Economic Commission for Europe

Committee on Trade

Centre for Trade Facilitation and Electronic Business
Twenty-second session
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Item 8 of the provisional agenda
UN/CEFACT structure, mandate, terms of reference, and procedures

Update to the Open Development Process
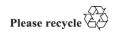
Submitted by the UN/CEFACT Bureau

Summary

The Open Development Process (ODP) applies to UN/CEFACT projects in the field of trade facilitation and electronic business. This document outlines the process, types of work and deliverables covered, and exemptions. It also explains in detail each stage of the ODP development process. This document constitutes an update of document ECE/TRADE/C/CEFACT/2010/24/Rev.2 approved by the Plenary at its eighteenth session (Decision 12-13).

The updated document is submitted to the UN/CEFACT Plenary for noting.*

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* This document is submitted in line with the Programme of work of the UN/CEFACT for 2015-2016
ECE/EX/2015/L.14

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I. Introduction

A. UN/CEFACT Open Development Process

1.   Under the revised UN/CEFACT structure, mandate, terms of reference and procedures (ECE/TRADE/C/CEFACT/2010/15/Rev.5), "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. To welcome participation by anyone designated as an expert by a Head of Delegation to UN/CEFACT.

   b. To encourage global input.

   c. To work collaboratively and effectively.

   d. To not incorporate specific hardware and/or proprietary software requirements into their processes or deliverables, or the implementation thereof.

   e. To understand and agree to be subject to the UN/CEFACT Intellectual Property Rights (IPR) Policy.[1]

   f. To understand and agree to be subject to the UN/CEFACT Code of Conduct.[2]

3.   All projects concerned with the development of UN/CEFACT deliverables within the UN/CEFACT Programme of Work need to follow **a set of ODP stages** related to their deliverable's publication type. All ODP stages are briefly listed below:

   ODP Stage 1: Project Inception

   ODP Stage 2: Requirements Gathering

   ODP Stage 3: Draft Development

   ODP Stage 4: Public Review

   ODP Stage 5: Project Exit

   ODP Stage 6: Publication

   ODP Stage 7: Maintenance

4.   The minimum set of ODP stages for all projects are:

   - **(ODP Stage 1) Project Inception**
   - **(ODP Stage 5) Project Exit**
   - **(ODP Stage 6) Publication**

5.   The list (s) of ODP stages for projects with more than one deliverable is the list of stages required by the deliverable that, if it were the only deliverable for the project, would trigger the most stages. Deliverables that would not trigger specific stages are exempt from them.

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[1] See Draft Revised UN/CEFACT Intellectual Property Rights Policy, ECE/TRADE/C/CEFACT/2010/20/Rev.2.

[2] See Draft Revised UN/CEFACT Code of Conduct, ECE/TRADE/C/CEFACT/2010/18/Rev.1.

6.   The actual list of ODP stages required by a project's individual deliverables, if different from those for the overall project, are described in the Project Inception stage.

B.   Type of work covered by the Open Development Process

7.   All work within UN/CEFACT that aims at developing any publication type described in Section C is subject to the ODP. Exceptions are defined in Sections C and D.

C.   Types of publications

8.   The terms "Output", "Deliverables", "Internal Publications" and "Product Publication" are used extensively throughout this document.

9.   **Output** is any form of material 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 e-mails

        d. Draft documents

        e. UML and process models

        f. Diagrams

        g. Comment logs

        h. Final work product (the Deliverables that UN/CEFACT publishes)

10.   All Outputs should be shared through UN/CEFACT websites. Project information on these websites should be updated regularly.

11.   **Deliverables** are the outputs identified and delivered by projects to satisfy their purpose as specified by the project proposal. Deliverables are Outputs ultimately intended for Publication. All Deliverables are Outputs, but not all Outputs are Deliverables (e.g. Team e-mails).

