SMART GRID INTEROPERABILITY PANEL

SGIP Catalog of Standards Development Process Statement (DPS): SSO OASIS


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1 Background and Purpose

The entity proposing inclusion of a Standard into the Catalog shall provide materials describing the process under which the proposed specification was developed. This document is part of the required information provided to the SGIP as described in section 4.1 step 2 in the Catalog of Standards Process Description document [1].

1.1 Content of the Development Process Statement (DPS)

The National Technology Transfer and Advancement Act (NTTAA) [2] describes characteristics desirable to aid the uptake of technologies developed, in part, with United States government support. OMB Circular A-119 [3] elaborates the definitions and requirements for voluntary consensus standards. Support for these characteristics is therefore encouraged, although not required.

The organization should make statements of support for the maxims “i” through “v” which are quoted below for reference (NTTAA reference, OMB Circular A-119 section 4 “What are Voluntary, Consensus Standards”). Please refer to “ANSI Essential Requirements: Due process requirements for American National Standards” [4] for definitions of terms. If the SSO is ANSI Accredited, provide the reference paragraph number from this reference as the support paragraph.

Properties of Voluntary Consensus Standards:

The organization should indicate how support for each maxim in the excerpt below, from the above-mentioned reference, is achieved for the standard:

a. For purposes of this policy, "voluntary consensus standards" are standards developed or adopted by voluntary consensus standards bodies, both domestic and international. These standards include provisions requiring that owners of relevant intellectual property have agreed to make that intellectual property available on a non-discriminatory, royalty-free or reasonable royalty basis to all interested parties. For purposes of this document, "technical standards that are developed or adopted by voluntary consensus standard bodies" is an equivalent term.

(1) "Voluntary consensus standards bodies" are domestic or international organizations which plan, develop, establish, or coordinate voluntary consensus standards using agreed-upon procedures. A voluntary consensus standards body is defined by the following attributes:

(i) Openness.
(ii) Balance of interests.
(iii) Due process.
(iv) An appeals process.
(v) Consensus.
Additionally, the intellectual property rights associated with use of this standard should be described.

1.2 Standards Setting Organizations (SSO) and the DPS

It is assumed that for any Standards Setting Organization (SSO) there is a common process model that guides all developments of the standards by that body. For this reason, the SGIP maintains a single DPS per SSO. However, there are occasions where there are per-standard circumstances that require additional elaborations. In these cases an additional DPS is constructed to cover the differences. Standards Information Forms (SIF)s point to the correct DPS to use for that standard.

In the sections below italicized text describes the information to be described. Use this text as guidance for completing this DPS. Retain this descriptive text during edits.

2 Definitions

<table>
<thead>
<tr>
<th>Term</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Appeals Process</td>
<td>A written set of procedures that contain an identifiable, realistic and readily available appeals mechanism for the impartial handling of substantive and procedural complaints regarding any action or inaction. [4]</td>
</tr>
<tr>
<td>Balance of Interests</td>
<td>Participants from diverse interest categories (stakeholders) are sought to participate in the standards development process with the objective of achieving balance in the process [5].</td>
</tr>
<tr>
<td>Consensus</td>
<td>General agreement, but not necessarily unanimity, and includes a process for attempting to resolve objections by interested parties, as long as all comments have been fairly considered, each objector is advised of the disposition of his or her objection(s) and the reasons why, and the consensus body members are given an opportunity to change their votes after reviewing the comments [3].</td>
</tr>
<tr>
<td>Due Process</td>
<td>Any organization, company, government agency, or individual with a direct and material interest has a right to participate by expressing a position and its basis, having that position considered, and appealing if adversely affected [5].</td>
</tr>
</tbody>
</table>
| Necessary Patent      | A patent or patent claim that is necessary or essential to implement a Standard as described and set forth in the relevant Standards-Setting Organization's (SSO) governing rules and procedures.  
(Note: the SSO may define “Necessary Patents” that are the subject of its IPR Policy differently. The Sponsoring Organization and/or SSO is asked to provide information on the defined terms in this document) |
Openness
Participation in the standard development process shall be open to all persons who are directly and materially affected by the activity in question, and the committee's activities are publicly available [5].

Sponsoring Organization
Organization that creates, manages, and is otherwise responsible for the maintenance of a specification for consideration in the Catalog.

Standard
The term "standard," or "technical standard" as cited in the Act, includes all of the following: (1) Common and repeated use of rules, conditions, guidelines or characteristics for products or related processes and production methods, and related management systems practices. (2) The definition of terms; classification of components; delineation of procedures; specification of dimensions, materials, performance, designs, or operations; measurement of quality and quantity in describing materials, processes, products, systems, services, or practices; test methods and sampling procedures; or descriptions of fit and measurements of size or strength [3].

Standards-Setting Organization
Organization that has defined processes and produces and maintains specifications normally called standards, best practices, and guidelines.

3 Properties of Voluntary consensus standards bodies
OASIS technical specifications are publications developed as proposed open standards by interested volunteer experts under the open development process administered by OASIS (the Organization for Advancement of Structured Information Standards http://www.oasis-open.org/). OASIS is one of the largest and oldest global open data standards consortia, founded in 1993. OASIS has over 5000 expert participants representing about 500 member organizations and individual members in over 80 countries.

