



Controlled Trade Markup Language (CTML)

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Members of the OASIS Controlled Trade Markup Language (CTML Technical Committee (TC) contributed to the development of this specification and are list in the Acknowledgments section of this document. Most were members of the CTML TC from June 2002 until the agreement of the specification. Some CTML TC members changed their affiliation to OASIS members, but remained members of the TC; multiple affiliations are shown separated by semi-colons.

Abstract:

The purpose of the CTML TC is to develop a unified trade control vocabulary that supports an international collection of business documents (e.g., trade applications, cases, licenses, delivery verification certificates, etc.) through the extension and expansion of an existing XML vocabulary. A goal of our work will be to incorporate the best features of other XML business vocabularies and provide a clearly articulated interface to other mutually supporting specifications. The CTML specification is intended to become an international standard for controlled trade activities, and together with other XML specifications, allow industry, nongovernmental organizations, and governments to unambiguously identify the essential business and legal documents to be exchanged in particular business contexts and geographic locales (i.e., country).

Furthermore, the CTML will align its vocabulary and structures with the vocabulary and structures of other OASIS libraries (like Unified Business Language, Business Transactions, and Customer Information Quality) and implement a mechanism for the generation of context-specific schemas for basic business documents and their components through the application of transformation rules to a common XML source library.

The specification will be open to everyone without licensing or other fees.

Status:

This version of the specification is a working draft of the committee. As such, it is expected to change prior to adoption as an OASIS standard.

This specification defines an XML vocabulary for controlled trade activities. This version of the specification is a working draft of the committee, and as such, it is expected to change prior to adoption as an OASIS standard. This document is updated periodically on no particular schedule. Send comments to the editor.

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43 Committee members should send comments on this specification to the [ctml@lists.oasis-](mailto:ctml@lists.oasis-open.org)
44 open.org list. Others should subscribe to and send comments to the [ctml-](mailto:ctml-comment@lists.oasis-open.org)
45 comment@lists.oasis-open.org list. To subscribe, send an email message to [ctml-](mailto:ctml-comment-request@lists.oasis-open.org)
46 comment-request@lists.oasis-open.org with the word "subscribe" as the body of the
47 message.

48 For information on whether any patents have been disclosed that may be essential to
49 implementing this specification, and any offers of patent licensing terms, please refer to
50 the Intellectual Property Rights section of the "Controlled Trade" TC web page
51 (<http://www.oasis-open.org/committees/controlledtrade/>). The errata page for this
52 specification is at <http://www.oasis-open.org/committees/xxx/yyy>.

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Introduction

When the Berlin Wall fell in late 1989 and the Soviet Union collapsed in 1991, new opportunities for the global economy emerged. This economy introduced new opportunities and challenges to government and industry, especially in the realm of international trade. Unauthorized trade—especially military trade—soon surfaced as a viable threat to global and regional security. As industry increased the speed and efficiency of its electronic trading processes, governments struggled to keep up. There was insufficient government-industry cooperation in this area. For government, there were few tools available to guard against unauthorized or illegal trade. For industry, there were few tools available to help them become more competitive and adapt to the global trading environment. International trade was still defined in the context of the Cold War and not in the context of economic and technological realities. Something had to change.








Commerce involves the marketing and exchange of goods and services between buyers and sellers over borders and distances. However, it is difficult to analyze and improve the total trading process—including security—because of the number of stages and parties involved from initial industry contact to final delivery. In both controlled and uncontrolled trade, exchanging information rapidly and accurately among companies, between industry and government, and among governments is indispensable to maintaining positive control over sensitive transactions while facilitating and fostering legitimate trade. Uncertainty in how long a particular activity is expected to take and who are the parties involved increase both time and risk of compromise.

Because the current global trade control process relies on a collection of loosely related automated systems, processes, and technologies, information sharing and coordination among participating ministries and governments can be challenging, if at all possible. Recognizing this challenge and the potential benefits of—and need the for—improved coordination and communication, CTML seeks to unite and modernize the global trade control community by creating a unified trade control markup language, a vocabulary and specification that would ultimately become part of the global economic infrastructure and normal business activities.

Our vision is to protect national security interests in a competitive commercial market environment by establishing the first modern, global, and controlled trade language. Building on other committee works, CTML will become an integral and seamless part of the global trade control system—a virtual network of cooperation and information sharing. The specification will incrementally improve the language necessary to support a global trade control system, starting with government-to-government interfaces and expanding to industry-government in subsequent iterations. The United Nations Economic and Social Council echoed the need for systems, which can be extended to export control systems, to be part of electronic business activities. The UN's Electronic Data Interchange for Administration, Commerce, and Transport, 97N007 stated that "Transactions not only between businesses, but also between business and governments, and business and consumer can be built for specific purposes, defined in time, as opposed to established and permanent business relationships," stressing the need for governments and industry to be integrated as part of export control.

1.1 Controlled Trade Actors

The major actors in the CTML domain are shown in the diagram of below.

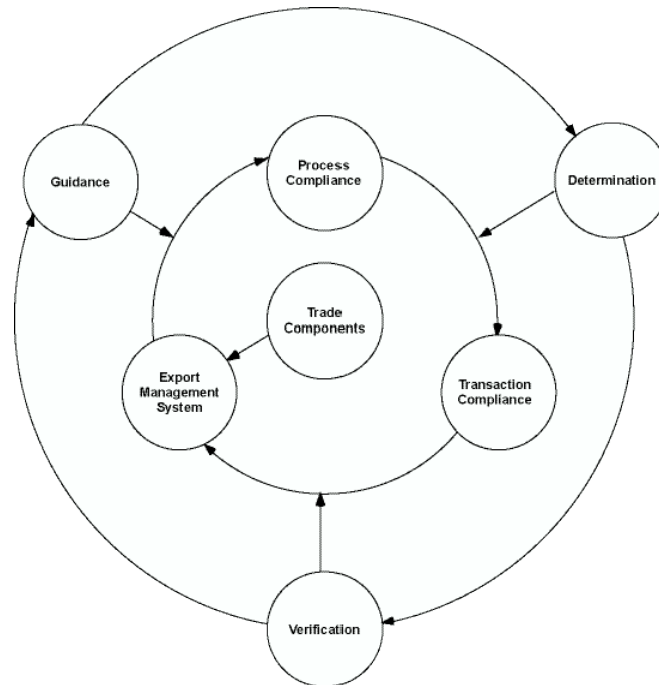
Economy 	MOE typically has commodity jurisdiction over dual-use items	Energy 	Ministry of Energy (ME) typically control the export of special nuclear material-production technologies, and sensitive unclassified scientific and technical information related to the development and production of weapons of mass destruction.
Defense 	MOD normally determines the military position on export license applications in coordination with other departmental organizations.	Customs 	Customs Services normally provide law enforcement support to the application screening process and is responsible for enforcing license controls at exportation.
Foreign Affairs 	MFA typically has commodity jurisdiction over munitions items.	Intelligence 	Intelligence Services are typically responsible for managing nonproliferation intelligence issues.
Industry 	Industry submits export license applications and supporting technical documentation to governmental ministries, and is the originator of the export license process.		

