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UN/CEFACT structure, mandate, terms of reference and procedures

Draft revised open development process

Submitted by the UN/CEFACT Bureau for approval

Summary

This draft revised Open Development Process for UN/CEFACT constitutes a draft revision of document Open Development Process, TRADE/R.650/Rev.4/Add.1/Rev.1. It is submitted to the UN/CEFACT Plenary for approval.

I. Introduction

A. UN/CEFACT Open Development Process

1. Under the draft revised UN/CEFACT Terms of Reference (ECE/TRADE/C/CEFACT/2010/15), “The Open Development Process” (ODP) is required for all UN/CEFACT projects in the field of trade facilitation and electronic business.
2. All projects concerned with the development of UN/CEFACT output must follow the ODP steps outlined in this document as appropriate for their type, as well as the following principles:
 - Welcome participation by anyone designated as an expert by a Head of Delegation to UN/CEFACT.
 - Encourage global input.
 - Work quickly.
 - Not incorporating specific hardware or operating system requirements or any other proprietary software tool into their processes and publications.
 - Understand, agree to be subject to, and abide by the UN/CEFACT Intellectual Property Rights (IPR) policy.¹
 - Understand, agree to be subject to, and abide by the UN/CEFACT Code of Conduct².

B. Publication types

3. UN/CEFACT produces the following three main types of publications which require Plenary approval:

UN/CEFACT Technical Standards Specifications that establish how one or more Business Standards and/or Recommendations shall be developed.

UN/CEFACT Business Standards Specifications that provide rules, guidelines and/or principles related to activities in the context of trade facilitation or electronic business.

UNECE Recommendations Trade facilitation or electronic business standards that provide formal guidance to Governments, the private sector and the business community.

4. Other publication types exist that do not require Plenary approval, and more will likely emerge. Examples of such publications include:

- UN/CEFACT Glossary
- UN/CEFACT eBusiness Architecture

¹ See Draft Revised UN/CEFACT Intellectual Property Rights Policy, ECE/TRADE/C/CEFACT/2010/20.

² See Draft Revised UN/CEFACT Code of Ethics, ECE/TRADE/C/CEFACT/2010/18

- Reference and implementations guides, handbooks, brochures and training materials.
5. In all cases work must be conducted under the aegis of a new or existing Project Team, and as a minimum the ODP "Inception", "Project Exit" and "Publication" stages are required for all.
6. All documents that are intended for publication must have the UN/CEFACT copyright statement added to them at all times after the first disclosure in the Draft Development stage. Documents that skip that stage must have it added at the first possible opportunity.

C. Exemptions

7. Exempt from the need to apply the ODP are project proposals, calls for participation, meeting minutes and other documents of the same nature, as well as maintenance projects, that may involve but are not limited to:
- Errata
 - Minor adjustments that are not considered to significantly impact implementations.

D. Overview of project stages

8. The following stages may apply to a project, depending on its nature:
- Project Inception
 - Requirements Gathering
 - Draft Development
 - Public Review
 - Project Exit
 - Publication
 - Maintenance
9. The terms "Output" and "Product Publication" are used extensively throughout this document:
10. Output is any form of information collected or created during a Project's lifetime and may include, but it is not limited to:
- Call for participation
 - Requirement documents
 - Team emails
 - Draft documents
 - UML and process models
 - Diagrams
 - Comment log
 - Final work product (the output that UN/CEFACT publishes)
11. Product Publication is the project's final work product as specified by the project proposal and published by the UN/CEFACT secretariat on the UN/CEFACT website. All

publications are Output, but not all Output is part of a Product Publication (e.g. team emails). Some Output may be made available on the UN/CEFACT website but would not be considered part of a publication (e.g. comment logs)

II. Open Development Process stages

A. Project Inception

12. A project officially starts when the Bureau receives a proposal from a stakeholder.
13. A stakeholder is a Plenary delegation, a member of a Plenary delegation, a Team of Specialists, an existing Project Team, or a member of the Bureau who would like UN/CEFACT to start a project. The proposal must use the template included in annex III of this document.
14. A proposal for any of the main types of UN/CEFACT publications mentioned above must be accompanied by written expressions of support (see annex IV template at the end of this document) from three UN/CEFACT country heads of delegation (HODs). In order to achieve this, the proposer(s) may contact HODs individually. In the event of any difficulty in obtaining three expressions of support, the proposer(s) will inform the Bureau, which will try to solicit expressions of support from other HODs. Upon request, the secretariat will provide a copy of contact information for HODs. The secretariat will maintain a record of all such written expressions of support.
15. The proposal must include a purpose, a clearly defined scope, a list of deliverables, and exit criteria, as outlined in the template included at the end of this document.
16. The Bureau shall approve or reject the proposal on its merits, in particular the goals, scope and exit criteria for it, but the approval shall be also conditioned on the willingness of one of its vice-chairs to act as a sponsor. The Bureau must then appoint a Convener for the Project Team.
17. The Bureau will report accepted and rejected projects to the UN/CEFACT Plenary.
18. Some proposals may include contributions from the proposers regarding a proposed solution. Such contributions shall not be considered until they have at the very least reached the Requirements stage. An initial contribution is an opportunity for IPR disclosure as per the “Timing of Disclosure” section of the IPR Policy. This applies to both participants and non-participants.
19. The Convener will issue a “Call for Participation”, which is an announcement to interested parties that such a Project is about to enter the Requirements Gathering stage (with a clear specification of such date), inviting them to participate in it. Such announcement must include, as outlined in the Template found at the end of this document, the name(s) of the proposer(s) and of the Convener, as well as a copy or a reference to the original proposal. Joining a newly established or existing working group is an opportunity for IPR disclosure within 30 days of joining it, as per the “Timing of Disclosure” section of the IPR Policy.

B. Requirements gathering

20. The Project Team engages stakeholders and domain experts to gather the project requirements. A comment log may serve as the requirements document for projects that change existing publications.

21. If the project proposal included contributions from the proposers, this is the first stage at which such contributions may be considered, and may help shape the requirements even if they are not adopted.

22. If major changes occur during the requirements gathering stage that result, or would result, in a significant departure from the original project proposal, the Convener must alert the sponsor(s) and the supporting HODs, and must submit a revised project proposal to the Bureau for approval and to inform the UN/CEFACT Plenary if appropriate.

C. Draft development

23. The Project Team writes an Interim Draft for each deliverable, while continuing to engage project stakeholders and domain experts as required. This is an iterative process that may include various versions of the Interim Draft.

24. Interim Drafts must carry the qualification “Interim” in their name, and a version designation of the draft itself, other than the version of the document. For instance, “Core Components Technical Specification v3, Interim Draft v2.1”.

25. When the Interim Draft is substantially content-complete, even if not polished, the Project Team can circulate it among other Project Teams as appropriate to project stakeholders and contributing domains experts, inviting their comments.

26. The first circulation of the Interim Draft is an opportunity, to those who read it, for IPR disclosure within 30 days of circulation, as per the “Timing of Disclosure” section of the IPR Policy. Before circulation the UN/CEFACT copyright statement shall be added to the document and should remain in the document in all subsequent stages.

27. The Project Team logs and processes comments and circulates updated Interim Drafts, increasing each new Draft's version number.

28. Different types of Projects, such as Business Standards for instance, may need to take iterative paths that go back to other stages of the ODP on the basis of drafts created at this stage. That is an internal consideration that can be captured in appropriate guidelines and used consistently across Projects.

29. The comment/update/versioning/circulation cycle for each deliverable continues until the Project Team formally decides that the Interim Draft is ready for the next stage.

30. The criteria, evaluation and ultimate decision to conclude this stage of a deliverable and go to the next one are left to the Project Team. However, the Project Team must ensure that sufficient time has been allowed for receiving comments, and that all comments have been considered and logged in.

31. The Project Team must take into account the original timeline for its deliverables, and if it sees that it cannot meet the original schedule it must inform the Bureau.

D. Public Review

32. The Draft resulting from the previous stage is called a Public Draft; it must carry the qualification “Public” in its name and a version designation of the draft itself.

33. The Public Review stage is mandatory for UNECE recommendations, technical standards and business standards. It is optional for all other documents.

34. The Project Team notifies the Bureau that there is a Public Draft ready for Public Review. The Bureau, in turn, publishes it in the UN/CEFACT website, notifies heads of

delegation and various e-mail distribution lists that the Public Draft is available for review and provides them with review-process details. The first review period shall be a minimum of 60 days and subsequent cycles a minimum of 30 days.

35. The first publication of the Public Draft is an opportunity for IPR disclosure within 30 days of publication, as per the “Timing of Disclosure” section of the IPR Policy.

36. Project Teams that call for a Public Review on documents in which it is not mandatory may use shorter review periods at their discretion.

37. The Project Team logs and processes comments and circulates updated Public Drafts, increasing each new Draft's version number. All comments and their resolution are then made publicly available.

38. The comment/update/versioning/circulation cycle for each deliverable continues until the Project Team formally decides that the Public Draft is ready for the next stage. If more than one review period is needed for a deliverable, the subsequent cycles are to request comments on changes only and may be of a shorter duration, but not less than 30 days each.

39. The criteria, evaluation and ultimate decision to conclude this stage and go to the next one are left to the Project Team. However, the Project Team must ensure that sufficient time has been allowed for receiving comments, and that all comments have been considered and logged in.

40. The conclusion of the public review period must be announced, as it is an opportunity for IPR disclosure within 30 days, as per the “Timing of Disclosure” section of the IPR Policy.

41. If comments are received that require substantial revisions, the project must go back to at least the Draft Development stage.

42. The Draft resulting from this stage is called an Proposed Final Draft; it must carry a version designation of the draft itself, and the qualification “Proposed Final” in its name.

43. The publication of the Proposed Final Draft is an opportunity for IPR disclosure within 30 days of publication, as per the “Timing of Disclosure” section of the IPR Policy.

44. The Project Team must take into account the original timeline for its deliverables, and if it sees that it cannot meet the original schedule it must inform the Bureau.

E. Project Exit

45. Proposed Final Drafts must go through the exit criteria initially specified in the project proposal for each deliverable. If the project has progressed in such a manner that new exit criteria are needed, or existing exit criteria must be modified, the Project Team should communicate this to the Bureau and obtain its approval to do so.

46. Ultimately this stage is a Quality Assurance stage, and each Project Team should decide what is the best way to verify and/or validate its output, in accordance with its initial proposal. For instance, in some cases the exit criteria may be as simple as Bureau review and approval; in other cases it may be implementation verification; in still others it may be Plenary approval, or harmonization and audit by a different Project Team.

47. Proposed Final Drafts may change as a result of this stage. The Project Team must log and process all inputs and circulate updated Proposed Final Drafts, increasing each new Draft's version number.

48. The input/update/versioning circulation cycle continues until the Project Team formally decides that the Proposed Final Draft is ready for the next stage. However, if the result of this stage requires substantial revisions, the project should go back to at least the Draft Development stage.

49. The draft resulting from this stage is called a Final Draft; it must not carry a version designation for the draft itself, nor the qualification “Final” in its name.

50. The Project Team sends the Final Draft(s) to the Bureau, which will ensure that all deliverables listed in the Project Proposal have met their exit criteria. If approved by the Bureau, the Project is then deemed to be finished and the Project Team disbands. If rejected, the Bureau will inform the Plenary of its decision and recommendation for next steps, which could include restarting at an earlier ODP step, revising the project scope or cancelling the project altogether.

F. Publication

51. After approval of a Final Draft by the Bureau, the UNECE secretariat updates it to meet UNECE requirements (e.g. modify headers and footers, modify formats) and publishes the result (called Publication) on the UN/CEFACT website or as appropriate. The Bureau notifies heads of delegation and various e-mail distribution list subscribers that the publication is available for implementation, consideration or distribution. This publication is an opportunity for IPR disclosure within five days of publication, as per the “Timing of Disclosure” section of the IPR Policy.

52. The publication is then ratified by the Plenary at its next session, if appropriate.

G. Maintenance

53. During this stage, internal and external organizations implement the publication, as appropriate. Implementers or readers may offer comments. The Bureau receives any comments following product publication and the completion of the work of the Project Team. Should the Bureau determine that a significant revision of the product is required, such a maintenance project is begun at the Project Inception stage by a new Project Team.

Annex I

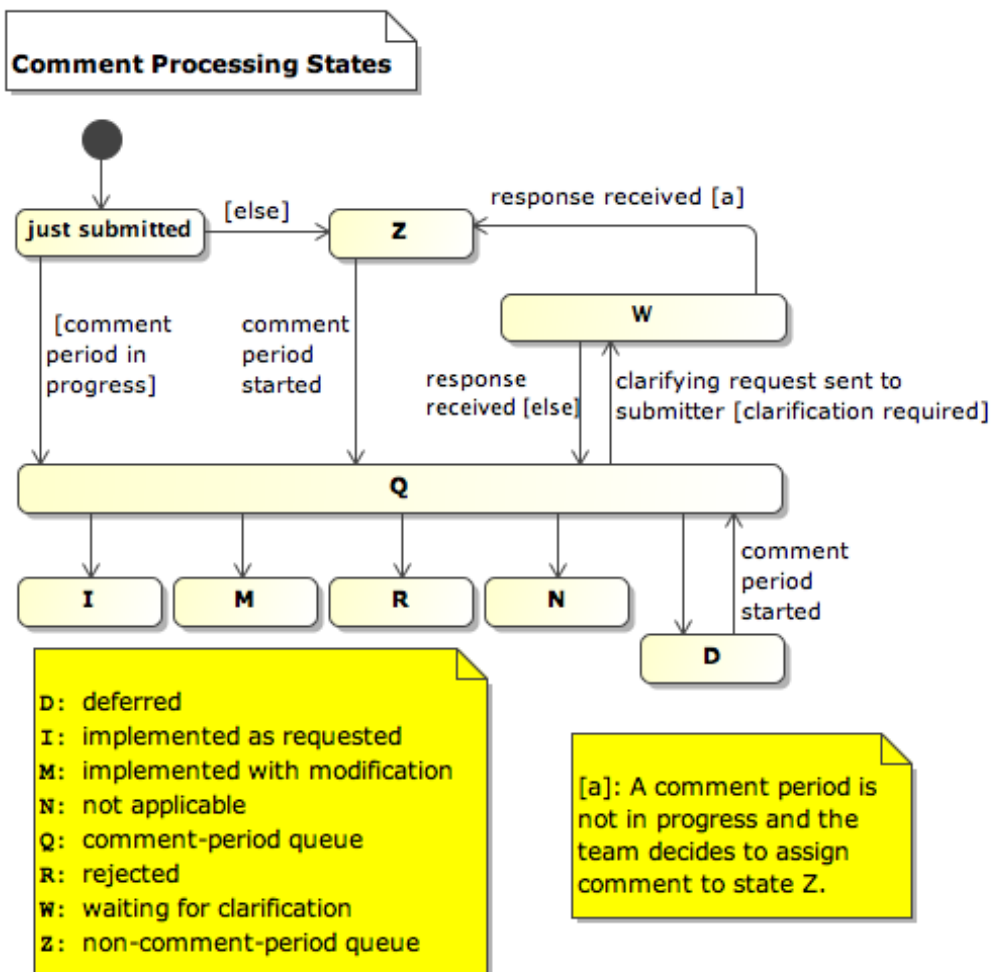
Comment processing requirements

1. Anyone may submit a comment on any UN/CEFACT output at any time. The Project Team responsible for the output shall ensure that each comment is logged. The comment log shall include the following fields:

Comment Submission Date	in ISO 8601 format YYYY-MM-DD
Comment-Period Identifier	identifier associated with a comment-period begin date, comment-period end date and ODP step
Submitter's Name	
Submitter's E-mail Address	all lower case
Submitter's Delegation	if applicable; ISO country code
Exact Comment	submission text, exactly as submitted, including any clarifying comments provided by the submitter
Edited Comment	Exact Comment edited to more clearly express the submitter's intent (default is Exact Comment)
Output	Output name and version to which the comments applies
Reference	intra-output reference information to which the comment applies (e.g., line number or range, figure number, general comment on entire Output or section)
Comment Disposition	See the section below for details
Comment Disposition Explanation	an explanation of the Comment Disposition
Other fields specified by the Project Team	

2. The figure below is a UML state diagram expressing Comment Processing State. The Comment Processing State field shall contain one of the following values:

Z	The comment was received at a time other than during a comment period. The comment is queued for processing.
Q	The comment was received during or before a comment period, or was a W-state comment assigned to a Q state, and has not been processed. The comment is queued for processing.
I	The comment is implemented as requested.
M	The comment is implemented with modification.
R	The comment is rejected.
D	The comment is deferred.
W	The comment is awaiting clarification from the submitter.
N	The comment is not applicable (e.g. changes to draft artefact make the comment irrelevant).



Annex II

Call for participation (Template)

Header/E-mail Subject

UN/CEFACT Call for Participation: [Project Name]

Body

The [Project Name] Convener, [Name], is pleased to announce the Bureau's plans to launch the [Project Name] project.

The project proposal, sign-up information, and other details are available at [URL to webpage containing relevant information].

[Alternatively, include the project proposal in the body of the message, as well as sign-up information]

Annex III

Project proposal (Template)

UN/CEFACT Project Proposal

Project Name

Submitted Date: YYYY-MM-DD

Last Update Date: YYYY-MM-DD

1. Project purpose [required]

The project's purpose is [PLEASE FILL IN]

2. Project scope [required]

[Specify project scope in terms of in-scope and out-of-scope items. Include a description indicating the relationship between this project and other UN/CEFACT projects, if known. In the case of a Project whose deliverables include proposed Standards, include projects outside of UN/CEFACT of which this project could be considered a duplicate, if any, and explain why it is not]

3. Project deliverables [required]

The project deliverables are:

[deliverable 1]

[deliverable 2]

...

4. Exit criteria

For each deliverable, list the criteria that when met will indicate the deliverable has been completed.

5. Project Team membership and required functional expertise [required]

Membership is open to experts with broad knowledge in the area of [PLEASE FILL IN], the functions of UN/CEFACT, and its groups.

6. HoD support [required for technical standards, business standards and UNECE recommendations]

List at least three Country heads of delegation who support this project, and include their written expression of support using the template in annex IV.

7. Geographical Focus [optional]

The geographical focus is ...

8. Initial contributions [optional]

The following contributions are submitted as part of this proposal. It is understood that these contributions are only for consideration by the Project Team and that other participants may submit additional contributions in order to ensure that as much information as possible is obtained from those with expertise and a material interest in the project. It is also understood that the Project Team may choose to adopt one or more of these contributions “as is”.

[reference to contribution 1]

[reference to contribution 2]

...

9. Resource requirements [required]

Participants in the project shall provide resources for their own participation. The existence and functioning of the project shall not require any additional resources from the UNECE secretariat.

[Note to user. Participants in the project shall provide resources for their own participation. If no additional resources are required, then a short statement indicating this should be included. However, if specialized resources are required to complete the project, and such resources are not available within the project team, then those requirements should be clearly identified. It is preferred that the existence and functioning of the project shall not require any additional resources from the UNECE secretariat.

10. Project Leadership [required]

Project Leader:

Editors:

[Note to user. Each UN/CEFACT project proposal must specify the name and e-mail address of at least one proposed Project Leader and at least one proposed Editor.]

11. Milestones (repeat per deliverable)

Yes/No	ODP Stage	Expected Completion Date (YYYY-MM-DD)
Yes ^a	Inception	
	Requirements gathering	
	Draft development	
	Public Draft Review (required for Standards and Recommendations)	
Yes	Project Exit	
Yes	Publication	
	Maintenance	

^a The presence of “Yes” in this field in the template indicates it is required

Annex IV

HoD letter of support (Template)

Dear XXXX,

This is to confirm that the undersigned, UN/CEFACT Head of Delegation for XXXXX, supports the launching of the XXXXXX project proposed by the UN/CEFACT xxxxx Permanent/Working Group.

Sincerely,

XXXX

UN/CEFACT Head of Delegation for XXXX

Date:
