SGiP Catalog of Standards Development Process
Statement: IETF Standards

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THE SGIP

The Smart Grid Interoperability Panel (SGIP) is a membership-based organization created by an Administrator under a contract from NIST to provide an open process for stakeholders to participate in providing input and cooperating with NIST in the ongoing coordination, acceleration and harmonization of standards development for the Smart Grid. The SGIP also reviews use cases, identifies requirements and architectural reference models, coordinates and accelerates Smart Grid testing and certification, and proposes action plans for achieving these goals. The SGIP does not write standards, but serves as a forum to coordinate the development of standards and specifications by many Standards-setting organizations.

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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].

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”; refer to ANSI Essential Requirements: Due process requirements for American National Standards (January 2010) for definitions of terms) [4]. 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, which is defined as 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.

Additionally, the intellectual property rights associated with use of this standard should be described.
2 Properties of Voluntary consensus standards bodies

For each section below, provide a description of how this SSO supports the topic. If the SSO does not have support for the topic, make that assertion.

The Internet Engineering Task Force’s mission is "to make the Internet work better," but it is the Internet Engineering Task Force, so this means: make the Internet work better from a engineering point of view. We try to avoid policy and business questions, as much as possible. If you're interested in these general aspects, consider joining the Internet Society. Most participants in the IETF are engineers with knowledge of networking protocols and software. Many of them know a lot about networking hardware too.

A. Internet Engineering Task Force

The Internet Engineering Task Force (IETF) is an open international community of network designers, operators, vendors and researchers concerned with the evolution of the Internet architecture and the smooth operation of the Internet. It is the principal body engaged in the development of new Internet Standard specifications.

B. IETF Working Groups

The technical work of the IETF is done in its Working Groups, which are organized by topics into several Areas (e.g., routing, network management, security, etc.) under the coordination of Area Directors. Working Groups typically have a narrow focus and a lifetime bounded by completion of a specific task.

For all purposes relevant to the Internet Standards development process, membership in the IETF and its Working Groups is defined to be established solely and entirely by individual participation in IETF and Working Group activities. Participation in the IETF and its Working Groups is by individual technical contributors rather than by formal representatives of organizations.

Anyone with the time and interest to do so is entitled and urged to participate actively in one or more IETF Working Groups and to attend IETF meetings which are held three times a year. In most cases active Working Group participation is possible through electronic mail alone. Internet video conferencing is also being used to allow for remote participation.

To ensure a fair and open process, participants in the IETF and its Working Groups must be able to disclose, and must disclose to the Working Group chairs any relevant current or pending intellectual property rights that are reasonably and personally known to the participant if they participate in discussions about a specific technology.

New Working Groups are established within the IETF by explicit charter. The guidelines and procedures for the formation and operation of IETF working groups are described in detail in Huizer, E. and D. Crocker, "IETF Working Group Guidelines and Procedures," RFC 1603, March 1994.

A Working Group is managed by one or more Working Group chairs (see section 2.2). It may also include editors of documents that record the group's work (see section 2.3). Further details of Working Group operation are contained in RFC 1603.
IETF Working Groups display a spirit of cooperation as well as a high degree of technical maturity; IETF participants recognize that the greatest benefit for all members of the Internet community results from cooperative development of technically superior protocols and services.

C. IETF Secretariat

The administrative functions necessary to support the activities of the IETF are performed by a Secretariat consisting of the IETF Executive Director and his or her staff. The IETF Executive Director is the formal point of contact for matters concerning any and all aspects of the Internet standards process, and is responsible for maintaining the formal public record of the Internet standards process, see, Bradner, S., Editor, "The Internet Standards Process – Revision 3," RFC 2026, October 1996.

D. Internet Society

The Internet Society (ISOC) is an international organization concerned with the growth and evolution of the worldwide Internet and with the social, political, and technical issues that arise from its use. The ISOC is an organization with individual and organizational members. The ISOC is managed by a Board of Trustees elected by the worldwide individual membership.

