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# **Identity Ecosystem Steering Group, Inc.**

*Standards Coordination Committee*

# **IDESG Standards Adoption Policy**

Version *1.0d2*  
*05/07/2014*

13

### VERSION HISTORY

14

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54 **1 Introduction**

55 **1.1 Role of standards within the IDESG**

56

57 The Rules of Association<sup>1</sup> of the Identity Ecosystem Steering Group (IDESG) state that “The  
58 purpose of the IDESG shall be to develop and administer the process for policy and technical  
59 standards development for the Identity Ecosystem Framework.” It further states that:

60

- 61 • “The IDESG shall not itself be a standards development body, but rather an organization  
62 that promotes the development of standards by other existing standards development  
63 organizations and develops policies that serve to accelerate the development and  
64 adoption of the Identity Ecosystem.”

65

66 The first activity within the scope of the IDESG is identified as:

67

- 68 • “Promote and Adopt Standards. The IDESG shall establish forums and procedures to  
69 review applicable standards and adopt those that support achievement of the NSTIC  
70 vision, conform to the Guiding Principles, and meet other established requirements.  
71 Additionally, the IDESG shall
  - 72 ○ recommend standards be established when gaps are identified; and,
  - 73 ○ advocate for standards to be established and adopted in a timely manner and be  
74 sufficient to keep pace with emerging technology and market trends.”

75

76 Adopted standards form part of the Identity Ecosystem Framework, inform the work of the  
77 IDESG committees, and will be relied upon as part of the Trustmark program. “The IDESG shall  
78 encourage harmonization of standards and policies and shall always strive to recognize the  
79 impacts of policy and standards on all stakeholders in the Identity Ecosystem.”<sup>2</sup>

80

81 It is the responsibility of the IDESG Plenary to “Facilitate the timely review, recommendation  
82 and adoption of standards related to the development and governance of the Identity  
83 Ecosystem.” The IDESG Management Council shall “Review proposals for the standards,  
84 policies, and other components of the Identity Ecosystem Framework prior to consideration by  
85 the Plenary.”

86

87 It is the purpose of this Standards Adoption Policy to define the policies and processes by which  
88 standards are adopted into the Identity Ecosystem Framework.

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<sup>1</sup> *Rules of Association of the Identity Ecosystem Steering Group (IDESG)*, Revised April 10, 2013,  
<https://www.idecosystem.org/ROA>.

<sup>2</sup> Ibid.

90 **1.2 Open standards**

91 The purpose of an "open standards" criterion within the IDESG system is to implement the call  
 92 of the White House NSTIC (the "National Strategy") for the use of open standards as the  
 93 preferred methodology for interactions in data regarding identity between independent parties  
 94 within identity ecosystems. As noted in the National Strategy, and multiple prior governmental  
 95 directives and best practices, widespread adoption and success for identity ecosystems depends  
 96 on the voluntary participation. [Such open standards will include open standards for open  
 97 source developed systems.]

98  
 99 While some identity ecologies may have their own satisfactory proprietary or closed methods,  
 100 the NSTIC open and scalable ecosystem concept depends on the ability of large groups of  
 101 enterprises, institutions and individuals to federate and conduct interactions regarding identity  
 102 data, voluntarily, with confidence that they will be able to use their own systems and methods,  
 103 within their own environment, while confidently relying on identity data interactions with each  
 104 other across organizational boundaries by means of stable, vendor-neutral methods with well-  
 105 declared meanings.

106  
 107 That requirement of open accessibility to newcomers, in "openly federating" systems, generally  
 108 can be addressed by the criteria for open standards use that are pervasive in US public policy.  
 109 "Voluntary consensus standards" use is preferred, as a policy matter, because those methods  
 110 are:

- 111 • Neutral as to vendors, and more accessible by DIY implementers. The transparency and  
 112 quality generated in an open standards process generally results in higher quality, and  
 113 methods less tied to the peculiarities of any one offering. These requirements also help  
 114 address competition law issues, so that a government policy is not seen to favor a  
 115 specific supplier.
- 116 • Open accessibility of a system to any implementer, regardless of system or software, also  
 117 enhances positive network scale effects, by making it easier for newcomers to federate  
 118 and transact without high switching costs. When a higher volume of transactions is  
 119 enabled, this also can result in cost savings from the creation and marketing of common  
 120 interfaces, tools and service providers. [Note comment about 'affordable standards' in  
 121 Section 4.]

