OMA Organization and Processes

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1. Scope

The scope of this specification is to define the operations and processes of the Technical Plenary of OMA.

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2. References

2.1 Normative References

[OMA-IOP-Process] "OMA-IOP-Process", Open Mobile Alliance™, URL:http://www.openmobilealliance.org/

[RFC2119] "Key words for use in RFCs to Indicate Requirement Levels". S. Bradner. March 1997. URL:http://www.ietf.org/rfc/rfc2119.txt

2.2 Informative References

[OMATP] Open Mobile Alliance™ Technical Plenary at http://www.openmobilealliance.org/

[OMAIPR] Open Mobile Alliance™ IPR Guidelines available at http://www.openmobilealliance.org/ipr.html

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3. Terminology and Conventions

3.1 Conventions

The key words “MUST”, “MUST NOT”, “REQUIRED”, “SHALL”, “SHALL NOT”, “SHOULD”, “SHOULD NOT”, “RECOMMENDED”, “MAY”, and “OPTIONAL” in this document are to be interpreted as described in [RFC2119].

All sections and appendixes, except “Scope” and “Introduction”, are normative, unless they are explicitly indicated to be informative.

All figures are informative unless explicitly indicated to be normative.

3.2 Definitions

BoF Group	An informal, short-lived group that may examine issues which are not covered or addressed within a formal group
Committee	A group chartered by the Technical Plenary to perform specific support tasks
Consensus	Consensus is the overwhelming support for a proposal, with no sustained objections from members
Consistency Group	The group coordinating the Consistency Reviews, not a new group, but a mapping to an existing group as needed by the Technical Plenary
Group	The Technical Plenary, Working Group, Sub-Working Group or Committee
Liaison contact	A person assigned on a per liaison relationship basis by the Technical Plenary responsible for the maintenance of that specific liaison relationship. The liaison contact maintains a record of liaisons and coordinates, where necessary, with the routing of incoming liaisons between OMA and the liaison partner, as well as ensuring that responses are properly sent on a timely basis on receipt of incoming liaisons. The liaison contact works with the group liaison contact as appropriate.
Liaison coordinator	A person assigned to manage general liaison activity in the Technical Plenary. The liaison coordinator also acts as a backup for those liaison relationships which do not have an assigned liaison contact. The liaison coordinator also supports initial liasing with organisations for which no formal liaison relationship has yet been established.
Liaison group contact	A person assigned in a group (e.g. Working Group or Sub-Working Group) responsible for supporting the liaison with a specific liaison partner. Each group assigns as appropriate a group liaison contact to liase with the liaison partner. The group liaison contact works with the liaison contact as appropriate.
Membership Rights	Rights granted members, by member classification, as determined and published by the OMA Board of Directors.
Officer	An officer is a chair or vice-chair of a group
Sub-Working Group	A group chartered by a Working Group to perform specific technical work within the domain of the parent Working Group
Technical Plenary	The Technical Plenary is a chartered standing committee of the Board of Directors, and is delegated by the Board of Directors with responsibility for technical specification drafting activities, approval and maintenance of technical specifications, and resolution of technical issues
Working Group	A group chartered by the Technical Plenary to perform specific technical work

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3.3 Abbreviations

AD	Architecture Document
BoF	Birds of a Feather
CR	Change Request
DTD	Document Type Definition
ERELD	Enabler Release Document
ETP	IOP Enabler Test Plan
ETR	IOP Enabler Test Requirements Document
ETS	IOP Enabler Test Specification
IOP	Interoperability
IPR	Intellectual Property Right
NDA	Non-Disclosure Agreement
OMA	Open Mobile Alliance
PR	Problem Report
PTP	Physical Technical Plenary
RD	Requirements Document
SWG	Sub-Working Group
TP	Technical Plenary
TWG	Technical Working Group
VTP	Virtual Technical Plenary
WAP	Wireless Application Protocol
WG	Working Group
WI	Work Item

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4. Introduction

For any organization to operate smoothly, there are rules to be followed by the members. This document lays out some of the rules by which participants to the OMA Technical Plenary are expected to adhere.

The processes covered in this document do not address all details of the various activities that will take place in OMA TP. Further, as experience and expectations of the membership improve, changes to these processes may be desirable. Therefore, this Process Document is expected to change over time to address the changing needs of the organization and its members.

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5. Principles of Operation

OMA has the following Principles of Operation:

- Openness of organisation and specifications
  - Ensure open consensus driven approach
  - Transparent decision making
  - Representation of all stakeholders in value chain
- Market requirements driven
  - Specifications are tied to clear, market requirements
  - Requirements process is linked to OMA working groups processes
  - Ensure consistency of requirements from partners
- Service Interoperability
  - Deployment of interoperable, end-to-end services
  - Requirements, Specifications are only tools to facilitate the above
  - Minimise OPTIONAL features
  - Based on a common OMA service architecture
- Encourage innovation
  - OMA future is dependent on continual innovation
  - Encourage new ideas
  - Incubate in a non-blocking environment
- Timely/Rapid and quality specification development
  - Software industry has evolved from 24 to 9 month development cycles
  - Continued industry pressure reduces the specification development cycle-time
  - Pragmatic process flow to speed development
  - Full cycle of processes to validate specifications
- Adaptable OMA processes
  - Specification development based on iterative processes
  - Build on incoming fora's best practices
  - Processes will evolve based on "lessons learned" in each iteration
  - Processes become a guideline, and not a rule or barrier to rapid development
- Support staged integration of new fora
  - Minimise remodelling of existing fora's processes
  - Permit free exchange of information from incoming fora before dividing across technical work groups
- Technical Plenary has overall management of the OMA technical work program
  - Program management
  - Charters new working groups, and re-charters existing working groups
  - Approves work items and specifications
  - Resolves cross working group disputes
  - Owns technical processes
  - Delegates some non technical functions to support groups
  - Minimises procedural overhead in plenary decision making
- Low overhead in organisation
  - Minimise administrative headcount
  - Utilise expertise of members
- Effective positioning in industry
  - OMA work complements work of other bodies
  - Create efficient liaison mechanisms
  - Develop industry commitment to OMA goals

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6. OMA Organisational Structure

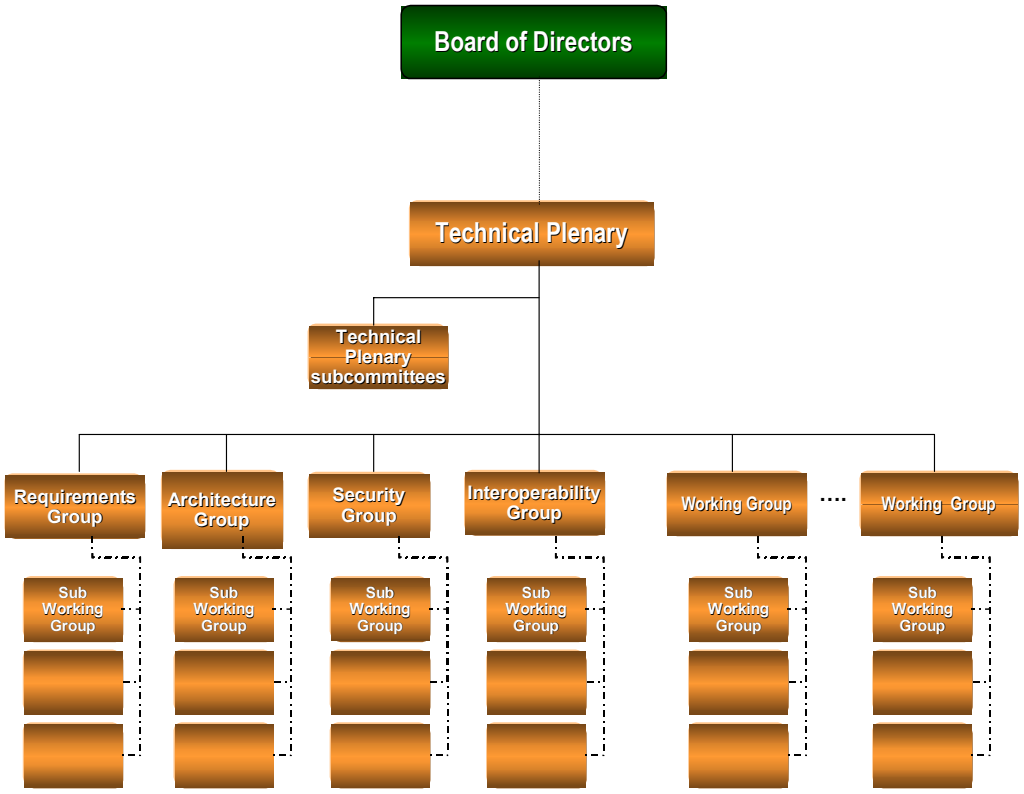

Figure 1: OMA Organisational Structure

6.1 Technical Plenary

The Technical Plenary is a chartered standing committee of the Board of Directors, and is delegated by the Board of Directors with responsibility for technical specification drafting activities, approval and maintenance of technical specifications, and resolution of technical issues.

The charter of the Technical Plenary MAY be found at [OMATP].

6.2 Virtual and Physical Technical Plenaries

The Technical Plenary SHALL execute its responsibilities as efficiently as possible (i.e. avoid unnecessary delays in reaching agreement, reduce the need for travel, enable full member participation in Technical Plenary discussion, pre-process Technical Plenary work etc.), and use electronic means to perform its work.

To this end, as much work as possible SHALL be performed electronically, and attempt to reach consensus on issues. Where consensus has been reached electronically, it is not necessary to re-discuss the agreed issues in a physical face to face meeting.

An electronic meeting of the Technical Plenary is called a Virtual Technical Plenary, and a face to face meeting is called a Physical Technical Plenary.

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6.2.1 Virtual Technical Plenary

The electronic execution of the Technical Plenary's responsibilities is defined as the Virtual Technical Plenary (VTP). The VTP SHALL be accomplished via electronic participation (i.e. via the Technical Plenary's webpage, email, conference calls, Net-meeting, or other agreed means).

The VTP SHALL be an electronic meeting of the Technical Plenary, and has the same officers as the Technical Plenary. The VTP shall execute the responsibilities of the Technical Plenary and endeavour to perform all duties in the VTP, and matters that cannot be resolved in the VTP SHALL be forwarded to the Physical Technical Plenary (PTP). The chair of the VTP SHALL use electronic means to execute the Technical Plenary's responsibilities.

A VTP enables a more efficient and economical meeting, allowing wider participation by all eligible members in the Technical Plenary than can be achieved in a face to face meeting.

6.2.2 Physical Technical Plenary

The PTP SHALL be the face to face meeting of the Technical Plenary. The chair of the PTP SHALL execute the Technical Plenary's responsibilities. The PTP SHALL meet as needed to address issues and communicate information when a VTP is not appropriate, impractical, or inappropriate.

6.3 Group Types

A Working Group SHALL be chartered by the Technical Plenary to carry out tasks related to one or more work items. The Technical Plenary may assign new work items to existing Working Groups or may charter a new group to carry out the work item. The Technical Plenary contains four types of group: Working Groups, Sub-Working Groups, Committees, and Birds of a Feather Group. The Working Groups, Committees and Birds of a Feather all report directly to the Technical Plenary, and the Sub-Working Groups report to the group, which spawned them.

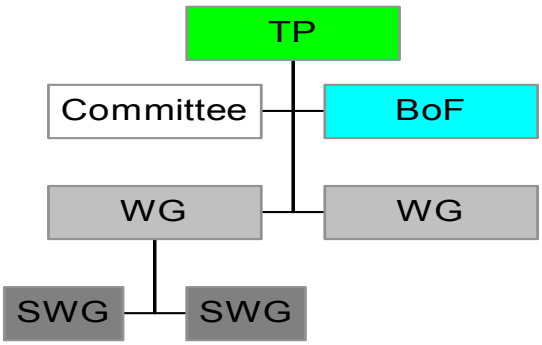

Figure 2: Model of Group Hierarchy

6.3.1 Working Groups (WG)

Working Groups are chartered by Technical Plenary to handle one or more work items. Each Working Group's charter defines the scope of the Working Group, its goals, scope, criteria for success, duration, expected types of deliverables, resource needs, coordination with other groups, meeting arrangements and who may participate. Working Groups will normally be formed around a functional domain area, e.g. protocol, requirements, security. Working Groups report directly to the Technical Plenary. Working Groups MAY produce normative or informative documents. All permanent documents produced by the Working Group MUST be approved at the Technical Plenary level. Working Groups SHALL handle liaison requests as defined in Section 10.2. Working Groups MAY create Sub-Working Groups to help solve specific topics of interest in their functional domain area.

