

**UCA®International**

**Users Group**

**Charter Document**

**Revision 3.1**

October 5, 2005

**Prepared for**

**UCA International Users Group Members**

**Prepared by: UCA International Users Group Secretary**

## **Abstract/Preface**

This document (the “Charter”) covers the objectives, purpose and working procedures for the UCA International Users Group (shortened herein as “UCA International” or “Users Group”) as authorized in the Bylaws.

The original Charter was based on the original Business Plan/ Charter that was the initial document for the setup of the UCA Users Group. The original document was reviewed by EPRI and several founding utilities (AEP, ComEd, Cinergy, TECO, PP&I, MAIN, Xcel Energy, HQ, HydroOne and SCE.) It was also sent out to many other utilities (36 in all) to solicit input and inform the industry of the intent of the Users Group. The plans and scope were also reviewed at several industry meetings.

Subsequently, revisions to the Charter were made to accommodate the needs of various constituencies that have expressed interest in joining forces with the Users Group for the purposes of advancing international standards under the scope of the Users Group.

The Users Group is following an open policy and it is critical that membership and activities of the Users Group be based on an open process. The Group includes International members and is an International organization that has liaison with standards bodies and other groups where necessary to ensure full worldwide cooperation. The Users Group was incorporated as a not-for-profit company in March 2001. This Charter and any subsequent revisions is the final, governing document for the UCA International Users Group.

### *Revision Record*

<b>Revision</b>	<b>Date</b>	<b>Changes</b>
0.1	1/27/00	Initial Draft Document
0.2	3/14/01	Updated for Planning Meeting
0.3	5/03/01	Updated with Meeting Review Comments
0.4	5/10/01	Editorial
0.5	6/28/01	Update based on member review and final incorporation as a not-for-profit company
0.6	2/22/03	Update to Reflect Name Change to UCA International/ Remove Annual Plan/ Add Committee Scope Statements/ Finalize Official Charter
0.9	3/15/03	Combine with Committee/Scope Rev 0.4
1.0	3/31/03	Update based on Executive Committee and member review of Rev 0.6 and Committee/Scope Rev 0.4
2.0	3/31/05	Revisions to incorporate the CIM UG
3.0	6/15/05	Revisions to clarify charter document, renaming of Technical Committee to Technical Oversight Committee, and addition of CIM, OpenDR, and Harmonization Technical Subcommittees and CIM Model Manager
3.1	10/05/05	Final draft reflecting Board and Member Vote.

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# **UCA International Users Group**

## **“Enabling Utility Integration Through Standards”**

### **Charter Document**

#### **1 Introduction**

The need for standardization in the utility industry is critical to its future success. The organizational changes taking place in utilities in response to deregulation make the establishment and utilization of open and public standards much more important to the efficient operation of the distributed utility enterprise of the future.

Historically, utility communications standards were developed ad-hoc by groups of regional utilities, large utilities or large suppliers to the utility industry. There has been no method, or motivation in many cases, for utilities to help guide and cooperate in the development and utilization of appropriate standards. The lack of a forum for utilities to influence this activity and interact with the developers of these standards has resulted in a plethora of incompatible or proprietary systems. The multitude of standards in use now pose a significant barrier to achieving the level of enterprise integration needed to effectively operate and manage the distributed organizations that utilities are migrating towards. The UCA International Users Group was formed to address the need for a forum in which utilities and suppliers can cooperate in facilitating the deployment of appropriate standards in the utility industry.

## **2 Background**

In the 1990's, the Electric Power Research Institute (EPRI) began a long-term project to develop standards for utility communications and application program interfaces based where possible upon existing open standards. The communications effort centered on what was to eventually become the Utility Communications Architecture. The interface effort evolved into the Control Center Application Program Interface Task Force.

The communications work resulted in the publication of the Utility Communications Architecture (UCA) V1.0. V1.0 was a statement of utility requirements and an overview of the existing protocols that could be used to meet these requirements. Before interoperable products and systems could be developed and successfully deployed, UCA needed to be more completely specified. This work resulted in the UCA V2.0 documents published in late 1999 by the Institute of Electrical and Electronic Engineers (IEEE) as Technical Report 1550. For international acceptance, an international standard for UCA was needed. Over the past several years, a concerted effort to have UCA adopted within the International Electro-technical Commission (IEC) was undertaken. This work is completed as IEC 61850. Guidance and involvement by industry participants is still needed to assist with the deployment of products for UCA and IEC 61850 that have begun to appear as real systems are being put in place across the world.

Concurrent to UCA a related activity was also started by EPRI to establish a standard for inter-control center data exchange based on UCA. This work resulted in the Inter-control Center Communications Protocol (ICCP). This work was submitted to IEC and adopted as the International standard IEC60870-6 TASE.2. ICCP-TASE.2, which is incorporated in UCA V2.0, has since become a generally accepted standard with hundreds of installations around the world. ICCP-TASE.2 clearly demonstrates the benefits that completely non-proprietary international standards can bring to the industry. Prior to the adoption of ICCP-TASE.2 data exchange between Energy Management Systems (EMS) and Supervisory Control and Data Acquisition (SCADA) systems among multiple utilities required, in many cases, millions of dollars in custom programming using regionally standardized protocols. The North American Electric Reliability Council's (NERC) Interregional Security Network (ISN) is an example of this. Now, with ICCP-TASE.2 accepted worldwide, data exchange networks are economically and technically feasible to implement.

In September 1992, EPRI convened a small group of industry experts to discuss the burgeoning cost and effort to implement computer systems in the utility environment. This group evolved into the Control Center Application Program Interface Task Force or CCAPI TF. The group quickly decided on the merits of implementing a common data

model as the first and most important step in achieving their goals. EU 300 from the EPRI Operator Training Simulator Project was utilized as a starting point and work began to develop a Common Information Model (CIM) for utility control systems. Once the model was developed, it became clear that it would be necessary to exchange elements of the model and messages about the model behavior in order to meet the group's long-range goal of interoperability and a degree of plug-and-play integration. Various industry groups such as the Object Management Group (OMG) and OPC (OLE for Process Control) were enjoined in the effort. It was also recognized that any such standardization would need to be a true international effort and the group reached out to the IEC for assistance in this regard. This resulted in the establishment of IEC TC57 WG13 and WG14 and the publishing of the IEC 61968 and 61970 series of standards.

In other industries, it is common for groups of stakeholders (users, suppliers, integrators, etc.) to band together under an organizational umbrella to promote the utilization of a specific standard in that industry similar to the DNP Users Group. Many of the successful networking technologies used in the manufacturing industry now have non-profit public organizations that control these standards and promote their use in industry. Examples of these organizations include the Fieldbus Foundation, the Profibus Trade Organization, ControlNet International, Open DeviceNet Vendors Association, and many more. Most of these organizations were formed after a large dominant supplier undertook the initial development activity. The results have been a multitude of overlapping, incompatible, and yet open standards. The uncoordinated activity of these groups has resulted in a fragmented market with little integration between the various technologies.