122 **1.3 IDESG Standards Registry**

123 The corpus of standards adopted by the IDESG as part of the Identity Ecosystem Framework is  
 124 contained within the IDESG Standards Registry. This registry shall list all standards that have  
 125 been approved for adoption by the IDESG plenary, along with metadata about each such  
 126 standard. Section 3 describes the process through which adoption occurs.

127  
 128 IDESG also maintains an informal web resource, uncritically listing all known standards,  
 129 specifications and similar guidance, related to identity management and NSTIC's domain, of  
 130 which the IDESG is made aware. That wiki-based resource is intended to serve as a finding tool;  
 131 inclusion of an artifact there is not as an evaluative statement.

132

133 **1.4 Standards vs specifications**

134 In the course of its work, the IDESG will create and adopt many documents to serve its many  
135 purposes and activities. Some of these documents will become part of the Identity Ecosystem  
136 Framework. However, although beneficial, not all of these documents are “standards” per se.  
137 According to the International Organization for Standardization (ISO):

138

- 139 • A standard is a document that provides requirements, specifications, guidelines or  
140 characteristics that can be used consistently to ensure that materials, products,  
141 processes and services are fit for their purpose.

142

143 Section 4 describes the criteria for determining if a document is a standard, if it is an “open  
144 standard”, and if it is suitable for IDESG adoption. [Also, note comments about ‘affordable  
145 Standards’ and ‘conformant to the Guiding Principles’ in Section 4.]

146

## 147 2 Policy Statements

148

149 The following general principles and assumptions apply to the Standards Adoption Process  
150 described in this document.

### 151 **2.1 IDESG/SCC is not an SDO.**

152 Neither IDESG nor its Standards Committee is intended to serve as a primary source for the  
153 creation of new data specifications or standards. In this context, the role of the IDESG is to  
154 encourage and assist the creation of identity management and identity federation activity  
155 within groups of stakeholders (thereby creating or facilitating persistent "ecologies"), by  
156 describing needs for information & communication technology ("ICT") methodologies, and  
157 identifying and encouraging the development of standards to fulfill those needs. The  
158 Adoption Process is intended to structure and define IDESG's requirements, discovery,  
159 definition, cataloging, assessment and recommendation processes for ICT standards, which  
160 largely are expected to be developed by other, independent host standards development  
161 organizations ("SDOs").

### 162 **2.2 IDESG/SCC will work with SDOs for standards availability.**

163 The National Strategy calls for the identity ecosystems encouraged by the IDESG to be based  
164 on open and widely available standards to ensure wide adoption, vendor-neutrality and  
165 ready availability. IDESG expects that SDOs will participate in the development and  
166 discussion by the IDESG community of needs for ICT functionality and standardization within  
167 its identity management and identity federation scope. IDESG will communicate the  
168 discovered requirements and needs of its stakeholders, for new data standards, to SDOs for  
169 the purpose of encouraging requirements-driven development of standards projects.  
170 When an SDO's output of standards and specifications is nominated by stakeholders as a  
171 method deserving broader adoption or consideration within IDESG's domain and identity  
172 ecologies, the Adoption Process will be used to evaluate its appropriateness as an "open  
173 standard" (see next paragraph). IDESG also will encourage candidate specifications which  
174 have useful functionality in its domain to work with SDOs to become approved as open  
175 standards appropriate for inclusion in IDESG's ecology.

### 176 **2.3 IDESG will establish suitability criteria for standards adoption.**

177 "Open standards," as that term and concept is used within the National Strategy, and by  
178 governmental policies requiring or encouraging the use of open standards, means data  
179 standards which have a set of "open" qualities referring to their availability, transparency,  
180 development process, licensing and neutrality. That "openness" will be defined, for IDESG  
181 purposes, by the Standards Criteria (in section 4) as applied by the Adoption Process (in  
182 section 3). That quality is distinct from, and that assessment does NOT include, an  
183 evaluation of the fitness of a proposed standard for its particular purpose, or a functional  
184 assessment of its merit or interoperability with other specific technologies. That second  
185 inquiry belongs, within IDESG's activities, to the substantive committees or work panels  
186 having expertise in the functions in question. Thus, for example, a proposed cybersecurity  
187 standard, suggested for broad use within IDESG-endorsed frameworks, might have:

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- its security functionality, and suitability for use, assessed by the Security Committee; and
  - the degree to which it is an "open standard", and thus sufficiently available for use, assessed by the Adoption Process.