12.   An **Internal Publication** is a project final Deliverable, as specified by the project's proposal, that is not intended for publication by the UNECE. Examples may include feasibility reports and internal development tools. All publications are Outputs, but not all Outputs are part of an Internal Publication (e.g. draft deliverables).

13.   A **Product Publication** is a project final Deliverable, as specified by the project proposal, to be published by the UNECE. All publications are Outputs, but not all Outputs are part of a Product Publication (e.g. draft deliverables).

14.   All documents intended for publication must include the disclaimer statement found in the Annex to the UN/CEFACT Intellectual Property Rights Policy (ECE/TRADE/CEFACT/2010/20/Rev.2) 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.

D. Exemptions

15.   The ODP does not apply to the preparation of **calls for participation**, **meeting minutes** and **other documents** of a similar nature that may involve, but are not limited to:

- Errata

- Adjustments that are not considered to significantly impact implementation.

E. Publication types for Plenary information or approval

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

a. **UNECE Recommendations for approval**
Formal recommendations involving trade facilitation and electronic business that 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.

d. **UN/CEFACT deliverables for information**
Deliverables that support how one or more Business Standards and/or Recommendations must be implemented.

- Libraries and Directories

- Glossary

- eBusiness Architecture

- Reference Models

- Discussion Papers (Green Papers), Policy Papers (White Papers)

- Reference and implementation guides, technical notes, handbooks, brochures and training materials.

17.   In some cases, the Bureau may also determine that approval by the Plenary is warranted even if not required in accordance with the above.

II.   Open Development Process stages

ODP Stage 1: Project Inception

18.   A project officially starts when the Bureau approves a proposal from a project submitter.

19.   A project submitter may be a Plenary delegation, an existing Project Team, or a member of the Bureau.

20.   The proposal (see Annex III template) must include a purpose, a clearly defined scope, a list of deliverables, timeframe and exit criteria, as these are key aspects of the Bureau's consideration of the merits of project proposals.

21.   A proposal for any of the main types of UN/CEFACT publications mentioned above in paragraph 16 (a, b, c) must be accompanied by written expressions of support (see Annex IV template) from three UN/CEFACT Country Heads of Delegation (HODs). The Bureau may also request these for other types of publications.

22.   The Bureau is authorized, on behalf of the UN/CEFACT Plenary, to give due consideration to projects that conform with the Plenary-approved UN/CEFACT Programme of Work and to grant approval for them to start or propose amendments or alternative actions.

23.   Approval for projects to start includes the Bureau appointing a Vice-Chair of the Bureau as a sponsor and appointing a Leader for the Project Team.

24.   The Bureau will report proposed projects to the UN/CEFACT Plenary.

25.   Some proposals may include initial contributions to a proposed deliverable. Any 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.

26.   The Project Leader will issue a "Call for Participation". This is an announcement to interested parties that a project is about to enter the Requirements Gathering stage, inviting them to participate (see template provided in Annex II). Such an announcement must include the name of the appointed Project Leader, a clear specification of appropriate dates, as well as a copy of or a reference/link to the original proposal.

27.   Accepting a "Call for Participation" is an opportunity for IPR disclosure within 30 days of joining it, as per the "Timing of Disclosure" section of the IPR Policy.

ODP Stage 2: Requirements Gathering

28.   The Project Team engages domain experts and stakeholders in gathering project requirements. For Business Standards, these will be noted in a Business Requirements Specification (BRS). For other types of outputs, a comment log may serve as a template for the requirements' output.

29.   If the project proposal includes initial contributions, this is the first stage at which such contributions may be considered.

30.   Initial contributions may help shape the requirements, even if they are not adopted.

31.   If major changes occur during the requirements gathering stage that result, or would result, in a significant departure from the original project proposal, the Project Leader must alert the Bureau, who will inform the sponsor(s) and the supporting HoDs, and invite them to submit a revised project proposal. The Bureau will inform the UN/CEFACT Plenary if appropriate.

ODP Stage 3: Draft Development

32.   The Project Team writes an Interim Draft for each deliverable. 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".

