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### Economic Commission for Europe

#### Committee on Trade

#### Centre for Trade Facilitation and Electronic Business

##### Seventeenth session

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Item 6 of the provisional agenda

**The way forward and 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 TRADE/R.650/Rev.4/Add.1/Rev.1. The original version of this draft was submitted to the 16<sup>th</sup> Plenary, which requested that comments on the draft be submitted to the secretariat and the revised draft be prepared for consideration by the 17<sup>th</sup> Plenary. The revised draft is accordingly now 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) applies to UN/CEFACT projects in the field of trade facilitation and electronic business.
2. The following principles should be followed by all members of Project Teams:
  - a. Welcome participation by anyone designated as an expert by a Head of Delegation to UN/CEFACT.
  - b. Encourage global input.
  - c. Work quickly.
  - d. Not incorporate specific hardware or operating system requirements or any other proprietary software tool into their processes and publications.
  - e. Understand and agree to be subject to the UN/CEFACT Intellectual Property Rights (IPR) policy.<sup>1</sup>
  - f. Understand and agree to be subject to the UN/CEFACT Code of Conduct<sup>2</sup>.
3. All projects concerned with the development of UN/CEFACT output within the UN/CEFACT Programme of Work follow **a set of ODP stages** (1) which relate to their publication type and (2) which need to be reviewed and specifically confirmed by the Bureau before approval can be granted to start any project.. All ODP stages are briefly listed below:
  - **Project Inception**
  - **Requirements Gathering**
  - **Draft Development**
  - **Public Review**
  - **Project Exit**
  - **Publication**
  - **Maintenance**
4. The minimum set of ODP stages for all projects involves:
  - a. **Project Inception**
  - b. **Project Exit**
  - c. **Publication**

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

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

## B. Publication types for Plenary information or approval

5. The Bureau is responsible for ensuring projects involving three types of UN/CEFACT publications are properly designated at their outset and then, when they are completed, brought to the attention of the Plenary as follows:

- a. **UNECE Recommendations for approval**  
Formal recommendations involving trade facilitation and electronic business which provide guidance to Governments and the business community.
- b. **UN/CEFACT Business Standards for information**  
Specifications that provide rules, guidelines and/or principles related to activities in the context of trade facilitation or electronic business.
- c. **UN/CEFACT Technical Standards for information**  
Specifications that establish how one or more Business Standards and/or Recommendations shall be developed.

6. The Bureau is not required to designate that final consideration and approval by the Plenary are needed with respect to other publication types, e.g.,

- a. Libraries and Directories
- b. Glossary
- c. eBusiness Architecture
- d. Reference Models
- e. Reference and implementation guides, handbooks, brochures and training materials

In some cases, the Bureau may also determine that Plenary approval is warranted.

7. All documents intended for publication must include the copyright disclaimer statement found in the annex to the UN/CEFACT Intellectual Property Rights Policy (ECE/TRADE/CEFACT/2006/11) 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

8. OPD does not apply to the preparation of **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:

- a. Errata
- b. Adjustments that are not considered to significantly impact implementations

## D. Output and Product Publication

9. The terms “Output” and “Product Publication” are used extensively throughout this document. Output is any form of information collected or created during a Project's lifetime and may include, but it is not limited to:

- a. Calls for participation
- b. Requirements documents

- c. Team emails
- d. Draft documents
- e. UML and process models
- f. Diagrams
- g. Comment logs
- h. Final work product (the output that UN/CEFACT publishes)

10. Product Publication is the project's final work product as specified by the project proposal and published by the UNECE 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**

- 11. A project officially starts when the Bureau receives a proposal from a project submitter.
- 12. A project submitter may be a Plenary delegation, an existing Project Team, or a member of the Bureau.
- 13. The proposal (see Annex III template) must include a purpose, a clearly defined scope, a list of deliverables, timeframe and exit criteria.
- 14. In the case of proposals concerning the three types of UN/CEFACT publications mentioned above in paragraph 5, proposals must be accompanied by written expressions of support (see annex IV template) from three UN/CEFACT country Head of Delegation (HODs).
- 15. The Bureau is authorised, on behalf of the UN/CEFACT Plenary, to give due consideration to projects which conform with the Plenary-approved UN/CEFACT Programme of Work and to give or not give approval for them to start.
- 16. The goals, scope, envisaged deadlines and exit criteria are key aspects of the Bureau's consideration of the merits of project proposals.
- 17. Approval for projects to start includes the Bureau appointing a Vice Chair of the Bureau as a sponsor and appointing a Convener for the Project Team.
- 18. The Bureau will report accepted and rejected projects to the UN/CEFACT Plenary.
- 19. 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.
- 20. 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 an announcement must include the name(s) of the proposer(s) and of the proposed Convener, as well as a copy or a reference to the original proposal (see template provided in Annex II). 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**

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

22. If the project proposal includes 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.

23. 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, including informing the UN/CEFACT Plenary if appropriate.

## **C. Draft development**

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

25. 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”.

26. 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 contributing domains experts and stakeholders, inviting their comments.

27. 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 it must include the copyright disclaimer statement found in the annex to the UN/CEFACT Intellectual Property Rights Policy (ECE/TRADE/CEFACT/2006/11) and should remain in the document in all subsequent stages.

