National Strategy for
Trusted Identities in Cyberspace
Governance Workshop

NSTIC National Program Office
March 15, 2012

Today's Agenda

9:10   **Opening Comments**   **Howard Schmidt**, White House Cybersecurity Coordinator and Special Assistant to the President **Dan Chenok**, Senior Fellow , IBM, and Chair of the Information Security and Privacy Advisory Board

9:30   **NSTIC Governance Recommendations Review**
- **Overview and Status**
- **Steering Group Initiation**
- **Steering Group Structure**

10:30   **Recommendations Discussion, Comments, Questions**

11:00   **Break** *(15 min.)*

11:15   **NSTIC Governance Recommendations Review Continued**
- **Stakeholder Representation**
- **International Coordination**
- **Governance Next Steps and Schedule**

12:00   **Recommendations Discussion, Comments, Questions**

12:30   **Lunch Break** *(60 min.)*

Today's Agenda Continued

1:30   **1st Session Breakout Discussions**
- **Management Council, Plenary, Committee and Working Group Roles and Participation - Auditorium**
- **Consumer/Civil Liberty and Privacy Protections – Room 1411**
- **Standards Adoption and Accreditation - Room 1410**

2:45   **Break** *(15 min.)*

3:00   **2nd Session Breakout Discussions**
- **Stakeholder Representation – Room 1410**
- **Draft Charter and Steering Group IPR Policy – Room 1411**
- **Pre-Secretariat Stakeholder Governance Coordination - Auditorium**

4:15   **Governance Workshop Close**

Identity Ecosystem Governance Recommendations

Overview Discussion

NSTIC Foundation

- **National Strategy for Trusted Identities in Cyberspace (NSTIC)** signed April 2011.
- **Vision:** "Individuals and organizations utilize secure, efficient, easy-to-use and interoperable identity solutions to access online services in a manner that promotes confidence, privacy, choice, and innovation."
- **NSTIC calls for a national Identity Ecosystem**, "an online environment where individuals and organizations will be able to trust each other because they follow agreed upon standards to obtain and authenticate their digital identities."
- **Guiding Principles:**
    - Privacy-Enhancing and Voluntary
    - Secure and Resilient
    - Interoperable
    - Cost-Effective and Easy To Use

President Obama's Mandate

"[Establish a steering group to] administer the process for policy and standards development for the Identity Ecosystem Framework in accordance with the Guiding Principles in [the] Strategy. The steering group will also ensure that accreditation authorities validate participants' adherence to the requirements of the Identity Ecosystem Framework."

National Strategy for Trusted Identities in Cyber Space, April 2011

Notice Of Inquiry

➢ Published June 8th 2011 to solicit feedback and examples of potential Governance Structures from the public.

➢ **Asked questions in four categories:**

- ❓ Structure
- ❓ Initiation
- ❓ International Participation
- ❓ Stakeholder Representation

➢ **Received 57 responses** from private industry, consumer advocacy groups, privacy protection organizations, State Government, and the health care and financial industry.

➢ On June 9-10, 2011, over **270 Stakeholders** participated in a public Governance workshop.

➢ **Recommendations are based on:**
  - The principles laid out in the NSTIC;
  - The responses to these NOIs; and
  - The input received through our workshops, best practices, and lessons learned from similarly scoped efforts.

Recommendations Report

➤ NIST issued "Recommendations for Establishing an Identity Ecosystem Governance Structure" on February 7.

➤ Key recommendations for the Steering Group include:

- It should be established as a new organization that is led by the private sector in conjunction with, but independent of, the federal government.

- It should be structured to safeguard protections for individual privacy and the underrepresented.

- It should be initially funded by the government through a competitive two-year grant to catalyze its formation .

➤ The report includes a recommended charter to help jumpstart the steering group's initial activities.

➤ Available at: http://www.nist.gov/nstic/2012-nstic-governance-recs.pdf.

Initiation Recommendations

- **Steering Group Organization**
  - The Steering Group should be established as a new organization to be led by the private sector.

- **Establish the Secretariat**
  - On March 9 NIST Published an FFO to establish and fund the Secretariat of the Identity Ecosystem Steering Group.

- **Secretariat Role**
  - The Secretariat is charged with convening the initial meeting of the Steering Group, providing administrative, logistical, and material services to the Steering Group and maintaining openness and transparency in all Steering Group functions, all with an eye toward aligning the Steering Group's operations with the NSTIC Guiding Principles.