Within government are numerous experts who play many different roles in controlled trade activities. Within industry are other experts who cooperate with government officials to help control risk associated with any particular export.

1.2 Controlled Trade Environment

Today, the global trade control system is a collection of loosely related automated systems and technologies operating on a variety of automated systems. There is no single system, standard, workflow, or other agreed upon methodology for conducting controlled trade activities. A broad base of domain experts use these systems and technologies to measure the relative risks associated with particular exports. However, these systems' purview is limited. Throughout the controlled trade process, some user communities rely on access to classified information as part of their daily work.

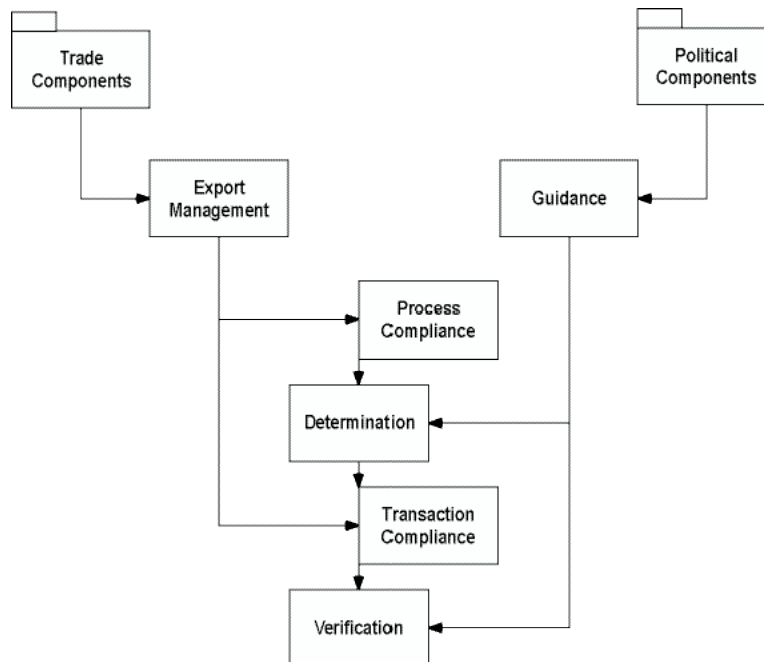
While there is no commonly accepted legal authority that consistently crosses all governments, ministries of economy (MOE) normally manage export control processes in their governments. In some countries, ministries of foreign affairs manage the export control processes. In all countries, however, other ministries play key roles in both the approval and enforcement processes. Presently, each country's export control system is composed of a range of systems and applications that reflect evolving needs and capabilities. There is no single hardware platform, operating system, application, or "tool box" available to all users and ministries.



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150 1.3 Controlled Trade Baseline Interaction

151 The following illustration depicts the information associations relevant to a single instance of the
152 controlled trade activity.



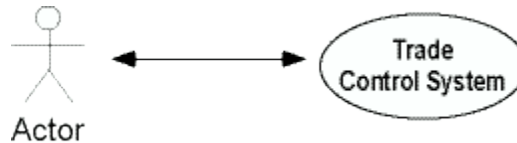
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2 CTML Glossary

2.1 Actors

Actor – An entity that interacts with a system and that represents a role that a user can plan.

ActorType – A category of actor whose members share some qualities.



2.1.1 Regulatory Actors

AdministrativeStaff - Perform clerical and administrative duties.

CaseOfficers - are case owners who are responsible for determining the final case position. Case Officers have decision-making authority and may refer cases to persons within or outside of their agency for positions and/or recommendations.

ReferralOfficers - Receive cases referred by CaseOfficers. ReferralOfficers are responsible for determining the final agency position for the agency they represent. If ReferralOfficers need additional information they can refer cases to persons within their agency for positions and/or recommendations.

ServiceOfficer - Are referred cases by ReferralOfficers in Defense organizations. Service Officers are responsible for determining a final Service position for the Service they represent (Army, Air Force, Navy, etc.). If ServiceOfficers need additional information they can refer cases to persons within their Service (Army, Air Force, Navy, etc.) for positions and/or recommendations.

Regime – [Insert definition here].

RoutingOfficer - review work items and select and/or approve work item staffing.

Analyst - are technical, regional, or other experts whose insight about a case is requested. Analysts can comment on a Case and make recommendations or log positions.

SupervisoryOfficer - are managers of CaseOfficers who have the authority to perform certain acts, such as initiating an escalation or dispute resolution process, reassign work items, configure certain system settings, and grant certain user permissions.

Countersigner - review CaseOfficers' recommendations or positions, and approve or direct a revision of the recommendation or position. In some offices countersigners are the peers of Case Officers, in others they are supervisors.

ComputerSpecialist - do not have direct input into the export licensing process, but rather maintain automated systems at various agencies and departments.

Coordinator - are responsible for gathering and distributing relevant case data; inputting case data into an automated export licensing system; and performing case-related activities at the request of CaseOfficers.

OutsideSource - are contacts of CaseOfficers who are able to answer questions or make recommendations about a case. OutsideSources are not within the same agency or department

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- 190 as the Case Officer.
- 191 **InsideSources** - are associates of Analysts who are able to answer questions or make
192 recommendations about a case. InsideSources are within the same Agency as the Analyst.
- 193 **CommitteeChair** - are the lead members of interagency committees. Examples of typical
194 committee chairs include escalation committees.
- 195 **CommitteeMember** - participate in one or more of the three interagency committees.
196 CommitteeMembers may be voting and non-voting members of escalation groups.
- 197 **EscalationCommitteeStaff** - Are committee staff members who assist the committee chairs
198 evaluate escalated cases.
- 199 **EnforcementOfficer** - Are members of Export Enforcement community who investigate parties
200 who might be involved in the illegal export of commodities.
- 201 **Director** - are agency or department heads with management and oversight responsibilities.
202 Directors may be required to make case decisions in the event of recommendation or position
203 disputes.
- 204 **ComplianceTechnicians** - are enforcement analysts who reconcile parties within the system.
- 205 **CommunicationsOfficers** - send cables to embassies and consulates.
- 206 **User** - are members of the export control community who access the system in order to process
207 work items, access data, or otherwise maintain the system.

