

Collaboration Project Team Process April 1, 2013

Overview

The TM Forum Policy on Intellectual Property Rights (IPR) has been revised to improve business effectiveness for our members, to provide the flexibility needed in this new digital industry while also providing the necessary framework for protecting all members' IP rights. One of the key changes is the ability to tailor the IPR approach more closely to project needs rather than a one-size-fits-all. The new policy allows teams to select the IPR mode that they wish to operate under with respect to patents. This will provide much greater flexibility; protects both the IP rights and obligations of all members of the Forum, and reduces the administrative burdens on members implied by extensive patent searches.

Under the previous IPR policy, all deliverables have been produced using Reasonable and Nondiscriminatory (RAND) terms and conditions. The new IPR policy continues to have a RAND mode and is adding two additional IPR modes; Royalty-free on RAND terms (RF RAND), and a Royalty-free mode called a "FORUM Click-Through License" (FCTL). To provide flexibility and options, the IPR mode will be determined at a project level, obligating only those members who have representatives participating in the project.

This document describes the revised Collaboration Project Team process. Further information can be found in the TM Forum Operating Guidelines, www.tmforum.org/CollaborationOperating/8391/home.html In all circumstances, the By-laws Annex 1: Policy on Intellectual Property Rights governs.

Key definitions used in this document:

- Authorized Intellectual Property (IP) Contact – each Member shall appoint an individual who shall act as the principal point of contact between the TM Forum and that Member in relation to intellectual property matters. The IP Contact shall be a "Designated Representative" as required by the Policy on Intellectual Property Rights (Annex 1) and may be the same person as the Principal Contact. The appointed IP Contact is required to approve the participation in Collaboration Project Teams and the execution of implementation licenses of a TM Forum best practice or standard, as defined in sections 4, 7, and Appendices A and D of the Policy on Intellectual Property Rights (Annex 1).
- Collaboration Community – the overall online platform that contains both Communities and Project Areas.
- Community (online environment) – the online community environment enables members to participate in general discussions, socialize ideas and build consensus for project proposals. There will be the capability to share versions of documents which are being used for general community information and/or for the creation of a project charter.
- Contribution – any material submitted to a TM Forum Collaboration Project Team by a Team Participant in writing or electronically, whether in an in-person meeting or in any

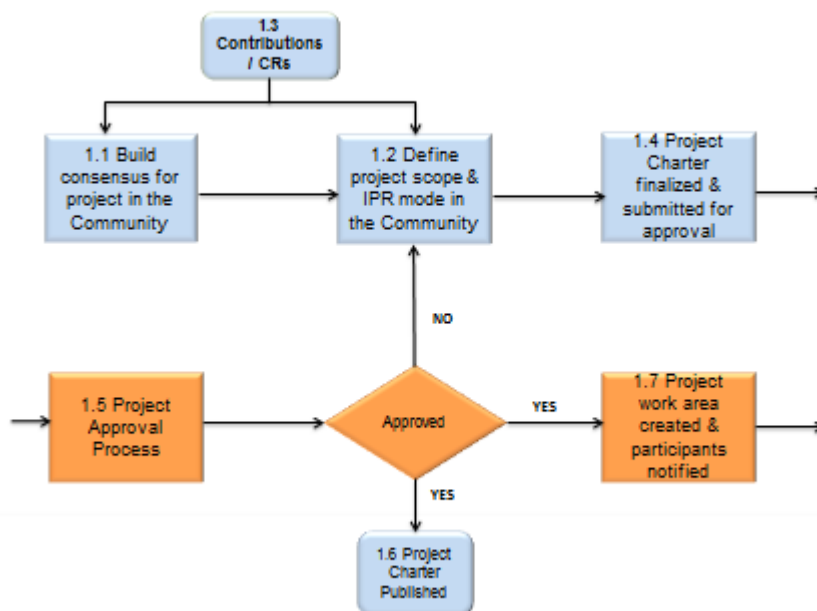


- electronic conference or mailing list maintained by the TM Forum for the TM Forum Collaboration Project Team and which is or was proposed for inclusion in a TM Forum Deliverable.
- Contribution Obligation – a Company is obligated to provide licenses specifically related to that contribution. If the company withdraws from the project team, there will still be a contribution obligation and therefore will have to provide licenses for that contribution, but not for other things in the deliverable where the company may happen to also hold IPR.
 - Feedback submission obligation – a company agrees to provide licenses to the specific feedback that was given officially on the material.
 - Members – Member companies of the TM Forum and their employees
 - Participants – an Eligible Person who has completed the requirements as set forth in accordance with the TM FORUM By-laws to join a Collaboration Project Team during the period in which s/he maintains his or her membership as described by the TM FORUM Collaboration Project Team Process and named in the Project Charter. An Eligible Person may become a Team Participant only upon the approval of an authorized IP Contact of the TM Forum Member for which said Eligible Person is employed.
 - Participation obligation – a company is obligated to provide licenses to anything they own which impacts on the material (not just the contributions made by the company itself).
 - Project Area – open to approved participants only.

The definitions above have been summarized for this process document. For the full definition, please go to the TM Forum By-laws, section 1.1, and Annex 1: Policy on Intellectual Property Rights, section 2, www.tmforum.org/NewIPR.

In each of the process flow diagrams below, the blue boxes are activities available to all TM Forum members and the orange boxes are activities which are open to authorized participants only.

Collaboration Project Team Creation 1.0



Blue boxes indicate activities open to all members.
Orange boxes indicate activities open to project participants only.

1.1 Build consensus for project in the Community

To successfully launch a new project requires committed support from multiple members, so most projects begin as a Discussion Group in the online Community, building the momentum and commitment levels required to kick off a successful project. Discussion Groups are also formed by communities of users of TM Forum collaborative products, and can be used to share experiences, discuss best practice, explore new ideas etc. Any member of the TM Forum or Forum staff may propose a new Discussion Group.

When there is a clear need to collaboratively produce deliverables that are useful to the industry (or to make modifications to an existing deliverable), and there is commitment from members to put adequate resources into the project in order to achieve success in a defined timeframe, then a Project Charter is required.

1.2 Define project scope & IPR mode in the Community

The Project Charter is a concise statement of:

- The list of planned deliverables and their business value (how the project will be of benefit to the industry)
- The (buyers/champions) requirements that have been agreed,
- Milestones for the production of the deliverables,
- The IPR mode which the project will operate under



- Any dependencies (e.g. relationships with other organizations, staff support required etc. to ensure the project is successful)
- Details of the committed participants and the level of commitment agreed.

In order to show steady progress toward a useful goal, and ensure that resources can be contributed by member companies for “reasonable” periods of time, it is recommended to limit the scope of a project such that it can be completed (with all deliverables finished) in 6 months or less. Only in exceptional circumstances will a project be approved for any longer than 6 months. It is recommended that larger projects are broken into more appropriately sized phases.

The initial group of members are responsible for selecting the IPR licensing mode that the project team will work under. During the discussions regarding the choice of an IPR mode, if a member company disagrees with the majority's preference of IPR mode, and is unable to convince the majority to agree to the alternative IPR mode they prefer, that member may decide not to participate in that project.

Discussions related to choice of IPR mode will be time limited; if agreement cannot be reached within 30 days, the discussions should be suspended and will need to be re-constituted from scratch. There can only be one IPR mode per project, and all participants are bound by this. In the case where agreement cannot be reached, final adjudication will be done by the Technical Strategy Sub-committee. A Comparison of IPR Modes describing some of the pros and cons for choosing a specific IPR mode can be found in Attachment B.

If the work product of the project team builds on existing Forum work, the IPR mode chosen must match the IPR mode of the existing work. For the majority of TM Forum existing material, the IPR mode is RAND. For those situations where the project team would like to incorporate material(s) from a deliverable that was produced under either a RF RAND license or a Forum Click-Through License (FCTL), the project team may include a reference to the material(s) produced under a different licensing mode.

1.3 Contributions and/or CRs

In creating the Project Charter, suggested material is submitted as a Contribution or as a Change Request (CRs) on existing material. All contributions must be made via the online collaboration environment. As such, any intellectual property associated with contributions to the work must be identified at the time of submission of the contribution.

A Contribution is defined as any material submitted to a TM Forum Collaboration Project Team by a Team Participant in writing or electronically, whether in an in-person meeting or in any electronic conference or mailing list maintained by the TM Forum for the TM Forum Collaboration Project Team and which is or was proposed for inclusion in a TM Forum Deliverable.

A Company is obligated to provide licenses specifically related to that contribution. If the company has an approved Team Participant on the project, and withdraws from the project team there will still be a contribution obligation and therefore will have to provide licenses for that contribution.



Change requests may be submitted by TM Forum Members and by non-members. These are typically comments applicable to error corrections, bug fixes, or editorial formatting changes. They may also be a suggestion for a future deliverable enhancement. CRs can only be used on the deliverable they were submitted against or future versions of that deliverable in the same IPR Mode.

If a contribution is made to a community not targeted at a specific deliverable, it is available for use by any TM Forum project under the same license Mode; i.e., a Contribution made to the eTOM community can be used by a SID or TAM project as well as the eTOM project. A Contribution to the eTOM project can only be used by eTOM projects.

1.4 Project Charter finalized & submitted for approval

Once the Project Charter has been completed, the Project Team Leader submits it for approval.

1.5 Project Approval Process

In addition to evaluating the scope, and level of resourcing, the charter approval process will ensure the IPR mode selected by the proposing Collaboration Project Team is indeed appropriate for the identified deliverables.

If the Project Charter is not approved, notice is given to the initial group of members listed in the charter. Once appropriate revisions are made, the Project Charter may be resubmitted for approval.

Further explanation of the Project Charter Approval Process can be found in the TM Forum Operating Guidelines, www.tmforum.org/CollaborationOperating/8391/home.html

1.6 Project Charter Published

On approval, the Project Charter with the list of initial members is published on the TM Forum web site for general public review. As team participants receive approval to participate, the Project Charter's list of participants will be updated.

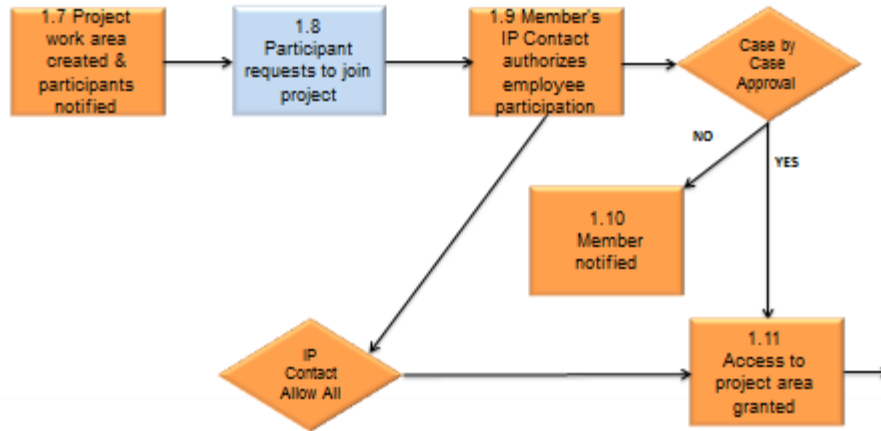
1.7 Project work area created & participants notified

On approval of a project charter, a Project Area will be established on the Collaboration Community with the IPR Mode of this project being clearly identified at the top level of the project area.

A Project Area will include general discussion capability along with a robust document version control system, to allow project deliverables to be progressed.

Initial member participants listed in the charter will be notified that the project area is now ready for them to join. Additionally, the creation of this new project will be promoted to the entire Forum membership, and any interested member may apply to join the project.





Blue boxes indicate activities open to all members.
 Orange boxes indicate activities open to project participants only.

1.8 Participant requests to join project

Member participants make an online request to join the project (by attempting to access the Project Area). Note that even those members who have listed themselves as “initial participants” in the Project Charter will be required to go through this process.

The Member will be asked to confirm that they understand the IPR mode and that their participation is governed by the Forum’s IPR Policy.

If the authorized IP Contact has pre-approved participation for the IPR license mode that the project will operate under (see 1.9), the Member is immediately granted access to the project area.

If the IP Contact has elected Case by Case, they will receive notification of the request to join the project and they will make their determination at that time.

Membership of a collaboration project team is per person, not per organization, and is not transferable from person to person.

1.9 Member’s IP Contact authorizes employee participation

Every Member of the Forum is required to nominate an appropriate authorized IP Contact designated representative who is responsible for approving project participation and for approving contributions and/or feedback. The default authorized IP Contact is the Principal Contact.



It is permissible for the authorized IP Contact to pre-approve participation for all representatives of their company for all projects with a specific IPR mode. This is made possible by the Authorized IP Contact visiting, www.tmforum.org/IPRAdministration. This IPR Administration portal enables the IP Contact to determine how the company wishes to treat project participation approvals. The options are as follows:

1. Employees may participate in all RAND projects without the need for case-by-case authorization – click “ALLOW ALL” button. Or Case by Case authorization is required under all circumstances – click “Case by Case” button.
2. Employees may participate in all RF-RAND projects without the need for case-by-case authorization – click “ALLOW ALL” button. Or Case by Case authorization is required under all circumstances – click “Case by Case” button.
3. Employees may participate in all FCTL projects without the need for case-by-case authorization – click “ALLOW ALL” button. Or Case by Case authorization is required under all circumstances – click “Case by Case” button.

If no selection is made, the default is Case by Case and each person, contribution, or feedback must be separately authorized.

When the Authorized IP Contact has asked for case by case authorization, approval is required before the applicant can join the project team. In these cases an email will be sent to the nominated Authorized IP Contact designated representative, with a copy to the eligible person attempting to join the project. The Authorized IP contact is asked to approve their request to join this project. The contact details of the Authorized IP Contact are made known to the applicant so that they can follow up if required. The eligible person may visit, www.tmforum.org/IPRAdministration, to view the status of their pending approval requests.

When authorization is received, the eligible person will be given access to the project area (becoming a Team Participant in the terms of the IPR Policy), and will be notified as such. Until authorization is received, the Eligible person will not be able to join the project.

1.10 Member notified on a case by case basis

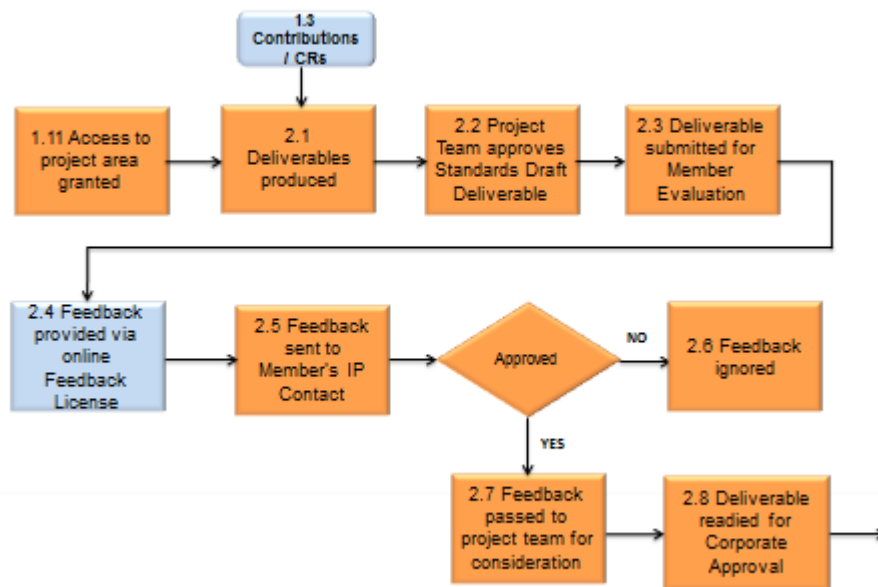
If Member is not approved for participation, they will receive a notice denying participation in the project.

1.11 Access to project area granted

If the Member is approved for participation, they are granted access to the project area and are asked to update their email subscriptions.



Deliverables Produced & Sent for Member Evaluation 2.0



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2.1 Deliverables produced

Project teams may use a combination of working mechanisms, as they deem appropriate, to produce the stated deliverable(s) such as:

- Written contributions from member companies within the community environment
- Written change requests (CRs) for existing material
- Conference calls
- Face to face meetings, either at TM Forum events such as Action Week or separately

Any contribution or feedback to a collaboration project team is governed by the approved IPR Mode of the project and therefore must be submitted under the same IPR mode license.

In order to comply with existing and emerging regulations regarding transparency of standardization, project teams must use the standard support tools and structures outlined in the Online Help area of the Community Environment, including the Calendar Functionality (to ensure all interested parties know details of the planned meetings). Meeting notices must have a clear agenda, time limits and objectives.

Meeting minutes must also be produced, using the template provided, and stored in the project area of the community. Each meeting must begin with a declaration of the IPR mode for the meeting using an appropriate IPR statement in Attachment A.

NOTE: Members will have the capability to formally withdraw from the project team. However, there may be an ongoing licensing obligation on the member company depending on the time period that their employees/representatives have been officially members of the project. Non-



attendance at meetings and non-participation in the Project Area are not considered to signify formal withdrawal from the project.

2.2 Project Team approves Standards Draft Deliverable

Once a deliverable has come to a point of development where it is stable and it can be formally shared, the Collaboration Project Team approves it as a Standards Draft Deliverable.

The IPR Mode for each deliverable should be clearly identified in the Notice Statement associated with that deliverable. Where the IPR mode requires a license from an IPR owner, contact details for applying for such a license and where possible terms and conditions should be supplied.

2.3 Deliverable submitted for Member Evaluation

The Standards Draft Deliverable is then submitted for Member Evaluation. The Member Evaluation period gives members the ability to see and provide formal comments on stable TM Forum work before non-members see it.

The evaluation interval can be as short or as long as necessary, depending on complexity of the material it will typically be between 30 – 90 days, and will be reflected in the deliverable's time stamp. When a deliverable is placed on the TM Forum web site for Member Evaluation the notice appears in the next TM Forum electronic Newsletter.

Full details of the approval process are available at www.tmforum.org/CollaborationOperating/8391/home.html

2.4 Feedback provided via online Feedback License

Feedback providers are required to submit their feedback in writing (no verbal feedback is allowed) using an online feedback form and to agree to the terms of the Feedback License (Appendix A of the IPR policy).

2.5 Feedback sent to Member's IP Contact

In order for feedback to be considered by the project team, the Authorized IP Contact of the submitter will be asked to approve the feedback submission request. If the IP Contact has given pre-approval matching the IPR mode of the project feedback, the feedback will be immediately approved and sent to the project team for consideration; i.e., "ALLOW ALL" for RAND projects applies to CRs and Feedback as well as joining project teams.

Authorization must happen before end of Member Evaluation period for feedback to be considered. Project team does not need to wait for "pending" feedback submissions.



2.6 Feedback ignored

Feedback which is unapproved by the Authorized IP Contact or approval from the Authorized IP Contact is not received by the end of the Member Evaluation period. Is not required to be addressed in the deliverable, but can be considered at the discretion of the project team.

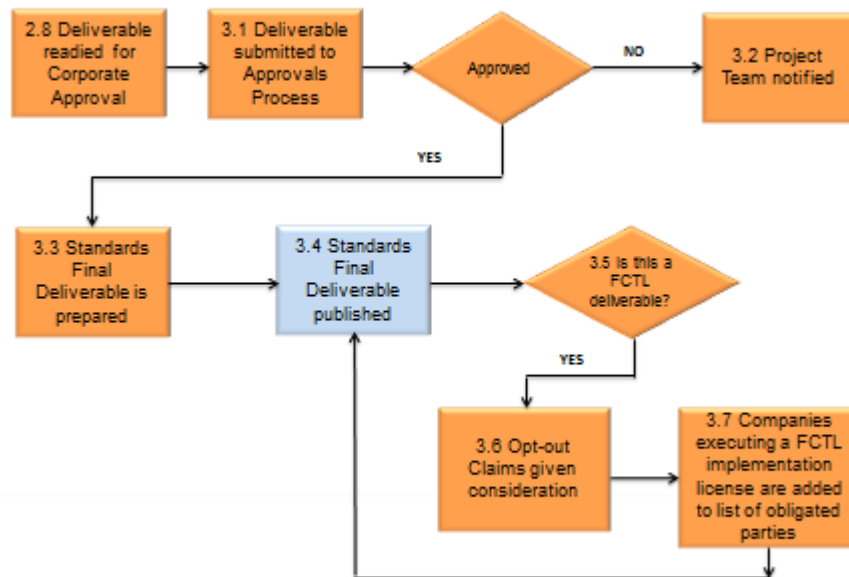
2.7 Feedback passed to project team for consideration

Feedback is made available to project team on receipt of approval from Authorized IP Contact. All approved feedback received during the evaluation period is considered by the project team and handled appropriately.

2.8 Deliverable readied for Corporate Approval

At the conclusion of the Member Evaluation period, the team may need (based on feedback received) to update the deliverable before going to Formal Approval stage. Regardless of whether changes to the deliverable are made, the version number will be up-issued to reflect its change in status. Any CRs submitted against this deliverable must be added to the deliverable along with their disposition.

Deliverable Approved & Published 3.0



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3.1 Deliverable submitted to Approvals Process

The deliverable is submitted to the Formal Corporate Approvals Process which is described here www.tmforum.org/CollaborationOperating/8391/home.html

3.2 Project Team notified

The Collaboration Project Team is notified if the deliverable is not approved.

3.3 Standard Final Deliverable is prepared

Upon approval, the deliverable becomes a Standard Final Deliverable and is prepared for publishing. Included in the final deliverable are:

- A list of obligated Parties
- A list of feedback providers
- A link to feedback that was provided

In addition, the deliverable is updated to reflect the appropriate notice statement as stated in By-laws Annex 1: Policy on Intellectual Property Rights, section 14.

3.4 Standards Final Deliverable published

All approved Standards Final Deliverables are published on the TM Forum website for use by TM Forum Members.

3.5 Is this a FCTL deliverable?

If the Standards Final Deliverable was produced under a Forum Click-Through License, Members who were not participants in the Collaboration Project Team are given the opportunity to opt-out of the license.

3.6 Opt-out Claims given consideration

At any time up to the end of a sixty (60) day period following the date of publication by the TM Forum of a Standards Final Deliverable which was produced under a Forum Click-Through License (FCTL) Members who were not participants in the Collaboration Project Team that produced the Deliverable may review the Deliverable and exclude any of their Essential Claims relating to that Standards Final Deliverable from the terms of the Forum Click-Through License for Implementation. Further explanation of the opt-out provisions can be found in the By-laws Annex 1: Policy on Intellectual Property Rights, section 10.3.2.

Consideration will be given to any opt-out claims made during the opt-out period by the TM Forum President in order to ensure the deliverable is viable in light of these claims.



3.7 Companies executing a FCTL Implementation license are added to list of obligated parties

A Standards Final Deliverable produced under a Forum Click-Through License (FCTL) has two separate licenses; a Forum Click-Through License for Review and a Forum Click-Through License for Implementation. Both of these licenses are executed through an online “Click to Accept Terms” capability to be available May 1, 2013.

A FCTL for Review license allows a company to review the Standards Final Deliverable to determine if the company is interested in implementing the Deliverable. If after reviewing the Deliverable the company wishes to implement the Standards Final Deliverable commercially, the company must accept the FCTL for Implementation license.

All companies executing a FCTL for Implementation license will be added to the list of obligated parties for this Standards Final Deliverable.

This document is intended to be a high level view of the Collaboration Program processes.

Additional detailed process descriptions can be found at
www.tmforum.org/DetailedProcessDocuments

