

UNITED STATES
NATIONAL STRATEGY FOR TRUSTED IDENTITIES IN CYBERSPACE
SGIPGB AND SGIP IDENTITY ECOSYSTEM STEERING COMMITTEE
PLENARY AND GOVERNING BOARD CHARTER

This preliminary discussion draft has been prepared by OIX

as prepared for a discussion draft, based on the:

SCIPGB and SCIP Charter

that was prepared for the

National Institute of Standards and Technology
100 Bureau Drive Stop 1070
Gaithersburg, MD 20899-1070
USA

Prepared by:

EnerNex Corporation
620 Mabry Hood Road
Knoxville, TN 37932
USA
(865) 218-4600
www.enernex.com

Formatted: Font: 10 pt

Formatted: Font: 10 pt

Formatted: Font: 10 pt

TABLE OF CONTENTS

		<u>Page</u>
1.	Mandate.....	1
1.1	SGIPIEP Charge and Mission	1
1.1.1	IEIPSGIP Charge.....	1
1.1.2	IEIPSGIP Mission.....	224
1.2	IEIPSGIP Scope.....	321
1.2.1	Smart GridIdentity Ecosystem StandardsTrust Framework standards	321
1.2.2	Priority Action Plans.....	332
1.2.3	Testing and Certification of StandardsTrust Framework standards	332
1.2.4	Smart GridIdentity Ecosystem Conceptual Model	332
1.2.5	Smart GridIdentity Ecosystem Cyber Security.....	332
1.2.6	The OIX Interoperability Knowledge WikiBase (OIKWB)	432
1.2.7	Enlisting Stakeholder Involvement.....	442
1.2.8	Out of Scope	443
1.3	IEIPSGIP Expected Results and Actions.....	553
1.3.1	IEIPSGIP Activities	553
1.3.2	Publication of Operations	653
1.3.3	Use Cases and Requirements	654
1.3.4	The OIX Interoperability Knowledge WikiBase	664
1.4	IEIPSGIP Principles.....	664
1.4.1	Openness	664
1.4.2	Balance.....	664
1.4.3	Consensus	764
1.4.4	Harmonization.....	775
1.5	Smart GridIdentity Ecosystem Interoperability Plenarypanel Governing Board (IESGIPGB).....	875
1.5.1	IEIPGBSmart Grid Interoperability Panel Governing Board Tasks.....	885
1.5.2	IESGIPGB Activities.....	886
2.	Bylaws.....	986
2.1	IEIPSGIP Roles and Responsibilities	996
2.1.1	SGIPIEP Membership	1096
2.1.2	Withdrawal.....	11118
2.1.3	Replacement of Member Representatives	11118
2.1.4	Stakeholder Representation	12118
2.1.5	SGIPIEP Officers	12118
2.1.6	Administrator and Support Resources	13139
2.1.7	Meetings and Decision Making	141310

2.2	<u>SGIPGBIEIPGB</u> Roles and Responsibilities	<u>161512</u>
2.2.1	<u>SGIPGBIEIPGB</u> Membership	<u>161512</u>
2.2.2	Selection of <u>SGIPGBIEIPGB</u> Members	<u>161612</u>
2.2.3	Duties of <u>SGIPGBIEIPGB</u> Members.....	<u>201915</u>
2.2.4	Terms of <u>SGIPGBIEIPGB</u> Membership.....	<u>201916</u>
2.2.5	Ending Membership.....	<u>212016</u>
2.2.6	Officers	<u>212016</u>
2.2.7	Meetings and Decision Making	<u>222118</u>
2.2.8	Quorum	<u>232219</u>
2.3	<u>SGIPIEIP</u> Standing Committees	<u>232219</u>
2.3.1	<u>Smart GridIdentity Ecosystem</u> Architecture Committee	<u>242319</u>
2.3.2	<u>Smart GridIdentity Ecosystem</u> Testing and Certification Committee.....	<u>242320</u>
2.4	Working Groups.....	<u>252320</u>
2.4.1	<u>Smart GridIdentity Ecosystem</u> Cyber Security Working Group	<u>252421</u>
2.5	<u>SGIPIEIP</u> Voting	<u>262421</u>
2.5.1	What May Be Voted Upon	<u>262421</u>
2.5.2	Who May Vote.....	<u>262421</u>
2.5.3	Voting Process	<u>262521</u>
2.5.4	Absence; Restoration of Voting Privilege:	<u>262521</u>
2.5.5	When a Vote May Occur	<u>262522</u>
2.5.6	Record of Voting.....	<u>272522</u>
2.5.7	Requirements for Passing	<u>272622</u>
2.5.8	Quorum	<u>272622</u>
2.5.9	Voting within a Stakeholder Category.....	<u>272622</u>
2.5.10	Electronic Voting	<u>272622</u>
2.6	Intellectual Property	<u>282623</u>
2.6.1	<u>SGIPIEIP</u> Patent Policy - Inclusion of Patents in <u>SGIPIEIP</u> -Identified Products.....	<u>282723</u>
2.6.2	Statement from Patent Holder.....	<u>282723</u>
2.6.3	Copyrights.....	<u>292824</u>
2.7	Ratification of the Bylaws and Amendments	<u>292824</u>
2.8	Conflict of Interest	<u>302824</u>
2.9	Competition.....	<u>302825</u>
2.10	Robert’s Rules of Order	<u>302925</u>
2.11	Offices.....	<u>302925</u>
2.12	Charter Ratification.....	<u>312925</u>
3.	Acknowledgement	<u>333128</u>
4.	Revision History	<u>333128</u>
5.	References.....	<u>343129</u>

Executive Summary

Pursuant to the National Strategy for Trusted Identities in Cyberspace, which was signed by President Obama on April 15, 2011 (“NSTIC”)~~Energy and Independence and Security Act (EISA) of 2007 [2]~~, the National Institute of Standards and Technology (“NIST”), as part of the Department of Commerce, which has been designated with responsibility to coordinate the U.S. Government’s internal National Program Office (the “NPO”) for NSTIC, [NOTE: Confirm characterization and trace precise wording of delegation of authority and responsibility through the NOI here] is responsible for helping to initiate the formation of a separate body that will be organized and operated by private parties, which is referred to in the NSTIC as the “Steering Committee.”

Formatted: Highlight

Formatted: Highlight

The Steering Committee will engage in and enable Identity Ecosystem stakeholder “self regulation” and will be responsible, in coordination with the NPO, for ~~coordinating the the~~ development of and publishing of a set of hybrid technical, legal and policy standards for data/identity systems referred to as an “Identity Ecosystem Framework,” including protocols and processes and model standards, roles/responsibilities, risk models, accountability mechanisms, and policies to achieve interoperability of Identity Smart Grid devices and Ecosystem technology, legal and policy sub-systems, all with input and cooperation from ~~other Federal and State agencies and interested stakeholders in the social, commercial and governmental sectors~~private sector entities. Through the “Participation Governance Model,” privately created and promoted Trust Frameworks can voluntarily seek to be reviewed and/or certified for conformance to the Steering Committee’s Identity Ecosystem Framework, the intention being that the Identity Ecosystem Framework will act as a hybrid technology tools and legal rules “standard.” Conformity by private Trust Frameworks with that standard can help drive interoperability, and foster greater reliability, security, privacy and liability mitigation across networked information systems. The NSTIC anticipates that the Steering Committee will develop the standard to which its members will then be subject.

This Charter sets forth the basic structure of organization and operation of that Steering Committee. In recognition of the need to address networked information system issues at both internet and local scale, the structure of the Steering Committee is intended to foster participation. Toward this end, it has a two part structure composed of an open Steering Committee “plenary” body, and a governance board the membership of which is elected directly by the members of the Plenary. It is intended that the “standards” that emerge from the Steering Committee reflect the balanced needs of the many stakeholders in online data/identity systems, which is intended to be reflected in the composition of the Steering Committee plenary. The Steering Committee Governance Board is intended to help organize the plenary, and to operate the Steering Committee in a manner that maximizes its ability to solicit and reflect the data/identity system needs of all the stakeholders represented by the plenary.

The Identity Ecosystem Smart Grid Interoperability Plenaryanel (IESGIP) is a membership-based organization formed as a _____ created by an Administrator under a contract from NIST, [NOTE: This section can be completed at such time as the form of organization and the manner of its organization and operation are more clearly defined. Also consider whether the Steering Committee should seek recognition of exemption under Internal Revenue Code section 501(c)(3)(consider purposes including “educational” or “lessening the

Formatted: Highlight

Formatted: Highlight

burdens of government”), 501(c)(6) (trade association) or another section; also consider other potential organizational and status issues to permit maximum flexibility to accommodate stakeholder needs] to provide an open process for stakeholders to participate in providing input and cooperating with one anotherNIST in the ongoing coordination, acceleration and harmonization of technical standards and legal/policy standards development (“Tools and Rules”) for the Identity EcosystemSmart Grid. The SGIEIP, through its various committees and working groups, also reviews use cases, identifies requirements and architectural reference models, coordinates and accelerates Identity EcosystemSmart Grid testing and certification, and proposes action plans for achieving these goals. [NOTE: modify and add to list of activities once defined]. The SGIEIP will not initially does not write standardsTrust Framework standards for the Identity Ecosystem, but serves as a forum to coordinate the development of standards and specifications by many standards development organizations. Once it has had the opportunity to work with existing Trust Framework standards sufficiently to discern “best practices,” it may begin to develop a set of independent Identity Ecosystem Trust Framework standards to address stakeholder needs in comprehensive and/or more focused way [NOTE: Confirm whether the foregoing is accurate.].

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

The SGIEIP will itself be managed and guided by a Governing Board that approves work programs for the SGIEIP to carry out its work efficiently and effectively, prioritizes work, and arranges for the necessary resources. The Governing Board’s responsibilities include facilitating a dialogue with standards development organizations to ensure that the action plans can be implemented. When the IEIP engages in the activity of generating independent Identity Ecosystem Framework standards, the IEIPGB will help coordinate those standards to foster reliability and interoperability across sectors and to balance the interests of multiple stakeholder groups affected by such standards. [NOTE: Consider other activities that will be engaged in by the governing board].

Formatted: Highlight

A note regarding the form of IEIP and IEIPGB charter

Formatted: Font: Bold

This Charter for the IEIP and the IEIPGB is based on the Charter for the Smart Grid Interoperability Panel and the Smart Grid Interoperability Panel Governing Board. That charter, in turn, indicates that the structure and organization of the SGIP and SGIP Governing Board (SGIPGB) were based substantially on the design of two principal existing organization structures:

The Healthcare Information Technology Standards Panel (HITSP) [8], which is similar in nature to the SGIP, and,

The GridWise® Architecture Council (GWAC) [3][4], which is similar in nature to the SGIPGB.

The SGIP Charter also indicates that the contents of its charter this document were substantially influenced by the structure of the following organizations:

American National Standards Institute (ANSI) [1]

Internet Engineering Task Force (IETF) Internet Architecture Board (IAB) [7]

Utility Communication Architecture International users' group (UCAIug) [9][10]

IEIP Committees and Working Groups

Formatted: Font: Bold

Formatted: Indent: Left: 0"

It is envisioned that the SGIP/IEIP will have at least two permanent committees. One permanent committee will be responsible for [NOTE: Review and modify the following as necessary] creating and refining an architectural reference model, including recommended standardsTrust Framework standards and profiles necessary to implement the vision of the Smart GridIdentity Ecosystem. The other permanent committee will create and maintain the necessary documentation and organizational framework for testing conformance with these Smart GridIdentity Ecosystem standardsTrust Framework standards and specifications. The SGIP/IEIP, as needed, may form additional permanent committees and ad-hoc working groups.