Internet standardization is an organized activity of the ISOC, with the Board of Trustees being responsible for ratifying the procedures and rules of the Internet standards process RFC 2026.

The way in which the members of the ISOC Board of Trustees are selected, and other matters concerning the operation of the Internet Society, are described in the ISOC By-Laws for the Internet Society, as amended:

   gopher://info.isoc.org/00/isoc/basic_docs/bylaws.txt

E. Internet Engineering Steering Group

The Internet Engineering Steering Group (IESG) is the part of the Internet Society responsible for the management of the IETF technical activities. It administers the Internet Standards process according to the rules and procedures defined in RFC 2026. The IESG is responsible for the actions associated with the progression of technical specification along the "standards track" including the initial approval of new Working Groups and the final approval of specifications as Internet Standards. The IESG is composed of the IETF Area Directors and the chair of the IETF, who also serves as the chair of the IESG.

The members of the IESG are nominated by a nominations committee (the Nomcom), and are approved by the IAB. See, Galvin, J (Ed.), "IAB and IESG Selection, Confirmation, and Recall Process: Operation of the Nominating and Recall Committees", RFC 2027, October 1996, for a detailed description of the Nomcom procedures. Other matters concerning its organization and operation, are described in the IESG Charter.

F. Internet Architecture Board
The Internet Architecture Board (IAB) is chartered by the Internet Society Trustees to provide oversight of the architecture of the Internet and its protocols. The IAB appoints the IETF Chair and is responsible for approving other IESG candidates put forward by the IETF nominating committee. The IAB is also responsible for reviewing and approving the charters of new Working Groups that are proposed for the IETF.

The IAB provides oversight of the process used to create Internet Standards and serves as an appeal board for complaints of improper execution of the standards process (see, RFC 2026). In general it acts as source of advice to the IETF, the ISOC and the ISOC Board of Trustees concerning technical, architectural, procedural, and policy matters pertaining to the Internet and its enabling technologies.

The members of the IAB are nominated by a nominations committee (the Nomcom), and are approved by the ISOC Board.

2.1.1 Openness
“Participation in the IETF and its Working Groups is by individual technical contributors rather than by formal representatives of organizations. Anyone with the time and interest to do so is entitled and urged to participate actively in one or more IETF Working Groups and to attend IETF meetings which are held three times a year. In most cases active Working Group participation is possible through electronic mail alone. Internet video conferencing is also being used to allow for remote participation.”

2.1.2 Balance of interests
“Participation in the IETF and its Working Groups is by individual technical contributors rather than by formal representatives of organizations.”

2.1.3 Due process
“The IAB provides oversight of the process used to create Internet Standards and serves as an appeal board for complaints of improper execution of the standards process (see, RFC 2026). In general it acts as source of advice to the IETF, the ISOC and the ISOC Board of Trustees concerning technical, architectural, procedural, and policy matters pertaining to the Internet and its enabling technologies.”

2.1.4 An appeals process
“The IAB provides oversight of the process used to create Internet Standards and serves as an appeal board for complaints of improper execution of the standards process (see, RFC 2026). Section 6.5.4.”

6.5.4 Appeals Procedure
All appeals must include a detailed and specific description of the facts of the dispute.

All appeals must be initiated within two months of the public knowledge of the action or decision to be challenged.
At all stages of the appeals process, the individuals or bodies responsible for making the decisions have the discretion to define the specific procedures they will follow in the process of making their decision.

In all cases a decision concerning the disposition of the dispute, and the communication of that decision to the parties involved, must be accomplished within a reasonable period of time.

[NOTE: These procedures intentionally and explicitly do not establish a fixed maximum time period that shall be considered "reasonable" in all cases. The Internet Standards Process places a premium on consensus and efforts to achieve it, and deliberately foregoes deterministically swift execution of procedures in favor of a latitude within which more genuine technical agreements may be reached.]