193 **2.4 SCC will oversee standards adoption.**

194 The Adoption Process as defined in this document will be managed by IDESG's Standards  
 195 Coordination Committee (SCC), as specified in Section 3 below, subject to the governance of  
 196 the IDESG through its plenary and other governing mechanisms. The primary role of the  
 197 SCC will be to arrange for evaluation of candidate standards, when nominated for  
 198 evaluation, using the Adoption Process, which will result in recommendations and reports to  
 199 the IDESG Plenary.

200 **2.5 SCC will be the primary point of SDO liaison.**

201 The SCC will be responsible for liaising with SDOs. Liaison relationships will be initiated as  
 202 needed and shall go through the MC liaison approval process. Day-to-day interaction with  
 203 SDOs will occur either (a) through the SCC, particularly with respect to IDESG initiated  
 204 standards projects within those SDOs, or (b) in cases where a particular IDESG expert  
 205 committee initiates a relationship, will be advised to the SCC.  
 206

## 207 **3 Standards Adoption Process**

208 The process by which a standard is identified, evaluated, and adopted into the Identity  
209 Ecosystem Framework is described herein.

### 210 ***3.1 Process flow***

211 Nominations for candidate standards to be used in IDESG's endorsed frameworks and identity  
212 ecologies may come from (a) IDESG's inventory efforts (described below), (b) substantive IDESG  
213 committees (such as the Security Committee) who propose one or more specific candidates for  
214 review, or (c) from the results of IDESG's own use case development work. The SCC shall  
215 identify applicable standards and ascertain gaps in existing standards based on the established  
216 use cases and those incoming nominations. The SCC shall use designated IDESG liaisons for  
217 communicating any identified gaps to the owning SDO and for monitoring progress of the  
218 standards project within the SDO.

219  
220 As candidate standards for examination are identified as relevant, they will be queued (by the  
221 Standards Committee) for review, as described in the next section.

222  
223 Figure 1 depicts a high level functional view of the standards adoption process flow.  
224

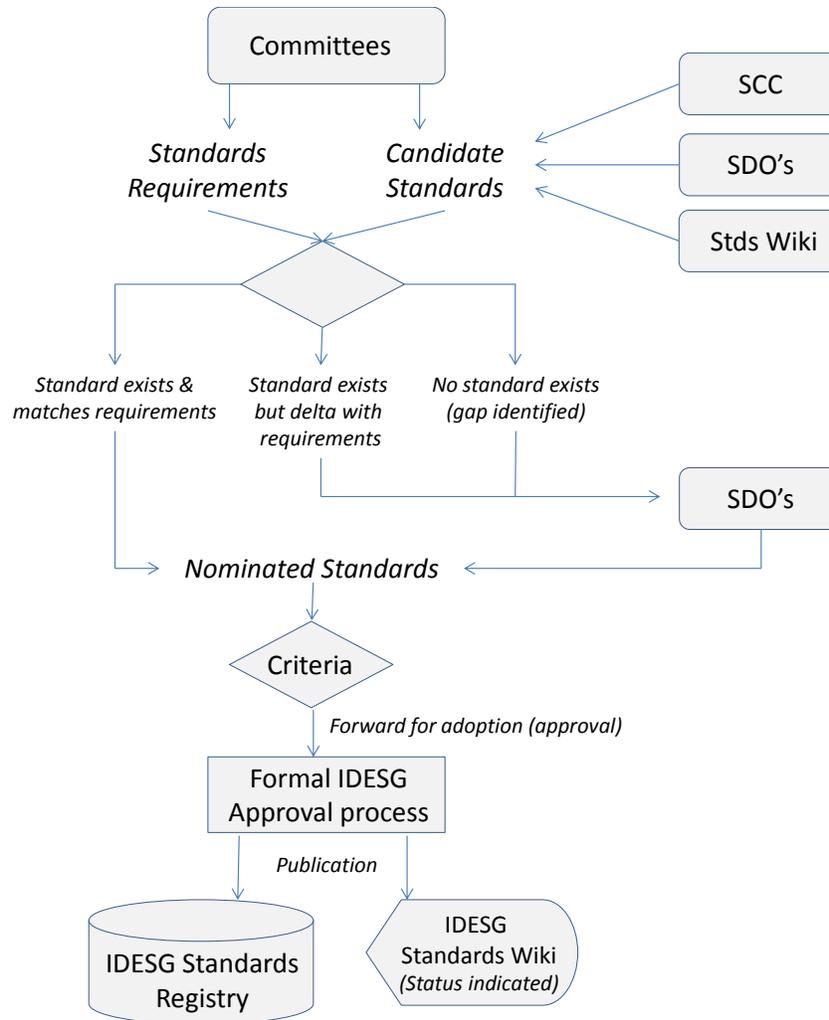


Figure 1. Standards Adoption Process Flow

**3.1.1 Gap identification.** Gaps in available standards to meet the needs of the IDESG and the Identity Ecosystem framework may be identified in several ways:

- *Requirements analysis.* As part of their ongoing activities, IDESG committees may develop sets of requirements, including standards requirements. For example, in the development of a functional model of the Identity Ecosystem, requirements may be identified. Likewise, as the IDESG use cases are developed and analyzed from various perspectives, standards requirements may be derived. When these requirements are analyzed to determine how they can be satisfied by existing standards, it may be determined that either
  - A standard exists, but needs to be revised (updated or expanded) to completely satisfy the requirement, or
  - No standard exists to address the specific requirement(s)

- 243 • “*Known gaps*”. As a community, we are aware of some identity-related standards gaps
- 244 that for one reason or another have not yet been addressed by an SDO. These may be
- 245 collected through a solicitation process.
- 246 • *Stakeholder inputs*. IDESG stakeholders may identify gaps to the SCC. For example, an
- 247 IDESG committee, stakeholder group, or an NSTIC pilot may identify a gap and/or
- 248 propose a standards project.

249  
 250 Once a gap is identified, it must be described and a proposal created for a standards project to  
 251 fill the gap. Once the scope of work is understood, an SDO must be identified to execute the  
 252 project.

253  
 254 **3.1.2 SDO selection.** Once a standards project proposal has been drafted, a suitable SDO  
 255 must be selected to take on that project. SDO’s shall be selected based on:

- 256
- 257 • Qualifications related to the subject matter
- 258 • Criteria for openness as describe in Section 4
- 259 • Adequate personnel to progress the work

260  
 261 SDO selection shall proceed as follows:

- 262
- 263 • SDO nominations will be made to the SCC
- 264 • The SCC will evaluate the nominations, including interviewing of SDOs as appropriate,
- 265 applying the above selection criteria
- 266 • If more than one SDO has been nominated, the SCC will vote on the SDO to be offered
- 267 the project

268  
 269 Once selected, if a formal liaison relationship has not already been established between the  
 270 IDESG and the SDO, such a liaison shall be established and an SCC member assigned as the  
 271 liaison representative. The liaison representative shall monitor the progress of the standards  
 272 project and report back to the SCC. Other IDESG/SCC members may join the SDO to participate  
 273 in the project at their discretion.

274  
 275 ***3.2 Standards adoption life cycle***

276  
 277 The standards adoption process is implemented through a staged process represented as a life  
 278 cycle, as depicted in Figure 2 below.

279

Standards Inventory	Standard Revision/ Development	Standard Nomination	Standard Review	Recommended (Submitted)	Approval & Adoption
<ul style="list-style-type: none"> <li>Collection of existing identity-related standards.</li> <li>Standards Wiki –                             <ul style="list-style-type: none"> <li>Collection</li> <li>Access</li> <li>Feedback</li> </ul> </li> <li>Source of candidate standards</li> </ul>	<ul style="list-style-type: none"> <li>When gaps exist, work with SDO to either:                             <ul style="list-style-type: none"> <li>Initiate a new standards project to develop a new standard</li> <li>Initiate a revision of an existing standard to better meet IDESG requirements</li> </ul> </li> <li>Requirements come from SCC &amp; other committees</li> <li>Liaise throughout project</li> </ul>	<ul style="list-style-type: none"> <li>IDESG committee or SCC nominates a standard for adoption</li> <li>Nomination form (online)</li> <li>Nominator defines purpose/relevance and GPs addressed.</li> </ul>	<ul style="list-style-type: none"> <li>SCC reviews nominated standard.</li> <li>Standard criteria applied (answer the question – “Is this a &lt;an open&gt; standard?”)</li> <li>SCC may meet with nominator for Q&amp;A.</li> <li>SCC may liaise with Privacy Committee for preliminary review.</li> </ul>	<ul style="list-style-type: none"> <li>Standard to be balloted by the plenary for IDESG adoption.</li> <li>Adoption means inclusion in the IDESG Standards Registry.</li> <li>Undergoes all MC and plenary approval processes as defined in the RoA.</li> </ul>	<ul style="list-style-type: none"> <li>Approved IDESG work product.</li> <li>Included within “IDESG Standards Registry” – list of standards which form part of the Identity Ecosystem Framework.</li> <li>Ready for use to inform (and be normatively referenced within) other IDESG work.</li> </ul>
<p><u>Progression gate:</u></p> <ul style="list-style-type: none"> <li>Standard is nominated for consideration.</li> </ul>	<p><u>Progression gate:</u></p> <ul style="list-style-type: none"> <li>New/ revised standard published</li> <li>Standard entered into Inventory</li> </ul>	<p><u>Progression gate:</u></p> <ul style="list-style-type: none"> <li>Nomination form submitted</li> </ul>	<p><u>Progression gate:</u></p> <ul style="list-style-type: none"> <li>Meets ‘standards’ criteria.</li> <li>SCC approves forwarding standard for adoption (recommends it for adoption).</li> </ul>	<p><u>Progression gate:</u></p> <ul style="list-style-type: none"> <li>Plenary ballot passes.</li> </ul>	<p><u>Progression gate:</u></p> <ul style="list-style-type: none"> <li>N/A.</li> <li>Standard may be removed from the approved list or may be replaced by newer version by ballot.</li> </ul>
Individual/ AHG	SDO	Committees	SCC	MC/Plenary	IDESG

Figure 2. Standards adoption life cycle

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The Standard Adoption Lifecycle phases are designed to provide a framework for effectively achieving the goals of the SCC to review applicable standards and adopt those that support achievement of the NSTIC vision, conform to the Guiding Principles, for standards to be established and adopted in a timely manner and be sufficient to keep pace with emerging technology and market trends.

The Standards Adoption Lifecycles consist of six dynamic phases:

**3.2.1 Standards Inventory:** SCC will lead the collection of existing identity related specifications and standards, on an uncritical basis, welcoming all data, and establish a standards Wiki for access and feedback and identifying their sources.

**3.2.2 Standards Revision and Development:** SCC will work with SDO’s to close gaps. If needed, SCC may initiate or seek the initiation of new standards development projects, and/or revisions to existing standards, for alignment with IDESG requirements. SCC will assist IDESG committees in integrating their substantive requirements into those communications.

**3.2.3 Standards Nomination:** When a candidate standard is proposed for use in an IDESG-endorsed process, by an IDESG committee or SCC standards nomination (from its gap analysis review), then it is flagged for official review as described below. The Plenary's approval process should include a step in which the Adoption Process is invoked and applied. SCC should develop a nomination form for the Standards Wiki for all such submissions and nominations, which establishes a forum for a nominator to articulate the purpose, relevance, and source information for candidate standards.

307

308 **3.2.4 Standards Review:** SCC will review each nominated candidate standard, against  
309 the Standards Adoption Criteria, and post a notice to the IDESG community inviting feedback on  
310 the candidate standard's open attributes (including IPR issues). The results of that review and  
311 open feedback process will be compiled into a report provided by the SCC to the IDESG Plenary,  
312 as described in Section (4c) "Implementation."

313

314 **3.2.5 SCC Recommended/Submitted Standards for Plenary Ballot:** IDESG  
315 Plenary action which includes the endorsement of a candidate standard should include (in  
316 addition to the functional suitability recommendations from the appropriate IDESG  
317 Committee(s)) an explicit decision to endorse, or reject, the SCC's report on the candidate  
318 standard's openness and availability. The outcomes of those ballots, and that report, should be  
319 incorporated into the information made available in the IDESG standards registry.

320

321 **3.2.6 Approval and Adoption:** Once approved, the standard is listed within the IDESG  
322 Standards Registry. Standards in the registry may be removed or replaced by plenary ballot.

323

### 324 **3.3 Roles and responsibilities**

325

326 **3.3.1 Standards Committee** - The SCC will build on and use existing standards and  
327 specifications as much as possible. The SCC will maintain the Standards Wiki and Standards  
328 Inventory - identifying and publishing lists of new and/or existing open standards relevant to the  
329 NSTIC Identity Ecosystem. When there is a need to modify existing Standards, then the SCC will  
330 work with the IDESG committee having expertise in that domain to document the  
331 recommended modifications and work with the relevant SDO to initiate the work. In cases  
332 where it is not feasible for the owning SDO to modify the standard and there are no alternative  
333 standards, the SCC may provide recommendations on how to proceed. The SCC shall be the  
334 primary entity within the IDESG for the establishment and maintenance of SDO liaisons.

335

336 **3.3.2 IDESG Committees** - The substantive committees may nominate candidate  
337 standards for adoption, as being relevant to the ecosystem or an included element in a set of  
338 procedures recommended for IDESG endorsement. IDESG committees may offer requirements  
339 for identified standards and seek new projects, or modifications to existing projects, from  
340 relevant SDOs (via the SCC). Committees are encouraged to contribute to the Standards  
341 Inventory.

342

343 **3.3.3 SDOs** - SDOs should identify existing standards applicable to the NSTIC effort, and  
344 suggest new standards projects or revisions of existing standards to meet NSTIC identity  
345 ecosystem needs. The SCC will focus on direct collaboration with relevant SDOs such as de jure,  
346 consortia, professional society and industry associations (e.g., IETF, OASIS, W3C, ISO, ITU, and  
347 relevant other consortia), in the area of Security and Identity Management. SDO's will establish  
348 liaison relationships with the IDESG/SCC when standards projects are initiated.

349

350 **4 Standards Criteria**

351 **4.1 Common Principles**

352 There is a common constellation of principles generally used to determine the suitability of  
 353 proposed specifications for broader implementation in the service of public policy goals. Each of  
 354 the following requirements appears in some manner in each of the principal systems described  
 355 in Section 1.2 above.

356 **4.1.1 Primary deliverables**

- 357 • *Participatory openness*, in the sense that anyone can participate within reasonable  
 358 restrictions.
  - 359 ○ Facilitates balanced input, retards the exclusion of stakeholders or use cases.  
 360 Some standards bodies have explicit "balance" composition rules. Others believe  
 361 that better results come from proactive recruiting, and level-playing-field rules  
 362 that make participation attractive for minority stakeholders, than from quota  
 363 approaches.
  - 364 ○ Some degree of participation fees have generally been found appropriate,  
 365 although it's possible that a "rich players club" with too high an entry barrier  
 366 might be found inappropriately exclusionary.
- 367 • *Fairness and due process* rules to enforce balanced decisions and consensus  
 368 methodology.
  - 369 ○ At a minimum, published rules and an absence of a track record of ignoring them  
 370 seem essential.
  - 371 ○ Usually includes enforcement mechanisms reasonably assuring that the rules are  
 372 followed. This can be difficult to measure or assess in the case of small or  
 373 volunteer-run groups.
  - 374 ○ In practice, it appears that some agencies run spotchecks on this issue by seeking  
 375 and evaluating assertions that significant points of view were excluded.
- 376 • *Transparency*, or openness in the sense of public access to inputs and results.
  - 377 ○ Some charges for published standards, to pass along the reasonable costs of  
 378 development generally have been found appropriate, particularly in industries  
 379 with relatively large commercial players. There is some pushback on this principle  
 380 from the "open data" movement, on the grounds that public policies which are  
 381 amount to regulatory requirements should be freely available, to enable review  
 382 and compliance.
  - 383 ○ The degree of availability of draft material (as opposed to final products) varies  
 384 widely among consortia at present. Their justifications for securing draft  
 385 information range from preserving it as a member-only benefit, to keeping it  
 386 distinct from final work ready for implementation, to assertions that technical  
 387 debates may be more robust if not conducted transparently.
  - 388 ○ There is a related but difficult-to-measure problem with groups who have  
 389 transparency rules in theory (such as posting and archiving practices, and  
 390 meeting notice rules), but tend not to honor them in practice.

- 391 • *Function-oriented description*, as opposed to specifying design or product-specific
- 392 characteristics.
- 393 ○ This requirement obviously retards lock-in or tying to a single product or
- 394 methodology other than the specification itself.
- 395 ○ Description of the proposed functions also allows a review process to assess the
- 396 market demand, and the ecosystem niche or role which the reviewed method
- 397 may fill – thus supplying guidance on the appropriateness of its inclusion.
- 398 ○ Descriptions by performance feature (as opposed to "do it like this exemplar
- 399 product") tend to give better guidance to developers of new conforming
- 400 products, and are more readily adaptable into useful conformance clauses for
- 401 testing purposes. Examples of function-oriented descriptions usually can be
- 402 found in the scope statements of open standards projects, where intended
- 403 outcomes and boundaries are described in detail, but proprietary processes
- 404 generally are not referenced.