Formatted: Highlight

Formatted: Highlight

Public Access and Involvement through the Participation Governance Model

Formatted: Font: Bold

Unlike the SmartGrid Model, the IEIP and IEIPGB have access to substantial existing resources to help with their work. These resources include the advanced Trust Framework technical development work of numerous standards setting organizations and the Trust Framework development and market support programs and tools of the Open Identity Exchange, a not-for-profit organization formed to improve the conditions in the data/identity sector generally.

[NOTE: Insert paragraph summarizing how the IEIP can benefit from existing standards organizations work and structure. Outside of Steering Committee charter creation, consider compiling "resource list" detailing liaison, resource sharing, and other coordination opportunities with specific existing programs.]

Formatted: Highlight

Formatted: Highlight

[NOTE: Consider whether IEIP public outreach programs could benefit from use of OIX programs and tools] All SGIP/IEIP outputs will be delivered to the public through the OIX/NIST Smart Grid Knowledge Center Collaborative Wiki and the online [OIX?/IEIP?/Interoperability Knowledge Base (IKB)] website. [NOTE: The following FACA reference should be reviewed against the statute. Also, consideration should be given to the potential treatment of Steering Committee charter proposals under FACA] The Federal Advisory Committee Act prohibits [NIST/NIST or the NPO] from accepting advice directly from the SGIP/IEIP. The development work has been structured so that no advice is provided to NIST. Instead, [NOTE: Insert description of arrangements here]. Therefore NIST has contracted with the Administrator to provide advice to NIST by refining SGIP outputs using their technical expertise including but not limited to analyzing, identifying gaps, and making their own recommendations), prior to providing them to NIST.

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

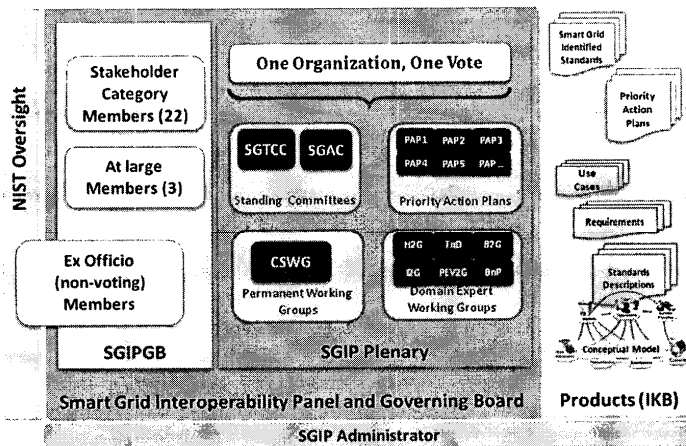
IEIP Composition and Organization

Formatted: Font: Bold

The SGIP/IEIP and its governing board (together referred to as the “Steering Committee”) is an open organization dedicated to balancing the needs of a variety of Smart Grid/Identity Ecosystem-related organizations. Any organization may become a member of the SGIP/IEIP. Members will be required to declare an affiliation with a single, # identified Stakeholder Category (_____ twenty-two have thus far been identified by NIST and are listed in Appendix A). Members may contribute multiple Member Representatives, but only one Voting Member Representative. Participating Members must participate regularly in order to vote on the work products of the panel.

It is envisioned that the SGIPGB/IEIPGB will include at least one Member from each Stakeholder Category, the chairs of two permanent committees, several “members at large”, and several ex officio members representing for example, key government agencies. New SGIPGB/IEIPGB members will be recommended by a candidate evaluation committee and approved by the SGIPGB/IEIPGB as a whole. Terms of SGIPGB/IEIPGB members will be staggered to ensure both regular turnover and continuity.

The diagram (see below) represents the relationships between the concepts proposed in this draft charter document. The final charter document will include a final version of this diagram with comments from the public addressed.



This page intentionally blank

1. Mandate

1.1 *SGIPIEP Charge and Mission*

1.1.1 *SGIPIEP Charge*

The ~~Smart Grid Identity Ecosystem~~ Interoperability Panel (~~SGIPIEP~~) is being created ~~through a contract from~~ in cooperation with the ~~NPO that is coordinated out of the~~ National Institute of Standards and Technology (NIST) of the U.S. Department of Commerce. ~~The government's role in the IEIP is intended to be limited to support and [] [NOTE: Include scoping language from NSTIC and NOI here]~~ during the initiation phase. The NSTIC calls for the Steering Committee, of which the IEIP and the IEIPGB are two subparts, to be organized and operated as a privately-led body. This charter starts to establish the details of how that body will be organized and operated, with the intention that the stakeholders themselves will have ultimate control of the focus and activities of the Steering Committee.

~~[NOTE: Consider whether the following is to "provocative." It is intended to create a common expectation that the Steering Committee focus and auspices is likely to need to evolve as stakeholder needs change in a rapidly maturing data/identity market. Setting this expectation at the inception of the process may help to focus participants on issues and tasks that are more effectively and efficiently organized into logical stages, etc.] Steering Committee independence is critical to its ability to be responsive to changing technologies and the new and expanded markets that they generate. Accordingly, and in order to be able to accomplish its charge under the NSTIC, the Steering Committee auspices may be expanded (by the affirmative action of the IEIP working through the IEIPGB) beyond those contemplated by NSTIC, but its activities, will continue to be consistent with and supportive of the goals of NSTIC; making explicit the tacit understanding that results from the fact that the NSTIC "call to action" to which the Steering Committee is expected to respond, is a U.S. government document prepared with comment from the private sector, that will likely benefit from continued stakeholder efficacy in agenda setting and the discretion to identify stakeholder-critical needs. NSTIC is a starting point, and the government will continue to play a critical monitoring and other supporting role, but a sustainable, inclusive, transparent, participatory, independent, consensus building, private sector-led Steering Committee structure will ultimately best serve the goals of NSTIC. ~~to support NIST's role as defined in the Energy Independence and Security Act (EISA) of 2007 to "coordinate the development of a framework that includes~~~~

~~protocols and model standards for information management to achieve interoperability of smart grid devices and systems." [NOTE: Insert NSTIC reference to Steering Committee here]~~ The ~~SGIPIEP~~ will provide an open process for Stakeholders to participate in providing input and cooperating with ~~the IEIP/NIST~~ in the ongoing coordination, revision, acceleration and harmonization of ~~standards/Trust Framework standards~~ development for the ~~Smart Grid Identity Ecosystem~~. The ~~SGIPIEP~~ members participate in an open process to ~~[NOTE: Review and revise the following as appropriate]:~~

provide technical and business guidance resulting in use cases, requirements, and recommended ~~Trust Framework~~ standards:

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

recommend revisions to existing standardsTrust Framework standards; identify gaps in existing standardsTrust Framework standards:

coordinate Smart GridIdentity Ecosystem testing and certification programs: and

recommend Priority Action Plans (PAPs) for accelerating the standardsTrust Framework standards development and testing and certification of components for the Smart GridIdentity Ecosystem.

1.1.2 SGPIEIP Mission

The mission of the SGPIEIP is to provide a strong framework for coordination of all stakeholders of the Smart GridIdentity Ecosystem to accelerate standardsTrust Framework standards harmonization and development. In its initial phases, tThe SGPIEIP will not does not write standardsIdentity Ecosystem Framework standards, but instead will develops and reviews use cases, identifyies requirements, and proposes action plans for achieving these goals. [NOTE: Consider issues of relationship of Trust Framework standards developed in individual Trust Framework initiatives and the overall “top of the US stack” Identity Ecosystem Framework contemplated by the NSTIC. The activity of the Steering Committee (composed of the IEIP and the IEIPGB) could be to write independent standards, or to identify market-based “best practices” for promotion as standards, or some combination thereof. This draft is directed at the initial “doing homework” period where the Steering Committee will need to study stakeholder needs and identify available technology and Trust Framework options prior to drafting or adopt standards for application at the Ecosystem Framework level. During this period, it is assumed that there will be a delay in creating Ecosystem Framework level standards while that review takes place. Thereafter, the Plenary and the Governing Board can work together to expand their collective mission to include the creation of new standards as necessary to compliment the available options in the market, toward the Identity Ecosystem Framework standards goals set forth in NSTIC. The proper structure of those standards should be informed by and balance all stakeholder needs. As a result, it may, at present, be premature to attempt to structure the process through which those standards would be derived from group consensus processes of the IEIP at the initial stages before the needs are understood]

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

The SGPIEIP has three principal responsibilities:

- a. To provide the technical guidance necessary to facilitate standardsEcosystem Framework standards development for the Smart GridIdentity Ecosystem
- b. To specify the necessary testing and certification requirements to assess the achievement of interoperability using Smart GridIdentity Ecosystem Standards Framework standards
- c. To oversee the performance of these activities to maintain momentum and achievement
- d. [List other purposes here]

Formatted: Body Text

Formatted: Highlight

1.2 SGIPIEIP Scope

1.2.1 Smart Grid Identity Ecosystem Standards Trust Framework standards

The SGIPIEIP will provide a forum for discussion and coordination among organizations that write and publish standards Trust Framework standards documents and for those parties that are stakeholders in those Trust Frameworks. Those Trust Framework standards will generally be recorded and presented in the form of written Trust Frameworks, or subparts thereof. The SGIPIEIP recommends documents indicating selections and profiles of Trust Framework standards developed by other organizations that are appropriate for use in the Smart Grid Identity Ecosystem. These standards Trust Framework standards, developed and published by standards development organizations, may be pre-existing, in development, or in need of a new standards development effort. They may be proprietary, open standards, or some combination thereof, provided that if and when the IEIP adopts proprietary Trust Framework standards as part of its Ecosystem Framework standards, it will follow the disclosure and marking practices set forth in Exhibit 1.2.1A

Standards Trust Framework standards that are identified for inclusion by normative or informative cross reference to all or part thereof use in the Smart Grid Identity Ecosystem Framework and the standards Trust Framework standards development process to produce them remain the purview of the SDOs developing them.

1.2.2 Priority Action Plans

The SGIPIEIP maintains Priority Action Plan documents, recommended standards Trust Framework standards lists, and the smart-grid Identity Ecosystem conceptual model and its derivatives. The SGIPIEIP will from time to time publish written definitions and clarifications of its recommendations in support of its mission.

1.2.3 Testing and Certification of Standards Trust Framework standards

A key activity of this organization is to develop, foster, and implement clear certification criteria by which standards Ecosystem Framework standards of the Smart Grid Identity Ecosystem, as recognized by this body, can be verified through testing of products and services offered by vendors. It is recognized that in the early stages, the IEIP and the IEIPGB will focus on discernment of market “best practices” and other criteria to identify candidates for consideration as Identity Ecosystem Trust Framework standards.