2.1.5 Consensus

Consensus or Approval Process

The IESG shall determine whether or not a specification submitted to it according to RFC 2026 section 6.1.1 satisfies the applicable criteria for the recommended action (see sections 4.1 and 4.2), and shall in addition determine whether or not the technical quality and clarity of the specification is consistent with that expected for the maturity level to which the specification is recommended.

In order to obtain all of the information necessary to make these determinations, particularly when the specification is considered by the IESG to be extremely important in terms of its potential impact on the Internet or on the suite of Internet protocols, the IESG may, at its discretion, commission an independent technical review of the specification.

The IESG will send notice to the IETF of the pending IESG consideration of the document(s) to permit a final review by the general Internet community. This "Last-Call" notification shall be via electronic mail to the IETF Announce mailing list. Comments on a Last-Call shall be accepted from anyone, and should be sent as directed in the Last-Call announcement.

The Last-Call period shall be no shorter than two weeks except in those cases where the proposed standards action was not initiated by an IETF Working Group, in which case the Last-Call period shall be no shorter than four weeks. If the IESG believes that the community interest would be served by allowing more time for comment, it may decide on a longer Last-Call period or to explicitly lengthen a current Last-Call period.

The IESG is not bound by the action recommended when the specification was submitted. For example, the IESG may decide to consider the specification for publication in a different category than that requested. If the IESG determines this before the Last-Call is issued then the Last-Call should reflect the IESG's view. The IESG could also decide to change the publication category based on the response to a Last-Call. If this decision would result in a specification being published at a "higher" level than the original Last-Call was for, a new Last-Call should be issued indicating the IESG recommendation. In addition, the IESG may decide to recommend the formation of a
new Working Group in the case of significant controversy in response to a Last-Call for specification not originating from an IETF Working Group.

In a timely fashion after the expiration of the Last-Call period, the IESG shall make its final determination of whether or not to approve the standards action, and shall notify the IETF of its decision via electronic mail to the IETF Announce mailing list.

3 Intellectual Property Rights (IPR)

Summarize the IPR policy of the SSO and provide links to where the policy may be retrieved or provide it in conjunction with this document (to the extent that this information is publicly available).

“To ensure a fair and open process, participants in the IETF and its Working Groups must be able to disclose, and must disclose to the Working Group chairs any relevant current or pending intellectual property rights that are reasonably and personally known to the participant if they participate in discussions about a specific technology.”

3.1 Applicable IPR-related policies

Provide information regarding all applicable IPR-related policies that were in effect with regard to the candidate Standard (including policies relating to patents, copyrights, confidential information, marks and logos and any other proprietary rights).


3.2 IPR-related disclosure

Provide information regarding any IPR-related disclosures or licensing statements regarding the candidate Standard.

From RFC 3979 (as updated by RFC 4879):

“Where Intellectual Property Rights have been disclosed for IETF Documents as provided in Section 6 of this document, the IETF Executive Director shall request from the holder of such IPR, a written assurance that upon approval by the IESG for publication as RFCs of the relevant IETF specification(s), all persons will be able to obtain the right to implement, use, distribute and exercise other rights with respect to Implementing Technology under one of the licensing options specified in Section 6.5 below unless such a statement has already been submitted. The working group proposing the use of the technology with respect to which the Intellectual Property Rights are disclosed may assist the IETF Executive Director in this effort.

The results of this procedure shall not, in themselves, block publication of an IETF Document or advancement of an IETF Document along the standards track. A working group may take into consideration the results of this procedure in evaluating
the technology, and the IESG may defer approval when a delay may facilitate obtaining such assurances. **The results will, however, be recorded by the IETF Executive Director, and be made available online.**”

Also see, [http://www.ietf.org/ipr/file-disclosure](http://www.ietf.org/ipr/file-disclosure)

Disclosure Search: [https://datatracker.ietf.org/ipr/search/](https://datatracker.ietf.org/ipr/search/)

### 4 Document References


[4] **ANSI Essential Requirements:** Due process requirements for American National Standards (January 2010), [ANSI Essential Requirements Link](#)
5 Revision History

SGIP Document Number: to be assigned

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5.1 Contributors

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