33.   An Interim Draft can be circulated at any time among other project teams, domain experts and stakeholders, inviting their comments. This is an iterative process that may include various versions of the Interim Draft.

34.   The first circulation of the Interim Draft is an opportunity, to those who read it, for IPR disclosure by commenters (within 30 days of circulation, as per the "Timing of Disclosure" section of the IPR Policy).

35.   Before circulation, the Interim Draft must include the disclaimer statement found in the Annex to the UN/CEFACT Intellectual Property Rights Policy (ECE/TRADE/C/CEFACT/2010/20/Rev.2) and this should remain in the document through all subsequent stages.

36.   Projects developing different types of deliverables, 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.

37.   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 (Public Review). 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.

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

ODP Stage 4: Public Review

39.   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. For instance, "Core Components Technical Specification v3, Public Draft v1.0".

40.   The Public Review stage is mandatory for deliverables destined to be UNECE Recommendations, UN/CEFACT Business Standards and UN/CEFACT Technical Standards.

41.   With mandatory Public Reviews, the first review period shall be a minimum of 60 days from publication on the UN/CEFACT website. Subsequent cycles must have a minimum of a 30-day review period. The actual period of review is at the discretion of the Project Team.

42.   Project Teams that call for a Public Review on other deliverables may use shorter review periods at their discretion.

43.   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 Project Team logs and processes comments and circulates updated Public Drafts, increasing each new Draft's version number. All comments and their resolutions are then published on the UN/CEFACT website.

44.   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 requests for comments on changes to the latest Draft only.

45. 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.

46. If comments are received that the Project Team believes require substantial revisions, the deliverable must move back to at least the Draft Development stage.

47. The Draft resulting from this stage is called a Proposed Final Draft; it must carry a version designation of the draft itself, and the qualification "Proposed Final" in its name. For instance, "Core Components Technical Specification v3, Proposed Final v1.0". 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.

48. The conclusion of the public review period is an opportunity for IPR disclosure within 30 days, as per the "Timing of Disclosure" section of the IPR Policy.

49. 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.

50. To facilitate Public Review, deliverables destined to be UNECE Recommendations should be translated into all three UNECE official languages. If undue delay is envisaged to be likely as a consequence of translation, the Bureau can waive the translation requirement.

51. 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.

ODP Stage 5: Project Exit

52. 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.

53. This is also a quality assurance stage, and each Project Team should decide on the best way to verify and/or validate its deliverables, in accordance with its project proposal.

54. Exit criteria will always require Bureau review and approval.

55. Exit criteria may also require implementation verification, Plenary approval, and/or harmonization with other outputs or Product Publications.

56. Proposed Final Drafts may change as a result of this stage. The Project Team must log and process all inputs and review updated Proposed Final deliverables, increasing each the version number as updated versions are released.

57. 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 Project Team determines that the result of this stage requires substantial revisions, the deliverable should go back to at least the Draft Development stage and the Bureau should be notified accordingly.

58. The draft resulting from successful completion of this review is the Final Draft. The Final Draft must not carry a version designation for the draft itself, or the qualification "Final" in its name. For instance, "Core Components Technical Specification v3".

59. The Project Team sends the Final Draft(s) to the Bureau, who will ensure that all exit criteria listed in the Project Proposal have been met and due process has been followed.

60.   The Bureau will either approve the Final Draft or identify the next steps for the Project Team. The latter may include returning to an earlier ODP step, revising the project scope or cancelling the project altogether.

61.   The Bureau will inform the Plenary of any Final Drafts, even those that have been rejected, and its recommendations for next steps

62.   Following approval by the Bureau, if the deliverable 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, will be sent for intersessional approval (see ECE/Trade/C/CEFACT/2010/15/Rev.5).

63.   Deliverables destined for approval by the Plenary (such as UNECE Recommendations and any other deliverables the Bureau considers appropriate) should be translated into all UNECE official languages as early 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.