6.3.2 Committees of Technical Plenary (TP Committees)

Committees are chartered by Technical Plenary to handle one or more tasks on behalf of the Technical Plenary. Committees MAY produce normative or informative documents, but SHALL NOT produce specifications. The work of the Committees

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is not based on Work Items. All permanent documents produced by the Committee MUST be approved at the Technical Plenary level. Committees MAY handle liaison requests as defined in Section 10.2 of the process document.

6.3.3 Sub-Working Groups (SWG)

Working Groups MAY create one or more sub-working groups to help solve specific topics of interest in their charter. In all cases, these Sub-Working Groups MUST observe the same charter, rules of conduct and due process as the parent Working Group. A Sub-Working Group MUST be formally chartered by its parent Working Group to perform a specific task. Its charter MUST be within the bounds of the parent Working Group's approved charter. A Sub-Working Group SHALL work within the scope defined by its charter, and submits all its work to its parent group for agreement. The structure and organization of Sub-Working Groups is at the discretion of the parent Working Group, as is the management of Sub-Working Group chair appointments. Sub-Working Group MAY produce normative or informative documents. All permanent documents produced by Sub-Working Group MAY be agreed by the Sub-Working Group, but MUST be passed to the parent Working Group for decision-making. Sub-Working Groups MAY process liaison requests and responses as defined in Section 10.2. Sub-Working Groups CANNOT create Sub-Working Groups under them.

6.3.4 Birds of a Feather (BoF)

To facilitate exploration of issues, OMA offers the possibility of Birds of a Feather (BoF) session, as well as the early formation of an email list for preliminary discussion.

BoF serve as a forum for a presentation or discussion with limited scope, i.e., discussion of a single idea or subject, without any intent to form a working group. The proponent of a subject MAY request to hold a BoF on that subject. The request MUST be filed with Technical Plenary before it can be scheduled. The request to hold a BoF MUST include, at a minimum, a brief synopsis of the subject to be discussed, its scope, recommended lifespan for the BoF, need for utilization of OMA resources (like mailing lists, conf. call lines, meeting room usage), and outputs to be produced. The proponent who requests the BoF MAY be asked to serve as convener of the BoF. The Convener of the BoF is also responsible for providing a report on the outcome of the BoF. Usually the outcome of a BoF will be one of the following:

- There was enough interest and focus on the subject; therefore, the BoF MAY make a recommendation to further work on the subject by creating WIs.
- The discussion came to a fruitful conclusion, with results to be written down and published as an informative document / report, however there is no need to proceed with the BoF further or
- There was not enough interest on the subject; therefore, the BoF MAY recommend its own closure.

BoFs are NOT chartered. An outcome of the BoF MUST be documented as an informational report under Technical Plenary. Such an informational report MAY be approved as an informative document and actions resulting from the report SHOULD be proposed for decision-making in the Technical Plenary by the BoF. BoFs SHALL NOT produce normative documents. The approval of such informative report is merely for archival purposes. However, the actions requesting specific decisions from Technical Plenary MUST be raised to Technical Plenary for decision-making. Such actions MAY be proposed as WIs or Input Documents to the Technical Plenary. BoFs CANNOT process liaison requests and responses as defined in Section 10.2.

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6.3.5 Rules of Engagement Summarized

	WG	SWG	TP Committees	BoFs
Terse Definition	Handles a functional Domain Area in OMA	Handles a clear defined work area under the WG's Functional Domain Area	Assists TP in specific tasks	A group of members to explore a specific area of interest inside OMA
Reports to	TP	WG	TP	TP
Charter	YES; Approved at TP	YES; Approved at WG	YES; Approved at TP	NO
Lifespan	As indicated in the charter	As indicated in the charter	As indicated in the charter	Specific start date and end result/date at the time of creation
Officers	Chair / Vice Chair(s); Election to be conducted by the TP	Chair / Vice Chair(s); Election to be conducted by the WG	Chair / Vice Chair(s); Election to be conducted by the TP	Convener assigned by TP
Documents	MAY create normative or informative documents	MAY create normative or informative documents	MAY create normative or informative documents (no specifications)	SHALL create informative documents only
External Liaison	Yes; Bound by liaison process	Yes; Bound by liaison process via its parent WG	Yes; Bound by liaison process	No
Group Type	Formal Group	Formal Group	Formal Group	Informal Group

Table 1: Responsibilities of Groups in Technical Plenary

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7. Additional Procedures

In addition to the procedures identified in this document, any group MAY adopt and use additional procedures as it MAY decide are useful, on condition that they SHALL be consistent and inline with the procedures in this document.

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8. Meetings

8.1 Meeting Notice Period

Meeting notices SHALL be posted on the group's web page in advance, and SHALL additionally be communicated to the OMA membership.

The meeting notice SHALL identify the date, time, location, period, purpose and SHALL be accompanied by the initial draft agenda of the meeting.

The following minimum advance notice SHALL be given for meetings:-

	Meetings taking place at a specified location (i.e. face to face meetings),	**Electronic meetings which do not meet face to face** (e.g. WebEx, email, conference calls, Net-meetings etc.)
Advance Notice Period (i.e. alerting members to the existence of a meeting)	30 days	14 days
Meeting Notice Period (i.e. availability of an official Meeting Notice)	30 days	7 days

Table 2: Meeting Notice Periods

8.1.1 Rescheduled Meeting Notice

In the event of having to modify a meeting notice for

- a Technical Plenary meeting
- a Working Group or Committee meeting as part of an overall Technical Plenary meeting
- a stand-alone Working Group or Committee meeting

for an exceptional reason (e.g. rescheduled, cancelled etc.), the original meeting notice SHALL still be considered as providing the required minimum notice period for the purposes of holding a rescheduled meeting, subject to the rescheduled meeting taking place no sooner than the originally planned meeting.

Should a change of venue be made for the rescheduled meeting, due diligence SHALL be made in selecting a venue that is generally accessible to OMA members and does not present a time barrier for travel (e.g. time to obtain a visa) that may not be met within the new announcement interval.

A modified meeting notice SHALL be issued no less than 10 days before the meeting.

8.2 Participation in Meetings and Votes

Participation in meetings and voting SHALL be open to all OMA members subject to their Membership Rights.

8.3 Joint Meetings

Joint Meetings may be called where there is a need for discussion between regular participants of different groups and may involve any number of groups at any level of OMA. Any decisions made in joint meetings are provisional and have to be ratified by the participating groups subsequently at their own meetings.

A regular meeting may be converted into a joint meeting without the need for an additional Meeting Notice Period (see 8.1), however the Meeting Notice shall be communicated via all the involved groups' mailing lists in advance of the joint meeting.

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8.4 IPR Calls in Meetings

OMA meetings, whether face-to-face or via electronic means, SHALL have an IPR call and shall note any disclosures made at the time. These IPR calls permit participants in a meeting to be aware of IPR that may be discussed.

The IPR call in a meeting does not remove the obligation for member companies to formally disclose their IPR. More details on the IPR disclosure policy is documented in the OMA IPR Procedural Guidelines [OMAIPR] document. All OMA members are contractually bound to the IPR policy under terms of the Membership Application and these IPR Guidelines must be followed by members.

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9. Officers

9.1 Responsibilities of Officers

9.1.1 Responsibilities of the Chair

The chair SHALL be responsible for the overall management of the work within the group. The chair SHALL have overall responsibility to ensure that the activities of the group follow the OMA working procedures.

The chair MAY delegate tasks to the vice-chair(s). In performing tasks, the chair SHALL maintain strict impartiality and act in the interest of OMA.

9.1.2 Responsibilities of the Vice-Chair

The vice-chair SHALL support the chair of the group in executing the overall management of the work within the group.

The vice-chair MAY be delegated with tasks by the chair, including chairing the group as and when necessary. In performing tasks, the vice chair SHALL maintain strict impartiality and act in the interest of OMA.

9.2 Election and Dismissal of Officers

9.2.1 Notification Periods

Appropriate notice SHALL be issued in advance for all officer elections and removals.

A Notice Period of at least 14 days SHALL be given for all elections and removal of officers. A Notice Period is the time during which a candidate for an officer position MAY announce his/her candidature for an office position which has been announced.

After the close of the Notice Period, a 7 day Consultation Period SHALL take place before the start of the election. A Consultation Period is the time between the end of candidature nomination, and the start of the actual voting, allowing members to consider the candidates that have been nominated.

The election of chairs and vice-chairs for a group SHALL NOT be conducted concurrently, i.e., no overlapping of election of chairs and vice-chairs for a single group. It is recommended that the groups under TP coordinate the cadencing (i.e., a periodic frequency) for elections. It is strongly RECOMMENDED that groups under TP synchronize the cadence of any such elections (e.g. all elections for WG chairs, vice-chairs and sub-working group chairs, vice-chairs will be held twice a year, one during March and the other during October, etc.) to ensure transparency and visibility to group members. If the officer positions become vacant and/or not filled between the cadence periods, it is RECOMMENDED that the parent group appoint an interim officer.

9.2.2 Elections of Officers

9.2.2.1 Types and Numbers of Officers

9.2.2.1.1 Formal Groups

A chair, and as many vice chair(s) as needed, SHALL be elected by the members.

Candidates for the offices of chair or vice-chair SHALL be elected on the basis of their suitability and capability for the office, and not for the member they are employed by. Once elected, the chair or vice-chairs SHALL perform his/her duties of office to the best of his/her abilities.

An interim chair SHALL be appointed for the first meeting of a group by the parent group, and the interim vice chairs SHALL be appointed by the group itself. The initial election for the chair and vice-chairs SHALL take place within the first two meetings of the group, and SHOULD take place at the group's first meeting unless otherwise agreed.

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9.2.2.1.2 Informal Groups

For any short-lived informal groups (e.g. BoFs) which MAY be created by a group, a convener SHALL be recognised by the convening group. A formal nomination or election process is not REQUIRED for such ad hoc groups.

9.2.2.2 Member Ability to Vote

The chair and vice-chair(s) SHALL be elected by the members subject to their Membership Rights.

9.2.2.3 Ballot Process

A candidate for chair or vice-chair election SHALL provide a letter of support from the member that he/she is employed by. The letter of support from the candidate's member SHALL state patronage for the candidate's nomination, and identify that the candidate SHALL allocate the necessary time and resources to properly execute the officer position.

In the case where there is only a single candidate nominated a ballot is not necessary. The parent group chair SHALL simply declare the candidate as the winner.

In the case where there are multiple candidates for chair, a secret ballot SHALL be used. If no candidate has obtained 67% or more of the votes cast to be elected, a further ballot SHALL be held, in which the candidate with the highest vote is elected. Abstentions or failure to submit a vote SHALL not be included in determining the number of votes cast.

In the case where there are multiple candidates for vice-chair, a secret ballot SHALL be used. The candidates with the highest number of votes SHALL be elected for the available vice-chair positions.

The parent group chair SHALL be responsible for the voting process and SHALL ensure that confidentiality is maintained, except for the initial Technical Plenary Chair. In this election, the interim Technical Plenary chair, or appointed member of the Board of Directors, SHALL oversee the election.

The Technical Plenary chair and vice-chairs election results SHALL be notified to the Board of Directors, which ratifies the election results. For all other groups the parent group SHALL be notified, which ratifies the election results, and the Board of Directors SHALL be informed.

9.2.2.3.1 Resolution of Ties During Voting

If there is a tie in votes during the voting process, the parent group SHALL announce the tie in results and provide a 7 day consultation period. During the consultation period candidates can reconsider their positions and MAY re-announce their intentions to run for the office. At the end of the consultation period, the parent group SHALL hold a ballot process, in which the candidate with the highest vote is elected. If the tie persists, this step SHALL be repeated till the tie is resolved.

9.2.2.4 Term of Office

The chair and vice-chair(s) SHALL be appointed for a two year term of office. Regular elections SHALL be held every two years, or when the office becomes vacant, whichever is the sooner. The chair and vice-chair(s) MAY be appointed for consecutive terms.

9.2.2.5 Change in an Elected Officer's Employer

If the officer (either a chair or vice-chair) has any change in his/her employment, the following process SHALL be followed:

9.2.2.5.1 Company Mergers and Acquisitions

Where a member company acquires another company and there is no change to the OMA membership, i.e. member company, membership level, category etc., the officer SHALL notify the OMA, i.e. through the chair, and any vice-chairs, of the parent group, of the change stating clearly the situation, detailing any change in the level of commitment available and provide a new letter of support from the employer, The OMA SHALL duly note the change to the officer's circumstances and notify the working group. The OMA SHALL ascertain through the working group whether this level of commitment is acceptable and act accordingly, i.e. determine if this level of commitment is acceptable or if the workload can be rebalanced between the officers or the appointment of additional vice-chairs or failing that request the officer to resign based on an inability to commit the required resources.

