

# OSCRE

*Connecting the Real Estate Industry*

## OPERATIONS MANUAL

OSCRE is the trading name of OSCRE Americas Inc., part of the OSCRE International global network supporting the Americas.

OSCRE Americas Inc. is registered in Washington, District of Columbia.

Business Address:  
2020 Pennsylvania Avenue, NW  
Box #1024  
Washington, DC 20006  
Tel:  
Fax:  
E-mail: [info@oscre.org](mailto:info@oscre.org)  
Web: [www.oscre.org](http://www.oscre.org)

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# **Part 1: Group Structure and Membership Arrangements and Responsibilities**

# 1 Introduction

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This document sets out the operational and organizational structure for the OSCRE International global consortium for the realization of electronic standards in the real estate industry.

It provides the foundation on which all other documentation, processes and methods are based and in particular governs the relationship between the global umbrella (OSCRE International) and the regional members. In this way, it establishes the rules of engagement and, ultimately, the membership agreement, between the international umbrella and the regions.

It attempts to leave each regional organization latitude where possible and similarly provides for flexibility where appropriate in OSCRE International.

## 2 Conventions used in this document

Defined terms are always used in initial capitals, Like This. These terms are defined in the glossary (section 14).

For clarity, two terms are defined here:

**Regional Membership** – means to the membership of an organization in one of the OSCRE regional organizations (e.g. ABC Ltd’s membership of PISCES or XYZ Co’s membership of OSCRE Americas).

**International Membership** – means the membership of one of the OSCRE regional organizations (PISCES, OSCRE Americas or OSCRE Asia Pacific) in OSCRE International.

## 3 Mission Statement

OSCRE is part of an international consortium, OSCRE International. OSCRE is responsible for the Americas within OSCRE International. There are other members of this consortium covering the remainder of the world (see section 4.1 for details).

All members of this international consortium share the common mission statement:

*OSCRE International is a not-for-profit consortium that drives the development, synthesis, and adoption of e-business standards that enable the Real Estate industry to function effectively and efficiently in the new economy.*



# 4 Organization Structure and Management

## 4.1 Global and Regional Structure

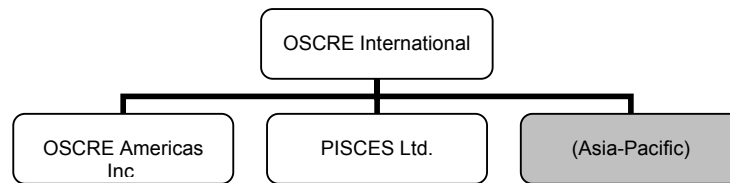
OSCRE is part of a global real estate data standardization consortium, OS CRE International. The consortium operates through four<sup>1</sup> legal entities:

**OSCRE International:** This is the global umbrella organization where standards development methodology, operational methods and governance is determined.

**OSCRE Americas Incorporated:** The regional organization representing the Americas (the continents of North and South America).

**PISCES Limited:** The regional organization representing Europe, the Middle East and Africa.

**OSCRE Asia-Pacific<sup>1</sup>:** The regional organization representing Asia and Australia.



The relationship between the regional organizations and OS CRE International is one of membership. That is to say, each of the regional organizations are members of OS CRE International. The membership agreement binds each of the three regional organizations to abide by the same approach and in particular this Operations Manual.

The membership agreement provides for each regional organization to cease membership. The notice period for this is the same as for members of each regional organizations (i.e. a rolling three year commitment).

## 4.2 Management Responsibilities

The table below summarizes what each of the main controlling groups have responsibility and authority for. The composition and operation of these groups is discussed further in section 4.3, but they are the International Management Board, the Regional Management Board and the Regional Executive Committee. Each responsibility is discussed in more details after the table.

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<sup>1</sup> The OS CRE International member representing Asia Pacific has not yet been formed. References to 'OS CRE Asia Pacific' refer to the legal entity that will be created in the future to represent that geopolitical area.

<b>International Management Board</b>	<b>Regional Management Board</b>	<b>Regional Executive Committee</b>
Organizational processes	Runs the business	Priority setting
Governance & policy	Workgroup management	Resourcing workgroups
Co-ordination & compliance	Staffing	Meeting accommodation
Fee setting	Fund raising and billing fees	Election of RMB
Technical Team	Standard adoption	Election of IMB
Infrastructure	Infrastructure operation	Budget approval
Research & Development	Admin & offices	
Administration	Regional budget management	
Discretionary fund	Regional communication	
Budget setting		
Brand setting		

The International Management Board is responsible for OSCRE International delivering or undertaking:

- **Organizational processes** – the process by which each regional organization authorizes Workgroups, undertakes marketing and advertising at an international level where required, the standards development methodology (how each regional organization creates, documents, supports, implements and maintains data standards) etc.;
- **Governance & policy** – establishes the rules and process for establishing and maintaining the management and control structures in each region;
- **Coordination & compliance** – ensuring that all regions are applying the approach consistently and providing global resources to support this coordinated effort (including a global Technical Team);
- **Fee setting** - establish the membership fees for membership of OSCRE International by each of the three regional members (the International Membership Fee);
- **Technical Team** - provision of a Technical Team (and attendant facilities and accommodation) to author XML standards;
- **Technical Infrastructure** – for use by OSCRE International and the regional organizations. This will include Document Management, Online Collaboration, E-mail, File sharing, CRM and Web sites (although local design and content will be delegated to the Regional Boards);
- **Research & Development** – Measuring the performance of the existing methodology; reviewing development in related area (e.g. other standards bodies); proposing methodology revisions. This may be a combination of staff, consultants and academic research institutes;
- **Administration** – the administration function will deal with routine financial management and book keeping, payment of salaries and expenses, routine employment requirements (e.g. sickness benefit payments) and other administrative functions to support the running of OSCRE International. This role may be subcontracted to one or more of the regional organizations.

- **Discretionary Fund Management** – Management of a fund for discretionary support of specific initiatives that may support a specific region or the global initiative. An example of this would be seed funding for a region or sub-region.
- **Budget setting** – setting of the budget to deliver on these responsibilities; and
- **Brand setting** – creating and communicating the global brand that creates common, shared brand values and attributes in all regions.

The Regional Management Board is responsible for:

- **Runs the business;**
- **Workgroup management** - Providing a pool of Workgroup Program Managers to manage Workgroups;
- **Staffing** - providing regional staff, likely to include a regional CEO, Business Manager and administrative staff;
- **Fund raising and billing fees** - Raising Funds and set the Regional Membership Fee and License Fee;
- **Standard adoption** – encouraging and facilitating take-up of the delivered standards;
- **Infrastructure operation;**
- **Administration & offices** – including accommodation and facilities;
- **Regional budget management;** and
- **Regional communication** – including marketing, promotion, public relations and internal relations.

The Regional Executive Committee is responsible for:

- **Priority setting** – particularly in respect of Workgroup formation, but also strategic and tactical issues facing the regional business;
- **Resourcing workgroups** – providing individuals to contribute in Workgroups where relevant to their business;
- **Meeting accommodation** – providing meeting space for Workgroups and other OSCRE meetings;
- **Election of Regional Management Board;**
- **Election of International Management Board;** and
- **Budget approval** – approving the budget recommended by the Regional Management Board.

## 4.3 Regional Governance

As discussed below (section 6, Membership), there are several levels of membership. However, only Executive Members in a region have any direct influence over the governance of that region.

### 4.3.1 Executive Committee

The Executive Committee provides the ultimate governance for a region. It prioritizes the implementation of standards and reviews recommendations made by the regional Board.

The Executive Committee is made up of Executive Members. This may include all Executive Members or, at the discretion of the Executive Committee, may be limited in size.

There is only one Executive Committee in each region. Each region must determine a strategy for including the various national interests it represents. This may be based solely on free voting within the Executive Membership or may include some element of enforced representation, for example allocating specific Executive seats to each country based on the proportion of Executive Members from that country.

The Executive Committee will meet at a schedule it determines, but no less frequently than every four months.

### **4.3.2 Regional Management Board**

Once the Executive Committee has been formed, the Board may be completed. The Board leads the company and deals with all operational and issues relating to the running of the regional business. The board will manage these issues and, where necessary, make recommendations to the Executive.

Board members are on staff (appointed by the Executive Committee) or they are elected from the Executive Committee by the Executive Committee.

Elections to the Board follow the same process as the election of the Executive Committee except that only the members of the Executive Committee have a vote.

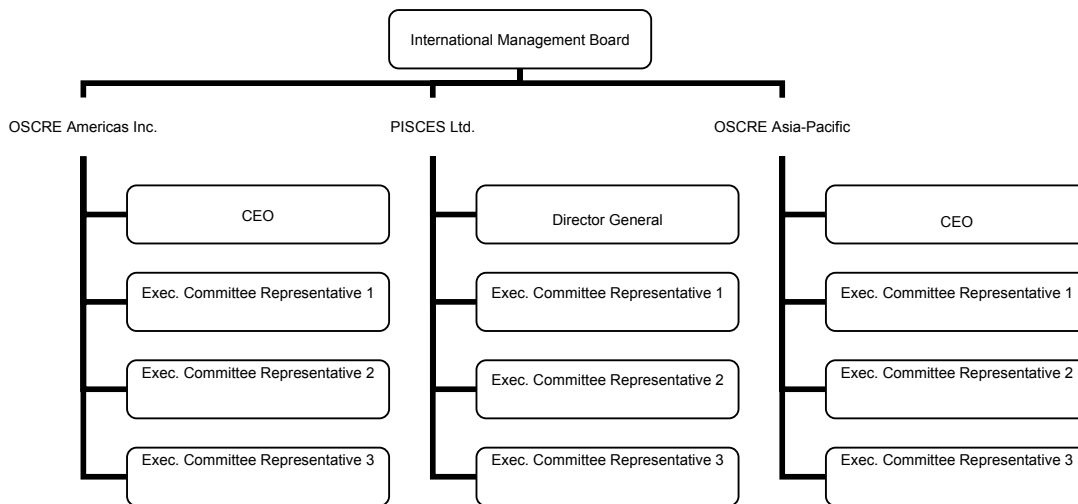
Unlike the Executive Committee, it is expected that those elected to the Board will serve a three year term before re-election (provided that their employer remains an Executive Member).

