ISD User Entitlements Policy

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This document defines the University's policy on user entitlements for access to ISD Services, and is based on the following principles.

- **Ensuring that process are in place so that all users are provided with appropriate levels of access to UEA services**
- **Ensuring that UEA has in place suitable controls to meet the requirements of third parties providing services to UEA under licence**

Version history

Version	Date	Note
v0.1	12 Mar 2010	First draft outline document
v0.2	17 May 2010	Revised following comments from BB & ICT heads
v0.3	28 May 2010	Revised following comments from JG & EK
v0.4	10th Jun 2010	Revised following comments from ISDMT
v0.5	5th Jul 2010	Revised following comments from HW & NL
v0.6	10th Aug 2010	Revised following comments from ISDMT
V0.7	16th Nov 2011	Revised for discussion by ISDMT 23.11.11
V1.0	25th Nov 2011	Revised following comments from ISDMT
V1.1	28th Aug 2013	Moved Policy into new format and included additional information on Governance and Maintenance.
V1.2	29th Sept 2013	Revised after consultation with entitlements working party
V1.3	3rd Oct 2013	Revised after consultation with SPC
V1.4	18th Oct 2013	Comments from Raymond Scott added
V1.5	28th Oct 2013	Comments from ISDMT included
V1.6	30th Oct 2013	Comments from Jonathan Colam-French
V2.0	8th Nov 2013	Approved by ISSC

Introduction

The UEA Information Services Directorate provides services to a wide and diverse range of individuals and organisations. Many of these services are in turn provided to UEA under licence by third parties with restrictions often in place limiting how widely the service can be offered. This User Entitlements Policy seeks to ensure that we have policy and process in place that define who is allowed to access to what.

Aims

The aims of this policy are to:

- To ensure that the actual level and nature of access available is appropriate to the nature of the individual's relationship with the university.
- To ensure that the University abides by licensing restrictions that may be applied by external agencies or suppliers.
- To ensure that entitlement levels are reviewed on a regular basis.
- Provide a framework and guidance for those drawing up new agreements or Service Level Definition with a proposed group who require use of University Services.

- To minimise the complexity and management overhead of account provisioning.

Scope

This policy applies to:

- All staff, students, visitors and commercial users of University facilities.
- All IT Infrastructure and services
- All Library resources and facilities
- Provision of University Campus Cards
- Access to University Buildings
- Policy excludes entitlements within Corporate IT systems (Access Privileges)

Policy statements

- In using ISD provided Services users agree to abide by University Regulations (in particular Library Rules and Conditions of Computer Use (CoCU)).
- With the exception of information and services freely available on our web site, access to IT facilities and electronic resources requires authentication via an IT user account.
- Access to the Library and its physical resources and facilities is via the campus card.
- Individuals under the age of 18 will be subject to the University's normal rules and regulations and will be able to access the majority of ISD's services and resources in the same way as all other students.
- An entitlements matrix shall be created and maintained. The entitlements matrix will define the level of services and resources available to different groups of user according to their role and relationship with the University.
- Service owners will ensure that appropriate controls are in place to provide the appropriate level of access to different groups of users as defined in the entitlements matrix.

Managing Entitlements

An entitlements matrix shall be created and maintained. This will provide a mapping of service availability to different categories of user and is used to determine the granting of entitlements.

Services are defined in the ISD Service Catalogue, a copy of which is available at
http://www.uea.ac.uk/is/strategies/isd-service-catalogue.