#### 405 **4.1.2 Requirements derived from the primary deliverables**

- 406 • *Minimum public review procedures* creating genuine opportunities for, and
- 407 consideration of, feedback from non-participants.
- 408 ○ Parties who do not wish to invest the time or licensure necessary to actively
- 409 contribute to a standard still may represent stakeholders whose views should be
- 410 considered.
- 411 ○ Several of the above bodies explicitly require minimum durations for public
- 412 review, or replies or acknowledgments of public comments received, or both.
- 413 • *Stable hosting arrangements* likely to support the intended access and permanence of
- 414 the outputs and relevant archival material.
- 415 ○ The access and openness deliverables noted above are of little value if artifacts
- 416 cannot be found and relied upon, over time, after their issuance. Even in the
- 417 relatively fast – moving ICT sector, it appears that the lifecycle of use for data
- 418 standards may be measured in decades, while the hype cycle that supports their
- 419 dot.org activity may be limited to years, or even months.
- 420 ○ This archival imperative may apply to draft inputs and metadata as well as final
- 421 approved outputs.
- 422 ○ To some degree, provisions for monitoring and enforcing the maintenance phase
- 423 of published standards – managing errata, maintaining their integrity via
- 424 copyright management, and maintaining conformance or interoperability criteria
- 425 – also may be relevant. The need for these functions may vary widely depending
- 426 on the nature of the standard.
- 427 • *Intellectual property rules* with sufficient certainty, access and enforcement.
- 428 ○ The same principles of clearly-stated rules, and reliable enforcement, noted for
- 429 process rules, above, also should apply here, so that stakeholders who adopt or
- 430 contribute to a project can do so with reasonable knowledge of the known rights
- 431 consequences.
- 432 ○ Outputs that are only available on extraordinarily-limited license terms may not
- 433 serve the goals of a broadly implementable standard. Some governments take

- 434 this issue further, and express a preference for royalty-free, freely-available or  
 435 open source standards in order to support wide implementation and access.  
 436 ○ Standards whose development allows contributors to attach complex conditions,  
 437 of the outset (hostage-taking at the design stage), may not develop freely in  
 438 response to feedback from other stakeholders.  
 439 ○ Overly-restrictive licenses required to implement a final standard, especially  
 440 those which require negotiation or surveillance by competitors (hostage-taking  
 441 at the implementation stage), may impede use of the standard or related  
 442 technology, as is implied in the SEP cases.  
 443

444 **4.2 Special Requirements**

445  
 446 One weakness of the foregoing traditional analysis is that it treats all standards as if they don't  
 447 really exist until they are finally issued. In practice, modifications and new technologies are  
 448 coming along constantly. At any given time, there always are worthy projects in development  
 449 that have not yet fully brought themselves into an accredited standards process. At the same  
 450 time, of course, there also are private projects that either have no intent of becoming open, or  
 451 publicly available; or that present themselves as "standards" without ever satisfying the  
 452 openness needs suitable to public policy use. Accordingly, any identity ecosystem, and its  
 453 implementers, must make choices about the adoption of methods that might later lead to open  
 454 standards, or might turn out to be a unsupported dead end, or a proprietary path under the  
 455 control of a single vendor or stakeholder group.

456  
 457 A balanced approach that allows for flexibility and innovation may need to establish some  
 458 general principles for working appropriately with new, incomplete proposed methodologies for  
 459 handling and structuring information. Here are some draft principles for further consideration:  
 460

461 While long-term, large-scale deployments and dependencies require the assurances and  
 462 qualities sought by the NTTAA and the National Strategy, any developing ecosystem also will  
 463 have a number of pilot projects, small implementations, and experiments. These may not yet  
 464 be the basis for a mandate or wide roll-out, so the use of not-yet-standardized methods may be  
 465 perfectly appropriate. Among the foregoing (draft) common criteria, the requirements of:  
 466

- 467 • *Participatory openness,*
- 468 • *Fairness and due process, and*
- 469 • *Stable hosting arrangements*

470  
 471 probably are premature and reasonably might not be applied to experimental pre-  
 472 standardization projects. The other four criteria, plus one additional special one, should still be  
 473 applied even to the assessment of early-stage efforts:  
 474

- 475 • *Transparency to the public:* Transparency often still is needed, even if to a lesser degree,  
 476 so that the outputs of a proposed methodology can be evaluated by a ecosystem

477 participants. As an example, note that the NSTIC funded pilot projects have been  
 478 required by NIST to make public interim reports to the IDESG. The projects are not  
 479 obligated to produce all results publicly. However, some some degree of public  
 480 information and reporting puts the IDESG and stakeholders in a position to assess  
 481 whether to consider incorporating a candidate technology into broader systems; and  
 482 whether open standardization or sourcing of that technology would be an appropriate  
 483 next goal.