## **4.4 International Management Board**

OSCRE International is governed by the International Management Board. This board is formed by the CEO or Director General of each regional organization together with three elected members of each regional Executive Committee, giving a total International Management Board of twelve.

The purpose of the International Management Board is to ensure that OSORE International fulfils its role within the global enterprise. These are set out in section 4.1.

As the regional organizations make up the membership of OSORE International, the International Management Board is accountable to each regional organization (i.e. it must represent the interests of its members). As each region is managed by its regional Board, the International Management Board is accountable to the three regional Boards.



The International Management Board members must be nominated and elected in the same way as the Regional Board Members.

For the avoidance of doubt, they need not be members of the Regional Board. In fact, subject to legal advice, the Executive Committee Representatives must not be on the Regional Board to avoid the balance of commonality between these two boards exceeding 50% and as a consequence creating the possibility that litigation in one region may, under US law in particular, enable liability to transfer through the regional membership structure. This is due to the interpretation of related companies by US courts that view two companies that are otherwise independent as related if their boards are not independent. A key test for this is that they do not consist of the same people.

# 5 Financial Structure

## 5.1 Revenue

The revenue model is based on membership. Other sources of income are not ruled out, but the core funding is provided by corporate and individual members paying annual fees on a rolling three year commitment. The three year commitment enables the organization to plan and act strategically.

### 5.1.1 Regional Membership

#### 5.1.1.1 Regional

There are three levels of membership within each region: Executive, Associate and Individual. Each membership level attracts rights and responsibilities as discussed in section 6 (Membership), as well as a differential membership fee.

These membership fees are payable annually in advance for each financial year (which is the same as the calendar year).

The membership agreement commits the Member to a rolling three year membership. Members who join part way through a calendar year pay a pro-rata fee for that current year and are committed for a minimum of a further three full years.

Members wishing to terminate their membership must give writing in notice before an anniversary of membership. On serving such notice, the member will be required to complete a full three years of membership – the three years following the year in which notice was given.

Members who give notice to terminate their membership but then do not actually terminate, or members who give notice to terminate, do indeed terminate, but then rejoin as members within three years of termination, will be liable for a Re-admission penalty equivalent to 50% of the then current annual fee for there level of Membership.

Members may upgrade to a higher level of membership at any time by paying the pro-rata difference in membership fees for the current year. Such a member will be subject to a new three year rolling commitment as if they had joined as a new member. For the avoidance of doubt, this is regardless of whether they had previously given notice to terminate, and does not absolve the Member from a Re-admission penalty.

Members wishing to downgrade to a lower level of membership may do so by giving three clear years notice. Members who have given notice to downgrade to a lower level of membership will be shown as such on the OSCRE website.

#### 5.1.1.2 Multi-regional and Global

The rights and responsibilities of membership within a single region are only applicable to that region.

International companies that span more than one of the OSCRE International regions may wish to participate in more than one of these regions.

Therefore, it is possible to take out membership in two or all three regions simultaneously. To do this, the company or individual simply subscribes for membership in each region.

**NOTE:** Executive membership in any region automatically entitles the member to Associate rights in all other regions.

Although members may be simultaneously members of two or three of the OSCRE International regional organizations, these memberships are treated independently and variations in the rules, regulation and operation from region to region must be respected by such members.

### **5.1.2 OSCRE International Membership**

The global umbrella company, OSCRE International, is not funded directly by the end-user membership (Executive, Associate and Individual), but instead is funded by the three regional organizations.

The regional organizations are not subsidiaries of OSCRE International, but instead are members. The membership agreement for each organization binds them to operate the region according to this Operations Manual together with provisions to ensure the reasonable longevity of the initiative.

The membership fee for each region is set independently at the start of each calendar year (being the same as the financial year).

The process for setting the membership fees is as follows:

1. The International Management Board prepares and approves a budget including all the direct expenditure from OSCRE International.
2. This amount is then divided amongst the three regional members in proportion to their gross guaranteed revenue for the year to which the budget applies. The gross guaranteed revenue includes all membership fees that are due as part of a rolling three year commitment together with any other guaranteed revenue items known at the start of the financial year.
3. If the allocation to a particular region has the effect of reducing their net revenue (i.e. gross revenue less OSCRE International membership fee) compared to the previous year, that region's Executive Committee must also approve the budget.

## **5.2 Expenditure**

OSCRE International and OSCRE Americas Inc. will incur expenditure in the course of their operation. The areas of expenditure are detailed below. It should also be noted that the accounting and charging/charge-back for these expenses between OSCRE International and its International Members will be dependant on professional advice, particularly with respect to the recovery of VAT.

### **5.2.1 OSCRE Americas Inc. (and other regional organizations)**

Each regional organization has the follow key areas of expenditure:

CEO	Salary and employment costs.
Business Manager	Salary and employment costs.
Workgroup Program Managers	Pool of staff and consultants who provide the Workgroup Program Managers to Workgroups.

Communications	Regional marketing, public relations and internal communication.
Office space and facilities	Space, office equipment, telephony, internet access, printing.

### 5.2.2 OSCRE International

OSCRE International undertakes several tasks, and the principal areas of expenditure to support these tasks are:

Technical Team	<p>The Technical Team is a global team of staff and consultants who author the XML standards.</p> <p>This will include all employment, accommodation and materials costs associated with their employment.</p>
Technical Infrastructure	Document Management, Online Collaboration, E-mail, File sharing, CRM and Web sites.
Research & Development	Measuring the performance of the existing methodology; reviewing development in related area (e.g. other standards bodies); proposing methodology revisions. This may be a combination of staff, consultants and academic research institutes.
Administration	<p>The administration function will deal with routine financial management and book keeping, payment of salaries and expenses, routine employment requirements (e.g. sickness benefit payments) and other administrative functions to support the running of OSCRE International.</p> <p>This role may be subcontracted to one or more of the regional organizations.</p>
Communications	Global communication activities.
Discretionary	A fund for discretionary support of specific initiatives that may support a specific region or the global initiative. An example of this would be seed funding for a region or sub-region.



## 6 Membership Rights and Responsibilities

There are three kinds of members: Executive, Associate and Individual. The table below compares these membership levels:

	<b>Executive Members</b>	<b>Associate Members</b>	<b>Individual Members</b>	<b>Non-Members</b>
<b>Rights – Management</b>				
Stand for Executive Committee	✓	x	x	x
Stand for Regional Board	✓ <sup>2</sup>	x	x	x
Stand for International Management Board	✓ <sup>2</sup>	x	x	x
<b>Rights - Operational</b>				
Initiate Change Requests (RFCs)	✓	✓	✓	x
Initiate Workgroups (RFDs)	✓	✓	✓	x
Approve a new Workgroup	✓ <sup>2</sup>	x	x	x
Participate in Workgroups	✓	✓	✓	x <sup>3</sup>
Vote in Workgroups	✓	✓	x	x
Attend general meetings	✓	✓	✓	x
Participate in Harmonization Committee	✓ <sup>4</sup>	✓ <sup>4</sup>	✓ <sup>4</sup>	✓ <sup>4</sup>
<b>Responsibilities/Obligations<sup>5</sup></b>				
Provide meeting venues	✓	x	x	x
Communication support	✓	x	x	x
Case studies	✓	✓	x	x
References	✓	✓	x	x

<sup>2</sup> Only members of the Executive Committee (as opposed to all Executive Members, in the event that a Region has chosen to limit the Executive Committee size) can stand for election to the Regional Board or International Management Board.

<sup>3</sup> Except for subject matter experts (SME's) invited by a Workgroup Chair.

<sup>4</sup> Participation in the Harmonization Committee is at the request of the Executive Committee only.

<sup>5</sup> All members may provide logistical support to OSCRE; however, certain classes of member are obliged to provide certain types of support.

# 7 Participation of Trade Associations, Standards Bodies and Academic Institutions

Members buy-in to OSCRE and the other OSCRE International regional organizations because their business is a direct beneficiary of the existence of OSCRE standards.

OSCRE International recognizes that not all organizations with which a relationship is desirable will fall naturally into the membership model discussed above. These organizations are classified into three types: Trade Associations, Standards Bodies and Academic Institutions.

## 7.1 Trade Associations

Trade associations typically represent a focussed segment of the industry and engage in a range of activities that benefit their members, including lobbying, education, standardization, research and benchmarking. Examples within the OSCRE world include BOMA, IFMA, NCREIF, IPF, CML, RICS & AIA – to name but a few.

Their interest in OSCRE may come from a variety of angles: some may be interested in adding this to their education and professional development program; some may have well-established terminology or methodology standards which they want OSCRE to translate into electronic standards; others may already have created electronic standards and be seeking a longer-term home for them.