Initiation Recommendations

- ➤ **Self-Sustaining Funding Model**
  - ▪ The Steering Group will need to conduct an analysis of potential self-sustaining funding models which should be implemented following initial support from the Federal Government.
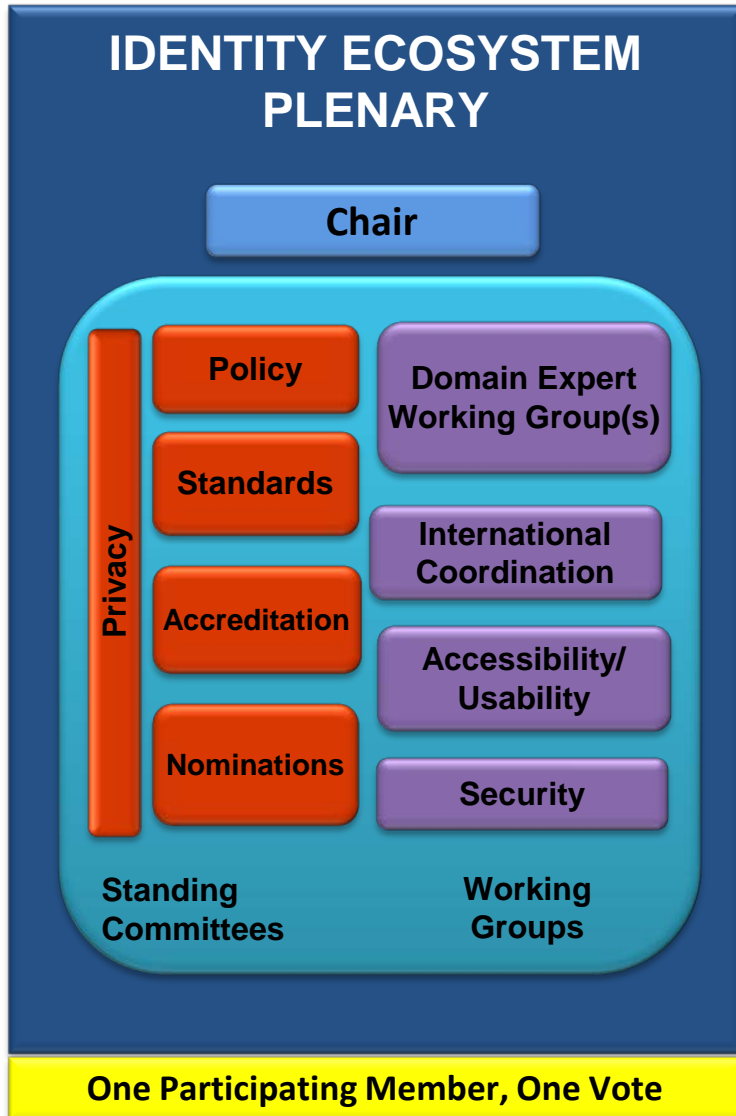
- ➤ **Fees**
  - ▪ There should be no correlation between fees charged to Steering Group participants and the ability to vote or impact decision-making within the Steering Group.