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Where a member company merges with or is acquired by another company and there is a change to the OMA membership, i.e. member company, membership level, category, etc., the officer shall notify the OMA of the change and resign forthwith. The OMA SHALL duly note the change to the officer's circumstances and notify the working group and start the nomination process for re-election. The OMA SHALL ensure the working group has interim leadership by utilising any existing officers in the working group and where the resigning officer is the chair seek to appoint an interim chair from the vice-chair(s) or in the event there were no vice chairs appoint an interim chair after considering the working groups opinion as to a candidate.

9.2.2.5.2 Change of Employer

Where an officer has a job change resulting in a change of employer or in the case of the officer being a representative of a member by virtue of being contracted to that member and the change being a change of contract owner, the officer SHALL notify the OMA, i.e. through the chair, and any vice-chairs, of the parent group, of the change and resign forthwith. The OMA SHALL duly note the change to the officer's circumstances and notify the working group and start the nomination process for re-election. The OMA SHALL ensure the working group has interim leadership by utilising any existing officers in the working group. Where the resigning officer is the chair the officer MAY continue as an interim chair subject to agreement of the group.

9.2.3 Removal of Officers

A secret ballot SHALL be taken for the proposal to remove a chair or vice-chair because of a failure to effectively perform their duties, if requested by 30% of the members. 67% or more of the votes cast are REQUIRED to recommend removal.

The parent group SHALL, subject to due diligence, remove a chair or vice-chair on the recommendation of the group.

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10.Liaison

OMA is not alone in its role of establishing standards for the mobile industry. There are other organizations that perform similar activities. In addition, there are organizations that would like to influence OMA or get information regarding OMA activities. As a result, OMA will need to engage in a variety of forms of communication with external organizations. Liaison documents will be used to provide various forms of information exchange with other organizations.

10.1 Liaison Relationships

Due to the nature of relationships with external organizations and the legal obligations that MAY be created, the OMA Technical Plenary will be bound to the terms of the Cooperation Agreement established by the OMA Board of Directors. These relate to process, in a general nature, as well as specific restrictions as they pertain to any certain organization.

10.1.1 Information on Established Relationships

To facilitate the awareness of status regarding relationships that will exist between OMA and other organizations, the Technical Plenary will maintain information regarding all active relationships. The Technical Plenary SHALL assign a Liaison coordinator to manage all general liaison activity in the Technical Plenary.

This information regarding liaison relationship SHALL be available at an appropriate web location. The information contained for each relationship SHOULD include:

- Organization or part thereof
- Liaison Contact (e.g. Assigned Liaison Person(s) w/email addresses)
- Description of Scope or Limitations to be followed with Communication with the Organization. This would outline the limits on the types of material (e.g. Drafts, Roadmaps, Work Items) that could be communicated by OMA groups.
- List of Sent and Received Liaison Documents (showing the sending and recipient entities and date)

The Technical Plenary will maintain this information. The Technical Plenary will work closely with the Board of Directors, or their assigned delegate, to make sure the information stays current. Any meaningful change to the information will be communicated to the Technical Plenary as required.

10.1.2 Request to Create or Modify a Relationship with an External Organisation

The Technical Plenary MAY accept requests from a Working Groups or Committees for any new or modified relationships with external organizations. If the Technical Plenary approves such requests (general approval process), the Technical Plenary will work with the Board of Directors, or their delegate, to work to establish the desired relationship. It SHOULD be understood that this undertaking MAY take some time due to the potential legal (e.g. IPR policies, NDAs) and organizational issues (e.g. meeting schedules) inherit in such relationships. It is therefore expected that Working Groups will anticipate such delays and prepare their requests for such relationships in a timely fashion.

It MAY be possible for an Input Paper or inbound Liaison Document to be presented that would request consideration of a relationship. Such an input SHOULD be directed to an appropriate Working Group or Committee that MAY then develop the appropriate request for presentation to Technical Plenary.

Working Groups are REQUIRED to utilize the appropriate templates to provide the needed information for the Liaison Relationship Request. The Requests from the Working Groups for consideration of new or modified relationships SHOULD contain the following information:

- Name of the External Organisation
- Contact information (including URL)
- Proposed scope of the relationship

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- Proposed point-of-contact
- Nature of the material expected to be communicated with the external organization
- Justification for establishing the relationship
  - Benefits to be realized by the relationship
  - Consequences or Impacts if such an agreement is not established

The Technical Plenary will record the approved requests for Liaison while the work is underway to establish the relationship. Events related to the establishment efforts will similarly be recorded so that all members MAY be aware of the status of the activity.

10.1.3 Response to Request for Liaison Relationship

When the work related to establishing a relationship with an External Organizations is completed, a report will be presented to the Technical Plenary to notify it of the results of the activity. The report SHOULD include any relevant conditions or terms pertaining to the established relationship. This would include information needed for proper execution of communications to be covered by the Liaison, such as scope, IPR restrictions (potentially placing further restrictions on the information that can be exchanged) and expiration.

The notification report will also be REQUIRED if a relationship is not developed and the efforts to do so complete. In this case the notification SHOULD indicate key difficulties or conditions that were unacceptable. These SHOULD be considered in any future attempts to establish a relationship.

Upon receipt of the notification, the appropriate updating of Liaison Relationship status will occur (e.g. Liaison Relationship lists, Request to Establish Relationship status info).

10.2 Communicating and Recording of Liaison Documents

Where there is an established relationship with an external organization, Liaison Documents, which conform to the content scope for the relationship, will be communicated between OMA and the External Organization on an as-needed basis. In addition, such documents will be recorded and made available in an appropriate Liaison area of the OMA web site.

10.2.1 Liaison Contacts

Each Liaison relationship SHOULD have an assigned point of contact, or Liaison Contact, who will be responsible for the maintenance of the relationship. In general, the other side of the relationship will have a similar point of contact. The Liaison Contacts will help with issues related to routing as well as monitor activities to make sure groups are properly responding to incoming Liaison Documents.

The Liaison Contact will assist in the delivery of incoming Liaison Documents when they are received without specific delivery instructions. This MAY mean routing to one or more Working Groups that MAY be impacted or able to respond. The Liaison Contact will also assist in setting the primary responder in cases where the response will include material from more than one Working Group.

The actual transmission of Liaison Documents SHOULD be performed by designated Liaison Contacts, where established. Lacking such a point of contact, the Liaison Coordinator will assist with the transmission activities by the chair (or designee) with an approved Liaison Document to be sent. In all cases, it will be the responsibility of the acting Liaison Contacts to submit the Liaison Documents for recording on the web site and submission to the appropriate email reflector.

10.2.2 Approving a Liaison Document

Within the known scope of an existing liaison relationship with an External Organisation, the Technical Plenary MAY approve communication of Liaison Documents to External Organizations. Such approval MAY be achieved by:

- Work Groups being empowered with all or part of the scope of a relationship (e.g. MMS scope MAY be assigned to MMS group) and then approving the Liaison Documents themselves. Working Groups SHALL obtain such empowerment by informing the Technical Plenary leadership of its requirements, and such empowerment being

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posted on the OMA website, Such delegation permits Work Groups to engage the liaison activities within the scope assigned by the Technical Plenary. If the Liaison Document goes beyond the scope assigned to a Working Group, either the Liaison Document approval or scope expansion SHALL be sought from the Technical Plenary.

  - Work Groups MAY further delegate to Sub-WGs the preparation and handling of Liaison Documents but the approval SHALL be handled at the Working Group level.

- When not empowered to communicate directly with the external organization, Working Groups will present Liaison Documents to Technical Plenary for approval using the normal approval process.

Working Groups SHALL periodically inform the Technical Plenary of liaisons with external fora for which they have been empowered to liaise with.

The approval achieved SHOULD be noted when the Liaison Document is recorded.

10.2.3 Sending a Liaison Document to an External Organisation

The Technical Plenary or Working Group SHALL send approved Liaison Documents to any External Organisation which are within the appropriate scope. All such Liaison Documents will be recorded and made available on the OMA web site.

Where Liaison Documents are outside the scope of an existing relationship, special considerations will be accorded based on handling defined in section 10.3.

10.2.4 Receiving a Liaison Document from an External Organization

Liaison Documents from External Organization which OMA has a relationship MAY be received by a variety of methods. The preferred method is via delivery to the assigned Liaison Contact (or Liaison coordinator for unassigned relationships) for the associated External Organization. The Liaison Contact will record such receipt, both internally with the Liaison web page and the Liaison email list (if such was not used for the submission) as well as an acknowledgement to the sending organization.

For communications from External Organizations that do not have a relationship with OMA, such Liaison Documents SHOULD be treated as a general Input Document from non-member entities so that issues related to embedded IPR can be handled in a safe manner. Working groups SHOULD forward any such Liaisons to the appropriate Mail List and be careful in consideration of any information that MAY have been submitted.

Upon receipt, the Liaison Contact is expected to record the incoming Liaison Document and notify the relevant parties directly such that the appropriate groups can consider the material (see 10.2.5).

As Liaison Documents are being sent by External Organizations, it is very possible that they will be directed to the wrong parties. As a result, it will be the responsibility of the Liaison coordinator or the assigned Liaison Contact to collect these errant Liaison Documents and to properly record and direct them within the OMA organization. The Liaison Contacts SHOULD attempt to work with the External Organization on the proper distribution method to be utilized.

10.2.5 Handling of Liaison

Each group SHOULD assign a Liaison group contact for each liaison relationship it actively uses.

Following the receipt of a liaison document from an external organisation (see 10.2.4) to the Liaison group contact, the receiving group SHALL consider the material and determine the necessary actions for OMA and, where required, the response to the organisation that submitted the liaison.

Where the initial receiving group is unable to provide a response due to issues of scope or where another OMA group is more appropriate to address some or all of the liaison the liaison SHALL be transferred to the Liaison group contact of the other OMA group.

Where the received liaison addresses issues spanning more than one OMA group the OMA groups SHALL provide the responses to the relevant portions of the received liaison. The groups MAY provide a single consolidated response or separate responses, but the groups SHALL cooperate to ensure all aspects are covered in the response(s) sent.

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The response(s) to the organisation SHALL address all the points requested and SHALL be in accordance with the terms of the liaison agreement (see 10.1.3, 10.2.3, 10.2.2 or 10.3). Where these two objectives are in conflict providing a response in accordance with the terms of the liaison agreement SHALL take precedence.

10.3 Handling Communications Beyond Scope of Relationship

There MAY be a desire to send communications to External Organizations with which OMA does not have a relationship, or which goes outside the scope of an existing relationship. Similarly, OMA MAY receive information from an External Organization where there is no relationship. In these cases, exceptional consideration is required.

10.3.1 Sending Information

Requests to send such information MUST be presented to the Technical Plenary for consideration. If approved, the Technical Plenary will work with the appropriate parties (e.g. Board of Directors) to determine if the desired information will be permitted or whether reduced information exchange is appropriate.

When sent, the information SHOULD include clear information related to the IPR status of the material. Appropriate copyright notices and references SHOULD be used, where appropriate, to preserve the rights of OMA and its member companies.

10.3.2 Receiving Information

OMA is not expected to block Liaison Documents or other Input Documents sent by other organizations. Therefore, there is a possibility that IPR MAY be submitted. To provide as much information as possible, the following MUST be done in response to such unsolicited communications:

- An acknowledgement SHALL be sent to the source of the material. If the material did not disclose the IPR status of the material, the acknowledgement will solicit such disclosure.
- A follow-up notice SHALL be sent to OMA members to inform them of the IPR status. This will include any updates received in response to the solicitation above. The notice will be used to remind members that
- The liaison archive will record the source material as well as any subsequent communications related to IPR status.

10.3.3 Recording Information

In all such cases, all transmitted Liaison Documents and received inputs will be recorded and made available on the OMA web site. Appropriate information regarding the nature of possible IPR SHOULD also be noted.

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11.Technical Decision Making

Based on the OMA objective of being open, the decision making process in Technical Plenary is intended to be as inclusive as possible. The primary goal is for consensus to be achieved as a means by members to agree work. In those cases where consensus is not possible, voting MAY be used to make a decision.

Regardless of which method is used it is important to ensure adequate time for members to determine their positions on issues. Thus each group SHALL establish their own appropriate cadencing (i.e. a periodic frequency) for such decision making. The general rule is that decision making, whether by consensus or voting, is that groups will give notice of the intention to hold a decision on an issue; this notice being at a the preceding meeting to that of the intended decision where regular meetings are held, e.g. groups holding weekly or bi-weekly meetings, or following the normal announcement criteria for meetings where such regular meetings are not held.

