

**Interoperability Experiment
Policies and Procedures (IEP²)**

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1 Introduction

This document defines the policies and procedures for the conduct of Interoperability Experiments (IE). The Interoperability Experiment is a process, primarily led and executed by Open GIS Consortium members, that is intended to achieve some technical objective that furthers the Open GIS Consortium Technical Baseline by addressing some element of the Open GIS Consortium Technical Plan. Objectives that are not part of the Open GIS Consortium Technical Plan must be justified and nominated for inclusion into the plan.

NOTE: The key words "MUST", "MUST NOT", "REQUIRED", "SHALL", "SHALL NOT", "SHOULD", "SHOULD NOT", "RECOMMENDED", "MAY", and "OPTIONAL" in this document are to be interpreted as described in RFC 2119 [<http://www.ietf.org/rfc/rfc2119.txt>].

2 Definitions

Interoperability Experiment—An official Open GIS Consortium activity that is managed and operated mostly by Open GIS Consortium member organizations under these Interoperability Experiment Policies and Procedures

Interoperability Experiment Startup Package—the set of documents requires for Review Board approval of a proposed Interoperability Experiment. The set includes an Activity Plan and Letters of Support.

Activity Plan—a document that fully describes an Interoperability Experiment.

Initiative Facilitator —An Open GIS Consortium Staff member whose role it is to a) oversee Interoperability Experiments to ensure that they are conducted according to these policies and b) to provide mediation if irresolvable differences occur between Participants in the course of an Interoperability Experiment. The Review Board will designate an Initiative Facilitator for every approved Interoperability Experiment.

Initiative Technical Lead—an individual who is responsible of the technical deliverables of the Interoperability Experiment.

Initiative Manager—an individual who is responsible for the management aspects of the Interoperability Experiment.

Initiator—an organization that participates in the submission of an Interoperability Experiment Startup Package to OGC. The organization must also follow-through to execute an Initiator Agreement with OGC. Initiators shall have access to the OGC Web Portal, shall have access to the IE email reflector, and should have a concrete working role in the IE. Initiators may provide staff to fill the role of Initiative Manager or Initiative Technical Lead.

Participant—An organization that submits a Letter of Participation Intent, meets the Participation Requirements, and signs a Participant Agreement with OGC. Participants shall have access to the OGC Web Portal, shall access to the IE email reflector, and should have a concrete working role in the IE.

Observer—an organization that executes an Observer Agreement with OGC. Observers shall have access to the OGC Web Portal and the IE email reflector.

3 Overview

Figure 1 provides a graphical depiction of the life cycle of an Interoperability Experiment. The rest of this document describes the policies and procedures in terms of the life cycle.

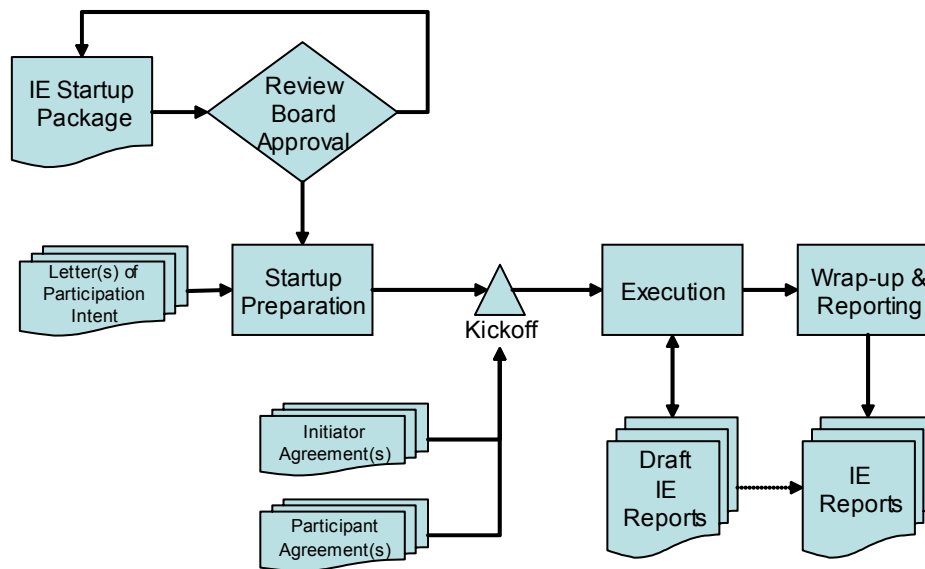


Figure 1: The Interoperability Experiment Life Cycle

4 Review Board Approval

The first step in the life cycle of an Interoperability Experiment is to obtain OGC Review Board¹ approval. This section defines the procedure for obtaining Review Board approval.

4.1 Basis of Approval

4.1.1 Interoperability Experiments must be approved by the Open GIS Consortium Review Board. The Review Board determination is made by evaluation of the content of Interoperability Experiment Startup Package.

4.2 The Interoperability Experiment Startup Package

4.2.1 Interoperability Experiment Startup Package is developed and submitted to the Open GIS Consortium by member organizations². OGC Staff may be engaged in the proper development of these packages.

4.2.2 Interoperability Experiments must be supported by at least three (3) Voting Members of the Open GIS Consortium. The Interoperability Experiment Startup Package must include Letters of Support from each supporting member. Annex B contains the Letter of Support template. The members submitting Letters of Support are designated Initiators (unless they fail to sign an Initiator Agreement, see Annex E).

¹ Information concerning the OGC Review Board can be found at <http://www.opengis.org/about/?page=reviewboard>

² TBD is the actual submission process. We assume that there will be an IE web page on the Web site that contains information about IEs, ongoing IEs, completed IEs, how to initiate and how to participate in an IE.

- 4.2.3 Interoperability Experiment Startup Packages must contain an Activity Plan (see Annex A for more detailed information on Activity Plans). Activity Plans must contain:
- A description of the technical objective(s) of the IE. This description must detail how the objectives relate to the Open GIS Consortium Technical Plan or contain the rationale for a new Open GIS Consortium Technical Plan element.
 - A description of the technical approach. This must be a narrative that defines the exact work items to be accomplished and the schedule for their completion (see Annex A for the basic elements of this approach).
 - A description of the technical deliverables of the IE. This must be a narrative that defines a set of Interoperability Experiment Reports to be developed during the course of the IE as well as any other deliverables.
 - An overall schedule for the IE. The schedule must indicate the following dates:
 - Planned kickoff date³ (execution start date),
 - Planned execution end date,
 - Other milestone dates as defined by the IE Team.
 - A resource plan. This plan must include the staffing, hardware, software, facilities, and other resource details. The staffing element must designate, at least, an Initiative Manager and an Initiative Technical Lead.
 - Requirements for Participation. This is specific statement of the resources required to become a participant in the IE. The purpose of this requirement is to ensure that frivolous participation be discouraged and that, to become a participant, an organization must be willing to make a resource commitment. Also, for the process to be fair and equitable, the commitment requirement must be well-defined and consistently applied.
- 4.2.4 Interoperability Experiment Startup Packages that are not approved shall be returned to the submitting organizations with a description of the reasons the proposal was not accepted⁴.
- 4.2.5 When OGC receives an Interoperability Experiment Startup Package, it will be posted and the OGC Membership will be notified electronically that the package has been received. A two week period will be provided following the notice to allow for members to register their comments regarding the proposed IE for Review Board consideration. Once the two week period is completed, the Review Board can finalize its decision regarding the IE.

5 Startup Preparation

- 5.1.1 Upon Review Board approval, IE Startup Preparation can begin.
- 5.1.2 The first step in Startup Preparation is to announce the IE to the OGC membership and to the public. This announcement is a press release to be issued by the OGC to the OGC standard press list. The press release must be approved by the submitting organizations. The press release must contain at least the following information or a reference to a URL that contains the information:
- A summary of the content of the Activity Plan.

³ Note that the kickoff date must take into account the 30-day Participation Notification period.

⁴ Further action concerning the Interoperability Experiment Startup Package is left to the submitting organizations, although it is anticipated that the typical action would be to revise the package to respond to the Review Board objections.

- An explicit statement of the Requirements for Participation.
 - The overall schedule (most importantly the Kickoff date).
 - The Kickoff meeting location and logistical information (or references to an on-line version of this information).
- 5.1.3 Immediately after the announcement, a 30-day Participation Notification period is opened. During this time, organizations wishing to participate and that can meet the Requirements for Participation must notify the Open GIS Consortium of their desire to participate⁵. Such desire is indicated in writing by submitting a Letter of Participation Intent (Annex C contains a template Letter of Participation Intent). Additionally, to be considered a Participant the organization must supply a signed Participant Agreement (see Annex F) by the Kickoff Date.
- 5.1.4 Submitting organizations must supply a signed Initiator Agreement by the Kickoff date to be considered an Initiator.
- 5.1.5 The Initiative Manager will be responsible for working with Open GIS Consortium Staff to populate the Member Portal with information pertaining to the IE.
- 5.1.6 Initiator, Participant, and Observer organizations must provide the Initiative Facilitator with contact information (at least phone and email) for all representatives that they wish to involve in the IE.
- 5.1.7 Open GIS Consortium Staff will create OGC Web Portal accounts (and/or provide access to the project area created for the IE) for the Initiator, Participant, and Observer representatives as provided by the organizations pursuant to paragraph 5.1.6.
- 5.1.8 Open GIS Consortium Staff will create an email reflector for the IE and populate it with Initiator, Participant, and Observer representatives' email addresses as provided by the organizations pursuant to paragraph 5.1.6.
- 5.1.9 At least two (2) weeks prior to Kickoff, the Initiative Manager must submit a Kickoff Agenda package to the Initiative Facilitator. This agenda must contain the planned items for discussion and the intended outcomes of the Kickoff. A sample Kickoff agenda is provided in Annex D.
- 5.1.10 Once the Kickoff agenda is approved, the Kickoff meeting can proceed. If an agenda cannot be approved by one week prior to the Kickoff, then the Initiative Facilitator may reschedule or cancel the Kickoff until an appropriate agenda is provided.

6 Kickoff

- 6.1.1 The IE Kickoff can be either by teleconference, in-person, by web collaboration, or some combination as agreed to by the IE Team.
- 6.1.2 The IE Kickoff must follow the Kickoff agenda except as modified by the consensus of the Initiators and Participants. The term modified includes additions or deletions to the scope of activity and changes to the start time and duration of agenda elements.
- 6.1.3 Observers are not entitled to attend, unless specific permission is agreed by the IE Initiators.
- 6.1.4 The Initiative Manager must provide an updated schedule on a per work item basis to the Initiative Facilitator within two days of completion of the Kickoff meeting.

⁵ TBD on the who to submit it to issue. We assume that there will be an IE web page on the Web site that contains information about IEs, ongoing IEs, completed IEs, how to initiate and how to participate in an IE.

7 Execution

The Execution phase is considered to be the primary work period of the IE. It is left purposefully vague here to allow maximal flexibility to the IE teams.

- 7.1.1 During execution, Draft IE reports (and other identified deliverables) should be generated and should be considered the primary documentation of the project's technical progress.
- 7.1.2 Execution of the IE is considered to have begun at the Kickoff meeting.
- 7.1.3 All work items must have a well-defined scope, a schedule for completion, and must be assigned to an individual (not just an organization). Work items can be worked my multiple people, but there must be one responsible individual. Care should be taken in scoping and scheduling work items such that a reasonable expectation of completion can be held by the IE team (Initiators and Participants).
- 7.1.4 Work items must be completed on schedule and to the satisfaction of the Initiative Manager and the Initiative Technical Lead. Failure to complete assigned or agreed work items on time and in a satisfactory form may result in the decision to revoke Participant (or Initiator) status or in the reassignment of the work item to another individual. Revocations must be approved by the Initiative Facilitator and should be substantively documented.
- 7.1.5 More involved work items should include intermediate drafts or other similar milestones so that the work can be check pointed by the rest of the IE team.
- 7.1.6 The OGC Web Portal shall be used to share project-related files and for scheduling all project-related events (including teleconferences). The project email reflector shall be used for all managerial and project coordination messages. OGC recommends that Initiative Managers seek to use both the OGC Web Portal and the email reflectors to their full capability.
- 7.1.7 During Execution, the Initiative Manager shall provide the Initiative Facilitator with status by ensuring that the OGC Web Portal is kept up-to-date.
- 7.1.8 Disagreements that cannot be resolved by the IE team should be brought to the attention of the Initiative Facilitator, who may choose to make a decision or may choose to forward the issue to the Review Board. In the former case, Participants may appeal the decision to the Review Board. In the latter case, the decision is final.
- 7.1.9 The Initiative Manager is the responsible individuals for management issues and therefore is empowered to make management decisions. Disagreements with the decisions of the Initiative Manager must be handled as in paragraph 7.1.8.
- 7.1.10 The Initiative Technical Lead is the responsible individual for resolving technical issues and therefore is empowered to make technical decisions. Disagreements with the decisions of the Initiative Technical Lead must be handled as in paragraph 7.1.8.

8 Wrap-up and Reporting

- 8.1.1 Once Execution is completed, the Wrap-up and Reporting phase can begin.
- 8.1.2 This phase includes the final drafting of technical deliverables and may also include demonstrations and other activities. The Initiative Technical Lead and the Initiative Manager must approve Final drafts of all deliverables for IE Report status.
- 8.1.3 The Initiative Facilitator shall adjudicate all disagreements concerning the finalization of deliverables.

9 General Policies

This section contains policies that apply to all or most steps in the IE life cycle.

9.1 *Publicity*

- 9.1.1 Publicity shall be restricted during the course of IE startup and execution. The details of this policy are governed by the Initiator, Participant, and Observer Agreements (see Annex G).
- 9.1.2 The IE announcement is the primary public announcement to be made.

9.2 *Intellectual Property Rights*

- 9.2.1 Interoperability Experiments shall be subject to and implement the Open GIS Consortium IPR Policy.

9.3 *Non-Disclosure*

- 9.3.1 Non-disclosure is an important issue that must be taken seriously by all Initiators, Participants, and Observers. Specifically, all information generated and shared within an IE must remain confidential unless otherwise agreed by the Initiators and the Open GIS Consortium. The details of this policy are governed by the Initiator, Participant, and Observer Agreements.
- 9.3.2 Draft IE Reports and IE Reports must be treated as member-privileged information and must not be released outside of the membership unless a) release is approved by Open GIS Consortium Staff or b) the document is made public by the Open GIS Consortium Technical and Planning Committees.

9.4 *Open to Observers*

- 9.4.1 Interoperability Experiments shall be open to Observers without exception. Organizations wishing to Observer must make a request to observer by submitting a signed Observer Agreement⁶. Organizations can make such a request at any point in time following the IE announcement.
- 9.4.2 Only Open GIS Consortium members and others approved by Open GIS Consortium Staff can be provided Observer status.

9.5 *Agreements*

- 9.5.1 Initiators shall sign an Initiator Agreement before they can be considered an Initiator.
- 9.5.2 At least three (3) Initiators shall sign an Initiator Agreement before the IE can begin its Execution step.
- 9.5.3 Participants shall sign a Participant Agreement before they can be considered a Participant.
- 9.5.4 Observers shall sign an Observer Agreement before they can be considered an Observer.

9.6 *Status of Deliverables*

- 9.6.1 The technical deliverables of an IE shall not be construed to have any official status within the Open GIS Consortium. Specifically, draft specification documents that are generated within an IE

⁶ TBD on the who to submit it to issue. We assume that there will be an IE web page on the Web site that contains information about IEs, ongoing IEs, completed IEs, how to initiate and how to participate in an IE.

shall not be referred to as anything other than IE Reports (or Draft IE Reports). Status other than that can only be conferred by action of the Open GIS Consortium Technical and Planning Committees.

Annex A: Activity Plan

This annex defines the Activity Plan document. This document is the key to the correct formulation and approval of an Interoperability Experiment. A Microsoft Word template for an Activity Plan will be available at the IE Web Site soon.

- Title: Provide a title for your Interoperability Experiment.
- Initiator Organizations: For each Initiator Organization provide the Organization name, Business Point of Contact, and Technical Point of Contact. For all POCs provide Name, Title, Street Address, Email Address, Phone, and Fax.
- Description: Provide a description of the technical objective(s) of the IE. This description must detail how the objectives relate to the Open GIS Consortium Technical Plan or contain the rationale for a new Open GIS Consortium Technical Plan element.
- Technical Approach: Provide a description of the technical approach. This must be a narrative that defines the exact work items to be accomplished and the schedule for their completion. The basic elements of the approach should include items such as:
 - Specification Development:
 - Component Development
 - Testing and Integration
 - Documentation
 - Demonstration
- Deliverables: A description of the technical deliverables of the IE. This must be a narrative that defines a set of Interoperability Experiment Reports to be developed during the course of the IE as well as any other deliverables.
- Schedule: An overall schedule for the IE. The schedule must indicate the following dates:
 - Planned kickoff date⁷ (execution start date),
 - Planned execution end date,
 - Other milestone dates as defined by the IE Team.
- Resource Plan. This plan must include the staffing, hardware, software, facilities, and other resource details. The staffing element must designate, at least, an Initiative Manager and an Initiative Technical Lead. If Initiator organizations require support in this area (for example, would like to hire a member of OGC Staff or IP Team to fill one of these roles), OGC can be contacted to work out an appropriate arrangement.
- Requirements for Participation. This is specific statement of the resources required to become a participant in the IE. The purpose of this requirement is to ensure that frivolous participation be discouraged and that, to become a participant, an organization must be willing to make a resource commitment. Also, for the process to be fair and equitable, the commitment requirement must be well-defined and consistently applied.

⁷ Note that the kickoff date must take into account the 30-day Participation Notification period.

Annex B: Letter of Support Template

This annex defines the Letter of Support document. This document is required to become an Initiator in an Interoperability Experiment.

<Insert Date>

Open GIS Consortium, Inc.
Technology Office
4899 N Old SR 37
Bloomington, IN 47408

To Whom It May Concern:

On behalf of <INSERT CORPORATION NAME>, I express full support for the Interoperability Experiment entitled <INSERT IE TITLE> as submitted in the Activity Plan. Furthermore, we fully agree with the content of the Activity Plan and will execute a signed Initiator Agreement before the Interoperability Experiment Kickoff Meeting as the actual commitment to the role that we will play in the Interoperability Experiment.

<OTHER TEXT AT YOUR DISCRETION>

Sincerely,

<NAME OF SIGNATOR>

<TITLE OF SIGNATOR>

Annex C: Letter of Participation Intent Template

This annex defines the Letter of Participation Intent document. This document is required to become a Participant in an Interoperability Experiment.

<Insert Date>

Open GIS Consortium, Inc.
Technology Office
4899 N Old SR 37
Bloomington, IN 47408

To Whom It May Concern:

On behalf of <INSERT CORPORATION NAME>, I express our intent to participate in the Interoperability Experiment entitled <INSERT IE TITLE> as submitted in the Activity Plan. Furthermore, we fully agree with the content of the Activity Plan and will execute a signed Participant Agreement before the Interoperability Experiment Kickoff Meeting as the actual commitment to the role that we will play in the Interoperability Experiment. In recognition of the Participation Requirement, we offer the following narrative description of our planned contributions:

<TEXT THAT DESCRIBES HOW YOU MEET THE PARTICIPATION REQUIREMENT GOES HERE>

We look forward to our participation in this important experiment!

Sincerely,

<NAME OF SIGNATOR>
<TITLE OF SIGNATOR>

Annex D: Sample Kickoff Agenda

This annex defines a sample kickoff agenda. The agenda is important because it defines what will be accomplished at the kickoff meeting and will be the basis of Initiator and Participant expectations of the kickoff meeting.

<IE TITLE> Kickoff Agenda		
<ADDRESS OF MEETING or TELECONFERENCE DIAL-IN INFO>		
<DATE>—<TIME>*		
<u>Kickoff Objectives:</u>		
1) To introduce all of the Initiator and Participant Representatives		
2) To present the Work Items and gain consensus on any changes		
3) To present Initiator and Participant responsibilities and gain consensus on any changes		
4) To present the schedule and gain consensus on any changes		
5) To discuss the plan for Work Item 1 and gain consensus on any changes		
6) To discuss the plan for Work Item 2 and gain consensus on any changes		
7) To develop immediate action items		
8) To gain consensus on the teleconference schedule		
<u>Agenda:</u>		
<i>Times</i>	<i>Topic</i>	<i>Lead/Presenter</i>
0900-0915	Welcome/Introduction	Initiative Manager
0915-0930	Explanation of Work Items, Responsibilities and Schedule	Initiative Technical Lead
0930-1030	Work Item 1 Discussion	Work Item 1 Lead
1030-1130	Work Item 2 Discussion	Work Item 2 Lead
1130-1200	Action Items, Teleconference Schedule, and Wrap-up	Initiative Manager
* ALL TIMES ARE EASTERN STANDARD TIME (EST)		

Annex E: Initiator Agreement Template

This annex defines the Initiator Agreement document. This document is the required to become an Initiator of an Interoperability Experiment. A Microsoft Word template for the Initiator Agreement is also available separately at the IE Web Site. The IE Web Site will be active soon.

To be supplied.

Annex F: Participant Agreement Template

This annex defines the Participant Agreement document. This document is the required to become a Participant in an Interoperability Experiment. A Microsoft Word template for the Participant Agreement is also available separately at the IE Web Site. The IE Web Site will be active soon.

To be supplied.

Annex G: Observer Agreement Template

This annex defines the Observer Agreement document. This document is the required to become an Observer of an Interoperability Experiment. A Microsoft Word template for the Observer Agreement is also available separately at the IE Web Site. The IE Web Site will be active soon.

To be supplied.