Structure Recommendations
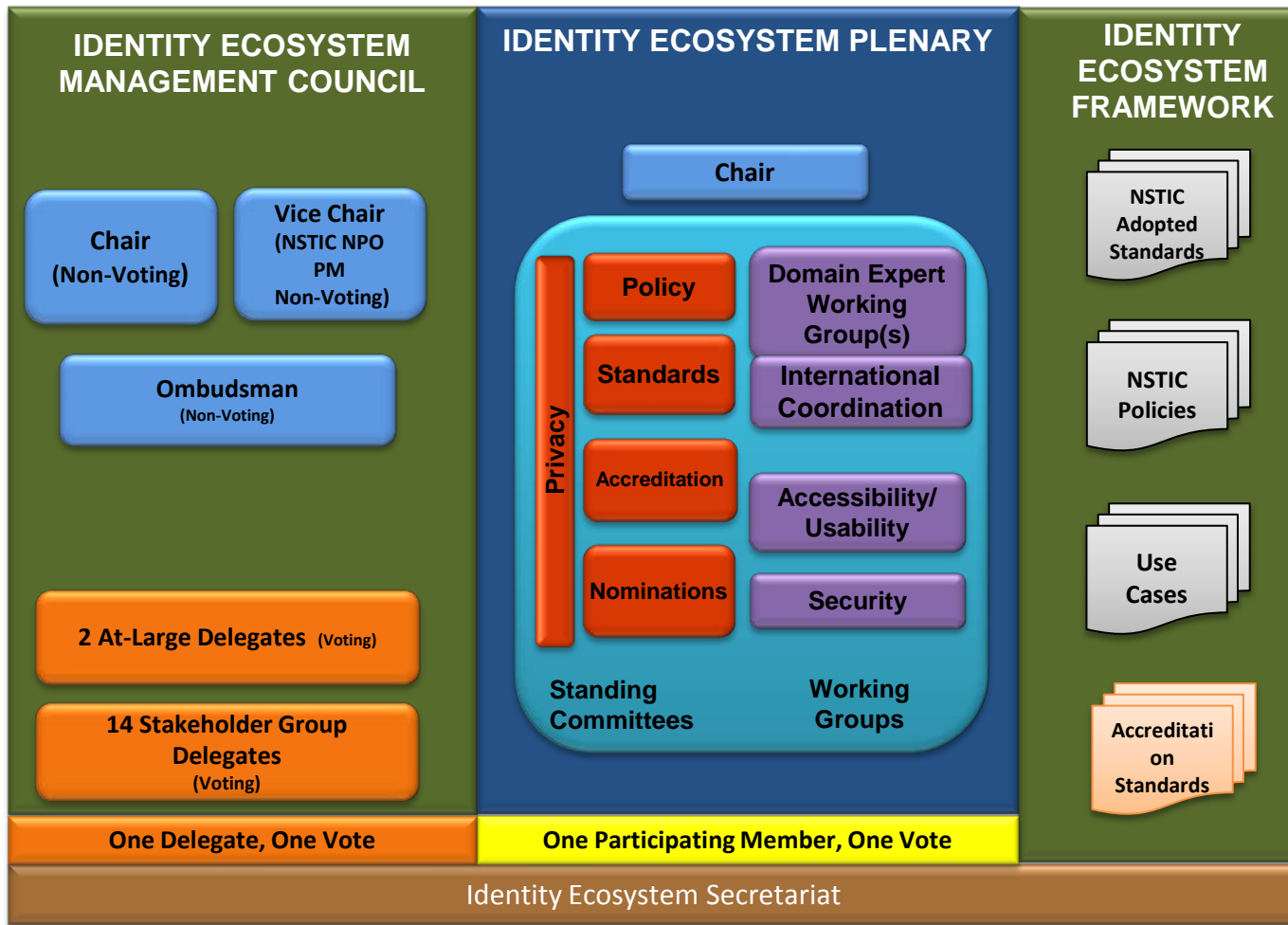
- ➤ **Two tiered structure based upon the SGIP model**
  - ■ Large, open Plenary to do the work
  - ■ Smaller, elected Council to manage
  - ■ Elected officers to lead
- ➤ **Decision-making authority divided between the two governing bodies.**
- ➤ **Secretariat to provide administrative support to the entire steering group.**

Structure: The Plenary and Its Duties

IDENTITY ECOSYSTEM PLENARY

- Chair
- Privacy
- Policy
- Standards
- Accreditation
- Nominations
- Domain Expert Working Group(s)
- International Coordination
- Accessibility/ Usability
- Security

Standing Committees   Working Groups

One Participating Member, One Vote

➢ Builds and maintains the Identity Ecosystem Framework:

- Standards adoption
- Policy and procedures development
- Accountability, conformance and accreditation program establishment

➢ Facilitates the ongoing operation of the Steering Group.

➢ Open to all stakeholders.

➢ Includes Standing Committees and Working Groups, dedicated to performing the work of the Steering Group.

➢ Plenary Chair manages Plenary activities and provide leadership and guidance to the Plenary.