It is strongly RECOMMENDED that each group clearly identifies the cadence of any decision making (e.g. subsequent to meetings, fixed period each month etc.) to ensure transparency and visibility to group members.

11.1 Consensus

Groups SHALL endeavour to reach consensus (see 0) on all issues, including decisions on technical specifications. Informal methods of reaching consensus are encouraged (e.g. a show of hands).

Where there are objections to a proposal from a small number of companies the objections SHOULD be minuted and the objecting delegates SHOULD be polled to determine if they agree to proceed having recorded their position. If such agreements are secured, then there is consensus for approving the proposal. If such agreements are not secured, then the proposal is not agreed and further action MAY be taken to either develop consensus or proceed to vote.

Members are discouraged from sustaining their objections when they are in a small minority and when it is clear that they would be overruled by a vote were one to take place.

Consensus SHALL be sought in all forms of meetings, whether they are held in a physical location (i.e. face to face meeting) or electronically (whether in real time or non real time).

11.1.1 Consensus in Physical or Real-Time Meetings

In meetings where delegates are directly participating (e.g. Face-to-Face or Teleconference), consensus can be determined by receiving no sustained objections to a proposal. Efforts to immediately resolve or record objections can be taken to attempt to achieve consensus.

In face-to-face meetings, where attendance is sparse when viewed from normal participation levels, important or potentially controversial proposals SHOULD be made available to the broader membership through consensus approaches aimed at non-real-time participation. The chair is responsible for ensuring such opportunity for participation in the decision making process. Such sparsely attended meetings SHOULD NOT be used to drive through proposals that would not have broad support.

Similarly, if a proposal is made which does not permit proper time for review or preparation, the use of non-real-time consensus approach SHOULD be utilized.

11.1.2 Consensus in Non-Real-Time Activities

When it is not possible to take up a proposal in a meeting, or such meeting does not have sufficient participation, consensus SHOULD be developed by presenting the proposal to the group via electronic means (e.g. mailing list) for review and comment. This proposal would be available for a period of seven (7) days. The chair SHOULD take into account other circumstances (such as public holidays, planned meetings, system availability or active discussion) to ensure that sufficient time is available for review and comment, and MAY extend the review and comment period beyond the seven days if appropriate. During the review and comment period, group participants SHOULD utilize electronic methods to present their views, whether in support or dissent, with any general comments. It is expected that delegates will look for solutions to resolve points of dissent raised during this review and comment period. A moderator MAY be assigned to perform this task. Any changes that result from such resolution would invoke a new review period, if needed.

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Note that the review and comment period MAY follow a physical meeting where a proposal was presented for consideration and was moved to the non-real-time approach to permit delegates sufficient time to review the proposal.

Similarly, such review and comment periods MAY precede a physical meeting to permit delegates who MAY not be participating in the physical meeting to contribute to the discussion of the proposal. This would permit the group to handle the proposal at the physical meeting.

At the end of the comment and review period, the set of responses SHOULD be considered in setting the subsequent course of action. If the responses were positive, with no objections raised, the proposal can be viewed as having been agreed by consensus. If few objections were raised, efforts SHOULD be considered to resolve or record the objections and achieve consensus.

If there were objections that cannot be resolved and consensus is not possible, then the proposal MAY need further handling. If there were considerable dissent, one possibility would be for the proposal to be withdrawn to be re-worked or discarded. In other cases, the proposal MAY be moved to a vote.

Updates to a proposal to accommodate changes, whether to address points of dissent to or to take other editorial material, SHOULD be provided to the delegates in a 'final' form with time to provide sufficient comment and review. If the nature of the changes is minor, such additional comment and review period could be at a reduced period of no less than three (3) business days. In exceptional cases a comment and review period of less than seven days may be called. This SHOULD NOT be the normal case and SHOULD be reserved for cases that are expected to be non-controversial and require a special urgency.

11.2 Voting if Consensus Cannot be Achieved

If consensus cannot be achieved, the chair MAY decide to take a vote. The vote MAY exceptionally be performed by a secret ballot if decided by the group. A vote MAY be conducted during a meeting or electronically.

Voting activities, which do not occur at a real-time meeting, SHALL permit delegates a period of seven (7) days to place their vote. This seven-day period will commence once the proposal has been made available on the voting system. Proposals may be withdrawn before the end of the voting period. Proposals that are withdrawn and modified and resubmitted to the voting system will start a new seven day voting period.

Votes taken by the Working Group SHALL be the recommendation of the Working Group to the Technical Plenary. Working Group votes SHALL be non-binding until ratified by the Technical Plenary.

A proposal shall be deemed to be approved if 67% of the votes cast are in favour. Abstentions or failure to submit a vote SHALL not be included in determining the number of votes cast.

11.2.1 Appeal on Non-Technical Objections

Technical Plenary votes SHALL be binding and final. Companies that have issue with the policy, process, method, and procedures followed for the vote may raise an objection to the Board of Directors regarding possible failure by the Technical Plenary to follow proper process. Objections of a technical nature SHALL not be objected to the Board of Directors. If the Board agrees to the appeal, it SHALL request the group to:

- reconsider the matter
- in the event the original decision was incorrect, make a revised proposal to the group
- approve the original decision according to process

11.2.2 Phrasing of Voting Questions

It is the responsibility of the chair to ensure that questions to be voted upon SHALL be phrased in a concise and unambiguous manner allowing a yes/no vote, with 67% of the votes cast REQUIRED to approve the question. Abstentions or failure to submit a vote SHALL not be included in determining the number of votes cast. Questions SHOULD NOT be phrased as the "The group SHALL not do xyz". Examples of appropriate questions are:-

- SHALL the group approve the Specification?

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- SHALL the liaison be approved?
- SHALL the new Work Item be approved?
- SHALL the existing Work Item be stopped?

If the issue is to choose option A or B, the question SHOULD be split into two questions, with the chair selecting the order. First,

- SHALL the group take option A as the way forward?

If this question fails the second question

- SHALL the Technical Plenary take option B as the way forward?

Is voted on.

11.3 Electronic Working

Groups SHALL use electronic means to execute their responsibilities as widely as possible, and to reduce the necessity for physical meetings to the minimum.

Groups SHALL use a web page for the dissemination of information. The web page SHALL link all meeting documents, meeting calendars, document "chat" discussions, meeting reports, sending of liaison statements etc., and be available to all members. Limits related to specific information availability may be addressed by the Membership Rights.

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11.4 Voting on Technical Issues

The following procedures SHALL apply for voting:

Procedure	During a meeting	Non-realtime
Before voting, a clear definition of the issues SHALL be provided by the chair	applicable	applicable
Member companies, who are eligible to vote, SHALL only be entitled to one vote each	applicable	applicable
Each member company MAY cast its vote as often as it wishes, and the last vote it casts is the one that counts	applicable	applicable
If a member company has more than one representative present, only one representative SHALL be able to vote	applicable	applicable
Voting MAY be performed electronically, in which case support SHALL be provided for those members unable to use electronic means. For meetings physically located, voting MAY also be performed by a call for members to vote by raising their hands and announcing their vote verbally one by one, or paper ballots	applicable	applicable
The result of the vote SHALL be recorded in the meeting report	applicable	applicable
Working Groups MAY use voting in an attempt to reach consensus on specific issues, however the results of the vote SHALL not be binding on the Working Group unless ratified by the Technical Plenary. If the Working Group is still unable to reach consensus, then a formal vote MAY be taken, and the Working Group voting results SHALL be presented to the Technical Plenary with a complete description of the issues and why the vote was taken. The Technical Plenary SHALL then decide to either ratify the vote, open the discussion within the Technical Plenary, or direct the Working Group to continue to work the issue.	applicable	applicable
Each member's electronic vote SHALL be electronically acknowledged to confirm participation in the vote	not applicable	applicable
The voting period for proposals voted in non-real-time SHALL be seven (7) days	not applicable	applicable

Table 3: Voting Procedures

Eligibility information is noted in Membership Rights.

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12.Document Procedures

12.1 Document Identification

Two different types of document identification are addressed in this section. Permanent document numbers (e.g. specifications and reports), and internal document numbers (e.g. used to identify documents submitted to a particular meeting).

These two different types of document numbers are subsequently defined.

12.1.1 Permanent Document Numbering

An OMA permanent document is a specification, report etc. which may potentially be publicly available.

The identification of a specification, report or any other permanent OMA document SHALL be in the following manner:-

"OMA-" {<affiliate> "-"} <functional area> "-" <version> "-" <date> "-" <state>

where

Field	Use, Format and Remarks	Examples
<affiliate>	This field MAY be provided to indicate the affiliate organisation that produced the spec. The future usage of affiliate names requires further consideration, and it is desirable that any new work initiated in OMA does not have the affiliate name in the document name.	SYNCML, LIF, WV, WAP etc.
<functional area>	This field SHALL be provided. The field provides an abbreviated name of the document function in the working group. It SHALL be a unique identification of the functional area, distinguishing between different working groups that MAY be working on the same functional area.	DLOTA-REQ, DLOTA-ARCH, WML, etc.
<version>	This field SHALL be provided. This field SHALL refer to a version of the document. See section 12.1.1.1 below	V1_0, V2_1.
<date>	This field SHALL be provided and is the date when the document was posted to the document archive.	20020620
<state>	This field SHALL be provided and indicates the state of the specification, these states being ▪ 'A' for Approved ▪ 'C' for Candidate ▪ 'D' for Draft ▪ 'E' for Expired ▪ 'O' for Obsolete ▪ 'R' for Restricted Draft (OMA Internal) Existing other states from OMA affiliates not accommodated or mappable into this list SHOULD be preserved and not reused if there is any risk of confusion.	D, A etc.

Table 4: Permanent Document Numbering

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12.1.1.1 Document Version

The version of a document SHALL be defined as in Table 5: Document Version.

In permanent document numbering the <*version*> field, see section 12.1.1 for details, SHALL represent the version of the document. The values in the <***version***> field SHALL be defined in the following manner:-

```
<version> = "V" <x> "_" <y> { "_" <z> }
```

where:

Field	Use	Remarks
<x>	Major Version Indicator	This field SHALL identify the major version of the document, as determined by the working group. This field SHALL be provided. Major versions are likely to contain major feature additions; MAY contain incompatibilities with previous document or specification revisions; and though unlikely, could change, drop, or replace standard or existing interfaces. Initial releases are "1_0".
<y>	Minor Version Indicator	Minor version of the document. This field SHALL be provided. It is incremented every time a minor change is made to the approved document version by the working group. Minor versions are likely to contain minor feature additions, be compatible with the preceding Major_Minor specification revision including existing interfaces, although it MAY provide evolving interfaces. The initial minor release for any major release is "0", i.e. 1_0
<z>	Service Indicator	Service indicator for the document. Incremented every time a change is made to the approved document version by the working group. This field is OPTIONAL, i.e. the equivalent of "_0" for initial Major_Minor releases but SHALL be provided whenever a service release of the document is made. The first service indicator release SHALL be "_1" for any Major_Minor release. Service indicators are intended to be compatible with the Major_Minor release they relate to but add bug fixes. No new functions will be added through the release of Service Indicators.

Table 5: Document Version

Successive versions of the document SHALL be sequentially enumerated, with no gaps in the document numbering. An example of such sequential numbering is the following: 1_0, 1_1, 1_1_1, 2_0, 3_0, 3_1, 3_1_1, 3_1_2, 3_2, 4_0, 4_1, etc.

Once posted, a version of a document SHALL not be replaced by another with the same name. Any posting of a revised document SHALL contain a different document number. There is no provision for specifying a "V1_1B" or "V1_1BIS", etc.

The following are examples of permanent document names using the above numbering convention:-

- OMA-DLOTA-V1_0-20020620-D
- OMA-WAP-WML-V2_0-20010620-A
- OMA-SYNCML-SYNCPROT-V1_1-20020215-A
- OMA-LIF-LOCPROT-V3_0-20020606-A
- OMA-WV-CSP-V1_0-20020230-A
- OMA-WAP-EXAMPLEFEATURE-V1_1_1-20020930-A

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12.1.2 Internal Document Numbering

An OMA internal document is any document used as input to, or output from, an OMA meeting (whether it be physical or virtual), and used to track the document within a particular meeting. OMA internal documents are internal to OMA.