OASIS maintains Category A Liaison status with multiple technical committees of ISO, Category A4 recognition status with ITU-T, and Publicly Available Specification (PAS) status with ISO/IEC JTC1, each of which permits OASIS to submit final standards directly to those global de jure standards bodies for transposition and fast-track approval, analogous on the international level to the national-level process vetting conducted in the US by ANSI. As part of its PAS status renewal [6], OASIS policies and practices are reviewed periodically by JTC1 on substantially the same criteria employed by ANSI, and have been approved by that group of national standards bodies upon each review, in 2004, 2007 and 2010. [6]
3.1 Standard documents that this DPS applies to

Table 1: Standards to which this DPS Applies

<table>
<thead>
<tr>
<th>Standard Number</th>
<th>Version</th>
<th>Standard Title</th>
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<tbody>
<tr>
<td>1.0</td>
<td></td>
<td>WS-Calendar</td>
</tr>
<tr>
<td>1.0</td>
<td></td>
<td>OASIS Energy Market Information Exchange (eMIX)</td>
</tr>
<tr>
<td>1.0</td>
<td></td>
<td>Energy Interoperation</td>
</tr>
</tbody>
</table>

3.2 Openness

All aspects of OASIS Work Products are publicly visible on the web. This includes all drafts, emails, minutes, and any other communication on the Technical Committee lists. All participants agree to the public posting of their contributions and drafts as part of their membership agreement.

OASIS membership is required only to actively participate in Technical Committee (TC) meetings and to vote. Members of the public and other stakeholders have complete visibility into OASIS technical specification development activities, due to this transparency.

3.3 Balance of interests

OASIS policies, procedures, comment and interpretation facilities are available to anyone, regardless of affiliation or interests. Membership in OASIS is open to any interested party, organizational as well as individual, upon payment of a membership fee, and any member may join any OASIS technical committee. Technical committees are formed at OASIS upon the proposal of a group of members; each proposal defines that committee’s scope of work, and that proposal (a “Call for Participation”) is broadly circulated to the public and interested technical stakeholders. The proposals for the OASIS technical committees serving SGIP PAP03, PAP04, and PAP09 also directly were circulated to SGIP stakeholders. The management and Board of OASIS do not restrict the formation or scope of TCs, except by enforcing the requirement of submitting a complete proposal. OASIS staff also actively recruits from multiple constituencies to help assure a balanced set of stakeholder inputs. Additionally, OASIS always provides facilities for public comment (i.e. from nonmembers) on any of these works. In short, any interested person may provide input and feedback directly into each OASIS technical project.

3.4 Due process

OASIS policies and procedures describe the rights and responsibilities of the community engaged in the creation of OASIS Work Products. Under the OASIS TC Process [7] a TC first develops and approves works at the committee level. After a public review and certification of the existence of implementations, the TC may submit a final committee output to the membership of OASIS for consideration as an "OASIS Standard," the consortium’s highest level of approval. This approval also is accomplished by an open, publicly-transparent balloting process.
3.5 An appeals process
OASIS maintains a professional staff to enforce its rules and provide assistance to members in fulfilling their technical, formatting, licensing and transparency responsibilities. The OASIS TC Process requires that a number of key approval milestones be administered or confirmed by professional staff neutrals, and provides for a two-stage appeals process (to the TC administration staff and the Board of Directors) for any disputes regarding the actions of a technical committee, or its expert members, or the consortium staff itself. [7]

3.6 Consensus
The OASIS TC Process [7] provides for open discussion and voting by its technical committees, which any member may join, and publicly-archived votes for approval of Work Products after required public reviews are completed.

4 Intellectual Property Rights (IPR)

4.1 Applicable IPR-related policies
The OASIS Intellectual Property Rights (IPR) Policy [8] requires, among other things, that contributors of existing work and participants in OASIS TCs: (a) disclose their known essential claims (patents, etc.) related to the work, and (b) promise to grant licenses, on at least certain minimum terms, to support that work, if it becomes part of a completed OASIS specification. OASIS also publishes any statements or disclosures of essential claims of which it becomes aware, as well as the terms of any specifically disclosed available or required licenses.

The minimum terms of license availability, depending on the technical committee’s charter, may either be:

(i) a nonassertion covenant from each obligated participant and contributor;
(ii) a royalty-free license with a certain limited set of additional beneficial terms;
(iii) A royalty-free license with all other license terms subject to RAND criteria; or
(iv) a RAND license.

The OASIS copyright provisions, described in the OASIS IPR Policy, generally grant to any party permission to implement or make derivative works for the implementation of OASIS specifications.

4.2 IPR Disclosures and Declarations
IPR Disclosures and Obligated Parties are listed on links from the respective Technical Committee web pages [9][11][13]. No IPR disclosures by members have been made with respect to WS-Calendar as of this date. [10][12][14]
5 Document References


   http://isotc.iso.org/livelink/livelink?func=ll&objId=9380064&objAction=Open&nexturl=%2Flivelink%2Flivelink%3Ffunc%3D%26objId%3D9384365%26objAction%3Dbrowse%26sort%3Dname


6 Revision History

SGIP Document Number: ?

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<table>
<thead>
<tr>
<th>Rev. Number</th>
<th>Date</th>
<th>Author/Editor</th>
<th>Summary of Revisions</th>
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<tr>
<td>0.7</td>
<td>20110815</td>
<td>William Cox</td>
<td>Original OASIS DPS for WS Calendar</td>
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<tr>
<td>1.0</td>
<td>20120131</td>
<td>Jeremy Laundergan</td>
<td>Revised OASIS DPS to utilize DPS template version 0.9 and include EMIX and Energy Interop in Table 1</td>
</tr>
</tbody>
</table>

6.1 Contributors

Editorial and consistency updates provided by William Cox

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