2.1.2 Industry Actors

Applicant - request licenses or other determinations from the export control authorities. An Applicant can be a member of Industry who has the authority of a principal party of interest to determine and control the export or re-export of items. An Applicant can also be a member of the government or a foreign government.

Authority – An actor who reviews and certifies materials submitted by industry in support of a controlled trade activity to the appropriate regulatory agencies.

BoardMember - Refers to a board of directors who in setting broad corporate goals and determining if managers are, in fact, pursuing and achieving those goals.

Broker – [Insert definition here]

EMSAdministrator - An individual who has been designated for oversight of the program within a single company.

EMSResponsibleScreener - The individual responsible for performing particular risk screens throughout an export control activity within a company.

HoldingCompany – [Insert definition here].

Insurer – [Insert definition here].

Manufacturer - Refers to the produces or provider of goods, technologies, services, and know-how.

Member - One of the elements of a set or class.

ParentOrganization – [Insert definition here].

PartyResponsibleOfficial - Industry personnel who are responsible for all export control related functions, duties, responsibilities, positions, and employees in the firm.

SeniorExecutive - Refers to an individual in an organization as having administrative or managerial responsibility

Shareholder - Refers to individuals or organizations as holding or owning a interest in property

Shipper – [Insert definition here].

SiblingOrganization - Refers to organizations that are controlled by the same parent organization or individual.

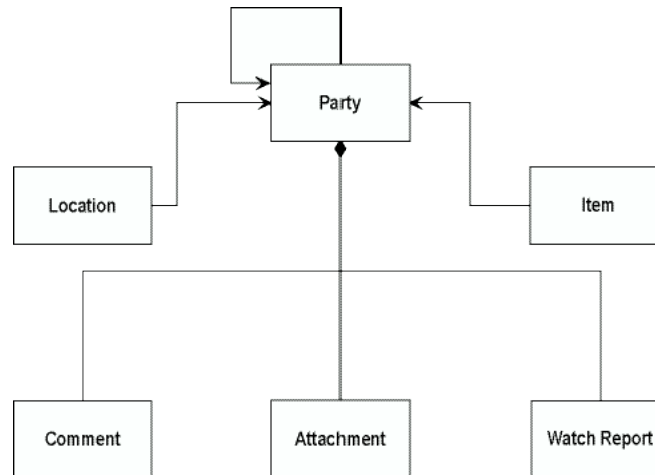
SubOrganization - Refers to an organization controlled or owned by another organization or individual. If a SubOrganization is wholly owned, all its stock is typically held by the parent company.

Supplier - Refers to individuals or organizations as adding as a supplement other entities.

2.2 Trade Components

2.2.1 Party

Refers to entities involved in all aspects of controlled trade activities. For example, Parties may represent those entities engaging in business activities (e.g., businesses and nongovernmental organizations) as well as those entities controlling business activities (e.g., government agencies).



PartyRole - CaseParties, ApplicationParties, SystemUsers, OutsideExperts.

PartyCaseRole –

PartyType – PartyOrganization or PartyPerson.

RegistrationID - Refers to a code that a licensing authority assigns to an Party as part of a authorization process to allow the Party to transact munitions goods as part of a sanctioned export license activity. RegistrationID may take alpha, numeric, and alpha-numeric forms

PartyPerson - Refers to a Party that is defined as a single person or individual.

PartyFirstName - Refers to the first name of an individual (e.g. Michael, Francois, or Yong).

PartyLastName - Refers to the last name of an individual (e.g. Miller, Perreault, or Li).

PartyGivenName - Refers to the combination of all names that an individual has (e.g. "Phillip Michael Thomas," "Kim Mi Yong," or "Muhamud bin Al Gazir").

PartyContact - Contact is a simple reusable entity class that defines attributes of a contact person.

PartyOrganization - Organization instances are ManagedObjects that provide information on organizations such as a Submitting Organization. Each Organization instance may have a reference to a parent Organization.

PartyOrganizationType - CTML presently supports the following Organization TYPE: (1) Commercial, (2) Educational, (3) International, (4) LawEnforcement, (5) Government, (6) Military, (7) National, (8) Nonprofit, (9) Political, (10) Professional, and (11) Religious.

266 **PartyWatchRationale** - Refers to the rationale a User provides for changing a Party's
267 WatchReport DISPOSITION.

268 **PartyWatchReason** - Refers to the particular Reason an export licensing authority assigns a
269 Party to a WatchList.

270 **PartyWatchReport** - Is negative information related to individuals and organizations that that is
271 used as input to the decision making within the export control community. WatchReports may also
272 serve as rationale for denying exports and may serve as input to more serious consequence like
273 legal actions.

274 **PartyWatchReportDisposition** - CTML presently supports the following Disposition: (1)
275 Undefined, (2) OnWatch, and (3) OffWatch.

276 **PartyWatchReportSource** - CTML presently supports the following Sources: (1) Undefined, (2)
277 Internet, and NewsMedia.

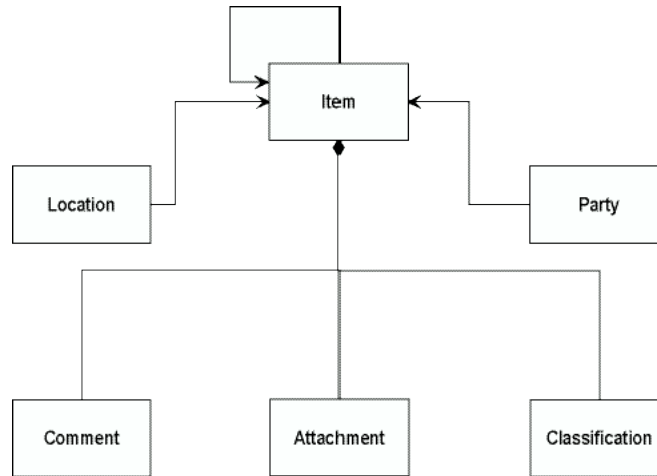
278 **PartyWatchReportRisk** - CTML presently supports the following Risk: (1) Undefined, (2)
279 Extreme, (3) High, (4) Medium, (5) Low, and (6) None.