1.2.4 Smart Grid Identity Ecosystem Conceptual Model

The SGIPIEIP maintains and extends the utility and content of the Smart Grid Identity Ecosystem Conceptual Model introduced in the NSTIC vision of the Identity Ecosystem NIST Framework.

1.2.5 Smart Grid Identity Ecosystem Cyber Security, Privacy and Online Identity Integrity

The SGIPIEIP conducts analysis and studies on the requirements of standards Trust Framework standards to support cyber security, privacy and online identity integrity for the Smart

GridIdentity Ecosystem. Therefore the SGIPIEIP will provide a forum for the discussion of an evolution of the knowledge and plans on this critical subject.

1.2.6 ~~The OIX Online Interoperability Knowledge Center~~ Base (OOKCKB)

In an effort to leverage existing resources, save costs and integrate Steering Committee operations with existing sources of relevant data/identity market information, the SGIPIEIP may distribute the results of its efforts through the OIX Online Interoperability Knowledge Center Base (OOKCKB). This resource, which is integrated with related ~~national~~ web-based resources, provides ready access for both technical and non-technical stakeholders of the Smart GridIdentity Ecosystem to the information content generated by the SGIPIEIP combined with other market relevant information and development tools and support maintained by OIX and contributed by stakeholders throughout the global identity ecosystem. The SGIPIEIP documents will be posted at the OIXNIST Smart Grid Collaborative Knowledge Center Wiki Site at _____. A variety of public documents and professional conference presentations and publications are available on this site.

1.2.7 Enlisting Stakeholder Involvement

The SGIPIEIP will enlist involvement from a broad selection of Smart GridIdentity Ecosystem Stakeholders to:

- a. Accelerate standardsTrust Framework standards-based interoperability across online networked data and identitythe electric power systems;
- b. Identify and prioritize the concepts, standardsTrust Framework standards and architectures needed to make interoperability possible, guided by an Architecture Committee;
- c. Describe and prioritize clear, practical steps that will facilitate the interoperation of the systems, devices, and institutions that participate in the use and operation of the Identity Ecosystemnation's electric system; and
- d. Assess Smart GridIdentity Ecosystem interoperability standards conformity through a structured, open framework of documents and organizations, guided by a Testing and Certification Committee.

1.2.8 Out of Scope

[NOTE: The following should be clarified to anticipate the manner in which the IEIP will work toward producing the Identity Ecosystem framework. It is relevant whether the Trust Framework standards set forth in that document will be "homegrown" or will be constructed from normative cross references to Trust Framework legal, technical, policy, and other evolving standards present in the market. Language will be needed to capture these relationships as the path of the Steering Committee activity becomes clearer during the initiation phase. It is possible that the IEIP can demonstrate leadership in the area by following and normalizing market trends.] The SGIPIEIP will not initially write or publish standardsTrust Framework standards documents; it will seek to identify and combine market-based standards that are

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

consistent with the NSTIC that it will work to shape into an integrated, coherent, flexible and resilient Identity Ecosystem Framework.

The SGPIEIP is not a government organization. It is a private sector public body created [NOTE: Insert reference to form of organization and manner of operation here] under a contract from NIST to an Administrator to support NIST in its role under the EISA 2007 [2]. Its publications are not legal documents, laws or regulations. [NOTE: Include elaboration of Trust Framework standards development process here. Include references to potential mechanisms to recognize and formalize industry and community “standards of care.” Include references to potential adoption of Steering Committee standards as “codes of conduct” that may be enforced by both private and public mechanisms.]

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

The SGPIEIP will not design, promote or sell products or technologies suggested by its deliverables.

1.3 SGPIEIP Expected Results and Actions

The SGPIEIP provides a single mechanism with comprehensive and complete Smart Grid Identity Ecosystem Stakeholder representation that facilitates consensus-based approval of national Smart Grid Identity Ecosystem standards Trust Framework standards.

1.3.1 SGPIEIP Activities

The activities of the SGPIEIP will include, but not necessarily be limited to:

- a. Facilitating the timely development and harmonization of standards Trust Framework standards responsive to identified interoperability, security, privacy system integrity, and liability and risk limitation issues for all stakeholders, and meeting the requirements of identified use cases;
- b. Recommending creation or dissolution of committees;
- c. Activating a conflict resolution mechanism, as needed;
- d. Performing all other acts necessary and appropriate to the conduct of the SGPIEIP's activities and achievement of the SGPIEIP's Charge;
- e. Disseminating the SGPIEIP outputs (through the use of and in coordination with publicly accessible Open Identity Exchange Tools and Programs) and promoting the use of the recommended standards Trust Framework standards;
- f. Establishing a framework for Testing and Certification of Smart Grid Identity Ecosystem Components.
- g. Maintenance of the Smart Grid Identity Ecosystem Architecture [NOTE: To the extent that Architecture Maintenance can be made more effective and inclusive through application of the Participation Governance Model and through use of OIX tools, consider reference here].

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

h. [Other?]

Formatted: Highlight

Formatted: Body Text, Tab stops: Not at 1"

1.3.2 Publication of Operations

Essential information about all SGPIEIP activities will be publicly available via the SGPIEIP website and through the OIX Knowledge Center.

1.3.3 Use Cases and Requirements

Domain expertise will be provided by the SGPIEIP via the identification of detailed Use Cases and the analysis of requirements that are necessary to support them. These Use Cases illustrate the context of technical analyses and recommendations that the SGPIEIP relies upon to identify needed priority action plans and recommended standardsEcosystem Framework standards.

1.3.4 The Interoperability Knowledge Base

Resulting Use Cases and Requirements, along with analyses and white papers produced by the SGPIEIP, will be integrated into the OIX Online Knowledge Base ~~KB~~ for review and comment by the Stakeholders of the Smart GridIdentity Ecosystem. [NOTE: check references to wiki and knowledge base for consistency. The intention is to make clear that the steering committee has access to full use of OIX tools and programs so that it doesn't have to reinvent the wheel when it comes to outreach tools and information gathering tools to perform its work. The OIX tool set, combined with the listing service program, provides direct access to the market for purposes of Steering Committee input and output interactions].

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

1.4 SGPIEIP Principles

1.4.1 Openness

The work of the SGPIEIP, including all working groups and committees, will be open for public review as follows:

- a. All minutes of all meetings will be posted on the Internet.
- b. All documents and drafts under discussion will be posted on the Internet.
- c. All meetings are open to public attendance.

1.4.2 Balance

The SGPIEIP will be organized on the principle of balancing representation across multiple industry segments related to online data and identity systems~~electric energy~~ and the technology necessary to effectively manage it. The design of the organization will enable it to:

- a. Carry out its mission effectively; and
- b. Provide leadership throughout the Smart GridIdentity Ecosystem Stakeholder community.

1.4.3 Consensus

Consensus is a core value of the [SGIPEIP](#). For purposes of the [SGIPEIP](#), consensus means the general agreement of the Members. The process of the [SGIPEIP](#), including the [SGIPGBIEIPGB](#) and all working groups and committees, requires the respective Chairs to ensure consideration of all views, proposals and objections, and to endeavor to reconcile them. Where consensus is not possible, the [SGIPEIP](#), including the [SGIPGBIEIPGB](#) and all working groups and committees, will strive to make decisions that are supported by the available information and to document opposing views or abstentions.

The achievement of consensus will be based on thorough examination of issues, including the discussion of dissenting opinions and the resolution of disagreements. Consensus will be preferred to resolve all issues brought before the [SGIPEIP](#), including the [SGIPGBIEIPGB](#) and all working groups and committees. For purposes of the [SGIPEIP](#), consensus means a general agreement by all members.

When a disagreement exists, a vote will be taken to reach consensus.

1.4.4 Harmonization

The [SGIPEIP](#) process encourages harmonization among [standards](#), [Trust Framework standards](#). Decisions are relevant and effectively respond to regulatory [compliance](#) and market needs, as well as technological developments to achieve essential interoperability, [security, privacy and liability and risk limitation](#) characteristics. [NOTE: There are several provisions that make reference to the Smart Grid's goal of "interoperability." Interoperability is also a central goal of the NSTIC in addition to other goals. The NSTIC goals are further expanded by reference to various private parties' interests such as robust authentication, identity integrity, security, privacy, liability limitation and mitigation, cost savings, resiliency, transparency and a host of other considerations. Many of these issues can be best addressed through the legal policy equivalent of the "network effect," i.e., they are best solved when standardized, normalized, common systems are adopted by broad populations of stakeholders. The linchpin to achieving the desirable network effects is broad adoption. The key to broad adoption is to address stakeholder needs. Taken together, the systems that are best able to address stakeholder needs will be those that are most broadly adopted, and the systems that are most broadly adopted will be those that best address stakeholder needs. This tautology reflects the simple reality that the many desirable system characteristics "emerge" from the network effect of broad adoption, and suggests that references to "interoperability" in the charter as a core goal should be expanded to include at least the general categories of stakeholder needs identified to date. One way to deal with this in the charter is to create a defined term (which might be "Interoperability," or another word) to describe the set of stakeholder-desired system characteristics]

For any standard gap, interested SDOs [and other stakeholder groups](#) will prepare a justification to present to the [SGIPEIP](#) relative to how the standard fits into their organization, and how they will position their work to support interoperability [NOTE: reference to other system goals here? See note above] and integrate with other [NIST-identified standards](#), [Ecosystem Framework standards](#) for [the Smart Grid Identity Ecosystem](#). The [SGIPEIP](#), or working group thereof, can then select from these offerings to identify a work project.

- Formatted: Highlight
- Formatted: Highlight
- Formatted: Highlight
- Formatted: Highlight
- Formatted: Highlight
- Formatted: Highlight
- Formatted: Highlight
- Formatted: Highlight
- Formatted: Highlight
- Formatted: Highlight

1.5 Smart Grid Identity Ecosystem Interoperability Panel Governing Board (SGIPGBIEIPGB)

The SGIPIEIP will be managed and guided by a Governing Board that approves and prioritizes work programs and arranges for the resources necessary to carry out finalized priority action plans. The Governing Board’s responsibilities include facilitating a dialogue with standards development organizations to ensure that the action plans can be implemented. The SGIPGBIEIPGB provides guidance to the SGIPIEIP. This guidance includes a broad perspective of the NSTIC/NIST Interoperability Framework and Roadmap vision. The Administrator reports on progress by maintaining the Smart Grid Identity Ecosystem Roadmap, [NOTE: consider whether the “Roadmap concept” will be carried forward into Identity Ecosystem Work] and ensures all SGIPIEIP documents are openly available through the Open Identity Exchange Online Knowledge Base in an online Interoperability Knowledge Base.

Formatted: Highlight

Formatted: Highlight

1.5.1 Smart Grid Identity Ecosystem Interoperability Panel Governing Board Tasks

To execute its mission, the SGIPGBIEIPGB will:

- a. Guide the SGIPIEIP in executing its mission of developing standardsTrust Framework standards-based interoperability technology and best practices by integrating the needs, ideas and priorities expressed by a broad Stakeholder base;
- b. Approve work program for the SGIPIEIP, including Priority Action Plans (PAPs).
- c. Provide guidance for SGIPIEIP to recommend standardsTrust Framework standards based on SGIPIEIP activities.
- d. Ensure SGIPIEIP effectively maintains and evolves the NSTIC NIST Smart Grid Identity Ecosystem model Conceptual Model [8] to provide more detail and depth so it can serve as a reference model for implementation architectures;
- e. Engage and encourage Stakeholders to agree on a common path toward achieving standardsEcosystem Framework standards-based interoperability using the conceptual and reference models;
- f. Engage Stakeholders to encourage growth in the use of standardsEcosystem Framework standards-based architectures and implementation designs; and
- g. Oversee the SGIPIEIP Testing and Certification Committee and framework.
- h. [Other?]