The identification of any input OMA document number SHALL be in the following manner:-

"OMA-" <committee> "-" <year> "-" <document number>{"R"<revision number>} "-" <keyword description>

where

Field	Use, Format and Remarks	Examples
<committee>	This field SHALL identify the abbreviated name of the committee, consisting of the main group, and OPTIONALLY any sub group. See Table 7: Committee Names Format below. This field SHALL be provided	TP, REL, OP, REQ, REQWG1, MWSWG2 etc.
<year>	This field SHALL identify the year of the internal number. This field SHALL be provided	2002, 2003 etc.
<document number>	This field SHALL identify the sequential number of the assigned internal documents per committee and year. This field SHALL be provided. The number reverts back to 0001 for each new calendar year. The initial sequential number SHALL be 4 digits, ranging from 0001 to 9999. In the unlikely event this limit is exceeded additional digits SHALL be added to increase the range to 99999, 999999, etc.. Revisions to an internal document SHALL be made by either a) using the revision mechanism defined herein, this being the RECOMMENDED mechanism, or b) allocating a new internal document number, and a reference to included to the previous version. Numbers SHALL be maintained by the secretary of each group or an automated system.	0001, 0153 etc.
"R"	This revision indicator field is OPTIONAL but is RECOMMENDED where revisions of input documents are made. If present this indicates a revision number is being supplied as below.	
<revision number>	This revision number field is OPTIONAL but MUST be used when the revision indicator is supplied. The revision number SHALL be an integer. No specific upper limit is specified.	0001R1, 0067R2 etc.
<keyword description>	Use of this field is RECOMMENDED. This field SHALL be a text field describing the subject of document.	"Framework update" etc.

Table 6: Temporary Document Numbering

The values in the <***committee***> field SHALL be in the format <***main group***>-<***subgroup***> and SHALL be defined in the following manner:-

Field	Meaning	Format
<***main group***>	This field SHALL identify the lead group of the OMA committee. See Table 8: Lead Group Names format below	TP, REQ etc.
<***subgroup***>	Use of this field SHALL be OPTIONAL. A subgroup of the lead group MAY be identified. This field SHALL be defined by each lead group as appropriate, and the use of easily recognizable acronyms is strongly RECOMMENDED	OPS, WI, etc.

Table 7: Committee Names Format

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The standardised format of the lead group names are defined below. This list still SHALL be extended as new groups are created, including acronyms for the Working Groups.

Acronym	Group
TP	Technical Plenary
REQ	Requirements Group
ARC	Service Architecture Group
SEC	Security Group
IOP	Interoperability Group

Table 8: Lead Group Names

The following are examples of internal document numbers using the above numbering convention:-

- OMA-TP-2002-0254-FutureMeetings
- OMA-REQ-2002-0417-RomeAgenda

Filenames SHALL have industry standard file type extension, e.g.

- OMA-TP-2002-0254-FutureMeetings.doc
- OMA-REQ-2002-0417-RomeAgenda.txt

12.2 Types of Documents

12.2.1 Charters

Charters are used by the OMA Technical Plenary as the primary method for the defining and communicating the scope of work that is authorised by the Technical Plenary.

All groups, which for the purposes of clarity includes working groups and any other such groups or committees as SHALL be created, reporting to the Technical Plenary, including the Technical Plenary itself, SHALL have approved charters, charters under review by the Technical Plenary or being produced for the first time in the case of a new group created as a result of an approved activity proposal. Charters SHALL contain the responsibilities, deliverables and domain of work that the group is intending to perform.

While subgroups of working groups are not REQUIRED to have charters nor to have them reviewed and approved by the Technical Plenary, since the working group's charter SHALL have sufficient scope to cover all the work of the working group including the sub-groups, working groups are RECOMMENDED to have sub-groups define charters and follow an equivalent charter approval and maintenance process for sub-groups to ensure appropriate and unambiguous definition of the work of various activities within the working group.

Charters for all groups within the OMA Technical Plenary, i.e. the Technical Plenary itself, its working groups and committees and any such subgroups of working groups as have charters SHALL be published on their group's web pages for access by the OMA membership.

The following sections contain specific information about the Charter process within the OMA.

12.2.1.1 Chair Responsibilities

The Chair is responsible for ensuring that the group has a well-defined charter and the charter clearly covers the scope of assigned work items as approved by the Technical Plenary. A charter template can be found in the template area of the website and SHOULD be used for the generation of the charter.

The charter template contains guidance to the working group on what is expected (e.g. scope, deliverables, dependencies etc.) and what is not wanted (e.g. email addresses) to avoid spam email from the external capture of email addresses from the charters.

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12.2.1.2 Charter Submission and Approval Process

After a group has generated a charter it MUST be submitted to the Technical Plenary (via OMA-PLENARY list) for review and approval. The Technical Plenary SHALL review the charter and ensure that it meets the intended scope for the working group. After the Technical Plenary reviews the charter it will inform the group of either a) the deficiencies that need to be rectified before resubmission, or b) the approval of the charter.

Subgroups of working groups are not obliged to have a charter but it is RECOMMENDED. Any subgroup charters SHALL be reviewed and approved by the "parent" working group.

The Technical Plenary reviews and approves its own charter. The Technical Plenary SHALL provide the charter to the OMA Board of Directors for comment and SHALL consider such comments as arise.

12.2.1.3 Public Availability of Group Charters

In the interests of openness the OMA SHALL make all charters available for public viewing. This approach will enable better co-ordination with other organisations and give a better view to the general public on what the OMA is currently working toward. Charters SHOULD be given the proper amount of effort knowing that they will be available for public viewing. Once a Charter has been approved the OMA staff MAY modify it to ensure that all charters have a consistent format. The OMA staff during this process will make no content modifications to the Charter. Charters SHALL be published at http://www.openmobilealliance.org/.

Charters of subgroups are not made public.

12.2.1.4 Amending Charters

Proposals for the modification of the scope of a group's charter will follow the same submission, review and approval process as new Work Item (see Section 13.1.2.1.1). The proposal for a charter modification MUST include an OMA work item outlining the motivation for the change, and a draft charter documenting the proposed amendments. The working group MAY not begin operation under the terms of the draft charter without approval from the Technical Plenary.

A groups charter MAY be amended such that details (e.g. deliverables or goals) are elaborated or adjusted to meet the goals of a new activity within the spirit of the original working group charter. The Technical Plenary MUST approve any proposal for charter amendments if the proposed amendment reflects the spirit of the working group's original purpose.

Charters for subgroups SHALL be amended and approved similarly by the working group.

12.2.1.5 Yearly Review of Charters

Once the Technical Plenary has approved a Charter it is valid for one year. Yearly updates are REQUIRED of all Charters to ensure that they properly reflect the activities of the group. The group is responsible for ensuring that the Charters are updated and submitted prior to the expiration of the current charter. The updated Charter MUST then be submitted to the Technical Plenary and follow the processes defined in Section 11.

Charters for subgroups SHALL be reviewed and renewed by the working group using this process.

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13.Work Activities

The OMA document procedures cover the life of the document, from initial work item to the end of life of the document.

The document creation procedures for specifications are defined in section 13.1 and those for white papers are defined in section 0.

This section documents the OMA procedures for the creation of a new specification(s) or a new feature to an existing specification.

The intent of the process is to produce an environment where specifications are produced as a result of well defined requirements which are approved by the members at the Technical Plenary, resulting in well defined specifications that address all the requirements with demonstrated interoperability when finally approved.

The process is designed to be lightweight and enable significant parallelism and this is achieved by:

- ensuring the minimum number of checkpoints,
  - the process is non-gating from the approval of the requirements to the approval of the final specification apart from approval by the Technical Plenary of the work..
- clearly defining the owners of the work at the various stages,
  - The defined owner for much of the process is the technical working group allocated the work item by the Technical Plenary, this group being responsible for all aspects of its creation and managing the amount of parallelism of the work to achieve the necessary functional completeness and quality of final deliverables.
- clearly defining the groups in OMA who should the defined owner should work with and have review the work at various stages,

The process intentionally allows a number of routes for new ideas to generate work within the OMA through the work item process, namely through member submission and support, ideas produced within the OMA and its working groups and through external sources such as organisations, with or without liaison agreements, and individual contributions/suggestions.

13.1 Specification Development Procedures

13.1.1 Process Flow

13.1.1.1 Overview

This section documents the OMA procedures for the creation of a new specification, or enabler, or a new feature to an existing specification.

The process begins with suggestions and concludes with an approved new or updated specification or the abortion of the work.

The concept of an OMA Work Item (WI) is used to describe the scope of the specification or enabler during its formative stages, this being used to define the specification or enabler sufficiently to seek, and have the OMA Technical Plenary (TP) approve, it to be worked on. The WI should not be confused with the Requirements Document (RD) or the charter of a working group though all may contain some similar information; the RD containing the detailed market requirements, e.g. use cases and high level requirements, while the WI contains some general statements of requirements along with an assessment of desired dates, anticipated impacts where know and other information that can lead to a good assessment of the requested enabler or specification. A charter simply defines the scope of a working group which may be more or less than the scope of a WI. The WI is used and updated throughout the evolution of the specification or enabler for subsequent tracking purposes. The underlying principle is that specification or enabler creation activity is undertaken by the OMA TP without it being within the scope of approved WIs.

13.1.1.2 The Process Flow

The specification creation procedure is illustrated in Figure 3.

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The description of the specification creation procedure will refer to this figure and to the steps in the process indicated by the circled numbers and, on occasions, numbers inside particular stages, e.g. 1.1.

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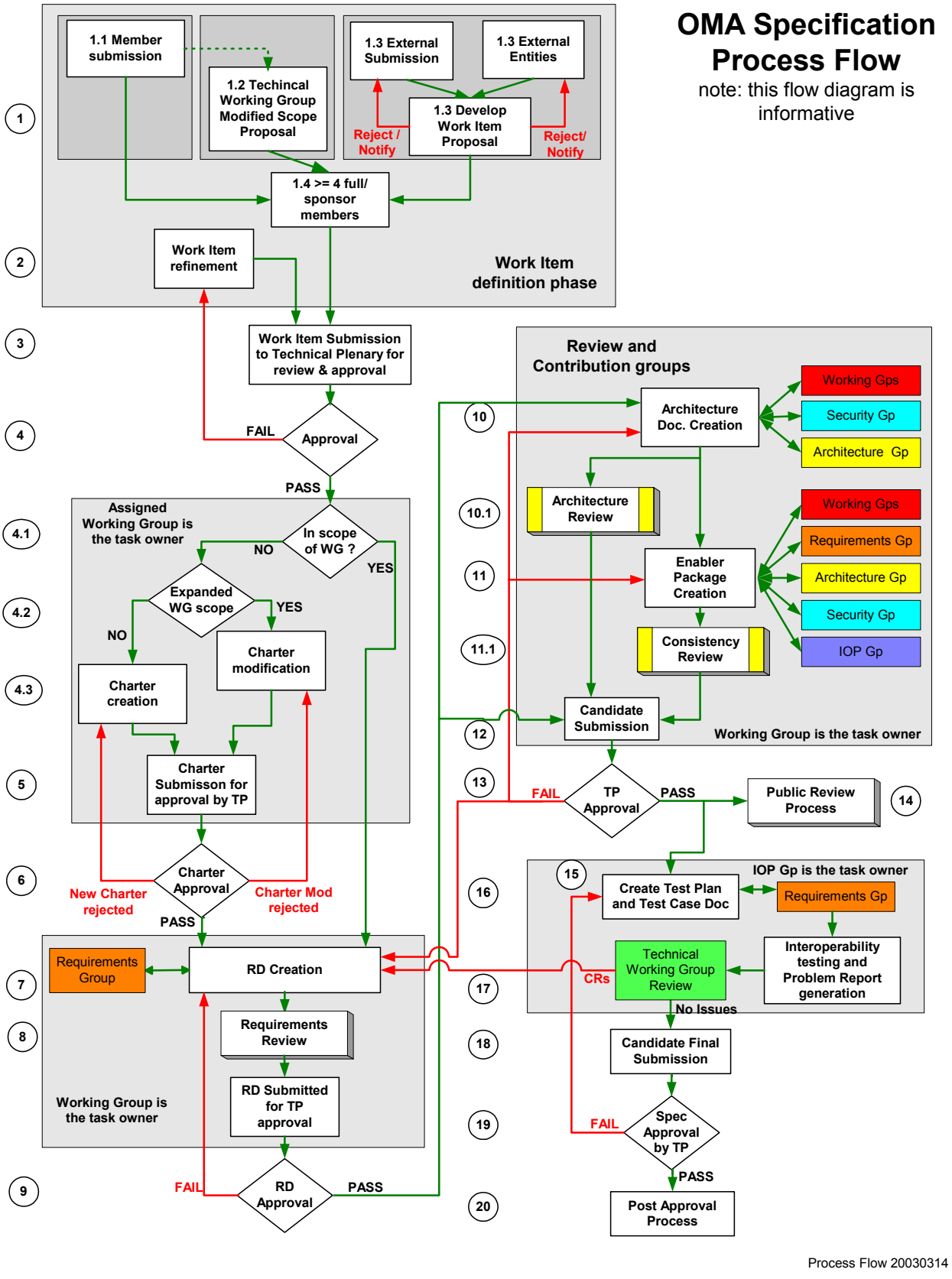

Figure 3. OMA Specification Process Flow

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13.1.2 Work Flow

13.1.2.1 Work Item

13.1.2.1.1 Stage 1. WI Creation

Work items are the means by which enablers and specifications are initiated where the enablers or specifications are wholly or partially outside the current scope of any existing work of the OMA.