- 484 • *Function-oriented method descriptions:* The ability to understand a project's methods,  
 485 free of specific proprietary product or method use, significantly assists implementers in  
 486 replicating the experiment's success with different tools. That view into a project more  
 487 readily lends itself to future standardization and broad use , than would a statement like  
 488 "we used the Foo Inc. product."
- 489 • *Minimum public review procedures:* Similarly, external projects that seek preliminary  
 490 endorsement or use in the ecosystem should be subject to exposure for meaningful  
 491 feedback, as the cost of that interim recognition. Without that mechanism, there would  
 492 be little opportunity or motivation for those emerging methods to socialize into, and  
 493 collaborate with, other technologies so as to become sufficiently interoperable.
- 494 • *Intellectual property rules:* To some degree, the eventual license availability of a  
 495 developing technology should be clear from a project's launch. Often the license terms  
 496 applicable to a final standard are dictated by the practices used, and contributions,  
 497 permitted during its formation. For that reason, any experimental method that seeks to  
 498 be embraced as part of a large and widely available ecosystem should be able, *at its*  
 499 *initiation*, to demonstrate adequate open licensing and availability will be possible, on  
 500 terms are reasonable in light of its intended use. In that way the ecosystem can be  
 501 reasonably assured that its resources are doing more than providing public support to  
 502 private for-profit product development. For that reason, [a] / [some kind of] statement  
 503 of intent or declaration about future IPR availability [should be required] / [may be  
 504 appropriate] at a very early stage. (For example, if a particular functional domain was  
 505 expected to be directly accessible to consumers without cost, it might be an appropriate  
 506 constraint, imposed by the IDESG endorsement process, that projects to develop  
 507 standards needed to implement that function be scoped not to bear royalties.)
- 508 • *Prospective commitment to open standardization:* If an identity ecology is asked to give  
 509 early recognition or support to an emerging method which is not yet standardized -- as  
 510 contemplated by the applicable public policy – an IDESG endorsement process should  
 511 [assess whether to] require a commitment to completing its standardization, as a  
 512 condition of the initial support or endorsement. A variety of approaches are possible,  
 513 including (a) seeking aspirational but unenforceable statements of intent; (b) making  
 514 some kind of support contingent on progress; or (c) taking binding contributions on a  
 515 delayed basis for later use, subject to updating.

516  
517

518 **Appendix A: References**

519 [Insert the name, version number, description, and physical location of any documents  
520 referenced in this document. Add rows to the table as necessary.]

521  
522 The following table summarizes the documents referenced in this document.

4.2.1.1.1.1 Document Name	4.2.1.1.1.2 Version	4.2.1.1.1.3 Location
Rules of Association of the Identity Ecosystem Steering Group (IDESG)	rev 1, 10 April 2013	<a href="https://www.idecosystem.org/ROA">https://www.idecosystem.org/ROA</a>
National Strategy for Trusted Identities in Cyberspace	15 April 2011	<a href="http://www.whitehouse.gov/sites/default/files/rss_viewer/NSTICstrategy_041511.pdf">http://www.whitehouse.gov/sites/default/files/rss_viewer/NSTICstrategy_041511.pdf</a>

523  
524

**525 Appendix B: Key Terms**

526 [\[Insert terms and definitions used in this document. Add rows to the table as necessary. Follow](#)  
527 [the link below to for definitions of project management terms and acronyms used in this and](#)  
528 [other documents.\]](#)

529

530 The following table provides definitions for terms relevant to this document.

<b>4.2.1.1.1.4 Term</b>	<b>4.2.1.1.1.5 Definition</b>
[Insert Term]	[Provide definition of the term used in this document.]
[Insert Term]	[Provide definition of the term used in this document.]
[Insert Term]	[Provide definition of the term used in this document.]

531

532

533 **Appendix C: Standards Wiki**

534

535 <insert description of Wiki and its use related to this policy>