As these activities suggest, the need for development and adoption of modern standards for use in utilities is well recognized. The activities to date have been fragmented and have resulted in duplication of effort and incompatibilities. Although a number of other reasons that such fragmentation might exist could be described, a contributing factor has been the lack of a common organization under which utilities and suppliers could cooperate together in influencing the work on standards being undertaken by existing international standards bodies and in facilitating their effective use through educational, promotional and certification/testing programs. Standards that do have organizations in place are not as internationally accepted as they could be because they are not based on work from recognized international standards organizations, like IEC.

UCA International can fill this void and provide direction and support to all of these activities to enable the seamless application of these modern integration technologies. IEC 61850 based on UCA V2.0, ICCP-TASE.2, DNP, IEC60870-5, IEC 61968 and 61970 based on the CIM and other emerging standards (e.g., Enterprise Application

Integration (EAI) standards) will each have a role to play in the modern integrated distributed utility enterprise. UCA International can help influence these activities to reduce overlapping and incompatible efforts and lower the life cycle costs of utility automation and information technology systems by providing a forum for testing, education, and the promotion of these useful standards within the utility industry.

As time progresses, the utility industry will need to adopt additional standards over and above those mentioned above. The UCA International Users Group could serve as a forum for these efforts as they develop. For that reason, changes may be needed to the structure and format of UCAIUG over time as different groups join the standardization effort within the UCAIUG umbrella. Strength in numbers, economies of scale and common goals are just some of the reasons that these groups may want to join with UCAIUG.

### **3 Purpose**

The mission of the UCA International Users Group is to enable utility integration through the deployment of open standards by providing a forum in which the various stakeholders in the utility industry can work cooperatively together as members of a common organization to:

- Influence, select, and/or endorse open and public standards appropriate to the utility market based upon the needs of the membership.
- Specify, develop and/or accredit product/system-testing programs that facilitate the field interoperability of products and systems based upon these standards.
- Implement educational and promotional activities that increase awareness and deployment of these standards in the utility industry.

The Users Group is a focus group to assist users and vendors in the deployment of standards for real-time applications for several industries with related requirements. The Users Group does not write standards and shall, where appropriate, work closely with those bodies that have primary responsibility for the completion of standards (notably IEC TC 57: Power Systems Management and Associated Information Exchange). Note that the Users Group is working on many areas of interest for different users where standards bodies may not yet be active or where the interests of users goes beyond the purview of the presently identified standards (such as the completion of users guides, industry education, transfer of technology, marketing support, identification of users needs and industry demonstrations to prove concepts).

#### **3.1 Purpose in Articles of Incorporation**

The Articles of Incorporation, filed in March 2001, includes a general statement of purpose that shall allow the Users Group flexibility to carry out its goals. Article 2 States:

The purposes for which this corporation is formed are:

1. To engage in research, educational and promotional programs that will lead to the development and deployment of open standards with respect to the measurement and testing of products and systems related to electric energy, that in doing so it shall conduct its activities in such a manner that it will qualify for charitable status under Section 501(c) (3) of the Internal Revenue Code of 1986, as it now exists or as hereafter amended (the "Code"); and

2. To engage in any other lawful activity that may hereafter be authorized from time to time by the Board of Directors; provided, however, that the purposes for which the corporation is formed shall at all times be consistent with the Code, including within such purposes the making of distributions to organizations that qualify as exempt organizations under Section 501(c)(3) of the Code.

### **3.2 Strategic Direction**

The Users Group Board, based on recommendations from the Executive Committee, has established the following strategic activity areas for UCA International:

- 1) Promotion and growth of the Users Group as a worldwide organization
- 2) Assistance to members to provide value for participation
- 3) Promotion of utility communication technology, IEC 61850 and UCA.
- 4) Promotion of the utility Common Information Model standards, IEC 61968 and 61970 and related interface and messaging standards.
- 5) Promotion of Open Demand Response and Advanced Metering Network solutions through the development of an open standards-based set of recommended common requirements specification, information /data model, reference design specification, and interoperability guidelines.

## 4 Scope

The UCA International Users Group is an IRS 501(c) 3 Not-for-Profit Corporation registered in the State of Washington. The scope of the Organization includes the following: The Users Group shall be a non-profit, membership oriented company. Most activities will be performed by the membership on a voluntary basis with a minimal paid administrative and management framework to support these member activities.

The Users Group shall focus its efforts to achieve the stated purposes as follows:

- a. To influence, select, and/or endorse open and public standards appropriate to the utility market based upon the needs of the membership, UCA International may:
  - Define and implement mechanisms by which the common requirements of members can be collected and published; and
  - Define and implement mechanisms by which non-member industry participants can provide input to the common requirements; and
  - Define and implement mechanisms by which UCA International can develop and submit solutions to these member needs to the standards activities of standards organizations; and
  - Endorse existing solutions based on non-proprietary open standards that are available on a non-discriminatory basis to both members and the industry in general; and
  - Based on the common requirements developed and where a solution is not available on a non-discriminatory basis, UCA International shall use voluntary membership resources to develop the solution, fund the development of a solution, or obtain an existing solution and make such solutions available to the members or, as appropriate, submit such solutions to appropriate standards organizations; and
  - Encourage harmonization among the various standards as appropriate
  - Designate a manager where required to provide consistency, administration and maintenance in order for a standard to move forward,

- Provide access to UCA International documents and publications to the membership.
- Support the objectives of the individual Technical Subcommittees to the fullest extent possible.

The activities of UCA International in implementing this purpose shall be limited. Specifically, the Users Group will NOT:

- Develop or endorse proprietary solutions or standards; or
  - Publish standards; or
  - Pursue solutions or standards for specific members (All solutions must address common requirements across the industry):
  - Pursue information and communications technology requirements not unique to the utility industries represented by the membership. UCA International will not focus on those areas that are addressed by information and communications technologies not utility industry specific such as, but not limited to, word processors and Internet web publishing technologies; or
  - Pursue areas unrelated to information and communications technology even if unique to the utility industries represented by the membership (e.g., transmission tower design, pipeline construction); or
  - Pursue or focus on those areas that clearly overlap or are redundant with other well-defined requirements, standards, and/or organizations without the cooperation of those other organizations.
  - Usurp the leadership of IEC in the standards arena
- b. To specify, develop and/or accredit testing and other programs that facilitate the field interoperability of products and systems based upon these standards, UCA International may:
- Develop test procedures and requirements for test systems; and
  - Develop procedures and requirements to certify product conformance; and

- Accredit test labs that conduct tests per Users Group test procedures; and
- Provide a help desk, customer service, or ombudsman program by which members can obtain non-commercial assistance in resolving and identifying problems with identified standards; and
- Provide a mechanism for problem resolution either tracking with standards or testing and to provide a forum for determining action related to addressing these problems.
- Provide a service to manage and maintain electronic information models that are developed and deployed in the application of related standards

**Comment [KC1]:** Currently the Help Desk is accessible to non-members as well, with a single point of contact to “clear” requests to make sure the service is not abused by non-members.