280 **PartyWatchReasonType** - CTML presently supports the following ReasonType: (1)
281 OutOfBusiness, (2) ChemBioConcern, (3) ControlledFirm, (4) Customs, (5) DeniedParty, (6)
282 DesignatedNational, (7) EconomicDefenseList, (8) EnforcementConcern, (9) EntitiesList, (10)
283 DrugTrafficking, (11) SupportsTerrorism, (12) MTCRConcern, (13) Proliferator, (14)
284 PastSanction, (15) RoutineInvestigationObservation, (16) MultilateralControlRegimeDenial, (17)
285 TargetedFirm, (18) BadPreLicenseCheck, (19) BadPostShipmentCheck.

286 **TradingParty** - Refers to a Party that is engaged in controlled trade activities. This normally
287 involves businesses buying, selling, or bartering goods with one another. However, a
288 TradingParty may also involve governments and nongovernmental organizations buying, selling,
289 or bartering goods.

2.2.2 Item

Refers to items of interest involved in a controlled trade activity. For example, Items may represent those things that are being bought, sold, exchanged, or otherwise traded as part of a business activity.



ItemAreaUnitOfMeasure - Refer to ISO currency codes for additional information.

ItemVolumeUnitOfMeasure - Refer to <http://www.unece.org/trade/facil/tfcuom.htm> for more information related to Volume.

ItemMassUnitOfMeasure - Refer to ISO currency codes for additional information.

ItemUnitOfMeasure - UnitOfMeasure describes how the product is packaged or shipped. It must conform to UN/CEFACT Unit of Measure Common Codes. For a list of UN/CEFACT codes, see <http://www.unece.org/cefact>. Attachment contains a single URL with scheme "cid:".

ItemEndUse - Application of goods, technologies, services, or know-how to a particular desired outcome state.

Item - Goods, technologies, services, and know-how that are the object of controlled trade.

ItemDescription - Refers to a free-form description of a particular Item considered for export.

ItemMake - A brand of something, for example an appliance, car, or machine

ItemModel - A particular version of a manufactured article.

ItemEndUse - The declared ultimate purpose and application for a particular Item when it reaches its final destination.

ItemEndUsers - Export or reexport to prohibited end-uses or end-users.

ItemManufacturerProductNumber - Refers to a code used to designate the classification of a particular Item that the Manufacturer or Maker assigns. Codes are derived from ManufacturerProductNumber and may take alpha, numeric, and alphanumeric forms.

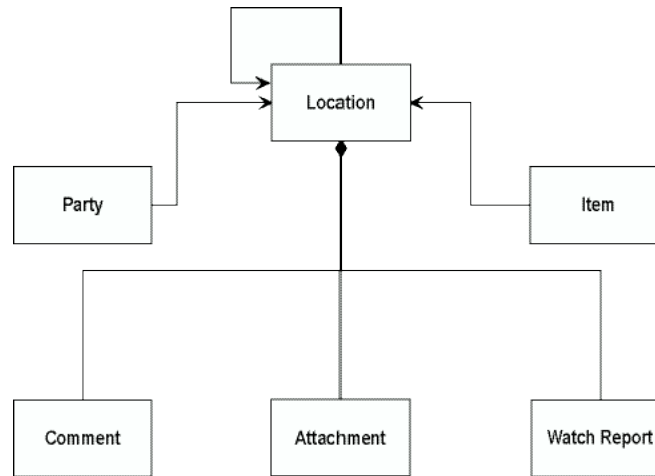
ItemQuantityUnitOfMeasure - Refers to the total number of goods declared as constituent parts of a single Item. CTML presently supports the following Units to describe Quantity: (1) Area, (2) Distance, (3) Mass, (4) SalesUnit, (4) Time, and Volume.

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- 317 **ItemSerialNumber** - Refers to a code that a provider or manufacturer assigns to an Item.
318 SerialNumber may take alpha, numeric, and alpha-numeric forms
- 319 **ItemProductType** - Refers to the type of Item an Applicant wants to export.
- 320 **ItemSalesUnit** - Refer to UnitsofMeasure for more information concerning SalesUnit.
- 321 **ItemUnitCost** - Refers to the cost for a single Item in an export license Application.
- 322 **WeaponsMassDestruction** – Refers to items that are used in nuclear proliferation, missile
323 technology proliferation, chemical and biological proliferation?

2.2.3 Location

Refers to the logical and physical means by which actors determine “where” something is within a particular context.



LocationContact - Refers to the physical and logical location of a Party within CTML.

LocationContactType - CTML presently supports the following kinds of ContactLocations: (1) StreetAddress, (2) State, (3) City, (4) Country, (5) PostalCode, (6) PhoneNumber, (7) FaxNumber, (8) Email, and (9) URL, StreetAddress.

LocationState - Refers to a politically organized body of people usually occupying a definite territory.

LocationCity - Refers to an inhabited place of greater size, population, or importance than a town or village b: an incorporated British town usually of major size or importance having the status of an episcopal see c *capitalized* (1) the financial district of London (2) the influential financial interests of the British economy d: a usually large or important municipality in the U.S. governed under a charter granted by the state e : an incorporated municipal unit of the highest class in Canada.

LocationCountry - Refers to an indefinite usually extended expanse of land : 2 a : the land of a person's birth, residence, or citizenship b : a political state or nation or

LocationPostalCode - Refers to a group of letters and figures in a postal address to assist sorting.

LocationPhoneNumber - Refers to a number used to call a particular telephone.

LocationFaxNumber - Refers to a number used to call a particular facsimile machine.

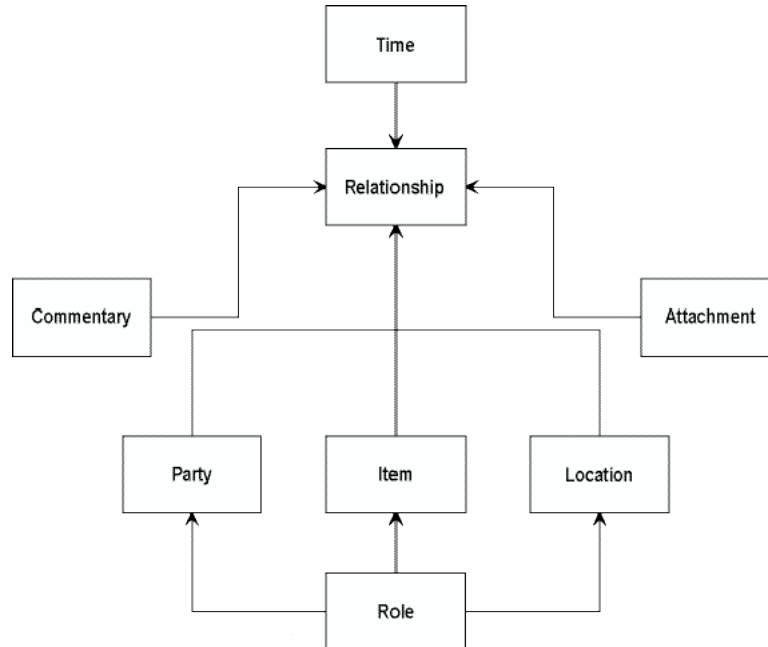
LocationEmail - Refers to a number used to electronically send mail a particular person.