All of these trade association types have a place within OSCRE. There are two routes open to Trade Associations wishing to participate within OSCRE:

- **Membership** – larger trade associations for whom electronic methods of doing business are an important subject for their own membership should be encouraged to join OSCRE as Executive members. This gives them the influence to ensure OSCRE meets their strategic needs (and those of their own members) and also enables them to participate in the setting priorities for their own market segment. An alternative would be Associate Membership, although this does not give them influence in the priority setting process.
- **Endorsement** – smaller trade associations, or trade associations with few subject matter experts on staff and without a well-established structure for securing input from their members, are likely to be better served through endorsement. In this model, the trade association will promote OSCRE and, in particular, membership of OSCRE, to its own members and encourage them to directly engage with OSCRE to ensure their needs are met.

Even with trade associations that themselves become members, the endorsement activity is key. A single trade association membership is insufficient (typically) to fund the level of investment OSCRE requires to support a market segment.

## 7.2 Standards Bodies

For the purposes of this discussion, we are referring to Real Estate focussed standards bodies (e.g. IAI, NIBS or FIATECH), not general standards bodies (e.g. OASIS or OAG).

Real estate standards bodies fall into two groups: those that include an electronic expression of their standards and those that do not. For standards bodies that do not, the OSCRE value proposition is clear: OSCRE can deliver an electronic expression of their existing subject matter expertise. These organizations should consider membership or endorsement as proposed above for trade associations.

For standards bodies that have already developed an electronic expression of their standards, the value proposition is somewhat different. OSCRE has evolved as a consortium of such standards bodies and brings to the table several incentives for such standards bodies to participate:

- Global exposure of their effort;
- Harmonization so that their terminology is matched and mapped across a broader domain;
- Leverage of know-how and access to resources often beyond their current means;
- Economies of scale in deliver of standards; and
- Participation in a well-organized and well-funded organization that offers an efficient and long-term solution.

These standards bodies should consider either transferring wholesale their activity into OSCRE (as has been done by, for example, Data Consortium) or transferring just the portion of their work concerned with the electronic expression of the subject matter.

## 7.3 Academic Institutions

Academic institutions offer several benefits to OSCRE. They are a source of thinking and are often involved in leading edge work within the real estate domain that can inform, and to some extent, future proof OSCRE developments. They also are an effective source of research, both published and commissioned, that can be focussed by OSCRE.

Many academic institutions operate some form of membership model to assist with their own funding. For these, OSCRE should consider reciprocal membership that should confer Associate-level rights and responsibilities on the academic institution in return for some member-rights for OSCRE (and, in particular, access to their research).

# **Part 2: Organization and Workgroup Operation**

# 8 Change Control

This formal process allows Members to propose ideas for consideration by the Team, gives them a record of their contribution and a mechanism for disclosing the details of the transaction with the Team (including IPR claims). It also allows the Team to review proposed ideas and accurately relay the status of them to the public.

Members can propose ideas in two ways: by making a Request for Change (RFC), or by making a Request for Development (RFD).

A RFD will always necessitate the creation of a Workgroup. It is at the discretion of the Technical Manager to refer a RFC to the Executive Committee if they consider it a significant enough change as to require the creation of a Workgroup.

Any Member, or Member on behalf of several cooperating Members, can make a Request. The term "Submitter" is used below to refer to all of the Members involved in a Request.

## 8.1 How to make a Request For Change (RFC)

Requests For Change should be made through the website.

The Request must include the following:

- The nature of the request; and
- The name, company and contact details of the submitter(s).

The Technical Manager will post the request on the website and the Technical Team reviews the Request and either accepts or rejects it.

### 8.1.1 Acceptance of a Request For Change

If it is accepted the status of the request on the website will be changed to 'Pending' and the change will be made to the next release of the standard.

### 8.1.2 Rejection of a Request For Change

If it is rejected the status of the request on the website will be changed to 'Rejected' and Technical Manager must provide the submitter with the rationale.

## 8.2 How to make a Request For Development (RFD)

It is recognised that Members may have ideas for the development of the Standard that are beyond the scope of a Request For Change. In this case, Members may make a Request For Development, which they understand would necessitate the creation of a Workgroup.

Requests For Development should be made to the Program Management Co-ordinator and copied to the Executive Committee. The Submitter is required to write a short Briefing Paper that should include the following:

- The nature of the proposed development
- A business case to OSCRE supporting the Request For Development
- The names of the submitter(s)
- Name(s) of other Members and potential Members wishing to be involved

A template for the Briefing Paper is available from the website.

The Program Management Co-ordinator is responsible for ensuring that the requested development is not already underway, or already part of the standard.

### **8.2.1 Acknowledgment of a Request**

The Program Management Co-ordinator acknowledges a Request by

- Publishing the Request;
- Publishing Technical Group comments about the Request; and
- Publishing any documents in the Request

Publication of a Request does not imply endorsement by OSCRE. The acknowledgment of a Request does not imply that OSCRE will take any action. It merely records publicly that the Submitter has made the Request. Documents that are part of an acknowledged Request may not be referred to as "work in progress".

The Program Management Co-ordinator forwards the request to the Executive Committee, who then accepts or reject or defer the Request.

### **8.2.2 Acceptance of a Request For Development**

If accepted the Program Management Co-ordinator will allocate a Workgroup Program Manager who will send out a Call for Participation. A Workgroup will be formed. (See the Workgroup section)

### **8.2.3 Rejection of a Request**

If the Request is rejected the Program Management Co-ordinator must inform the Submitter of the rejection and if requested, provide rationale. Other than to the Submitter, the Program Management Co-ordinator must not make statements about why a Request was rejected.

The Submitter may appeal the rejection to the Executive Committee.

### **8.2.4 Deferral of a Request**

The Executive Committee may choose to defer a request for strategic or resource reasons.

If the Request is deferred the Program Management Co-ordinator must inform the Submitter of the deferral and if requested, provide rationale. Other than to the Submitter, the Program Management Co-ordinator must not make statements about why a Request was deferred.

The Submitter may appeal the rejection to the Executive Committee.

### **8.2.5 Appeal of a Rejection or Deferral**

If a submitter wishes to appeal they should send an email to [appeals@oscre.org](mailto:appeals@oscre.org) with any further supporting information to the Request For Development.

The Executive Committee will discuss the appeal and review the application and may call the submitter to the meeting.

The decision of the Executive Committee following the appeal is final.

# 9 Workgroup Operation

Workgroups are the teams that create or refine standards supporting cohesive collections of business processes. They can be requested by any member through the Request For Development process and, if approved by the Executive Committee, are managed through a structured standards development process to completion with the assistance of a dedicated Workgroup Program Manager (from OSCRE staff) together with a Chair and Vice-Chair from interested parties within the membership.

The process for initiating, operating and completing a Workgroup is shown in the swim lane diagram in section 15.

## 9.1 Creation and Modification

The Executive Committee creates, modifies, or extends a Workgroup by authorising a call for participation to the Members. The call for participation must include the Briefing Paper, the name(s) of the submitter(s) and instructions for joining the group.

The Program Management Co-ordinator allocates a Workgroup Program Manager.

The Program Management Co-ordinator also notifies the Harmonization Co-ordinator of the imminent creation of the new Workgroup so the Harmonization Committee can begin thinking about who should form the Harmonization Panel for that Workgroup and what existing resources may provide input (e.g. Data Dictionary items or business processes).

Members wishing to form a Workgroup must make a Request For Development. See the section on Change Management for how to make a Request For Development.

It is permissible, and, in most cases, encouraged, to hold a meeting of interested parties prior to a Request For Development being developed. Such a meeting can be used to build support from the target constituency and is also a powerful opportunity to market OSCRE to potential members. For this reason, such a meeting should be carefully coordinated with the regional CEO and Business Manager.

## 9.2 Requirements of a Workgroup

- Each group must have a Charter.
- Each group must have a Chair (co-Chairs will not be allowed) and at least one Vice-Chair to coordinate the group's tasks. The Executive Committee approves (or re-approves) Chairs and Vice-Chairs for all Workgroups.
- Each group must have a Workgroup Program Manager. The Workgroup Program Manager is an OSCRE member of staff and is allocated by the Program Management Co-ordinator. He or she acts as the interface between the Chair, Workgroup participants, the Technical Team and the Harmonization Committee/Harmonization Panel.
- The Chair or Vice-Chair and the Workgroup Program Manager of a group should not be the same individual. The Chair may be from the Team.
- To allow rapid progress, Workgroups are intended to be small. If the Workgroup grows beyond its maximum number of active participants, the

chair must submit a proposal to the Executive Committee as to how the Workgroup will be managed.

- Each group must have a mailing list for formal group communication (e.g., meeting announcements, objections to decisions, etc.). The Program Manager should ensure that new participants are subscribed to all relevant mailing lists.
- Workgroups may create sub-groups or task forces as required.

## **9.3 Roles and Responsibilities**

### **9.3.1 Role of the Chair**

- The Chair takes responsibility for ensuring that the group meets its charter aims.
- To be the primary liaison point between the group and the executive committee.
- To implement any operational or reporting requirements imposed by the executive committee.
- Is responsible for ensuring that liaison with the Program Manager is maintained.
- Arranging consultation with external trade or professional bodies, including the invitation of appropriate experts to advise the Workgroup.
- Ensure that groups consider all legitimate views and objections, and try to resolve them.
- Responsibility for arranging the recording of aspects of meetings such as:
  - The decision to conduct a vote to resolve the issue;
  - The outcome of the vote;
  - Any objections.
- In the event of a tied vote the chairman will additionally have a casting vote.
- Ensure that each participant's attendance at Workgroup meetings is valid.
- Any conflict between the Chair and the Program Manager must be escalated to the regional board.
- Responsible for requesting and allocating resources from the Executive Committee.

### **9.3.2 Role of the Vice-Chair**

The Vice-Chair supports the Chair by shadowing the Chair's activities and being willing able to stand-in for the Chair as and when required. The Vice-Chair has the same responsibilities and role as the Chair in the Chair's absence.

### **9.3.3 Role of the Workgroup Program Manager**

- Arrange meetings and provide notification to participants.
- Ensure that all participants in the Workgroups are included in all relevant mailing lists and have met all the requirements to join the Workgroup.
- Inform the Technical Team when invited experts raise concerns about due process.



- Ensure the timely delivery of Workgroup Objectives.
- Report progress of group to the Technical Team and Executive Committee.
- Maintain a list of external professional or trade liaisons.
- Ensure all published materials produced by the Workgroup meet the organizational standards and the Workgroup adhere to the Operations Manual.
- Supports and has a dotted reporting line to the Chair.
- Responsible for identifying and coordinating liaison between related Workgroup.
- Manages any budget associated with the Workgroup in accordance with the allocation by the chair as approved by Executive Committee.
- They do not have a vote.

## **9.4 Workgroup Charters**

### **9.4.1 Requirements of a Charter**

A Workgroup Charter must include the following information:

- The Workgroup's mission.
- The scope of the Workgroup's work and criteria for success.
- The duration of the Workgroup.
- The nature of any deliverables (technical reports, software, etc.) and expected milestones.
- The dependency of any other entities (Workgroups, organizations or initiatives) on the deliverables of this group must be specified. For each dependency, the charter must specify the communication mechanism that will be employed.
- Any dependencies of this group on other entities. For example, a group's charter may specify that another group is expected to review a technical report before it can become a Recommendation. For any dependencies, the charter must specify when required deliverables are expected from the other entities. The charter should set expectations about how coordination with those entities will take place. Finally, the charter should specify expected conformance to the deliverables of the other entities.
- Meeting mechanisms and expected frequency.
- Communication mechanisms to be employed by the group.
- An estimate of the expected time commitment from participants.
- Requirements that a quorum of group participants support any formal decision of the group (minimum size of quorum for consensus or unanimity).

A charter may include provisions other than those required by this document.

A template Charter can be found on the OSCRE website ([www.oscre.org](http://www.oscre.org)).

### **9.4.2 Modifications to a Charter**

Any charter modifications must not be made without substantial agreement in the group to accept the changes. Such agreement must be by simple majority of ALL

active participants. The Executive Committee must approve all changes to the charter. They may choose to issue a new call for participation following a change.

## 9.5 Participation

The following individuals may request to join a Workgroup:

- **An employee of a Member organization**

The request to join must either be sent to the Chair of the Workgroup by the nominee's Membership Representative or by the nominee directly, copying the Membership Representative. The Membership Representative must ensure that nominees are qualified. Chairs should set expectations about the roles and qualifications of participants to assist the Membership Representative. The Chair must not reject a request to join from an employee of a Member organization, but the Executive Committee may reject a request or may eject an existing participant in exceptional circumstances (e.g., situations that might affect the progress of the group).

- **An individual who is not an employee of a Member organization**

The request to join must indicate that the nominee wishes to participate as an invited expert (even for participation in a meeting on a one-time basis). Invited experts have the same rights and responsibilities in a group as employees of Member organizations except that they can't vote.

Approval to participate as an invited expert must come from both the Chair and the Workgroup Program Manager. The number of invited experts must not exceed the number of active participants (members). When there is disagreement between the Chair and the Workgroup Program Manager, the Executive Committee determines the outcome of the request.

An individual may request to join a group at any time during its existence.

In each request to join a Workgroup, the individual must disclose, according to the IPR policy, knowledge of relevant IPR claims by the individual's employer. Each request to join a Workgroup must also include a statement that the participant accepts the participation terms set forth in the charter (with an indication of charter date or version). This is accomplished by a click-through agreement on the OSCRE website. The Workgroup Program Manager will be responsible for ensuring every participant has accepted the terms of the charter.

Each request for a Member employee to join a Workgroup must state that the individual's Membership Representative agrees that the Member will provide the necessary financial support for participation (e.g., for travel, telephone calls, conferences, etc.).

Workgroup participants must follow the conflict of interest policy.

A Member organization may claim to participate in a Workgroup if it has at least one employee who is a participant.

In exceptional circumstances a Workgroup participant may designate an alternate to attend a meeting. An individual who personally misses more than two in four meetings automatically ceases to be 'active' and may, at the sole discretion of the Chair, be removed from the Workgroup. Any individual removed in this way may not apply to rejoin the Workgroup unless approved by the Chair.

The Chair may make exceptions to this rule and allow a participant to remain active despite missing more than two of the previous four meetings.

## 9.6 Meetings

### 9.6.1 Initial Workgroup Meeting

The Workgroup Program Manager, appointed by the Program Management Coordinator, chairs the Initial Workgroup meeting.

The purpose of the Initial Meeting is to:

- Introduce any new or Potential Members to OSCRE.
- Brief the participants as to the process of Workgroups and give a background to XML Standards.
- Appoint or Elect a Chair and at least one Vice-Chair.  
The Chair and Vice-Chair(s) must arrange a briefing meeting with the Workgroup Program Manager, and this meeting must take place before any further Workgroup meetings.
- Produce a draft Charter  
This document must be sent to the Executive Committee and approval obtained before any other Workgroup meetings can take place.
- Set a schedule of further meetings

A template agenda for this meeting can be viewed on the website.

Non-Members are permitted to attend the Initial Workgroup meeting plus one subsequent meeting only, purely as an observer (with no voting or other rights), for the purpose of assessing their interest in the scope of the Workgroup. They are not normally permitted to attend any further meetings until their application to join OSCRE has been received. It is the role of the Chair to ensure that each participant's attendance is valid.

The draft charter is sent to the Harmonization Committee. The Harmonization Committee then forms the Harmonization Panel for this Workgroup (by identifying relevant subject matter experts) AND the Harmonization Panel provides the Workgroup with a list of existing work as input (e.g. Data Dictionary items, business process maps). The Workgroup Program Manager is also responsible for drawing attention to any other Workgroups underway with which a liaison committee should be formed.

### 9.6.2 Subsequent Workgroup meetings

This document distinguishes two types of meetings:

- A face-to-face meeting is one where most of the attendees are expected to participate in the same physical location.
- A distributed meeting is one where most of the attendees are expected to participate from remote locations by telephone, web conferencing, video conferencing, IRC, etc.

Meeting announcements should be sent to all appropriate group mailing lists, i.e., those most relevant to the anticipated meeting participants.

To allow proper planning (e.g., travel arrangements), the Chair must give sufficient advance notice about the date and location of a meeting. Shorter notice for a meeting is allowed provided that there are no objections from group participants.

The following table lists guidelines for organizing a meeting:

	<b>Face-to-face</b>	<b>Distributed</b>
Meeting announcement (before)	Four weeks	Two weeks
Agenda available (before)	One week	Two days (or four days for Monday or Tuesday meetings)
Participation confirmed (before)	Three days	24 hours
Action items available (after)	Three days	24 hours
Minutes available (after)	Two weeks	2 days

### 9.6.3 Group Consensus and Voting

The OSCRE process requires Chairs to ensure that groups consider all legitimate views and objections, and try to resolve them. Decisions may be made during meetings (face-to-face or distributed) as well as through email. The following terms are used in this document to describe the level of support for a group decision:

- Unanimity: All participants agree.
- Consensus: No participants object (but some may abstain).
- Dissent: At least one participant objects.

Where unanimity is not possible, the group should strive to make decisions where there is at least consensus with substantial support (i.e., few abstentions) from all participants. To avoid decisions that are made despite nearly universal apathy (i.e., with little support and substantial abstention), groups are encouraged to set minimum thresholds of active support before a decision can actually be recorded. The appropriate percentage may vary depending on the size of the group and the nature of the decision. A group charter must include a quorum requirement for consensus decisions.

In some cases, even after careful consideration of all points of view, a group may find itself unable to reach consensus. When this happens, if there is a need to advance (for example, to produce a deliverable in a timely manner), the Chair may announce a decision to which there is dissent. When a decision must be reached despite dissent, groups should favour proposals that create the least strong objections. This is preferred over proposals that are supported by a large majority of the group but that cause strong objections from a few participants.

The Chair decides when to resolve an issue in the face of dissent. In this case, a dissenter may request that any formal objections be reported at later review stages.

#### 9.6.3.1 Formal objections

The Group should formally respond to a dissenter by proposing a resolution and ask the party who raised the issue to reply with an indication of whether the resolution reverses the initial objection.

If dissenters say they can live with a given decision, this should be taken as an indication that the group can move on to the next topic, but the inverse is not necessarily true: dissenters cannot stop a group's work simply by saying that they cannot live with the decision. When the Chair believes that the legitimate

concerns of the dissenters have received due consideration as far as is possible and reasonable, then objections must be recorded and the group should move on.

The Chair may reopen a decision when presented with new information, including:

- Additional technical information;
- Comments by email from participants who were unable to attend a scheduled meeting; or
- Comments by email from meeting attendees who chose not to speak out during a meeting (e.g., so they could confer later with colleagues, for cultural reasons, etc.).

### **9.6.3.2 Appeal against a Chair's decision**

Participants should always try to resolve issues within the group and should register with the Chair any objections they may have to a decision (e.g., a decision made as the result of a vote). When participants of a Member organization believe that their concerns are not being duly considered within the group, they may ask the Executive to confirm or deny the decision. The participants should also make their requests known to the Workgroup Program Manager. The Workgroup Program Manager is responsible for informing the Executive when invited experts raise concerns about due process.

Any requests to the Executive to confirm a decision must include a summary of the issue (whether technical or procedural), decision, and rationale for the objection. All counter-arguments, rationales, and decisions must be minuted.

### **9.6.3.3 Votes**

Only after the Chair has determined that all available means of reaching consensus through discussion and compromise have failed, and that a vote is necessary to resolve the issue, should a group vote to resolve a substantive issue. In this case, the Chair must minute:

- The decision to conduct a vote to resolve the issue;
- The outcome of the vote;
- Any objections.

In the event of a tie of votes, the Chair shall be entitled to a casting vote in addition to any other vote they may have. In addition:

- The voting procedure is by simple majority.
- Each Member organization must only be allowed one vote, even though each Member may have several participants in the group. If more than one vote is received from a Member organization, the votes must be counted as one vote if they agree, otherwise they must be ignored and the Chair must inform the voting participants from the Member organization of the discrepancy.
- All votes must be minuted.
- All minutes must be accepted by a vote.
- The Workgroup must be quorate in order to vote.
- Votes not taken at a Workgroup meeting, or votes requiring responses from all active participants, must provide a window of 21 days for responses to be received.

- Only Associate and Executive Members can vote (individual members cannot vote).

Workgroups may vote for other purposes. For instance, the Chair may conduct a "straw poll" vote as a means of determining whether there is consensus about a potential decision. These votes that do not follow the above procedure need not be minuted and do not constitute formal decisions of the Workgroup.

# 10 Technical Reports

Technical Reports are documents that contain specifications or guidelines and are produced by Workgroups, to develop the Standard.

This section describes the progression of a Technical Report on a "Recommendation Track" from inception, to its possible inclusion into the Standard.

A Technical Report, despite being referred to in the singular, could be, and is likely to be, a collection of documents that make up the description and documentation of an extension to the Standard.

These documents will typically include a Visio file describing the Business Process, an Excel Spreadsheet describing the structure and data items, and an XML schema document.

## 10.1 Working Draft

A Technical Report begins as a Working Draft. A Working Draft is a chartered work item of a Workgroup and generally represents work in progress and a commitment by OSCRE to pursue work in a particular area. The label "Working Draft" does not imply that there is consensus.

In the Working Draft the Workgroup must define the business process, Identify data exchange points and describe Data Items.

They should produce a Process map in Visio (or other) and a Data Dictionary and structure, represented in Excel. The Workgroup Program Manager will provide a template for the Data Dictionary.

The Workgroup Program Manager must approve publication of a first public Working Draft or any version for review beyond the Membership.

Once a Working Draft has been published, the Workgroup should continue to develop it by encouraging review and feedback. Although a public document, at the Working Draft stage the Workgroup is only obliged to respond to queries and comments raised by Members.

The Workgroup decides when the Working Draft is ready to be sent to the Harmonization Panel and Technical Manager in the form of a Submission Package. A Submission Package must contain one or more swim lane business process models and one or more TWG17 data dictionary submission spreadsheets.

The Harmonization Panel will liaise with the Workgroup, if necessary, over any amendments or clarifications (for details see section on Harmonization Committee Operation).

The Workgroup will be informed of any changes or harmonization issues and be given the opportunity to review the harmonised document.

The Harmonization Panel then forwards the harmonised document to the Technical Team, who adds any new data items to the registry and authors the schema(s).

All documents are then handed back to the Workgroup.

The Workgroup decides when to advance the Working Draft to a Last Call Working Draft, but this cannot be before the harmonization process has been concluded to the satisfaction of the Harmonization Panel, nor before the Technical Team have provided XML Schemas.

## 10.2 Last Call Working Draft

A Last Call Working Draft is a special instance of a Working Draft that is considered by the Workgroup to:

- Meet stated objectives and any accompanying requirements.
- Formally address all issues raised by Workgroup participants, other Workgroups and the Membership about the Working Draft.

The Harmonization Committee must formally approve a Working Draft before it can be advanced to Last Call Working Draft.

To advance the Working Draft to a Last Call Working Draft, the Workgroup Program Manager must send out a Last Call announcement.

The Last Call announcement must:

- Include the Process Map, Excel Spreadsheet and XML Schema documents.
- Specify the deadline for review comments, typically between 4 and 6 weeks.
- Identify known dependencies and solicit review from all dependent Workgroups.
- Solicit public review. Consequently a Last Call Working Draft must be a public document.

The Workgroup should negotiate the Last Call schedule with known dependent groups.

During the review period, the Workgroup should formally respond to comments from the Technical Manager, other Workgroups, the Membership and the public.

A Pilot may be requested as part of the Last Call Working Draft. This is an explicit call for implementation experience outside the Workgroup.

The call for implementation experience must indicate a minimum duration of the trial phase, designed to allow enough time for review comments. The announcement should also include the Workgroup's estimate of the maximum duration expected to gather sufficient implementation data.

The Workgroup may update the Technical Report during this phase if those updates clarify existing meaning or consensus.

Any changes made to the Technical Report must be returned to the Harmonization Committee and Technical Team in order that all parts of the Technical Report and Registry remain consistent.

All changes to Technical Reports post initial Harmonization therefore need to be Versioned and dated and contain a summary of changed items.

## 10.3 Proposed Recommendation

To advance a Technical Report to Proposed Recommendation it must:

- Satisfy the requirements of the Workgroup's objectives and any accompanying requirements documents
- Address all comments from the previous review
- Indicate that the Workgroup has reported all formal objections;
- Demonstrate that at least two vendor's software products are compliant with the standard.



- Adequately address dependencies on other OSCRE initiatives and activities.

During the review period the Workgroup must:

- Formally respond to comments from software vendors' experiences and any further issues raised;
- Request endorsements and support from the Membership (e.g. testimonials for a press release and case studies as soon as available).

The Workgroup must seek final approval from the Executive Committee and from the Technical Manager to advance to a Recommendation.

## **10.4 Recommendation**

A Recommendation is a Technical Report that is the end result of extensive consensus building. OSCRE considers the specified standard is appropriate for widespread deployment and the Recommendation should be forwarded to the Technical Manager for general release.

# 11 Harmonization Committee

## Operation

The Harmonization Committee represents subject matter experts from all aspects of real estate that, through the harmonization process, ensure that processes and terminology is defined and used consistently throughout the world.

### 11.1 Purpose

To harmonize:

- Business processes with those in the Process Library;
- Data items with those in the Data Dictionary; and
- Documents with those in the Document Library.

The Process Library is a database of process maps modelled using the swim lanes technique and indexed using the roles, task names and descriptions (captured using the BPM techniques (discussed at the Rotterdam UNCEFACT EWG Meeting). These process models will be submitted for harmonization through the UNCEFACT channel.

The Data Dictionary will be based on the UNCEFACT ebXML Core Components library modelled following the UBL methodology.

The Document Library is constructed following the UBL methodology from ebXML Core Component BIE's, ABIE's and ASBIE's.

### 11.2 Harmonization Process

An approved Request for Development is given to the Harmonization Committee Chair. This is used to form a Harmonization Panel from the Harmonization Committee members with appropriate domain knowledge.

Following the Initial Workgroup meeting, the Charter is submitted to the Harmonization Panel. The Harmonization Panel provides the Workgroup with data items, business processes and/or documents that are currently in the data dictionary, process library or document library that are likely to be related to the Workgroup activities, based on the information contained in the Charter.

When the Workgroup is ready to advance their work from Working Draft to Last Call Working Draft, it sends a submission package to the Harmonization Panel consisting of Business Process Maps (i.e. Swim Lane diagrams) and the data submission table as defined by the UN/CEFACT guidance document (e.g. TBG17)

The Harmonization Panel reviews the submission package and establishes whether they are new items or duplicate existing entries in the reference documents.

The Harmonization Panel will approve the submission package once it has been able to harmonize its contents. This is pre-requisite for the Workgroup to advance to Last Call Working Draft.

Once the submission package is approved, the Harmonization Panel reformat the package as required and submit any additions or changes to the UN CEFACT harmonization committee as specified in TBG17. It is also provided to the

Technical Team for addition to the process library, data dictionary and document library.

The Technical Team maintain these libraries and dictionary on behalf of the Harmonization Committee.

Harmonization Checklist:

1. There is insufficient information in the submission package to harmonize the process or data;
2. Is the item new;
3. Is the item already present and defined in an identical way;
4. Is the item already present in name, but with a different definition or context;
5. Is the item already present in terms of definition and context, but with a different name;
6. The item is similar in definition to an item already present and has a different name, but may be the same item.

If they are new items they should be listed and passed to the Technical Team for inclusion in the Data Dictionary.

If the item already exists in the Data Dictionary the Harmonization Committee should satisfy itself, by liaison with the Workgroup, that the items are identical.

For all remaining items (4-6) the Harmonization Committee should liaise with the appropriate Workgroups to establish a Harmonised data item, or to clarify the definitions of the new and existing items.

OSCRE will publish which UN CEFACT standards and versions are in use from time to time.

### **11.3 Appointment to the Harmonization Committee**

Appointments to the Harmonization Committee are made by the Executive Committees at their sole discretion. The Executive Committee may also remove members of the Harmonization Committee.

# 12 Compliance

## 12.1 The purpose of Compliance Testing

Compliance testing enables users of property systems to establish which systems in the market place are capable of transferring OSCRE Files with others.

When applying for a compliance test of either or both import and export, the applicant must apply for specific Processes. In order to achieve compliance against a Process the software must be shown to correctly use or construct each mandatory element and attribute in the Process. The software will also be tested for each optional attribute that it claims to support.

A licence is granted to the applicant detailing each Process for which the software has been tested and found compliant. That software may then be marketed as "OSCRE Compliant" for those Processes.

Details of compliant systems are published on the OSCRE web site to allow prospective clients to assess the compliance of each individual software system. These results are presented at two levels of detail:

- A summary shows the compliance of all software currently validated in a tabular form.
- The detail lists all the optional elements and attributes supported by the software for the Processes validated.

## 12.2 Length of a Compliance Licence

A Compliance licence lasts for one year. After that time the software must be re-validated in order to keep its license. In some cases, OSCRE may accept an application to grant a new license to a new version of a software product on the basis that the OSCRE functionality has not been impacted by the changes in the specified release. The decision of the Technical Manager will be final.

## 12.3 Applying for Compliance

Anyone who develops a software system can apply for Compliance against the OSCRE Standard. It is not necessary for the vendor or developer of the software to be an OSCRE Member, although membership will be encouraged.

In-house systems can be validated in just the same way as those for sale to third parties.

The cost of licenses will be determined by the Regional Management Board. Executive Members are entitled 3 free Licences and Associate Members receive 1 free licence per year.

Non-Members will be charged a fee per licence per year.

To apply for a Compliance Test the applicant should fill in the 'Application for Compliance' form available either from the website or from the Technical Manager.

Import and Export can be validated at the same meeting provided they apply to the same version of the software, and incur only one fee (if appropriate) if applied for together.

An application for a Compliance Test is made for a particular version of a software system against the current version of the OSCRE standard for that Process.

Compliance testing of previous versions of Process will only be undertaken if they are in addition to the current version. Applications against more than one version of the Standard will only incur one fee (if applicable) if applied for together.

The form should be submitted to the Technical Manager with the appropriate files supporting documentation and licence fee if applicable.

## **12.4 Supporting Files and Documentation**

When applying for export it is necessary for the applicant to export a compliant OSCRE File from their system. This will form the basis of the Compliance Test. The applicant should use the compliance testing tool; free from the website, to test this file before it is submitted.

Import is necessarily largely self-validated. That is to say that the software supplier is responsible for truthfully and accurately reporting the compliance of their software to the Compliance Testing Panel. However when applying for import the applicant needs to demonstrate the system can import compliant OSCRE Files and can deal with invalid files in an appropriate way.

There are a number of Valid and Invalid test files on the website for this purpose. The applicant should consider submitting:

- System-generated reports, screenshots or downloads demonstrating that the mandatory data for the Process applied for has been imported.
- System-generated reports, screenshots or downloads demonstrating that any optional attributes applied for have been imported.
- Screen shots of the error messages generated on the import of each Invalid OSCRE File.
- A diagram or document explaining the mapping from OSCRE to the system being tested, if necessary.

## **12.5 The Compliance Testing Panel**

Once in receipt of the application The Technical Manager will arrange for the file to be assessed within the Technical Team.

If the file passes the automated compliance test without any error the Technical Manager may sign off the file as compliant.

If the file fails in any aspect then the Technical Manager will form a Compliance Testing Panel.

The Compliance Testing Panel consists of Members of OSCRE who volunteer for this role. There must be at least 3 people, 1 of which has sat on a previous panel. One volunteer will agree to chair the Panel. It is recommended that this person has sat on at least one previous panel.

The Technical Manager must ask each panel member to declare any interests and judge if these are conflicts. The principal criterion here is if any of the panel has a legal or financial interest in the outcome of the Compliance Test.

The applicant may veto certain members of the Panel from sitting on the Panel on competitive grounds and must be told who the prospective panel members are prior to files being distributed.

Once the Panel has been agreed, the Technical Manager will forward the application form and supporting files.

The Panel conduct their own tests and assessment of exported files and/or evidence of import.

For each Process and for import and export separately, the Panel must either:

- Sign-off the system as compliant
- Sign-off the system as compliant subject to a number of agreed modifications that do not require re-testing; or
- Fail the system listing the reasons for non-compliance that will require re-testing.

Although there can be no guarantee that all the reasons for failure will be discovered, the Panel should be as exhaustive as possible and not simply stop at the first non-compliant item.

A record of all comments must be made and typed into each copy of the Compliance Test form. These should be e-mailed to the Chair, who is responsible for reconciling to a single document and making it available to the Panel and applicant.

The Chair must agree the deadline for comments with the panel members and communicate this to the applicant and Technical Manager. As a guideline this should not exceed 20 working days.

It may be possible to agree, without a Compliance Testing Panel Meeting, that the Compliance Test has been successful.

If the application is not successful at this stage, the Chair must determine whether it is possible for the outstanding issues to be resolved by email or whether it is necessary for the panel to meet.

The Panel must provide feed back from this process to the applicant. If necessary the applicant may request a delay or deferral of the meeting in order to address problems that may arise and to re-issue files and/or documentation.

### **12.5.1 The Compliance Testing Panel Meeting**

The purpose of the Panel Meeting is to address the outstanding issues and assess the evidence submitted by the applicant.

The applicant must attend the meeting to answer questions that arise. Where possible, the system being validated should also be made available at this meeting. Where the system is not available at the meeting, the Panel may adjourn and request further specific evidence to help reach a conclusion.

Compliance testing of the software will be established by a simple majority decision of the Panel, taken by vote at the end of the meeting. Where there is a tie, the meeting must continue (either directly or by adjournment) until a majority is established.

All comments should be typed into the application form document.

If the application is not successful at this stage, the Chair must determine whether it is possible for the outstanding issues to be resolved by email or whether it is necessary for the panel reconvene. If necessary the applicant may request a delay or deferral of the meeting in order to address problems that may arise and to re-issue files and/or documentation.

### **12.5.2 Re-submissions**

The applicant has 3 opportunities to resubmit a failed application. If, after this time, the applicant has not been successful they have the option of re-applying, or cancelling the application. In no circumstances will any fee be returned.

## **12.6 Signing Off Compliance**

It is the responsibility of the Chair to ensure that all outstanding matters are resolved satisfactorily. When the Panel are in agreement that the system is valid, the Chair must inform the Technical Manager and forward a signed copy of the completed application form, along with the final copy of any files and documentation.

The Technical Manager will issue the license and arrange for the details to be published via the OSCRE website.

# 13 Policies

## 13.1 Participation

### 13.1.1 Objective

To ensure that in each committee or Workgroup, the participants are appropriate for the role.

### 13.1.2 Delivery

Each committee and Workgroup has a Charter and a Chair. Members who are invited or elect to participate in such a group must select a representative who is competent in the given context (assessed from the charter and, if required, the chair) and will act fairly and representatively.

Unless varied by the committee or Workgroup charter, all such memberships will be individual. If an individual should leave a group, the member they are representing is not automatically entitled to provide a substitute (unless specifically allowed for in the groups charter). They may propose a replacement and providing this replacement meets the criteria and process mandated in the charter, they may join the group.

Workgroup participants should use their best judgment to find the best solutions for the Standard, not just for any particular software, technology, vendor, or user.

### 13.1.3 Policy Accountability

Members will be directly accountable for the appropriate provision of representatives and participants. This will be enforced through the membership agreement.

## 13.2 Intellectual Property Rights

### 13.2.1 Objective

To ensure that all standards created and promoted by OSCRE are unencumbered by restricted intellectual property rights.

### 13.2.2 Delivery

The default position is that anything contributed to OSCRE is unencumbered and the contributor agrees to take any necessary action in order to enable OSCRE to exploit the contribution in pursuance of its mission and objectives.

If OSCRE deems it necessary to use intellectual property that is not free from such encumbrances, it will ensure that all members are informed of the particular intellectual property, the corresponding rights and the reasons for use.

This policy must be adequately communicated to any participants in Workgroups who are not members (and therefore are not subject to a membership agreement). This may entail having supplemental IPR waiver agreements for such participants.

Members wishing to submit material over which they retain IPR, must do so with the understanding that OSCRE and its associated global consortium through OSCRE International will use and distribute it freely. The Member may still retain



the rights and can still profit from them commercially within their own organisation, but not through OSCRE.

### **13.2.3 Accountability**

This policy will be framed in the company's articles, bylaws and membership agreements.

Regional CEO's will be accountable for the implementation of the policy within their geography. Review of the policy and its application will be the responsibility of the international management board.

## **13.3 Dissemination**

### **13.3.1 Objective**

Given the disparate nature of membership of the initiative, broad scope and geographic range, the dissemination policy aims to ensure that relevant information about actual or potential activities or developments are communicated effectively and in a timely manner to everyone concerned (not just the membership).

### **13.3.2 Delivery**

Information about the progress of the organization should be made available to all members and interested parties on a monthly basis in each region. The regional communications should each follow the same format, including information about global (or non-local) issues and developments together with more detail on local news. This should be on an opt-in mailing list basis.

In addition, all members should receive a short quarterly update containing the highlight for the preceding quarter in addition to the AGM statements and papers each year.

In particular, the monthly communications should include information about new Workgroups being proposed or started in all regions to allow participation by interested parties.

Workgroup information should be distributed on an opt-in basis as it currently is. Calls for participation should go to all members in the region forming the group. All other documents associated with the Workgroup are pushed to anyone who has registered interest for these types of documents.

The regional CEO must approve press releases or other publications or communications that are directly or by implication representing the views of OSCRE. Where the communication involves other regions, and this would include anything of a technical nature, the corresponding CEOs must also be consulted.

### **13.3.3 Accountability**

Regional CEO's will be accountable for the implementation of the policy within their geography. Review of the policy and its application will be the responsibility of the International Management Board.

## 14 Glossary

ABIE	<p>Aggregate Business Information Entity</p> <p>A collection of related pieces of business information that together convey a distinct business meaning in a specific Business Context. Expressed in modelling terms, it is the representation of an Object Class, in a specific Business Context.</p>
Active Participant	<p>Member of a Workgroup that has attended more than two in the last four meetings. Only Active participants can vote.</p>
Applicant	<p>Company applying for a Compliance Test</p>
Application for Compliance	<p>Form, available from the website, used to apply for a Compliance Test.</p>
ASBIE	<p>Association Business Information Entity</p> <p>A Business Information Entity (BIE) that represents a complex business characteristic of a specific Object Class in a specific Business Context. It has a unique Business Semantic definition. An Association Business Information Entity represents an Association Business Information Entity Property and is associated to an Aggregate Business Information Entity, which describes its structure. An Association Business Information Entity is derived from an Association Core Component.</p>
Associate Member	<p>Member of OSCRE paying the Associate level subscription.</p> <ul style="list-style-type: none"><li>• May attend Workgroup meetings</li><li>• May attend and speak at general company meetings but have no vote.</li><li>• May claim OSCRE Membership status in publicity material</li></ul>
BIE	<p>Business Information Entity</p> <p>A piece of business data or a group of pieces of business data with a unique Business Semantic definition. A Business Information Entity can be a Basic Business Information Entity (BBIE), an Association Business Information Entity (ASBIE), or an Aggregate Business Information Entity (ABIE).</p>
Briefing Paper	<p>Short document outlining a proposal for an extension to the Standard.</p> <p>It contains the nature of the proposed extension, a business case for the extension and the names of those interested in setting up a Workgroup to develop it.</p>

Business Manager	<p>Responsible for:</p> <ul style="list-style-type: none"> <li>• Maintaining the Register of Interests;</li> <li>• Managing and performing company administrative functions, including insurance, auditing, bookkeeping, arranging company meetings (e.g. Executive Committee meetings, Board meetings etc.);</li> <li>• Maintaining financial control and reporting;</li> <li>• Administrative support for CEO;</li> <li>• Membership communication; and</li> <li>• Signing-up new members.</li> </ul>
Business Process	Identifies the business collaboration i.e. timing and purpose of each step. Reveals the individual pieces of business information that are used and at what stage they are used.
Call for Participation	Notification to Members of the creation of a Workgroup. Must include the Briefing Paper, the name(s) of the submitter(s) and instructions for joining the group.
Charter	<p>The Charter document defines the scope, operation, duration and deliverables of a Workgroup</p> <p>A template Charter can be found on the OSCRE website.</p>
Compliance Test	Test undertaken by the OSCRE Technical Team, or Compliance Testing Panel, to ascertain the compliance of a software system to the OSCRE standard(s) it claims to support.
Compliance Testing Panel	Panel convened to undertake a Compliance Test if deemed necessary by the OSCRE Technical Manager.
Compliant System	A software system that has been tested and granted a licence as supporting one or more OSCRE standards.
Core Components	Conceptual term for nouns and collections of nouns (BIEs - business information entities) that represent primitive business units of information.
Data Dictionary	The full set of available data items and associated information, stored in the registry.
Data Item	Individual Business Term
CEO	Staff role leading the regional organization. Reporting to the Board and Executive Committee, the CEO is responsible for delivering the business plan approved by the Executive Committee. The CEO also has a permanent seat on the International Management Board.
Document Library	List of available schema, stored in the Registry

ebXML	<p>ebXML (Electronic Business using eXtensible Markup Language) is a modular suite of specifications that enables enterprises of any size and in any geographical location to conduct business over the Internet. Using ebXML, companies now have a standard method to exchange business messages, conduct trading relationships, communicate data in common terms and define and register business processes.</p> <p><a href="http://www.ebxml.org">http://www.ebxml.org</a></p>
Executive Committee	<p>Elected sub set of the Executive Members.</p> <p>Role:</p> <ul style="list-style-type: none"> <li>• Creates, modifies or extends Workgroups</li> <li>• Allocates/approves Workgroup Program Managers</li> <li>• Elects the Board</li> <li>• Elects the International Management Board representatives</li> <li>• Appoints and removes people to and from the Harmonization Committee</li> </ul>
Executive Member	<p>Member of OSCRE paying the Executive level subscription. They have voting rights and the power to influence and direct the Standard. They have all the rights of Associate Members but can also:</p> <ul style="list-style-type: none"> <li>• Elect Members to sit on the Executive Committee</li> <li>• Nominate Members to the Board</li> <li>• Vote at general company meetings</li> </ul>
Harmonization Panel	<p>Subset of the Harmonization Committee convened to consider harmonization issues in a specialist field.</p>
Harmonization Committee	<ul style="list-style-type: none"> <li>• Forms Harmonization Panel</li> <li>• Is appointed by the regional Executive Committees</li> <li>• Provides subject matter expertise to resolve naming and interpretive conflicts around the world</li> </ul>
Individual Member	<p>Member of OSCRE paying the Individual level subscriptions. Individual members are entitled participate (but not vote) in Workgroups.</p>

Initial Workgroup Meeting	<p>The first meeting of a Workgroup, chaired by the Workgroup Program Manager, and which has a set Agenda to:</p> <ul style="list-style-type: none"> <li>• Introduce any new or potential members to OSCRE.</li> <li>• Brief the participants as to the process of Workgroups and give a background to XML Standards.</li> <li>• Appoint or Elect a Chair and at least one Vice-Chair.</li> <li>• Produce a draft Charter</li> <li>• Set a schedule of further meetings</li> </ul> <p>A template agenda for this meeting can be viewed on the website.</p>
International Management Board	<p>The managing board of OSCRE International, made up of each of the three regional CEO's together with three elected representatives from each regional Executive Committee.</p>
International Membership	<p>The membership of an OSCRE regional organization in OSCRE International. Compare Regional Membership.</p>
Invited Expert or Subject Matter Expert (SME)	<p>A participant of a Workgroup, usually a Non Member, who has been invited by the Chair to contribute on the basis of his/her specialist knowledge.</p>
IPR	<p>Intellectual Property Rights</p>
Last Call Working Draft	<p>A Last Call Working Draft is a special instance of a Working Draft that is considered by the Workgroup to:</p> <ul style="list-style-type: none"> <li>• Meet stated objectives and any accompanying requirements.</li> <li>• Formally address all issues raised by Workgroup participants, other Workgroups and the Membership about the Working Draft.</li> </ul> <p>A Working Draft must be formally approved by the Harmonization Committee before it can be advanced to Last Call Working Draft.</p>
Licence	<p>Document awarded to a software system following a satisfactory Compliance Test for each Business Process supported.</p>
Mandatory Attribute	<p>Attributes which must be handled by a software system in order to pass the Compliance Test for the Business Process in which they appear.</p>
Mandatory Element	<p>Elements which must be handled by a software system in order to pass the Compliance Test for the Business Process in which they appear.</p>

Membership Representative	<p>The individual nominated by a Member company to act as the representative for that company.</p> <p>Role:</p> <ul style="list-style-type: none"> <li>• Ensure that nominees for participation in Workgroups are suitably qualified.</li> <li>• Agrees that the Member will provide the necessary financial support for participation (e.g., for travel, telephone calls, conferences, etc.)</li> <li>• Contact name on the website.</li> </ul>
Non Member	<p>Person representing a company that is not a member of OSCRE.</p> <p>Non-Members may attend the Initial Workgroup meeting plus one subsequent meeting only, purely as an observer (with no voting or other rights), for the purpose of assessing their interest in the scope of a Workgroup.</p>
Optional Attribute	<p>Attributes which are optional and do not need to be handled by a software system in order to pass a Compliance. Optional attributes supported by a software system will be listed on the website.</p>
Participant	<p>Member of a Workgroup.</p>
Participation terms	<p>Terms of participation in a Workgroup. These are laid out in the Participation policy but may be supplemented in the Workgroup Charter.</p>
Pilot	<p>Trial phase of the implementation of an OSCRE Standard.</p>
Process Library	<p>Library of Business Processes, stored in the Registry and accessible from the website</p>
Process Map	<p>Map of a Business Process. Produced in Visio and forms part of the Submission package</p>
Program Management Coordinator	<ul style="list-style-type: none"> <li>• Approves RFD's</li> <li>• Appoints Workgroup Program Managers</li> </ul>
Proposed Recommendation	<p>A Technical Report which follows a Last Call Working Draft and which:</p> <ul style="list-style-type: none"> <li>• Satisfies the requirements of the Workgroup's objectives and any accompanying requirements documents</li> <li>• Addresses all comments from the previous review</li> <li>• Indicates that the Workgroup has reported all formal objections;</li> <li>• Demonstrates that at least two vendor's software products are compliant with the standard.</li> <li>• Adequately addresses dependencies on other OSCRE initiatives and activities</li> </ul>

Recommendation	A Technical Report following a Proposed Recommendation that is the end result of extensive consensus building. OSCRE considers the specified Standard is appropriate for widespread deployment and the Recommendation should be forwarded to the Technical Manager for general release.
Regional Membership	The membership of an organization in one of the regional OSCRE organizations. Compare International Membership.
Register of Interests	Register of Conflicts of Interest maintained by the Business Manager
Registerable Interest	An interest which under the terms of the Conflict of Interest policy should be added to the Register of Interests
Registry	Software used by OSCRE to enable the search and retrieval of Data Items, documents and Business Processes.
Request for Change (RFC)	Formal method of requesting small changes to existing schemas. Made direct to the Technical Manager via a standard form on the website.
Request for Development (RFD)	<p>Formal process of requesting more significant changes to the Standard, or for initiating new Business Processes. A RFD will always necessitate the creation of a Workgroup.</p> <p>RFD's should be made to the Technical Manager and copied to the Executive Committee. The Submitter is required to write a short Briefing Paper which should include the following:</p> <ul style="list-style-type: none"> <li>• The nature of the proposed development</li> <li>• A Business Case to OSCRE supporting the Request For Development</li> <li>• The names of the submitter (s)</li> <li>• Name(s) of other Members and potential Members wishing to be involved.</li> </ul> <p>A template for the Briefing Paper is available from the website.</p>
Schema	An XML schema is a document that describes the valid format of an XML data set. This definition includes what elements are (and are not) allowed at any point; what the attributes for any element may be; the number of occurrences of elements; etc
Submission Package	The collection of reports that are the standard deliverables from a Workgroup. These include a swim lanes representation of the Business Process and Excel spreadsheet of the data dictionary in the correct format. These documents are submitted to the Harmonization Panel and Technical Team.
Submitter	The Member or group of Members who propose a Request for Change (RFC) or Request for Development (RFD)

Swim Lanes	A form of Process Map. They provide a means of integrating steps in a process with the information and people involved. It is an enhanced flowchart that incorporates additional information such as people involved, points of interaction, means of contact, and flow of information. The "swim lane diagram" was originally developed by Lynn Shostack for use in designing services.
Technical Manager	Head of the Technical Team
Technical Report	<p>Technical Reports are documents that contain specifications or guidelines and are produced by Workgroups, to develop the Standard.</p> <p>A Technical Report, despite being referred to in the singular, could be, and is likely to be, a collection of documents that make up the description and documentation of an extension to the Standard.</p> <p>These documents will typically include a Visio file describing the Business Process, an Excel Spreadsheet describing the structure and data items, and an XML schema document.</p>
Technical Team	Global team responsible for writing and maintaining schemas, maintaining the registry of processes and data items, compliance and technical support to members.
TWG17 Data Dictionary Submission Spreadsheet	Spreadsheet in a specific format used to submit information to the UBL Harmonisation process.
UBL	<p>Universal Business Language. An OASIS Technical Committee</p> <p><a href="http://www.oasis-open.org/committees/tc_home.php?wg_abbrev=ubl">http://www.oasis-open.org/committees/tc_home.php?wg_abbrev=ubl</a></p>
UN CEFAC	<p>United Nations Centre for Trade Facilitation and Electronic Business</p> <p><a href="http://www.unece.org/cefact/">http://www.unece.org/cefact/</a></p>
Working Draft	<p>The first stage of a Technical Report. It is a chartered work item of a Workgroup and generally represents work in progress and a commitment by OSCRE to pursue work in a particular area. The label "Working Draft" does not imply that there is consensus.</p> <p>In the Working Draft the Workgroup must define the business process, Identify data exchange points and describe Data Items.</p>
Workgroup	Group formed to develop extensions or amendments to the Standard.



Workgroup Chair

(Also applies to Workgroup Vice Chair)

- Ensure that the group meets its charter aims
- Primary liaison point between the Group and the Executive Committee
- Implement any operational or reporting requirements imposed by the Executive Committee
- Ensure liaison with the Program Manager is maintained
- Arranging consultation with external trade or professional bodies, including the invitation of appropriate experts to advise the Workgroup.
- Ensure that groups consider all legitimate views and objections, and try to resolve them
- Arranging the recording of aspects of meetings such as
  - The decision to conduct a vote to resolve the issue
  - The outcome of the vote
  - Any objections
  - Casting vote in the event of a tied vote
- Ensure that each participant's attendance at Workgroup meetings is valid.
- Requesting and allocating resources from the Executive Committee

Workgroup Program  
Management Coordinator

- Receives Requests for Development

Workgroup Program  
Manager

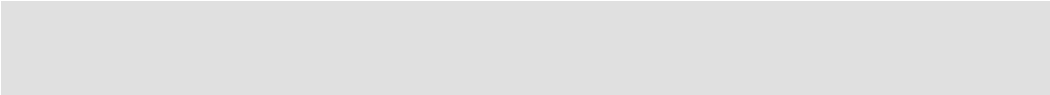
- Informs the Harmonization Committee of the imminent creation of a Workgroup
- Chairs the initial Workgroup Meeting
- Arrange meetings and provide notification to participants.
- Ensure that all participants in the Workgroups are included in all relevant mailing lists and have met all the requirements to join the Workgroup.
- Inform the Technical Team when invited experts raise concerns about due process.
- Ensure the timely delivery of Workgroup Objectives.
- Report progress of group to the Technical Team
- Maintain a list of external professional or trade liaisons
- Ensure all published materials produced by the Workgroup meet the organizational standards
- Ensure Workgroup adhere to the Operations Manual
- Supports and has a dotted reporting line to the Chair
- Responsible for identifying and coordinating liaison between related Workgroups
- Manages any budget associated with the Workgroup in accordance with the allocation by the chair as approved by Executive Committee.

Workgroup Vice Chair

See Workgroup Chair

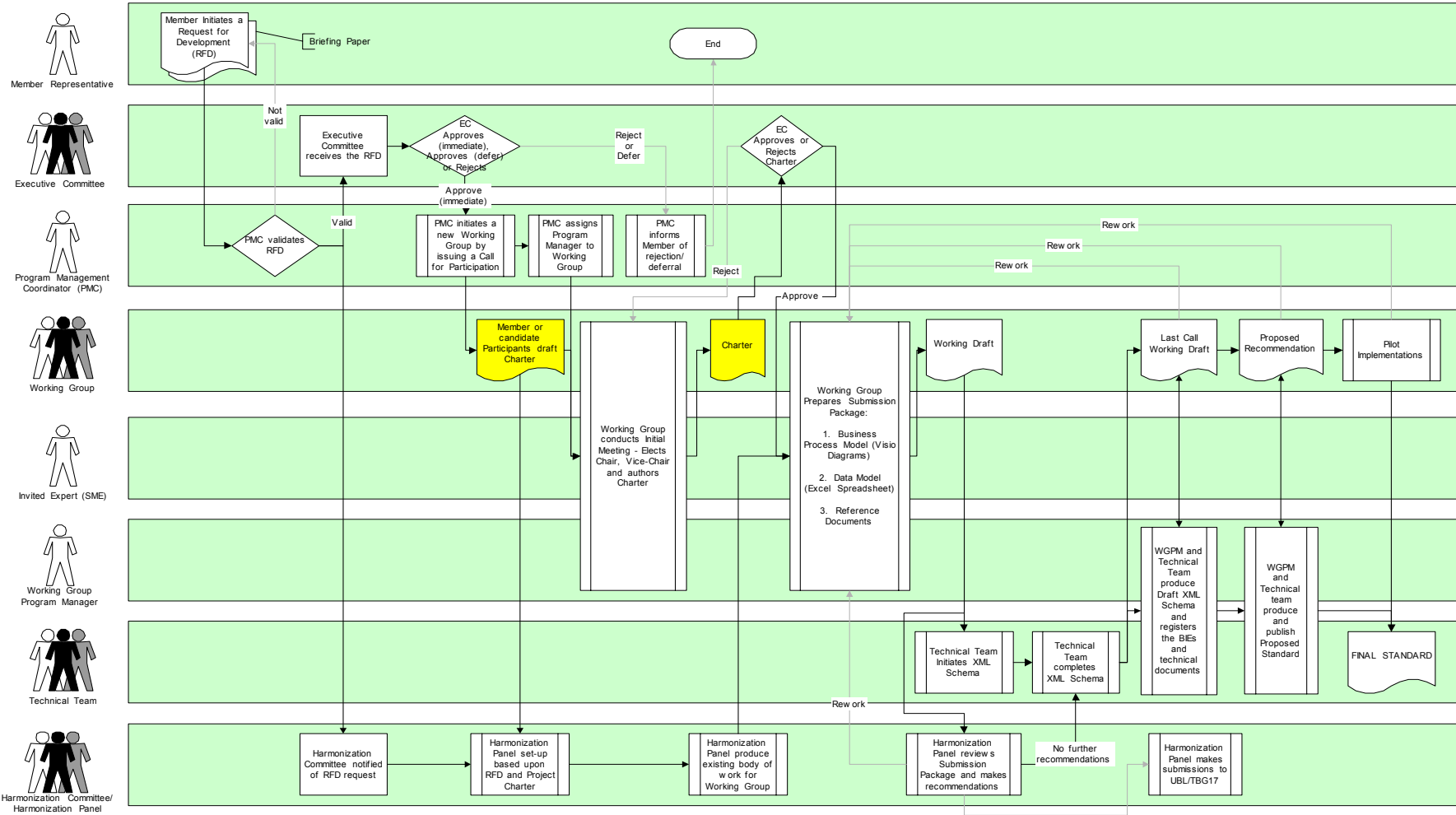
Research Coordinator

OSCRE Member of staff, part of the global team, responsible for Research



# 15 Workgroup Swim Lane

## Actor Classes





## 16 References

The following additional documents are available. These have been constructed based on this Operations Manual:

- Templates:
  - Briefing Paper
  - Request for Development (RFD)
  - Charter
  - Initial Workgroup Meeting Agenda
  - Swim Lanes Diagram
  - Class Diagram (UML)
  - Data Exchange Points Definition
  - Data Submission Spreadsheet
- Workgroup Chair's Handbook
- Workgroup Program Manager's Handbook
- OSCRE International Context Methodology

### OTHER THINGS NEEDED:

Click through participation agreement on the website

Set up e-mail addresses: "info" and "appeals" @ "pisces.co.uk" and "oscre.org"

Set up register of interests (on the website)