The activities of UCA International in implementing this purpose shall be limited. Specifically, UCA International will NOT:

- Test specific products or services; or
- Provide consulting, integration or development services.

c. To implement educational and promotional activities that increase awareness and deployment of these standards in the utility industry, UCA International may:

- Provide a mechanism for capturing feedback from members regarding experiences and history with those standards endorsed by the Users Group; and
- Publish and disseminate users guides for those standards endorsed by the Users Group; and
- Produce and distribute training and educational programs and materials for those standards endorsed by the Users Group; and
- Collect and disseminate information about current pertinent activities of standards organizations and committees; and
- Provide a forum for discussion of pertinent topics of interest to the members; and

- Undertake marketing activities to publicize, educate, and inform the general industry; and
- Establish and maintain a web site; and
- Organize and produce trade show demonstrations; and
- Provide a means by which commercially available products can be certified to be compliant with a standard; and
- Provide a means by which commercially available products and services that implement the standards can be identified and to facilitate communication between potential users and suppliers of these products and services.

The activities of UCA International in implementing this purpose shall be limited. Specifically, UCA International will NOT:

- Endorse, market or promote specific products, services or companies.

#### 4.1 EPRI Guidelines for the Users Group

EPRI, a key sponsor in the establishment of the UCA International Users Group, provided the following guidelines: .

1. The Users Group will have exclusive and worldwide responsibility for the Utility Communications Architecture (UCA) and Control Center Application program Interface (CCAPI) activities, including defining and testing for interoperability and compliance of products, services, and applications for utilities. Utilities, in this context, are considered to include electric, gas, water, and waste water utilities.
2. EPRI will grant an exclusive license to the Users Group to use the UCA Trademark. Under this License, the Users Group can define what is named, developed, and tested to be UCA-conformant. This License will authorize the Users Group to sublicense UCA to vendors that want to sell UCA-conformant hardware and software products. (It should be required that such products would have been tested to verify that they are indeed UCA-conformant.)
3. The Users Group will determine what does (or does not) meet their requirements, guidelines, and standards.

**Comment [KC2]:** Accepted...Left commented for review by EPRI

4. The Group should have final authority on what is a UCA or CIM Test Facility. Further, the Group should establish test procedures and identify UCA and CIM Test Facility(s) to determine what is (or is not) UCA and CIM conformant.

5. The Users Group shall embrace:

- a. The EPRI/IEEE UCA-2 and IEC TC 57 61850 standards for substation automation and distribution automation and
- b. Tase-2 for Inter-Control Center Communications.
- c. Open Distributed Resources
- d. IEC 61968 and 61970 Common Information Model and associated interface and messaging standards.
- e. The Users Group activities may be expanded as the Board sees fit as long as there are no conflicts with the By-Laws. Potential activities could include: Dispersed generation, Metering, Gas UCA, Water UCA, and other UCA-related applications.

#### **4.2 Not-for-Profit Status**

The Not-for-Profit Users Group shall comply with Internal Revenue Code 501(c) 3 (Scientific and Testing Organization for public benefit). The Organization shall File IRS Form 990 and other appropriate documents each year to report activities and costs and verify non-profit status.

The Users Group shall not borrow money in any manner.

## **5 Organization**

### **5.1 Overview**

The organization of UCA International is shown in Exhibit A. Members elect a board of directors. The Board selects the operating officers who handle the daily operations of the Users Group.

Committees are setup to manage and coordinate major activity areas. Subcommittees typically are setup to further refine the breakdown of responsibilities and Working Groups, handling focused and specific tasks, typically report to the subcommittees.

There are several major committees who manage the work of UCA International. Two committees report to the Board: the Executive Committee and the Technical Oversight Committee.

The Executive Committee shall act as a steering agent and cover high level management recommendations with regard to overall strategic direction and policy, budget, marketing, what tasks would be funded, etc. The subcommittees reporting to the Executive Committee include: Marketing, Membership, and Liaison.

The Technical Oversight Committee shall act as a steering agent for technical issues, and focus on the high level definition, management and coordination of the technical work of the Users Group that is conducted by the Technical Subcommittees. The following Technical Subcommittees and working groups report to the Technical Oversight Committee: IEC 61850, CIM, OpenDR, Harmonization, Testing, Technical Publications and Help Desk. Each subcommittee/working group shall be responsible for establishing working groups/members to carry out the tasks of their charter subject to review by the Membership Subcommittee.

### **5.2 Board of Directors**

The Organization members elect a Board of Directors. Members of the Board of Directors will serve for a period of three years each. The periods of service are staggered so that each year one third of the board members are elected. The Board will make major decisions and direct key activities. The Board shall have nine positions, six shall be utilities (end users) and three shall be vendors or others. The Board members (individuals) shall be allowed to hold their seats even if their eligibility status changes (e.g., they move from a user to vendor company) during their tenure unless they are removed or replaced by Board action. The Board will meet yearly to elect the Board Chairman and the operational officers and review progress of the Organization.

The Board is responsible for:

- Establishing/approval of development direction based on member input.
- Approving the annual budget.
- Monitoring Organization progress vs. targets.
- Approving committee co-chairs recommended by the respective Committees and Subcommittees.
- Recommending Bylaws.
- Electing and advising operating staff.

#### **5.2.1 Audit Committee**

An Audit Committee, reporting directly to the Board, is responsible for monitoring financial records and plans to ensure proper compliance with all laws and regulations.

#### **5.2.2 Advisors to the Board**

The Board may elect advisors to assist with completion of work that falls under the purview of the Board of Directors. Advisors are typically selected for their special expertise to enhance board focus and capability to carry out Users Group activities. Advisors participate in board meetings, provide recommendations, help to prepare board written documents and assist with implementation of board resolutions.

The following two advisor positions have been identified by the board to date: Advisor on Internationalization and EPRI Advisor. Other advisor positions may be established by the Board on an as needed basis.

### **5.3 Operating Officers**

The daily operation of the Organization will be under a President elected by the Board. Other Officers will be a Vice-President to assist the President, a Secretary, and a Treasurer to handle all financial matters.

The operating officers are responsible for:

- Daily operations.
- Process Facilitation
- Coordination and management of Organization activities
- Preparation of minutes for Organization meetings.
- Maintaining Organization web sites
- Documenting Organization recommendations, and maintaining an on-line library of documents.

#### **5.4 UCA International Sponsor Organizations**

The UCA International Sponsor Organizations, including EPRI, have been responsible for providing initial funding for the establishment of UCA International and the completion of the technical goals as recommended by the Board of Directors and voted upon by the Organization.

#### **5.5 Members**

The potential membership of UCA International is any stakeholder in the utility industry. Different levels of membership are available for these different stakeholders in order to attract the critical mass of effort needed to make our mission a success. These stakeholders would include:

- Electric, water and/or gas utilities including investor owned, municipal, government, and cooperative utilities and related companies such as RTOs, ISOs, IPPs, etc.
- Suppliers of equipment and services to these utilities including equipment manufacturers, system integrators, consultants, and software developers.
- Industry organizations including research consortiums, standards organizations, and professional societies.
- Institutions of higher learning that provide educational programs in areas of interest to other Users Group members.

- Individuals who participate professionally in the utility industry.

As the Users Group expands to encompass a wider range of utility-related technical standards, the Board will continue to evaluate annually the areas of interest of the members. This evaluation will be used to guide the allocation of resources to ensure that the needs of all of the users are addressed.