Definition:

> The concept of an OMA Work Item (WI) SHALL be used to describe the scope of the specification or enabler during its formative stages, this being used to define the specification or enabler sufficiently to seek and have the OMA Technical Plenary approve it to be worked on.
>
> The WI document is a living document and SHALL be used to track the progress of the WI until its final approval. A WI document MAY cover more than one release of specifications that realise the WI.
>
> The scope of an existing WI MAY be expanded if submitted to and approved by the Technical Plenary.

Work items MAY be submitted by:

a) OMA members directly (stage 1.1 in the process flow), or

b) existing OMA working groups (stages 1.2 with member only input to the working group), or

c) through the process by which external submissions, from individuals, companies or external organisations may be accepted by OMA (stage 1.2), normally this being through the requirements group.

Work items should use the approved WI template available at the template directory of the website and bearing into consideration the notes to submitters contained therein.

Any WI being submitted for approval by the Technical Plenary SHALL be supported by a minimum of four (4) OMA full or sponsor members. The Requirements group SHOULD review external input submissions relating to WIs. Before initiating a WI, the proposers of a WI SHALL obtain a WI ID number from the WI Secretary who is appointed by Technical Plenary. An input document to any OMA WG without a WI ID SHALL NOT be accepted as a WI proposal.

The Requirements group MAY also submit WIs following Technical Plenary requests to review or refine already submitted WIs where the Technical Plenary decides approval cannot be made as submitted or with changes. However this route can only be with the concurrence of the submitter(s) of the original WI.

A proposed WI SHOULD be socialised with affected working groups, especially the requirements group, and may be further refined by the submitting entity, e.g. OMA working group, as a result of this socialisation before submission to the Technical Plenary for approval. Socialisation is not a formal review with any form of approval though the proposers of a WI MAY consider any comments made during the review and refine the WI accordingly. Any WI submitted to the TP for review and approval following socialisation SHALL list with whom the WI was discussed and any endorsements.

13.1.2.1.2 Stage 2. WI Refinement (Following Failure to Approve)

Where the TP rejects a submitted WI (see stage 3) one of the following options SHALL result:

- Decision not proceed further with the work item.
  - This may only be the decision of the original submitter(s) of the WI.
- Decision to rework the WI pending resubmission.
  - The rework or refinement of the WI may be done by the original submitter(s) of the WI or, with the original submitter(s)'s consent, by the requirements group, or by another OMA working group.

Where the Technical Plenary has made specific comments during the preceding WI approval attempt or set conditions for resubmission the rework or refinement SHALL address these issues before resubmission.

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13.1.2.1.3 Stage 3. Submission of a WI to the Technical Plenary

Following the submission to the Technical Plenary the WI shall be made available for review and approval using the OMA approval process defined in section 11.

All WIs submitted to the Technical Plenary SHALL be made easily available for members and working groups to review. The Technical Plenary leadership SHALL ensure notification is made to members of new WIs, the period of the review and the means to provide comments. Working groups SHOULD ensure awareness of WIs pertinent to their domain and provide review comments including, but not limited to, the relevance of, or priority of, the WI for OMA.

13.1.2.1.4 Stage 4. Technical Plenary Approval of WIs

The end result of the Technical Plenary review and approval SHALL be:

a) the WI is approved as submitted and assigned to a Technical Working Group, or

b) the WI is approved with changes and assigned to a Technical Working Group, or

c) the work item is not approved and returned to the creators or Requirements group for further work pending resubmission for approval (see stage 2), or

d) the work item is finally rejected.

In either of the cases where the Technical Plenary approves a WI (cases (a) and (b) above) the approved WI SHALL be delegated to a technical working group.

In the event of a resubmission of a WI that has been previously being rejected by the Technical Plenary, i.e. case (d), the Technical Plenary should first establish whether it will entertain resubmission.

13.1.2.2 Charters

Following the approval of a WI it SHALL be delegated to a Technical Working Group [TWG]. The priority of assignment is in the order outlined by stages 4.1, 4.2 and lastly 4.3 respectively.

Upon delegation there MAY be chartering activities to be undertaken by the TWG, these being covered by stages 4.1 – 4.3.

13.1.2.2.1 Stage 4.1. Assignment of a WI to a Working Group Where the WI is in Scope

If the OMA WI is within the existing scope of an existing TWG, it SHOULD be directly allocated to the working group and work commence on the requirements document (RD) (stage 7).

The working group SHOULD check the defined scope in its charter to ensure the WI is completely within its scope. The working group SHALL update the charter if the review determines an update is desired or needed.

13.1.2.2.2 Stage 4.2. Assignment to an Existing Group Where the WI Leads to a Change of Scope

If the OMA WI relates to the work of an existing working group but is not covered by the current scope of that working group it SHOULD be assigned to the working group.

The working group SHALL update its charter to reflect the change of scope caused by the allocation of the WI and resubmit its charter to the Technical Plenary for approval (stage 5). Any updates to the WI considered appropriate during the determination of scope for the charter SHALL also be submitted to the Technical Plenary for approval.

13.1.2.2.3 Stage 4.3. Assignment to a New Group

If the OMA WI does not relate to an existing group, either by virtue of the current (stage 4.1) or expanded (stage 4.2) scope, it SHALL be assigned to a new TWG.

The working group's initial task SHALL be to create a charter covering the scope of the TWG and to submit this for approval by the Technical Plenary (stage 5). Any updates to the WI considered appropriate during the determination of scope for the charter SHALL also be submitted to the Technical Plenary for approval.

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13.1.2.2.4 Stage 5. Review of Revised or New Charters for Assigned WIs

Following the submission to the Technical Plenary the charter, and any update to the WI deemed necessary, SHALL be made available for review and approval.

13.1.2.2.5 Stage 6. Approval of Revised or New Charters for Assigned WIs

The charter and any WI update SHALL be approved by the Technical Plenary unless an objection is made by a member on the substance of the charter or WI update, e.g. it is not sufficiently well defined. If there is an objection to the charter or WI the Technical Plenary SHALL work to resolve the dissenting response. The Technical Plenary MAY request the TWG reconsider aspects of the charter or WI update, or the Technical Plenary MAYrequest one or more OMA working groups for additional clarification or opinion before making the decision, or the Technical Plenary MAY resolve any objections directly and inform the TWG of the decision.

If the dissenting opinion cannot be resolved by the Technical Plenary then the Technical Plenary SHALL vote on the charter or revised work item. Appeal to the Board of Directors is available in situations where the objector believes due process has not been followed as defined in section 11.2.1.

The goal of this stage is to assure clarity and TP agreement of the scope for the group undertaking the work covered in the work item. It is not intended to unduly restrict or hinder the group nor impede the progress expected on the assigned work.

13.1.2.3 High Level Requirements Document

Following assignment of the WI and initiation of any necessary chartering activities the Requirements Document (RD) SHALL be produced and submitted to the Technical Plenary for approval.

13.1.2.3.1 Stage 7. Producing the Requirements Document and Submitting for Review and Approval by the Technical Plenary

The TWG assigned the WI SHALL be responsible for ensuring the Requirements Document (RD) is produced and maintained during the lifetime of the WI.

The TWG and Requirements group SHALL cooperate on the creation of the RD. The RD SHALL be produced by either the Requirements group or the TWG or jointly.

The RD SHALL contain sufficiently detailed market requirements for the enabler or specification to allow clear and unambiguous interpretation of the engineering and technical requirements during the creation of the candidate specification(s). The minimum content of the RD SHALL be:

- use cases; and
- high-level requirements

The documented use cases in the RD SHALL support the identified high-level requirements and be informative.

- For the avoidance of ambiguity there MAY be some use cases that do not provide explicit requirements, but which provide a more complete background for the requirements, and there MAY be requirements which do not have supporting use cases that explicitly show the requirements.

The requirements in the RD SHALL be normative and MAY show explicit traceability to the use cases.

The RD SHALL use the RD template.

A template with notes on desired content may be found in the templates area of the website.

The RD SHALL contain nothing that cannot be referred in general terms to the WI(s) from whence it is derived.

The RD SHALL state which requirements are to be implemented in the forthcoming release of the specification. Where requirements contained in the WI(s) relating to the RD are to be deferred to future releases these SHALL be clearly stated.

Completion of the RD SHALL be determined by the TWG and the Requirements group.

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13.1.2.3.2 Stage 8. Requirements Document Review

Prior to submission to the Technical Plenary the completed draft requirements document SHALL be subject to a requirements document review.

The RD review SHALL be organised by the Requirements Group. The participants of the RD review SHALL consist of representatives of the Requirements Group and the TWG but is open all members and representatives of other working groups. See section 13.1.3 for the details of the review process to be followed.

During the RD review the requirements specified in the RD SHALL be reviewed against the background of the WI and with reference to the documented use cases in the RD, bearing in mind that not all requirements may be explicitly apparent through the requirements. The RD review MAY review the use cases for completeness against the WI.

The RD review SHALL document the resulting issues and comments found during the review. The Review Report shall be used to capture the issues and comments as well as the responses.

The TWG and Requirements WG SHALL work to resolve any issues found during the RD review and document the resulting changes in the review report document. Any issues unresolved when the RD is submitted to the Technical Plenary for review and approval and the source of those issues SHALL be clearly identified and brought to the attention of TP.

The RD resulting from the RD review and any associated updates SHALL be submitted to the Technical Plenary for review and approval along with the updated RD Review Report showing the status.

13.1.2.3.3 Stage 9. Review and Approval of the Requirements Document by the Technical Plenary

Following the submission to the Technical Plenary the RD, RD review report and updated WI SHALL be made available for review and approval using the OMA approval process defined in section 11. The specific procedures to be followed for submission of materials and recording status SHALL be documented and available to members.

The RD and updated WI SHALL be approved by the Technical Plenary unless an objection is made by a member on the substance of the RD or WI update, e.g. it is not sufficiently well defined or residual problems in the RD report are considered important to resolve before approval. If there is an objection to the RD or updated WI the Technical Plenary SHALL work to resolve the dissenting response. To resolve the objection the Technical Plenary MAY request reconsideration of aspects of the RD or WI update, or the Technical Plenary MAY request one or more OMA working groups for additional clarification or opinion before making the decision, or the Technical Plenary MAY resolve any objections directly and inform the Technical Working group of the decision. If the Technical Plenary cannot resolve the dissenting opinion, the Technical Plenary MAY vote on the RD and WI update.

The approved RD and WI SHALL be the basis of the subsequent work to define the candidate specifications (stages 10 onwards) and SHALL be used by the Technical Plenary for release planning and management purposes.

The approved RD SHALL be considered one input to the candidate submission (stage 12).

The approved RD and WI SHALL be used by the Release Planning group to initiate its planning activities.

13.1.2.4 Detailed Specification Creation

The Technical Working Group assigned and chartered to perform the WI SHALL be responsible for all aspects of the work to be carried out.

The creation of the candidate specification involves several stages, namely

- the creation of the Architecture Document (AD) (stage 10)
- the creation of the details specifications (stage 11)

The review and approval of the candidate specification is covered by stages 12 and 13.The Technical Working Group SHALL determine whether the work or aspects of the work required to produce the candidate specification is performed by:

a) the working group, or

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b) a sub-group of the Working Group, or

c) other working groups in OMA, e.g. Architecture group for architectural aspects, Security Group for security aspects, etc., or

d) outside OMA if appropriate and authorisation is given. (see section 10 relating to working with other organisations)

Where the TWG wishes to have aspects of the work performed on other working groups the TWG SHALL seek the necessary agreement of the other working group before presuming it to be plan of record. Similarly where the TWG wishes to have work performed outside of OMA all necessary agreements SHALL be sought before presuming it to be plan of record.

Regardless of how the Technical Working Group decides to have the work performed the technical working group SHALL cooperate with all the groups referred to herein per stage as a minimum.

13.1.2.4.1 Stage 10. Creation of the Architecture Document

The Architecture Document (AD) SHALL define the detailed architecture for the enabler or specification. The AD SHALL be consistent with any overall OMA architecture.

The AD SHALL contain:

- the functional elements in the enabler architecture
- interface and protocol definition between elements (APIs, transport protocols, etc.)
- etc.