Formatted: Body Text, Tab stops: Not at 1"

1.5.2 SGIPGBIEIPGB Activities

The activities of the SGIPGBIEIPGB will include, but not necessarily be limited to:

- a. Affirming and ratifying SGPIEIP governing documents and operating procedures;
- b. Provide guidance in establishing SGPIEIP procedures for recommending inclusion or exclusion of ~~standards~~Ecosystem Framework standards in the Interoperability Framework;
- c. Provide guidance in establishing SGPIEIP procedures for producing recommended priority action plans and identifying recommended ~~standards~~Trust Framework standards;
- d. Facilitating a testing and certification framework.
- e. [Other?]

Formatted: Body Text, Tab stops: Not at 1"

2. Bylaws

The Bylaws describe the roles, responsibilities, policies and procedures that govern the operation of the SGPIEIP. The Bylaws will be consistent with the framework of the Charge and Scope of this charter, which provide the high-level perspective of mission, purpose, and organization.

Operational materials, such as those describing active working groups, as well as the personnel involved in the SGPIEIP operation, will be made publicly available in companion documents.

2.1 SGPIEIP Roles and Responsibilities

The SGPIEIP membership is open to all interested organizations,¹ as long as their interests fall within at least one of the Stakeholder Categories. [NOTE: Consider whether unaffiliated individual members will be permitted to take part. If so, consider whether to create an unaffiliated individual category of stakeholder]. Divisions, subsidiaries, committees of organizations, etc. are part of their parent organizations, and are not considered organizations for SGPIEIP purposes. [NOTE: The foregoing provision appears intended to "consolidate" families and groups of entities for purposes of Steering Committee governance. The precise relationship of these definitions should be carefully correlated with the voting and other provisions of the charter to assure that the governance and decision making of the organization are consistent with stakeholder intentions] The composition and operation of the SGPIEIP should reflect have a balance of interests. Participants from diverse interests will be sought with the objective of achieving balance; it being acknowledged that, while there might not be "perfect" balance in the view of a particular observer at any one time, an intention to achieve balance and the adoption of stakeholder information feedback mechanisms to enable nimble governance evolution will create a dynamic balance that can effectively "retune" the balance to seek broad stakeholder-responsive programs and results. For example, as the market matures, existing stakeholder groups represented in Exhibit A might reasonably be subdivided, combined or modified to reflect new

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

¹ An organization is defined as a commercial, governmental or other separately constituted legal entity and, when applicable its parent company or organization, its subsidiaries, affiliations, divisions, committees, and working groups.

market and community realities. This would be done at the initiation and with the agreement of the IEIP when and if warranted.

Stakeholder Categories that are recognized as necessary to achieve the goals of the SGPIEIP Categories are listed in Appendix A. Each Participating Member will be required to select a single Stakeholder Category for voting for SGIPGBIEIPGB candidates. SGPIEIP members may participate in as many working groups as they have interest without regard to the category with which they are affiliated, provided that such participation will not alter the voting rights associated with membership set forth in section [] .

Formatted: Highlight

2.1.1 SGPIEIP Membership

The SGPIEIP will have two (2) classes of members, Participating Members and Observer Members.

2.1.1.1 Participating Members

Participating Members are organizations who commit to participating in the work of the Smart Grid Identity Ecosystem Interoperability Panel (SGPIEIP) [NOTE: Consider different name to reflect expanded scope of issues as discussed note accompanying section 1.1.4 above].

Formatted: Highlight

Participating Members will have the following rights and obligations:

- a. The right to submit proposed requirements for the Identity Ecosystem Framework.
- b. The right to participate in the SGPIEIP process and establish the overall direction for the SGPIEIP through active participation in Committees, or other SGPIEIP organizational teams as may be established from time to time by the SGPIEIP to address specific issues.
- c. The right to vote on proposed SGPIEIP documents. Each Participating Member will be allocated one (1) vote on those technical-matters that are proposed for a vote of the IEIP. [NOTE: Consider the scope of the voting ability. Note that the smart grid document limited voting in this section to "technical" matters. Consider that the IEIP will work on technical and legal/policy matters.] That vote will be cast by an authorized Voting Member Representative. Voting rights are activated once a Participating Member has attended two consecutive meetings (face to face and/or web based). [NOTE: Consider the "types" of meetings that qualify to be included in this counting convention, i.e., is if "official" meetings, working meetings, etc.] (The only exception occurs during the first and second meeting of the SGPIEIP. See paragraph 2.1.1.1.d) Voting rights are temporarily and reversibly deactivated if a Participating Member has missed two consecutive meetings, whether face-to-face or web based, or document review and comment. The secretary for the SGPIEIP group that is meeting will keep attendance records for that meeting.
- d. All Participating Members attending the first two meetings will be eligible to vote at those meetings. Thereafter for the SGPIEIP, paragraph 2.1.1.1.c takes effect.

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

- e. The obligation to participate in SGPIEIP meetings.
- f. The obligation to review SGPIEIP documents and provide comments.
- g. The obligation to commit to participate in specific PAPs
- h. The right to serve as a Participating Member for as long as they meet the requirements for membership. [NOTE: Consider whether there will be any limitation on participation based on objective criteria. Consider, for example, whether dues will be charged for membership (to support operations of the IEIP). If so, consider whether failure to pay dues will constitute grounds to suspend membership until member's dues account is brought current].
- i. Each Participating Member may have multiple Member Representatives, but only one of those Member Representatives is allowed to vote on behalf of the Participating Member. This Member Representative may vote only on behalf of that Participating Member and may only cast one vote on any matter brought to a vote.

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

2.1.1.2 Observer Members

Observer Members are Stakeholders that attend SGPIEIP meetings and review SGPIEIP documents, but do not commit to participating in the technical, legal and policy work of the SGPIEIP. Observer Members do not have the right to vote on SGPIEIP matters. Each Observer Member may have multiple Member Representatives.

Formatted: Not Highlight

Formatted: Not Highlight

2.1.1.3 Membership Agreement

To become a Participating or Observer Member, each organization must sign an appropriate membership agreement that (1) states that the person signing the membership agreement has authority to enter into the agreement on behalf of their organization, and (2) that the organization will comply with the SGPIEIP Charter and Bylaws. The completed membership agreement is sent to the Administrator who collects and records the membership agreements. The Participating Member may designate someone other than an employee to represent their organization. An individual may not be a Participating or Observer Member Representative for more than one Member Organization concurrently.

2.1.2 *Withdrawal*

Members can voluntarily withdraw from the SGPIEIP at any time by stating their intention in writing to the Secretary of the SGPIEIP, which withdrawal will be effective upon receipt by the Secretary of such notice.

2.1.3 *Replacement of Member Representatives*

If a Member Representative acts in a manner that interrupts the work of the SGPIEIP, the Participating Member may be asked to replace that Member Representative. If a Member

Representative ceases to represent the Participating Member, the Participating Member must update their Membership Agreement.

2.1.4 Stakeholder Representation

A Stakeholder Category includes all Participating Members who have selected that Stakeholder Category. For voting purposes, each Participating Member is allotted one vote. This will serve to help ensure that no single interest dominates the process or is favored over another among competing interests and various Stakeholder Categories.

2.1.5 SGPIEIP Officers

Plenary Chair:

- a. The Plenary Chair is elected by a majority vote of the SGIPGBIEIPGB.
- b. Duties. The Chair will facilitate SGPIEIP meetings. The Chair is responsible for establishing meeting schedules, agendas, business to be conducted, and coordinates the speakers to lead presentations and discussions. The Chair will manage disputes, and is responsible for fostering an open, friendly atmosphere at SGPIEIP conferences and meetings. The Chair is responsible for assigning and tracking SGPIEIP action items, risks, and issues.
- c. Term of Service. The Chair will serve a two-year term; the Chair may be re-elected by the SGIPGBIEIPGB for one consecutive two-year term. The Chair may serve no more than two terms consecutively. The Chair can serve multiple non-consecutive terms. If the Chair is unable to complete his/her term of office, the SGIPGBIEIPGB will select a successor. The Plenary Chair will have authority to table or terminate discussion, call for affirmation of consensus, mediate with dissenting parties or recommit a matter to committee for further action.
- d. The Plenary Chair may be removed by a 75% (three-fourths) super-majority vote or greater of the SGIPGBIEIPGB.
- e. The Plenary Chair will only vote on matters before the SGPIEIP in cases of a tie.

Plenary Vice Chair:

- a. The Plenary Vice Chair will be elected by a simple majority vote of the Stakeholders that comprise the SGPIEIP.
- b. Duties. The Vice Chair will support the Plenary Chair in performing the Plenary Chair's duties, and ensure that meeting minutes, notes, and other meeting artifacts are posted and available to SGPIEIP members. The Plenary Vice Chair will serve as Chair at meetings where the Chair cannot attend.

- c. Term of Service. The Vice Chair will serve a two-year term; the Vice Chair may be reelected by the SGPIEIP for one consecutive two-year term. The Vice Chair may serve no more than two terms consecutively. If the Vice-Chair is unable to complete his/her term of office, the SGPIEIP will elect a successor.

Plenary Secretary:

- a. The Plenary Secretary will be nominated and elected by majority vote of the SGPIEIP.
- b. Duties. The Plenary Secretary will provide all administrative support services to the SGPIEIP membership, including but not limited to: scheduling meetings, notifying members of SGPIEIP meetings, preparing agendas, and recording and posting minutes. The Plenary Secretary will post proposed additions and deletions to the OIX Online Knowledge Base~~Interoperability Knowledge Base (IKB)~~ upon approval of the SGPIEIP.
- c. Term of Service. The Plenary Secretary will serve a term of two years; the Plenary Secretary may be reelected by the SGPIEIP for one consecutive two-year term. The Plenary Secretary may serve no more than two terms consecutively. If the Plenary Secretary is unable to complete his/her term of office, the SGPIEIP will elect a successor.

2.1.6 Administrator and Support Resources

The role of the Administrator will be as follows:

- a. The Administrator will manage the internal operation of the SGPIEIP.
- b. The Administrator will arrange human and financial resources in support of SGPIEIP activities. This will include:
 - Meeting arrangements,
 - Interactions with other organizations, and
 - Other activities needed by the SGPIEIP

The Administrator will initially be selected as a [NOTE: Discuss and include reference to initiation and the role of the administrator]. NIST contractor. The NIST contract will initially provide the financial support for this function. [NOTE: discuss and reference funding here.] The Administrator is an ex officio non-voting member of the SGIPGBIEIPGB. [NOTE: Consider whether and how OIX programs, tools and resources can be enlisted to help with administration of the IEIP]

- Formatted: Highlight
- Formatted: Highlight
- Formatted: Highlight
- Formatted: Highlight
- Formatted: Highlight
- Formatted: Highlight

2.1.7 Meetings and Decision Making

Except as otherwise noted, the [SGPIEIP](#) and [SGIPGBIEIPGB](#), and all working groups and committees will meet and make decisions as follows:

- a. Meetings and decision-making will be presided over by the respective Chair.
- b. Attendance will be recorded for all meetings.
- c. Formal discussion and decision-making procedures will follow Robert's Rules of Order Newly Revised Version.²
- d. The intellectual property disclosure policy (see Section 2.6 "Intellectual Property") and [the description of](#) activities that violate anti-trust law (see Section 2.9 "Competition") will be reviewed at the start of every meeting.
- e. The [SGPIEIP](#) and the [SGIPGBIEIPGB](#) will hold face-to-face meetings each meet at least two times per year, with all meetings (including the face-to-face meetings) providing the opportunity for members and the public to attend via the web.
- f. There will be no defined limit on the maximum number of meetings. Meeting scheduling is left to the discretion of the involved working group or other [SGPIEIP](#) organizational unit. All [SGPIEIP](#) and [SGIPGBIEIPGB](#) meetings will include web based access for attendance by members and the public unable to travel.
- g. Draft minutes of meetings will be distributed to the appropriate Members for comment and revised accordingly; the minutes will be approved by a simple majority of the appropriate Members. Minutes should be made publicly available as soon as possible after a particular meeting.
- h. Decisions may be reached by face-to-face meeting, teleconference, electronic communication, or any combination of the above.
- i. Revisions to these Bylaws by the [SGPIEIP](#) will be adopted through this process.

2.1.7.1 Meeting Place

All meetings of the Members will be held at such place as will be determined from time to time by the [SGPIEIP](#), and the place at which any such meeting will be held will be stated in the notice of the meeting. All meetings will include the option to attend via the web. Meetings can be in the form of teleconferences and web meetings.

² *Robert's Rules of Order Newly Revised*, 10th edition, Perseus Books Group, Cambridge MA, 2000.

2.1.7.2 Open Meetings; Notice

SGPIEIP meetings and minutes are open and available to the public. Meetings of the SGPIEIP will be announced not less than 30 calendar days prior to in-person meetings and not less than 10 calendar days prior to virtual meetings. Notifications will be communicated by email to SGPIEIP membership and by posting on the SGPIEIP web site. This meeting notice does not apply to meetings of SGPIEIP committees or working groups.

2.1.7.3 Prior Publication and Review of SGPIEIP Matters

Announcements of SGPIEIP meetings will include the date and time for the meeting, the subject matter and agenda. A description of any matter to be put to a vote of the SGPIEIP will be included in the meeting notice, including the recommendation of the working group and web links to any working papers. Prior to any formal vote on any matter

recommended to the SGPIEIP, working group papers and documents will be posted on the SGPIEIP web site [and OIX Knowledge Center] for public comment and there will be at least a ten (10) business day review and comment period.

2.1.7.4 Attendance

Attendance at SGPIEIP meetings is an obligation of membership. The Plenary Secretary will record the presence of each Member at each SGPIEIP meeting (both in person and via telepresence over web, phone or other electronic means). It will be the responsibility of SGPIEIP Members to make their attendance at SGPIEIP meetings known to the Secretary. This attendance requirement only applies to meetings of the SGPIEIP as a whole.

2.1.7.5 Quorum

A simple majority of all Participating Members will be necessary and sufficient to constitute a quorum for the transaction of business.

2.1.7.6 Manner of Acting

At a meeting at which a quorum is achieved, the affirmative vote of seventy-five percent (75%) of the quorum will be the act of the SGPIEIP with regard to technical, legal or policy matters associated with Trust Framework standards. [NOTE: Where voting rules are involved, it will be helpful to provide specific, objective tests of application. Thus, it will be important to state with some precision when an issue is considered to be “technical, legal or policy” requiring a 75% vote. A first suggestion is to add the modifier “associated with Trust Framework standards” to help clarify, but additional guidance will be useful in determining when a supermajority vote is required for group action]. Administrative matters may be decided by a simple majority of the quorum. [NOTE: See comment immediately above for issues of “dividing” line between majority and supermajority votes] For Governing Board member elections requirements see section 2.2.2.1.5.

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

2.2 SGIPGBIEIPGB Roles and Responsibilities

2.2.1 SGIPGBIEIPGB Membership

The SGIPGBIEIPGB will consist of [twenty-seven (27)][NOTE: Insert number here that reflects stakeholder count plus other members in the Identity Ecosystem context] members, including a Chair and [NOTE: Insert prior number less one][twenty-six (26) members], purposefully selected to represent a spectrum of industry expertise and Stakeholder Categories relevant to the Smart Grid Identity Ecosystem. The membership will be as follows:

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

- a. [Twenty-two (22)][NOTE: Insert appropriate number] of the SGIPGBIEIPGB members will include a Member from each of the identified [twenty-two (22)][NOTE: Insert appropriate number] Stakeholder Categories identified by NIST. ~~The Stakeholder Categories are listed in Appendix A.~~
- b. Two (2) SGIPGBIEIPGB members will include the Chair of the Smart Grid Identity Ecosystem Architecture Committee (SGACIEAC) and the Chair of the Smart Grid Identity Ecosystem Testing and Certification Committee (SGTCCIEATCC). (See paragraphs 2.3.1 and 2.3.2). These positions on the SGIPGBIEIPGB will remain vacant until the SGACIEAC and SGTCCIEATCC are formed and their Chairs selected.
- c. The remaining three (3) members will be elected “at large “.
- d. The NIST National Coordinator for NPO Smart Grid and the Administrator will serve as ex officio non-voting members of the SGIPGBIEIPGB. Additional ex officio non-voting members can be invited by vote of the SGIPGBIEIPGB. See section 2.2.2.2. [NOTE: Consider other organizations that interact with the IEIP and IEIPGB for which ex officio membership would be appropriate]
- e. All SGIPGBIEIPGB voting members will qualify to hold an officer position within the SGIPGBIEIPGB.

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

2.2.2 Selection of SGIPGBIEIPGB Members

2.2.2.1 Selection of Voting Members

2.2.2.1.1 Call for Candidates

When one or more seats become open on the SGIPGBIEIPGB, the Chair will request that the Administrator launch a Call for Candidates as follows:

- a. The request will indicate the number of member seats to be filled and provide guidance on specific candidate attributes which may be needed to fulfill SGIPGBIEIPGB requirements for skills, experience, and cross-industry representation.

- b. Any SGIPIEP Participating Member may submit a recommendation in response to the Call for Candidates, with the exceptions noted in paragraph (c).
- c. For Stakeholder Category positions, only members of that Stakeholder Category may recommend a candidate for the open position.
- d. For the initial SGIPGBIEIPGB, the Administrator will launch the Call for Candidates when requested by [NOTE: Insert appropriate entity here. Head of the NPO?] NIST.

Formatted: Highlight

Formatted: Highlight

2.2.2.1.2 Candidate Evaluation Committee

To evaluate responses to the Call for Candidates, the Administrator will propose a Candidate Evaluation Committee as follows:

- a. The proposed Candidate Evaluation Committee will consist of eight (8) individuals, selected based on their breadth of experience, their contributions to the Smart Grid Identity Ecosystem Community, and their history of a balanced approach to addressing Smart Grid Identity Ecosystem issues.
- b. The proposed Candidate Evaluation Committee will include at least three (3) SGIPGBIEIPGB members whose terms are not expiring.
- c. [NOTE: Consider whether the following is appropriate given the more limited role of the government in the Identity Ecosystem steering committee. If so, consider a time limitation such as that suggested below.] One member of the Candidate Evaluation Committee during the first two (2) years of Steering Committee Operation will be the NPOIST National Coordinator for Smart Grid Interoperability representative as an ex officio member. He or she may delegate this role to another NIST staff working on behalf of NIST]
- d. The proposed Candidate Evaluation Committee will be subject to approval by a vote of the SGIPGBIEIPGB according to the normal decision-making process.
- e. For the initial SGIPGBIEIPGB, the Administrator will assume the responsibilities of the Candidate Evaluation Committee.
- f. The Candidate Evaluation Committee will evaluate responses to the Call for Candidates against the following NIST developed-eligibility criteria:
 - i. Visionary Capability: SGIPGBIEIPGB Members will be capable of understanding and contributing to the multi-disciplinary aspects of the Smart Grid Identity Ecosystem and the specific goals of the SGIPIEP mission.
 - ii. Team Effectiveness: SGIPGBIEIPGB Members will be capable of working effectively as a team within the scope of the SGIPGBIEIPGB.

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

Formatted: Highlight

- iii. Outreach: SGIPGBIEIPGB Members will be able to relay and leverage SGIPGBIEIPGB messages through the stakeholder community, contributing to underlying consensus building goals of the SGIPGBIEIPGB.
- iv. Recognition: SGIPGBIEIPGB Members will be recognized experts in their technical fields of endeavor
- v. Commitment: Members will be committed to contribute time and effort to SGIPGBIEIPGB activities.

2.2.2.1.3 Preparation of a Slate

- a. The Candidate Evaluation Committee will verify the eligibility of candidates, including their ability to fulfill the requirements of the open seats.
- b. The Candidate Evaluation Committee will develop a slate of all eligible candidates from all candidate nominations received during the Call for Candidates, corresponding to the requirements for vacant seats.
- c. Candidates may only appear once on a slate.

2.2.2.1.4 Confirmation of a Slate

- a. The slate will be defended by the Candidate Evaluation Committee before the sitting SGIPGBIEIPGB.
- b. Except for the nominations for the initial SGIPGBIEIPGB, the sitting SGIPGBIEIPGB will vote to accept or reject the slate or individual nominees within the slate, as appropriate. Individual nominees may only be rejected by the SGIPGBIEIPGB if they do not meet the eligibility criteria or they are otherwise not qualified to fill the open position for which they are nominated.
- c. Cause for rejection will be clearly stated so that the Candidate Evaluation Committee may propose a new slate or a partial slate.

2.2.2.1.5 Election of SGIPGBIEIPGB Members

Election of SGIPGBIEIPGB members will be as follows:

- a. Only Participating Members of a Stakeholder Category may vote for Candidates being elected from that Stakeholder Category.
- b. SGIPGBIEIPGB members who are the Chairs of the Smart-GridIdentity Ecosystem Architecture Committee and the Chair of the Smart-GridIdentity Ecosystem Testing and Certification Committee will be selected according to section 2.3.1 and 2.3.2, respectively.

- c. All Participating Members of the SGPIEIP may vote for Candidates being elected for “at large” positions.
- d. Candidates are elected by the highest vote count of the Stakeholders voting for that position.
- e. Should seats remain open at the end of the confirmation process, the Chair may provide guidance to the Administrator to initiate another Call for Candidates.
- f. A tie vote will result in another ballot conducted in a timely fashion, involving only the tied candidates.

2.2.2.2 Ex Officio Non-Voting Members

The following are ex officio non-voting members of the SGIPGBIEIPGB:

- a. The NPO Representative~~NIST National Coordinator for Smart Grid~~, who may delegate service on the SGIPGBIEIPGB to another NIST employee.
- b. The SGPIEIP Administrator.
- c. The SGPIEIP Plenary Chair
- d. The SGACIEAC Chair
- e. The SGTCCITCC Chair
- f. [Other?]

f.g. Additional ex officio members as may be added or removed from the current list by the SGIPGBIEIPGB by a simple majority vote of the board.