## **5.6 Executive Committee**

The Executive Committee reports to the Board. The Executive Committee has the primary responsibility for providing guidance and recommending the strategic direction for the organization. This includes identifying tasks, budgets, schedules, Users Group goals and proposing its reporting Subcommittees and members. The major vehicle for this policy shall be the Users Group Annual Plan (written by the Officers with input from the Executive Committee). The Executive Committee is responsible for approving subcommittee co-chairs recommended by the respective Committees and Subcommittees. Each Committee and Subcommittee is responsible for establishing working groups and approving working group co-chairs for working groups assigned to them.

The subsections below cover the Subcommittees that assist and report to the Executive Committee.

### **5.6.1 Marketing Subcommittee**

The Marketing Subcommittee will be responsible for planning and implementing those marketing activities needed to fulfill the objectives of the Users Group. Outside expertise may be hired. These activities would include, but are not necessarily limited to: promotional activities, public relations, literature, business justification materials, web site organization and content, membership communications, membership recruitment, training and educational programs, trade show demonstrations, and conference papers. All activities are subject to approval of the Users Group President who shall also assist in carrying out marketing tasks.

### **5.6.2 Membership Subcommittee**

The Membership Subcommittee has the responsibility to assign members to their proper classification of "User" or "Vendor". Further, the Membership Subcommittee shall assist the Executive Committee in establishing committees or working groups, designate Co-Chairs recommended by the various groups, and assigning members to the various committees and working groups (after recommendation by designated Co-Chairs). The

Secretary of the Membership Subcommittee shall maintain the member lists for the Users Group itself and for the various committees and working groups and post these as appropriate on the Users Group Web site. The membership committee will ensure that committee composition reflects the breadth of interest and knowledge appropriate to the committee purpose.

### **5.6.3 Liaison Subcommittee**

The Liaison Subcommittee shall direct the activities of the individuals who are assigned as liaison to key external organizations.

Liaisons will be established as appropriate with various groups in the utility, government and manufacturing industries such as the IEEE, IEC TC 57(TASE-2, IEC 61850, IEC 61968, 61970), CIGRE, Water Industry, Gas Industry, Meter vendors, EPRI, and others such as process control groups using Ethernet for control and information exchange. Liaisons will be formal and report to UCA International to ensure an open policy is followed and well understood by the standards bodies. UCA International will seek the best possible individual for liaison and the individual selected need not be a member of the Users Group but must be a member of the liaison group. The Liaison Subcommittee shall work under Executive Committee guidelines to formalize and oversee the liaison process.

#### **5.6.3.1 Liaison Subcommittee Operations**

This subcommittee will provide a two-way communication tie to recognized groups that are of interest to the Users Group or recognized groups that have interest in UCA International UG activities. Example groups include:

- EPRI (Electric Power Research Institute)
- GRI (Gas Research Institute)
- AWWA (American Water Works Association)
- ISO (International Standards Organization,
- OMG (Object Management Group)

- OPC (OPC Foundation)
- IEC (International Electrotechnical Commission) TC57 WGs 10, 13 and 14
- IEEE (Institute of Electrical and Electronic Engineers),
- Industry groups with an interest in the application of IEDs and control communications as well as the deployment of low-end relays and metering/transducer devices.
- Industry groups associated with the development, use and promulgation of the CIM and IEC 61968 and 61970 standards
- Other groups as may be deemed appropriate

The Liaison Subcommittee is not required to hold official meetings. It is expected that the bulk of information transfer will be via correspondence.

The Chair of the Liaison Subcommittee will provide reports directly to the Board and Executive Committee on a quarterly basis to assure alignment to UCA International strategic direction. All liaison reports will be furnished electronically and will be made available on the Users Group Web site for access by all members.

The Liaison Subcommittee, as well as its members will have no special voting functions or authority because its function is strictly advisory.

A member of the Liaison Subcommittee is expected to convey information produced by UCA International to their liaison group. Additionally, the member is expected to provide information on the activities relating to UCA from their liaison group.

A member of the Liaison Subcommittee can represent more than one recognized group.

A Liaison can be chosen by the Board, the Executive Committee, the Membership Subcommittee, or by the recognized group itself. All appointments are subject to final approval by the Board.

The Secretary of the Liaison Subcommittee will establish a mailing address for groups wishing to formally request liaison with UCA International.

### **5.6.3.2 Liaison Operating Mechanism**

A Liaison will directly mail reports (or a pointer to it) to a specific address. This information will be sent to the Liaison Subcommittee Secretary and shall in turn be forwarded to the Web site administrator. Each Liaison group will have a spot on the Web site to place their reports.

The Liaison Subcommittee Chair will summarize the information provided by the Liaisons and present it to the Board and Executive Committee quarterly. The report will be included in the minutes of the Users Group.

## **5.7 Technical Oversight Committee**

The Technical Oversight Committee (TOC) reports to the Board. Each of the individual technical areas such as UCA, CIM, etc., has a unique Technical Sub-Committee to fill its needs. The Technical Oversight Committee is responsible for management and coordination of the technical work carried out by its selected subcommittees and working groups. This committee will also recommend work items for the technical working groups, and approve working group output as relevant to the work items. The co-chairs of the Technical Subcommittees reporting to the TOC are automatic members of the TOC. All activities shall be carried out in close cooperation with the Users Group President.

The TOC may meet bi-annually to coordinate major activities and report on results. Recommendations for new work items shall be turned over to the Users Group President and the Executive Committee for review for costs and general compliance to Organization goals. Technical Subcommittees and workgroups will be assigned specific tasks based on areas of expertise. Technical work meetings and industry workshops take place as needed to:

- Guide the recommended development
- Prepare Users Group Technical documents
- Review the TISSUES and assign to individuals or working groups for resolution
- Recommend TISSUE resolution through appropriate Tissues processes that are established by the UCA International Users Group, and the IEC TC Working Groups responsible for the standard to which the Tissue applies.
- Complete the task documents
- Establish and maintain technical Work Groups of individuals with recognized expertise in specific areas (communication services and stack, MMS, security, object models, testing, relaying, metering, CIM class model, CIM messages, etc.)
- Coordinate the recommendations through the Liaison Subcommittee

### **5.7.1 IEC 61850 Technical Subcommittee**

The IEC 61850 Technical Subcommittee administers the identification and resolution of technical problems for the IEC 62850 IS. For each major technical area, the subcommittee may setup a work group or individual with the expertise to cover the area of specialty. Work groups may be assigned to resolve a set of specific problems that require the focus of special experts. Typically, these groups are formed when a major technical issue has been written (TISSUE) that requires a fairly significant effort over a period of time. The group reports to the parent committee or working group that has delegated the task.

The technical issue work groups would be responsible for:

- Analysis of assigned TISSUES
- Developing and documenting recommended solutions for TISSUES
- Coordinating of TISSUE resolution with the parent committee and the author of the TISSUE
- Coordination with the IEC TC57 Working Group responsible for the affected standards
- Coordinating with the Liaison Subcommittee to assure issue resolution into the appropriate liaison organizations.

For ongoing extensions to the IEC CIM class model the issues will be routed to and handled by a CIM Model Manager. This person will coordinate will affected parties and the CIM Group of Experts, track and status the issue, update the CIM class model and/or CIM Standard Message and submit the resolution to the CIM technical issues subcommittee and the appropriate liaison(s).

### **5.7.2 CIM Technical Subcommittee**

The CIM Technical Subcommittee is responsible for handling all technical and maintenance issues concerning the CIM and related standards. Responsibilities include:

- Facilitate a forum for all CIM users by fielding all requests for information regarding the CIM and related standards

- Handle requests for information and provide response or assign to proper person/task force/group to prepare response
- Manage the CIM issues process
  - Compile and categorize issues
  - Develop proposed resolutions
  - Obtain agreement on resolutions from CIM Technical Subcommittee and IEC TC57 WG 13 and 14.
- Provide version management of the CIM UML model as well as derived files in other formats (e.g., XML, RDF, etc.)
- Maintain oversight of support tools for the CIM and related standards
  - Tools for generation of CIM RDF and XML schema
  - Tools for compliance testing and validation of files/products for conformance to the standards
  - Test suites for interoperability testing
- Provide oversight of Web site to ensure objectives of CIM Technical Subcommittee are met
  - Maintain repositories for
    - User experiences to facilitate sharing of lessons learned
    - Artifacts produced by individual projects implementing the CIM and related standards, such as private CIM extensions, message payload definitions, tools, and training materials
    - Sample CIM/XML/RDF power system model files
    - White papers and other papers/presentations
    - References for CIM standards
    - References for tutorial material on modeling, XML, semantic models, etc.
- Provide liaison with other UCAIug Technical Subcommittees

- Provide liaison with other standards groups and assessing impact of other standards on the form, scope and content of the CIM.
  - For each standards group, a responsible person to communicate with that group is identified. A member of the committee can represent more than one recognized group.
  - Determine if proposed changes to CIM need to have concurrence from other standards groups. Communicate with other standards groups for resolution of issues.
  - Obtain answers to questions about other standards
- Research methods and tools used by other standards groups and determine adaptability to maintain CIM
- Conduct teleconferences to discuss technical issues and resolutions
- Meet at least once/year or more if work warrants additional meetings

Charter special purpose task forces to facilitate resolution of issues, development of test suites, etc.

#### **5.7.2.1 CIM Model Manager**

The concept of a CIM Model Manager (CMM) is to provide the services needed by both CIM users and the standards working groups responsible for the CIM standards (i.e., IEC TC57 WG13, 14, and others).

The CIM Model Manager (CMM) is a volunteer position that is held by an individual for one year. At least six months before the current CMM is to leave the position their replacement is appointed to ensure a training period and a smooth transition. The person appointed is nominated by the Executive Committee upon recommendation by the CIM Technical Subcommittee. The appointment must be ratified by a vote of IEC Working Groups 13 and 14.

The primary objective of the CMM is to ensure a central management authority for coordinating all the changes made to the CIM so the CIM UML model remains a single, cohesive, integrated, normalized model independent of the specific applications that use it. This helps ensure that the CIM can be used as a semantic model for messaging and

information exchange between any applications with data integrity and consistency in terms and units.

Specific responsibilities include:

1. Compile CIM issues identified by the CIM User Group, IEC WGs, and others to ensure there is a single non-redundant list of outstanding issues. This list is the first place any CIM user can come to determine if his new issue is already on the list, has been resolved or not, and if it has, what the resolution is. If it is not on the list, then the CMM adds it to the list.
2. Work with the IEC WGs to determine resolution of each issue. Note that the final resolution of CIM matters resides with the IEC WGs.
3. Maintain tracking history of all issues, their resolution, and all the changes made to the CIM for each issue including a cross reference to the issues list
4. Update and maintain official version control on CIM UML model files
5. Provide centralized access to the CIM UML models and other formats agreed upon, such as XML

### **5.7.3 OpenDR (Demand Response) Technical Subcommittee**

The mission of the OpenDR Technical Subcommittee is to foster enhanced functionality, lower costs and speed market adoption of Advanced Metering networks and Demand Response solutions through the development of an open standards-based information/data model, reference design & interoperability guidelines. The objectives are to:

- Facilitate the broad adoption of advanced metering and demand response
- Define what 'open standards' means for advanced metering infrastructures and demand response solutions
- Diminish technical and functional risk concerns for utilities, regulators and rate-payers
- Empower consumers with tools to better understand and manage their energy use
- Foster industry innovation, efficiency and lower cost solutions

#### **5.7.3.1 OpenAMI Task Force**

The OpenAMI Task Force will facilitate the rapid definition of an open standards-based set of recommended Advanced Metering network and Demand Response solution requirements specification, as well as embrace existing, proven open standards and technologies to accelerate the development of a common information / data model, reference design specifications and interoperability guidelines for Advanced Metering Networks and Demand Response Solutions.

### **5.7.4 Harmonization Technical Subcommittee**

The Harmonization Subcommittee will be responsible for working with the other Technical Subcommittees to address areas where harmonization is required for the various standards to work effectively together and appropriately leverage the activities of the individual Technical Subcommittees to identify and recommend appropriate changes that will effect the harmonization and at the same time fulfill the objectives of the areas being harmonized.

### **5.7.5 Technical Publications Subcommittee**

Technical Publications work will focus on developers and users to provide a major benefit for the Users Group members for documents that would otherwise need to be completed on an individual basis. This subcommittee would focus on technical publications that are not available from, or fall under the purview of, standards organizations. Examples of technical publications include: Tutorials, IEC 61850 Guidelines, the electronic model based on the IEC 618968 and 61970 standards, standard message schemas based on the class model, Implementation Agreements, Recommended Problem Resolutions, UCA Overview, Cost Benefit Analysis Templates, Sample Specifications and User Guides.

### **5.7.6 Testing Subcommittee**

The Testing Subcommittee is responsible for setting overall direction for Users Group support of testing and for test system/site qualification and vendor product certification activities. Initial efforts will focus on the development of a global testing strategy, coordination with the IEC in completion of IEC 61850 Part 10 (Testing Standards), interoperability testing for IEC 61968 and 61970, guiding the creation of the product test procedures and the ratification of those procedures through Users Group consensus.

Activities to be performed after creation of the initial test procedures include:

- Maintain the list of certified products
- Maintain the list of qualified test systems/sites
- Issue clarification and updates to the test procedures
- Assist users and vendors in application of the test procedures
- Act as final authority on the test procedure interpretation

The Testing Subcommittee will coordinate working groups to perform much of the detailed work. The Test Procedures Working Group (see Section 5.7.4) will be under primary authority of the Testing Subcommittee. Coordination will be maintained through liaison activities with other organizations such as with IEC TC 57 WG 10, 13, 14, who are responsible for the appropriate IEC documents.

### **5.7.7 Test Procedures Working Group**

The Test Procedures Working Group reports to the Testing Subcommittee and is responsible for the completion of Test Procedures for certification of devices and qualification of testing systems/ sites. It is the intent of the Users Group to work closely with standards bodies that have primary responsibility for testing (such as TC 57 WG 10, 13 and 14, developing the test clause, Part 10, of IEC 61850, for Substation Conformance testing) and to turn over the appropriate sections of the Test Procedures for incorporation into standards. However, the UCA International Users Group is working on all areas of standards for different users where standards bodies may not yet be active or where testing goes beyond the purview of the presently identified standards.