The AD SHALL contain nothing that cannot be referred in general terms to requirements in the approved WI and RD.

The TWG SHALL be responsible for ensuring the AD is produced and maintain it throughout the lifetime of the WI.

The AD MAY be produced by the TWG or the Architecture group or jointly based on agreement between both groups.

The TWG SHALL cooperate with the Architecture group, where aspects of security are involved the Security group, and where necessary other working groups, on the creation of the AD.

The AD SHALL be delivered either as a separate document or as part of the detailed specification.

Completion of AD SHALL be determined by the TWG and the Architecture group and, where appropriate, the Security group or other involved working groups following completion of an Architecture Document Review.

13.1.2.4.2 Stage 10.1. Architecture Document Review

The Architecture review SHALL be organised by the Architecture group. See section 13.1.3 for the details of the review process to be followed.

The Architecture group SHALL provide notice to the Security group, and other working groups if necessary, to engage in the AD review.

The proposed architecture and technology as defined in the AD SHALL be reviewed in the context of the requirements, the OMA architecture, other OMA enabler architectures as well as general industry practice.

The Architecture Document review SHALL be considered complete when there are no substantive issues outstanding and all issues or comments in the review report have responses from the submitting TWG.

The AD resulting from the AD review and any associated updates SHALL be submitted to the Technical Plenary for review and approval along with the updated AD Review Report showing the status.

The completed AD SHALL be submitted to the Technical Plenary for review and approval as part of the Candidate submission (stage 12).

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13.1.2.4.3 Stage 11. Creation of the Enabler Package

The enabler package SHALL contain all required specifications and supporting material.

The specifications SHALL define the technical detail of the enabler.

The IOP Enabler Test Requirements (ETR) SHALL define the features, means (e.g. method to test) and criteria (e.g. expected results) including the priority for assessing interoperability (see the OMA IOP Process [OMA-IOP-Process] for full details).

The specifications SHALL contain:

- sufficient technical detail to define all aspects of function and behaviour in an unambiguous way, e.g. protocols, APIs, content formats, semantics and syntax, processing models, security, UI behaviour where appropriate, etc., and
- sufficient technical detail to ensure interoperability for all normative function and behaviour, and
- the means to achieve versioning for evolution and maintenance.

The specifications SHALL contain nothing that cannot be referred in general terms to requirements in the approved WI, RD and AD.

The TWG SHALL be responsible for producing the specifications and other documents for the enabler.

The TWG SHALL cooperate with the Architecture group, IOP group, Requirements group, Security group and other appropriate working groups as appropriate during the creation of the specifications.

The enabler SHALL be delivered as one or more specifications, Enabler Test Requirements (ETR) and any other required documents, e.g. Enabler Release Document (ERELD), and a specification MAY contain the AD, rather than have a separate AD specification, when delivered as one specification or where the AD forms a logical part of one specification in a set.

Completion of the enabler SHALL be determined by TWG. The criteria to be used to determine the completion of the enabler SHALL be:

a) all planned requirements, as defined in the RD with agreed updates post RD approval in stage 9, have been addressed,

b) all necessary aspects of architecture, security and the function have been specified,

c) any interoperability requirements at the specification level is complete, including the Enabler Test Requirements

d) the documents have no known omissions or problems.

e) the enabler documents, i.e. specifications, Enabler Test Requirements, and any other required documents, have been subject to the consistency review and there are no known substantive issues outstanding.

13.1.2.4.4 Stage 11.1. Consistency Review

It is the responsibility of the TWG to engage with the Consistency group to ensure the consistency review occurs.

The consistency review shall involve a specification or a package of specifications. For a candidate enabler, the review will cover a number of specifications, the associated ERELD, IOP Enabler Test Requirements and other supporting materials (e.g. DTD files). In addition, the associated RD and AD provide a basis of expectation that should be considered during the review.

The Consistency group SHALL coordinate the final review of the specification or package. The Consistency group SHALL ensure working groups with domain expertise support the review activity. See section 13.1.3 for the details of the review process to be followed.

The Consistency group SHALL be responsible to generate a Review Report document.

The TWG SHALL work with other working groups, as needed, to resolve problems found. The report SHALL be updated with the resulting actions taken to resolve problems.

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The Consistency review SHALL be considered complete when there are no substantive issues outstanding and all issues or comments in the Review Report have responses from the submitting TWG

The Consistency group SHALL provide a statement and review report to the Technical Plenary showing their support for the specification or package as part of the Candidate submission.

13.1.2.4.5 Stage 12. Candidate Submission for Review and Approval

The completed specification or package of specifications forming the candidate along with the review reports and supporting material SHALL be submitted to the Technical Plenary for review and approval as the Candidate submission.

Following the submission to the Technical Plenary of the candidate item material, i.e. RD, updated WI, AD and specifications, and the supporting material, i.e. updated WI, review reports and support statements, SHALL be made available for review and approval using the OMA approval process defined in section 11. The specific procedures to be followed for submission of materials and recording status SHALL be documented and available to members.

13.1.2.4.6 Stage 13. Approval of the Candidate Specification

A candidate item SHALL be approved by the Technical Plenary unless either a substantial objection is received from a member or any working group, including but not limited to the Architecture, Requirements, Security and Interoperability groups.

If there is an objection the Technical Plenary SHALL work to resolve the dissenting response. The Technical Plenary MAY make a request to the TWG to reconsider aspects of the candidate work item, e.g. revisit the issues raised from the RD onwards for complete assessment of impact and resolution (stage 7 onwards), or the Technical Plenary MAY request one or more OMA working groups for additional clarification or opinion before making the decision, or the Technical Plenary MAY resolve any objections directly.

If the dissenting opinion cannot be resolved by the Technical Plenary then the Technical Plenary MAY vote on the work item. Appeal to the Board of Directors is available in situations where the objector believes due process has not been followed as defined in section 11.2.1.

Following approval the candidate moves to the public review, validation and approval stages.

13.1.2.5 Candidate Validation and Approval

13.1.2.5.1 Stage 14. Public Review

Following approval of the Candidate item, i.e. RD, AD and specifications, the candidate item SHALL be made available for public review.

The purpose of the public review is to

a) make the work of the OMA visible, thereby potentially reducing the risk of conflicting specifications in the same domain from other organisations

b) solicit opinion from individuals and organisations as expert technical reviewers on the content of the specification to determine whether the specification is technically mature and ready to be approved, thereby driving up the quality of the specification through this review.

The means used to achieve the public review SHALL be to make the specifications publicly available via the OMA website in a manner clearly identifiable to the user, e.g. a page or fragment of a page associated with the OMA documents pages. OMA, its working groups or members of the OMA MAY additionally notify interested domain experts or organisations of the specifications public availability to seek opinion.

The review period SHALL be a minimum of 30 days (where no interoperability testing is required or where only minor enhancements/changes to existing interoperability tests are required allowing quick turnaround) with a maximum review period being that of the completion of the interoperability testing in stage 17.

Any comments or problems raised during this public review SHALL be reviewed and dealt with. The TWG SHALL acknowledge receipt of the comment or problem and following review determine what action to take. Where the TWG determines the comment or problem results in a change to the specification the Change Control procedures (see section 13.3)

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SHALL be used and procedurally these changes will be handled in a way consistent with those resulting from problems found in the validation phase (stages 15-17). The TWG MAY inform the submitter as to the actions being taken as a result of the submitted comment or problem but SHALL notify the submitter if and when the specification was updated as a matter of courtesy and to solicit feedback.

13.1.2.5.2 Stage 15. Validation Task Transfer to IOP

Following approval of the Candidate item the "task owner" SHALL transfer from the TWG to the IOP group for the validation of the specifications, achieved through interoperability testing.

Where validation of a candidate item is determined to be required before a candidate can be approved the validation SHALL validate the specification through the use of end-to-end service delivery focused test cases written to exercise aspects of conformance and interoperability to the specification against a number of devices and other service end-points and infrastructure components.

Successful completion of the specification validation SHALL be a pre-requisite for the final approval of a specification where validation is required (the normal process).

Stages 16 to 18 are owned by the IOP group.

13.1.2.5.3 Stage 16. Enabler Test Plan and Enabler Test Specification Document Creation

The IOP group SHALL ensure Enabler Test Plan (ETP) and Enabler Test Specification (ETS) documents are produced to validate the specification are produced.

The enabler test plan SHALL detail the approach to be undertaken during the interoperability validation.

The enabler test specification SHALL have an end-to-end service delivery focus and exercise aspects of conformance and interoperability to the specification using a number of devices and other service end-points and infrastructure components.

The IOP group SHALL cooperate with the Requirements group and any other working groups it needs to when producing the enabler test plan and enabler test specification documents to ensure the test cases reflect the requirements as specified in the RD.

Details of the interoperability validation, including the text case creation, conformance and interoperability tests are defined in the IOP process document [OMA-IOP-Process].

The reviewed test case documents form the basis of the interoperability tests.

13.1.2.5.4 Stage 17. Interoperability Testing, Problem Report Generation and Handling

The IOP group SHALL organise and manage the interoperability testing which executes the test plan using the test cases defined in the test specification document.

The IOP group SHALL ensure any problems or discrepancies found during the interoperability testing are raised in the form of Problem Reports (PRs). The IOP group SHALL ensure PRs are as comprehensive as possible, describing the test scenario, test details and problem condition details. The PRs SHALL be submitted using the established process for resolution. The IOP group SHALL manage the resolution of PRs through cooperation with the technical working group.

PRs SHALL be investigated in the first instance by the IOP group representatives to ensure the problem is not one of process, test cases, or test environment. In the event the PR relates to a candidate specification issue the IOP group SHALL pass the PR to the working groups where resolution..

PRs raised by the IOP group and/or participants in the interoperability validation SHALL result in one of the following outcomes:

a) No action for OMA as the problem is one of developer interpretation only, or

b) OMA IOP group action to change the test cases or test environment, using the appropriate change management process, and/or

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c) OMA technical working group action to address a technical problem in the candidate item. This MAY result in a Change Request (CR) being raised against one or more specifications, RD or AD.

CRs SHALL be treated as though they were changes to the RD (stage7) in the first instance so the impact can be assessed through the main document creation phase (see section 13.3.3 re CRs). The working group handing of the CR SHALL determine the result as one of the following outcomes:

a) No action, where no interoperability issue is perceived.

b) Editorial change to the candidate item which does not impact the current approval process,

c) Material change to the candidate item, requiring the approval process to be followed again,

d) Deferment to a following release where one is planned and where no impact to interoperability will result from not changing the current candidate item.

The interoperability testing SHALL be considered complete only when all features of the specification(s) defined as the minimum criteria for completeness, as defined in the test plan, have been successfully tested and any rework due to the raising of PRs verified.

The final candidate item material after any changes made as a result of the validation along with the test report SHALL be submitted to the final review and approval by the Technical Plenary.

13.1.2.5.5 Stage 18. Submission of Final Candidate Specification(s) for Approval

Following the submission of the final candidate item material and the test report to the Technical Plenary the material SHALL be made available for review and approval using the OMA approval process defined in section 11.

13.1.2.5.6 Stage 19. Approving the Candidate as an Approved Specification

A candidate item which has been subject to the public review and interoperability validation process and has addressed all comments and resolved all problems SHALL be approved by the Technical Plenary unless either a substantial objection is received from a member or any working group. If there is an objection the Technical Plenary SHALL work to resolve the dissenting response. The Technical Plenary MAY make a request to the IOP group or Technical Working group to reconsider aspects of the interoperability validation or candidate work item or the Technical Plenary MAY request one or more OMA working groups for additional clarification or opinion before making the decision, or the Technical Plenary MAY resolve any objections directly.

If the dissenting opinion cannot be resolved by the Technical Plenary then the Technical Plenary MAY vote on the work item. Appeal to the Board of Directors is available in situations where the objector believes due process has not been followed as defined in section 11.2.1.

13.1.2.5.7 Stage 20. Post Technical Plenary Approval Process

The post Technical Plenary approval processes consist of final approval by the Board of Directors of the work of OMA and maintenance.

The Board of Directors SHALL, per the articles of association, approve the work that has been approved by the Technical Plenary unless there has been a breach of process whereupon the Board of Directors SHALL return the work to the Technical Plenary and direct them to reconsider.

Maintenance of the OMA specifications SHALL use the processes defined in section 13.3

In the event the release of the approved specifications completes the WI the documents associated with the WI SHALL be assigned as follows for future reference, consideration in other OMA work etc.

- The RD shall be transferred to the Requirements group
- The Architecture document shall be transferred to the Architecture group
- The detailed specifications SHALL be transferred to the working group assigned maintenance, which in lieu of any other group being assigned is the Technical Plenary.