LocationTelephoneNumber - A simple reusable entity class that defines attributes of a telephone number.

LocationURL - Refers to an abbreviation for Uniform Resource Locator, the addressing system used for the World Wide Web.

2.2.4 Relationship

Refers to the connection between two or more people or groups and their involvement with each other, especially as regards to how they behave and feel toward each other, communicate, and cooperate.



ClientOf - Refers to an individual or organization using the services of another individual or organization.

CustomerOf - Refers to an individual or organization using the services of another individual or organization.

AffiliatedWith - Refers to an organization that is related to another organization through some type of control or ownership. For example, a U.S.-based company may have a foreign affiliate that handles overseas sales.

BusinessPartnersWith - Refers to a business owned by two or more individuals or organizations who agree on the method of distribution of profits and/or losses and on the extent to which each will be liable for the debts of one another. A partnership permits pass through of income and losses directly to the owners. In this way, they are taxed at each partner's personal tax rate.

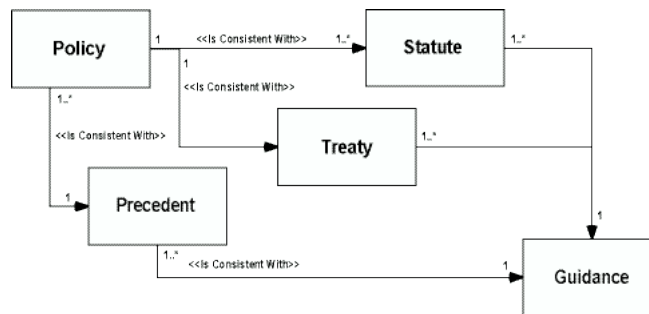
ControllingPartyFor - Refers to the governmental activities that support national security concerns as they relate to controlled trade activities.

DoesBusinessWith - Refers to an organization or individual that interacts with another Party in order to derive benefit, normally in the form of money..

WorksWith - Refers to an organization or individual that interacts with another Party in an undeclared capacity.

2.3 Political Components

Refers to the governmental goals and strategies related to civil administration.



2.3.1 Policy

Policy – A program of actions adopted by an individual, group, or government, or set of principles on which they are based.

PolicyType – [Insert definition here].

PolicyName – The name by which a program of actions adopted by an individual, group, or government, or set of principles on which they are based.

PolicyNumber – A unique reference associated with a program of actions adopted by an individual, group, or government, or set of principles on which they are based.

2.3.2 Statute

Statute – A law established by a legislative body.

StatuteType – [Insert definition here].

StatuteName – The name by which a law established by a legislative body.

StatuteNumber – A unique reference associated with a law established by a legislative body.

2.3.3 Regime

RegimeList – A mechanism for cataloging items of concern according to specific terms and agreements as codified in binding and nonbinding international agreements.

RegimeListType – The designation associated with

RegimeListName – The name used to denote a particular mechanism for cataloging items of concern.

RegimeListNumber – A designator used to identify a particular item of concern and its operational parameters.

RegimeListContent – Descriptive information used to define an item of concern, its application, and potential for use.

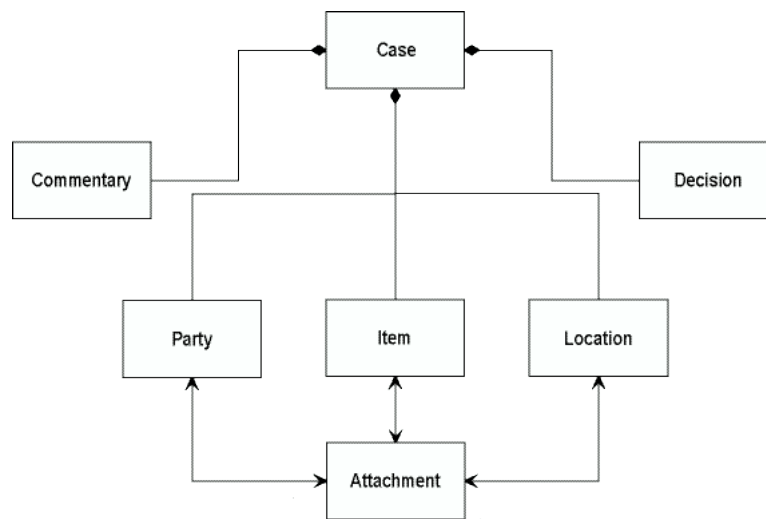
RegimeListVersion – A unique value assigned to an iteration of a particular RegimeList to account for changes in its content.

PrecedentCase – A controlled trade case that can be subsequently used as an example for a similar decision or to justify a similar action.

2.4 Regulatory Activities

2.4.1 Guidance

The legal and bureaucratic controlled trade processes that governments established in order to ensure that its national interests are protected.



Case - Refers to the basic accumulation of information in an export control activity. Cases are primarily built from other first class objects including Parties, Items, Locations, and Documents.

CaseActivityType - CTML presently supports the following types of Case ActivityType: (1) import, (2) Export, (3) Deemed, (4) Project, (5) Reexport, (6) Transit, and General.

CaseHistory - Refers to information the system records as part of an internal tracking mechanism against high-level objects like Case, Party, Item, Location, and Document.

CaseOwner - Refers to the system User who has Case management responsibilities over a particular Case.

CaseStatus - [Insert definition here]

CaseType - CTML presently supports the following types of Cases: (1) Undefined, (2) DualUse, (3) Munitions, and (4) Nuclear.

CommodityJurisdictionDeterminations - Is used to determine whether an item or service is subject to the export licensing authority of a particular element of a national authority or government.

CommerceControlList - A section of the Commerce Department's Bureau of Export Administration's Export Administration Regulations that lists specific technologies and the countries to which those technologies may or may not be exported, along with any special restrictions or exceptions that may apply.

ControlList - Refers to a list of items under the export control jurisdiction of a national or international authority (e.g., Bureau of Export Administration, Ministry of Economy, or Wassenaar Regime). All commodities, technology or software subject to the licensing authority and are found

429 list format.

430 **ControlListType** - Refers to source of authority for controlling particular items of interest. All
431 commodities, technology or software subject to the licensing authority and are found list format.

432 **ControlListClassification** - Refers to designation a particular item of interest has assigned to it
433 as it relates to operational parameters described in ControlLists.

434 **ControlListSensitivity** - Refers to a subjective sensitivity rating assigned to each item of interest.

435 **EndUseSummary** - Refers to a Case-level description of the nature of the Case.
436 EndUseSummary provides a high-level description of how the EndUser intends to apply the
437 goods, technologies, services, and know-how to a desired outcome state.

438 **ItemClassification** - Refers to a mode of rule or management based on commodity jurisdictions
439 and subscribed to by international treaty ratification.

440 **ItemClassificationRegime** - CTML presently supports the following regimes: (1) Undefined, (2)
441 AustraliaGroup, (3) CWC, (4) NSG, (5) MTCR, (6) Wassenaar, and (7) EU.

442 **ItemECCN** - Refers to a code used to designate the classification of a particular item. Codes are
443 derived from ControlLists and may take alpha, numeric, and alphanumeric forms.

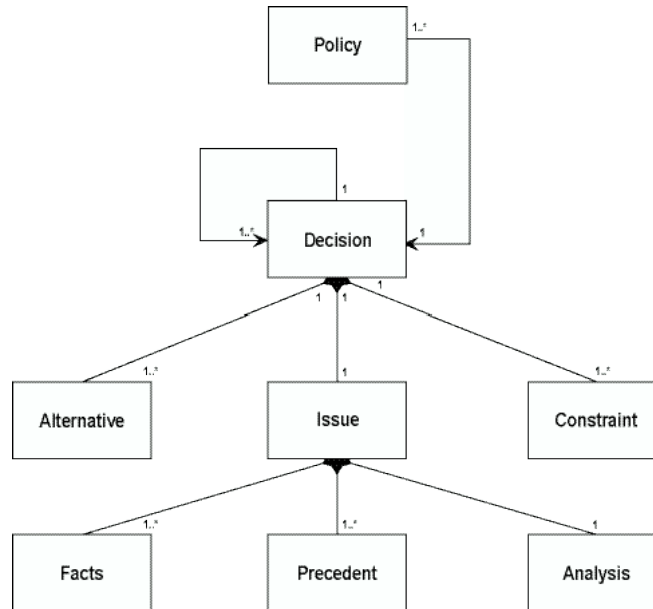
444 **ReceivedDate** - Refers to the calendar date that a national export licensing authority receives an
445 export license application.

446 **TotalCost** - Refers to the total value of the transaction in question. This is not a sum of all
447 declared items on an export license application. Instead, it represents the value of all controlled
448 and uncontrolled goods, technologies, services, and know-how that compose the total
449 transaction.

450 **TotalWeight** - Refers to the combined weight of all items reference in the Case.

2.4.2 Determination

Refers to the final disposition of a controlled trade case.



CaseConditions – Refers to constraints that an exporting government places on a particular controlled trade activity to help guarantee that items of interest will be used according to its stated application.

CaseAgencyDecision - Refers to an organization that provides either a Position or Decision regarding the final disposition of an export license application.

CaseAgencyPosition - Refers to an organization that provides either a Position or Decision regarding the final disposition of an export license application.

CaseEscalate - Refers to indecision or disagreement within a national authority vis-à-vis a particular controlled trade case. In this situation, agencies refer decision-making responsibility to higher authorities. This typically involves political decisions.

CaseCondition - Refers to the present state of an export control license application.

CaseConditionType - CTML presently supports the following Conditions: (1) Undefined, (2) Activate, (3) Deactivate, (4) Remand, (5) Revoke, and (6) Withdraw.

CaseDecision - Refers to the final Disposition that an authority makes against a particular export license Application.

CaseDecisionType - CTML presently supports the following types of Decisions: (1) Undefined, (2) Approve, (3) Disapprove, (4) ApproveWithConditions.

CaseDecisionMaker - Refers to the individual authorized that renders a binding opinion regarding a particular export control license for a particular organization.

CasePosition - Refers to a nonbinding opinion regarding a particular export control license that represents a particular organization.

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- 475 **CasePositionType** - CTML presently supports the following Position TYPE: (1) Undefined, (2)
476 Approve, (3) Disapprove, (4) ApproveWithConditions.
- 477 **CasePositionMaker** - Refers to the individual authorized that renders a binding opinion regarding
478 a particular export control license for a particular organization.
- 479 **CaseRationale** - Refers to an explanation of controlling principles of opinion, belief, practice, or
480 phenomena that support a CTML User recording a particular piece of information. Normally
481 Rationale is used to support decision-making.
- 482 **RelatedPolicy** - Refers to related programs of actions adopted by an individual, group, or
483 government, or the set of principles on which they based.
- 484 **RelatedIssues** - Refers to an organization that provides either a Position or Decision regarding
485 the final disposition of an export license application.
- 486 **RelatedConstraint** - Refers to related conditions placed on controlled trade activities that limit
487 the freedom to act spontaneously.
- 488 **RelatedCases** - Refers to previously processed controlled trade activities that are germane to a
489 particular Case.

2.4.3 Instruction

Refers to the definition, assignment, and monitoring of work within a controlled trade system.

TaskName – A human-readable reference associated with any piece of work that is assigned as part of a controlled trade activity.

TaskPriority – The relative ranking of work associated with any controlled trade activity.

TaskCategory – A group or set of things, people, or actions that are classified together because of common characteristics and associated with a particular controlled trade activity.

TaskStartDate – The date on which a task is scheduled to begin.

TaskEndDate – The date on which a task is scheduled to end.

TaskDueDate – The date on which a task is scheduled needed or requested.

TaskType – A designator to classify work in a controlled trade activity.

TaskStatus – The relative position or standing of a unit of work as part of a controlled trade activity.

TaskFrequency – The number of times that work happens during a particular period of time.

TaskCarryOver – A designator indicating whether or not work may be “carried over” to a new period.

TaskRepeat – A designator indicating whether or not work may repeat as part of a controlled trade activity.

TaskRecursEvery – A designator indicating the frequency at which work can repeat as part of a controlled trade activity.

TaskRecursOn – The date on which controlled trade work recurs.

TaskRelatedParty – Persons and Organizations that participate in controlled trade work in some capacity.

TaskRelatedItem – Items that are associated with controlled trade work in some capacity.

TaskRelatedLocation – Locations that are associated with controlled trade work in some capacity.

TaskRelatedWorkitem – Workitems that are associated with controlled trade work in some capacity.

2.4.4 Verification

Refers to the activities involved in determining whether or not an item of interest has been delivered to its intended recipient and is being used according to the stated purpose.

DeliveryQty - Refers to the quantity of items delivered to a particular recipient as compared to the authorized amount (Note: this is the amount typically declared on an export application).

DeliveryValue - Refers to the cumulative value of items delivered to a particular recipient.

DeliveryStatus - Refers to the current status of a particular item of interest.

DeliveryStatusType – (1) Accounted, (2) Unaccounted.

DeliveryDescription - Refers to supplemental information describing the state of delivery for items of concern.

DeliveryVerificationCertificate - Certify the arrival of strategic commodities in a particular location.

InternationalImportCertificate - For the purpose of controlling imports and exports of strategic commodities (Please see Note), Hong Kong importers may be asked by overseas buyers (who, in turn, are so required by the licensing authorities of the exporting country) to obtain an IIC. On the IIC, the Hong Kong importer undertakes that the goods mentioned therein will be imported into Hong Kong and will not be diverted, transhipped or re-exported except under the authority of an export licence issued

DeliveryEndUserCertificate – Documentation normally provided by government representatives from an importing country declaring that particular good were delivered to the intended recipient, in the declared location, for their stated purpose.

DestinationControlStatement - Documentation provided by an applicant in an control trade activity asserting where the final destination of an item of interest is.

ShippersExportDeclarations -

2.5 Industry Activities

Refers to the activities, processes, instruments, and procedures that are performed by persons and organizations that intend to engage in controlled trade activities.

2.5.1 Export Management

ExportManagementSystem - An optional program a company can consider establishing to ensure that their exports and export decisions are consistent with national laws and regulations.

EMSAdministrativeElements - Documents that attest to the completion of various checks done within an organization as part of export control activities. These elements also ensure that the personnel responsible for compliance are given authority commensurate with their responsibilities and receive all necessary training.

EMSAdministrativeElements - Includes stated Management Policy, Responsible Officials, Recordkeeping, Training, Internal Reviews, and Notification within a company.

EMSInternalReview - An internal review program to verify compliance with the firm's Export Management System and the Export Administration Regulations.

EMSTraining - An ongoing program of training and education to all employees, domestically and internationally, that supports complies with export law, regulatory requirements, EMS procedures.

EMSDistributionProcedure - Ensures all appropriate users receive the tool and instructions for use.

EMSManagementPolicyStatement - A clear statement of management policy communicated to all levels of the firm involved in export/reexport sales, traffic and related functions, emphasizing the importance of compliance with the Export Administration Regulations.

EMSNotification - A system for notifying designated officials of possible non-compliance with the national export control laws and regulations. A system for consulting with national trade authorities when questions arise regarding the propriety of specific export transactions.

EMSReviewSchedule - The assigned times when an internal audit of a company's EMS is to be performed.

EMSRecordkeeping - A program required by the national laws to manage administrative records related to export activities.

EMSReviewModule - A tool created for exporters to use to verify ongoing performance of EMS responsibilities.

EMSTraining - A continuing program for educating people who require knowledge of the Export Regulations.

ExportAdministrationBulletin

HoldFunction - Implemented within the order processing system that stops an order until a decision is made as to whether a license is required.

577 2.5.2 Process Compliance

578 Refers to the activities necessary to ensure that risk is managed prior to governmental
579 determination for any controlled trade activity, and to ensure that information is complete and
580 accurate enough for such a determination to be made.

581 **AntiboycottComplianceScreen** - A method to review orders against antiboycott compliance red
582 flags.

583 **BiologicalWeaponsScreen** - Process to determine if there are there indications that the
584 customer is directly or indirectly involved in the design, development, production, stockpiling or
585 use of biological weapons.

586 **ChemicalWeaponsScreen** - Process to determine if there are there indications that the customer
587 is directly or indirectly involved in the design, development, production, stockpiling or use of
588 chemical weapons.

589 **CountryDeterminationScreen** - A system for assuring compliance with export licensing
590 decisions, product/country restrictions, License Exception Parameters, and License Conditions.

591 **DeniedPersonsScreen** - Is a methodology for review of orders/shipments/transactions against
592 the DPL. Is a list of entities that have been denied export privileges, in whole or in part.

593 **DeniedPersonsList** - Engaging in actions prohibited by a denial order.

594 **DiversionRiskScreen** – Refers to reviewing orders against a Diversion Risk Profile (DRP).

595 **EntityList** – A list of entities that are know to be engaging in actions prohibited by a denial order.

596 **EntityListScreen** – Refers to a procedure to review customers and other Parties against the
597 Entity List.

598 **RiskScreens** - Assessment of risk associated with any particular proposed export control
599 transaction. Activity that ensures that exporters do not conduct business with persons/firms where
600 national authorities have informed the exporter or the public at large that the transaction involves
601 an unacceptable risk of use in, or diversion to, prohibited proliferation activities anywhere in the
602 world.

603 **MissileTechnologyScreen** - A system for assuring compliance with the prohibited missile end
604 users/ users.

605 **NuclearScreen** - A system for assuring compliance with the prohibited nuclear end uses/users.

2.5.3 Transaction Compliance

Refers to information describing the execution of a controlled trade activity and its conforming to conditions placed upon it through government determination.

Application - A formal and usually written request for permission to trade sensitive items.

Applicant - The entity that is the principal party in interest in the export transaction, has the power and responsibility for determining and controlling the sending of the items out of a name place.

ApplicationDate -Refers to the calendar date that a national export licensing authority creates an export license application.

ApplicationNumber - Refers to the unique designation that a national export licensing authority assigns to a particular export license application.

BaggageExportLicenseException - This export license exception authorizes individuals leaving a country to take to any destination, as personal baggage accompanied or unaccompanied, personal effects (clothing, souvenirs, games), household effects (furniture, etc.), vehicles, and tools of trade (for use in the trade, occupation, employment, vocation, or hobby).

BiologicalWeaponsActivities - Any activity involved in design, development, production or use of biological weapons.

BlacklistedCompany - Refers to a Party that is no longer permitted to engage in trade activities for national security reasons.

CancelFunction - Implemented within the order processing system that terminates an order.

ChemicalWeaponsActivities - Any activity involved in design, development, production or use of chemical weapons.

CountryChart - A chart that contains certain licensing requirements based on destination and reason for control.

DeemedExport - Any release of technology or source code to a foreign national. Such release is deemed to be an export to the home country or countries of the foreign national.

DiversionsRiskProfile

DualUse - When a commodity, technology, or software has both commercial and military or other strategic applications (e.g., nuclear). Such items are subject to export control by national authorities based on criteria set forth in the Commerce Control List.

License - Permission issued by a granting governmental authority to an applicant for export, reexport, or other regulated activity.

LicenseException - An authorization that allows you to export or reexport, under stated conditions, items that otherwise would require a license.

LicenseExpirationDate - Refers to the calendar date beyond which the License is no longer valid.

LicenseFee - Money that an applicant provides to a government in exchange for the privilege to participate in controlled trade activities.

LicenseIssueDate - Refers to the calendar date on which a national licensing authority issues an approved Case (i.e., License) to an Applicant.

LicenseNumber - Refers to a code used to designate particular Case once it has been

647 approved. Codes are derived from either internally generated serialization or lists external to the
648 export control system. LicenseNumber may take alpha, numeric, and alpha-numeric forms.

649 **LicenseType** - Permission issued for particular kinds of activities such as Import, Export, Transit,
650 Project, Deemed, Reexport, or Know-how.

651 **MissileTechnologyActivities** - Any activity involved in design, development, production or use
652 of missiles in or by a country.

653 **OrderProcessingElement** - An order processing system that documents employee clearance of
654 transactions in accordance with the requirements of the firm's Export Management System.

655 **PreorderEntryScreenChecks**

656 **ProductDeterminationScreen** - A system for assuring compliance with export licensing
657 decisions, product/country restrictions, License Exception Parameters, and License Conditions.

658 **RedFlagIndicators** – Refers to abnormal circumstances in a transaction that indicates that the
659 export may be destined for an inappropriate end-use, end-user or destination.

660 **ResponsibleOfficial** - Identification of positions and specific individuals responsible for
661 compliance with the Export Administration Regulations.

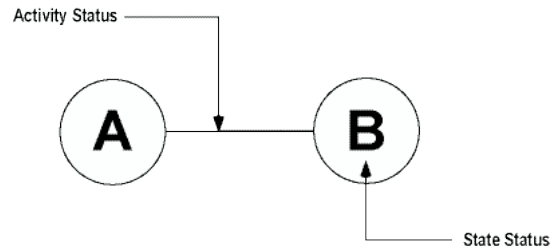
662 **SpecialComprehensiveLicense** - A special license authorizing export of eligible items to
663 approved consignees or end customers in specified countries, without dollar value or quantity
664 limits

665 **SelfAssessmentTool** - An instrument that industry uses to conduct an internal audit of their
666 export control activities.

667 **ScreeningFrequency** - The frequency with which an export control official performs nuclear
668 screens, missile technology screens, chemical & biological weapons screen, product/country
669 licensing determination screen performed, and diversion risk screens.

2.6 Process

Refers to the business rules established within governments and industry that allow actors to conduct controlled trade activities. A series of actions directed toward a particular aim within controlled trade activities.



ActivityStatus - Refers to condition or status of any activity within a controlled trade process.

ProcessWorkFlow - Refers to a means of tracking work within a trade control system.

ProcessWorkGraph - A means of logically representing the steps in a trade control process.

ProcessBeginState – The first step in a process.

ProcessState – The condition that something or somebody is in at a particular time.

ProcessTransition – A process or period in which something undergoes a change and passes from one state, stage, form or activity to another.

ProcessName – A word, term, or phrase by which one State is known and distinguished from another.

ProcessVersion – A particular form or variety of a state or process that is different from others and from the original.

ProcessDisplayKey

ProcessFromState – The condition that a workitem leaves as part of a defined controlled trade process.

ProcessToState – The condition that a workitem enters as part of a defined controlled trade process.

ProcessEntryGuard – Refers to conditional logic that ensures that particular business rules are satisfied before a workitem can transition from the ProcessFromState to the ProcessToState.

ProcessExitGuard – Refers to conditional logic that ensures that particular business rules are satisfied before a workitem can transition from one state and enter another.

ProcessTransitionGuard – Refers to customizable business logic that places constraints on the transition between two states.

ProcessClass – Refers to the programming language required to implement custom business logic.

ProcessData – Refers to [Insert definition here].

ProcessDescription – Human readable description of the process element in an export control activity.

ProcessPosition – Meta information to support visual workflow builders.

ProcessDeprecated – Meta information to aid in the support of workflow versioning and schema

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704 evolution.

705 **StateStatus** - Refers to condition or status of any state within a controlled trade process

2.7 Commentary

Refers to free form textual information that is related to a controlled trade activity.

CommentAuthor - Refers to the person or organization that writes the text of a work. [Insert List of DocumentTypes Here].

Comment - Information provided by CTML Users that allow amplifying or clarifying remarks to particular pieces of information like Cases, Parties, Items, Locations or other first class objects within the system. Arbitrary human-readable information buyers can send within purchase orders. This string data is not intended for the automated systems at supplier sites. The Comments element can contain an Attachment element for including external files. [Insert List of DocumentTypes Here]

CommentType - CTML presently supports the following kinds of Comments: (1) Technical, (2) Evaluation, and (3) Note. [Insert List of DocumentTypes Here].

Document - Comments can attach external files to augment first class objects. The Attachment element appears within Comments, and it contains only a reference to the external MIME part of the attachment. [Insert List of DocumentTypes Here]

DocumentSource - Refers to the URL where data is contained. [Insert List of DocumentTypes Here].

3 References

3.1 Normative

- [XML 1.0]** W3C Recommendation February 1998,
[RFC2119] S. Bradner, *Key words for use in RFCs to Indicate Requirement Levels*,
<http://www.ietf.org/rfc/rfc2119.txt>, IETF RFC 2119, March 1997.
- [Unicode v3.2]** Members of the Editorial Committee,
<http://www.unicode.org/unicode/reports/tr28/>, March 2002.
- [ISO 7372]** Trade Data Elements Directory (TDED 1993, Vol. I - Standard Data
Elements), 1993.
- [ISO 9735]** Electronic data interchange for administration, commerce and transport
(EDIFACT) - Application level syntax rules.
- Money -** Refer to ISO currency codes for additional information.
- [ISO 639]** A language code as defined by the XML 1.0 Specification (at
[www.w3.org/ TR/1998/REC-xml-19980210.html](http://www.w3.org/TR/1998/REC-xml-19980210.html)).
- [ISO 3166]** Country Code, [http://www.iso.org/iso/en/prods-
services/iso3166ma/index.html](http://www.iso.org/iso/en/prods-services/iso3166ma/index.html), date year.

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Appendix A. Revision History

Rev	Date	By Whom	What
wd-00	2002-07-22	Todd Harbour	Initial version

Appendix B. Regulatory Actors Illustration



Appendix C. Notices

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