2.2.2.3 Ex Officio Non-Voting Member Participation

- a. Ex officio non-voting members will attend all SGIPGBIEIPGB meetings.
- b. Ex officio non-voting members will have no standing to participate in SGIPGBIEIPGB decisions but may participate in SGIPGBIEIPGB discussions as appropriate to their roles.

2.2.2.4 Standing Invitee

The SGIPGBIEIPGB may by a simple majority vote issue a standing invitation to an organization or individual to observe SGIPGBIEIPGB activities. Standing invitees cannot vote in the SGIPGBIEIPGB, but may participate in SGIPGBIEIPGB discussions.

Formatted: Body Text, Tab stops: Not at 1"

Formatted: Indent: Left: 0.5"

Formatted: Bullets and Numbering

2.2.3 *Duties of SGIPGBIEIPGB Members*

- a. Once elected SGIPGBIEIPGB Members will serve as individuals and not as representatives of any company, agency, stakeholder category or other organization.
- b. SGIPGBIEIPGB Members will owe no fiduciary duty of loyalty or care to the SGIPGBIEIPGB or the SGIPIEIP.

If an SGIPGBIEIPGB Member was a Voting Member Representative for their Participating Member prior to their election, the Participating Member must designate a new Voting Member Representative by updating their Membership Agreement.

When participating in SGIPGBIEIPGB activities, members' primary consideration must be the impact of an SGIPGBIEIPGB decision on the public interest and on the economic and operational reliability, integrity, [NOTE: List other desirable characteristics here] security of the Smart Grid Identity Ecosystem.

Formatted: Highlight

2.2.4 *Terms of SGIPGBIEIPGB Membership*

Members will be selected according to the procedures defined in paragraph 2.2.2. The terms of Members will be as follows:

- a. Members of the SGIPGBIEIPGB will serve two-year terms. For the initial SGIPGBIEIPGB, the SGIPBG Members of the even numbered Stakeholder Categories listed in Appendix A will serve a one-year term, and the SGIPGBIEIPGB Members of the odd numbered Stakeholder Categories listed in Appendix A will serve a two-year term. The initial at-large SGIPGBIEIPGB members will serve two year terms.
- b. The start of the membership selection process will occur annually in mid-September with renewed and new Members targeted to be in place by January 1.
- c. A member starting before July 1 is deemed to have a term starting on January 1 of that year.
- d. A member starting on or after July 1 is deemed to have a term starting on January 1 of the following year.
- e. Member terms will expire on December 31 of their second year. For the initial SGIPGBIEIPGB, the terms of one-year Members will expire on December 31 of their first year.
- f. There is no limit to the number of terms SGIPGBIEIPGB Members may serve.
- g. Mid-term vacancies will be filled as described below and will not affect the SGIPGBIEIPGB's ability to take decisions.

2.2.5 *Ending Membership*

- a. A Member may complete a term, or relinquish membership voluntarily.
- b. Upon termination of a member, a replacement must be chosen by selection at the earliest reasonable opportunity,
- c. Should a Member become unable to fulfill their commitment, they will be expected to vacate their seat.

2.2.6 *Officers*

The SGIPGBIEIPGB Officers will include a Chair, Vice Chair and Secretary. If consensus is not achieved when voting for an officer position other than the Chair then the process outlined in paragraph 2.2.7, Meetings and Decision Making, will be followed.

2.2.6.1 Chair

2.2.6.1.1 Chair Selection.

The Chair will be selected from among the SGIPGBIEIPGB membership by simple majority vote of the SGIPGBIEIPGB membership ~~and confirmed by the NIST National Coordinator for Smart Grid Interoperability (NCSGI)~~ as follows:

- a. The Administrator will initiate the selection with a call for Chairperson Nominations.
- b. The call for nominations may be issued up to three months prior to any expected vacancy in the Chair position.
- c. Candidates for Chair will be sitting members of the SGIPGBIEIPGB.
- d. To be considered, Candidates must be nominated by two members prior to the vote for Chair. The criteria for nomination and for selection are:
 - i. Breadth of experience
 - ii. Contributions to the Smart Grid Identity Ecosystem community
 - iii. History of a balanced approach to addressing Smart Grid Identity Ecosystem issues
 - iv. Demonstrated ability to effectively lead a significant organization or an organization board.
- e. The SGIPGBIEIPGB will elect a Chair from among the nominees by a vote of the SGIPGBIEIPGB membership following the voting rules in section 2.2.7, Meetings and Decision Making.

~~f. The elected Chair will be submitted by the Administrator to the NIST National Coordinator for Smart Grid (NIST NCSGI) for confirmation.~~

Formatted: Bullets and Numbering

~~g.f. In the event that the NIST NCSGI does not confirm the elected Chair, the NIST NCSGI must provide clear reasons why he/she does not believe the recommended Chair meets the criteria to the SGIPGB and allow the SGIPGB to submit another recommendation for Chair.~~

2.2.6.1.2 Responsibilities

The Chair will:

- a. Act as a lead spokesperson for the SGIPGBIEIPGB between meetings.
- b. Be the primary point of contact for coordination with the Administrator for the arrangement of meetings and planning of activities.
- c. The SGIPGBIEIPGB Chair shall only vote on matters before the SGIPGBIEIPGB in cases of a tie.

2.2.6.1.3 Term

The term of the Chair will be one year, with no restriction on the number of consecutive terms.

2.2.6.2 Vice Chair

The Vice Chair will be nominated and elected by a vote of the SGIPGBIEIPGB following the voting rules in section 2.2.7, Meetings and Decision Making. The Vice Chair will support the Chair in performing the Chair's duties, and will ensure that meeting minutes, notes, and other meeting artifacts are posted and available to members. The Vice Chair will serve as chair at meetings where the Chair cannot attend. The Vice Chair will serve a term of one year with no restriction on the number of consecutive terms.

2.2.6.3 Secretary

A Secretary will be nominated and elected by a simple majority vote of the SGIPGBIEIPGB. The Secretary will serve a term of one year with no restriction on the number of consecutive terms.

2.2.7 Meetings and Decision Making

- a. The SGIPGBIEIPGB will meet and make decisions in accordance with paragraph 2.1.7, Meetings and Decision Making.
- b. If consensus is not achieved, the SGIPGBIEIPGB may make decisions and take action if at least [NOTE: Adjust the following numbers based on the number of stakeholder groups in the Identity Ecosystem Steering Committee

Formatted: Highlight

context [fourteen (14)] full members concur and there are no more than [six (6) dissenting votes].

Formatted: Highlight

2.2.7.1 Meeting Place

All meetings of the SGIPGBIEIPGB Members will be held at such place as will be determined from time to time by the SGIPGBIEIPGB, and the place at which any such meeting will be held will be stated in the notice of the meeting.

2.2.7.2 Open Meetings; Notice

SGIPGBIEIPGB meetings and minutes are open and available to the public. Except for the initial meeting of the SGIPGBIEIPGB, meetings of the SGIPGBIEIPGB will be announced not less than 30 calendar days prior to in-person meetings and no less than 10 calendar days prior to virtual meetings. Notifications will be communicated by email to SGIPGBIEIPGB membership and by posting on the SGIPIEP web site.

2.2.7.3 Prior Publication and Review of SGIPGBIEIPGB Matters

Announcements of SGIPGBIEIPGB meetings will include the date and time for the meeting, the subject matter and the agenda. A description of any matter to be put to a vote of the SGIPGBIEIPGB will be included in the meeting notice, including the recommendation of the working group and web links to any working papers. Prior to any formal vote on any matter recommended to the SGIPGBIEIPGB, working group papers and documents will be posted on the SGIPGBIEIPGB web site [NOTE: Consider whether the OIX Knowledge Center might also be made available to assure broad dissemination of materials] for public comment and there will be at least a ten (10) business day review and comment period.

Formatted: Highlight

2.2.7.4 Attendance

Attendance at SGIPGBIEIPGB meetings is an obligation of SGIPGBIEIPGB membership. The SGIPGBIEIPGB Secretary will record the presence of each Member at each SGIPGBIEIPGB meeting. Every Member must make a concerted effort to attend all meetings (face-to-face meetings and web conferences). Missing two out of four consecutive meetings will be grounds, but not a requirement, for a vote to remove the Member from the SGIPGBIEIPGB.

2.2.8 Quorum

A simple majority of all Members will be necessary and sufficient to constitute a quorum for the transaction of business.

2.3 SGIPIEP Standing Committees

The SGIPIEP may establish standing committees, to address cross-industry group issues or other SGIPIEP priority areas, subject to approval of the SGIPGBIEIPGB.

At a minimum, the SGIPIEP will maintain the following standing committees:

- Smart-GridIdentity Ecosystem Architecture Committee
- Smart-GridIdentity Ecosystem Testing and Certification Committee

Additional committees will be established as necessary by the SGPIEIP with the approval of the SGIPGBIEIPGB.

There will be no limit on the number of Standing Committee members, although a target of 30 members may be considered for most committees.

The Secretary for each individual committee will be responsible for the committees they serve to schedule meetings, prepare agendas, recording and posting of meetings. The Secretary for an individual committee will be nominated and elected by majority vote of that committee.

2.3.1 Smart-GridIdentity Ecosystem Architecture Committee

The Smart-GridIdentity Ecosystem Architecture Committee (SGIEAC) is responsible for creating and refining a conceptual reference model, including lists of the standardsTrust Framework standards and profiles necessary to implement the vision of the Smart-GridIdentity Ecosystem [NOTE: Review the foregoing responsibilities and modify as necessary to reflect required functions here]. The SGIEAC will include at least eight Members selected by the Plenary Chair, and all other interested members confirmed by majority vote of the SGPIEIP.

Formatted: Highlight

The SGACIEACIEAC Chair will also serve as a non-voting member of the SGIPGBIEIPGB and, therefore, must meet the criteria for service on the SGIPGBIEIPGB. The Plenary Chair will select the SGACIEACIEAC Chair from among the SGACIEACIEAC members and will submit the selected Chair to the SGIPGBIEIPGB for confirmation.

The SGACIEACIEAC Vice Chair and Secretary will be selected by a majority vote of the SGACIEACIEAC. All SGACIEAC Officers will serve two-year terms, with no restrictions on serving consecutive terms. If the Vice Chair or Secretary is unable to complete his/her term of office, the Plenary Chair will select a successor.

2.3.2 Smart-GridIdentity Ecosystem Testing and Certification Committee

The Smart-GridIdentity Ecosystem Testing and Certification Committee (SGIETCC) will consist of at least eight members selected by the Plenary Chair, and all other interested members confirmed by majority vote of the SGPIEIP. The SGTCCIEETCC creates and maintains the necessary documentation and organizational framework for compliance, interoperability and cyber security testing and certification for SGPIEIP-recommended Smart-GridIdentity Ecosystem standardsTrust Framework standards [NOTE: Review the foregoing responsibilities and modify as necessary to reflect required functions here].