Structure: Standing Committees

Committees are aligned to Steering Group Responsibilities laid out in NSTIC
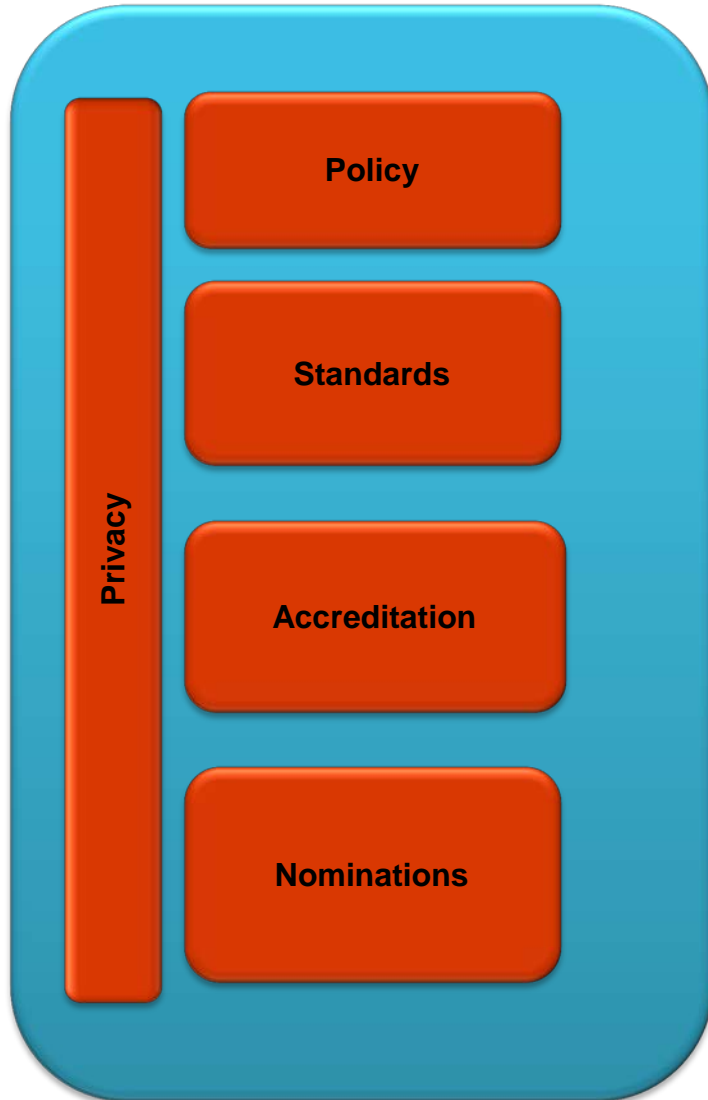
- **Policy Coordination Committee -**Responsible for coordinating policies to facilitate and promote the establishment of the Identity Ecosystem and the rules for participation.
- **Standards Coordination Committee-** Responsible for coordinating, reviewing, and recommending the adoption of technical standards to facilitate interoperability within the Identity Ecosystem.
- **Accreditation Coordination Committee-** Responsible for coordinating accreditation requirements for Identity Ecosystem participants.
- **Nominations Committee-** Responsible for evaluating candidate qualifications to serve as the Chair on the Plenary and Management Council or as a Delegate (Stakeholder Group or At-Large) within the Management Council.

Structure: Standing Committees (cont.)

Privacy

- Policy
- Standards
- Accreditation
- Nominations
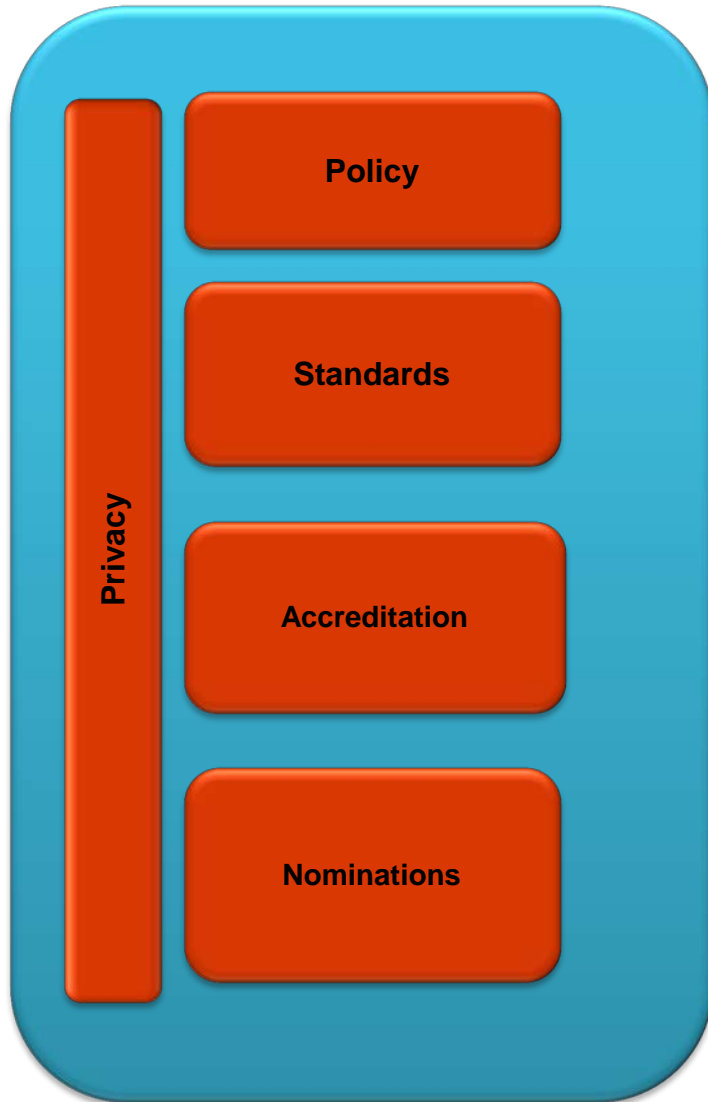
➢ **Privacy Coordination Committee -** Responsible for coordinating with other Committees and Working Groups so that work products adhere to the NSTIC Privacy-enhancing and Voluntary Guiding Principles.

➢ **"Gatekeeper" Function** - Recommendations on policies, standards or other work products should be reviewed/approved by the Privacy Coordination Committee before being advanced as Plenary recommendations.

Structure: Initial Working Groups

The following initial Working Groups should be established with Domain Expert Groups as determined necessary:

Domain Expert Working Groups

International Coordination

Accessibility/ Usability

Security

➢ **International Coordination Working Group** - Responsible for reviewing – and, where appropriate, coordinating alignment with – similar international identity standards and policies.

➢ **Usability and Accessibility Working Group** - Responsible for evaluating technologies and identity solutions within the Identity Ecosystem for conformance to the NSTIC Guiding Principles of ease-of-use and accessibility.

➢ **Security Working Group** - Responsible for evaluating technologies and identity solutions within the Identity Ecosystem for conformance to the NSTIC Guiding Principles of confidentiality, integrity, availability, and resiliency.
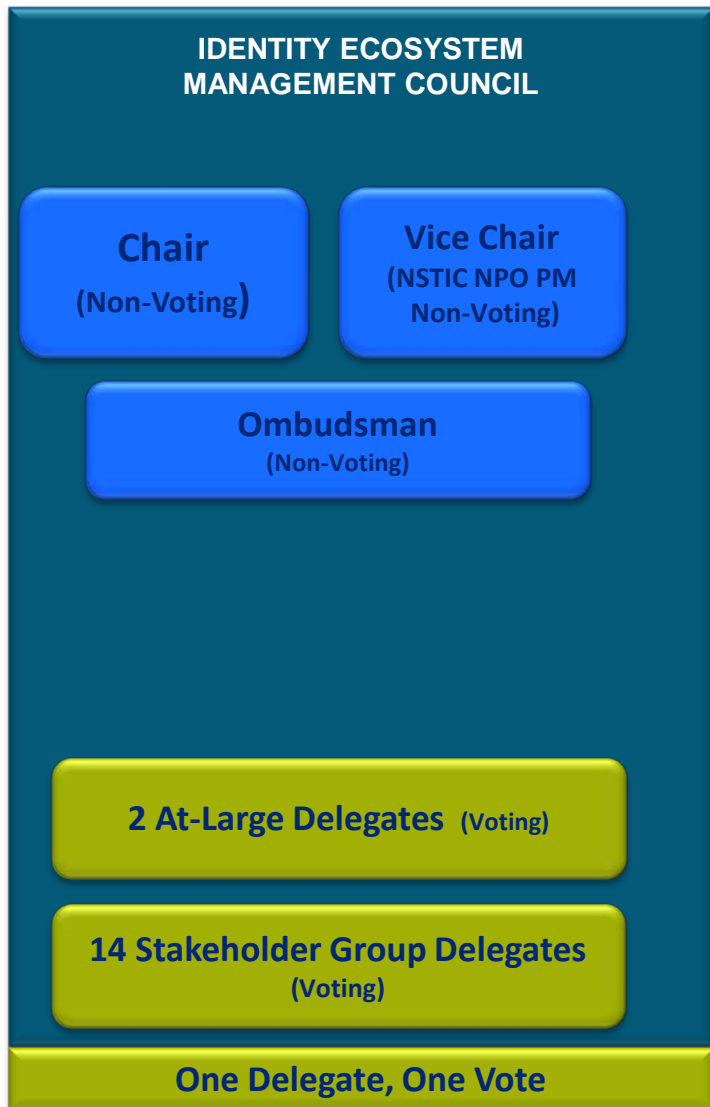
Structure: Membership

