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6 **DMTF Standards Incubation Process**

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Introduction

78 This document defines the process for forming Incubators, which are similar to the workshop process
79 used by other organizations.

80 This document was prepared by the Executive Committee.

81 DMTF is a not-for-profit association of industry members dedicated to promoting enterprise and systems
82 management and interoperability. For information about the DMTF, see <http://www.dmf.org>.

83

DMTF Standards Incubation Process

84 1 Scope

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

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

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

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

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

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

109 2 Membership levels

110 2.1 Leadership member

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

118 2.2 Reviewing member

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

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

123 3 Definitions

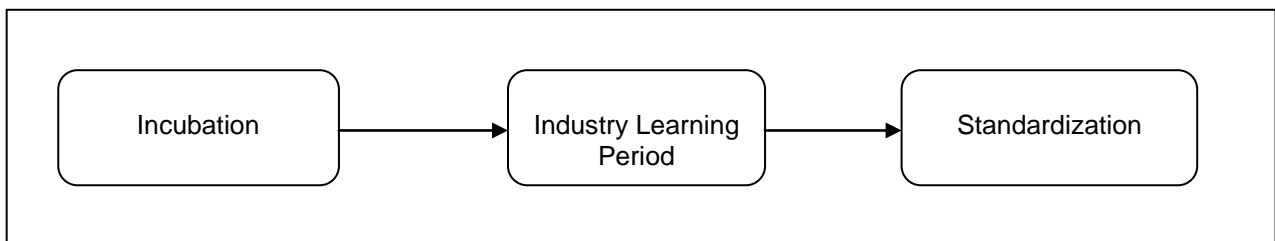
124 3.1 Review Board

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

127 3.2 Informational specification

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

135 All published incubator documents shall follow the Incubator Document Template Requirements provided
136 in Clause 10.



137 **Figure 1 – Standards incubator lifecycle**

138 4 Standards incubator lifecycle

139 4.1 Proposal generation

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

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

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

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

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

158 **4.2 Board approval**

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

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

167 **4.3 Commencement**

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

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

182 **5 Incubator specification delivery**

183 **5.1 Informational specification publication**

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

187 **5.1.1 Work in Progress publication**

188 An interim version of an incubator deliverable may be published by an incubator by using the Work in
189 Progress publication process. The published Work in Progress document must include appropriate
190 templates as defined in clause 10.2.

191 **5.2 Industry learning period**

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

195 **5.3 Disposition**

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

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

202 **5.3.1 Bootstrap/Expedited delivery**

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

209 **5.3.2 Finalization**

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

216 **5.3.3 Rationalization**

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

224 **5.3.4 Termination**

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

228 **5.4 Future versions**

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

231 **6 Voting process**

232 Decisions made by the Incubator should be made by consensus when possible. When this is not
233 possible, decisions shall be made by the Review Board. The Review Board shall vote on the issue, and a
234 majority vote will carry. At the time of proposal generation, the definition of "majority and quorum rules"
235 shall be set in the proposal and charter.

236 **7 Participation requirements**

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

- 240 1) Commitment to attendance
- 241 2) Commitment to technical contributions and discussions
- 242 3) Commitment to host meetings or events
- 243 4) Commitment to produce an implementation suitable for interoperability testing

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

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

248 Any IPR participation requirements must be consistent with clause 9.2.

249 **8 Oversight**

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

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

256 **9 Other characteristics of Standards Incubators**

257 **9.1 Parent Committee**

258 Standards Incubator groups shall be administered and supervised by the DMTF Technical Committee.

259 **9.2 IPR issues**

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

263 **9.3 Public information sharing and feedback**

264 Incubator efforts may publish specifications externally and receive external feedback in accordance with
265 the Work In Progress process described in [DSP4014](#) and the DMTF Feedback Portal, respectively.

266 **9.4 Interoperability workshops**

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

268 9.5 Addition of new members

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

272 10 Incubator document template requirements

273 10.1 Disclaimer template for Informational Specifications

274 Any published Informational Specification shall contain the following text before the DMTF copyright
275 template:

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

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

281 "This Informational Specification is not a DMTF Standard and may change."

282 10.2 Disclaimer template for Informational Specification Work in Progress 283 publications

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

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

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

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

294 "This Informational Work in Progress Specification is not a DMTF Standard and may change."

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ANNEX A (informative)

Change log

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Version	Date	Description
1.0.0		
1.1.0		
1.2.0	2010-11-19	Brought in line with DSP4004 and DMTF release procedure update.
1.3.0	2016-11-23	Updated to refer to current organization.

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Bibliography

303

DMTF DSP4014, DMTF Process for Working Bodies

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http://www.dmtf.org/sites/default/files/standards/documents/DSP4014_2.6.pdf

305