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The OMG Hitchhiker's Guide

A Handbook for the OMG Technology Adoption Process

Version 7.3

OMG Document: omg/2006-03-04

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Table of Contents

PREFACE	2
PART ONE: REQUEST FOR PROPOSALS (RFP)	3
1. IDENTIFYING THE PROBLEM	4
2. CREATING THE RFP – BEFORE YOU START	5
2.1 WHO “OWNS” THE PROCESS?	5
2.2 OMG DOCUMENT NUMBERS	5
2.2.1 <i>OMG Assistance</i>	6
2.3 THE “THREE-WEEK RULE”	6
2.3.1 <i>RFP Submissions</i>	6
2.3.2 <i>Other Documents</i>	6
2.3.3 <i>Computing Deadlines</i>	7
2.3.4 <i>Transmitting Documents</i>	7
2.4 PROPRIETARY INFORMATION	7
3. CREATING THE RFP	7
3.1 DOCUMENT NUMBER.....	8
3.2 RFP TIMETABLE	8
3.3 EVALUATION CRITERIA	9
3.4 SUMMARY	9
4. RFP APPROVAL	10
4.1 TASK FORCE APPROVAL	10
4.1.1 <i>Voting</i>	11
4.2 ARCHITECTURE BOARD APPROVAL.....	11
4.3 TECHNOLOGY COMMITTEE APPROVAL.....	12
5. RFP SUBMISSIONS	13
5.1 LETTER OF INTENT (LOI).....	14
5.2 VOTING LIST	14
5.2.1 <i>Voting List Quorum</i>	15
5.3 FORMAT OF SUBMISSIONS.....	15
5.4 FILES ACCOMPANYING SUBMISSIONS.....	15
5.5 INITIAL SUBMISSIONS	16
5.5.1 <i>RFP / Initial Submission Alignment</i>	16
5.5.2 <i>Collaboration</i>	17
5.5.3 <i>RFP Timetable Change</i>	17
5.6 REVISED / FINAL SUBMISSIONS	18
5.6.1 <i>Presentations</i>	19
5.6.2 <i>Evaluations</i>	19
5.6.3 <i>Task Force Approval</i>	21
5.6.4 <i>AB Review and Vote</i>	22
5.6.5 <i>Approval by the OMG Membership</i>	22

6. RFP FINAL STEPS..... 23

6.1 THE BUSINESS COMMITTEE RECOMMENDATION 23

6.2 BOARD OF DIRECTORS VOTE 23

6.3 THE FINALIZATION TASK FORCE (FTF)..... 24

 6.3.1 *Veto Power* 25

 6.3.2 *Issues*..... 25

 6.3.3 *Finalization Report*..... [2526](#)

6.4 SPECIFICATION PREPARATION..... 26

7. RFP POST-ADOPTION 26

7.1 THE REVISION TASK FORCE (RTF) 26

 7.1.1 *Veto Power* [2627](#)

 7.1.2 *Issues*..... 27

 7.1.3 *Revision Report*..... 28

7.2 THE TESTING TASK FORCE (TTF) 28

 7.2.1 *Issues*..... 29

 7.2.2 *TTF Report*..... [2930](#)

 7.2.3 *Licensing* 30

 7.2.4 *Withdrawal of OMG Certification*..... 31

7.3 SPECIFICATION RETIREMENT 31

PART TWO: REQUEST FOR INFORMATION (RFI)..... 32

8. THE RFI – GATHERING INFORMATION..... 33

9. CREATING THE RFI – BEFORE YOU START 33

9.1 WHO “OWNS” THE PROCESS? 33

9.2 OMG DOCUMENT NUMBERS 34

 9.2.1 *OMG Assistance* 34

9.3 THE “THREE-WEEK RULE” 34

 9.3.1 *Computing Deadlines*..... 35

 9.3.2 *Transmitting Documents*..... 35

9.4 PROPRIETARY INFORMATION 35

10. CREATING THE RFI 35

10.1 DOCUMENT NUMBER..... 36

10.2 WRITING THE RFI..... 36

10.3 DEADLINE 36

11. RFI APPROVAL..... 37

11.1 TASK FORCE APPROVAL 37

 11.1.1 *Voting*..... 37

11.2 TECHNOLOGY COMMITTEE APPROVAL..... 37

12. RFI RESPONSES..... 38

12.1 RFI RESPONSE FORMAT 38

12.2 MEETING THE DEADLINE 38

12.3 PRESENTATIONS AND DEMONSTRATIONS..... 38

13. RFI EVALUATION 39

PART THREE: REQUEST FOR COMMENTS (RFC) 40

14. PROPOSING A SOLUTION..... 41

15. SUBMITTING THE RFC – BEFORE YOU START 41

15.1 WHO “OWNS” THE PROCESS? 42

15.2 OMG DOCUMENT NUMBERS 42

 15.2.1 *OMG Assistance* 42

15.3 THE “THREE-WEEK RULE” 42

15.4 PROPRIETARY INFORMATION 43

15.5 FORMAT..... 43

15.6 FILES ACCOMPANYING RFCs..... 43

16. SUBMITTING THE RFC 43

17. RFC ISSUANCE 44

17.1 TASK FORCE APPROVAL 44

 17.1.1 *Voting*..... 44

17.2 ARCHITECTURE BOARD APPROVAL..... 45

17.3 TECHNOLOGY COMMITTEE VOTE TO ISSUE..... 45

17.4 LETTER OF INTENT (LOI)..... 46

18. RFC EVALUATION 46

18.1 RFC COMMENT PERIOD 46

18.2 RFC RECOMMENDATION VOTING 47

 18.2.1 *Task Force*..... 47

 18.2.2 *Architecture Board* 47

 18.2.3 *Technology Committee*..... 47

19. RFC FINAL STEPS AND POST-ADOPTION..... 47

PART FOUR: TRACKING TECHNOLOGY..... 48

20. TRACKING THE TECHNOLOGY ADOPTION PROCESS 49

20.1 TRACKING SUBGROUP TECHNOLOGY ACTIVITY..... 52

20.2 TRACKING RFIS 53

 20.2.1 *Tracking RFI development and issuance* 53

 20.2.2 *Tracking RFI responses and evaluations*..... 54

20.3 TRACKING RFPs 55

 20.3.1 *Tracking RFP development and issuance* 55

 20.3.2 *Tracking RFP submissions and evaluations* 55

 20.3.3 *Tracking the RFP submission vote* 56

20.4 TRACKING RFCs 58

 20.4.1 *Tracking RFC issuance*..... 58

 20.4.2 *Tracking RFC Comment Period*..... 58

 20.4.3 *Tracking the RFC Adoption Vote* 59

20.5 TRACKING RFP AND RFC POST-ADOPTION ACTIVITIES 59

 20.5.1 Finalization 59

 20.5.2 Revision 59

20.6 REPORTING AND TRACKING BUGS / ISSUES AGAINST SPECIFICATIONS 60

20.7 INFORMATION ABOUT IMPLEMENTATIONS 60

20.8 OTHER USEFUL TRACKING RESOURCES 60

PART FIVE: TIPS FOR EFFECTIVE MEMBERSHIP 61

21. TIPS FOR THE EFFECTIVE MEMBER 62

 21.1 BENEFITS OF INVOLVEMENT 62

 21.2 WAYS TO BECOME INVOLVED 62

 21.3 TIPS FOR ATTENDING MEETINGS 63

22. TIPS FOR THE EFFECTIVE CHAIR 63

 22.1 BENEFITS OF INVOLVEMENT 63

 22.2 TASK FORCE AND SIG CHAIR 64

 22.2.1 Meetings 64

 22.2.2. Technology Adoption 65

 22.2.3. Group Promotion 66

 22.3. FTF AND RTF CHAIR 67

 22.4. TTF CHAIR 68

 22.5. WORK GROUP CHAIR 68

APPENDICES 69

APPENDIX 1: RFP CHECK LIST 70

APPENDIX 2: OBSTACLES ALONG THE PATH TO RFP ADOPTION 74

APPENDIX 3: RFI CHECK LIST 75

APPENDIX 4: RFI OBSTACLES 77

APPENDIX 5: RFC CHECK LIST 78

APPENDIX 6: SETTING AND CHANGING DEADLINES 80

 RFP 80

 RFI 81

 FTF CHARTER 81

 RTF CHARTER 82

 TTF CHARTER 82

APPENDIX 7: REQUEST FOR RETIREMENT 83

APPENDIX 8: WHITE PAPERS 86

APPENDIX 9: SOME USEFUL OMG URLS 88

APPENDIX 10: GENERAL DIRECTORY STRUCTURE FORM 89

 GENERAL DIRECTORY STRUCTURE FORM 89

 DIRECTORY STRUCTURE FOR FILES RELATED TO STANDARD METAMODELS 89

DIRECTORY STRUCTURE FOR TEST SUITES	91
DIRECTORY STRUCTURE FOR VENDOR EXPORTS	91
REFERENCES.....	91

Version History

Version	Description
1.0	Addressed Request for Proposals (RFP) process.
1.1	Minor editorial changes
2.0	Addressed Request for Information (RFI) process.
2.1	Minor editorial changes
3.0	Addressed Request for Comments (RFC) process.
4.0	Discussed how OMG Members can maximize their investment of time and energy in the organization.
5.0	Provided a guide to the OMG resources that help track technology through its adoption process.
6.0	Addresses Request for Retirement process.
6.1	Added a discussion on forming RFP evaluation teams and performing those evaluations.
6.2	Brought the <i>Guide</i> into alignment with OMG's Model Driven Architecture (MDA [MDAa – MDAd] and updated RFP Template [RFP].
6.3	Incorporated minor changes from OMG P&P in regard to FTF and RTF charters; added links to the F/RTF final report template; added help with proxies; and made recommendations for setting LOI deadlines.
6.4	Added further information on F/RTFs and an appendix discussing White Papers.
6.5	Addressed using the ISO PAS Submission Template for OMG submissions.
6.6	Covered May 2004 changes to OMG Policies and Procedures (P&P Specifically, changes addressing the RFC process; clarification of requirements for filing an LOI; and proxy voting.
7.0	Performed some much-needed editorial review following over a dozen revisions.
7.1	Adds discussion of files accompanying submissions and their directory structure. Also, references to the RFI Template.
7.2	Adds clarification of voting process (the poll). Tidies up wording explaining the Vote-to-Vote. Further explanation of FTF and RTF Final Reports.
7.3	Adds discussion of the Testing Task Force.

Preface

This document is a handbook that serves as an aid to navigating through and complying with the OMG technology adoption process. While the guide was written with those responsible for shepherding the process in mind, it will serve as a useful interpretive tool for anyone wishing to understand the process better.

Note that this guide is **not** intended as a replacement to OMG Policy and Procedures [\[P&P\]](#). Rather, it stands as an interpretation and application of that document. The guide serves as an explanation of the technology adoption process in less formal wording. It also provides tips gained through experience in navigating through the sea of procedure necessary to ensure an open process.

The title of this handbook was derived from *The Hitchhiker's Guide to the Galaxy*, Douglas Adams (1952-2001), "the entertaining and unconventional guide to Life, the Universe and Everything". It is in that spirit that this handbook is offered as a guide to its readers as they journey through the OMG and its technology adoption process.

Fred Waskiewicz
Needham, MA

Part One: Request for Proposals (RFP)

This section addresses the complete RFP process. It covers inception; issuance, submission in response to the RFP; evaluation and recommendation for adoption; finalization; and subsequent revisions.

1. Identifying the Problem

The OMG is responsible for providing solutions to industry problems. A Request for Proposals (RFP) is a statement of industry need and an invitation to the software supplier community to provide a solution, based upon requirements stated within. The process of identifying need is a culmination of experience within an OMG technical group (be it a Task Force, a Special Interest Group or a Subcommittee) and solicitation of industry recommendation. While the RFP is not prescriptive in the sense of dictating how the solution is presented, it does provide guidelines – requirements – that again are derived from the sources noted above. The RFP is an explicit request to OMG Members to submit proposals for technology evaluation against the requirements stated in the RFP and adoption of those proposals.

Under OMG Model Driven Architecture (MDA) [[MDAa](#) – [MDAd](#)] guidelines, responses to a RFP are expected to be expressed in any combination of a Platform Independent Model (PIM), one (or more) Platform Specific Model (PSM), and associated information specifying how the PIM maps to the PSM(s). This information may take the form of an algorithm, instructions captured in prose, or some appropriate combination thereof, subject to the specific requirements as stated in Chapter 6 of the RFP. The technology that is being proposed for standardization must be ready for standardization, i.e., it is already deployed and in use. The OMG discourages issuance of RFPs that request the initiation of some research project.

Once a problem has been identified, a RFP is drafted, is voted upon at the Task Force level (***RFPs are initiated at the Task Force level***), approved by the Architecture Board and passed to the Task Force's parent Technology Committee for issuance. Note that a Technology Committee may only issue a RFP for which it has obtained Architecture Board approval, verifying that the RFP contains no requirements that are incompatible with adopted OMG technology. The adoption process typically takes a period of 12-15 months from issuance of a RFP to adoption of a specification, although that can vary depending of such factors as scope and complexity.

As all of the OMG membership constitutes one cohesive technical body, it is theoretically possible for a RFP to be sponsored by a Task Force other than one chartered to work on the topic at hand. For example, a Domain Task Force could sponsor a RFP related to a MDA Platform Specific Model (PSM). While theoretical, this approach is seldom practiced as it shifts sponsorship away from the center of expertise and introduces additional coordination effort.

Before a RFP can be crafted, one more extremely important task must be accomplished: verifying that suppliers exist who are willing to respond to the RFP and to commit to building its implementation. This effort should not be interpreted as soliciting commitment but rather assessing interest within a particular supplier community. Its intent is to avoid the embarrassment of “sending out invitations and no one coming to the party”.

Tips

- Identify the industry problem to be solved.
- Identify the high-level requirements associated with its solution.
- Canvas the supplier community to ensure there is interest in solving the problem.

2. Creating the RFP – Before You Start

Upon successful completion of the three tasks above, RFP development can begin in earnest. However, four very important concepts regarding the OMG technology adoption process should first be understood:

1. *Who “owns” the process*
2. *OMG document numbers*
3. *The “Three-Week Rule”*
4. *Proprietary information*

2.1 Who “owns” the process?

The simple answer: the OMG membership. While a Task Force (TF) or a Special Interest Group (through a Task Force) may sponsor a RFP, by policy it is the parent Domain or Platform Technology Committee that issues the RFP. While the OMG membership will defer to a Task Force or SIG on issues related to the group's area of expertise, it is the Architecture Board (AB) explicitly and the membership implicitly that are all stewards of the MDA, and thus have ultimate authority over the issuance of a RFP and adoption of responses. In this context, it is the role of the issuing body to shepherd the RFP through to its adoption, ensuring that the intent of the RFP (its requirements) is met while complying with adopted OMG technology.

2.2 OMG Document Numbers

The OMG uses document numbers to identify documents - nothing more or less semantically meaningful than that. A document number is the principal – actually, the only - mechanism within the OMG to enforce document control. Numbered documents aren't necessarily "official" OMG products (any Member can obtain a document number – except at TC meetings when only a Chair can make this request - and get the document placed on the OMG's document server). Hence, a document number serves as a useful way of identifying versions of a document's working drafts.

Tips

- Citing one Task Force: “Having multiple versions of a document bearing the same number will inevitably cause much more confusion than one can imagine.”
- Only Subcommittee, Task Force and Special Interest Group Chairs can assign a document number at a TC meeting.

A benefit of assigning document numbers to different versions and placing each on the OMG's document server is that the document's URL rather than huge attachments can be

circulated, making many recipients extremely happy (especially those using modems). Version control can also be supported through noting a document's status in the notes section of the OMG document database. Pointers to the later document can also be noted.

Documents are never removed from the OMG server; document numbers never expire. Once a document is posted to the OMG server, that specific document cannot be altered.

2.2.1 OMG Assistance

Assistance in any matter regarding documents or document numbers is provided by sending a message to omg-documents@omg.org.

2.3 The "Three-Week Rule"

OMG policy states that any document to be presented to the membership for consideration (vote) at a Technical Meeting must be available to the entire membership three weeks prior to the beginning of an OMG Technical Meeting. The spirit of the Three-Week Rule is to ensure adequate time for review of a document under consideration. There are two distinct circumstances on how the Three-Week Rule is applied:

1. As it relates to RFP Submissions.
2. As it relates to any other document (RFP, Task Force charter, etc.).

2.3.1 RFP Submissions

The deadline for submissions in response to a RFP must be set at least three weeks prior to the first day (Monday) of the OMG Technical Meeting at which they will be presented. The rule as presented in this context is non-negotiable; it must be followed. Submissions missing the deadline for Initial Submissions will not be considered, unless the errant submitter convinces the Task Force *and all of the other submitters* to extend the submission date. Submitters missing the deadline for Revised Submissions will have their Initial Submission considered.

2.3.2 Other Documents

The deadline for other documents requiring a vote must be three weeks before the first day (Monday) an OMG Technical Meeting. It is possible that a document could show up after the deadline. However, an OMG Member, feeling that inadequate (less than three weeks) time was provided to review a document for consideration, may choose to invoke the Three-Week Rule, which has the net effect of postponing consideration until the next meeting (which could be up to three months). To prevent malicious invocation of this rule, it must be voted upon at the appropriate technology committee meeting. However, the motion only requires a 1/3 majority of those present to pass - less than a simple majority!

2.3.3 Computing Deadlines

To meet its deadline, a copy of a document must be received by the OMG by 5:00 pm US Eastern Time on that date. To compute the deadline date, subtract 21 days from the first day of the OMG Technical Meeting (traditionally, a Monday). For example, the three-week deadline for a meeting starting on the 25th would be the 4th. Availability does not strictly mean "electronic" availability on the OMG server, but simply availability from the OMG. For example, a Member could telephone or write the OMG after the deadline and receive a hardcopy of the document. It is the Task Force Chair's responsibility to see that this deadline is met for all documents under his or her group's sponsorship.

2.3.4 Transmitting Documents

While on the topic of document management, the preferred means of transmitting documents (with the exception of RFP Submissions) is to send them electronically to omg-documents@omg.org. Hardcopies can be mailed but present obvious problems in access and duplication. In other words, ***don't send hardcopies of documents unless required to do so!***

2.4 Proprietary Information

A caveat about all documents or information sent to the OMG stated as simply and as succinctly as possible:

Proprietary information cannot be disclosed by any participant in any manner during any meeting of any OMG working group. Any disclosures of any information at an OMG meeting automatically become public domain, by virtue of the OMG's Policies & Procedures [P&P]. Furthermore, no proprietary information shall be forwarded to the OMG in any manner. Any proprietary document sent to the OMG will not be accepted.

3. Creating the RFP

A generic template is available from the OMG to help guide the construction of a RFP and should be used. The version of that guide available at the time of publishing this document is found at reference [\[RFP\]](#). The RFP Template is divided into a boilerplate providing information common to all RFPs and a technology specific section. The OMG Architecture Board "owns" the boilerplate; that is, they are responsible for its upkeep. The portions of the template that are the responsibility of the sponsoring work group include:

1. Cover Page
2. Chapter 6 – Specific Requirements on Proposals

The Cover Page identifies the document by title and OMG document number. It also states the objective of the RFP and specifies its due date. Chapter 6 covers the problem statement; scope; related OMG technologies and documents; requirements and optional features; issues; evaluation criteria; and the Timetable for the RFP.

3.1 Document Number

section [2.2](#) of this document describes the relevance of document numbers and how they are obtained.

Tip

- Use a new document number to enforce configuration management.

3.2 RFP Timetable

All submitters responding to an OMG RFP are bound by the same OMG requirements, including documentation deadlines. To this end, section 6.10 of the RFP Template specifies the RFP Timetable to be followed in the adoption process. (By policy, at least the LOI and Initial Submission deadlines must be published in the RFP.) The following example portrays a twelve-month cycle which is, admittedly, slightly ambitious.

Day 0	Technology Committee votes to issue the RFP.
~Day 90	Anyone intending to respond to an RFP, whether individually or jointly with other members, must submit a Letter of Intent (LOI) to respond to OMG by a date specified in the RFP. See section 5.1 for more information.
Day 113	The Initial Submission date of a RFP must be at least twelve weeks from its issue date (Day 0 - which is the date on which the vote passes the Technology Committee). Also, this date must occur three weeks before the TC Meeting at which the Initial Submission(s) is/are presented. Non-members submitting an LOI must join the OMG by this date.
Day 134	Voting List registration closes. The date is typically one week before the beginning of the TC Meeting (the Initial Submission presentations). See section 5.2 for more information on the composition of this Voting List.
Day 141	Initial Submission presentations. See section 5.5 for more information.
Day 240	By policy, Revised Submissions are optional and voting could occur coincident with the Initial Submissions deadline. However, this practice is rare and, in most cases, impractical. Experience has shown that Revised Submissions are needed and thus should be accommodated in the RFP Timetable. The voting schedule, to be discussed in subsequent sections of this document, must also be accommodated.
Day 261	Revised Submission presentations. See section 5.6 for more information.
Days 330 and 360	Membership vote (section 5.2) and Board of Directors votes (section 6.2).

Table 1. Example RFP Timetable

One or more further Revised Submission deadlines may optionally be set by the Task Force, giving submitters the opportunity to merge or modify their submissions. Should a Revised Submission deadline be set, there is no obligation on a submitter to alter their submission; under these circumstances the original submission will be re-examined by the Task Force. However, note that if a submitter explicitly withdraws a submission (in writing), then it will not be reconsidered, and furthermore the submitter may not subsequently make another response to that RFP.

Although not required to do so, submitters have been responsive to Task Force requests to revise their submissions throughout the history of the OMG.

Tips

- Get the schedule of upcoming OMG meetings to determine deadlines.
 - Allow adequate time for submission development, refinement and evaluation (factor in a revision cycle).
- Compute the LOI deadline to be approximately 60 days before the Initial Submission presentations
- OMG Staff announces all impending deadlines.

3.3 Evaluation Criteria

Developing evaluation criteria concurrent with the RFP is a good practice. It enables potential submitters to understand how their submissions will be measured against requirements. It also assists OMG Members in assessing how well submissions (once received) are meeting requirements.

Tip

- Developing usage scenarios is an effective means of assessing submission scope.

3.4 Summary

The following tips are offered to assist in developing an effective RFP.

Tips

- The secret to creating a good RFP is there's no secret: sound technology and good editing go a long way towards a RFP being understood, issued and receiving satisfactory submissions.
 - Check [Appendix 2](#) for some additional editorial tips for RFPs.
- Get your expected submitters on board at the RFP development stage. The intent is not to bias the RFP, but rather to align it with existing or planned (and implementable!) industry solutions.
- Pay special attention to *Relationship to Existing OMG Specifications and Related Industry Documents and Standards*. These are the signals to folk outside of the sponsoring working group to **pay attention!** The contents of these sections serve as proof of a systematic approach to solving the business problem.

- The development of the RFP will be completed when its authors feel confident that the following will be achieved:
 - Task Force recommendation to issue
 - Architecture Board recommendation to issue
 - Approval by parent Technology Committee to issue
- Don't put off defining the evaluation criteria – do it now!
- **Love a tree!** When circulating paper copies of the document among the drafting team as it is being developed, circulate only the face page and section 6.
- **Communicate!** About 5 weeks before the upcoming OMG meeting, circulate a rough draft of the "content" portion (not the entire document) of the RFP for comment on the Task Force mailing list. Make it easy for Task Force members to review the content before the final version, and have their concerns addressed. It's okay and advisable to give the email reviewers a deadline for comment, perhaps a week after the announcement. Teleconferences may be required to resolve open issues.
 - Don't forget to place the draft(s) on the OMG server.
- **Advertise!** Broadcast the RFP document number and availability to the full membership (tc@omg.org) and include the objective with the announcement.

4. RFP Approval

Any RFP issued by the OMG must be approved for issuance by the membership. The RFP approval process follows three major steps:

1. Obtaining the recommendation to issue by the sponsoring Task Force.
2. Obtaining Architecture Board recommendation to issue.
3. Obtaining the approval of the parent Technology Committee to issue.

4.1 Task Force Approval

The first step in obtaining approval for RFP issuance is to acquire an affirmative vote to recommend issuance from the sponsoring Task Force. The task at hand is to advance the case of issuing the RFP to the Task Force by:

1. Making the objectives of the RFP clear.
2. Stating its relevance to industry.
3. Aligning the RFP to the Task Force's roadmap.
4. Defending its technical case (requirements of submission, compliance to the Model Driven Architecture (MDA) [[MDAa](#) – [MDAd](#)] and evaluation criteria).
5. Agreeing to its Timetable.

Task Force buy-in should be ensured by the time the group convenes at the OMG Technical Meeting. This means communication (via email, teleconference) with its members prior to the meeting.

A typical Task Force voting scenario is as follows:

1. The Task Force meets at least once to discuss the RFP prior to any Architecture Board (AB) review. By policy, a RFP cannot be issued at the same meeting that it is first discussed.
2. A spokesperson(s) presents the RFP to the AB at its first meeting day (by convention, Monday afternoon) for initial review.
3. The AB may or may not request minor revisions.
4. The RFP working group makes necessary changes (if required).
5. AB and subsequent Task Force changes (if any) are reviewed and the vote to recommend issuance occurs in a Task Force meeting prior to the AB's fourth meeting day (by convention, Thursday afternoon).
6. The (modified) RFP is presented to the AB at its Thursday meeting with a request to vote its recommendation for issuance.

4.1.1 Voting

Voting at the Task Force level on issuance of a RFP is by simple majority of OMG Members other than Trial Members represented on the Task Force, and not just by those OMG Members entitled to vote in the Task Force's parent body. Each Member Company or organization has at most one vote in a Task Force meeting, regardless of how many representatives it sends. Approval is determined by a simple majority vote of eligible Task Force members. Proxies [[Proxy](#)] count towards this level of voting. Note that if a Member names more than one proxy holder then it is the responsibility of those holders to determine amongst themselves who will cast a specific vote and how.

Quorum in Task Forces is defined as half the number of Task Force members (companies or organizations) that have been represented in person at two or more of the last three meetings of the Task Force co-located with meetings of the parent Technology Committee. Task Force Chairs are provided this calculation prior to each meeting.

Tips

- **Love a tree!** When distributing the document to the Task Force for review, circulate only the face page and section 6, the requirements specific to this proposal.
- **Don't wait until the last minute to have copies made!**
 - *The OMG form for requesting copies to be made by the OMG Staff requires the signature of the Task Force Chair.*

4.2 Architecture Board Approval

The second step in obtaining approval for RFP issuance is to acquire an affirmative vote to recommend issuance from the Architecture Board. A Technology Committee may only issue a RFP for which it has obtained AB approval in order that the AB can verify that the RFP contains no requirements that are incompatible with the Model Driven Architecture (MDA) [[MDAa](#) - [MDAd](#)] or adopted technology. The initial review occurs at the AB's first (Monday) meeting day during a TC meeting. The assumption is that the RFP is almost finished, and that the review takes the form of Question and Answer among informed parties. It is not an education session. Feedback is provided to the Task

Force, which usually hasn't voted on the RFP. Approval is determined by a simple majority vote of AB members and normally occurs at its Thursday meeting day during an OMG Technical Meeting.

In order for a RFP to be reviewed by the AB, it must be on their agenda. Make sure the AB Chair (ab-chair@omg.org) is notified of the RFP document number as soon as OMG receives it. The Chair will place that document on the AB agenda, assign at least one member to study it in depth and ask all AB members to read it before the meeting so that they can make an informed decision.

Tips

- **Be prepared!** Although the AB tries to get involved in the early stages of RFP development, the AB's Monday meeting may be their first exposure to the RFP. It must be complete. Don't approach them with "TBDs". Normally, the time between their first and fourth meeting days is used to address minor technical and editorial issues. Major issues will undoubtedly result in delay of their vote to the next OMG meeting – a delay that could be up to three months!
- **Love a tree!** Usually, having an electronic copy filed on the OMG document server three weeks in advance of the TC Meeting is sufficient. The exceptions are errata or other changes made to that copy during the course of a TC Meeting, in which case:
 - Get the revised RFP in the hands of each AB member as soon as possible.
 - **Don't wait until the last minute to have copies made!**
 - *The OMG form for requesting copies to be made by the OMG Staff requires the signature of the Task Force Chair.*
 - Use change bars to highlight revisions to the document first seen by the AB.
- **Advertise!** Talk to the AB! At least one AB member is assigned the RFP for review and discussion with his or her peers. Make it your responsibility to talk to that person, your AB buddy (an AB member who has been assigned as a mentor) and the other AB members.

4.3 Technology Committee Approval

The actual approval to issue a RFP must come from the Task Force's parent Technology Committee – either the Domain or the Platform Technology Committee. Approval to issue is determined by a simple majority vote of eligible voters in the DTC or PTC plenary meeting, which occurs at the last day of the OMG meeting (Friday, by convention). While voting may take place at a meeting or electronically, votes to issue normally occur at this meeting. Proxies [[Proxy](#)] count towards this level of voting. Note that if a Member names more than one proxy holder then it is the responsibility of those holders to determine amongst themselves who will cast a specific vote and how.

Tips

- *Advertise!* Don't show up at the plenary meeting with a never-before-seen RFP and expect everyone to simply agree without question.
 - And this may sound obvious, but make sure an advocate of the RFP *shows up* at the plenary meeting.
- *Love a tree!* Despite all of your efforts to the contrary, there will be Members showing up at the plenary who have not looked at the RFP.
 - It helps to have about 25 copies of the RFP at the TC plenary but circulate only the face page and section 6, the requirements specific to this proposal.
 - *Don't wait until the last minute to have copies made!*
 - *The OMG form for requesting copies to be made by the OMG Staff requires the signature of the Task Force Chair.*

5. RFP Submissions

Once a RFP is issued, the process of soliciting submissions begins in earnest. Solicitation is accomplished by such means as advertising, issuance of press releases, verbal communication, direct mailings and other actions. The budgetary limitations of OMG and its Members notwithstanding, solicitation activity has as its goals bringing the RFP to the attention of as wide and representative a section of the industry as possible (including non-members) and generating the most technically valuable and diverse response. The submission phase is a four-step process:

1. Members wishing to respond provide a Letter of Intent (LOI).
2. (Optional) A closed Voting List of OMG Members (above Trial) is compiled that will determine whether or not to recommend adoption or to move dates.
3. Initial Submissions are developed and presented to the sponsoring Task Force, which provides feedback to the submitter(s).
4. A determination is made for the need for Revised Submissions. These are developed and delivered to the OMG prior to evaluation by the sponsoring Task Force.

Non-members or Members may identify themselves as a supporter of a submission. While such support may be deemed to give marketing and/or technical credence to the submission, or the support reflects missing an LOI deadline, a non-Member supporter cannot participate in the adoption process. A Member listed as a supporter has no more rights than a Member not submitting a proposal. For example, the supporter has no veto rights.

Tips

- *Advertise!* Use trade publications, trade events and your personal network to advertise the RFP.
- Seek OMG Staff help in advertising the RFP.

5.1 Letter of Intent (LOI)

Any Contributing, Domain or Platform Member of the OMG in good standing may propose specifications for adoption by OMG in response to a RFP. The Letter of Intent (LOI) represents that Member's intention to submit a proposal. LOIs are presented to the OMG BoD's Business Committee so it may examine the proposal under its commercial availability criteria. Any OMG Member intending to respond to an RFP, whether individually or jointly with other members, must submit a LOI to the appropriate Technical Committee Chair by the LOI date specified in the RFP. This date, which must be explicitly stated in the RFP, is recommended as 60 days before the Initial Submission date. If a Member is not at the appropriate membership level, then they must upgrade to that level no later than the Initial Submission date and must maintain that level of membership throughout the RFP process. Submissions from Members that have not provided Letters of Intent will not be considered by the OMG. Furthermore, if a Member withdraws its LOI or subsequent response at any stage then it cannot subsequently re-enter that RFP process. Any withdrawal of LOI or Submission must be made to the OMG in writing.

5.2 Voting List

The vote related to any issue regarding a RFP (e.g., the vote to recommend issuance; the vote to recommend a submission for adoption) at the Task Force level is open to all OMG Members above the Trial level of membership.

The membership list for voting on issues related to the RFP is usually closed, although policy does not require a Task Force to do so (except in the cases of Finalization and Revision Task Forces). A Task Force Voting List names Members, rather than specific representatives. Any OMG Member filing a Letter of Intent (LOI) with the OMG to submit a specification in response to that RFP will be automatically registered on the appropriate RFP Voting List.

The most common way to close a Voting List is to explicitly list that date in the RFP Timetable. The Voting List closes by virtue of passing that published date. Although permitted by policy, calling for a vote to close the list is seldom if ever used. A Voting List may be reopened as long as it has minimum impact on the RFP Timetable. Reopening a Voting List must have the approval of the Task Force and must be a minimum of two weeks after the day on which the vote was taken.

Tips

- Close the Voting List to avoid late-packing and to encourage the establishment of a working core of representatives.
- The impending closure of the Voting List should be announced two weeks before that deadline to give all Members ample reminder of the need to register.

5.2.1 Voting List Quorum

Understanding how quorum is computed is best achieved by quoting OMG policy. “Quorum for a closed Voting List in a Task Force is defined as half the number of Voting List members which have been represented in person at two or more of the last three meetings of the Task Force co-located with meetings of the parent Technology Committee. If these calculations yield a quorum of less than three, quorum for that Task Force or Voting List shall instead be set at three.” Proxies [[Proxy](#)] count towards meeting quorum. Note that if a Member names more than one proxy holder then it is the responsibility of those holders to determine amongst themselves who will cast a specific vote and how.

A note on the voting procedure.

Policy states that Task Force votes on recommendations to the parent Technology Committee occur only in Task Force meetings co-located with meetings of that Technology Committee.

5.3 Format of Submissions

Before discussing process-related topics, the format of submissions needs to be addressed. Several years ago, OMG decided to submit the majority of its specifications to ISO to become ISO standards using either ISO JTC1's PAS process or ISO's Fast-Track. For a specification from OMG to become an ISO standard, it is highly desirable that it be in a format closely approximating the ISO format. (If it is not in an ISO-like format when the standard comes up for its five-year review in ISO, it will be withdrawn). A template [[ISO PAS](#)] is available for formatting submissions to RFPs in the ISO PAS format.

Submitters should adopt this format beginning with Initial Submissions. Laying the groundwork for submission format at the start of the process prevents editing work later when effort should be focused on technical content. Also, although rare, there have been cases where Initial Submissions serve as the final submission. Finally, readers may find that a change of formatting between the Initial and Final Submissions obscures the substantive changes. Certainly, changing the format would prevent the use of change bars.

5.4 Files Accompanying Submissions

Submissions to be evaluated as OMG specifications often have files associated with them that software developers require or can benefit from. Some examples are:

- Normative files. (XMI, DTDs, etc) for metamodels specified in OMG specifications. XML documents can contain URI references to DTDs and XML schemas for validation and other purposes. XMI documents can also contain URI references to other XMI documents that define the models of which they are instances.

- Test suites
A test suite can be provided or approved by the Task Force working on the specification. The test suite could be part of the compliance points for a specification.
- Vendor exports
Vendors can provide collections of XMI files exported from their tools, to promote interoperability testing.
- Other useful files
Modeling tool (e.g., Rational Rose .mdl files) are the most obvious example.

The OMG has an effective way of uniquely naming documents and files. However, potential users of these documents / files can have a hard time discovering them on the OMG web site. Guidance for a consistent, obvious directory structure for OMG files can be found in [Appendix 10](#). The structure takes into account different versions of the "domain" standard, and potentially different versions of XMI and different versions of MOF.

5.5 Initial Submissions

The Initial Submissions in response to a RFP are due at least 12 weeks after the date of issuance of the RFP. The period between issuance of a RFP and presentations describing the Initial Submission to the RFP is one in which most of the work is performed by the submitter(s). The Task Force role during this time is to provide explanation and clarification of the RFP. Initial Submissions are due on the OMG document server no later than three weeks before the OMG meeting at which the Initial Submission Presentation will occur. This date is specified in the RFP.

A presentation describing each Initial Submission is made by the submitter(s) to a meeting of the sponsoring Task Force. The Task Force uses this information to ascertain the following:

1. Assess how well a submission is technically aligned with the RFP.
2. Explore the possibility of combining submissions.
3. Determine if a RFP Timetable change (e.g., Revised Submission) is required.

Submitters

Check [Appendix 2](#) for some editorial tips on crafting a submission.

5.5.1 RFP / Initial Submission Alignment

Although too early to assess a complete solution to the problem statement, the Initial Submission Presentation is an excellent opportunity to assess the technical direction in which the submission (s) is/are headed. It is the first opportunity for the owners of the problem – the Task Force – and the owners of the solution – the submitter(s) – to talk face-to-face regarding the proposed solution.

5.5.2 Collaboration

The OMG is committed to producing software specifications (standards) for interoperability among the broadest range of computing solutions. That goal is best served when as many suppliers and end users as possible working on a particular business problem are involved in its solution. To that end, where more than one submission is made against a RFP, an effort to produce one consolidated submission should be considered. It is recognized that there are solutions that simply are far too divergent in their approach to be merged. However, it is also recognized that the level of interoperability addressed by many OMG specifications represents problems faced by all users and suppliers alike, and that the talent of the supplier community is best left to the real product discriminator – the implementation of the specification.

The Initial Submission Presentation is an excellent opportunity for suppliers to recognize that they are solving the same problem, that (in many cases) their solutions are not that divergent, and that, as history suggests, considering the merger of their submissions may provide the most comprehensive solution.

During the course of submission development, submitters may chose to meet for reasons such as discussing merger and may limit attendance. It must be noted that such a meeting cannot be construed as an OMG meeting of any type.

5.5.3 RFP Timetable Change

If necessary, either the responsible Task Force or the parent Technology Committee may modify the RFP's Timetable after it has been issued. All new or changed deadlines must apply equally to all submitters or potential submitters, and must fall at least 14 days after the date of the motion that changes them.

LOIs and Initial Submissions

Neither the Letter of Intent deadline nor the Initial Submission deadline may be moved to an earlier date by the Task Force. That change can only be accomplished by the parent Technology Committee.

Either date can be extended by an affirmative vote of the Voting List with the provision that the new date must fall at least 14 days after the date of the motion that changes it.

Revised Submissions

A Revised Submission deadline may only be eliminated or moved to a date earlier than its existing date if the Initial Submission deadline has already passed, and with the unanimous consent of all submitters that have not explicitly withdrawn from the process.

Deadlines may be extended by an affirmative vote of the Voting List with the provision that the new date must fall at least 14 days after the date of the motion that changes it.

Tip

- Align RFP Timetable changes with OMG meetings and don't forget the Three-Week Rule!

Schedule changes cannot discriminate against any submitter in any manner.

5.6 Revised / Final Submissions

The period between Initial and Final Submissions to the RFP is one in which, again, most of the work is performed by the submitter(s). The Task Force's principal role during this time is to provide guidance where solicited. Revised / Final Submissions are due on the OMG server no later than three weeks before the OMG meeting at which the Revised / Final Submission Presentation will occur. This date is specified in the RFP.

An important word about voting on RFP submissions!

No earlier than the date of the initial presentations, but usually at the Revised Submission presentations, the Task Force considering RFP responses reports its recommendation to its parent Technology Committee (by the Chair) for adoption of a specification. The Chair should provide enough commentary of the Task Force's deliberations to allow Technology Committee voters to make an informed decision based on this recommendation.

By policy, neither a Task Force nor Technology Committee can vote to recommend a submission until at least the second OMG meeting following the final deadline for a submission. However, a Task Force may explicitly vote to consider conducting an adoption recommendation vote at the meeting immediately following the due date of a final Revised Submission (listed in the RFP – the date that the presentations are given) provided that the following conditions are met (otherwise, no adoption recommendation vote may be taken):

1. At least one of the submitters makes a formal request in writing (letter or fax delivered to OMG headquarters), at least three weeks before the beginning of the Task Force meeting in question, that the evaluating Task Force conducts an adoption recommendation vote at that meeting.
2. The discussion and Task Force vote to consider an adoption recommendation appears on the published agenda along with the exact, correct time during which the discussion (and possible vote) will be held (before the plenary meetings)
3. The motion to consider conducting an adoption recommendation vote passes with at least 3/4 of the Voting List present (or 3/4 of those present and eligible to vote if there is no closed Voting List). If the motion passes, then the Task Force proceeds to the technology recommendation vote as normal. If it fails, the recommendation vote must not be held until the next meeting at the earliest.

Failure to follow the procedure to request a Vote-to-Vote can result in the request being denied at the meeting in which it is intended to be held.

Normally, a Task Force will wait a meeting cycle before engaging in the vote to recommend in order to adequately digest the submissions. The intent of the Vote-to-Vote, which is the exception, is to accelerate the adoption process when “time to market” for the specification is a critical factor. The Task Force must weigh this criticality against the quality of the proposed specification.

Tips

- If a “vote to vote” appears imminent, the TF Chair must ensure that all of the requirements stated above are met.
- Create a “score card” or an evaluation sheet prior to the meeting to expedite that process. Evaluation criteria may list requirements and a scale rating how well a requirement was met. The sheet may be nothing more complex than a table with columns capturing the evaluation criteria stated in the RFP and a column with space to record a reviewer’s comments on how well the requirement was satisfied.

5.6.1 Presentations

Presentations are made by the submitter(s) to the sponsoring Task Force in the dates specified in the RFP. The intent of the Revised / Final Submission Presentation is two-fold:

1. Assess how well the submission(s) meets the requirements stated in the RFP
 - a. presentation(s) are made by the submitter(s)
 - b. evaluation(s) are performed by the task force
2. Determine if a vote to issue can occur or if a RFP Timetable change is required

Subsequent to the presentations, the Task Force begins deliberation on the submission(s).

5.6.2 Evaluations

The sponsoring Task Force is required to evaluate how well the proposed submission(s) satisfy the mandatory (and optional) requirements stated in a RFP. Beyond using the evaluation criteria stated in the RFP, the Task Force is left to its own devices on how best to proceed with submission evaluations. The following guidelines are provided to assist Task Forces in forming the work groups (called *evaluation teams*) that are tasked with evaluating RFP submissions issued by the Task Force and to assist these teams in performing those evaluations.

Forming an Evaluation Team

An evaluation team is an informal work group traditionally formed by a Task Force (TF) for the specific purpose of evaluating a submission(s) against a RFP issued by the Task Force. The intent of the evaluation team is to ensure that ***at least one*** evaluation is performed. It is composed of OMG Members (including submitters!), has a leader and issues a report to the Task Force making an adoption recommendation based upon its conclusions. There is no limit on the size of the evaluation team (but it should be kept to a manageable number to ensure effectiveness.)

As with any OMG process, the evaluation team's activity is an open process. Its purpose is to ensure a dedicated group of OMG Members are committed to performing a thorough and impartial evaluation. As with any work group, an evaluation team is not "official" in the sense it is not recognized by *OMG Policies and Procedures*. It is simply a group of OMG Members dedicated to a specific activity. Non OMG members are welcome to comment, but they can not be part of any decision process.

The evaluation team is expected to advise the Task Force to either recommend adoption or not to recommend adoption. Evaluations are intended to be based on the team's assessment of how well the submission(s) meet the requirements stated in the RFP (although a team member is free to use other criteria.) Where more than one submission is being evaluated, two options are available: (1.) more than one evaluation team can be formed for each submission (leaving the selection to the Task Force); (2.) one evaluation team may be formed with the expectation that it will make a selection recommendation to the Task Force.

The work of the evaluation team may be conducted during the course of an OMG Technical Committee meeting or, if workload warrants, the team's activity may span the time before or after a Technical Committee meeting. In this case, communication shall be conducted in an open manner, taking advantage of OMG email lists and OMG organized teleconferences. The Task Force email list should be used to ensure the broadest input into the process. Notification of any teleconference held must be sent to the entire OMG membership.

Finally, it should be noted that the recommendation of the evaluation team is non-binding. The final decision rests with the Task Force (specifically, the RFP Voting List.)

Tips

- This sounds obvious, but make sure team members know the subject matter.
- Politics can be minimized by choosing a leader who is perceived as neutral.

Performing Evaluations

While it is left to individual teams to decide best how to proceed, the following tips are offered.

Tips

- Let the spirit of "openness" guide all of the team's activities. To that end, solicit as much comment on the submission(s) as practical. Remember, though, that only OMG Members may participate in any decision made by the evaluation team.
- The team leader is expected to ensure all of the submission is being read, discussed, and evaluated and that a report of the team's activity (including recommendation) is presented to the Task Force.
- Since an evaluation team is informal, there is no OMG policy regarding a vote (should the team decide to do so) that may be taken on making a

recommendation. Keep in mind that, besides being open, OMG processes are also built on consensus.

- Evaluation team reports should include, at a minimum:
 - Identification of team members who support this report.
 - Identification of the distinct requirements of the RFP.
 - Assessment of how well the submission meets those requirements.
 - Identification of the distinct issues in the adequacy of specific submissions in addressing those requirements.
 - Identifying those that have been retired without further objection
 - Identifying those for which OMG Members still wish to raise concerns about the adequacy/goodness of a particular submission.
 - A recommendation to adopt or not to adopt from the team members who signed this report.
- Dissenting evaluation team members, or any OMG Member outside of the evaluation team, may perform their own evaluation, file that evaluation with OMG and present their findings to the Task Force. Again, the intent of the evaluation team is to ensure that at least one evaluation is done.
- Keep in mind that *OMG Policies and Procedures* allows that “Proposed Specifications resulting from an RFP evaluation may be recommended to the Board of Directors for adoption conditional on certain changes to the specification which the proposing Technology Committee deems necessary, within a specified time frame.”
- Finally, while the intention of a team member’s vote should be based on how well the submission(s) meet the requirements stated in the RFP, there is no guarantee that decisions will be based on that criteria.

5.6.3 Task Force Approval

Based upon the recommendation of the work group performing the evaluation, the Task Force takes a vote on whether or not to recommend the submission for adoption. Only those Members identified on the closed Voting List (discussed in [section 5.2](#)) may vote. A recommendation to adopt is based upon a simple majority. In the event there is only one submission under consideration, then the vote determines whether or not the Task Force wishes to recommend it for adoption. In the event there is more than one submission under consideration, then the Task Force must consider which, if any, it wishes to recommend for adoption.

Should a submission not be recommended at this point, the options that the Task Force has are:

1. Request another revision cycle (the submitters are under no obligation to comply).
2. Terminate the RFP adoption process altogether.

Tip

Make sure the TF is quorate when the vote is taken. (And remember, proxies count towards meeting quorum.)

5.6.4 AB Review and Vote

The recommendation to the TC of proposed specifications requires the endorsement of the AB. Approval is determined by a simple majority vote of AB members and normally occurs on its fourth meeting day during an OMG meeting. A favorable vote to issue may also be accompanied by a list of issues to be addressed by the Finalization Task Force.

In order for the submission to be reviewed by the AB, it must be on their agenda. Make sure the AB Chair (ab-chair@omg.org) is notified of your document number as soon as OMG receives it. The Chair will place that document on the AB agenda and make a review assignment among the AB members well before the meeting.

Tips

- **Be prepared!** This will probably be the first exposure to the submission for at least some of the AB members – the submission must be complete.
- **Advertise!** Talk to the AB! The Thursday meeting (prior to each Technology Committee plenary meeting) is set aside for discussion and vote.
- **Love a tree!** Usually, having an electronic copy filed on the OMG document server three weeks in advance of the TC Meeting is sufficient. If an errata document has been generated, get it in the hands of each AB member as soon as possible.
 - **Don't wait until the last minute to have copies made!**
- **Talk to the AB!** At least one AB member is assigned the submission for review and discussion with his or her peers. Make it your responsibility to talk to that person, your AB buddy (the AB mentor assigned to your group) and the other AB members.

5.6.5 Approval by the OMG Membership

The vote to recommend adoption of a proposed specification (called a poll) to the Board of Directors is initiated at the plenary meeting of either the Domain or Platform Technology Committee. The poll taken at the plenary meeting captures the stated preference of those eligible Members present. (Eligible voting Members are defined as Contributing and Domain-level Members for Domain Technology Committee technology and Contributing and Platform-level Members for Platform Technology Committee technology.) This poll is followed by sending a ballot to each Member's Registered Voter.

For any poll to be valid, 50% of Registered TC Voters must vote on the technology. This is the poll's quorum. The earliest a poll can close is six weeks after it was initiated. Normally, a poll takes eight to ten weeks to close. While the poll remains open, Registered Voters may alter an already-cast vote. In order for a Vote to Recommend to pass, two-thirds (2/3) of non-abstaining votes cast must be in the affirmative - "TO RECOMMEND". (A vote to "ABSTAIN" counts towards meeting the poll's quorum but does not count as a recommendation vote.) A poll not meeting its quorum or not receiving the necessary percentage of affirmative votes by the time it closes automatically fails.

Tips

Don't forget to get on the TC agenda!

- *Advertise!* Talk to both Technology Committees. Since most of the voting will occur after the meeting, generate interest! Distribute copies during the TC meetings and during the break. Place copies in a conspicuous place (e.g., Registration Table) as well.
 - ***Don't wait until the last minute to have copies made!***
- Watch the tally of the vote. Should it stall, assist OMG Staff in soliciting votes from the membership.

6. RFP Final Steps

6.1 The Business Committee Recommendation

The OMG Business Committee (BC) is composed of a group of OMG Members appointed by the Board of Directors (BoD) that are tasked with evaluating the business aspects of a submission. Among other things, they ensure that a submission is commercially viable and that an implementation will, in fact, be forthcoming. The BC also ensures that sufficient rights are granted that allow the specification to be freely available and that derivative works may be undertaken. In other words, they are chartered to ensure that the OMG does not produce shelfware. The mechanism they use to gather business information is a questionnaire sent to the submitter(s).

The Business Committee evaluation occurs after an affirmative vote from the OMG membership recommending adoption of a specification and is based upon Business Committee's assessment of the business questionnaire.

There is little for a Task Force Chair or the Task Force itself to do during this review other than be available for questions regarding the proposed specification. Questions related to BC activity should be directed to omg-process@omg.org or the BC Chair, who, at the time of publishing, is Richard Soley (soley@omg.org).

6.2 Board of Directors Vote

Adoption by the Board of Directors of a specification (whether a completely new specification, or an enhancement to an existing specification) marks the end of the technology adoption process. Given the Technology Committee recommendation and a favorable Business Committee report, it is unprecedented for the Board to ignore a recommendation. During this process, there is nothing for the sponsoring Task Force to do.

The next step in the life of the specification is a finalization phase, possibly followed by one or more revision phases. These activities are performed by the Finalization and Revision Task Forces.

6.3 The Finalization Task Force (FTF)

A Finalization Task Force is responsible for drafting the changes that turn an Adopted Submission into Available Specification. These changes are two-fold in nature:

1. Editorial, which removes the non-normative portion of the submission, thus transforming the submission from the submitter's style into the format of OMG specifications).
2. Minor technical changes derived from experience gained from the initial implementation work.

To speed the adoption process along, an FTF is usually chartered at the same meeting at which submission voting (at the technical plenaries level) begins. It is the responsibility of the sponsoring Task Force Chair or nominated FTF Chair to draft a FTF charter [[Charters](#)] and present the charter to the task force's parent Technology Committee for approval (making sure that the charter is on the agenda by sending a request to omg-process@omg.org). The Charter must:

1. Identify the working document.
2. Include a list of named representatives to become the voting members of the FTF. This list will usually include a representative from each of the OMG Members whose submissions contributed to the specification under consideration, plus other appropriate, interested parties. Any OMG Member other than a Trial Member may be represented on the FTF.
3. Identify which representative is to Chair the FTF.
4. Set a deadline for producing a Draft Adopted Specification, which must fall at least 21 calendar days before the publication date for the Final Adopted Specification. This Draft must be made available to all the submission contacts (for checking that it correctly reflects the contents of their submission) and to the OMG Technical Editor (for checking adherence to formatting and style directives).
5. Set a publication date for the Final Adopted Specification, which must fall at least 28 calendar days before the comment deadline.
6. Set a deadline for comments on the specification from OMG Members and others.
7. Set a deadline by which the FTF will deliver its report, which should be a week after the Technology Committee meeting at which the voting poll for the FTF Final Report [[Report](#)] is initiated.

Section 4.4.2 of the *OMG Policies & Procedures* [[P&P](#)] describes the duties of the FTF in much fuller detail. The deadlines specified in a FTF charter may be modified by vote of its parent Technology Committee.

Theoretically, should the Board of Directors decide not to adopt a specification, any already-chartered FTF for that specification serves no purpose, and is deemed to be disbanded. In practice, this has never happened.

6.3.1 Veto Power

Where a response changes text that originated from a particular submission, an FTF representative of a Member that produced that submission may veto the response during a vote, provided that:

1. The vote is initiated within 18 months of the date of adoption of the specification by the Board of Directors.
2. The Member in question has provided satisfactory information to the Board of Directors (or its appropriate subcommittee) regarding the commercial availability of the submission

However, the veto is limited to submitters that have convinced the BoD that they have satisfied or will satisfy their commercial availability commitment. This judgment is usually made by the Business Committee, based upon responses to a questionnaire sent to submitters while the Technology Committee adoption recommendation vote is in progress.

Tips

- Place the charter [[Charters](#)] on the parent Technology Committee's agenda (send a request to omg-process@omg.org).
- Make sure all of the submitters are on the FTF.
- The FTF need not meet, but may conduct all its business by email or teleconferences. **Remember that teleconferences count as OMG meetings, and are open to all Members!**
- The FTF Chair is responsible for moderating discussion of an issue, ensuring that a response is formulated, and organizing the poll on that response.
- When the FTF Chair initiates an email poll he/she must set a voting deadline and take reasonable steps to ensure the FTF members are aware of it.
- Consult [[Report](#)] for a template for the final report.

6.3.2 Issues

An Issue is recorded against an adopted specification when someone in industry wishes to bring before the FTF one of the following:

- a recommended technical change (e.g., resolving technical error or omission or introducing enhancement)
- an editorial change

A FTF handles issues filed against an adopted specification in the same manner as a RTF handles issues filed against an available specification, and hence the reader is referenced to [section 7.1.2](#).

6.3.3 Finalization Report

The culmination of the work performed by an FTF is its Final Report. This report addresses minor issues filed against the Adopted Submission and records the resolution to

each. The FTF also produces a Proposed Available Specification to assist the OMG Technical Editor in producing the published specification.

The FTF Final Report is subjected to the same technology adoption process as a RFP submission.

6.4 Specification Preparation

As the Adopted Submission moves towards the Final Adopted Specification, which in turn culminates in the Available Specification, the FTF will work with the OMG Technical Editor (tech-editor@omg.org) on the preparation of those documents. During this process, there is nothing for the sponsoring Task Force to do.

7. RFP Post-Adoption

7.1 The Revision Task Force (RTF)

A Revision Task Force produces new, minor revisions to Available Specifications. A RTF may make minor technical changes, but keep in mind that, in general, significant technical changes will require a new RFP. A RTF is chartered shortly after the adoption cycle for a submission is completed. It is the responsibility of the sponsoring Task Force Chair or nominated RTF Chair to draft a RTF charter [[Charters](#)] and present the charter to the Task Force's parent Technology Committee for approval. An agenda item for the charter must on be on the parent TC agenda, preferably two weeks before the OMG Technical Meeting. The charter must:

1. Identify the Available Specification under consideration.
2. Include a list of named representatives to become the voting members of the RTF. This list will usually include a representative from each of the OMG Members whose submissions contributed to the specification under consideration, plus other appropriate, interested parties. Any OMG Member other than a Trial Member may be represented on the RTF.
3. Set a deadline for comments on the specification from OMG Members and others.
4. Set a deadline by which the RTF will deliver its report, which should be a week after the Technology Committee meeting at which the voting poll for the RTF Final Report [[Report](#)] is initiated.

section 4.4.2 of the *OMG Policies & Procedures [P&P]* describes the duties of the FTF in much fuller detail. The deadlines specified in a RTF charter may be modified by vote of its parent Technology Committee.

7.1.1 Veto Power

See discussion of veto power under FTF ([section 6.3.1](#)).

Tips

- Place the charter [[Charters](#)] on the parent Technology Committee's agenda (send a request to omg-process@omg.org), preferably two weeks before the start of the OMG Technical Meeting.
- Make sure all of the submitters are on the RTF.
- The RTF need not meet, but may conduct all its business by email or teleconferences. **Remember that teleconferences count as OMG meetings, and are open to all Members!**
- The RTF Chair is responsible for moderating discussion of an issue, ensuring that a response is formulated, and organizing the poll on that response.
- When the RTF Chair initiates an email poll he/she must set a voting deadline and take reasonable steps to ensure the RTF members are aware of it.

7.1.2 Issues

An Issue is recorded against an available specification when someone in industry wishes to bring before the RTF one of the following:

- a recommended technical change (e.g., resolving technical error or omission or introducing enhancement)
- an editorial change

The manner in which an issue is addressed and resolved follows these steps:

1. The issue is first forwarded to the OMG at issues@omg.org or [[BugReport](#)], where it is assigned an identifier and entered into the OMG's database.
2. During the course of its business (be it at a meeting, teleconference, or over its OMG email list) the RTF discusses the issue. During the course of these discussions, one or more proposed resolutions will arise. (In some cases, the Issue submitter may have proposed a resolution.) Note, too, that a resolution may take the form of rejecting the issue, or may defer the issue to a RFP because it is deemed an enhancement to a specification.
3. The members of the RTF vote on the proposed resolution, and the results of such vote, along with a record of how each RTF member voted, are recorded in the group's final report to its parent Technology Committee.

Essentially, questions or comments about a specification become Issues after they've been filed with OMG and assigned a issue number, and that the RTF/FTF resolves those issues.

Tips

- The issues being addressed by any FTF or RTF can be located by consulting the OMG Revision Issues web site [[Issues](#)] and selecting the appropriate task force. Another page will appear which lists filed issues, a pointer to archives to track the discussion of an issue and issue status.
 - All email discussions are archived; summary minutes of teleconferences and meetings should be published through the group's email list.
- This same page can be used to learn the group's email address.

7.1.3 Revision Report

The culmination of the work performed by an RTF is its Final Report. This report addresses minor issues filed against a specification and records the resolution to each. The RTF also produces a Proposed Available Revision to assist the OMG Technical Editor in producing the published revised specification.

The RTF Final Report is subjected to the same technology adoption process as a RFP submission.

7.2 The Testing Task Force (TTF)

While OMG is not engaged in the certification of tool compliance to OMG specifications, the value of certification is well understood. To support such efforts, OMG is engaged in the standardization of the test suites that would be used in certification programs. An example is the development of test suites that certify compliance to OMG's XML Metadata Interchange (XMI) specification. XMI is increasingly being used as the standard for exchanging UML models between modeling tools. In order to ensure that end-users can always successfully import and export models in this way, OMG is developing XMI compliance tests for UML tools. The subgroup for developing such test suites is called a Testing Task Force (TTF). For the XMI example, it is the XMI Interoperability TTF.

Any OMG Contributing, Domain or Platform Member may request OMG certification that a test suite submitted by that Member can accurately test compliance of individual implementations to all or part of one or more identified OMG specification(s). The implementations being tested can be software, hardware, or any combination of the two. For convenience of distribution and certification, the test suites are currently limited to being electronically storable, but may include both executable software and scripts for a human tester. This procedure is solely concerned with how OMG verifies that a test suite genuinely does test compliance with a particular specification. If and how the certified test suite is then used is outside the remit of OMG.

OMG only certifies test suites that test compliance against OMG Available Specifications. An OMG member submitting a test suite for OMG certification shall specify the parts of the specification(s) that the test suite is claimed to test. In areas where an OMG specification does not specify how a conformant implementation shall behave, the implementation is free to exhibit any behavior whatsoever. OMG shall not certify test suites that signal either conformance or non-conformance relating to any interface, data format or behavior not described by a specification.

Where the proposed test suite is open and non-proprietary, the sponsoring OMG Member must submit an unsolicited proposal for the certification of a proposed test suite. That request must include:

- A statement of the precise version number(s) and OMG document number(s) of the OMG Available Specification(s) which the test suite is claimed to test, with a list of the compliance point(s) tested.

- A reference to the OMG document number for the test suite.

The relevant TC considers the request, and if appropriate charters a Testing Task Force (TTF) for the test suite concerned. The TTF Charter shall specify:

- The precise version number(s) and OMG document number(s) of the OMG Available Specification(s) which the test suite is claimed to test, with a list of the specification's compliance point(s) tested.
- The OMG document number for the test suite being considered.
- A list of named representatives to become the members of the Testing Task Force. This list may include representative(s) from the Member submitting the test suite. Any OMG Member other than a Trial Member may be represented on the TTF; however, as for all OMG subgroups, each OMG Member may only cast one vote on the TTF.
- Which representative is to Chair the TTF.
- A deadline by which the TTF shall deliver its report. This is the latest possible delivery date - the TTF ceases to exist after this date, and cannot modify the report thereafter.

Tip

It is recommended that the TTF be chartered to complete its report by the Technical Meeting following that where it was chartered, and that the report be delivered to the wider OMG membership three weeks before that meeting. The delivery deadline should be set shortly after that Technical Meeting, allowing the TTF report to be amended in response to TC reviewer comments if necessary.

The Member requesting the certification must provide the test suite to every member of the TTF within 14 days of their becoming a member; if this is not achieved, the TTF charter is automatically revoked.

7.2.1 Issues

If in the course of examining the test suite and specification(s) the TTF concludes that there is an error or ambiguity in a specification, an issue shall be filed against that specification in the usual way (section 7.1.2). If resolution of the perceived error is essential to determining if the test suite correctly tests compliance, an Urgent Issue shall be filed in the usual way.

7.2.2 TTF Report

The TTF will deliver a report with a parallel structure to the specification(s) concerned, and for each section and subsection of the specification(s) that specify a behavior, interface or data structure, will report to what extent the test software accurately tests

compliance with that section or subsection. The report will include a list of any issues the TTF filed as a result of its deliberations, and an overall conclusion as to whether the test suite accurately tests compliance against the compliance point(s) listed in the charter. The report shall include an OMG document number where OMG Members and others may download the version of the test suite to which the report relates - this may be the same as the test suite originally supplied, or it may be a new version that has been modified by the submitter, the members of the TTF, or others.

The TTF Report is essentially subjected to the same technology adoption process as a RFP submission (section 5.6).

7.2.3 Licensing

Should access to test suites by TTF members require licensing, then the following amendments to the procedure described above are in effect:

1. The certification request:

- Must include a statement that a free license for the test software will be granted to any OMG Members that the relevant OMG Technology Committee appoints to the Testing Task Force for at least the duration of that TTF. The request shall include a pro-forma copy of this license. The license shall explicitly grant TTF members the right to both execute the test suite and examine its source code, and shall not prevent TTF members from documenting the behavior of the test suite.
- A cryptographic hash of a tar or ZIP archive of the test suite using a cryptographic hash function approved by the OMG Technical Director.

Warning

Members submitting test suites requiring licensing must not submit the test suites themselves to OMG. If they do, they will automatically become open and non-proprietary under the terms of section 6 of Policies and Procedures. Instead, the owner of the test software must provide the software directly to those Members who will be using it under the terms of this section. A cryptographic hash allows Members to check that they all receive the same version of the software. At the time of this release, an acceptable hash algorithm is SHA-1.

2. TTF Charter:

- Is only in order at a Technical Plenary meeting if the relevant certification request was made available to TC members at least six weeks before that meeting.
- Must include the cryptographic hash of the test suite instead of a document number for downloading it.

- Can only include as its members individuals willing to sign the provided license agreement. The submitting Member must provide the test suite to every member of the TTF within 14 days of their becoming a member; if this is not achieved, the TTF charter is automatically revoked.

3. TTF Meetings:

- The submitter of the certification request may require that observers not be admitted to specific TTF meetings where internal details of the test suite are to be discussed.

4. The TTF report:

- The report must not include an OMG document number where OMG Members may download the version of the test software to which the report relates. Instead, the report shall include the cryptographic hash for a ZIP or tar archive of the final version of the test software to which the report pertains.

7.2.4 Withdrawal of OMG Certification

The appropriate OMG Technology Committee may at any time recommend the Board of Directors to withdraw certification of a test suite. Motions to make such recommendations are only in order at a Technical Plenary meeting if they were on the agenda published two or more weeks before the meeting.

7.3 Specification Retirement

Although only employed once since the OMG's inception, there is a procedure in place called the Request for Retirement (RFR) for retiring a specification from the list of OMG Adopted Technologies. Such action would occur if an adopted specification is superseded, is never fully implemented, or simply reaches the end of its useful life. For completeness sake, that procedure is described in [Appendix 7](#).

Part Two: Request for Information (RFI)

This section addresses the RFI process. It covers inception and issuance. Dissemination of RFIs is not covered as it is very specific to and varies from each issuing group.

8. The RFI – Gathering Information

The intent of the Request for Information (RFI) is to gather information for the purpose of guiding a subgroup in its efforts to provide solutions to industry problems. The RFI is an ***optional*** process used by a subgroup to canvass a targeted industry segment for one or more of the following purposes:

- Acquiring general or specific information about industry requirements.
- Soliciting assistance in identifying potential technology sources.
- Soliciting input to and validate a subgroup's roadmap.

Generally speaking, the RFI process determines which Request For Proposals (RFPs) get issued (and, based on negative feedback, which don't) or influences the way a particular RFP is constructed.

There are no restrictions on who may receive or respond to a RFI. Both OMG Members and non-members can respond. RFI Responses may include information about relevant technologies, products, standards, research, requirements, and other guidance for the subgroup. Unlike the RFP, there is not a template for RFI responses. RFI Responses are evaluated by members of the issuing subgroup and are used, as stated above, to guide the group's activities.

An example of a useful type of RFI Response comes from a potential submitter to an RFP. By signaling the likelihood that they will respond to an RFP, a company gives encouragement to the Task Force to issue it. And, by including some technical material, a company may influence the way the RFP is written.

A final note on submitting information or guidance to a subgroup: An OMG Member may submit material to a subgroup at anytime, whether there's an RFI outstanding or not. Such a response should be sent to omg-documents@omg.org requesting that it be posted in the document archive of a particular subgroup, and/or requesting time on the agenda to present on an issue relevant to the subgroup's charter.

9. Creating the RFI – Before You Start

Before proceeding, the four concepts regarding OMG processes described in [Part One](#) are revisited as they vary between the RFP and RFI processes:

9.1 Who “owns” the process?

Again, the simple answer: the OMG membership, although admittedly in the case of the RFI there is less relevance to the membership as a whole. While a Task Force or a Special Interest Group (through a Task Force) may sponsor a RFI, by policy it is the parent Domain or Platform Technology Committee that issues the RFI. Because the intent of a RFI is information accrual for a specific subgroup and not technology creation (a specification and an implementation), involvement of the parent TC typically ends once a RFI is issued.

9.2 OMG Document Numbers

The same guidelines for issuing RFPs apply to RFIs. The OMG uses document numbers to identify documents - nothing more or less semantically meaningful than that. A document number is the principal – actually, the only - mechanism within the OMG to enforce document control. Numbered documents aren't necessarily "official" OMG products (any Member can get a document number – except at TC meetings when only a Chair can make this request - and get the document placed on the OMG's document server). Hence, a document number serves as a useful way of identifying versions of a document's working drafts.

Tips

- Citing one Task Force: “Having multiple versions of a document bearing the same number will inevitably cause much more confusion than one can imagine.”
- Only Subcommittee, Task Force and Special Interest Group Chairs can assign a document number at a TC meeting.

A benefit of assigning document numbers to different versions and placing each on the OMG's document server is that the document's URL rather than huge attachments can be circulated, making many recipients extremely happy (especially those using modems). Version control can also be supported through noting a document's status in the notes section of the OMG document database. Pointers to the later document can also be noted.

Documents are never removed from the OMG server; document numbers never expire. Once a document is posted to the OMG server, that specific document cannot be altered.

9.2.1 OMG Assistance

Assistance in any matter regarding documents or document numbers is provided by sending a message to omg-documents@omg.org.

9.3 The “Three-Week Rule”

OMG policy states that any document to be presented to the membership for consideration (vote) at a Technical Meeting must be available to the entire membership three weeks prior to the beginning of an OMG Technical Meeting. The spirit of the Three-Week Rule is to ensure adequate time for review of a document under consideration.

The deadline for RFIs must be stated as three weeks before an OMG Technical Meeting. It is possible that a document could show up after the deadline. However, an OMG Member, feeling that inadequate (less than three weeks) time was provided to review a document for consideration, may choose to invoke the *Three-Week Rule*, which has the net effect of postponing consideration until the next meeting (which could be up to three months). To prevent malicious invocation of this rule, it must be voted upon at the

appropriate Technology Committee meeting. However, the motion only requires a 1/3 majority of those present to pass - less than a simple majority!

Caution!!!

In the case of an RFI not meeting a deadline, the issuing Task Force should consider the consequences of losing valuable information due to invoking policy.

9.3.1 Computing Deadlines

To meet its deadline, a copy of a document must be received by the OMG by 5:00 pm US Eastern Time on that date. To compute the deadline date, subtract 21 days from the first day of the OMG Technical Meeting (traditionally, a Monday). For example, the three-week deadline for a meeting starting on the 25th would be the 4th. Availability does not strictly mean "electronic" availability on the OMG server, but simply availability from the OMG. For example, a Member could telephone or write the OMG after the deadline and receive a hardcopy of the document. It is the subgroup Chair's responsibility to see that this deadline is met for all documents under his or her group's sponsorship.

9.3.2 Transmitting Documents

While on the topic of document management, the preferred means of transmitting documents (with the exception of RFP Submissions) is to send them electronically to omg-documents@omg.org. Hardcopies can be mailed but present obvious problems in access and duplication. In other words, ***don't send hardcopies of documents unless required to do so!***

9.4 Proprietary Information

A caveat about all documents or information sent to the OMG stated as simply and as succinctly as possible:

Proprietary information cannot be disclosed by any participant in any manner during any meeting of any OMG working group. Any disclosures of any information at an OMG meeting automatically become public domain, by virtue of the OMG's Policies & Procedures [[P&P]]. Furthermore, no proprietary information shall be forwarded to the OMG in any manner. Any proprietary document sent to the OMG will not be accepted.

10. Creating the RFI

A generic template is available from the OMG to help guide the construction of a RFI and should be used. The version of that guide available at the time of publishing this document is found at reference [\[RFI\]](#). The form that the body of a RFI takes is left to the issuing subgroup. However, a RFI should address the following subjects:

- The information being requested
- A statement on how the information is expected to be used

- The form in which a RFI Response is requested
- A deadline for responding to the RFI

The Cover Page for a RFI is similar to that of a RFP. It identifies the document by title and OMG document number. It also states the objective of the RFI and specifies its due date.

10.1 Document Number

Section [9.2](#) describes the relevance of document numbers and how they are obtained.

Tip

- Use a new document number to enforce configuration management.

10.2 Writing the RFI

As there are no formal guidelines along which a RFI is developed other than what is suggested by the template; style is left to the issuing subgroup. However, the following tips are offered to assist in the creation of an effective RFI.

Tips

- As with the RFP, the secret to creating a good RFI is there's no secret: sound technology and good editing go a long way towards a RFI being understood, issued and receiving satisfactory RFI Responses.
 - Check [Appendix 4](#) for some additional editorial tips for RFIs.
- The development of the RFI will be completed when its authors feel confident that the following will be achieved:
 - Its intent will be well understood by industry
 - Task Force recommendation to issue
 - Approval by parent Technology Committee to issue
- Don't put off determining how requested information will be disseminated – do it now!
- *Communicate!* About 5 weeks before the upcoming OMG meeting, circulate a rough draft of the RFI for comment on the subgroup mailing list. Make it easy for subgroup members to review the content before the final version, and have their concerns addressed. It's okay and advisable to give the email reviewers a deadline for comment, perhaps a week after the announcement. Teleconferences may be required to resolve open issues.
 - Don't forget to place the draft(s) on the OMG server.
- *Advertise!* Broadcast the RFI document number and availability to the full membership (tc@omg.org) and include the objective with the announcement.

10.3 Deadline

There is no policy regarding the deadline for RFI Responses. The issuing subgroup should consider meetings its own goals and its roadmap when specifying a deadline. Deadlines may be extended (by simple majority vote) at the meeting of the issuing Task Force.

11. RFI Approval

Any RFI issued by the OMG must be approved for issuance by the membership. The RFI approval process follows two major steps:

1. Obtaining the recommendation to issue by the sponsoring Task Force.
(Remember that a SIG cannot issue a RFI – it must find a sponsor.)
2. Obtaining the approval of the parent Technology Committee to issue.

11.1 Task Force Approval

The first step in obtaining approval for RFI issuance is to acquire an affirmative vote (simple majority) to recommend issuance from the sponsoring Task Force. The task at hand is to advance the case of issuing the RFI to the Task Force by:

1. Making the objectives of the RFI clear.
2. Agreeing that expected RFI Responses can meet these objectives.
3. Agreeing that the group's resources will not be overwhelmed by the size and/or quantity of the responses.
4. Agreeing to its Timetable.

Task Force buy-in should be ensured by the time the group convenes at the OMG Technical Meeting. This means communication (via email, teleconference) with its members prior to the meeting.

A typical Task Force voting scenario is as follows:

1. The Task Force meets face-to-face at least once to discuss the RFI.
2. The RFI working group (which may be a SIG) makes necessary changes (if required).
3. Changes (if any) are reviewed and the vote to recommend issuance occurs in a Task Force meeting prior to the meeting of its parent Technology Committee.

If the originating group is a SIG, there are no voting requirements at that level, although it is a good idea in order to ensure consensus.

11.1.1 Voting

Voting at the Task Force level on issuance of a RFI follows the same procedure as voting on issuing RFPs. Consult [section 4.1.1](#) in Part One for further information. Remember, proxies [[Proxy](#)] count towards meeting quorum. Note that if a Member names more than one proxy holder then it is the responsibility of those holders to determine amongst themselves who will cast a specific vote and how.

11.2 Technology Committee Approval

The actual approval to issue a RFI must come from the Task Force's parent Technology Committee – either the Domain or the Platform Technology Committee. Approval to

issue is determined by a simple majority vote of eligible voters in the DTC or PTC plenary meeting, which occurs at the last day of the OMG meeting (Friday, by convention).

Tips

- *Advertise!* Don't show up at the plenary meeting with a never-before-seen RFI and expect everyone to simply agree without question. Have at least (compute a number equal quorum plus some extra) copies of the RFI available prior to the Technology Committee meeting. These documents should be placed in a conspicuous place – there is generally a table available at the OMG registration desk for such purposes. Hand out copies prior to the meetings as well.
 - And this may sound obvious, but make sure an advocate of the RFI *shows up* at the plenary meeting.
 - *Don't wait until the last minute to have copies made!*

12. RFI Responses

This section is offered as assistance to those wishing to respond to a RFI and to those managing that process.

12.1 RFI Response Format

There are no guidelines, styles nor policy governing the format of responses to a RFI. However, those responding to a RFI should take into consideration (and sympathy!) that the responses are read and evaluated by a group of volunteers.

Tips

- Keep in mind that responses will be evaluated by a small group of volunteers.
 - The most effective responses tend to be short and to-the-point.
- If a response includes extensive paper documentation as backup, provide an electronic reference.
- Remember: everything submitted becomes a public document!

12.2 Meeting the Deadline

Utmost effort to meet the RFI deadline should be made. However, unlike RFP Submissions (which are not accepted after a deadline), RFI Responses may be turned in late. Accepting a late RFI Response is encouraged – the more information received, the better the objectives of the RFI are met! Again, responders should take sympathy on the evaluators for the reason noted above.

12.3 Presentations and Demonstrations

Responses to a RFI may or may not be accompanied by a presentation, depending to the relevance of a presentation to the objectives of the RFI. If a presentation is warranted, the subgroup issuing the RFI will schedule a time for submitters' presentations at one or more OMG Technical Meeting weeks following the close of the RFI.

In some cases, a presentation may also be accompanied by a demonstration. Responders should send a request to the issuing subgroup for demonstration support (who in turn should contact OMG support personnel at exhibit@omg.org) in order that preparations can be made.

Tips

- Bring enough paper copies of presentation material to distribute among the attendees.
 - Ask the subgroup Chair about how many copies to bring
 - Bring the copies to the meeting; do not send them to the OMG
- Do not submit code or demonstration executables to the OMG or the issuing subgroup.
 - Quite frankly, subgroup members don't have time to load demos or read code. Instead, if this is a key part of a RFI Response, include the URL of a website running a demo.

13. RFI Evaluation

After all of the RFI Responses have been read, and all of the presentations digested, subgroup members use the information in meeting the RFI's stated objectives. For instance, some RFI results determine which RFPs get issued (and, based on negative feedback, which don't), while others influence the way a particular RFP is constructed.

Tips

- Select an evaluation working group.
 - appoint a facilitator or spokesperson
- Apply the goals / objectives of the RFI.
- Make an assessment and create a report.
 - report may simply be a bulletized summary
- Make an evaluation report to TF.
 - make recommendations for actions to be taken (e.g., update roadmap)

Part Three: Request for Comments (RFC)

This section addresses the complete RFC process. It covers inception; comment and recommendation for adoption. As finalization and subsequent revisions are similar processes to that of the RFP process, they are not discussed.

14. Proposing a Solution

The OMG is responsible for providing solutions to industry problems. The most widely-used path to providing solutions is the Request for Proposals (RFP), a statement of industry need and an invitation to the software supplier community to provide a solution. A less traveled but nonetheless effective path is the Request for Comments (RFC), a unique circumstance in which industry approaches the OMG with an unsolicited yet relevant solution - ***a proposed specification!***

Like a response to a RFP, RFC Submissions are expected to be expressed in any combination of a Platform Independent Model (PIM), one (or more) Platform Specific Model (PSM), and associated information specifying how the PIM maps to the PSM(s). The technology that is being proposed for standardization must be ready for standardization, i.e., it is already deployed and in use.

Because the RFC Submission represents a proposed solution, there is, of course, no RFP issuance. Thus, there is neither an Initial Submission nor a Revised Submission. In essence, the RFC Submission is the Revised Submission. An evaluation process does occur, but it differs from that of RFP Submissions. Evaluation takes the form of review and comment by industry as a whole!

The Member (or Members) offering the proposed specification (the RFC) first approaches the appropriate Task Force. If that group agrees to recommend review of the RFC, it is passed along to the Architecture Board for review. If the AB recommends Technology Committee (TC) review, it is next passed to that group. An affirmative vote by the Technology Committee places the RFC into comment period. Because the RFC Submission undergoes this fixed period of review and comment by any OMG Member or non-member, there is no a Voting List.

At the end of the RFC Comment Period, all comments received (technical- or business-related) are returned to the issuing Task Force. If the Task Force decides to recommend adoption (a Vote-to-Vote is not required), then the RFC is returned once more to the AB for a final review. Approval by the AB forwards the RFC to the appropriate Technology Committee, which conducts a recommendation vote in the manner prescribed for RFP submissions. Adoption results in a finalization and revision process similar to a RFP Submission.

Each step will be discussed in greater detail in the following sections.

15. Submitting the RFC – Before You Start

The five concepts regarding the OMG technology adoption process already reviewed in the discussions on the RFP and RFI processes are equally relevant to the RFC process. They are:

- 1. Who “owns” the process*

2. *OMG document numbers*
3. *“The Three-Week Rule”*
4. *Proprietary information*
5. *Format*

15.1 Who “owns” the process?

As always: the OMG membership. While a Task Force may sponsor a RFC, by policy it is the parent Domain or Platform Technology Committee that places it into a review cycle and conducts the recommendation vote. While the OMG membership will defer to a Task Force on issues related to the group's area of expertise, it is the Architecture Board (AB) explicitly and the membership implicitly that are all stewards of the Model Driven Architecture (MDA), and thus have ultimate authority over the RFC. In this context, it is the role of the issuing body to shepherd the RFC through the OMG technology adoption process.

15.2 OMG Document Numbers

The same guidelines for issuing RFPs apply to RFCs. The OMG uses document numbers to identify documents - nothing more or less semantically meaningful than that. A document number is the principal – actually, the only - mechanism within the OMG to enforce document control (although, in the case of the RFC, there are no versions to manage.) Numbered documents aren't necessarily "official" OMG products (any Member can get a document number – except at TC meetings when only a Chair can make this request - and get the document placed on the OMG's document server).

Documents are never removed from the OMG server; document numbers never expire. Once a document is posted to the OMG server, that specific document cannot be altered.

15.2.1 OMG Assistance

Assistance in any matter regarding documents or document numbers is provided by sending a message to omg-documents@omg.org.

15.3 The “Three-Week Rule”

OMG policy states that any document to be presented to the membership for consideration (vote) at a Technical Meeting must be available to the entire membership three weeks prior to the beginning of an OMG Technical Meeting. The spirit of the Three-Week Rule is to ensure adequate time for review of a document under consideration. Thus, a RFC Submission must be on the OMG document server three weeks before an OMG Technical Meeting.

To meet its deadline (the vote to issue), a copy of the RFC must be received by the OMG by 5:00 pm US Eastern Time on that date. To compute the deadline date, subtract 21 days from the first day of the OMG Technical Meeting (traditionally, a Monday). For example, the three-week deadline for a meeting starting on the 25th would be the 4th. Availability

does not strictly mean "electronic" availability on the OMG server, but simply availability from the OMG. For example, a Member could telephone or write the OMG after the deadline and receive a hardcopy of the RFC. It is the Task Force Chair's responsibility to see that this deadline is met for all documents under his or her group's sponsorship.

While on the topic of document management, the size of the RFC Submission will dictate the means of sending it to the OMG. The preferred means of transmitting documents is to send them electronically to omg-documents@omg.org. Hardcopies can be mailed but present obvious problems in access and duplication. In other words, ***don't send hardcopies of documents unless required to do so!***

15.4 Proprietary Information

A caveat about all documents or information sent to the OMG stated as simply and as succinctly as possible:

Proprietary information cannot be disclosed by any participant in any manner during any meeting of any OMG working group. Any disclosures of any information at an OMG meeting automatically become public domain, by virtue of the OMG's Policies & Procedures [P&P]. Furthermore, no proprietary information shall be forwarded to the OMG in any manner. Any proprietary document sent to the OMG will not be accepted.

15.5 Format

As with RFP submissions, a RFC submission should be formatted using the OMG's ISO PAS [[ISO PAS](#)] submission template.

15.6 Files Accompanying RFCs

As with submissions to RFPs, RFCs to be evaluated as OMG specifications often have files associated with them from which software developers require or can benefit. [Section 5.4](#) provides examples of such files. Guidance for a consistent, obvious directory structure for OMG files can be found in [Appendix 10](#).

16. Submitting the RFC

Any Contributing, Domain or Platform Member may submit an unsolicited proposal for adoption through the Request for Comments procedure with the following caveat:

RFC Submissions targeted for Platform Task Forces may only come from a Platform or Contributing Member, while RFC Submissions targeted for a Domain Task Force may only come from Contributing or Domain Members.

An OMG Task Force is first approached with this proposal, which must include:

1. A rationale stating how the RFC fits into a Task Force's plan of specification adoption.
2. A clear statement of the proposed conformance criteria for the specification.
3. The name and contact details of a Representative of each Submitter to act as liaison with the OMG regarding the RFC.
4. A Letter of Intent (LOI).
5. If the RFC contains copyrighted material, a waiver of copyright for unlimited duplication by OMG and a limited waiver of copyright that allows each OMG Member to make up to fifty (50) copies of the document for review purposes only.

Tip

- Follow the RFP editorial tips in [Appendix 2](#) when crafting a RFC Submission.

17. RFC Issuance

This section discusses how a RFC Submission enters its review cycle.

17.1 Task Force Approval

It is the responsibility of the Task Force receiving the proposal to recommend its issuance by its parent Technology Committee as a RFC. The TF may request a presentation of the proposal from the submitter before taking this decision. As with a RFP, the task at hand is to advance the case of issuing the RFC to the Task Force by:

1. Making the objectives of the RFC clear.
2. Stating its relevance to industry.
3. Aligning the RFC to the Task Force's roadmap.
4. Defending its technical case (requirements of submission, compliance to MDA and evaluation criteria).

Task Force buy-in should be ensured by the time the group convenes at the OMG Technical Meeting. This means communication (via email, teleconference) with its members prior to the meeting.

Tip

- ***Don't wait until the last minute to have copies made!***
 - *The OMG form for requesting copies to be made by the OMG Staff requires the signature of the Task Force Chair.*

17.1.1 Voting

Voting at the Task Force level on issuance of a RFC is by simple majority of OMG Members other than Trial Members represented on the Task Force, and not just by those OMG Members entitled to vote in the Task Force's parent body. Each Member Company or organization has at most one vote in a Task Force meeting, regardless of how many

representatives it sends. Approval is determined by a simple majority vote of eligible Task Force members.

Quorum in Task Forces is defined as half the number of Task Force members (companies or organizations) that have been represented in person at two or more of the last three meetings of the Task Force co-located with meetings of the parent Technology Committee. Task Force Chairs are provided this calculation prior to each meeting. Proxies [[Proxy](#)] count towards meeting quorum. Note that if a Member names more than one proxy holder then it is the responsibility of those holders to determine amongst themselves who will cast a specific vote and how.

17.2 Architecture Board Approval

The second step in obtaining approval for RFC issuance is to acquire an affirmative vote to recommend issuance from the Architecture Board. The Technology Committee may only issue a RFC for which it has obtained AB approval in order that the AB can verify that the RFC contains no specifications that are incompatible with the Model Driven Architecture (MDA) [[MDAa](#) - [MDAd](#)] or adopted technology. Approval is determined by a simple majority vote of AB members and normally occurs at its Thursday meeting during an OMG Technical Meeting.

In order for a RFC to be reviewed by the AB, it must be on their agenda. Make sure the AB Chair (ab-chair@omg.org) is notified of the RFC document number as soon as OMG receives it. He will place that document on the AB agenda, assign at least one member to study it in depth and ask all AB members to read it before the meeting, so that they can make an informed decision.

Tips

- ***Love a tree!*** Usually, having an electronic copy filed on the OMG document server three weeks in advance of the TC Meeting is sufficient. If an errata document has been generated, get it in the hands of each AB member as soon as possible.
 - ***Don't wait until the last minute to have copies made!***
- ***Advertise!*** Talk to the AB! At least one AB member is assigned the RFC Submission for review and discussion with his or her peers. Make it your responsibility to talk to that person, your AB buddy (an AB member who has been assigned as a mentor) and the other AB members.

17.3 Technology Committee Vote to Issue

The actual approval to issue a RFC Submission must come from the Task Force's parent Technology Committee – either the Domain or the Platform Technology Committee. Upon confirmation from the AB that the RFC Submission – the proposed specification – is acceptable, approval to issue is determined by a simple majority vote of eligible voters in the DTC or PTC plenary meeting, which occurs at the last day of the OMG meeting (Friday, by convention). The TC may decide not to issue the proposal for RFC for many reasons, including (but not limited to) the lack of perceived need for the technology; the likelihood of competition for the technology; the mismatch of the technology under the

scopes of existing Task Forces; or simply that there are too many parallel request processes under way at the time. While voting may take place at a meeting or electronically, votes to issue normally occur at this meeting. An affirmative vote to issue opens the RFC comment period.

Tips

- *Advertise!* Don't show up at the plenary meeting with a never-before-seen RFC Submission and expect everyone to simply agree without question. Have at least (compute a number equal quorum plus some extra) copies of the submission available prior to the Technology Committee meeting. These documents should be placed in a conspicuous place – there is generally a table available at the OMG registration desk for such purposes. Hand out copies prior to the meetings as well.
 - And this may sound obvious, but make sure an advocate of the RFC Submission *shows up* at the plenary meeting.
 - *Don't wait until the last minute to have copies made!*

17.4 Letter of Intent (LOI)

Concurrent with the RFC review, a Letter of Intent is presented to the OMG Business Committee so that it may examine the proposal under the OMG's commercial availability criteria.

18. RFC Evaluation

Once the Technology Committee has issued a RFC Submission for its Comment Period, it is expected that the OMG membership (or anyone for that matter!) will review and evaluate the submission. Subsequent approval of the submission comes through:

- No significant technical objections filed during the RFC Comment Period.
- Vote to recommend adoption by the issuing Task Force, Architecture Board and parent Technology Committee at the end of that Comment Period.

18.1 RFC Comment Period

During the RFC Comment Period, any party (including all classes of OMG Members, as well as any non-member of OMG) may send comments on the proposal to OMG Headquarters to an address announced with the RFC issuance. OMG Staff will manage collection of the comments.

Note that there is an element of risk associated with the RFC process not found within the RFP process. That is, anyone may comment on an outstanding RFC, since there is no other public comment or response period for this proposed specification. RFCs are publicized and issued to industry for comment, not just to OMG Members (as are RFPs).

The RFC Comment Period closes either forty (40) days from issuance of the RFC or three (3) weeks before the start of the next TC Meeting, whichever is the later.

18.2 RFC Recommendation Voting

18.2.1 Task Force

At the end of the RFC Comment Period, the RFC and all comments received are returned to the issuing Task Force for review and evaluation. If the Task Force deems there are no significant objections by voting (by simple majority) to recommend the RFC for adoption, then the RFC is forwarded to the Architecture Board.

Should an RFC adoption recommendation vote fail, the issuing Task Force may choose to follow the RFP approach to adoption in that area if it is deemed

18.2.2 Architecture Board

The AB will then conduct a final review and decide whether or not to recommend adoption to the parent Technology Committee.

18.2.3 Technology Committee

The parent TC makes a final specification adoption recommendation decision with the usual 2/3 voting margin to recommend the specification for adoption to the Board of Directors.

Tips

- ***Don't forget to get on the TC agenda!***
- ***Advertise!*** Talk to both Technology Committees. Since most of the voting will occur after the meeting, generate interest! Although the RFC Comment Period has elapsed, distribute copies during the TC Meeting. Place copies in a conspicuous place (e.g., Registration Table) as well.
 - ***Don't wait until the last minute to have copies made!***
- Watch the tally of the vote. Should it stall, assist OMG Staff in soliciting votes from the membership.

19. RFC Final Steps and Post-Adoption

Once the Technology Committee and the Board of Directors has recommended an RFC Submission for adoption, it follows the same procedure of finalization and revision as any adopted specification. For the sake of avoiding redundancy and keeping this document to a manageable size, the reader is asked to review [section 6](#) (*RFP Final Steps*) and [section 7](#) (*RFP Post-Adoption*).

Part Four: Tracking Technology

This section provides a guide to the OMG resources that help track technology through its adoption process. Those resources include: web pages, email lists, the OMG document server and, of course, people. It describes how each resource applies to each stage of the technology adoption process.

20. Tracking the Technology Adoption Process

[Part Four](#) provides a guide to the OMG resources that help track technology through its adoption process. Those resources include:

- *Web Pages.*
- *Email Lists*
- *OMG Document Server*
- *People*

The *Guide* addresses how each of these resources can be used as an aid in tracking activity at each stage of the technology adoption lifecycle (from inception through implementation.) Before doing so, some comments on the general usage of these resources are offered to provide background for their specific application.

Peppered throughout Part Four are many references presented as URLs. A summary of these useful links can be found in [Appendix 9](#).

Web Pages

The OMG's web site provides several categories of web pages designed to assist in many different facets of information services relevant to the OMG mission. The *Guide* addresses only those web pages that directly pertain to technology adoption and implementation. Many of the web pages referenced can be found either by invoking its URL or going to the OMG's Home Page [[OMG](#)] and selecting a menu item in the appropriate pull down menu.

Email Lists

A page [[Lists](#)] on the OMG web site is provided that identifies OMG email lists currently active and available to Members. While anyone may post a message to these lists, subscription is only available to Members of the OMG or to the designated contact for organizations having a liaison relationship with OMG.

Email list names take the form "LISTNAME@omg.org", where "LISTNAME" is typically an OMG subgroup or activity. All OMG email traffic is managed on the OMG's primary electronic mail server.

OMG Members can subscribe to one of these lists by sending an email request to request@omg.org. Requestors should supply complete company mailing information in order to be added to the OMG database correctly. Administrative requests ***should not*** be sent to a mail list. These lists are not managed by automated email programs; placing "subscribe" or "unsubscribe" in the body of a message does not ensure that action will be taken.

Do not use mail lists to request OMG documents; use documents@omg.org instead.

Questions regarding email lists should be directed to omg-process@omg.org.

OMG Document Server

All published OMG specifications, RFIs and RFPs are freely available to the public on the OMG's document server. Anything else is considered work in progress, however, and is normally limited to Member access only. The *Guide* describes the convention used for document numbers; identifies the document formats most generally used; defines how document management is enforced; and provides tips on document access and document searches.

Much more can be said about documents than is addressed here. Fortunately, a fine tutorial exists to serve this purpose, and can be found on the OMG web site at [\[DocTutorial\]](#).

Document numbers

The OMG uses document numbers to identify documents. To obtain an OMG document, you should first understand how a document number is composed. Documents are named by the following convention:

group_identifier / year-month-sequence_identifier

where

<i>group_identifier</i>	a character string identifying the issuing subgroup (e.g., "mfg" for Manufacturing Technology and Industrial Systems (ManTIS) DTF, "mars" for the Middleware and Related Services PTF)
<i>year</i>	a character string denoting the year in which the document was issued (<i>nn</i> prior to 2000, <i>nn</i> or <i>nnnn</i> starting 2000)
<i>month</i>	a character string "01-12" denoting the month in which the document was issued
<i>sequence_identifier</i>	a character string "01- <i>nn</i> " indicating the order in a given month in which a document was issued for a particular group (e.g., "03" denotes the third document issued for a given month)

For example, the document number *mfg/2001-01-03* identifies ManTIS DTF as the issuing body, January 2001 as the issue date and "03" signifies that it was the third document to be issued by that group for that month.

A Note on Subgroup Identifiers

Someone new to the OMG will not know that "mfg" is used for ManTIS DTF documents nor that "lifesci" is used for Life Sciences Research DTF documents. The easiest way to learn these identifiers is to review the Subgroup's Home Page or the selections on the OMG Technical Committee Subgroup Directory Page [\[Directory\]](#).

Document Formats

Documents are normally stored on the OMG document server in one of five formats: MS WORD™, PostScript™, Rich Text Format (RTF), PDF™ and ASCII. Published specifications are available in Frame™. UML models are captured in vendor formats or OMG's XMI (XML Metadata Interchange) language [XMI]. Presentations are provided in PDF, MS PowerPoint™ or MS WORD formats. Occasionally, large files or collections of files will be compressed into the ZIP format.

Document Management

Much has been said in the *Guide* already about Document Management. It bears repeating that:

- OMG documents never contain proprietary information.
- A document number is the principal – actually, the only – mechanism within the OMG to enforce document control.
- Document numbers are assigned to each distinct version of the same document type, thus providing a means for version control. Once a document is posted to the OMG server, that specific document cannot be altered.
- Documents are never removed from the OMG server; document numbers never expire.
- Only Subcommittee, Task Force or Special Interest Group Chairs can assign a document number at a TC meeting.

Document Access / Searches

If a document number is known, it is typically accessed through a web browser by appending the document number to “<http://www.omg.org/cgi-bin/doc?>” in the browser's location field. For the previous example, “<http://www.omg.org/cgi-bin/doc?mfg/2001-01-03>” would direct the user to a page that offers the document in, for this real example, three distinct document formats. Other simple ways of accessing a document is through following links in subgroup web pages or other publications.

Navigation Tips

- If you hate to type, the following shortcut is a less cumbersome option for document access: type “<http://doc.omg.org>” instead of “<http://www.omg.org/cgi-bin/doc?>”; e.g., “<http://doc.omg.org/mfg/2001-01-03>”.
- And if you **really** hate to type, use the above tip in conjunction with the following shorter shortcut. Using our example, type: “<http://doc.omg.org/mfg/1-1-3>”.

Things can get harder, of course, when you know what you're after but don't know the document number or title. That's when the document searches come to the rescue. A search engine is provided [DocSearch] that allows for document searches in one of three ways:

- Using group identifier and year as search criteria
 - Fortunately, you don't have to know the subgroup's identifier when using the document search engine – there's a pull down menu to assist your selection.
- Keyword search
- Archival search

And, of course, specifications can be found within the Catalog of OMG Specifications [[Catalog](#)].

People

The human element as a resource is more than adequately covered in the preceding sections. However, the following tip is very useful for contacting OMG Member representatives via email, especially when their email address is unknown.

Tip

- OMG Member representatives and staff with electronic mail access may be reached by sending mail to *FIRSTNAME_LASTNAME@omg.org*. (Readers in countries other than the United States will prefer *GIVENNAME_SURNAME@omg.org*.)

20.1 Tracking Subgroup Technology Activity

The most effective way of learning what technology is being developed or planned is to go to the source – the sponsoring Technology Committee subgroup (usually a Task Force.) If you're at a Technical Committee Meeting, you can, of course, simply approach a member of the group and ask questions. However, when you're back at the office, the easiest way to find out what is going on is to browse the subgroup's Home Page. Here you will find links to work in progress; supporting documentation; agendas for upcoming meetings that identify what activity is underway; adopted specifications; contact information; roadmaps showing future plans; and liaisons established with other standards organizations. Speaking of TC Meetings, there's a page associated with upcoming meetings that provides pointers to agendas for each subgroup (see below). Yet another source for discovering subgroup activity is in the group's meeting minutes.

Tracking Tips

- ***Finding Home Pages***
 - To locate a subgroup's Home Page (or discover their email address), go the Technology Committee Subgroup Directory Page [[Directory](#)], which serves as a white pages directory for subgroup Home Pages and email addresses.

- ***Finding Subgroup Agendas***
 - To locate the agenda for a subgroup's next meeting, you can:
 - Go the subgroup's Home Page.
 - Go to the OMG Technical Meeting Agenda Page [[Agendas](#)], which can be found in one of two ways:
 - Go to the Registration Page [[TCReg](#)] for a specific TC Meeting where the agenda link is found.
 - Go to the Upcoming Events Page [[Schedules](#)], where a link to the Registration Page is found.
- ***Finding Subgroup Minutes***
 - To locate the minutes for a subgroup's past meetings, you can:
 - Go the subgroup's Home Page.
 - Go to the OMG Minutes of Past Technology Committee Meetings Page [[Minutes](#)].

20.2 Tracking RFIs

This section provides tips on how to track a Request for Information (RFI) from inception through evaluation. Readers should consult [Part Two](#) of this Guide for a detailed description of the RFI technology adoption process.

20.2.1 Tracking RFI development and issuance

The first questions, of course, are “What RFIs are planned?”, “Which are under development?” and “How do I get a copy?” A subgroup's Roadmap, found on its Home Page, is an excellent source for finding out what is being planned for the future and what is under development. Other ways to discover this information are monitoring the group's email list (or send a query to the email list) and reviewing the group's meeting agenda and past meeting minutes.

Tracking Tips

- ***“What RFIs are planned / under development?” - finding out what's going on***
 - Monitor a subgroup email list, searching specifically for discussions on RFI development.
 - Search the subgroup Home Page for a link to its Roadmap - RFIs planned or under development.
 - Review meeting agendas by consulting the TC Meeting Agenda Page [[Agendas](#)], where you will find the
 - Subgroup agenda. Look for an agenda item that specifies when finalization and vote to recommend issue will occur.
 - TC agenda. Look for an agenda item that specifies when a vote to issue will occur.
 - Review meeting minutes.
 - Attend subgroup meetings.

- **Obtaining RFIs**
 - RFI Drafts, once at a level complete enough to warrant review, are placed on the OMG document server. If the document number is unknown, it can be found through:
 - Performing a document search using the group identifier and issue year.
 - Searching the subgroup's Home Page.
 - Sending a query to the subgroup's Email List.
 - Asking someone.

20.2.2 Tracking RFI responses and evaluations

Once a RFI has been issued, the questions then become “Who has responded?”, “How can I find the responses?” and “When will they be evaluated?” The answers to those questions are found on the OMG TC Work in Progress Page constructed for each RFI. That page lists:

- A brief description of the intent of the RFI and its document number.
- When the RFI was issued.
- When the responses are due and document number (s) for the response(s).

So how do you find that page? The following Tracking Tips provide the answer.

Tracking Tips

- **“How can I find the RFI Work in Progress Page?”**
 - There are two OMG web pages that provide links to a RFI's Work in Progress Page:
 - The primary OMG TC Work in Progress Page [[WIP](#)].
 - The Technology Adoption Snapshot Page [[Snapshot](#)].
 - Other ways of searching for RFI responses include:
 - Possible links on the subgroup's Home Page.
 - Searching the OMG document server.
 - Monitoring discussions on the subgroup's email list.
 - Reviewing the subgroup's minutes.
 - Asking someone.

Once the RFI response deadline has passed, an evaluation activity will be scheduled. To find out when evaluations will occur, use the following Tracking Tips

Tracking Tips

- **“When will a RFI be evaluated?”**
 - Review meeting agendas by consulting the TC Meeting Agenda Page [[Agendas](#)], where you will find a link to the subgroup agenda. Look for an agenda item that specifies when RFI evaluations will occur.
 - Monitor discussions on the subgroup's email list.

- Review meeting minutes.
- Ask someone.

20.3 Tracking RFPs

This section provides tips on how to track a Request for Proposals (RFP) from inception through adoption. Readers should consult [Part One](#) of this Guide for a detailed description of the RFP technology adoption process.

20.3.1 Tracking RFP development and issuance

As with RFIs, the first questions, of course, are “What RFPs are planned?”, “Which are under development?” and “How do I get a copy?” A subgroup’s Roadmap, found on its Home Page, is an excellent source for finding out what is being planned for the future and what is under development. Other ways to discover this information are monitoring the group’s email list (or send a query to the email list) and reviewing the group’s meeting agenda or past meeting minutes.

Tracking Tips

- **“What RFPs are planned / under development?” - finding out what’s going on**
 - Monitor a subgroup email list, searching specifically for discussions on RFP development.
 - Search the subgroup Home Page for a link to its Roadmap - RFPs planned or under development.
 - Review meeting agendas by consulting the TC Meeting Agenda Page [[Agendas](#)], where you will find the
 - Subgroup agenda. Look for an agenda item that specifies when finalization and vote to recommend issue will occur.
 - AB agenda. Look for an agenda item that specifies when review and vote to recommend issue will occur
 - TC agenda. Look for an agenda item that specifies when vote to issue will occur.
 - Review meeting minutes.
 - Attend subgroup meetings.
- **Obtaining RFPs**
 - RFP Drafts, once at a level complete enough to warrant review, are placed on the OMG document server. If the document number is unknown, it can be found through:
 - Performing a document search using the group identifier and issue year.
 - Searching the subgroup’s Home Page.
 - Sending a query to the subgroup’s Email List.
 - Asking someone.

20.3.2 Tracking RFP submissions and evaluations

Once a RFP has been issued, the questions then become “Who is submitting a proposal?”, “How can I find the submissions?” and “When will they be evaluated?” The answers to

those questions are found on the OMG TC Work in Progress Page [[WIP](#)] constructed for each RFP. That page lists:

- A brief description of the RFP, when it was issued and its document number.
- When Letters of Intent (LOIs) are due.
- When Initial and Revised Submissions are due.
- Who is on the Voting List and when it closes (if it does).
- The document numbers for Initial and Revised Submission(s).

So how do you find that page? The following Tracking Tips provide the answer.

Tracking Tips

- ***“How can I find the RFP Work in Progress Page?”***
 - There are two OMG web pages that provide links to a RFP's Work in Progress Page:
 - The primary OMG TC Work in Progress Page [[WIP](#)].
 - The Technology Adoption Snapshot Page [[Snapshot](#)].
 - Other ways of searching for submission-related information include:
 - Possible links on the subgroup's Home Page.
 - Searching the OMG document server.
 - Monitoring discussions on the subgroup's email list.
 - Review meeting minutes.
 - Asking someone.

RFP submissions undergo evaluation at both the Initial and Revised level. Evaluations of Initial Submissions result in recommendations for completion and “fine-tuning”. Evaluations of the Revised (or Final) Submission result in a recommendations by the issuing Task Force for adoption. To find out when these evaluations will occur, use the following Tracking Tips.:

Tracking Tips

- ***“When will the RFP submissions be evaluated by the Task Force?”***
 - Review meeting agendas by consulting the TC Meeting Agenda Page [[Agendas](#)], where you will find a link to the subgroup agenda. Look for an agenda item that specifies when RFP evaluations will occur.
 - Monitor discussions on the subgroup's email list.
 - Review meeting minutes.
 - Ask someone.

20.3.3 Tracking the RFP submission vote

Voting on RFP submissions occurs at four levels:

- The issuing Task Force votes to recommend adoption.

- The Architecture Board votes to recommend adoption.
- The parent Technology Committee votes to recommend adoption.
- The Board of Directors votes to adopt.

Tracking the Task Force Vote

The Task Force vote to recommend adoption typically (but not always) occurs at the same meeting that the Revised Submissions are evaluated. For that to happen, a Vote-to-Vote must have been requested and voted upon (see [section 5.6](#)).

Tracking Tip

- **“When will the Task Force recommendation vote occur?”**
 - Review meeting agendas by consulting the TC Meeting Agenda Page [[Agendas](#)], where you will find the TF agenda. Look for an agenda item that specifies vote to recommend issue will occur.
 - Review meeting minutes.
 - Look at when the Revised Submissions are due – voting normally occurs at the TC Meeting immediately following that date.

Tracking the Architecture Board Vote

The AB vote to recommend adoption occurs after (but typically at the same meeting) the TF votes to recommend adoption.

- **“When will the AB recommendation vote occur?”**
 - Review meeting agendas by consulting the TC Meeting Agenda Page [[Agendas](#)], where you will find the AB agenda. Look for an agenda item that specifies vote to recommend issue will occur.

Tracking the parent Technology Committee Vote

If both the issuing TF and the AB vote to recommend adoption, then the RFP submission (proposed specification) is brought before the issuing Task Force's parent Technology Committee. There is an activity at TC Meetings in which a poll is initiated, but actual voting occurs over a ten-week period in which the Primary Contact for eligible Member Companies votes on the proposed specification.

Tracking Tip

- **“When will the TC vote be initiated?”**
 - Review meeting agendas by consulting the TC Meeting Agenda Page [[Agendas](#)], where you will find the DTC and PTC agendas. Look for an agenda item that specifies vote to recommend issue will occur.
- **“What is the status of the Technology Committee voting?”**
 - To track voting at this level, consult the (unfortunately misnamed) OMG TC Faxvotes Status Page [[Votes](#)].
 - OMG Staff will issue a message to the membership summarizing voting results.

Tracking the Board of Directors Vote

Upon favorable parent TC and Business Committee recommendation, the OMG Board of Directors votes on the adoption of the proposed specification. There is no way of tracking BoD voting. However, OMG Staff will issue a message once this voting has completed.

20.4 Tracking RFCs

This section provides tips on how to track a Request for Comments (RFC) from its Issuance for Comment through adoption. Readers should consult [Part Three](#) of this Guide for a detailed description of the RFC technology adoption process.

20.4.1 Tracking RFC issuance

RFCs are an oddity in that they are not planned, thus they will not be found on a subgroup's Roadmap. However, subgroups are approached with the idea long before the actual vote to Issue for Comment occurs. Thus, the best way of determining whether or not a RFC issuance is in the works is to monitor subgroup activity.

Tracking Tips

- **“What RFCs are being considered?” - finding out what's going on**
 - Monitor a subgroup's email list, searching specifically for discussions on RFC proposals.
 - Search the subgroup Home Page for links.
 - Review meeting agendas by consulting the TC Meeting Agenda Page [[Agendas](#)], where you will find the
 - Subgroup agenda. Look for an agenda item that specifies when the vote to Issue for Comment issue will occur.
 - AB agenda. Look for an agenda item that specifies when review and vote to recommend issuance will occur
 - TC agenda. Look for an agenda item that specifies when vote to issue will occur.
 - Review meeting minutes.
 - Attend subgroup meetings.
- **Obtaining RFCs**
 - RFCs, as are all documents to be voted upon, are placed on the OMG document server. If the document number is unknown, it can be found through:
 - Performing a document search using the group identifier and issue year.
 - Searching the subgroup's Home Page.
 - Sending a query to the subgroup's Email List.
 - Asking someone.

20.4.2 Tracking RFC Comment Period

The short answer to “How do you track the RFC through its Comment Period?” is that *there is no tracking*. Comments on the RFC are sent to OMG, which collects the

comments and returns them to the issuing Task Force at the end of the RFC Comment Period.

20.4.3 Tracking the RFC Adoption Vote

At the end of the RFC Comment Period, the RFC adoption vote follows the same adoption process as a submission to a RFP. The reader should consult [section 20.3.3](#) to learn how to track the RFC adoption vote.

20.5 Tracking RFP and RFC post-adoption activities

20.5.1 Finalization

A Finalization Task Force (FTF) is chartered to transform an adopted submission into an Available Specification. An OMG TC Work in Progress Page is constructed for each FTF that lists:

- Voting list and its deadline for the draft Adopted Specification
- Publication date for the draft Adopted Specification
- The comment deadline
- The due date for the FTF Final Report

So how do you find that page? The following Tracking Tips provide the answer.

Tracking Tips

- **“How can I find the FTF Work in Progress Page?”**
 - The primary OMG TC Work in Progress Page [[WIP](#)].
 - Other ways of searching for FTF-related information include:
 - Searching the OMG document server.
 - Monitoring discussions on the FTF's email list.
 - Asking someone.

With the exception of a Task Force endorsement, a FTF Final Report follows the same adoption process as a submission to a RFP (see [section 20.3.3](#)).

20.5.2 Revision

A Revision Task Force (RTF) is chartered to perform technical maintenance on an Available Specification. An OMG TC Work in Progress Page is constructed for each RTF that lists:

- Voting list
- The public comment deadline
- The due date for the RTF Final Report

So how do you find that page? The following Tracking Tips provide the answer.

Tracking Tips

- **“How can I find the RTF Work in Progress Page?”**
 - The primary OMG TC Work in Progress Page [[WIP](#)].
 - Other ways of searching for RTF-related information include:
 - Searching the OMG document server.
 - Monitoring discussions on the RTF's email list.
 - Asking someone.

With the exception of a Task Force endorsement, a RTF Final Report follows the same adoption process as a submission to a RFP (see [section 20.3.3](#)).

20.6 Reporting and Tracking Bugs / Issues against Specifications

OMG specifications are living documents that undergo evolution based upon implementation experience. Mechanisms are provided that allow issues to be posted against a specification and then tracked.

Tips

- **How do you file an Issue?**
 - By sending an email message to issues@omg.org.
 - By filling out the form on the OMG Report a Bug/Issue Page [[BugReport](#)].
 - And, yes, there's some legalese to filling out a bug report, but that's to ensure that any suggestions incorporated into a specification do not endanger the use of the amended specification.
- **How do you track all issues filed against a specification?**
 - By monitoring the OMG Issues in Progress Page [[Issues](#)].

20.7 Information about Implementations

While the OMG does not engage in product endorsement, there are two web page resources available that can assist in learning about implementations.

Tracking Tips

- The Vendor Commitments Page [[Vendors](#)].
- The OMG Success Stories Page [[Success](#)].

20.8 Other Useful Tracking Resources

- For tracking RFP and F/RTF deadlines: [[TCdeadlines](#)]
- Schedule of upcoming OMG TC Meetings, Workshops and Conferences/Exhibits: [[Schedules](#)].
- Schedule of upcoming industry events: [[Events](#)].

Part Five: Tips for Effective Membership

This final section provides tips and guidelines on how OMG Members can maximize their investment of time and energy in the organization. It offers the benefits of membership and provides suggestions for effective involvement. It also addresses the role of subgroup Chair: benefits, tips for planning for and running meetings and guidance in leading the subgroup through the technology adoption process.

21. Tips for the Effective Member

As with any organization, the investment into the OMG is best realized through **involvement**. This section presents many of the benefits derived from becoming involved (as opposed to passive observation); lists way to become involved; and concludes with tips for maximizing the OMG meeting experience.

21.1 Benefits of Involvement

Anyone attending an OMG TC Meeting who simply observes and takes notes will probably come away feeling disenfranchised. The OMG technology adoption process relies on the Members becoming engaged. It is a process built upon industry experts becoming involved with defining problems and developing solutions. With involvement come benefits, many of which are listed below.

- Involvement maximizes a company's resource commitment (time and money).
- Involvement provides awareness. Involved companies get a sense of technology direction, thus presenting opportunities for market / product preparedness. That maps into savings as well when a company is able to make technology choices earlier in the development cycle which lessens the risk of re-engineering.
- Involvement provides opportunities to influence peers and suppliers alike - the technology adoption process – *in an open and democratic manner!*
- Involvement provides networking opportunities – an exchange of ideas among peers.
- Involvement offers visibility to a company as an industry leader.
- Involvement introduces possibilities for business partnerships.

For a more in-depth look at the benefits of membership, browse the OMG Membership Benefits Page [[Benefits](#)].

21.2 Ways to become involved

The previous section advanced the case for becoming involved, which begs the question: *How do I get involved?* Here are some tips.

Tips

- First and foremost, participate in TC subgroups. Be active in the technology adoption process, be it writing white papers, defining the group's Roadmap, drafting a RFP or RFI, developing a submission, being involved the submission evaluation process, or being a member of the Finalization and/or Revision Task Forces.
- Assume a leadership role. Many opportunities exist, including subgroup or work group Chair; evaluation team leader; and Architecture Board member.
- Other opportunities exist, including:
 - participating (planning and/or presenting) in workshops
 - publication submissions
 - product demonstrations at OMG TC Meetings

- managing a subgroup's web site.

21.3 Tips for attending meetings

Meetings are where the action occurs. They are where ideas are exchanged and debated; relevant documents are finalized before publication; submissions are evaluated; and recommendations are made. Member participation in meetings can be enhanced by following the tips offered below.

Tips

- **Know the process.** The OMG technology adoption process and the amount of activity can be slightly overwhelming to the newcomer. Several resources are available to help newcomers (and old timers!) navigate and participate effectively through a TC Meeting. Those resources include:
 - this document
 - the OMG's web site [[OMG](#)]
 - OMG Staff
 - Subgroup Chairs
 - OMG Policy and Procedures [[P&P](#)].
- **Do your homework.** Prior to coming to a TC Meeting.
 - Scan the subgroup agendas. Understand what will happen at their meeting.
 - Familiarize yourself with the documents and issues to be addressed.
- **Focus on subgroup activity** – that's where most of the action occurs.
 - You'll gain exposure to industry-wide topics at the Task Force level. Drill down to SIGs and Work Groups for very specific topics.
 - The AB meetings typically address topics at too fine of detail for newcomers.
- **Attend the plenaries** – it's your best opportunity to gain a TC Meeting summary (and write a trip report!)
- **Network** – at lunch, at the breaks, in the hallways and at social functions.
 - The vast majority of the action (but not the votes) occurs through face-to-face interchange of ideas!

22. Tips for the Effective Chair

Member involvement is increased through assuming a leadership role. This section provides tips and guidelines on how an OMG Member can be most effective in his or her role as subgroup Chair. It is supplemented by a handy on-line reference, which may be found at [[Help](#)] on OMG's web site.

22.1 Benefits of involvement

Before proceeding to the tips on effective leadership, a reasonable question should be addressed: *Why become a Chair?* Wouldn't involvement with the technology adoption process in and of itself present the best opportunity to maximize OMG membership? The answer, of course, must come from the individual and their home organization. However, the following two factors should be considered when reaching a decision.

Company promotion

Although a Chair does not exert any more influence than any other OMG Representative on the technology adoption process, having an employee serving in that capacity adds to perception of a company being an industry leader. In other words, there's "marketing mileage" to be gained in an employee's serving as Chair.

Personal career development

When considering advancement of its employees, many companies consider exhibited leadership qualities and contributions to the technical community outside of the company. Chairing an OMG subgroup composed of international experts presents strong evidence for meeting both criteria.

OMG Recognition

The OMG recognizes the hard work of its Chairs by hosting a Chairs' Dinner at some very exceptional venues at each TC Meeting. These meals offer a chance not only to sample the local fare but also provide an exceptional opportunity to network with some of the OMG's most active Members. The OMG also recognizes its Chairs through the Distinguished Service Award.

22.2 Task Force and SIG Chair

The majority of technical work occurs at the Task Force level (in conjunction with submission development and AB review, of course!) That statement in no way ignores some very active Special Interest Groups that conduct a great deal of technical work. However, it recognizes that SIGs are restricted, by OMG policy, to issuing RFPs through a Task Force. The following section provides tips on being a more effective Domain Task Force (DTF), Domain Special Interest Group (DSIG), Platform Task Force (PTF) and Platform Special Interest Group (PSIG) Chair. It targets the Chair's role in respect to meetings, the technology adoption process and group promotion.

22.2.1 Meetings

One of the major responsibilities of a Task Force and SIG Chair is in regard to meetings: assisting in their planning, running them and reporting on their progress.

Tips

- Preparation
 - Make your group's room reservation and audio/visual requests by submitting a Meeting Request Form [[Request](#)] available on the OMG Process Help Page [[Help](#)] to OMG Staff before the end of the preceding Technical Meeting. Don't forget working group requirements.
 - Post the group's agenda to OMG (agendas@omg.org) and to your subgroup no later than two weeks before the start of the TC meeting.
 - Be the steward of your group's agenda. Make sure agenda items make the best use of your resources. And remember that the Chair has the final say-so on the agenda.

- Make sure all technology adoption process deadlines (e.g., the *Three-Week Rule*) have been met.
- Know your quorums (provided by OMG prior to TC Meetings).
- Running meetings
 - Remember that your role is that of Facilitator. Be familiar with the broader points of Robert's Rule of Order.
 - Ensure minutes are taken!
 - Ensure adequate copies of working drafts, submissions, etc. are available for review.
 - Plan for the next meeting.
- Post meeting
 - Be prepared to present meeting highlights to your TC at their plenary meeting. Use the reporting form available on the OMG Process Help Page [[Help](#)] on OMG's web site.
 - Provide complete minutes to your group and OMG Staff immediately after the TC Meeting.

22.2.2. Technology Adoption

Providing leadership in moving technology adoption through the OMG process is yet another key responsibility of the Task Force Chair. The SIG Chair has somewhat similar responsibilities. However, as OMG policy dictates that RFPs are issued through and technology recommendations come from a Task Force, the SIG Chair has the added responsibility of coordinating with the issuing Task Force.

Tips

- RFPs and RFCs
 - Obtain an OMG document number (send a request to omg-process@omg.org).
 - Ensure that the document is placed on the OMG document server (omg-documents@omg.org).
 - Place a request to vote to issue (or initiate RFC Comment Period) on the (SIG), TF, AB and parent TC agendas.
 - Announce availability of document to the OMG membership.
- RFIs
 - Obtain an OMG document number (send a request to omg-process@omg.org).
 - Ensure that the document is placed on the OMG document server (omg-documents@omg.org).
 - Place a request to vote to issue (or initiate RFC Comment Period) on the (SIG), TF and parent TC agendas.
 - Announce availability of document to the OMG membership.

- Develop evaluation plan for responses(s).
- Coordinate demonstrations (if any) with OMG Staff.
- RFP Submissions
 - Ensure LOIs are submitted on time (meet deadline posted in RFP).
 - Monitor and close the Voting List (if it is to be closed).
 - Ensure that the submissions meet deadlines and are placed on the OMG document server (omg-documents@omg.org).
 - Ensure submissions have employed the ISO PAS format.
 - Announce availability of submission(s) to the OMG membership.
 - Ensure evaluation effort is organized and ready to begin.
 - If a Vote-to-Vote (see [section 5.6](#)) is requested by a submitter:
 - Ensure request is submitted to OMG in writing no less than three weeks before TC Meeting. Request must be signed by at least one submitter.
 - Place the motion to conduct a recommendation vote on the TF agenda.
 - Place recommendation vote on (SIG), TF and parent TC agendas and submission review on AB agenda.
- RFC Comment Period
 - There's really nothing more to do during the RFC Comment Period than monitor submitted comments.

22.2.3. Group Promotion

Although its Members pay dues, the OMG nevertheless depends upon volunteer participation to advance specifications through its technology adoption process (even submitters do not get paid!) The lifeblood of the organization is in its actively contributing membership. Creating interest, excitement and involvement in the group's activity is crucial to meeting its goals. The third key role of a Chair is to assist in this form of promotion. There are several resources available to assist the Chair in "selling" his or her subgroup.

OMG Business Development

OMG's Business Development (BD) group is a resource posed to promote subgroup activity and recruit new membership. Working with the OMG subgroups, BD uses industry contacts, publications and events to "advertise" the group's activity with the goal of opening new business opportunities and attracting new members.

OMG Marketing

OMG's Marketing Department works very diligently in elevating industry awareness of OMG technology. This is done primary through targeting industry publications for papers and articles; targeting industry events for speaking engagements; and sponsoring workshops and Information Days. The content within these resources comes from individuals within the subgroups. Chairs can assist through identifying contributors and speakers and helping with coordination and planning.

Group Roadmap

A subgroup's roadmap identifies technologies that the group wishes to address, the business benefits to pursuing developing those technologies and the status of subgroup's activity regarding those technologies. It is the subgroup's way of informing industry of the problems it wishes to attack. It is one of the tools used by the OMG's Business Development group to recruit new members. It also provides a window into group to OMG web site visitors. A Chair should assume the responsibility of seeing that a roadmap exists and that it is up-to-date.

Web site

The OMG supports web pages for each of its subgroups. These pages present an excellent opportunity to present industry with a snapshot of the subgroup's mission, goals and activities. A Chair should assume the responsibility of seeing that the information portrayed on the group's web pages is complete, current and accurate.

Guests

A guest is a prospective member and contributor. A Chair should work with OMG Staff in helping visitors navigate through the Technical Meeting, understand the OMG technology adoption process, and understand the role that the subgroup plays within that process.

22.3. FTF and RTF Chair

Finalization and Revision Task Forces are special instances (but peer) of a Task Force designed to prepare a submission for publication in the former case and provide technical maintenance in the latter. Both are chartered by a Technology Committee for a relatively brief duration (one year or less for a FTF; 18 months for a RTF) with the distinct goal of issuing a report. Thus, Chair responsibilities in both cases focus primarily on getting the Task Force chartered, conducting its meeting, seeing that its goal are met and ensuring that its Final Report is delivered on time.

Tips

- Charter
 - Obtain a copy of the charter template. [[Charters](#)]
 - Note the working document for this Task Force.
 - Ensure the TF charter has members listed (by name and company) and deadlines enumerated.
 - Make sure the vote to charter is placed on the parent TC's agenda (preferably two weeks before a TC Meeting.)
- Task Force Final Report
 - Use the Report Template [[Report](#)] and obtain an OMG document number.
 - Make sure the Task Force report includes traceability information for each issue: discussion and resolution (including votes!)
 - Final Reports are accompanied by a Proposed Available Specification (FTF) or Proposed Available Specification (RTF), each called a "convenience document", which serves as the working document for formal publication.

22.4. TTF Chair

Testing Task Forces are special instances of a Task Force designed to certify that test suites adequately test compliance to an OMG specification. TTFs are chartered by a Technology Committee for a relatively brief duration with the distinct goal of issuing a report assessing the test suites suitably for testing compliance. Thus, Chair responsibilities focus primarily conducting its meeting, seeing that its goals are met and ensuring that its Report is delivered on time.

Tips

- Meetings
 - The TTF Chair will organize the deliberations of the TTF in any appropriate manner, including face-to-face meetings, by email, or by teleconference.
 - If observers are not to be admitted to specific TTF meetings where internal details of the test suite are to be discussed, then the TTF Chair must enforce this policy.
- TTF Report
 - The chair is responsible for organizing and moderating discussion of the features of the proposed test suite, and organizing the formulating of the report.
 - Deliver report three weeks before being reviewed by OMG.

22.5. Work Group Chair

Work Groups are designed to be short-lived, focusing on very specific topics within a subgroup. Logistical support and meetings must be coordinated with the sponsoring subgroup's Chair.

Tips

- Coordinate room reservation and agenda with parent subgroup Chair(s).
- Ensure minutes are taken; report to parent subgroup.

Appendices

Appendix 1: RFP Check List

WHAT	WHEN
Identifying the Problem	
State the problem.	Before drafting the RFP.
Define the high level requirements.	Before drafting the RFP.
Identify potential submitters.	Before drafting the RFP.
Creating the RFP	
Obtain the RFP Template [RFP].	Immediately
Obtain document number(s) from the OMG (omg-documents@omg.org)	Immediately. Obtain new document numbers for each significant draft.
Draft section 6 until all authors are satisfied that it is ready for (1.) TF review and recommendation; (2.) AB recommendation; (3.) TC issuance	
Electronically circulate draft among Task Force members	Approximately 5 weeks before TC meeting
Submit RFP to OMG (omg-documents@omg.org)	Three-Week Rule
Notify the AB Chair (ab-chair@omg.org), that the RFP is on server (refer to by document number)	When RFP is submitted
RFP Approval	
Announcement RFP availability to the full membership (tc@omg.org)	Three-Week Rule
Get RFP on AB, TF and TC agendas (omg-process@omg.org)	Two weeks before the OMG TC meeting
Make adequate number of copies for the TF	Before the group meets
Initial AB Questions & Answers.	AB first meeting (by convention, Monday afternoon)
Address AB and TF concerns; modify RFP as needed. (Don't forget change bars!)	Monday – Wednesday
TF vote to recommend	Thursday morning (may be sooner)
AB vote to recommend	AB second meeting (by convention, Thursday afternoon)
Make adequate number of copies for TC; circulate.	Thursday and (early) Friday morning
TC vote to recommend	Friday

Submissions – LOIs	
“Advertise” the RFP	Up to LOI deadline
Ensure all submitters wishing to respond have sent a LOI to OMG headquarters	By Close of Business (COB) on LOI deadline
Submissions – Voting List	
Announce imminent closing of Voting List	Two weeks before close of Voting List.
Announce closing of Voting List	Deadline as listed in RFP
Format of Submissions	
Determine when submitters will employ the ISO PAS template for submissions.	Shortly after RFP issued
Initial Submissions	
Ensure all submitters have filed their Initial Submissions with the OMG on time	Three-Week Rule
Schedule Initial Submission Presentations on TF agenda	Not less than two weeks before OMG TC meeting
Make adequate number of copies for the TF	Before the group meets
Initial Submission evaluation – determine if combined / Revised Submissions and RFP Timetable change are required	During meeting
Revised / Final Submissions	
Ensure all submitters have filed their Final Submissions with the OMG on time	Three-Week Rule
Announce availability of the submission(s) to the TC (tc@omg.org)	Three-Week Rule
If Vote-to-Vote is requested, submit request to OMG HQ (must be signed by at least one submitter).	Three-Week Rule
Schedule Final Submission Presentations on TF agenda	Not less than two weeks before OMG TC meeting
Notify the AB Chair (ab-chair@omg.org), that submission(s) is on server (refer to by document number)	When submission(s) is/are submitted
Finalize evaluation criteria and construct evaluation forms	By meeting
Form an evaluation work group; select a spokesperson	By meeting
Record evaluation work group recommendation(s)	Prior to TF vote
Submission(s) Vote	
If a Vote-to-Vote is requested, get the vote on AB, TF and TC agendas (omg-process@omg.org). The discussion and motion to consider an adoption recommendation vote	Not less than two weeks before OMG TC meeting

appears on the published agenda along with the exact, correct time during which the discussion (and possible vote) will be held.	
Make adequate number of copies for the TF and parent TC	Prior to each group meeting
If applicable, conduct the Vote-to-Vote.	Prior to TF vote
If the evaluation work group recommends adoption, conduct a TF vote among closed Voting List to either (1.) recommend the adoption of the only submission under consideration or (2.) choose one among two or more submissions for adoption. Don't forget to make sure the TF meeting is quorate when the vote is taken (get proxies to meet quorum.)	Prior to AB second meeting
AB vote to recommend	AB second meeting
Advertise the technology proposed for adoption to the membership.	Before / during the TC plenary
Monitor the TC vote	The weeks immediately following the OMG Technical Meeting
Final Steps – the Finalization Task Force (FTF)	
Develop FTF charter [Charters] (make sure all submitters are listed)	Prior to OMG Technical Meeting
Contact OMG to have vote on charter placed on appropriate TC agenda (omg-process@omg.org).	Preferably two weeks before OMG TC Meeting
Propose charter of the FTF	At same meeting TC vote initiated or shortly thereafter
Conduct FTF business. Work with the OMG Process Manager (issues@omg.org) on Issues and the OMG Technical Editor (tech-editor@omg.org) on technical editing.	During period stated in charter
FTF Final Report [Report] to TC	Deadline stated in charter
Post-Adoption - The Revision Task Force (RTF)	
Develop RTF charter [Charters] (make sure all submitters are listed)	Shortly after adoption cycle completed
Contact OMG to have vote on charter placed on appropriate TC agenda (omg-process@omg.org).	Preferably two weeks before OMG TC Meeting
Propose charter of the RTF	Shortly after the TC vote is completed
Conduct RTF business. Work with the OMG Process Manager (issues@omg.org) on Issues and the OMG Technical Editor (tech-editor@omg.org) on technical editing.	During period stated in charter
RTF Final Report [Report] to TC	Deadline stated in charter

<u>Post-Adoption - The Testing Task Force (TTF)</u>	
<u>Develop certification request and TTF charter</u>	<u>After specification is adopted</u>
<u>Contact OMG to have request and vote on charter placed on appropriate TC agenda (omg-process@omg.org).</u>	<u>Two weeks before OMG TC Meeting; six weeks if licensing required</u>
<u>If licensing required, ensure all prospective TTF members have signed license</u>	<u>Before TTF charter</u>
<u>Test suite in hands of TTF members</u>	<u>No later than 14 days after charter adopted</u>
<u>Conduct TTF business</u>	<u>During period stated in charter</u>
<u>TTF Report to TC</u>	<u>Deadline stated in charter; next meeting after TTF charter is recommended</u>

Appendix 2: Obstacles Along the Path to RFP Adoption

The following tips offer advice on editorial and minor technical obstacles encountered by submitters (and RFP authors in the editorial case) in traversing the adoption process.

Editorial

- In stating requirements, use the verb “shall”. This word implies a directive to be followed. Avoid the use of the word “must”. It’s all in the semantics of the two words and their use in the business world.
- Use the correct document number.
 - This includes the face page, the header and in the body of the document.
- Make sure the title is consistent throughout the document.
- Use correct terminology.
 - Don’t use “types” when you mean “interface.
- Use change bars to highlight revisions.
- *Use the spellchecker!*

Technical

- Follow the directives stated in section 5 of the RFP (General Requirements on Proposals) and section 6 (Specific Requirements on Proposals) to the letter.
- Use the correct pragma to ensure version control.

Appendix 3: RFI Check List

WHAT	WHEN
Identifying the Purpose	
State the objectives of the RFI.	Before drafting the RFI.
Identify potential responders.	Before drafting the RFI.
Creating the RFI	
Obtain the RFI Template [RFI] .	Immediately
Obtain document number(s) from the OMG (omg-documents@omg.org)	Immediately. Obtain new document numbers for each significant draft.
Draft RFI until all authors are satisfied that it is ready for (1.) Task Force review and recommendation; (2.) Technology Committee issuance	
Electronically circulate draft among subgroup members	Approximately 5 weeks before OMG Technical Meeting
Submit RFI to OMG (omg-documents@omg.org)	Three-Week Rule
RFI Approval	
Announcement RFI availability to the full membership (tc@omg.org)	Three-Week Rule
Get RFI on sponsoring Task Force and Technology Committee agendas (omg-process@omg.org)	Two weeks before the OMG Technical Meeting
Make adequate number of copies for the Task Force	Before group meets
Address concerns; modify RFI as needed.	Monday – Thursday
Task Force vote to recommend	Thursday morning (may be sooner)
Make adequate number of copies for Technology Committee; circulate.	Thursday and (early) Friday morning
Technology Committee vote to recommend	Friday
RFI Responses	
Define a process for extracting requested information from responses; form an assessment team	Prior to RFI Response deadline
If presentations are part of response, place on Task Force agenda.	Two weeks before the OMG Technical Meeting
If demonstrations are part of response, place on Task Force agenda and coordinate with OMG support (exhibit@omg.org).	Agenda item: Two weeks before the OMG Technical Meeting. Demonstration: well in advance of OMG

	Technical Meeting.
Place assessment activity on Task Force agenda	Target first meeting after response deadline
Perform assessments and determine next steps	Target first meeting after response deadline

Appendix 4: RFI Obstacles

The following tips offer advice on editorial obstacles encountered by RFI authors in getting a RFI issued and responders in having RFI Responses understood.

Editorial

- Use the correct document number.
 - This includes the face page, the header and in the body of the document.
- Make sure the title is consistent throughout the document.
- Use correct terminology.
 - Don't use "types" when you mean "interface."
- Use change bars to highlight revisions.
- *Use the spellchecker!*

RFI Responses

The following tip offers advice on responses to RFIs; specifically, how they can be written and submitted to ensure they can be addressed in the most effective manner.

- Keep in mind that responses will be evaluated by a small group of volunteers.
 - The most effective responses tend to be short and to-the-point.
- If a response includes extensive paper documentation as backup, provide an electronic reference.
- Do not submit code or demonstration executables to the OMG or the issuing subgroup.
 - Quite frankly, subgroup members don't have time to load demos or read code. Instead, if this is a key part of a response, include the URL of a website running a demo.

<p><i>Remember: everything submitted becomes available to the entire OMG membership!!</i></p>
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Appendix 5: RFC Check List

WHAT	WHEN
Submitting the RFC	
Obtain document number(s) from the OMG (omg-documents@omg.org)	Immediately.
Electronically circulate RFC among Task Force members to assess TF interest	Approximately 5 weeks before TC meeting
Submit RFC to OMG (omg-documents@omg.org)	Three-Week Rule
Notify the AB Chair (ab-chair@omg.org) that the RFC is on server (refer to by document number)	When RFC is submitted
RFC Issuance	
Announcement RFC availability to the full membership (tc@omg.org)	Three-Week Rule
Get RFC on AB, TF and TC agendas (omg-process@omg.org)	Two weeks before the OMG TC meeting
TF vote to issue	Thursday morning (may be sooner)
AB vote to issue	AB second meeting (by convention, Thursday afternoon)
TC vote to issue	Friday
RFC Comment Period	
Monitor submitted comments	
RFC Recommendation Vote	
Notify the AB Chair (ab-chair@omg.org), that RFC vote will be considered	Three-Week Rule
Get RFC on Issuing TF, AB and TC agendas (omg-process@omg.org)	Two weeks before the OMG TC meeting
Advertise the technology proposed for adoption to the membership.	Before / during the TC plenary
Schedule an evaluation of submitted comments (if any).	By meeting
Record evaluation of submitted comments (if any).	Prior to TF vote
If evaluation of comments does not disclose any formidable technical issues, conduct a TF recommendation vote. Don't forget to make sure the TF meeting is quorate when the vote is taken (get proxies to meet quorum.)	Prior to AB second meeting
AB vote to recommend	AB second meeting
Monitor the TC vote	The weeks immediately

	following the OMG Technical Meeting
<i>Final Steps – the Finalization Task Force (FTF)</i>	See Appendix 1 - FTF
<i>Post-Adoption - The Revision Task Force (RTF)</i>	See Appendix 1 - RTF

Appendix 6: Setting and Changing Deadlines

The following table summarizes OMG policy and practice regarding the setting and changing of deadlines specified in documents related to the OMG technology adoption process.

RFP	
<i>Letter of Intent (LOI)</i>	<ul style="list-style-type: none"> • The LOI deadline is typically set about 60 days before the Initial Submission deadline. • The LOI deadline may not be moved to an earlier date by the TF. [P&P §4.2] • Moving a LOI deadline to a later date must apply equally to all submitters or potential submitters, and the new deadline must fall at least 14 days after the date of the motion that changes it. [P&P §4.2]
<i>Voting List</i>	<ul style="list-style-type: none"> • If established, a Voting List, not the TF, votes on changes to RFP deadlines. A Voting List must be quorate in order to conduct a vote. [P&P §3.7.3.1] • It is recommended that a Voting List, if closed, be done so 7 days before Initial Submission presentations.
<i>Initial Submission</i>	<ul style="list-style-type: none"> • The deadline for Initial Submissions must be at least 3 weeks before the first OMG meeting where they will be considered. [P&P §4.2.1] • The Initial Submission deadline may not be moved to an earlier date by the TF. [P&P §4.2] • Changing an Initial Submission deadline to a later date must apply equally to all submitters or potential submitters, and must fall at least 14 days after the date of the motion that changes it. [P&P §4.2]
<i>Revised Submission</i>	<ul style="list-style-type: none"> • The deadline for Revised Submissions must be at least 3 weeks before the first OMG meeting where they will be considered. [P&P §4.2.1] • One or more Revised Submission deadlines may be set by the issuing Task Force. [P&P §4.2] • A Revised Submission deadline may only be eliminated or moved to a date earlier than its existing date if the Initial Submission deadline has already passed, and with the unanimous consent of all submitters that have not explicitly withdrawn from the process. [P&P §4.2] • Changing a Revised Submission deadline to a later date must apply equally to all submitters or potential submitters, and the new deadline must fall at least 14 days after the date of the motion that changes it. [P&P §4.2]

<p><i>Vote-to-Vote</i></p>	<ul style="list-style-type: none"> • The vote to recommend adoption may not occur at the meeting immediately following the Revised Submission deadline unless, according to [P&P §4.2.1]: <ul style="list-style-type: none"> ○ A Vote-to-Vote request by one of the submitters is received by OMG three weeks prior to the meeting. ○ The time/date for discussion and Vote-to-Vote is published. ○ ¾ of the Voting List votes in the affirmative to conduct the recommendation vote.
<p>RFI</p>	
<p><i>Response deadline</i></p>	<ul style="list-style-type: none"> • The deadline for a RFI response must be at least 3 weeks before the first OMG meeting where submissions will be considered. P&P §4.2.1] • Changing RFI response deadlines is at the discretion of the issuing Task Force.
<p>FTF Charter</p>	
<p><i>Draft Adopted Specification</i></p>	<ul style="list-style-type: none"> • The deadline for producing a Draft Adopted Specification must fall at least 21 calendar days before the publication date for the Final Adopted Specification. [P&P §4.2.2]
<p><i>Adopted Specification</i></p>	<ul style="list-style-type: none"> • The publication date for the Adopted Specification must fall at least 28 calendar days before the comment deadline. [P&P §4.2.2]
<p><i>Final Report</i></p>	<ul style="list-style-type: none"> • The Final Report delivery deadline set for the FTF shall be no more than one year after the date of its chartering, or alternatively one year from the recommendation deadline of a previous FTF for this specification (if there was one). [P&P §4.2.2] Since the FTF ceases to exist after this final possible delivery date, it is strongly recommended that the date be set at least a week after the TC meeting at which the AB considers the report and the TC begins its adoption vote. The report itself should be published three weeks before this TC meeting, to allow time for TC review.

<i>RTF Charter</i>	
<i>Final Report</i>	<ul style="list-style-type: none"> • A RTF Final Report deadline typically occurs within 18 months of approval of a specification by the Board of Directors. Since the RTF ceases to exist after this final possible delivery date, it is strongly recommended that the date be set at least a week after the TC meeting at which the AB considers the report and the TC begins its adoption vote. The report itself should be published three weeks before this TC meeting, to allow time for TC review. • If the operational deadline of a Revision Task Force passes without a recommendation of a Revision of the Available Specification, a TC may (if desired) extend the deadline or reopen the TF membership. [P&P §4.2.3]
<u><i>TTF Charter</i></u>	
	<ul style="list-style-type: none"> • <u>It is recommended that the TTF Report be scheduled for the TC Meeting immediately following the meeting at which the TTF was chartered.</u>

Appendix 7: Request for Retirement

From time to time specifications are superseded, found never to have been fully implemented, or simply reach the end of their useful life. These specifications may be removed (sometimes referred to as "sunsetting") from the OMG list of Adopted Technologies by means of public request process called the Request for Retirement (RFR). The steps in this process are as follows.

Requesting Specification Retirement - Submitting a RFR

Any OMG Member may send to the Chair of the appropriate Technology Committee a Request for Retirement (RFR) proposal containing:

- The name and OMG document number of the specification being proposed for retirement.
- A detailed and specific rationale for the retirement proposal. In cases of under-specification or ambiguity, detailed examples from the specification should be given. If the specification is obsolete, the new business requirements or technology changes that make it so should be described.
- A list of known commercial implementations of the specification (if any), describing whether each one completely implements the specification, and if not, to what extent.
- A detailed description of the expected impact on other adopted specifications should the retirement proposal be implemented, including how dependencies in other specifications (if any) will be managed.

Evaluating a RFR

The TC Chair will assign the RFR proposal to the appropriate Task Force, which considers it for issuance. The TF may request a presentation from the author(s) of the RFR proposal before making this decision.

Issuing a RFR

If the Task Force recommends issuance of the RFR, that recommendation must be endorsed by a majority vote of the Architecture Board before it can be acted upon by the Task Force's parent Technology Committee. Upon AB assent, the TC will decide, by simple majority vote via electronic poll, whether or not to issue the RFR.

RFR Comment Period

Issuing the RFR initiates a ninety-day RFR Comment Period, during which anyone (Member or non-member) may send comments on the RFR to the OMG. The Liaison Subcommittee is informed that the RFR is under consideration and is responsible for informing any liaison organizations that may have concerns or related interest. OMG Staff will manage collection of comments from all sources. As implied by its name, the RFR Comment Period closes ninety days after issuance of the RFR.

Voting to Retire a Specification

Upon completion of the ninety-day RFR Comment Period, the RFR is forwarded, with all received comments attached, to the Architecture Board for consideration of a retirement recommendation. If the Architecture Board endorses the retirement recommendation, it is then sent to the issuing Technology Committee for further consideration.

The issuing Technology Committee decides whether or not to make a retirement recommendation to the OMG Board of Directors. Assent of two-thirds (2/3) of all non-abstaining Voting Members of the appropriate TC, not just those Members represented at a meeting, is required before the recommendation can be passed to the BoD. If the RFR or comments upon it describe any impact on other adopted specifications, then the TC recommendation must include a complete list of dependencies. If dependencies have been identified, they will be passed along to either the appropriate Revision Task Forces if one exists or to a new RTF created by the TC to address them.

If the OMG Board of Directors votes to adopt the retirement recommendation, then the specification is removed from the list of OMG Adopted Technologies, and any necessary issues are automatically passed to the appropriate RTF(s).

RFR Check List

WHAT	WHEN
Submitting the RFR - Author	
Submit RFR to OMG TC Chair (dtc-chair@omg.org) or (ptc-chair@omg.org).	
Submitting the RFR - Task Force Chair	
Obtain an OMG document number.	Immediately.
Assign RFR to appropriate Task Force.	Immediately.
RFR Evaluation - Author	
Be prepared to defend the RFR upon request of reviewing Task Force and Architecture Board.	
RFR Evaluation - Task Force Chair	
Announcement RFR availability to the full membership (tc@omg.org)	Three-Week Rule
Determine if presentation / defense is required by RFR author; if so, schedule.	ASAP.
Get RFR on TF, AB and TC agendas (omg-process@omg.org)	Two weeks before the OMG TC meeting
TF vote to issue	Thursday morning (may be sooner)
AB vote to issue	AB second meeting (by convention, Thursday afternoon)
TC vote to issue	Friday
90-day Comment Period – Author or Task Force Chair	
Inform Liaison Committee.	Immediately.
Monitor submitted comments.	
RFR Vote – Author or Task Force Chair	
Get RFR on AB and TC agendas (omg-process@omg.org)	Two weeks before the OMG TC meeting
Advertise the retirement proposal to the membership.	Before / during the TC plenary
AB vote to recommend	AB second meeting
Monitor the TC and BoD voting.	The weeks immediately following the OMG Technical Meeting

Appendix 8: White Papers

Occasionally, an OMG subgroup will find it useful to issue a White Paper. White Papers may fulfill a need on the part of the subgroup to record its position on some technical topic. A White Paper may also be used to summarize responses to a RFI. The subgroup issues the White Paper to record and retain information for its own purposes, or to disseminate information to industry. While the information contained within might in fact lead to adopted specifications later, it does *not* represent the official position of an OMG plenary body, or the OMG itself. A White Paper is simply a means of recording and retaining collective thought on a subject.

A White Paper is not part of the OMG technology adoption process. In fact, it is barely mentioned in OMG P&P, and then identified as a Discussion Paper and specifically discussed within the context of the activities of a SIG. [[P&P](#) §3.7.5]

If a White Paper is intended for internal use only, then nothing need be done once it is written other than obtaining an OMG document number and placing an electronic copy on the OMG document server. If the White Paper is to be distributed to industry, then it must include a cover page with the following statement:

This paper presents a discussion of technology issues considered in a [subgroup] of the Object Management Group. The contents of this paper are presented to create discussion in the computer industry on this topic; the contents of this paper are not to be considered an adopted standard of any kind. This paper does not represent the official position of the Object Management Group.

In addition, it must be assigned an OMG document number, must be placed on the OMG document server (Three-Week Rule); and must be approved for issuance by the subgroup's parent plenary (Technology Committee or Architecture Board).

Tips

- As with any OMG document, the secret to creating a good White Paper is there's no secret: sound technology and good editing go a long way towards its being understood and issued.
- Determine if the White Paper is to be distributed within or outside of the OMG. If distributed outside, then:
 - Adhere to the Three-Week Rule for the document.
 - Place the issuance vote of the parent plenary's agenda two weeks before a Technical Meeting.
 - *Advertise!* Don't show up at the plenary meeting with a never-before-seen White Paper and expect everyone to simply agree without question. Have at least (compute a number equal quorum plus some extra) copies of the White Paper available prior to the plenary meeting. These documents

should be placed in a conspicuous place – there is generally a table available at the OMG registration desk for such purposes. Hand out copies prior to the meetings as well.

- And this may sound obvious, but make sure an advocate of the White Paper *shows up* at the plenary meeting.
- Don't wait until the last minute to have copies made!

Appendix 9: Some Useful OMG URLs

Topic	URL
Documents, Help Page	http://www.omg.org/gettingstarted/specsandprods.htm
Documents, searches **	http://www.omg.org/members/docsearch.htm
Email Lists, finding	http://www.omg.org/members/maillinglists.html
Home Pages, finding	http://www.omg.org/homepages/index.htm
Issues (lists of)	http://www.omg.org/issues/
Issues, Reporting	http://www.omg.org/technology/agreement.htm
Member Benefits	http://www.omg.org/memberservices/membershipbenefits.htm
OMG Home Page	http://www.omg.org/
OMG Process Help Page	http://www.omg.org/memberservices/process_help.htm
Process Templates	http://www.omg.org/technology/template_download.htm
Specification Catalog	http://www.omg.org/technology/documents/spec_catalog.htm
Success Stories	http://www.corba.org/success.htm
TC Agendas	http://www.omg.org/news/meetings/tc/agendas.htm
TC Meeting, registration	http://www.omg.org/registration/registration-new.htm
TC Minutes	http://www.omg.org/news/meetings/tc/tc_minutes.htm
Tech. Adoption, deadlines	http://www.omg.org/techprocess/meetings/schedule/tcdeadlines.h
Tech. Adoption, snapshot **	http://www.omg.org/news/meetings/tc/Tech_Adoption/index.htm
Tech. Adoption, tutorial	http://www.omg.org/gettingstarted/processintro.htm
Tech. Adoption, vote status	http://www.omg.org/techprocess/faxvotes/
Tech. Adoption, Work in Progress **	http://www.omg.org/schedule/
Upcoming OMG Events	http://www.omg.org/news/schedule/upcoming.htm

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Appendix 10: General Directory Structure Form

General Directory Structure Form

The general form of the directory structure containing files accompanying OMG specifications is:

schema.omg.org/<spec>/<spec name>/<spec version>/<type>/<filename>

The *<spec>* level in the directory structure acts as single top-level container to avoid accidental name clashes with other directories on the OMG web site.

The *<spec name>* level provides the entry point to all files related to the specification, regardless of version. Some examples of *<spec name>* are **MOF**, **XMI**, **CWM**, and **EAI**.

The *<spec version>* level groups a specification's files by version number. For example, all files related to MOF 1.3 would be found in the subdirectories of

schema.omg.org/spec/MOF/1.3.

All files related to UML 1.4 would be found in the subdirectories of

schema.omg.org/spec/UML/1.4.

The *<type>* level provides an additional subgrouping by the types of files related to a version of a specification. Some possibilities of *<type>* are **models**, **tests**, **vendor**. This provides a way to partition files directly related to a specification version (which would appear under **models**) from tests and vendor files which are not directly part of the specification and so accidentally be interpreted as normative.

<filename> is the name of the file in the directory and is typically of the form **name.extension**, where extension identifies what kind of a file it is: .dtd, .xsd, .xml, .mdl, etc.

Directory Structure for Files Related to Standard Metamodels

If specification YY version N.MM has related file XX.EXT, the URI for that file would be:

http://schema.omg.org/spec/YY/N.MM/models/XX.EXT

Some examples follow:

- The MOF 1.4 specification includes a number of related files:

File Description	URI
<i>Model.xml</i> expresses the MOF 1.4 Model package using the XMI 1.1 for MOF Model 1.4 interchange format. Normative.	schema.omg.org/spec/MOF/1.4/Model.xml
<i>PrimitiveTypes.xml</i> expresses the MOF 1.4 PrimitiveTypes package using the XMI 1.1 for MOF Model 1.4 interchange format. Normative.	schema.omg.org/spec/MOF/1.4/PrimitiveTypes.xml
The MOF 1.4 Model package expressed as a Rational Rose MDL file. Non-normative.	schema.omg.org/spec/MOF/1.4/MOF.mdl
<i>Reflective.idl</i> gives the idl for the standard MOF 1.4 Reflective module. Normative.	schema.omg.org/spec/MOF/1.4/Reflective.idl
<i>Model.dtd</i> is the standard DTD for XMI 1.1 interchange of MOF 1.4 metamodels. Normative.	schema.omg.org/spec/MOF/1.4/MOF.dtd

- The UML for EAI version 1.0 specification includes (among others) a metamodel for COBOL called *coboltdlang*, and a specialization of the Flow Composition metamodel called *FCM4EAI*. The normative XMI files for these metamodels would have URIs:

File Description	URI
COBOL metamodel (<i>coboltdlang</i>) expressed as XMI 1.1	schema.omg.org/spec/EAI/1.0/models/coboltdlang.xml
EAI specialization of the Flow Composition metamodel (<i>FCM4EAI</i>) expressed as XMI 1.1	schema.omg.org/spec/EAI/1.0/models/FCM4EAI.xml
The COBOL metamodel expressed as a Rational Rose MDL file (non-normative)	schema.omg.org/spec/EAI/1.0/models/coboltdlang.mdl
The EAI FCM specialization expressed as a Rational Rose MDL file (non-normative)	schema.omg.org/spec/EAI/1.0/models/FCM4EAI.mdl

Further nesting can be added if a need should arise (e.g., if CWM 1.2 decided to produce metamodels for both MOF 1.3 and MOF 1.4, then one would then introduce an extra level of subdirectory under CWM/1.2).

Directory Structure for Test Suites

A test suite based on specification YY version N.MM would be in directory:

<http://schema.omg.org/spec/YY/N.MM/test/>

For example, the XMI file for model called “*editor*”, which is based on UML 1.4, would have URI:

<http://schema.omg.org/spec/UML/1.4/test/editor.xml>

Subdirectories could be defined for test suites as needed.

Directory Structure for Vendor Exports

Vendors can provide collections of XMI files exported from their tools,

<http://schema.omg.org/spec/YY/N.MM/vendor/VENDORNAME/>

Vendors should be able to define subdirectories as needed.

References

[Agendas] ***OMG Technical Meeting Agendas.***

<http://www.omg.org/news/meetings/tc/agendas.htm>

[Benefits] ***OMG Membership Benefits.***

<http://www.omg.org/memberservices/membershipbenefits.htm>

[BugReport] ***Issues/Bugs Form.*** <http://www.omg.org/technology/agreement.htm>

[Catalog] ***Catalog of OMG Specifications.***

http://www.omg.org/technology/documents/spec_catalog.htm

[Charters] http://www.omg.org/memberservices/process_help.htm#charter

[Directory] ***Technical Committee Subgroup Directory.***

<http://www.omg.org/homepages/index.htm>

[DocSearch] ***OMG Technical Document Listings.*** **

<http://www.omg.org/members/docsearch.htm>

[DocTutorial] ***Getting Specifications And Products.***

<http://www.omg.org/gettingstarted/specsandprods.htm>

[Events] ***Calendar of Events.*** <http://www.omg.org/news/schedule/index.htm>

[Help] **OMG Process Help Page.** http://www.omg.org/memberservices/process_help.htm

[ISO PAS] **Submission Template.** http://www.omg.org/pas_template_fm

[Issues] **OMG Revision Issues.** <http://www.omg.org/issues/>

[Lists] **OMG Mailing Lists.** ** <http://www.omg.org/members/maillinglists.html>

[MDAa] **OMG Architecture Board, "Model Driven Architecture - A Technical Perspective."** <http://www.omg.org/mda/papers.htm>

[MDAb] **"Developing in OMG's Model Driven Architecture (MDA)."**
<http://www.omg.org/cgi-bin/doc?omg/2001-12-01>

[MDAc] **"MDA Guide" Version 1.0.1.**
<http://www.omg.org/cgi-bin/doc?omg/2003-06-01>

[MDAd] **"The Architecture of Choice for a Changing World™."**
<http://www.omg.org/mda>

[Minutes] **Minutes of Past Technology Committee Meetings.**
http://www.omg.org/news/meetings/tc/tc_minutes.htm

[OMG] **OMG Home Page.** <http://www.omg.org/>

[Proxy] <http://www.omg.org/memberservices/proxies.htm>

[P&P] **Policies and Procedures of the OMG Technical Process.**
<http://www.omg.org/cgi-bin/doc?pp>

[Request] **Meeting Room Request Form .**
<http://www.omg.org/news/meetings/tc/chairform.htm>

[RFI] **Generic RFI Template.** <http://www.omg.org/cgi-bin/doc?rfi-template>

[RFP] **Generic RFP Template.** <http://www.omg.org/cgi-bin/doc?rfp-template>

[Report] **FTF and RTF Final Report Template.**
http://www.omg.org/cgi-bin/doc?rtf_report_template

[Schedules] **Upcoming OMG TC Meetings, Workshops And Conferences/Exhibits.**
<http://www.omg.org/news/schedule/upcoming.htm>

[Snapshot] **Technology Adoption Snapshot.**
http://www.omg.org/news/meetings/tc/Tech_Adoption/index.htm

[Success] **CORBA Success Stories.** <http://www.corba.org/success.htm>

[TCdeadlines] **OMG Schedule of Events.**

<http://www.omg.org/techprocess/meetings/schedule/tcdeadlines.html>

[TCReg] **OMG Technical Meeting Registration Form.**

<http://www.omg.org/registration/registration-tc.htm>

[Vendors] **Vendor Commitments to OMG Standards.** <http://www.corba.org/vc.htm>

[Votes] **OMG TC Fax Vote Status.** <http://www.omg.org/techprocess/faxvotes/>

[WIP] **OMG TC Work in Progress.** <http://www.omg.org/schedule/>

[XMI] **XML Metadata Interchange (XMI) Specification,**

<http://www.omg.org/technology/documents/formal/xmi.htm>.

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Want to learn more?

An excellent on-line tutorial on the OMG technology adoption process can be found at:

<http://www.omg.org/gettingstarted/processintro.htm>

[Index](#)

accompanying files..... 15, 43, 89
 agenda. 12, 18, 22, 24, 25, 26, 27, 31, 33, 45, 52, 53, 54, 55, 56, 57, 58, 63, 64, 65, 67, 71, 72, 73, 75, 76, 86, 88, 91
 Architecture Board (AB) ..4, 5, 7, 10, 11, 12, 22, 41, 42, 45, 55, 57, 58, 63, 64, 70, 71, 72, 78, 83, 84, 85
 audio/visual requests 64
 Available Specification 28, 29
 ballot..... 22
 Board of Directors..... 8, 23, 25, 31, 47, 57, 58, 84
 Business Committee (BC) 14, 23, 24, 25, 46, 58
 certification 28, 73
 Chair .5, 7, 12, 19, 22, 23, 24, 25, 26, 27, 29, 34, 35, 42, 43, 45, 61, 62, 63, 64, 65, 66, 67, 68, 70, 71, 78
 Charters..... 24, 25, 26, 27, 29, 67, 72, 73, 82, 91
 compliance point 29, 30
 copyright waiver 44
 cryptographic hash 30, 31
 deadline. 6, 7, 8, 9, 10, 13, 14, 17, 18, 24, 25, 26, 27, 29, 34, 35, 36, 38, 42, 54, 59, 60, 65, 68, 71, 73, 75, 76, 78, 85, 88
 directory structure 89
 document formats..... 51
 document management..... 51
 document number. 5, 7, 8, 10, 12, 22, 29, 30, 31, 34, 36, 42, 45, 50, 51, 65, 70, 71, 74, 75, 77, 78, 85, 86
 document searches 51, 88
 Finalization Task Force (FTF)24, 25, 26, 27, 59, 72, 79, 81
 FTF Final Report.....24, 25, 26, 59, 67, 72, 81, 92
 guest 67
 help 92
 implementations, tracking 60
 Initial Submission6, 8, 9, 14, 16, 17, 56, 71, 80
 ISO PAS Submission Template43, 66, 71, 92
 Issues 25, 27, 29, 31, 60, 88, 92
 Letter of Intent (LOI)8, 9, 13, 14, 44, 46, 66, 71, 80
 Liaison Subcommittee..... 84
 licensing..... 30, 73
 loving trees 10, 11, 12, 13, 22, 45
 meetings..5, 9, 11, 15, 18, 23, 25, 27, 28, 34, 36, 38, 42, 45, 46, 52, 53, 55, 57, 58, 60, 61, 62, 63, 64, 65, 68, 87, 88
 membership.... 4, 5, 6, 10, 14, 23, 33, 34, 36, 37, 42, 46, 47, 61, 62, 63, 65, 66, 70, 72, 75, 78, 82, 85
 membership benefits 62, 88, 91
 merging submissions 9, 17
 Model Driven Architecture (MDA) 4, 5, 10, 11, 42, 45, 92

observers 31, 68

OMG assistance 6, 34, 42

OMG Business Development 66

OMG document server50, 54, 55, 58

OMG Email Lists 49, 88

OMG Marketing..... 66

OMG Web Pages 49

Policies and Procedures (P&P) 2, 5, 6, 8, 14, 15, 18, 25, 26, 33, 34, 36, 38, 42, 86, 92

poll.....22, 25, 57, 83

proxy..... 11, 12, 15, 37, 45, 92

quorum.....11, 15, 22, 38, 45, 46, 65, 86

Registered Voter 23

Revised Submission 6, 8, 9, 16, 17, 18, 56, 80

Revision Task Force (RTF) 26, 27, 59, 72, 79, 82

RFC Comment Period41, 46, 66, 78

RFC definition 41

RFC evaluation 46, 47, 78

RFC issuance 44, 45, 46, 58, 65, 78

RFC Submission 41, 42, 43, 44, 45, 46, 47

RFC tracking..... 58, 59

RFI definition..... 33

RFI evaluation..... 39, 54

RFI issuance..... 37, 65

RFI Response.....33, 36, 38, 39, 75, 77, 81, 86

RFI Template35, 36, 75, 92

RFI Timetable 37

RFI tracking 53

RFP definition..... 4

RFP evaluation.....3, 4, 7, 9, 10, 13, 19, 20, 21, 44, 55, 71, 72, 78

RFP evaluation team 19

RFP issuance..... 10, 65

RFP Submission3, 6, 8, 9, 10, 13, 14, 16, 17, 18, 19, 21, 22, 23, 24, 25, 26, 44, 56, 66, 71, 72, 78, 80

RFP Template 7, 8, 70, 92

RFP Timetable7, 8, 10, 14, 16, 17, 18, 19, 71

RFP tracking 55, 59

RFR Comment Period 84, 85

RFR definition 83

RFR evaluation 83, 85

RFR issuance 83, 85

RFR submission 83, 85

room reservation 64

RTF Final Report 26, 27, 28, 59, 60, 67, 72, 82, 92

specification retirement 31, 84, 85

subgroup home pages 52, 67, 88

subgroup minutes 53, 88, 92

subgroup roadmap 53, 55, 67
technology adoption 8, 23, 25, 86, 88
technology tracking 49
test suite 68
test suites 28, 29, 73
Testing Task Force (TTF) 28, 68, 73, 82
Three-Week Rule 5, 6, 18, 29, 34, 42, 70, 71, 75, 78, 85, 86
TTF Report 30, 68, 73, 82
veto 13, 25, 27
votes, tracking 57, 58, 59, 85, 88
Vote-to-Vote 18, 19, 41, 66, 72, 81
voting 10, 11, 14, 15, 22, 24, 26, 37, 44, 47, 56, 84
Voting List 8, 13, 14, 15, 18, 21, 66, 71, 72, 78, 80
White Papers 62, 86, 87
Work in Progress Page 54, 56, 59, 60, 88, 93