The SGTCCIEETCC Chair will also serve as a non-voting member of the SGIPGBIEIPGB and, therefore, must meet the criteria for service on the SGIPGBIEIPGB. The Plenary Chair will select the SGTCCIEETCC Chair from among the SGTCCIEETCC members and will submit the selected Chair to the SGIPGBIEIPGB for confirmation.

~~The SGTCC Vice Chair will be a NIST staff person.~~

The ~~SGTCC~~ Secretary will be selected by a majority vote of the ~~SGTCC~~. The ~~SGTCC~~ Officers will serve two-year terms, with no restrictions on serving consecutive terms. If the Secretary is unable to complete a full term of office, the Plenary Chair will select a successor.

The Standing Committee Chairs will only vote within their committee for cases of a tie.

2.4 Working Groups

The ~~SGIIEIP~~ may create working groups and other subgroups as deemed necessary to address a specific problem or work product, such as but not limited to a Priority Action Plan (PAP), to accomplish its charge. Each working group and subgroup will have a charter document prepared stating the goals for the group. Each subgroup will elect a Chair, Vice-Chair, and Secretary from among ~~SGIIEIP~~ Participating Members. They will operate autonomously to achieve their stated goals. [NOTE: Consider mention of coordination with OIX working groups here. Consider whether OIX might provide the infrastructure to support Steering Committee working groups. Consider preparation of default provisions for operations of working groups to facilitate formation (see OIX Member Rules Part VI (confirm cite) for example).]

Formatted: Highlight

Formatted: Highlight

The Chair of a subgroup will prepare a report on the status, plans, and schedule of the subgroup for every face to face meeting of the ~~SGIIEIP~~ and as called upon for electronic conference sessions. The Chair of a subgroup will determine if other officer positions are necessary and will fill those positions by appointment.

It is expected that working groups and subgroups will meet primarily through teleconferences and web-based meetings. If face-to-face meetings are held, an opportunity for web-based attendance will be provided.

The ~~SGIIEIP~~ will decide when to disband Working Groups and other subgroups, except for the ~~Smart Grid Identity Ecosystem~~ Cyber Security Working Group (CSWG), which will be a permanent working group.

The Working Group Chairs shall only vote within their working group for cases of a tie.

2.4.1 ~~Smart Grid Identity Ecosystem~~ Cyber Security Working Group

The ~~Smart Grid Identity Ecosystem~~ Cyber Security Working Group (~~IESGCSWG~~) will be a permanent working group that provides expertise needed to address matters related to cyber security for the ~~Smart Grid Identity Ecosystem~~. It plays a critical role in identifying the ~~standards~~ Trust Framework standards and architecture needed to ensure the security of the ~~Identity Ecosystem~~ smart grid, which is a critical national infrastructure.

2.4.2 Identity Ecosystem Identity Integrity Working Group

Formatted: Bullets and Numbering

The Identity Ecosystem Identity Integrity Working Group (IEIIWG) will be a permanent working group that provides expertise needed to address matters related to privacy, identity

integrity and related matters for the Identity Ecosystem. It plays a critical role in identifying the Trust Framework standards and architecture needed to ensure the integrity of identity and privacy in the Identity Ecosystem, which is a critical national infrastructure.

~~The SGCSWG Chair will be a NIST staff person.~~

2.5 ***SGPIEIP*** Voting

2.5.1 *What May Be Voted Upon*

Votes may occur on any issue that will be presented.

2.5.2 *Who May Vote*

Participating Members who have not been absent from two consecutive meetings may vote.

2.5.3 *Voting Process*

A Working Group must vote to pass a measure prior to presenting it to the ***SGPIEIP***. The ***SGPIEIP*** must vote to pass a measure prior to presenting it to the ***SGIPGBIEIPGB***.

Initially, the ***SGPIEIP***, its ***SGIPGBIEIPGB*** and its committees and working groups will attempt to achieve consensus on matters before them. If unable to reach consensus, a vote will be taken.

All Participating Members with at least one Member Representative on a particular Working Group can participate in that Working Group's votes. For that Working Group's vote only, each Participating Member must designate only one (1) Member Representative to vote on its behalf. This designated Member Representative need not be the Voting Member Representative.

2.5.4 *Absence; Restoration of Voting Privilege:*

Any Participating Member who is (1) absent for two consecutive meetings or (2) does not vote in two consecutive meetings in which voting occurs, will forfeit the privilege of voting on any matter. The attendance record of Participating Members will be kept in an online database. A Participating Member whose voting privileges are suspended will have voting privileges restored upon attendance at two consecutive meetings. Restoration of voting privileges begins after determination of quorum at the second consecutive meeting attended. All Participating Members attending the first two meetings will be eligible to vote at those meetings. Thereafter for the ***SGPIEIP***, paragraph 2.1.1.1 takes effect.

When making decisions each Participating Member is allotted one vote.

2.5.5 *When a Vote May Occur*

Votes may occur at any meeting announced in accordance with these Bylaws and on any matter advertised in the meeting notice.

2.5.6 Record of Voting

A record of voting on all measures requiring a vote will be kept on the web site. Votes may either be:

- a. “Yes”,
- b. “Yes, with comment”,
- c. “No, with comment,” or
- d. “Abstain”.

All “No” votes must be accompanied by written comments to document why that position was taken and that vote cast.

2.5.7 Requirements for Passing

Seventy-five percent (75%) of the quorum must approve a technical, legal or policy **[NOTE: Conform this expanded set to the approach taken in section 1.4.4.]** measure for it to pass. A simple majority of the quorum is required for passage of administrative matters. A quorum is described below. “Abstain,” votes will be subtracted from the denominator in the percentage approval calculation.

Formatted: Highlight

2.5.8 Quorum

A Quorum of the **SGIPIEIP** is defined as greater than fifty percent (50%) of Participating Members eligible to vote.

2.5.9 Voting within a Stakeholder Category

For the election of a **SGIPGBIEIPGB** candidate within a Stakeholder Category, only Participating Members within that Stakeholder Category may vote.

Each Participating Member is permitted to cast one vote.

2.5.10 Electronic Voting

The **SGIPIEIP**, **SGIPGBIEIPGB** and each Committee or Working Group will conduct electronic balloting on issues within their purview. A standard voting mechanism will be used that logs votes for audit, verifies a quorum is attained and prevents “flooding” of votes by a Member.

2.6 Intellectual Property

[NOTE: Consider whether the following should be refined or expanded in the identity Ecosystem context] The SGPIEIP policy related to Intellectual Property is based on the following principles:

Formatted: Highlight

- a. The SGPIEIP, the SGIPGBIEIPGB, all committees and all working groups and subgroups function in an open working environment. The SGPIEIP and its Members will not accept any documentary or oral disclosure of confidential or proprietary information from any Member as a part of the SGPIEIP's conduct of business. In addition, no information of a secret or proprietary nature will be made available to the SGPIEIP as official documents, and no such documents (or documents marked as such) will be made SGPIEIP official documents or forwarded to the membership.
- b. All proprietary information which may nonetheless be publicly disclosed by any participant during any meeting of the SGPIEIP, the SGIPGBIEIPGB or its committees or working groups will be deemed to have been disclosed on a non-confidential basis, without any restrictions on use by anyone, except that no valid copyright or invention right will be deemed to have been waived by such disclosure.

2.6.1 SGPIEIP Patent Policy - Inclusion of Patents in SGPIEIP-Identified Products

Some SGPIEIP-identified Ecosystem Framework standards and other outputs ~~product~~ may ~~require~~ include the use of an essential patent claim (one whose use would be required for compliance with that standard) if technical reasons justify this approach. If SGPIEIP receives a notice that a proposed or an approved SGPIEIP product may require the use of such a patent claim, the procedures in the following sections will be followed.

2.6.2 Statement from Patent Holder

The SGPIEIP will request from the patent holder or a party authorized to make assurances on its behalf, in written or electronic form an assurance that a license to such essential patent claim(s) will be made available to applicants desiring to utilize the license for the purpose of implementing the SGPIEIP product either:

- a. On a non discriminatory basis and under reasonable terms and conditions; or
- b. Without compensation and under reasonable terms and conditions that are demonstrably free of any unfair discrimination.

If the patent holder or party authorized to make assurances on its behalf does not agree to these terms, then this decision will be documented clearly. As it may pose risks to the implementation of the Smart Grid Identity Ecosystem, this decision will be seriously considered by the SGPIEIP in any related activity or vote.

2.6.2.1 Record of Statement

A record of the patent holder's statement will be retained in the [SGIPIEIP](#) files and posted online.

2.6.2.2 Notice

When the [SGIPIEIP](#) receives from a patent holder the assurance set forth in 2.6.1 above, the expected result will include a note [to be included in the Trust Framework ecosystem documentation to read](#) substantially as follows:

NOTE — The user's attention is called to the possibility that compliance with this expected result may require use of an invention covered by patent rights.

By publication of [SGIPIEIP](#) expected results, no position is taken with respect to the validity of any such claim(s) or of any patent rights in connection therewith. If a patent holder has filed a statement of willingness to grant a license under section 2.6.1, details may be obtained from the patent holder.

2.6.2.3 Responsibility for Identifying Patents

Neither the [SGIPGBIEIPGB](#) nor [SGIPIEIP](#) is responsible for identifying patents for which a license may be required for use of an [SGIPIEIP](#) expected result or for conducting inquiries into the legal validity or scope of those patents that are brought to their attention.

2.6.3 *Copyrights*

Copyright in materials produced prior to Membership in the [SGIPIEIP](#) remains the property of the copyright owner. However, copyrighted materials offered for incorporation into [SGIPIEIP](#) outputs must be made available on a royalty-free basis. Members who contribute to [IEIPSIGP](#) outputs are requested to assign copyright to [IEIPNIST](#) so that [IEIPNIST can cause them to be broadly licensed pursuant to a creative commons or similar license arrangement](#) **[NOTE: Identify appropriate open public licensing arrangement to cross reference and apply here]** ~~may place them in the public domain.~~

Formatted: Highlight

Standards developers whose standards are referenced in [SGIPIEIP](#) outputs retain copyright ownership and control of the standards themselves.

2.7 *Ratification of the Bylaws and Amendments*

a. The [SGIPIEIP](#) will have power to make, alter, amend, and repeal the Bylaws of the [SGIPIEIP](#) by a vote of the [SGIPIEIP](#) Participating Members. Approved amendments are effective immediately without any notice period

~~b. Any amendments and alterations that involve either NIST's role or the Administrator's role will require NIST concurrence.~~

Formatted: Bullets and Numbering

e.b. For the initial [SGIPIEIP](#), Participating Members will ratify the Bylaws.

2.8 Conflict of Interest

Members commit to seekare to anticipate any situation in which a conflict of interest may arise and bring these concerns before the SGIPGBIEIPGB and the Administrator for resolution. Resolution may involve the participating, observing, or governing board members of an organization with the conflict of interest recusing themselves from discussions and voting on a specific conflicting topic.

The perception by others of a conflict of interest can be as problematic as any formal legal impropriety. SGIPIEIP and the SGIPGBIEIPGB members must be sensitive to conflict of interest issues; however, being a Member of the SGIPIEIP or the SGIPGBIEIPGB should not disadvantage an individual or their affiliated organizations.

Members may present arguments and/or evidence of a conflict of interest to the SGIPGBIEIPGB and the Administrator.

