identity for users of the European Analytical Facilities - the so called “Umbrella ID” (see article10). Details are agreed upon by a Steering Committee (SC, see Article 4).
  4. The Umbrella enables single sign on (SSO) access to Service Providers (SP’s) within the Umbrella Federation. This way, services can be shared and associated workloads (e.g. developing appropriate tools and maintaining services) be divided.

**ARTICLE 2**

**Collaboration Membership**

**2.1** *Membership* of the Umbrella Collaboration is obtained via the signature of this MoU. In adhering to this MoU, each Party undertakes to contribute to the operation of the locally installed Umbrella components for the mutual benefit of all the Parties of the collaboration.

**2.2** As a second possibility, Parties may enter the collaboration as *Participants.* Participants have the right to use the Umbrella services without any additional rights.

**ARTICLE 3**

**Entry into force, duration, new parties, and modifications**

**3.1** This MoU will come into effect upon the date of the first signature of the first Party and will automatically be renewed on a yearly basis.

**3.2** Any changes to the MoU have to be agreed upon by the SC and be fixed in writing.

**3.3** The Parties would like to invite other institutes to join the collaboration by signing this MoU also after its entry into force. The approval of the membership of a new Party requires an unanimous decision by the SC members.

**3.4** The Parties are free to leave the consortium, as defined in Article 4.1, at any time.

**ARTICLE 4**

**Collaboration Management**

**4.1** The Parties of this MoU form a consortium, which is composed of a SC in charge of organizational and managerial decisions, and a Technical Team (TT) in charge of the technical aspects of the Project.

**4.2** Each Party nominates a representative to the SC, who may delegate the authority at his/her discretion. The SC shall be chaired by one of the representatives, to be elected by simple majority for the duration of one year. Re-election of the same representative is allowed..

**4.3** The SC shall take its decisions by simple majority..

**4.4** The SC shall meet regularly, at least once per year, in order to review the progress achieved and to discuss and decide upon strategic matters. Urgent matters may be decided in-between meetings by written procedure (via e-mail) by the SC. If a Party does not respond to a written procedure within the deadline defined, its consent will be assumed.

**4.5** Technical issues will be delegated by the SC to the TT. Each Party nominates one representative to the TT, who may delegate the authority at his/her discretion. The TT shall be chaired by a representative elected by simple majority for the duration of one year (renewable).

**ARTICLE 5**

**Related infrastructure and services**

**5.1.** Anyone interested in the use of any of the services offered by the “Umbrella” collaboration may register for an account at UmbrellaID.org. Registering for an account implies acknowledging the privacy policy and the terms of use published on UmbrellaID.org[[2]](#footnote-2).

**5.2.** The identity system is realized as a federated network of identity provider instances (IdPs) and a federation of SPs, based on the existing user office systems of the analytical facilities. Authentication is provided by this system , which guarantees the uniqueness of the user identity. The authorization of the users remains fully under the control of the local user offices.

**5.4** The most essential services like proposal and beam time handling are provided by the individual facilities’ web user offices (WUOs), which implement the interface between the users and the facilities. A user authenticated on UmbrellaID.org is able to use any of the WUOs he has registered to without the need to login again.

**5.5** Regarding the storage of scientific data in archives accessible through local data catalogues, any user will be able to access, transfer and manage his/her own data or share it with colleagues inside or outside a scientific collaboration, irrespective of the physical location of the data or the instrument / facility utilized to generate it.

**5.6** A number of additional services will become available in due course, offering a rich platform accessible with a SSO.

**5.7** A Party providing a service has the responsibility and rights for that service. All services shall be made available to all users, but are subject to authorization by the Party offering the service. For example, any user may implicitly be authorized on an open access scientific database or a software catalogue. On the other hand, the WUOs will always demand a local registration and, in some cases, certain documents like a passport before granting access to beam lines or facilities.

**ARTICLE 6**

**Costs**

Each Party shall bear its own costs for the development and operation of the Umbrella.

**ARTICLE 7**

**Responsibilities for performance of work**

Each Party shall ensure that suitable staff is available to perform the activities covered under the present MoU.

**ARTICLE 8**

**Security**

**8.1** The TT defines and the SC approves appropriate measures for protection against external and internal misuse of the Umbrella.

**8.2** Each Party is responsible for making sure that their own security policy is not compromised by the Umbrella services.

**8.3** Granting or denying access to local services remains the responsibility of the individual Party. Every SP has the right to define his/her own rules.

**ARTICLE 9**

**Umbrella account opening**

The creation of an Umbrella account generates an Umbrella-ID, which is immediately valid for authentication to access services provided by the Umbrella. An Umbrella account is only valid in combination with a local account.

**ARTICLE 10**

**Intellectual Property and Publications**

The Parties agree that developments (i.e. the implementation of new functionalities) within the Umbrella collaboration will be released under the open source licence: “GNU Lesser General Public License” LGPL https://www.gnu.org/licenses/lgpl.html.

**Article 11**

**Management of UmbrellaID.org**

UmbrellaID.org is managed by the Umbrella collaboration; all corresponding certificates and registrations irrespective of the actual registrar shall be used only for purposes of the Umbrella collaboration.

**ARTICLE 12**

**Data Confidentiality**

The amount of personal information stored in the Umbrella system will be kept at the strict minimum. Personal information shall not be used by any of the Parties for any other purpose than described in Article 1.

**ARTICLE 13**

**Validity**

The Parties acknowledge that this MoU shall only be construed as an expression of their desire to accomplish the objectives described herein, recognizing that it is not intended to constitute a legally binding document. Therefore, any other specific activities not covered by this MoU must be negotiated in a form mutually acceptable to the Parties, in order to establish the respective rights and responsibilities in regard to such matters as rights in information and intellectual property (including inventions and discoveries, patents, copyrights and technical data), confidentiality, liability for injuries, damages, and other technical, legal, and/or administrative (including financial, where applicable) requirements or other commitments.

1. EuroFEL: EuroFEL is part of the ESFRI Roadmap since 2006. The preparatory phase of EuroFEL (IRUVX-PP) prepared the establishment of the EuroFEL Consortium to link FEL & SPS facilities in Europe closer together. IRUVX-PP has been funded by the European Commission under FP7 from April 2008 to March 2011.

   PaNdata Europe: PaN-data Europe was an EU Support Action under INFRA-2010-3.3

   PaNdata ODI: PaNdata Open Data Infrastructure is a FP7 (INFRA-2011-1.2.2; Grant Agreement RI-283556)

   CRISP: Cluster of Research Infrastructures for Synergies in Physics (ESFRI Roadmap project since 2011).

   NMI3: Integrated Infrastructure Initiative for Neutron Scattering and Muon Spectroscopy under FP7

   CALIPSO: Coordinated Access to Lightsources to Promote Standards and Optimization under FP7 [↑](#footnote-ref-1)
2. .Privacy policy Umbrella: <http://www.geant.net/uri/dataprotection-code-of-conduct/v1> [↑](#footnote-ref-2)