64.   At the Bureau's discretion, deliverables brought to the attention of the Plenary may be translated into all UNECE official languages.

65.   A Project Team will disband when it receives Bureau approval (or Plenary approval where necessary) for the completion of all its deliverables.

ODP Stage 6: Publication

66.   After a Final Draft has been approved by the Bureau — or by the Plenary, as appropriate — the UNECE secretariat updates the Final Draft to comply with UNECE requirements (e.g. modify headers, footers and formats) and publishes the result (thereafter called a Publication). Internal Publications do not need to be reformatted unless they are intended to be shared outside of UN/CEFACT.

67.   The UNECE secretariat notifies Heads of Delegation and other stakeholders that the Publication is available for implementation, consideration or distribution.

68.   This publication is an opportunity for IPR disclosure within five days of publication, as per the "Timing of Disclosure" section of the IPR Policy.

ODP Stage 7: Maintenance

69.   Following Project Publication, organizations, on a voluntary base may implement the project deliverables, if appropriate. Implementers may request changes or reviewers may offer comments. The Bureau receives and logs all comments following publication.

70.   Should the Bureau determine that a non-substantive revision of the Project Publication is required, the Bureau will appoint a team to initiate a new Draft Development stage of the deliverable. A non-substantive revision is a change that does not affect the Publication's scope and functional or technical content.

71.   Should the Bureau determine that a substantive revision of the Project Publication is required; a new project is begun at the Project Inception stage with a new Project Team.

Disbanding Projects or Change in Leadership

72.   The Bureau may elect, with justification, to disband a project before it reaches the Project Exit stage.

73.   The Bureau may elect, with justification, to replace a Project Leader. Such justifications may include prolonged inactivity and/or non-respect of Milestone dates.

74.   The Bureau will report such decisions to the UN/CEFACT Plenary.

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 and resolved. The following fields are mandatory:

Comment Submission Date	in ISO 8601 format YYYY-MM-DD
Comment-Period Identifier (*)	identifier associated with a comment period start date, comment period end date and ODP stage
Submitter's Name	
Submitter's E-mail Address	
Comment	submission text, exactly as submitted, including any clarifying comments provided by the submitter
Proposed Change	The commenter's proposal to resolve the issue
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 State (*)	see the section below for details
Comment Disposition Explanation (*)	an explanation of the Comment Disposition
Comments Identification Number (*)	unique identification for future reference

(*) Filled in 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).

Comment Template

Public Review Consultation of [document/output] [version]

Please return completed comments to Working Group Chair, [name]: [e-mail]

Comment Submitter:		E-mail:		Comment period:	Date of submission:	yyyy-mm-dd

Please make all comments using this template.
Please propose suggested changes in order to make the Recommendation Draft align with your comments.

Reference[1]	Type of comment[2]	Comment	Proposed changes	Disposition Explanation (leave blank)	Disposition State (leave blank)	Id # (leave blank)

[1] Types of comments: ge = general; te = technical; le = legal; ed = editorial.

[2] intra-output reference information to which the comment applies (e.g., line number or range, figure number, general comment on entire Output or section).

Annex II

Call for Participation (Template)

Header/E-mail Subject

UN/CEFACT Call for Participation: [Project Name]

Body

The [Project Name] Leader, [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
First 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:

[name of deliverable 1] – [description of deliverable 1]

[name of deliverable 2] – [description of 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 UN/CEFACT experts[3] 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.

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[3] See: UN/CEFACT structure, mandate, terms of reference and procedures (ECE/TRADE/C/CEFACT/2010/15/Rev.5)

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 Leader:

Proposed Editors:

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

11. Milestones (repeat for each deliverable, if different)

Yes/No	ODP Stage	Expected Completion Date (YYYY-MM-DD)
Yes[a]	Project Inception	
	Requirements Gathering	
	Draft Development	
	Public Draft Review (required for Standards and Recommendations)	
Yes	Project Exit	
Yes	Publication	

[a] 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: