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6 **DMTF Standards Incubation Process**

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DMTF Standards Incubation Process

74 1 Introduction

75 The DMTF may establish efforts known as Standards Incubators, which allow a set of members to
76 develop specifications that allow cross-vendor interoperability in an exploratory fashion. This type of effort
77 has similarities to some vendor-led “Workshop Processes” or other standards body incubation processes.
78 Standards Incubators are useful in, but not limited to, cases where one or more exploratory solutions that
79 can be implemented in products is deemed beneficial. The resulting deliverable from the Standards
80 Incubator, known as an Informational specification, is sufficiently documented such that vendors can
81 implement it in their products in a manner suitable for delivery to customers. This provides a valuable
82 learning experience for use in subsequently generating a long-term Standard. One or more Informational
83 specifications may be input contributions to a normal Working Group to be unified into a single standard.
84 If there is only one viable Informational specification, it may be promoted to Standard.

85 Standards Incubators are often formed in conjunction with an initial baseline contribution by the founding
86 members with the expectation that the group will serve to evolve and finalize that contribution.

87 Standards Incubator groups have two levels of membership, Leadership and Reviewing. Leadership
88 members are expected to produce the technical contributions, lead the work, and provide adequate
89 resources to produce the deliverables, as well as act as a fair review body for feedback given by
90 reviewing members.

91 The purpose of this process is to allow vendors aligned with a certain proposal to move forward and
92 produce an interoperability specification without being blocked by those who would prefer a different
93 proposal. Supporters of an alternative proposal are also permitted to start their own Standards Incubator
94 to explore their alternative.

95 The formation, lifecycle, and operation of a Standards Incubator is intended to be based on the standard
96 Committee and Working Group rules, with exceptions as indicated in this document.

97 In a case where Standards Incubator efforts overlap with Working Groups, the degree of overlap should
98 be carefully evaluated and chosen with a goal of minimizing it.

99 2 Membership Levels

100 2.1 Leadership Member

101 Leadership members must commit to meeting the requirements, which typically include resource
102 commitments to producing implementations for use in interoperability testing, and strong attendance,
103 organization, and hosting of feedback workshops and meetings, etc. The group itself is permitted to
104 define additional requirements for the membership levels. Leadership members must fairly review and
105 consider technical feedback from Reviewing members. The group of Leadership members comprises a
106 technical review board that evaluates all feedback and makes decisions by following the voting process.
107 Incubator Leadership members must also be at least Leadership-level members of the DMTF.

108 2.2 Reviewing Member

109 Reviewing members are encouraged to participate in meetings, technical discussions, document reviews,
110 and events. Reviewing members are expected to provide technical feedback. Reviewing members are

111 not part of the technical review board. Reviewing members must be at least Participation-level members
 112 of the DMTF.

113 **3 Definitions**

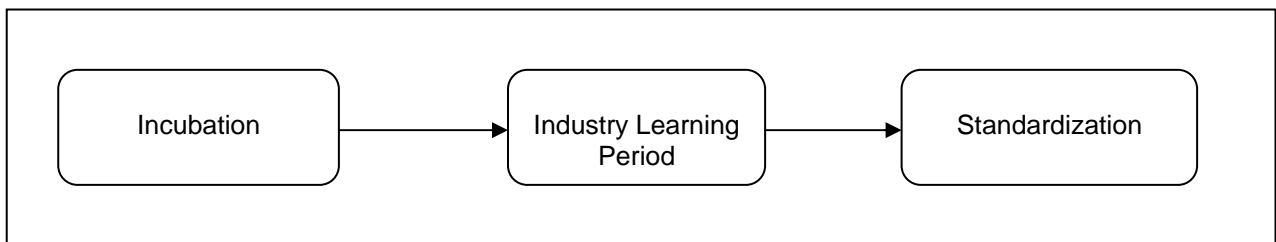
114 **3.1 Review Board**

115 The Review Board is comprised of the Leadership members. This board uses the voting process to
 116 resolve issues when there is no consensus.

117 **3.2 Informational Specification**

118 After a given deliverable has been completed and approved by the group, and subsequently approved by
 119 the Board, it is considered an Informational specification. Informational specifications are public
 120 specifications suitable for implementation by interested developers. Informational specifications are
 121 intended to evolve into Standards over time, although this is not a guarantee. Vendors who implement an
 122 Informational specification in their products are encouraged to participate in the subsequent
 123 standardization process as well as implement the resulting Standard, which may deviate from the
 124 Informational specification.

125 All published incubator documents shall follow the Incubator Document Template Requirements provided
 126 in Section 10.



127 **Figure 1 – Standards Incubator Lifecycle**

128 **4 Standards Incubator Lifecycle**

129 **4.1 Proposal Generation**

130 Proposals for new Incubators can be brought to the Chair of the Committee. They can be suggested by
 131 any two Board or Leadership Member companies of the DMTF. An Incubator proposal must be submitted
 132 and an interim Chair or Co-Chairs identified (hereafter referred to as “interim Chair”). The interim chair
 133 must be from a Board or Leadership Member company. The Chair of the Committee then hosts a
 134 discussion with the Committee, the interim Incubator Chair and any additional proposal representatives.
 135 The goals of the discussion are to determine if the work aligns with the DMTF's strategy and focus, what
 136 existing work is available in the industry, whether cooperative relationships with standards outside the
 137 DMTF might be necessary, etc.

138 In situations where there is more than one proposal to create an Incubator for the same scope, it is
 139 acceptable to have more than one Incubator created to explore alternative solutions.

140 When at least two Board or Leadership Member companies have expressed interest in forming the new
 141 Incubator, representatives from these companies meet to discuss goals, the initial charter, deliverables,
 142 and the proposed timeline. An interim Incubator may be created on the DMTF Web site at this point to

143 help facilitate discussion and coordination of meetings. The Chair of the sponsoring Committee is
144 responsible for providing insight and observations from the DMTF, any requested help in anticipating
145 Committee/Board questions and responses, and answers to procedural questions.

146 At this time the Chair of the Committee shall send an email to the DMTF Membership announcing the
147 intent to form a Standards Incubator.

148 **4.2 Board Approval**

149 At the conclusion of the meetings, the interim chair submits an initial charter, a list of goals and
150 deliverables, and a timeline to the Chair of the Committee. In addition, the interim chair must identify at
151 least three member companies, which are committed to the ongoing work. The Chair then verifies the
152 submitted information and, if valid, forwards the information to the "other" Chairs of the other committees
153 to determine if any issues exist. If yes, then the charter, timeline, and lists are returned to the interim chair
154 for resolution. If no, then the charter, timeline, and lists are sent to the Board for approval.

155 Issues with the Incubator goals, charter, deliverables, committed companies, and timeline should be
156 raised in initial ballot and then worked to closure.

157 **4.3 Commencement**

158 After Board approval of the initial Incubator charter, a second announcement is sent by the Committee
159 Chair to all the DMTF members indicating the formation of the new Incubator and the timing of its first
160 meeting. At the Incubator formation meeting, the charter, goals, deliverables, list of committed
161 companies, and timeline are reviewed (and possibly amended); the official chair and other Incubator
162 officer nomination process is started; and work on the deliverables commences. Meeting times for the
163 new Incubator should also be discussed and balloted if agreement during the meeting is not reached.

164 At the Incubator formation meeting, the presiding Committee Chair accepts nominations for officers of the
165 new Incubator. Nominations can be accepted at the meeting or sent by email to the Committee Chair
166 alias. Board or Leadership membership is required for eligibility for the position of Chairperson. At the
167 next meeting, the Committee Chair announces the list of nominees. Each nominee describes his or her
168 background and interest in the officer role. If multiple candidates for Incubator Officers exist, email ballot
169 to the Committee Chair alias is used to select the Incubator Officers. If only one Incubator Officer
170 Candidate exists for a position, members may voice objections to the candidate to the Committee Chair
171 alias within seven days of the candidate's announcement.

172 **5 Incubator Specification Delivery**

173 **5.1 Informational Specification Publication**

174 When a specification has been approved by the Incubator group, it is brought to the Board for approval.
175 Upon Board approval, the specification is published as an Informational specification. The published
176 Informational specification document must include appropriate templates as defined in section 10.1.

177 **5.1.1 Work in Progress Publication**

178 An interim version of an incubator deliverable may be published by an incubator by using the Work in
179 Progress publication process. The published Work in Progress document must include appropriate
180 templates as defined in section 10.2.

181 **5.2 Industry Learning Period**

182 After the publication of the Informational specification, the board may elect to take no action for a set
183 period of time in order to gain implementation feedback and assess the results. At the conclusion of this
184 period, the Board may choose to extend this period or move forward with Disposition (see section 5.3).

185 **5.3 Disposition**

186 Because Informational specifications are expected to evolve into permanent Standards, at the conclusion
187 of the Learning Period the Board shall determine if the Informational specification is suitable for
188 permanent standardization and how that should be accomplished.

189 The Board shall select one of the Disposition Strategies below and direct the organization to charter a
190 Working Group to move the Informational specification to a permanent Standard in a manner consistent
191 with the selected Disposition Strategy.

192 **5.3.1 Bootstrap/Expedited Delivery**

193 If the Informational specification has implementation and customer momentum and is sufficient to be
194 standardized in its current form, the Board may direct the organization to charter a Working Group that
195 will perform a technical review of the specification, make any necessary fixes of correctional nature, and
196 complete the process for approval as a Draft Standard. The spirit of this strategy is to make necessary
197 adjustments to prepare the Standard for release as quickly as possible and deferring significant work until
198 the next subsequent version. The resulting Working Group should also include a next version deliverable.

199 **5.3.2 Finalization**

200 If the Informational specification has implementation and customer momentum, but lacks some features
201 or extensions in order to achieve consensus, the Board may direct the organization to form a Working
202 Group that is scoped to add these additions with the minimum amount of changes and bring it forward as
203 a Draft Standard. The spirit of this strategy is to bring the specification to a level of feature completeness
204 that meets the needs of the consensus. Remaining features should be added within the existing design
205 and then appropriate testing, bug-fixing, and ratification as a Standard would follow.

206 **5.3.3 Rationalization**

207 If multiple Incubators have delivered multiple Informational specifications, the Board may direct the
208 organization to charter a Working Group to rationalize the Informational specifications. Because adoption
209 and momentum may outweigh technical issues regarding success, the Board may stipulate a direction in
210 order to avoid drawn-out delays. The Board may direct this new Working Group to use one of the
211 Informational specifications as the basis and then add the missing features of the other Informational
212 specification, allowing the Working Group to make the decision on which Provision Standard is the basis
213 but stipulate a time period for the group to make its decision.

214 **5.3.4 Termination**

215 If the Informational specification has little adoption or industry interest, the Board may direct the
216 organization to conclude the Incubator and take no further action. The Informational specification shall
217 remain available.

218 **5.4 Future Versions**

219 Should there be a need to evolve the specification as time moves forward to create subsequent versions
220 of the standard, Working Groups or Incubators may be formed according to the appropriate processes.

221 **6 Voting Process**

222 Decisions made by the Incubator should be made by consensus when possible. When this is not
223 possible, decisions shall be made by the Review Board. The Review Board shall vote on the issue, and a
224 majority vote will carry. At the time of proposal generation, the definition of “majority and quorum rules”
225 shall be set in the proposal and charter.

226 **7 Participation Requirements**

227 Each Incubator will determine its participation requirements for Leadership and Reviewing members.
228 These requirements shall be indicated in the proposal and initial charter. For Leadership members, these
229 requirements must include the following:

- 230 1) Commitment to attendance
- 231 2) Commitment to technical contributions and discussions
- 232 3) Commitment to host meetings or events
- 233 4) Commitment to produce an implementation suitable for interoperability testing

234 In addition to these requirements a Standards Incubator should also require the following:

- 235 1) That new Leadership members are approved by vote by the Review Board. If this is the case, it
236 must specify the voting rules for approval, such as Unanimous, Majority, or Super Majority.
- 237 2) Commitment to maintaining alignment with the input submission

238 Any IPR participation requirements must be consistent with section 9.2.

239 **8 Oversight**

240 Because the Incubator allows a greater amount of autonomy than a typical Working Group, it is
241 necessary to ensure that the Review Board is making a good faith effort to take reviewers’ feedback
242 seriously. In the event that a dispute arises, the Parent Committee or Board may choose to review the
243 issue and make a recommendation to the Incubator.

244 While the recommendation may not be binding, failing to follow the recommendation may affect the
245 results of the Disposition phase or termination of the incubator.

246 **9 Other Characteristics of Standards Incubators**

247 **9.1 Parent Committee**

248 Standards Incubator groups shall be administered and supervised by the Process and Incubation
249 Committee.

250 **9.2 IPR Issues**

251 As an effort within the DMTF, Incubators are subject to the DMTF Patent and Technology Policy. Any
252 members participating in an Incubator or submitting contributions to an Incubator must do so in
253 compliance with the DMTF Patent and Technology Policy.

254 **9.3 Public Information Sharing and Feedback**

255 Incubator efforts may publish specifications externally and receive external feedback in accordance with
256 the Work In Progress process described in [DSP4004](#) and the DMTF Feedback Portal, respectively.

257 **9.4 Interoperability Workshops**

258 Incubator efforts may conduct Interoperability workshops to validate their designs.

259 **9.5 Addition of New Members**

260 New members must agree to the membership requirements in this document as well as any requirements
261 adopted by the Incubator (such as in its charter). Leadership members must be approved by the Review
262 Board in compliance with the participation requirements set forth in the charter as defined in section 7.

263 **10 Incubator Document Template Requirements**

264 **10.1 Disclaimer Template for Informational Specifications**

265 Any published Informational Specification shall contain the following text before the DMTF copyright
266 template:

267 “IMPORTANT: This specification is not a standard. It is an exploratory, informational document
268 developed in order to obtain industry feedback. It does not reflect the views of the DMTF or all of
269 its members. It is possible that future standards may or may not consider this work product to be
270 an input in whole or in part.”

271 In addition, **every page footer** shall contain the following text:

272 “This Informational Specification is not a DMTF Standard and may change.”

273 **10.2 Disclaimer Template for Informational Specification Work in Progress** 274 **Publications**

275 Any Informational Specification Work in Progress publication shall contain the following text before the
276 DMTF copyright template:

277 “IMPORTANT: This specification is not a standard. It is an exploratory, informational document
278 developed in order to obtain industry feedback. It does not reflect the views of the DMTF or all of
279 its members. It is possible that future standards may or may not consider this work product to be
280 an input in whole or in part.

281 Because this work product is also a Work in Progress, this specification may change, perhaps
282 profoundly, at any time. This document is available for public review and comment until the stated
283 expiration date.”

284 In addition, **every page footer** shall contain the following text:

285 “This Informational Work in Progress Specification is not a DMTF Standard and may change.”

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