If a Member Voting Representative has a conflict and the Member Organization does not, the Member Organization may designate a different Voting Representative for the purpose of that vote or discussion.

2.9 Competition

Recognizing that the membership of the SGIPIEIP includes many business organizations that compete directly with one another, normal considerations of appropriate legal boundaries, including antitrust, where appropriate, will be observed. Inappropriate activities may include:

- discussion or engagement in fixing of product prices, allocation of customers or division of market
- discussion of status or substance of ongoing or threatened litigation.

2.10 Robert's Rules of Order

All questions of parliamentary procedure not addressed in this Charter will be resolved according to Robert's Rules of Order Newly Revised (10th edition).³ The Plenary Chair may select a Parliamentarian to interpret procedural rules and advise the Chair on procedural issues; the Plenary Secretary may fill this responsibility. Likewise, the SGIPGBIEIPGB Chair will select a Parliamentarian to interpret procedural rules and advise the SGIPGBIEIPGB Chair on procedural issues.

2.11 Offices

The principal office of the SGIPIEIP will be located at office of the Administrator. The SGIPIEIP may have such other offices as the Smart-GridIdentity Ecosystem Interoperability

³ *Robert's Rules of Order Newly Revised*, 10th edition, Perseus Books Group, Cambridge MA, 2000.

| Panel (SGPIEIP) may designate or as the business of the SGPIEIP may require from time to time.

2.12 Charter Ratification

| For the initial SGPIEIP, Participating Members will ratify the Charter by simple majority vote.

| Amendment of Charter: Amendment of the Charter may be accomplished only by a vote of the full SGPIEIP. Amendments to the Charter must be proposed and accepted using the following procedures:

- a. Publication of a proposed amendment to the SGPIEIP Charter to Members by email and posting to the SGPIEIP Web site at least thirty (30) calendar days prior to the date of a SGPIEIP meeting or electronic vote;
- b. Review by the SGIPGBIEIPGB with a recommendation to the SGPIEIP endorsing or opposing the Charter amendment; and
- c. An electronic vote by the SGPIEIP at which voting by a majority of Participating Members is verified by the Plenary Chair. Approval of an amendment requires an affirmative vote of 75% of eligible Participating Members voting.

CERTIFICATE OF ADOPTION

The undersigned, being the Secretary of SGPIEIP, hereby certifies that the foregoing are the Bylaws adopted by resolution of the SGIPGBIEIPGB of the SGPIEIP as of _____, 20__ and amended as of _____, 20__.

_____, Secretary

3. Acknowledgement

Funding for the Administrator of the SGIPEIP, including meeting arrangements, related research and analysis, as well as the SGIPEIP administration and facilitation staff is currently provided [NOTE: Insert reference to funding source here], ~~by to EnerNex Corporation under a contract from the National Institute of Standards and Technology, United States Department of Commerce.~~

4. Revision History

Version	Date	Change	Change Author
0.1	7/4/119/8/2009	Preliminary Discussion First Draft	sldEwg
0.2	9/10/2009	Editing into one "Charter" document	afs
0.3	9/10/2009	Reformatted section organization	Mjb
0.4	9/14/2009	Adjusted to standard template	Mjb
0.5	9/15/2009	Consistency edits	Mjb
0.6	9/16/2009	Merged in suggested edits from EG and GG	Mjb
1.0	9/17/2009	Final cleanup and edits	mjb
1.0b	9/28/2009	NIST comments	Vrs
1.0c	10/05/2009	Merge Documents and incorporate comments	mb/mt/ke
1.0d	10/10/2009	NIST comments and revisions	pab
1.0e	10/14/2009	EnerNex comments to NIST revisions	mt/ke
1.0f	10/15/09	EnerNex response to public comments	mb/mt/ke
1.0g	11/07/09	NIST comments and revisions	pab
1.0h	11/09/09	Additional NIST comments and revisions	pab/gwa
1.0i	11/11/09	Additional NIST comments and revisions	pab/gwa/mjl/al/dgh
1.0j	11/12/09	Additional NIST and EnerNex comments and revisions	pab/gwa/mjl/dp/mt/dh/mb
1.0k	11/13/09	Added @ to GridWise; correct version date stamp for 1.0f; In order to clarify voting: removed redundant voting description from membership section (2.2.1a,c) in favor of correct text in voting section (2.2.1.1.5); removed redundant description of voting (1.4.3); added reference in section 2.1.7.6 to GB election process from (2.2.1.1.5);	pab/mjb
1.0l	11/14/09	Additional MST modifications for clarification. Revision of sections 2.6 and 2.7	Pab
1.1	3/25/2010	Incorporated bylaws changes approved by SGIPEIP Plenary on March 17, 2010 & editorial changes to	mt

Version	Date	Change	Change Author
		Page iii, 2.2.6.1.3, 2.2.7, 2.4.1, and 2.6.1.	
1.1a	5/5/2010	Restored 2.1.7.2 and 2.5.4 to version 1.01 wording.	
1.2	6/10/10	Incorporated bylaws changes approved by SGIP Plenary on May 25, 2010, involving 2.3.1, 2.3.2, 2.4 and 2.6.	mt
1.3	6/10/11	Incorporated bylaw changes approved by the SGIP Plenary on May 31, 2011, involving 2.1.1.1.i, 2.1.5, 2.3 and Appendix C.	mt

5. References

This document makes use of the following references:

- [1] ANSI™, 2009 ANSI Essential Requirements: Due process requirements for American National Standards
- [2] ~~National Strategy for Trusted Identities in Cyberspace, signed by the President on April 15, 2011~~“Energy Independence and Security Act of 2007”, http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=110_cong_bills&docid=f:h6enr.txt.pdf
- [3] ~~GridWise™ Architecture Council Mission & Structure, December 2007,~~ http://www.gridwiseac.org/pdfs/gwac_mission_structure.pdf
- [4] ~~GridWise™ Architecture Council Bylaws: 4 October 2004,~~ http://www.gridwiseac.org/pdfs/gridwise_ac_bylaws.pdf
- [5] HITSP Charter; ANSI Document Number: HITSP 06 N 109
- [6] IEEE™ Charter and Bylaws Documents
- [7] Internet Architecture Board; Charter of the Internet Architecture Board (IAB), RFC2850, May 2000
- [8] ~~NIST Smart Grid Conceptual Model,~~ <http://collaborate.nist.gov/twikisgrid/bin/view/SmartGrid/SGConceptualModel>
- [9] UCA™ International Users Group (UCAIug) Charter; UCAInternationalCharterRev3.1 Oct05
- [10] UCA™ International Users Group (UCAIug) Bylaws; UCAInternationalBylawsRev2Oct2005

APPENDIX A
STAKEHOLDER CATEGORIES

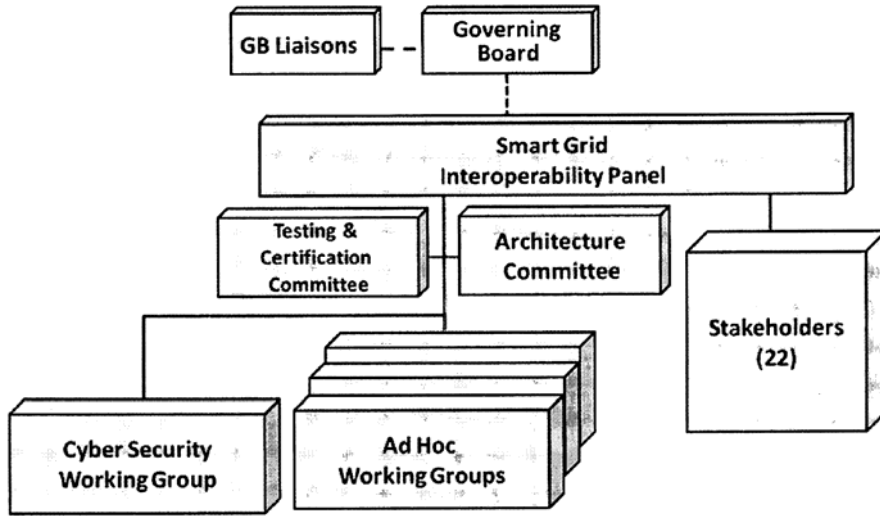
The following list is the list of Stakeholder Categories:

[to come]

- ~~1. Appliance and consumer electronics providers~~
- ~~2. Commercial and Industrial equipment manufacturers and automation vendors~~
- ~~3. Consumers – Residential, Commercial, and Industrial~~
- ~~4. Electric transportation industry Stakeholders~~
- ~~5. Electric utility companies – Investor Owned Utilities (IOU) and Publicly Owned Utilities~~
- ~~6. Electric utility companies – Municipal (MUNI)~~
- ~~7. Electric utility companies – Rural Electric Association (REA)~~
- ~~8. Electricity and financial market traders (includes aggregators)~~
- ~~9. Independent power producers~~
- ~~10. Information and communication technologies (ICT) Infrastructure and Service Providers~~
- ~~11. Information technology (IT) application developers and integrators~~
- ~~12. Power equipment manufacturers and vendors~~
- ~~13. Professional societies, users groups, trade associations and industry consortia~~
- ~~14. R&D organizations and academia~~
- ~~15. Relevant Federal Government Agencies~~
- ~~16. Renewable Power Producers~~
- ~~17. Retail Service Providers~~
- ~~18. Standard and specification development organizations (SDOs)~~
- ~~19. State and local regulators~~
- ~~20. Testing and Certification Vendors~~
- ~~21. Transmission operators and independent system operators~~
- ~~22. Venture Capital~~

APPENDIX B

ORG CHART



APPENDIX C

ACRONYMS

[NOTE: fill in this table as drafting proceeds]

Formatted: Font: Not Bold, Highlight

Formatted: Font: Not Bold

C&I	Commercial and Industrial
CTG	Coordination Task Group
DEWG	Domain Expert Working Group
DOC	Department of Commerce
DOE	Department of Energy
EISA	Energy Independence and Security Act
ICT	Information and Communication Technologies
IKB	Interoperability Knowledge Base
IOU	Investor Owned Utilities
IT	Information Technology
MUNI	Municipal Utility
NCSGI	National Coordinator for Smart Grid <u>Identity Ecosystem</u> Interoperability
NIST	National Institute of Standards and Technology
PAP	Priority Action Plan
R&D	Research and Development
REA	Rural Electric Association
SDO	Standards Development Organization
SGIPIEIP	Smart Grid <u>Identity Ecosystem</u> Interoperability Panel
SGACIEAC	Smart Grid <u>Identity Ecosystem</u> Architecture Committee
SGCSWGIECSWG	Smart Grid <u>Identity Ecosystem</u> Cyber Security Working Group
SGIPGBIEIPGB	Smart Grid <u>Identity Ecosystem</u> Interoperability Panel Governing Board

<u>SGTCCIETCC</u>	<u>Smart Grid Identity Ecosystem</u> Testing and Certification Committee
-------------------	--

Formatted: Centered

Exhibit 1.2.1A

Disclosure and Marking Practices for Identity Ecosystem Framework specifications

Including standards for
normative and informative references to proprietary standards
and
those standards with respect to which various
intellectual property or other rights might be asserted

[to come]

Formatted: Font: Bold

Formatted: Font: Bold

Formatted: Left