It is anticipated that the Test Procedures Working Group would be a long term group that first develops test procedures for mature areas of UCA/ IEC 61850, IEC 61968, IEC 61970 and other standards (such as IEC TASE2.0), expands these areas as future application development is completed, maintains the Test Procedures to correct changes, adds test features and interprets the procedures when issues arise.

### **5.7.8 Help Desk Subcommittee**

The Help Desk Subcommittee administers the technical Help Desk function for the Users Group. The Help Desk activity is run primarily through the Users Group Web Site/Forum. Also, telephone numbers are provided (listed in the Web Site) for asking questions and contacting the Users Group. The Help Desk shall keep a list of volunteer referral contacts that are available as experts to respond to specific questions in technical specialty areas such as: IEC 61850, IEC 61968, IEC 61970, UCA, Security, Testing, Object Models, Profiles/Communications and Products. Referrals to technical contacts shall be cleared through a single point of contact through the central Help Desk phone or Web Site.

## **6 Users Group Activities**

### **6.1 Meetings**

The Board shall meet once a year (typically during the September Annual Meeting). General meetings shall be held 2 times a year, in January and September (the Users Group Annual Meeting). Official meetings shall be governed by the By-Laws of the Corporation with regard to notice and participation. The Executive and Technical Oversight Committees and their respective Subcommittees and Working Groups may meet as often as needed depending on the work levels.

In the spirit of maintaining the international aspects of the Organization, regular meetings outside the North American continent will be encouraged. The Marketing Subcommittee and Executive Committee provide directions into meeting times and locations for general meetings. All Technical Sub-Committees determine their own meeting schedules and locations.

### **6.2 Development**

UCA International will facilitate technical work and development deemed required by the vote of the members. Technical work of primary interest to an individual participant, group of utilities, or project, and of secondary interest to all, would be funded by the interested participants, group of utilities, or project, and results coordinated with the over all Users Group efforts.

### **6.3 Testing and Compliance**

UCA International will develop test procedures, test facilities, test tools and certification (for tested products) and accreditation (for test facilities) methods. This is a major activity of UCA International coordinated with vendors and users. The testing shall at first focus on supporting existing on-going projects and shall then phase into a self-supporting test activity oriented toward development of accreditation procedures and a Test Quality Program.

### **6.4 Work Groups**

Work Groups consist of individuals with recognized expertise in specific areas. The groups may be short lived, to develop a specific document or complete a task, or long lived, to handle a technical area for maintenance purposes, such as communication services for UCA or the on-going maintenance of the CIM. Work groups are usually focused on technical areas although the Executive or Technical Oversight Committee may establish a work group when they need to assign specific tasks to a small group of

experts. Note that it is not necessary to setup a work group for small tasks or action items that a few individuals would handle in the short term as part of the activities of one of the Committees.

### **6.5 Users Group Work/Subcontracts**

Users Group work would be completed on a member volunteer basis. Subcontracts may be let for major tasks of interest to all participants. (Major tasks may include coordination of the Users Group, marketing, assistance with the Web site, writing of Users Manuals, testing activities and completion of the protocol and object models).

### **6.6 Ownership of Software Tools**

The Users Group has the authority to develop software testing and product development tools (such as Substation LAN Application Management software) to assist with the testing or development of products and may own these tools, and may license these tools to other organizations involved in the development or testing of conformant hardware and software, for the benefit of members or may designate their use to other members. The commercial acceptance of IEC 61850, 61968 and 61970 is highly dependant on the existence of solid testing tools and development tools that may be too costly to complete by utilities or vendors working alone.

### **6.7 Publications**

Publications work will focus on developers and users and the needs of UCA International. Where appropriate, the Users Group will work through standards bodies to publish documents. Other documents, with focus on users, would be under control of the Users Group. (For example, Tutorials, Sample Specifications, Implementation Agreements, User Guides and Test Procedures, Class models and Standard message schemas, are some documents that remain separate from the IEC Standards.)

### **6.8 Group Secretaries Responsibility**

Each committee, subcommittee and working group shall have a secretary with responsibility to prepare the documents for the given entity. The documents, once approved by the members of the entity, shall then be turned over to the Secretary of UCA International for dissemination to all members and posting on the Web site as appropriate.

## **6.9 Working Documents**

The Users Group shall write and maintain working documents that supplement the Articles of Incorporation and By-Laws and further clarify how the group moves forward to complete its activities. This document, the UCA International Charter, is a semi-permanent document subject to review and change by the Board. (The Charter shall continue to include such items as organization/responsibilities, membership rules, liaison activities, and a statement of Scope/ Users Group mission.)

Every year, the Operating Officers and Executive Committee, under the direction of the Board, shall write an Annual Plan that gives the activities (technical, organizational, marketing), schedule and budget for that year. Long-term goals would be identified, reviewed and updated in each Annual Plan.

## **6.10 Marketing of the UCAIUG Interests**

Major focus will be on marketing the Users Group itself, member recruiting, promotion of UCA and IEC 61850, 61968 and 61970, and the dissemination of market-oriented information to journals and periodicals. A press agent would ensure that articles are posted regularly in appropriate periodicals, on Web sites, etc. Tutorials and seminars would be held as often as industry interest requires. Also, presentation material would be made available to members and other organizations to hold seminars. Further, demonstrations would be part of the seminars and shall be held at major conferences. Through the Web site, interested parties have access to marketing material and information on UCA International, UCA, and IEC 61850, 61968 and 61970.

## **6.11 Technology Transfer**

A number of technology transfer mechanisms shall be used to maintain and disseminate information through tutorials, training seminars and user-oriented documents.

### **6.11.1 Workshops and Tutorials**

On-site workshops and on-line tutorials will be offered on a fee basis, with members receiving a discount. Courses will be registered with the National Society of Professional Engineers (NSPE) to qualify for continuing education credit for persons participating in training.

The respective Technical Sub-Committees that sponsor these Workshops and Tutorials will place any monies collected over and above expenses at the disposal of the respective subset of the UCAIUG that is responsible for the technology being presented. For example, if a Workshop is held on the CIM, funds would go to the CIM Sub-

Committee for use in promoting that technology and could be used to off-set expenses such as the CIM Model Manager.

### **6.11.2 Technical Meetings**

Technical work meetings shall be held as needed and minutes shall be prepared and key agreements shall be documented.

### **6.11.3 Web Presence**

A web site has been established and is maintained for the Users Group. The site is called [www.ucainternational.org](http://www.ucainternational.org) or [www.ucausersgroup.org](http://www.ucausersgroup.org).

The web site shall provide:

- E-mail list servers for notification of members and interested parties.
- Organization summary information
- Charter and Organizational Documents
- On-line document Library with access to all documents, software, test procedures, on-line self-instructing tutorials, and services offered, access to member lists, conforming products, membership forms, electronic models, issues lists, user artifacts and links to related sites.
- On-line voting capabilities

## **7 Competing Organizations**

Since UCA International is setup as a user oriented, focus group and a coordinating body, there is no question of a competing organization. The Users Group would be cooperating with all interested standards bodies, utilities and vendors and, therefore, is in a unique position to carry out its charter.