➤ **Participating Members-** Those stakeholders who actively participate in the Steering Group and the work of the Plenary, its Standing Committees, and Working Groups. Participating Members should have a vote in all Plenary proceedings.

➤ **Observing Members-** Those stakeholders who do not meet the criteria for active participation, but want to maintain a presence in the Steering Group. Observing Members may still contribute to the work of the Plenary, its Standing Committees, and Working Groups, but they should not be permitted to vote in the Plenary.

➤ **One Participating Member, One Vote-** In Plenary Proceedings each participating member has one vote.

➤ **An organizational member,** whether participating or observing, may have multiple affiliated individuals active within the Plenary. However, that organization, assuming it is a Participating Member, should only be considered a single member with one Plenary vote.
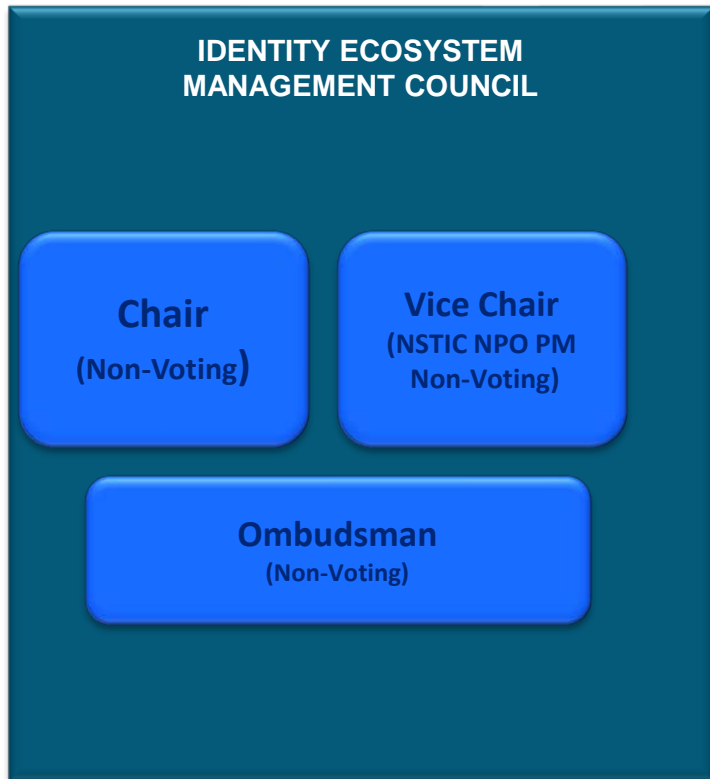
Structure: Management Council

IDENTITY ECOSYSTEM MANAGEMENT COUNCIL

- Chair (Non-Voting)
- Vice Chair (NSTIC NPO PM Non-Voting)
- Ombudsman (Non-Voting)
- 2 At-Large Delegates (Voting)
- 14 Stakeholder Group Delegates (Voting)
- One Delegate, One Vote

➢ **Provides guidance to the Plenary** on the broad perspectives envisioned by the Strategy

➢ **Produces, prioritizes and monitors progress** of Steering Group work plans

➢ **Ensures that Steering Group work activities adhere** to the NSTIC Guiding Principles and Goals

➢ **Ratifies policy and standards** recommendations approved by the Plenary

➢ **Manages the Steering Group's resources** and procuring services (once self sustaining)

➢ **Composition:**

- ▪ Management Council Delegation
  - ❑ 1 representative from each stakeholder group
  - ❑ 2 At-large delegates with full voting rights
- ▪ Officers (Chair, Vice Chair, Ombudsman)

Structure: Officers

IDENTITY ECOSYSTEM MANAGEMENT COUNCIL

Chair (Non-Voting)

Vice Chair (NSTIC NPO PM Non-Voting)

Ombudsman (Non-Voting)

➢ **The Chair -** Provides leadership to the Management Council and Plenary. Elected through a general election of Participating Members in the Plenary.

