



# 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  
44 [ctml@lists.oasis-open.org](mailto:ctml@lists.oasis-open.org) list. Others should subscribe to and send comments to the  
45 [ctml-comment@lists.oasis-open.org](mailto:ctml-comment@lists.oasis-open.org) list. To subscribe, send an email message to  
46 [ctml-comment-request@lists.oasis-open.org](mailto:ctml-comment-request@lists.oasis-open.org) with the word "subscribe" as the body of  
47 the 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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## 89 Introduction

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

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

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

115 Our vision is to protect national security interests in a competitive commercial market  
116 environment by establishing the first modern, global, and controlled trade language. Building on  
117 other committee works, CTML will become an integral and seamless part of the global trade  
118 control system—a virtual network of cooperation and information sharing. The specification will  
119 incrementally improve the language necessary to support a global trade control system, starting  
120 with government–to–government interfaces and expanding to industry–government in  
121 subsequent iterations. The United Nations Economic and Social Council echoed the need for  
122 systems, which can be extended to export control systems, to be part of electronic business  
123 activities. The UN’s Electronic Data Interchange for Administration, Commerce, and Transport,  
124 97N007 stated that “Transactions not only between businesses, but also between business and  
125 governments, and business and consumer can be built for specific purposes, defined in time, as  
126 opposed to established and permanent business relationships,” stressing the need for  
127 governments and industry to be integrated as part of export control.

128 **1.1 Controlled Trade Actors**

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

<p><b>Economy</b></p> 	<p>MOE typically has commodity jurisdiction over dual-use items</p>	<p><b>Energy</b></p> 	<p>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.</p>
<p><b>Defense</b></p> 	<p>MOD normally determines the military position on export license applications in coordination with other departmental organizations.</p>	<p><b>Customs</b></p> 	<p>Customs Services normally provide law enforcement support to the application screening process and is responsible for enforcing license controls at exportation.</p>
<p><b>Foreign Affairs</b></p> 	<p>MFA typically has commodity jurisdiction over munitions items.</p>	<p><b>Intelligence</b></p> 	<p>Intelligence Services are typically responsible for managing nonproliferation intelligence issues.</p>
<p><b>Industry</b></p> 	<p>Industry submits export license applications and supporting technical documentation to governmental ministries, and is the originator of the export license process.</p>		

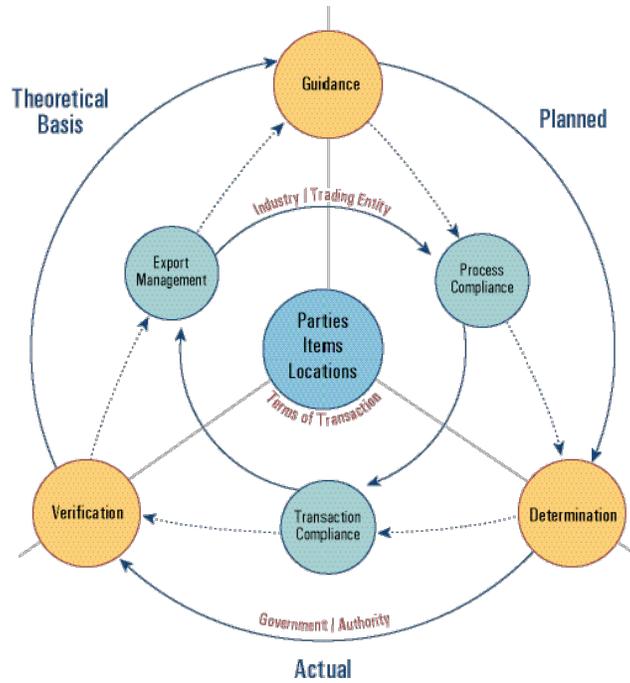
130

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

134 **1.2 Controlled Trade Environment**

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

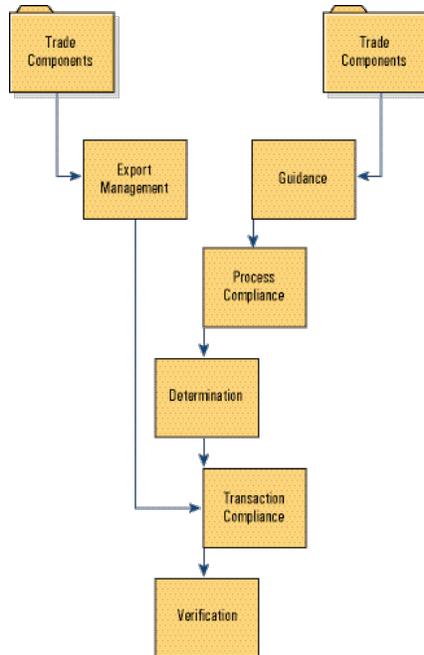
142 While there is no commonly accepted legal authority that consistently crosses all governments,  
 143 ministries of economy (MOE) normally manage export control processes in their governments. In  
 144 some countries, ministries of foreign affairs manage the export control processes. In all countries,  
 145 however, other ministries play key roles in both the approval and enforcement processes.  
 146 Presently, each country's export control system is composed of a range of systems and  
 147 applications that reflect evolving needs and capabilities. There is no single hardware platform,  
 148 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

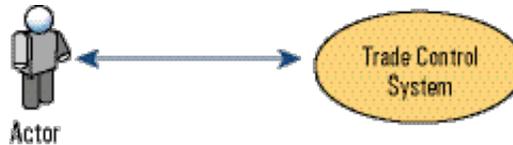
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### 2.1 Actors

155

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

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



158

#### 2.1.1 Regulatory Actors

159

160 **AdministrativeStaff** – Perform clerical and administrative duties.

161 **Advisors** – are government officials outside the licensing authority who may provide specialist  
162 advice on particular aspects of an export license application.

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

166 **LicensingOfficers** – are members of the licensing authority empowered to issue export Licenses

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

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

176 **TechnicalOfficers** - are members of the Licensing Authority with responsibility for determining  
177 whether particular goods are licensable.

178 **Regime** – an international body normally created with a binding international treaty that exerts  
179 commodity jurisdiction over particular types of goods, services, and know-how.

180 **RoutingOfficer** – review work items and select and/or approve work item staffing.

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

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

186 **Countersigner** – review CaseOfficers' recommendations or positions, and approve or direct a

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187 revision of the recommendation or position. In some offices, Countersigners are the peers of  
188 Case Officers. In others they are supervisors.

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

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

194 **OutsideSource** – are contacts of CaseOfficers who are able to answer questions or make  
195 recommendations about a case. OutsideSources are not within the same agency or department  
196 as the Case Officer.

197 **InsideSources** – are associates of Analysts who are able to answer questions or make  
198 recommendations about a case. InsideSources are within the same Agency as the Analyst.

199 **CommitteeChair** – are the lead members of interagency committees. Examples of typical  
200 committee chairs include escalation committees.

201 **CommitteeMember** – participate in one or more of the three interagency committees.  
202 CommitteeMembers may be voting and non-voting members of escalation groups.

203 **EscalationCommitteeStaff** – Are committee staff members who assist the committee chairs  
204 evaluate escalated cases.

205 **EnforcementOfficer** – Are members of Export Enforcement community who investigate parties  
206 who might be involved in the illegal export of commodities.

207 **Director** – are agency or department heads with management and oversight responsibilities.  
208 Directors may be required to make case decisions in the event of recommendation or position  
209 disputes.

210 **ComplianceTechnicians** – are enforcement analysts who reconcile parties within the system.

211 **CommunicationsOfficers** – send cables to embassies and consulates.

212 **User** – are members of the export control community who access the system in order to process  
213 work items, access data, or otherwise maintain the system [Case Referred To].

214 **2.1.2 Industry Actors**

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

219 **Authority** – An actor who reviews and certifies materials submitted by industry in support of a  
220 controlled trade activity to the appropriate regulatory agencies. [Authorized Signatory].

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

223 **Broker** – One that acts as an agent for others, as in negotiating contracts, purchases, or sales in  
224 return for a fee or commission.

225 **EMSAdministrator** – An individual who has been designated for oversight of the program within  
226 a single company.

227 **EMSResponsibleScreener** – The individual responsible for performing particular risk screens  
228 throughout an export control activity within a company.

229 **HoldingCompany** – [Insert definition here].

230 **Insurer** – [Insert definition here].

231 **Manufacturer** – Refers to an individual or organization that produces or provides goods,  
232 technologies, services, and know-how.

233 **Member** – One of the elements of a set or class.

234 **ParentOrganization** – [Insert definition here].

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

237 **RegisteredCompany** - a company registered at national authority.

238 **SeniorExecutive** – Refers to an individual in an organization as having administrative or  
239 managerial responsibility

240 **Shareholder** – Refers to individuals or organizations as holding or owning a interest in property

241 **Shipper** – Refers to an individual or organization that acts as a shipper or freight forwarder for an  
242 export license applicant.

243 **SiblingOrganization** – Refers to organizations that are controlled by the same parent  
244 organization or individual.

245 **SubContractor** – Refers to one who takes a portion of a contract, as for work, from the principal  
246 contractor.

247 **SubOrganization** – Refers to an organization controlled or owned by another organization or

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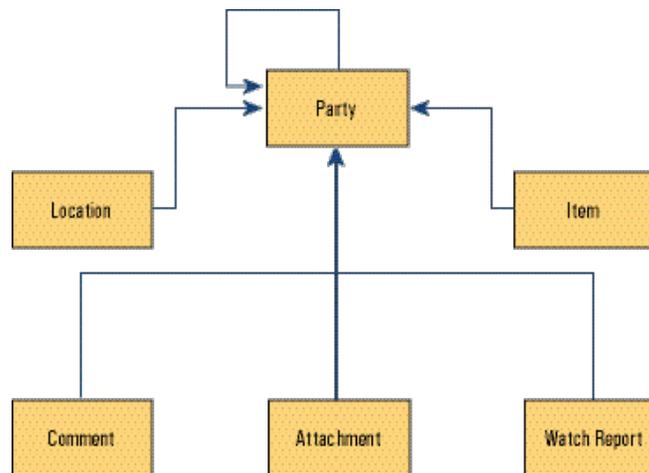
248 individual. If a SubOrganization is wholly owned, all its stock is typically held by the parent  
249 company [Subsidiary Of].

250 **Supplier** – Refers to individuals or organizations as adding as a supplement other entities.

## 251 2.2 Trade Components

### 252 2.2.1 Party

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



257

258 **Partner** - A participant in a partnership or joint venture.

259 **Proprietor** - the owner of a business.

260 **ProcurementRole** - details of a party's role in the business transaction for which an export  
 261 licence is required

262 **IndustryAuthority** - an individual, registered with the Licensing Authority, who is authorised to  
 263 sign Export Licence Applications on behalf of a particular Applicant.

264 **Registered Firearms Dealer Cert No.** - The number of a certificate issued to a registered  
 265 firearms dealer.

266 **PartyRole** - CaseParties, ApplicationParties, SystemUsers, OutsideExperts.

267 **PartyCaseRole** -

268 **PartyType** - PartyOrganization or PartyPerson.

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

272 **NatureOfBusiness** - Refers to the type of business in which the Party is engaged.

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

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

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

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276 **PartyGivenName** – Refers to the combination of all names that an individual has (e.g. “Phillip  
277 Michael Thomas,” “Kim Mi Yong,” or “Muhamud bin Al Gazir”).

278 **PartyContact** – Contact is a simple reusable entity class that defines attributes of a contact  
279 person.

280 **RegisteredDealer** - an individual or organisation registered with the UK Government as a dealer  
281 in firearms.

282 **PartyOrganization** – Organization instances are ManagedObjects that provide information on  
283 organizations such as a Submitting Organization. Each Organization instance may have a  
284 reference to a parent Organization.

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

288 **PartyWatchRationale** – Refers to the rationale a User provides for changing a Party’s  
289 WatchReport DISPOSITION.

290 **PartyWatchReason** – Refers to the particular Reason an export licensing authority assigns a  
291 Party to a WatchList.

292 **PartyWatchReport** – Is negative information related to individuals and organizations that that is  
293 used as input to the decision making within the export control community. WatchReports may  
294 also serve as rationale for denying exports and may serve as input to more serious consequence  
295 like legal actions.

296 **PartyWatchReportDisposition** – CTML presently supports the following Disposition: (1)  
297 Undefined, (2) OnWatch, and (3) OffWatch.

298 **PartyWatchReportSource** – CTML presently supports the following Sources: (1) Undefined, (2)  
299 Internet, and NewsMedia.

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

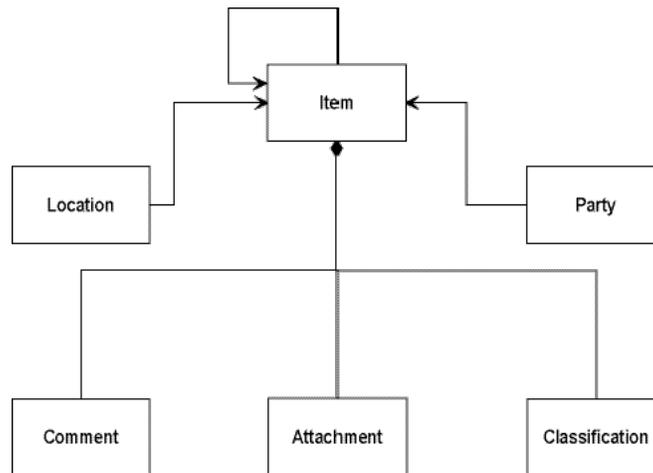
302 **PartyWatchReasonType** – CTML presently supports the following ReasonType: (1)  
303 OutOfBusiness, (2) ChemBioConcern, (3) ControlledFirm, (4) Customs, (5) DeniedParty, (6)  
304 DesignatedNational, (7) EconomicDefenseList, (8) EnforcementConcern, (9) EntitiesList, (10)  
305 DrugTrafficking, (11) SupportsTerrorism, (12) MTCRConcern, (13) Proliferator, (14)  
306 PastSanction, (15) RoutineInvestigationObservation, (16) MultilateralControlRegimeDenial, (17)  
307 TargetedFirm, (18) BadPreLicenseCheck, (19) BadPostShipmentCheck.

308 **TradingParty** – Refers to a Party that is engaged in controlled trade activities. This normally  
309 involves businesses buying, selling, or bartering goods with one another. However, a  
310 TradingParty may also involve governments and nongovernmental organizations buying, selling,  
311 or bartering goods.

312 **Assertion** – Refers to a Boolean response to a question: (1) Employ Cryptography, (2)  
313 Cryptography (3) EU Regulated, Informed of WMD Use, Military use

314 **2.2.2 Item**

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



318

319 **ItemID** – A unique identifier for a Goods Line within an Application.

320 **ItemAreaUnitOfMeasure** – Refer to ISO currency codes for additional information.

321 **ItemDescription** – Refers to a free-form description of a particular Item considered for export  
 322 [MIL Details, NUC Details].

323 **ItemEndUse** – Application of goods, technologies, services, or know-how to a particular desired  
 324 outcome state. The declared ultimate purpose and application for a particular Item when it  
 325 reaches its final destination.

326 **ItemECGoodsRegulated** – An assertion as to whether or not the goods covered by an  
 327 Application are controlled by the European Community Dual-Use Goods Regulation.

328 **ItemEmployCryptography** – An assertion as to whether or not any of the goods covered by an  
 329 Application are designed or modified to employ cryptography, use cryptographic techniques, to  
 330 perform cryptographic functions, or to generate frequency-hopping codes.

331 **ItemEndUsers** – Export or reexport to prohibited end-uses or end-users.

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

333 **ItemMake** – A brand of something, for example an appliance, car, or machine

334 **ItemModel** – A particular version of a manufactured article.

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

- 338 **ItemProductType** – Refers to the type of Item an Applicant wants to export.
- 339 **ItemQuantityUnitOfMeasure** – Refers to the total number of goods declared as constituent parts  
340 of a single Item. CTML presently supports the following Units to describe Quantity: (1) Area, (2)  
341 Distance, (3) Mass, (4) SalesUnit, (4) Time, and Volume.
- 342 **ItemSalesUnit** – Refer to UnitsofMeasure for more information concerning SalesUnit.
- 343 **ItemSerialNumber** – Refers to a code that a provider or manufacturer assigns to an Item.  
344 SerialNumber may take alpha, numeric, and alpha-numeric forms
- 345 **ItemType** – Refers to the type of item that a TradingParty intends to transact [Are the Good  
346 Firearms].
- 347 **ItemUnitCost** – Refers to the cost for a single Item in an export license Application.
- 348 **ItemVolumeUnitOfMeasure** – Refer to <http://www.unece.org/trade/facil/tfcuom.htm> for more  
349 information related to Volume.
- 350 **ItemMassUnitOfMeasure** – Refer to ISO currency codes for additional information.
- 351 **ItemUnitOfMeasure** – UnitOfMeasure describes how the product is packaged or shipped. It must  
352 conform to UN/CEFACT Unit of Measure Common Codes. For a list of UN/CEFACT codes, see  
353 <http://www.unece.org/cefact>. Attachment contains a single URL with scheme “cid”.
- 354 **WeaponsMassDestruction** – Refers to items that are used in nuclear proliferation, missile  
355 technology proliferation, chemical and biological proliferation?

#### 356 **2.2.2.1 Services**

#### 357 **2.2.2.2 Biology**

#### 358 **2.2.2.3 Chemistry**

- 359 **ChemicalProductName** – [Insert definition here]
- 360 **ChemicalSynonym** – [Insert definition here]
- 361 **ChemicalProductCode** – [Insert definition here]
- 362 **ChemicalProductCode** – [Insert definition here]
- 363 **PrecautionaryLabels** – [Insert definition here]
- 364 **HazardRatings** – [Insert definition here], None, Mild, Strong, Severe, Extreme
- 365 **PrecautionaryStatement** – [Insert definition here], Danger Poison, Harmful if Inhaled, Causes  
366 Severe Burns , May Be Fatal if Swallowed, Reacts Violently with Water

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367 **2.2.2.4 Devices**

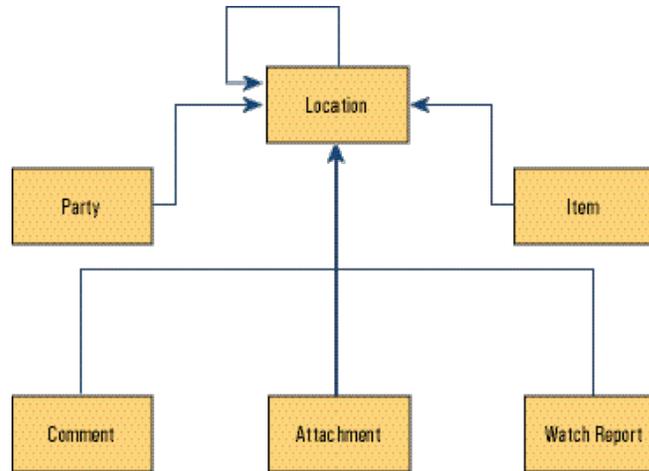
368 **2.2.2.5 Information**

369 **2.2.2.6 Materials**

370 **2.2.2.7 Medicine**

371 **2.2.3 Location**

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



374

375 **LocationAddress** – A description of the location of a person or organization, as written or printed  
 376 on mail as directions for delivery [Address Line].

377 **LocationContact** – Refers to the physical and logical location of a Party within CTML.

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

381 **LocationState** – Refers to a politically organized body of people usually occupying a definite  
 382 territory.

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

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

391 **LocationPostalCode** – Refers to a group of letters and figures in a postal address to assist  
 392 sorting.

393 **LocationPhoneNumber** – Refers to a number used to call a particular telephone.

394 **LocationFaxNumber** – Refers to a number used to call a particular facsimile machine.

395 **LocationEmail** – Refers to a number used to electronically send mail a particular person.

396 **LocationTelephoneNumber** – A simple reusable entity class that defines attributes of a  
 397 telephone number.

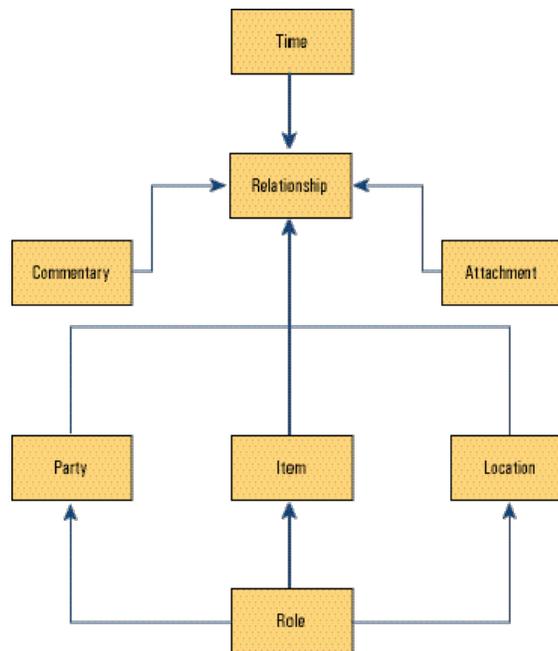
398 **LocationURL** – Refers to an abbreviation for Uniform Resource Locator, the addressing system

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399 used for the World Wide Web.

## 400 2.2.4 Relationship

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



404

405 **AgentOf** – Refers to an individual or organisation that acts as an authorised agent, dealer or  
 406 distributor for an export license applicant [Authorized Agent Of].

407 **ClientOf** – Refers to an individual or organization using the services of another individual or  
 408 organization.

409 **CustomerOf** – Refers to an individual or organization using the services of another individual or  
 410 organization.

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

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

419 **ControllingPartyFor** – Refers to the governmental activities that support national security  
 420 concerns as they relate to controlled trade activities.

421 **DoesBusinessWith** – Refers to and organization or individual that interacts with another Party in  
 422 order to derive benefit, normally in the form of money.

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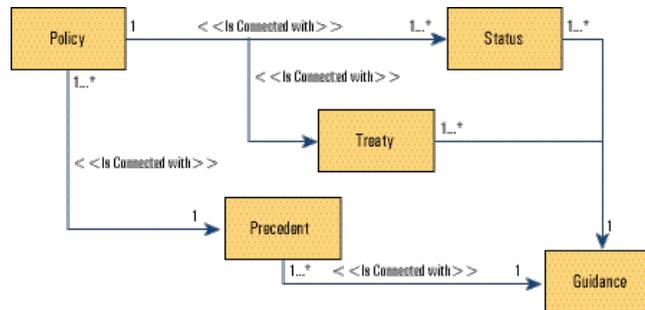
423 **PartnerOf** – a participant in a partnership or joint venture

424 **ProprietorOf** – the owner of a business.

425 **WorksWith** – Refers to an organization or individual that interacts with another Party in an  
426 undeclared capacity.

## 427 2.3 Political Components

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



429

### 430 2.3.1 Policy

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

433 **PolicyType** – [Insert definition here].

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

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

### 438 2.3.2 Statute

439 **LegislativeCategory** – Refers to the category under which the export is prohibited: (1) FireArms

440 **Statute** – A law established by a legislative body.

441 **StatuteType** – [Insert definition here].

442 **StatuteName** – The name by which a law established by a legislative body [Prohibited under S5].

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

### 444 2.3.3 Regime

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

447 **RegimeListType** – The designation associated with

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

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

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

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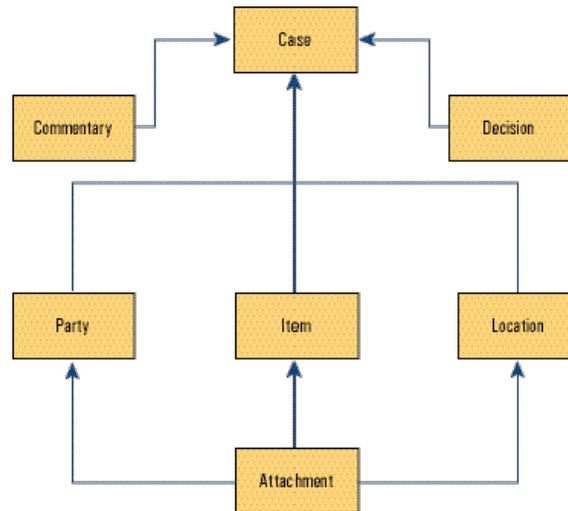
454 **RegimeListVersion** – A unique value assigned to an iteration of a particular RegimeList to  
455 account for changes in its content.

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

## 458 2.4 Regulatory Activities

### 459 2.4.1 Guidance

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



462

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

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

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

469 **CaseOwner** – Refers to the system User who has Case management responsibilities over a  
470 particular Case.

471 **CaseStatus** – [Insert definition here]

472 **CaseSummary** – Is a summary of the items covered by a particular application.

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

475 **CaseValue** – Refers to the total monetary value of the goods covered by an application  
476 expressed in words [Good Total Value].

477 **CommodityJurisdictionDeterminations** – Is used to determine whether an item or service is  
478 subject to the export licensing authority of a particular element of a national authority or  
479 government.

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

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

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

490 **ControlListClassification** – Refers to designation a particular item of interest has assigned to it  
491 as it relates to operational parameters described in ControlLists.

492 **ControlListSensitivity** – Refers to a subjective sensitivity rating assigned to each item of  
493 interest.

494 **EndUseSummary** – Refers to a Case-level description of the nature of the Case.  
495 EndUseSummary provides a high-level description of how the EndUser intends to apply the  
496 goods, technologies, services, and know-how to a desired outcome state [Intended End-use of  
497 the Goods].

498 **ItemClassification** – Refers to a mode of rule or management based on commodity jurisdictions  
499 and subscribed to by international treaty ratification [Goods Rating].

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

502 **ItemECCN** – Refers to a code used to designate the classification of a particular item. Codes are  
503 derived from ControlLists and may take alpha, numeric, and alphanumeric forms [Item Rating].

504 **ItemMilitaryUse** – An assertion as to whether or not any of the goods are specially designed or  
505 modified for military use, or specially designed or modified for the development, production or use  
506 of military goods.

507 **ItemMilitaryProduction** – An assertion as to whether or not any of the goods are specially  
508 designed or modified for the development or production of military goods.

509 **ItemNuclearUse** – An assertion as to whether or not any of the goods are specially designed or  
510 modified for nuclear use.

511 **ReceivedDate** – Refers to the calendar date that a national export licensing authority receives an  
512 export license application.

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

517 **MilitaryItemProduction** - An assertion as to whether or not any of the goods are specially  
518 designed or modified for the development or production of military goods.

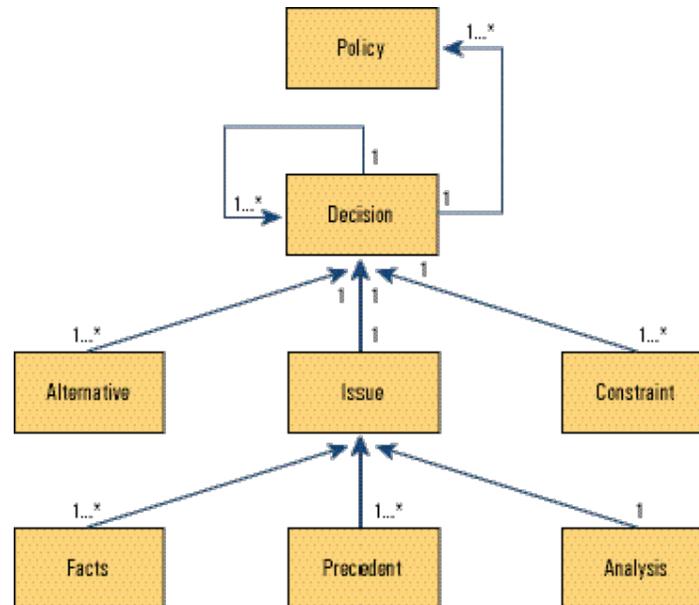
519 **MIP details** - details of goods or specially designed or modified for the development or production  
520 of military goods.

521 **Modified for nuclear use** - An assertion as to whether or not any of the goods are specially  
522 designed or modified for nuclear use.

523 **NUC Details** - Details of goods specially designed or modified for nuclear use.

524 **2.4.2 Determination**

525 Refers to the final disposition of a controlled trade case.



526

527 **CaseConditions** – Refers to constraints that an exporting government places on a particular  
 528 controlled trade activity to help guarantee that items of interest will be used according to its stated  
 529 application [Provisos]

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

532 **CaseAgencyPosition** – Refers to an organization that provides either a Position or Decision  
 533 regarding the final disposition of an export license application. Positions are nonbinding in nature  
 534 [Advice].

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

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

540 **CaseDecision** – Refers to the final disposition that an authority makes against a particular export  
 541 license Application.

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

544 **CaseDecisionMaker** – Refers to the individual authorized that renders a binding opinion  
 545 regarding a particular export control license for a particular organization.

546 **CasePosition** – Refers to a nonbinding opinion regarding a particular export control license that  
 547 represents a particular organization.

548 **CasePositionType** – CTML presently supports the following Position TYPE: (1) Undefined, (2)

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549 Approve, (3) Disapprove, (4) ApproveWithConditions.

550 **CasePositionMaker** – Refers to the individual authorized that renders a binding opinion  
551 regarding a particular export control license for a particular organization.

552 **CaseRationale** – Refers to an explanation of controlling principles of opinion, belief, practice, or  
553 phenomena that support a CTML User recording a particular piece of information. Normally  
554 Rationale is used to support decision-making.

555 **RelatedPolicy** – Refers to related programs of actions adopted by an individual, group, or  
556 government, or the set of principles on which they based.

557 **RelatedIssues** – Refers to an organization that provides either a Position or Decision regarding  
558 the final disposition of an export license application.

559 **RelatedConstraint** – Refers to related conditions placed on controlled trade activities that limit  
560 the freedom to act spontaneously.

561 **RelatedCases** – Refers to a controlled trade activity that has been processed and that is  
562 germane to the Case in question [Previous Application References].

563 **2.4.3 Instruction**

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

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

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

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

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

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

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

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

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

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

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

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

581 **TaskRecurseEvery** – A designator indicating the frequency at which work can repeat as part of a  
582 controlled trade activity.

583 **TaskRecurseOn** – The date on which controlled trade work recurs.

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

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

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

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

591 **2.4.4 Verification**

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

594 **BillOfLading** – An assertion as to whether or not all goods covered by an application are being  
595 shipped under an airway bill or through a bill of lading from the originating country to their final  
596 destination.

597 **DepartureDate** – Refers to the date on which it is proposed to export the goods [Proposed Date  
598 of Shipment].

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

601 **DeliveryValue** – Refers to the cumulative value of items delivered to a particular recipient.

602 **DeliveryStatus** – Refers to the current status of a particular item of interest.

603 **DeliveryStatusType** – (1) Accounted, (2) Unaccounted, (3) Returned. [Goods Returned].

604 **DeliveryDescription** – Refers to supplemental information describing the state of delivery for  
605 items of concern.

606 **DeliveryVerificationCertificate** – Certify the arrival of strategic commodities in a particular  
607 location.

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

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

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

619 **RouteFromCountry** – Refers to the country of departure on the leg of an export route.

620 **RouteToCountry** – Refers to the country of arrival on the leg of an export route.

621 **TransportType** – Refers to the type of transport used for a leg of the export route: (1) Air, (2)  
622 Rail, (3) Road, (4) Sea.

623 **ShippersExportDeclarations** –

624 **2.5 Industry Activities**

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

627 **2.5.1 Export Management**

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

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

634 **EMSAdministrativeElements** – Includes stated Management Policy, Responsible Officials,  
635 Recordkeeping, Training, Internal Reviews, and Notification within a company.

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

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

640 **EMSDistributionProcedure** – Ensures all appropriate users receive the tool and instructions for  
641 use.

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

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

648 **EMSReviewSchedule** – The assigned times when an internal audit of a company's EMS is to be  
649 performed.

650 **EMSRecordkeeping** – A program required by the national laws to manage administrative  
651 records related to export activities.

652 **EMSReviewModule** – A tool created for exporters to use to verify ongoing performance of EMS  
653 responsibilities.

654 **EMSTraining** – A continuing program for educating people who require knowledge of the Export  
655 Regulations.

656 **ExportAdministrationBulletin**

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

659 **2.5.2 Process Compliance**

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

663 **AntiboycottComplianceScreen** – A method to review orders against antiboycott compliance red  
664 flags.

665 **BiologicalWeaponsScreen** – Process to determine if there are there indications that the  
666 customer is directly or indirectly involved in the design, development, production, stockpiling or  
667 use of biological weapons.

668 **ChemicalWeaponsScreen** – Process to determine if there are there indications that the  
669 customer is directly or indirectly involved in the design, development, production, stockpiling or  
670 use of chemical weapons.

671 **CountryDeterminationScreen** – A system for assuring compliance with export licensing  
672 decisions, product/country restrictions, License Exception Parameters, and License Conditions.

673 **CommitmentsListCheck** – An assertion as to whether or not an Application has been checked  
674 against the list of policy commitments and the result of that check.

675 **DeniedPersonsScreen** – Is a methodology for review of orders/shipments/transactions against  
676 the DPL. Is a list of entities that have been denied export privileges to some degree [Denials List  
677 Check].

678 **DeniedPersonsList** – Engaging in actions prohibited by a denial order.

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

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

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

684 **RiskScreens** – Assessment of risk associated with any particular proposed export control  
685 transaction. Activity that ensures that exporters do not conduct business with individuals and  
686 organizations where national authorities have informed the exporter or the public at large that the  
687 transaction involves an unacceptable risk of use in, or diversion to, prohibited proliferation  
688 activities anywhere in the world.

689 **MissileTechnologyScreen** – A system for assuring compliance with the prohibited missile end  
690 users/ users.

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

### 692 **2.5.3 Transaction Compliance**

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

695 **Application** – A formal and usually written request for permission to trade sensitive items.

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

699 **ApplicationDate** –Refers to the calendar date that a national export licensing authority creates  
700 an export license application.

701 **ApplicationNumber** – Refers to the unique designation that a national export licensing authority  
702 assigns to a particular export license application.

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

707 **BiologicalWeaponsActivities** – Any activity involved in design, development, production or use  
708 of biological weapons.

709 **BlacklistedCompany** – Refers to a Party that is no longer permitted to engage in trade activities  
710 for national security reasons.

711 **CancelFunction** – Implemented within the order processing system that terminates an order.

712 **ChemicalWeaponsActivities** – Any activity involved in design, development, production or use  
713 of chemical weapons.

714 **CountryChart** – A chart that contains certain licensing requirements based on destination and  
715 reason for control.

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

718 **DiversionRiskProfile**

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

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

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

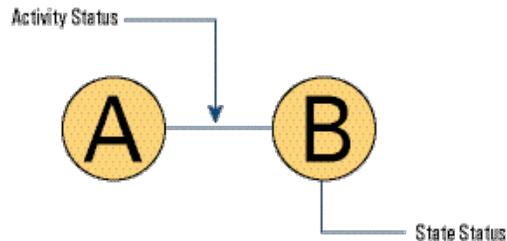
726 **LicenseExpirationDate** – Refers to the calendar date beyond which the License is no longer  
727 valid.

728 **LicenseFee** – Money that an applicant provides to a government in exchange for the privilege to  
729 participate in controlled trade activities.

- 730 **LicenseIssueDate** – Refers to the calendar date on which a national licensing authority issues  
731 an approved Case (i.e., License) to an Applicant.
- 732 **LicenseNumber** – Refers to a code used to designate particular Case once it has been  
733 approved. Codes are derived from either internally generated serialization or lists external to the  
734 export control system. LicenseNumber may take alpha, numeric, and alpha–numeric forms.
- 735 **LicenseType** – Permission issued for particular kinds of activities such as Import, Export, Transit,  
736 Project, Deemed, Reexport, Standard Individual Export License (SIEL), Open Individual Export  
737 License, Open General Export License (OGEL), or Know–how [UK License Type].
- 738 **MissileTechnologyActivities** – Any activity involved in design, development, production or use  
739 of missiles in or by a country.
- 740 **OrderProcessingElement** – An order processing system that documents employee clearance of  
741 transactions in accordance with the requirements of the firm's Export Management System.
- 742 **PreorderEntryScreenChecks**
- 743 **ProductDeterminationScreen** – A system for assuring compliance with export licensing  
744 decisions, product/country restrictions, License Exception Parameters, and License Conditions.
- 745 **RedFlagIndicators** – Refers to abnormal circumstances in a transaction that indicates that the  
746 export may be destined for an inappropriate end–use, end–user or destination.
- 747 **ResponsibleOfficial** – Identification of positions and specific individuals responsible for  
748 compliance with the Export Administration Regulations.
- 749 **SpecialComprehensiveLicense** – A special license authorizing export of eligible items to  
750 approved consignees or end customers in specified countries, without dollar value or quantity  
751 limits
- 752 **SelfAssessmentTool** – An instrument that industry uses to conduct an internal audit of their  
753 export control activities.
- 754 **ScreeningFrequency** – The frequency with which an export control official performs nuclear  
755 screens, missile technology screens, chemical & biological weapons screen, product/country  
756 licensing determination screen performed, and diversion risk screens.

757 **2.6 Process**

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



761

762 **ActivityStatus** – Refers to condition or status of any activity within a controlled trade process.

763 **ProcessWorkFlow** – Refers to a means of tracking work within a trade control system.

764 **ProcessWorkGraph** – A means of logically representing the steps in a trade control process.

765 **ProcessBeginState** – The first step in a process.

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

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

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

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

773 **ProcessDisplayKey**

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

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

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

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

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

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

786 **ProcessData** – Refers to [Insert definition here].

787 **ProcessDescription** – Human readable description of the process element in an export control

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788 activity.

789 **ProcessPosition** – Meta information to support visual workflow builders.

790 **ProcessDeprecated** – Meta information to aid in the support of workflow versioning and schema  
791 evolution.

792 **StateStatus** – Refers to condition or status of any state within a controlled trade process

793 **2.7 Commentary**

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

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

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

803 **CommentType** – CTML presently supports the following kinds of Comments: (1) Technical, (2)  
804 Evaluation, (3) Note, (4) RatingComment, (5) Position, (6) Decision, and (7) ItemDisposition  
805 [Reason for Goods Being Returned].

806 **Comment** – Comments can attach external files to augment first class objects. The Attachment  
807 element appears within Comments, and it contains only a reference to the external MIME part of  
808 the attachment. [Insert List of CommentType Here]

809 **DocumentSource** – Refers to the URL where data is contained. [Insert List of DocumentTypes  
810 Here].

811 **SuspectWMDUse** - An assertion as to whether or not the Applicant has grounds for suspected  
812 that the goods are or may be intended, wholly or in part for use in connection with chemical,  
813 biological or nuclear weapons, and/or any purpose connected with missiles capable of delivering  
814 such weapons.

815 **WMD Details** - Details, including the date, source and official reference number of any  
816 correspondence that give grounds for suspecting WMD use.

817 **UndergoneProofmarkchecks** - An assertion as to whether or not firearms to be exported have  
818 undergone checks in accordance with the convention of 1st July 1969 on reciprocal recognition of  
819 proof marks.

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## 820 3 References

### 821 3.1 Normative

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

---

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- 840 • Jon Borrás, eEnvoy
- 841 • Jon Bosak, Sun Microsystems
- 842 • Jean-Luc Champion, Chair UN/EDIFACT D2 WG (Purchasing)
- 843 • Dena Cocos, Logistics Management Institute
- 844 • Thomas Fergus, Commonwealth Trading Partners
- 845 • Glenn Golding, Department of Trade and Industry
- 846 • Christopher Gopal, Unisys
- 847 • Todd Harbour, Chair, Controlled Trade Markup Language, FGM Inc.
- 848 • Joannette Oosterhout, FGM Inc.
- 849 • Sue Probert, Commerce One
- 850 • Steven Saboe, U.S. Department of State
- 851 • Christian Stadler, SAP International
- 852 • Jonathan Weitz, Synapra

853 In addition, the following people made contributions to this specification:

- 854 • Kathleen Yoshida, FGM Inc.
- 855 • Francois Vuilleumier, ISO Technical Committee No. 154
- 856 • William Nolle, World Customs Organization, Container Working Group
- 857 • Dale Barone, Commonwealth Trading Partners

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858 **Appendix A. Revision History**

<b>Rev</b>	<b>Date</b>	<b>By Whom</b>	<b>What</b>
wd-00	2002-07-22	Todd Harbour	Initial version

# Appendix B. Regulatory Actors Illustration



## Case Officer

**CASE OFFICERS** 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.



## Referral Officer

**REFERRAL OFFICERS** receive cases referred by Case Officers. Referral Officers are responsible for determining the final agency position for the agency they represent. If Referral Officers need additional information they can refer cases to persons within their agency for positions and/or recommendations.



## Service Officer

**SERVICE OFFICERS** are roles in cases by Referral Officers in Defense organizations. Service Officers are responsible for determining a final Service position for the Service they represent (Army, Air Force, Navy, etc.). If Service Officers need additional information they can refer cases to persons within their Service (Army, Air Force, Navy, etc.) for positions and/or recommendations.



## Routing Officer

**ROUTING OFFICERS** review work items and select and/or approve work item staffing.



## Analyst

**ANALYSTS** 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.



## Supervisory Officer

**SUPERVISORY OFFICERS** are managers of Case Officers 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

**COUNTERSIGNERS** review Case Officers' 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.



## Computer Specialist

**COMPUTER SPECIALISTS** do not have direct input into the export licensing process, but rather maintain unclassified systems at various agencies and departments.



## Coordinator

**COORDINATORS** 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 Case Officers.



## Outside Source

**OUTSIDE SOURCES** are contacts of Case Officers who are able to answer questions or make recommendations about a case. Outside Sources are not within the same agency or department as the Case Officer.



## Inside Source

**INSIDE SOURCES** are associates of Analysts who are able to answer questions or make recommendations about a case. Inside Sources are within the same Agency as the Analyst.



## Committee Chairs

**COMMITTEE CHAIRS** are the lead members of Interagency committees. Examples of typical committee chairs include escalation committees.



## Committee Members

**COMMITTEE MEMBERS** participate in one or more of the three Interagency committees. Committee Members may be voting and non-voting members of escalation groups.



## Escalation Committee Staff

**Escalation Committee Staff** are committee staff members who assist the committee chairs evaluate escalated cases.



## Administrative Staff

**ADMINISTRATIVE STAFF** perform clerical and administrative duties.



## Applicant

**APPLICANTS** 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.



## Enforcement Officer

**ENFORCEMENT OFFICERS** are members of Export Enforcement who investigate parties who might be involved in the illegal export of commodities.



## Director

**DIRECTORS** are agency or department heads with management and oversight responsibilities. Directors may be required to make case decisions in the event of recommendation or position disputes.



## Compliance Technician

**COMPLIANCE TECHNICIANS** are enforcement analysts who receive parties within the system.



## Communications Officer

**COMMUNICATIONS OFFICERS** send cables to embassies and consulates.



## Users

**USERS** are members of the export control community who access the system in order to process work items, access data, or otherwise maintain the system.

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