## 8 Funding

To be technically successful, the Users Group must be able to complete the successful development and evolution of concepts deemed necessary by the membership and Board of Directors. To be economically successful, the Users Group must be able to enlist internationally a wide range of users and expansion of membership shall be a major goal. Major funding comes from membership dues (see Section 8.1). Funding for special activities may come from sponsors or groups of vendors and users who have an interest in pursuing solutions to problems of common interest.

For all member meetings, and Users Group meetings, a meeting charge may apply per person attending to cover the costs of meeting rooms and expenses. Credit Card capabilities will be added to facilitate the collection of all charges. Non-members will be welcomed to general meetings, however an additional meeting fee may be charged to non-members, as set by the Board of Directors.

### 8.1 Membership Fees

Corporate Membership is based on a Member organization's total annual revenues (US\$):

<b>Total Annual Revenues</b>	<b>Annual Users Group Fee</b>	<b>Individual Members Allotted</b>
Less than \$1M US	\$1,000	2
\$ 1M to \$10M USD	\$2,000	4
\$10M to \$1100M	\$3,000	6
\$100M to \$1B USD	\$4,000	8
Over \$1B	\$5,000	10
Government Agency	\$5,000	10
Trade Association, User Group, University or Standards Organization	\$1,000	2
Individual Membership	\$250	1

Note: Membership is on an annual basis Starting in the month the member joins (January to December, April to March). Fees and benefits for future periods are subject to Board approval.

## UCA International Users Group Organization

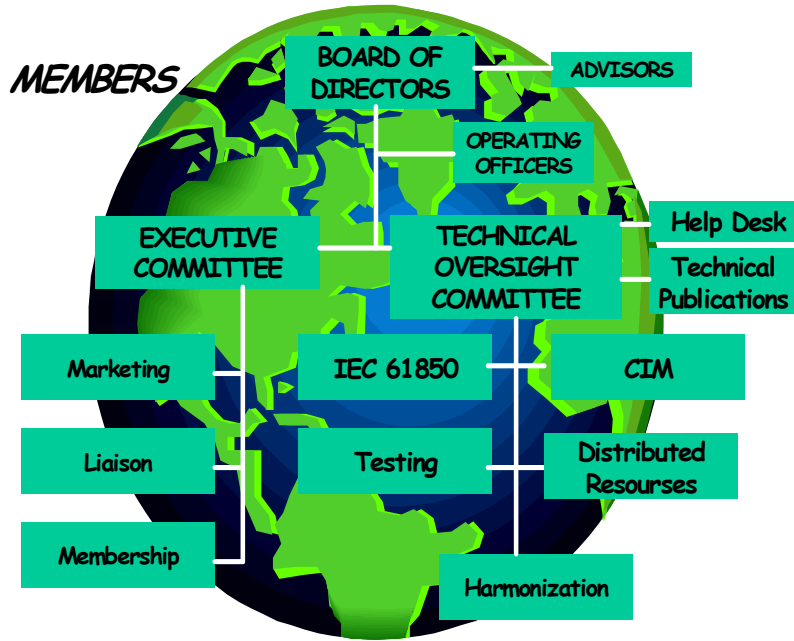


Exhibit A: The UCA International Users Group Organization

## Appendix: Acronyms and Definitions

AWWA	American Water Works Association
AMI	Advanced Meter Interface
CIGRE	CIGRE (International Council on Large Electric Systems) is a permanent non-governmental and non profit-making International Association based in France with the primary objective to facilitate and develop the exchange of engineering knowledge and information, between engineering personnel and technical specialists in all countries as regards generation and high voltage transmission of electricity.
CIM	Common Information Model. The draft standard on electric utility application data models which is in preparation by TC 57, WG 13/14 as IEC 61970 and IEC 61968.
DR	Demand Response
EPRI	Electric Power Research Institute
GOMSFE	Generic Object Models for Substation and Feeder Equipment. A subset of UCA2 and used as input to IEC 61850.
GRI	Gas Research Institute
IEC	International Electrotechnical Commission. An International standards body whose participants are countries.
IED	Intelligent Electronic Device. Among several examples: a relay may be an IED in a substation.
ICCP	Intercontrol Center Communications Protocol. See TASE-2.
IEEE	Institute of Electrical and Electronic Engineers
ISO	International Organization for Standardization
MMS	Manufacturing Messaging Specification. Published as IEC International Standard IEC 9506.
PLC	Programmable Line Controller. A simple form of an IED.
PSRC	Power System Relay Committee. A committee of the IEEE.
TASE-2	Telecommunication Access Service Entity-2. Part of IEC 60870-6 standard of TC 57/WG 7, commonly referred to as ICCP.
TC	Technical Committee. Refers to IEC committees that are identified by numbers. For example, TC 57 is responsible for electric utility standards.
TISSUES	Shorthand for Technical Issues. The TISSUES list identifies the technical issues that are open and pending resolution. The list also documents recommended solutions.
UCA	Utility Communication Architecture. The communication architecture, profiles and services developed under several research projects by EPRI. UCA V2.0 was documented in IEEE TR 1550 and used as input in the IEC 61850 standard. UCA is a registered term by EPRI and has been licensed to the UCA International Users Group.
WG	Working Group. Used by the IEC and the Users Group for the smallest tasked group.

## **Appendix: UCA International Voting Rules**

### **General Rules for Board Election**

1. Each Member Company gets one vote for every board position. For the 9 Board Members, each company gets 9 votes, which may not be accumulated (i.e., no more than one vote per nominated Board Member). The Board shall consist of 6 users and 3 vendors.
2. Each Member Company may nominate one or more persons, up to a maximum of 9, for the Board; 6 nominations for the user category and 3 for the vendor category.
3. A person will appear on the Board Member Ballot if they have been nominated and seconded (i.e., have received at least 2 nomination votes).
4. Members are seated by majority vote based on their user or vendor designation.
5. Vendor designation includes companies whose main business is products or services for the User industry (e.g., products for Electric, Water, Gas, Etc.). Consultants, Universities and Trade Organizations are considered vendors. (At the time a member signs up, they may declare a preferred User Status designation, User or Vendor, and the Membership Committee, which has final authority in this matter, will assign the member into the appropriate designation.)
6. Multiple persons from the same company may serve on the Board. Also, Members may elect Non-Members for the Board (rules for User Status still apply and the Non-Member must have a designation, User or Vendor, assigned by the Membership Committee no later than Nomination Time).
7. If during the term of a Board Member their User Status changes, they may continue to serve out their term unless recalled by a majority of the Board. The Membership Committee may make a change recommendation to the Board.
8. Vacated Board Positions may be filled by majority vote of the Board and the elected Board Member may serve out the given term.
9. Board terms shall be three years and are staggered so that at any given yearly election, 3 new Board Members are being seated. The terms run from September through September of the final year to coincide with the Annual Board Meeting

### **Electronic Nominations/ Ballot**

1. Elections and ballots may be done electronically by E-Mail or through the Users Group On-line/Polling Forum.
2. The Nomination Form shall include the name of the company and individual casting the nomination and the nominee name and company. Nominations shall take at least one week and will be accepted up to two days before the election start date.
3. The Election Form shall include the name of the company and individual casting the vote. The form shall be preprinted with the list of nominees and their respective companies and User Status designations. Elections shall last no longer than two weeks or less than one week and shall be completed no later than 5 days before the Board Meeting start date.
4. Member companies may designate another member company to cast votes for them (by proxy). For this purpose, members may write a simple proxy declaration, E-Mail is acceptable, giving their names and the designated proxy voter.
5. All nominations and balloting shall be at the direction of the current Chairman of the Board.

## **Committee Elections/Members**

1. The Board and/or the Membership Committee may select Committee Members for the various Committees. The Board has final approval of all Committees and Members.
2. The President, in his/her role as the chief operations officer, also may setup Committees and select members. Further, the President may delegate tasks to individuals or companies that are not subject to Committee rules for any of the work that falls under his/her purview.
3. Recommendations for Committee setup and nominations for Committee Members may come from any member at large including individual members. Committees have the authority to setup Working Groups, which are assigned specific tasks, as they see fit to carry out their work.
4. Committees/Subcommittees/Working Groups/Task Forces may be setup or disbanded at any time subject to rules to be developed by the Membership Committee.
5. Each Committee and Subcommittee shall be governed by a Charter, which is a brief statement of goals, purpose, deliverables and schedule. It is anticipated that each Committee shall have at least 2 members. A Chairperson and Co Chair shall be selected as the individual responsible to carry out the Committee/Subcommittee work. Of the Chair and Co Chair, one shall be from a utility and the other from a vendor. Each Subcommittee shall report to either the Executive Committee or Technical Oversight Committee depending on the nature of the work in the given Committee charter.

## **Appendix: UCA International Users Group Meeting Guidelines**

### **1. Introduction**

This memorandum provides guidelines for conducting UCA International Users Group meetings.

As stated in the Users Group Charter: General Users Group meetings shall be held 2 times a year, in January and September (the Users Group Annual Meeting). (Dates are subject to change upon approval by the Board and/or Membership.) The Board shall meet once a year (typically during the September Annual Meeting). Official meetings shall be governed by the By-Laws of the Corporation with regard to notice and participation (as summarized herein). The Executive and Technical Oversight Committees, and their respective Subcommittees and Working Groups may meet as often as needed depending on the work levels. Technical work meetings shall be held as needed. For all meetings, an agenda shall be prepared ahead of time, minutes shall be prepared and key agreements shall be documented.

### **2. Announcements/Meeting Notice**

Notice of tentative meetings shall be given as early as possible and shall be repeated to meet the deadlines for the pending, final dates. Plans shall be announced for tentative meetings 12 months in the future and shall be posted on the Users Group Web site.

#### **a. Member Meetings**

The President or Board when calling an annual or special meeting of members shall cause to be delivered to each member, either personally or by mail not less than ten (10) nor more than fifty (50) days before the meeting, written notice stating the place, day, and hour of the meeting and, in the case of a special meeting, the purpose or purposes for which the meeting is called. (E-Mails shall be deemed sufficient for providing meeting notices.)

- **Waiver of Notice.** A waiver of any notice required to be given any member, signed by the person or persons entitled to such notice, whether before or after the time stated therein for the meeting, shall be equivalent to the giving of such notice.
- **Proxies.** At all meetings of members a member may vote by proxy executed in writing by the member or by his or her attorney-in-fact. Such proxy shall be filed with the Secretary of the corporation before or at the time of the meeting. Unless otherwise provided in the proxy, a proxy shall be invalid after eleven (11) months from the date of its execution.

- **Quorum.** A majority of all members entitled to vote represented at a meeting in person or by proxy shall be necessary and sufficient to constitute a quorum for the transaction of business.
- **Manner of Acting.** At a meeting at which a quorum is represented, the affirmative vote of a majority of the members represented at the meeting and entitled to vote on the subject matter shall be the act of the members, unless the vote of a greater number is required by law or by the Articles of Incorporation.
- **Consent in Lieu of Meeting.** Any action required or permitted to be taken at a meeting of members may be taken without a meeting if a written consent setting forth the action so taken is signed by all members entitled to vote with respect to the subject matter thereof. Any such consent shall be inserted in the minute book of the corporation as if it were the minutes of a members' meeting.

#### **b. Technical And Working Meetings**

Notice for Technical or Working Meetings shall be given by the Co-Chair Persons or the Secretary of the given group. At least 10 days notice shall be given for each meeting. If possible, notice, with an agenda, shall be provided 50 days before the meeting. The notice shall include the location, date, hour, expected duration and purpose of the meeting.

### **3. Conducting Meetings**

#### **a. General Rules of Conduct**

In general, all meetings shall be conducted as outlined below:

1. Prepare ahead and distribute an agenda and key documents.
2. Announce the meeting within the deadline.
3. Start and end on time.
4. Only meet as necessary. (Annual meetings are dictated by the By-Laws.)
5. Ensure that all key individuals are included.
6. Focus on the meeting objectives and stay on track.
7. Document agreements and action items; prepare minutes as soon as possible.

**b. Individual Responsibilities**

Each meeting shall have a moderator who controls the agenda, introduces speakers and ensures that each topic stays on point and does not take more than the allotted time. The moderator may be one of the Co-Chairs or the Secretary of the given group or committee. In the case of an official member meeting, the Users Group Secretary or President or Chairman would normally be the moderator. All meetings shall have a designated secretary (scribe) to keep the official minutes. It is helpful to have an added individual to keep notes also to ensure that all important information is collected.

**c. Agenda**

The meeting agenda shall include main topics for the meeting, the individual responsible for leading the topic item, and the allotted time. The agenda shall be completed and sent to all expected participants 10 days before the meeting. (If possible, the agenda should be sent with the announcement 50 days before the meeting.) It shall be posted in the Web Site Forum area designated for the given Users Group Committee/Working Group under the topic for future meetings.

**d. Participants/Attendance List**

Participants for each meeting shall be according to the Committee/Working Group member list. The Membership Committee maintains the lists for each committee and working group. The Co-Chairs may invite guests; however, only members are allowed to vote on the resolution of issues.

Attendance lists shall be kept for each meeting and shall be included in the minutes.

**e. Minutes**

Minutes shall be prepared within 30 days after each meeting. The minutes are written by the designated scribe and sent to the Co-Chairs for distribution to the participants. Additionally, a copy of the minutes shall be sent to the Secretary of the Users Group for archiving. Archives shall be maintained for at least 3 years.

Minutes shall include: Attendees List, Reference List, Agenda, Key Agreements, and Action Items. The minutes, along with major references, shall be posted in the Forum Area of the given group.

**f. Users Group Web Site Support**

The Users Group Web Site ([www.ucausersgroup.org](http://www.ucausersgroup.org) or [www.ucainternational.org](http://www.ucainternational.org)) will post meeting announcements in an area set aside

for this purpose. In addition, each formal Committee or Working Group shall maintain an area in the Forum for posting announcements, documents, agenda, attendance lists, and minutes. Also, the Forum has capability to handle reviews, posting of comments and polling on issues. The Secretary and/or Co-chairs of each group are responsible for maintaining the Forum areas. Security is provided by the Forum software to control access to each area as determined by the member lists.