➢ **The Vice-Chair -** Facilitates the Steering Group's work towards successful implementation of the NSTIC and alignment with the NSTIC Guiding Principles. The Vice Chair will be held by the Director of the National Program Office.

➢ **The Ombudsman -** Upholds the NSTIC Guiding Principles and Steering Group charter, represents and advocates for consumers, individuals and underrepresented groups, manages complaints from the Plenary, and facilitates public comment and citizen outreach. Designated through the Secretariat.

Stakeholder Representation

➢ **Stakeholder Groups:** Each Stakeholder should "self-identify" with the stakeholder group that best represents its primary role or interest in the Identity Ecosystem.

- Privacy & Civil Liberties
- Usability & Human Factors
- Consumer Advocates
- U.S. Federal Government
- U.S. State, Local, Tribal, and Territorial Government
- Research, Development & Innovation
- Identity & Attribute Providers
- Interoperability
- Information Technology (IT) Infrastructure
- Regulated Industries
- Small Business & Entrepreneurs
- Security
- Relying Parties
- Unaffiliated Individuals

➢ **These Groups should be used for the purposes of electing Management Council Delegates.**

Stakeholder Representation: Operating Principles

- **Consensus -** A consensus-driven process should be implemented that uses due diligence including, but not limited to, evidence gathering through research, demonstrations, proofs of concept, evaluations, and surveys to explore differing options to facilitate general agreement and acceptance among stakeholders.

- **Transparency and Openness -** The Steering Group should conduct all operations and administrative actions in an open and transparent manner including:
  - All meetings should be open for public attendance, virtually or physically;
  - Identity Ecosystem documents should be publicly available and posted to an easily accessible website;
  - Technologies should be leveraged to create user-friendly and broad avenues for participation in all proceedings and administrative functions; and
  - The Secretariat should be specifically charged with providing staff and services to maintain the Steering Group's objectives of openness and transparency.

- **Balance -** The Steering Group should strive to achieve balanced representation.

- **Harmonization -** The Steering Group should encourage harmonization of standards and policies and shall always strive to recognize the impacts of policy and standards on all stakeholders.

Privacy and Stakeholder Protection

➢ **Privacy Coordination Committee -** No recommendations should be reviewed or approved by the Plenary unless first approved by the Privacy Coordination Committee.

➢ **Secretariat -** The Secretariat should align Steering Group operations with the Charter's Operating Principles.

➢ **The Ombudsman -** Primary role should be to act as an advocate for underrepresented stakeholders, and support balanced representation in the Steering Group.

➢ **The Vice Chair -** Responsible for advocating for the NSTIC itself and the Guiding Principles contained therein.

➢ **One Participating Member, One Vote -** To provide balance and prevent any single stakeholder, member, or sector from exercising undue influence over the Steering Group each Participating Member should have just one vote within the Plenary.

➢ **Pathways to Participation -** The Identity Ecosystem Steering Group should maintain multiple pathways to allow all stakeholders the broadest opportunity to take part – directly or indirectly – in the Steering Group.

➢ **Operating Principles -** In addition to allowing for effective operations, these principles should assure that the Steering Group remains accountable to the participants, members, and stakeholders of the Identity Ecosystem.

International Considerations

➤ **International Representation**

  ▪ The Identity Ecosystem Steering Group should take steps to coordinate with the international community and encourage participation from international entities to the greatest extent possible.

➤ **International Coordination**

  ▪ The Steering Group should coordinate with representatives from international identity initiatives, standards development organizations, trade organizations, and the international departments of member entities in order to leverage lessons learned and broadly recognized technical standards.

➤ **Internationally-Recognized Policies and Standards**

  ▪ The Steering Group should strive to identify and use internationally recognized policies and standards that meet applicable assessment criteria and conform to the NSTIC Guiding Principles.