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

29. Different types of Projects, such as Business Standards, 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.

30. 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.

31. 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.

32. 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**

33. 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.

34. The Public Review stage is mandatory for UNECE Recommendations, UN/CEFACT Business Standards and UN/CEFACT Technical Standards. It is optional for all other documents.

35. The Project Team notifies the Bureau that there is a Public Draft ready for Public Review. The UNECE secretariat, in turn, publishes it on 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.

36. 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.

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

38. 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.

39. 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.

40. 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.

41. 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.

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

43. 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.

44. 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.

45. 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**

46. 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.

47. 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.

48. 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.

49. 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.

50. 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.

51. 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.

52. Following confirmation by the Bureau, if the project requires final consideration and approval by the Plenary, it will be brought to the Plenary's attention as part of an Agenda item at its next meeting or, if the next meeting is more than 90 days away, for intersessional approval (see Trade/R.650/Rev.4/Add.4). To facilitate approval, the publication should be translated into all UNECE official languages as soon as possible. If undue delay is envisaged to be likely as a consequence of translation, the Bureau can request that the Plenary waive the translation requirement, unless strong objections are raised.

53. 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.

54. A Project Team can disband as soon as it receives Bureau approval, or Plenary approval when necessary, concerning the completion of its work.

## **F. Publication**

55. After approval of a Final Draft by the Bureau or by the Plenary, as appropriate, 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 UNECE secretariat 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.

## **G. Maintenance**

56. 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

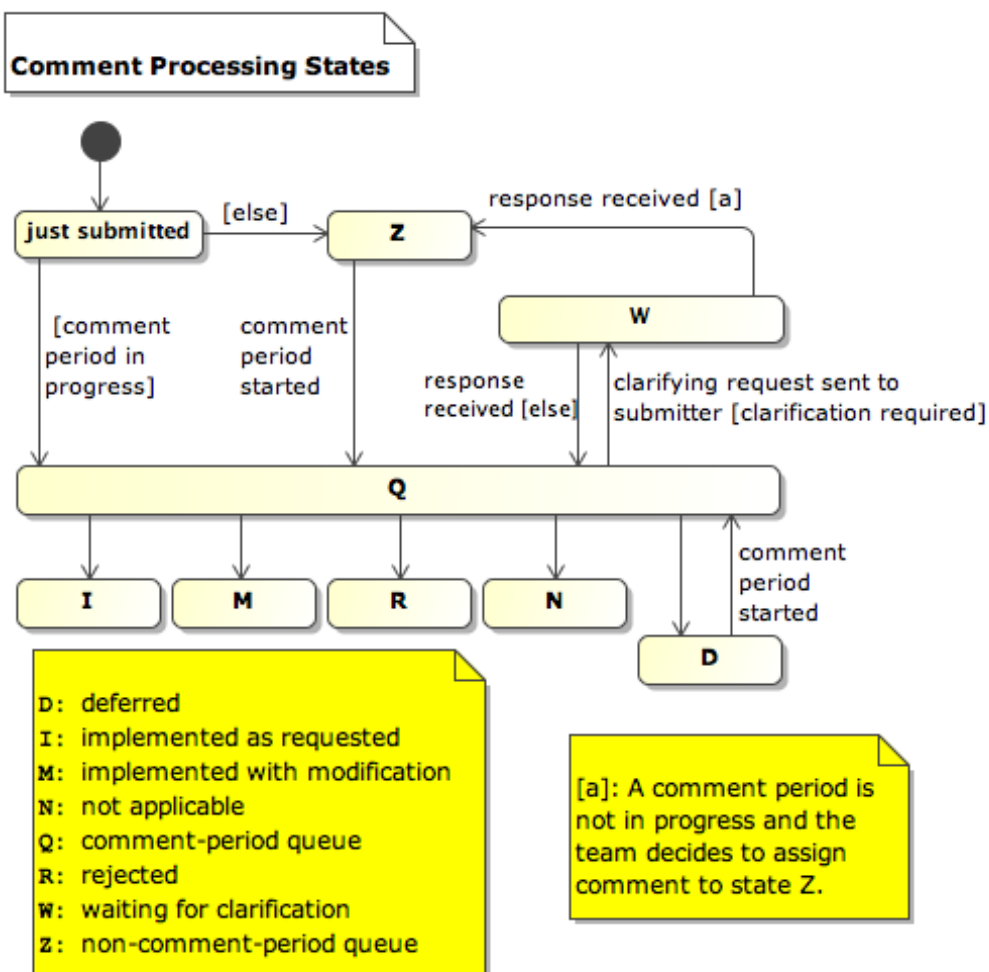
1. Anyone may submit a comment on any UN/CEFACT output at any time. The Project Team responsible for the output shall ensure that each comment is logged. The comment log shall include the following fields:

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 within the context of the UN/CEFACT Programme of Work. 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 Recommendations and 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]**

Proposed Project Convener:

Proposed Editors:

[Note to user: Each UN/CEFACT project proposal must specify the name and email address of at least one proposed Project Convener and at least one proposed Editor.]

**11. Milestones (repeat per deliverable)**

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

<sup>a</sup> The presence of “Yes” in this field in the template indicates it is required

## **Annex IV**

### **Country 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 ...

Sincerely,

XXXX

UN/CEFACT Head of Delegation for XXXX

Date:

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