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13.1.3 Specification Review Process

It should be noted that there is no 'Passing' or 'Failing' of a review. The review permits members to raise issues and comments regarding the work of the various groups, but it is not intended to be a gate or block to work advancing. That is the role of the Approval activities in Technical Plenary.

13.1.3.1 Preliminary Reviews

Prior to the scheduling of a formal review, once or more Preliminary Reviews (pre-reviews) MAY be held. These help get views from the broader OMA membership. As informal reviews, there are no formal comment or issue capture or retention procedures to be followed. Similarly, the owning TWG need not respond with the same level of detail as handled for the formal reviews. This should be agreed among the participants.

The pre-reviews may be held by the normal hosting entity (e.g. Requirements Group for RD) or it may be structured to address particular aspects of the work (e.g. pre-review session with Security). The scope of the review may be limited (e.g. Sections 1-5). Scheduling of the pre-reviews is more ad hoc in nature and may be facilitated by normal agenda handling of the affected groups.

13.1.3.2 Scheduling of Formal Reviews

Once the material to be reviewed has achieved a degree of relative stability, a formal review is appropriate. Material that is still subject to various editing and revision operations is probably not yet ready for such a review.

The initial formal review should include an email comment period followed by some form of live meeting (e.g. teleconference or face-to-face). The scheduling activity SHOULD accommodate this basic approach.

The TWG that is producing the material to be reviewed SHALL be responsible for requesting the review from the host. Upon receipt of such a request, the host SHOULD endeavor to set a date for the review approximately 14 days but no more than 28 days from the request unless alternate arrangements are agreed (e.g. request for review at next plenary session). In setting the date, the review host SHOULD also consider the occurrences of common holidays, vacation periods, and other external factors that may affect preparation or participation in the review.

The date set for the review SHALL NOT conflict with any other reviews, and ideally SHOULD be set to avoid other competing OMA activities known to be taking place. Calendaring information, if available, SHOULD be utilized to set a date that permits a minimal impact to the membership.

Once the date for the review is set, notification of the review SHALL be carried out to permit all members to be aware of the review. This notification SHALL be delivered through the normal channels (e.g. mail list) and placed upon the OMA calendar, if such support is available. The review notification will, at minimum, identify the review type, the originating TWG, review contact person (review moderator), mail list to be utilized and the scheduled date and format for the review itself.

13.1.3.3 Availability of Material

The material to be reviewed during the scheduled review SHALL be available at least 14 days before the review. It SHALL be made available on the website to make it easy for review participants to retrieve and review. For reviews that will handle a large body of material, a longer availability period SHOULD be considered. The review host and source TWG contact will use their best judgment in this regard.

As it is very common for members to start submitting comments once material is available, it is preferable that repeated incremental changes to the review material is avoided prior to the formal review. It is important that the participants have an opportunity to prepare and if the material is being periodically changed such preparation may not be assured.

13.1.3.4 Handling of Comments

Prior to the formal review meeting members MAY submit comments and issues to the appropriate mail list. Such comments and issues SHOULD be captured and retained for handling during the formal review meeting. Of course, electronic discussion may occur as a result of such submissions and this discussion should be retained as well. It may be that a revised issue may be the result of such electronic discussion. The capture of these comments should be done simply and avoid excessive bureaucratic overhead.

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The formal review occurs during the actual live review session. Comments and issues raised during the review MAY be discussed to make sure that they are understood. Such discussion may lead to an issue being recorded on the formal Review Report. Alternatively, issues may be dropped for various reasons (e.g. issue out of scope for the review, issue derived from a misunderstanding of the material, issue redundant with one previously recorded, etc.).

To be recorded in the Review Report, comments need not be agreed by the group (i.e. there is no vote on issues to be captured). Issues or comments that are out of scope for the subject being reviewed (e.g. data buffer issue in a Requirements Doc review) SHOULD be noted in the minutes but not captured in the Review Report. This would be at the discretion of the review moderator.

The comments and issues that were captured prior to the formal review should be presented during the review. Depending on the available time or nature of the raised issues, the review moderator MAY decide to have further discussion to better frame the issue or determine its scope impact. Alternatively, if the issues are clear, the review moderator MAY, with the group's agreement, decide to transfer some or all of these issues to the formal Review Report without further discussion.

13.1.3.5 Update of Material and Review Response

Following the review, the originating TWG is responsible for generating responses to all of the issues. These responses will become part of the Review Report. The responses should address the issues presented and describe the remedy the group will undertake, if any.

In reviewing the issues and comments, the TWG may decide to make changes to the underlying document(s) being reviewed. These changes SHOULD be performed using the common change management approaches. When such changes are performed, the Review Report response should note that changes were made and provide supporting information as needed.

13.1.3.6 Follow-up Reviews

Based on the level of the comments or level of effort to resolve issues, a follow-up review MAY be needed. The format of a follow-up review may require a live session (e.g. teleconference) or, in many cases, just an email review. The review moderator SHALL make the determination of this need at the end of the formal review.

The follow-up review will normally be an abbreviated review as it will primarily examine the responses and any specification change(s) made to respond to the issues of the formal review. New issues may be raised at a follow-up review, but the moderator has discretion regarding handling of issues that come close to previously noted issues.

The review moderator will work with the submitting TWG in establishing the format of the follow-up review. In cases of email follow-up, a period of at least seven (7) days following the availability of the updated Review Report and any changed specification material should be available for the review. If a live meeting is required for the follow-up, the meeting MAY be scheduled no sooner than seven (7) days following the availability of the material.

There may be further follow-ups, but the moderator should seek closure of the reviews in a timely fashion. Issues should have responses, though they need not all be agreeable among all of the participants of the review.

13.1.3.7 Submission to Technical Plenary

The generated Review Report, with the embedded responses, SHALL be submitted to the Technical Plenary as part of the package supporting approval. Key issues, where there were still disagreements among the review participants should be noted to permit the Technical Plenary to weigh the decision of the submitting group.

13.2 White Paper Creation Process

Section 13.1 shall be applied to the creation of White Papers, though in a lightweight form.

Some stages of the process defined in section 13.1 may not be appropriate for the creation of a given White Paper but must be considered and given a bye only by agreement between the authoring group and the other party which otherwise would be involved in that aspect of the process.

The lightweight process for white papers is

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a) Define the scope of the intended White Paper in a WI template and submit for approval by the Technical Plenary (stages 1- 4)

b) If the Technical Plenary approves the writing of the White Paper it is assigned to an existing group whose charter has adequate scope to produce the White Paper, or by the Technical Plenary itself. (stages 4.1 – 6)

c) The requirements for the white paper are produced and agreed (stage 7)

d) The White paper is produced and reviewed by the appropriate groups during its development (stages 8 – 12)

e) The White Paper is submitted to the Technical Plenary for review and approval (stage 13/19). The White Paper is ready for release as no interoperability validation of a White Paper is required, thereby not requiring further Technical Plenary consideration.

13.3 Document Change Management

A change management process SHALL be followed to control the update and modification of specifications that have reached Candidate or Approved status to provide traceability and visibility of changes to these specifications. Specifications that are in Draft state MAY also be subject to the change management described in this section if/when a Working Group decides that this would be appropriate.

Typically, changes are triggered by:

- Problems encountered during interoperability testing and documented in Problem Reports (PRs)
- Submissions with request for changes from members.
- Comments on published specifications submitted by other organisations that OMA has established cooperation agreements with.

13.3.1 Classes of Changes

Changes to specifications can be classified as belonging to one of the following categories:

- Class 0: New Functionality. May only be used against Draft and Candidate specifications.
- Class 1: Major Change to an existing specification that include significant changes or amendments to the behavior, form, fit, or functionality (e.g. breaks backward compatibility against an existing Candidate/Approved version of the specification). May only be used against Draft and Candidate specifications.
- Class 2: Bug Fixes (correct technical issues related to a specification that SHALL NOT include significant changes or amendments to the behavior, form, fit, or functionality)
- Class 3: Clerical Corrections (corrects spelling errors, typographical errors, and other minor clerical errors in the specifications that have no normative affect on the specification).

Requests for class 0-2 changes to a specification SHALL be handled by the use of a Change Request (CR) that is to be submitted to the group that owns the specification. Requested class 3 changes MAY be documented in a CR, but MAY also be reported to the group in other ways (by electronic means, such as e-mail or verbally). See section 13.3.4 for further information about handling of class 3 changes.

13.3.2 Contents of a Change Request

A CR should contain the following information:

- Submitting companies (if applicable)
- Editor of the Change Request with complete contact information
- The class of change, as outlined in section 13.3.1 (if several changes are suggested, then the class number for the most significant change shall be used).
- The full name of the specification that the Change Request targets, including version and date

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- The affected Enabler Release (if appropriate)
- An overview of the proposed change
- A first analysis of any related impacts to other documents or Work Items
- The proposed changes to the identified revision of the specification.
  - the changes SHALL be suggested using revision marking, clearly showing the additions, changes and deletions
  - the changes SHALL be made against the specification revision identified
- An IPR declaration from the submitting companies that clarifies if there are any known IPRs related to the submission. This should be noted in the IPR call covering the meeting, see section 8.4 for more information.

13.3.3 Process for Handling of Change Requests

The CR SHALL be submitted to the Technical Working Group that owns the specification or a subworking group thereof that has been assigned the responsibility of maintaining the document.

- The group SHALL consider the proposed change and agree on the classification.
- The group SHALL also further analyze whether the proposed change has an impact on related Work Items, requirements, architecture, specifications or test cases.
- The group shall then decide whether to agree or reject, the proposed change
  - the group may decide to revise the proposed change (i.e. update the CR)
  - the group SHALL communicate with any other Working Group, as appropriate, if it may be impacted by the change

13.3.4 Incorporation of Changes

After a CR has been approved as described in the previous section, the changes shall be incorporated into the specification. Class 3 changes requires no CR, the editor of the specification can do the changes directly in the document and follow the process below.

- The changes shall be indicated using revision marking, clearly showing the additions, changes and deletions
- The specification document history shall be updated with information about what CR that has been incorporated (if a CR exists) and contain an overview of the changes.
- The name of the specification shall be updated in order to reflect that it has been changed as outlined in section 12.1.1 (Permanent document numbering).

Note that a specification may be updated with several CRs prior to that a new revision is created and published.

13.3.5 Handling of a Document with Incorporated Changes

Note: this section is only applicable for Candidate and Approved specifications. Specifications that are in Draft state require no additional handling once the CRs have been incorporated.

When a document has been updated with one or several CRs, the Working Group that owns the specification SHALL perform a final review of the document prior to that the document moves forward to the next step in the process.

Depending on the CR of the lowest class (e.g when a class 1 and class 3 change have been applied the class 1 would be the lowest class) that has been incorporated into the document and the previous state of the document, the following applies:

- If at least one of the incorporated changes is a class 0 or 1 change and the document previously was in Candidate status, then this SHALL result in the demotion of the document back to Draft status. It shall thereafter go through the normal process of being approved as a Candidate by the Technical Plenary.

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- If the incorporated changes only have been classified as class 2 or 3 then the Technical Plenary SHALL be informed of that the changes have occurred, by the submission of a report which points to the new revision of the document.

13.4 Document Submission and Availability

13.4.1 Document Submission

Documents SHALL be submitted at least 7 days before the start of a meeting.

As an exception, any documents submitted later than this deadline MAY be taken in the meeting at the chair's discretion subject to consensus in the group. Such documents MAY be presented for information, however no decision on these documents SHALL be made during the meeting, unless there is consensus.

13.4.2 Document Availability Before a Meeting

Documents submitted prior to a meeting SHALL be made available and distributed electronically (e.g. website, e-mail etc.).

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Appendix A Change History (Informative)

A.1 Approved Version History

Reference	Date	Description
OMA-Process-V1_0-20021111-A	11 Nov 2002	Version approved during the Hawaii plenary to set the baseline for ongoing process development. Ref TP Doc# OMA-TP-2002-0073R1-OpsPrcsProcessDoc
OMA-Process-V1_1-20030430-A	30 Apr 2003	Version adds new material to address specification work flow and change management processes. Other material has been added to further clarify other process aspects including those for elections and group responsibilities. Ref TP Doc# OMA-TP-2003-0195-ProcDocV1_1
OMA-Process-V1_1_1-20030911-A	11 Sep 2003	Minor revision which removed the membership matrix due to concerns regarding change control – the matrix being managed by OMA BoD. TP approval in plenary – per OMA-TP-2003-0319-TPslidesBerlin_OpsPrcs
OMA-Process-V1_1_2-20031028-A	28 Oct 2003	Minor revision to address items to support publication TP notice provided in OMA-TP-2003-0559-Notice_ProcDoc_OpennessRevision

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