The following categories of users are defined in the entitlements matrix:

- **Staff:** All employees of the University of East Anglia (UEA), recorded in the University's HR system, involved in teaching on and supporting UEA award bearing courses and non-award bearing courses, academic research activities or the delivery of administrative support.
- **Student (UEA):** All fee paying students, recorded in the University's Student Record System, registered and studying on UEA award bearing and non-award bearing courses.
- **Student (Non fee paying):** All students registered and studying on UEA non-fee paying courses, including UEA MOOCs.
- **Student (INTO):** All fee paying students registered and studying on INTO and INTO UEA London award and non-award bearing courses.
- **Student (RAC):** All fee paying students registered and studying on Regional Associate Colleges (CCN and Easton College) award and non-award bearing courses.
- **Visitor (Associate RAC Staff):** All employees of Regional Associate Colleges involved in teaching and supporting award bearing and non-award bearing courses, academic research or the delivery of administrative support.
- **Visitor (External Blackboard Only):** Employees of Higher Education Institutions or where a reciprocal agreement with an external institution or company has been made that requires them to use UEA Blackboard for academic purposes.

- **Visitor (External Borrower):** Staff and Students of other establishments or organisations with whom the University has a reciprocal service level agreement or have an agreement under a national scheme to use library services.
- **Visitor (Access Only):** members of the public and employees of commercial establishments based on UEA Campus who require access to buildings.
- **Visitor (Basic Account Only):** members of the public that require temporary access to an IT account for internet access.
- **Visitor (Resident):** All students registered on UEA award bearing courses and non-award bearing courses that require temporary access to halls of residence (pre-collection of own campus card).
- **Visitor (Other Red)** Staff, Researchers and Students of other establishments or organisations with whom the University has an agreement for them to work, study or research in the capacity of the University (who are not paid by the University).
- **Visitor (Partner):** Staff, Researchers and Students of other establishments or organisations with whom the University has a partnership agreement.

Provisioning Entitlements

- IT accounts and campus cards are granted automatically to all University Students. Accounts are recorded in the relevant Identity Management System through the Student Information System. Entitlements are granted to students through their IT user account.
- IT accounts and campus cards are granted automatically to all staff of the University. Accounts are recorded in the relevant Identity Management System through the Human Resource Management system. The individual's username / password and campus card are made available to the member of staff after agreed processes and documentation have been completed.
- Access to IT and Library services for all other individuals is granted for a maximum of one year and users will need to reapply for access on an annual basis unless a formal agreement (or national scheme / agreement) has implemented a data feed when the end date in the data feed is used. This ensures that the data held is accurate, up to date and helps us to ensure security. Where a formal agreement with a data feed has not been provided access to services can only be provided on receipt of a completed application form. The application form will need to be supported by the Head of the School or Department, or their nominated deputy, sponsoring the individual. Some of the services provided by ISD such as access to the library electronic information services may not be available to individuals in this category as access is restricted for reasons of licensing, confidentiality and technical practicality. The Director of Information Services has final authority to decide whether entitlements can be granted.

Expiry of Entitlements

- Access to IT and Library services and facilities normally ceases after midnight on the expiry date recorded in the individual's record on the Identity Management System.
    - For staff this is the last day of employment
    - For students this is the course end date plus 45 days
- Accounts about to expire are sent a warning e-mail 2 weeks prior to this expiry date where an expiry date exists in the Identity Management System.
- The account is disabled after it has expired (filestore and emails remain in place but are inaccessible to the end user).
- The account is removed (including deleting filestore space and emails) after 100 days from the expiry date set in the Identity Management System.
    - For staff this is 100 days after the last day of employment
    - For students this is 145 days after the course end date

Delegation of Entitlements

- Entitlements cannot be delegated to others as entitlements relate to the individual only.

Multiple Roles

- In the case where a person has more than one role or relationship with the University, their entitlements are converged and the highest level available will be applied according to the entitlements hierarchy.

New groups of users

- Consultation and discussion is required with ISD where a change to entitlement allocations is needed for new groups of users. These include:
  - Additional commercial arrangements with groups outside of the University
  - Additional reciprocal agreements with groups outside of the University

Handling Exceptions

- In cases where exceptions to this policy or the allocation of entitlements are identified the matter should be reported to ISD.
- A risk assessment should be carried out and the results recorded in the ISD risk register.

Breaches

- ISD has the right to withdraw entitlements from individuals where a breach of University Regulations, Library Rules or CoCU has been found.

Responsibilities

Within this policy, the following individuals have the following responsibilities:

Responsibility	Owner
Sponsor and Quality Assurance of this policy	ISSC
Consultation and feedback of appropriateness of entitlements.	IT Forum Library Forum ISD Education Board ISD Research Board Administrative System Board Human Resources Student Experience Committee ISDMT
Signatories for Visitor accounts are responsible for ensuring that the type of account and its entitlements are appropriate to the user and meets with existing licensing rules and regulations.	Heads of Schools and Head of Departments (or Nominee) acting as authorised signatory
Regularly review who has been authorised to have entitlements at UEA and where appropriate identify changes.	Heads of Schools and Head of Departments (or Nominee) acting as authorised signatory
Provide authorised signatories on a regular basis with a list of active users so that they are able to review that appropriate access is being maintained.	Identity Management Team

Responsibility	Owner
Ensure all data feeds to the University are accurate and changes are applied in a timely manner. Ensuring accuracy and timeliness of expiry dates and appropriateness of entitlements being provisioned.	Service Level Agreement Holders
Work with schools and depts. to identify where changes are needed in entitlements, procedures and guidance. These should be put forward to the working group for assessment and to make recommendations for change where appropriate.	ISD IT Account Managers & Faculty Librarians
Production and regular review of the entitlements matrix and appropriate operational processes, entitlements Hierarchy, guidance and advice for users of University services.	ISD Operations Group
Service owners are responsible for defining entitlements to their service for different types of user. And for ensuring controls/policies/configuration is in place so that access to service matches those in the entitlements matrix. The matrix is a summary of those decisions, and the matrix is maintained by ISD.	ISD Service Owners
Before leaving the University, users are required to pass on all information assets to their successors and return the campus card associated with that account to the University	Heads of Schools and Head of Departments (or Nominee) or other Organisations with a relationship with the University
Production, maintenance, controls and guidance of this policy	SPC
Adherence to policy	All students, staff and visitors

References

This entitlements policy is supported within the context of the following pieces of legislation, professional standards, and University documents:

- UEA General Information Security Policy (GISP) (https://intranet.uea.ac.uk/is/strategies/infregs/infosec/gisp), in particular:
  - GISP4: Identification, Authentication and Authorisation (https://intranet.uea.ac.uk/is/strategies/infregs/infosec/GISP4)
  - GISP5: Use of Passwords (https://intranet.uea.ac.uk/is/strategies/infregs/infosec/GISP5)
- UEA Conditions of Computer Use (CoCu) (http://www.uea.ac.uk/is/itregs/usepols)
- UEA Library Rules (http://www.uea.ac.uk/is/strategies/libraryrules)
- UEA Departmental Records Retention Schedules (RRS) (http://www.uea.ac.uk/is/strategies/infregs/Records+management/RRS%3a+department+policies)
- UEA Staff contract rules and regulations
- UEA Student general regulations (http://www.uea.ac.uk/calendar/section3/regs(gen))
- UEA Dean of Students Under 18 Policy (http://www.uea.ac.uk/dos/Policies/Under+18+Policy)
- Janet Eligibility Policy (https://community.ja.net/library/janet-policies/eligibility-policy)
- Janet Acceptable Use Policy (https://community.ja.net/library/acceptable-use-policy)
- Relevant IT and Library Licensing Agreements
- Entitlements Matrix

- Entitlements Hierarchy
- ISD Service Catalogue (http://www.uea.ac.uk/is/strategies/isd-service-catalogue)

Review

SPC will form a relevant group who will review this policy on a bi-annual basis. With recommendation for changes presented to ISD committees and forums for comment and review. The final policy should then be reviewed and approved by the sponsor of the policy (ISSC).

The entitlements matrix, relevant guidance, operational procedures and appropriate contracts should be reviewed on a regular basis by ISD Operations Group to ensure they remain effective and relevant.

ISD IT account managers should consult with schools and departments to identify any problem areas with entitlement allocations and related procedures, guidance and contracts. These should be passed onto ISD Operations group for review and to make recommendations for change where appropriate.