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Part 12:

Privacy protection requirements on information life cycle management (ILCM) and EDI of personal information

Technologies de l'information — Vue opérationnelle d'affaires

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Tel. +41 22 749 01 11
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21	Contents	Page
22	Foreword	x
23	0 Introduction	xii
24	0.1 Purpose and overview	xii
25	0.2 Use of ISO/IEC 14662 “Open-edi Reference Model” and Business Operational View (BOV) perspective	xiii
26		
27	0.2.1 ISO/IEC 14662 “Open-edi Reference Model”	xiii
28	0.2.2 ISO/IEC 15944-1 “Business Agreement Semantic Descriptive Techniques” (“Business Operational View (BOV)”)	xiv
29		
30	0.2.3 Link to ISO/IEC 15944-5 and ISO/IEC 15944-8	xvi
31	0.4 Importance and role of terms and definitions	xvii
32	0.5 Standard based on rules and guidelines	xviii
33	0.6 Use of “Person”, “organization”, “individual” and “party” in the context of business transaction and commitment exchange	xviii
34		
35	0.7 Use of “identifier” (in a business transaction) and roles of an individual	xix
36	0.8 Use of “jurisdictional domain” in the context of privacy protection and related ILCM requirements	xix
37		
38	0.9 Use of “privacy protection” in the context of business transaction, EDI and any type of commitment exchange	xix
39		
40	0.10 Use of “set of recorded information” (SRI) and “set of personal information” (SPI) versus record, document, message, data, etc.	xx
41		
42	0.11 Organization and description of this document	xx
43	1 Scope	1
44	1.1 Statement of scope	1
45	1.2 Exclusions	2
46	1.2.1 Functional Services View (FSV)	2
47	1.2.2 Internal behaviour of organizations (and public administration)	2
48	1.2.3 Overlap of and/or conflict among jurisdictional domains as sources of privacy protection requirements	2
49		
50	1.2.4 Changes in jurisdictional domain of parties to a business transaction	3
51	1.2.5 Publicly available personal information (PAPI)	4
52	1.3 Aspects currently not addressed	4
53	1.4 IT-systems environment neutrality	7
54	2 Normative references	8
55	2.1 ISO/IEC, ISO and ITU	8
56	2.2 Referenced specifications	9

57 3	Terms and definitions.....	11
58 4	Symbols and abbreviations	39
59 5	Fundamental privacy protection principles	43
60 5.1	Introduction.....	43
61 5.2	Primary sources of privacy protection principles	43
62 5.3	Key eleven (11) privacy protection principles.....	44
63 5.4	Link to “consumer protection” and “individual accessibility” requirements.....	45
64 5.5	Privacy protection principles in the context of ILCM requirements	46
65 5.6	Requirement for tagging (or labelling) sets of personal information (SPIs) in support of privacy protection requirements	46
66		
67 5.7	Requirements for making all personal information available where the buyer is an individual.....	46
68		
69 5.8	Rules governing ILCM aspects of personal information profiles (PIPs)	47
70 6	Integrated set of information life cycle management (ILCM) principles in support of information law and privacy protection requirements.....	49
71		
72 6.1	Introduction – Primary purpose of Clause 6	49
73 6.2	Information life cycle management (ILCM) principles in support of privacy protection requirements.....	50
74		
75 6.2.1	Compliance with privacy protection requirements (PPR) and associated information law requirements.....	50
76		
77 6.2.2	Direct relevance, informed consent and openness.....	51
78 6.2.3	Ensuring that personal information is “under the control of” the organization throughout its ILCM	53
79		
80 6.2.4	Limiting Use, Disclosure and Retention	53
81 6.2.5	Timely, accurate, relevant	55
82 6.2.6	Data integrity and quality	57
83 6.2.7	Safeguards for non-authorized disclosure requirements.....	57
84 6.2.8	Back-up, retention and archiving	58
85 6.2.9	Disposition and expungement.....	58
86 6.2.10	Organizational archiving	59
87 6.2.11	Historical, statistical and/or research value	59
88 6.3	Requirement for tagging (or labelling) data elements in support of privacy protection requirements.....	60
89		
90 7	Rules governing ensuring accountability for and control of personal information	61
91 7.1	Introduction.....	61
92 7.2	Key aspects of Open-edr requirements	61
93 7.3	Key aspects of “under the control of”	61
94 7.4	“under the control of” in support of privacy protection requirements and in an ILCM context.....	62
95		

96	7.5	Implementing “under the control of” and accountability	63
97	8	Rules governing the specification of ILCM aspects of personal information	69
98	8.1	Introduction	69
99	8.2	Rules governing establishing ILCM responsibilities for personal information	70
100	8.3	Rules governing establishing specifications for retention of personal information –	
101		applicable “SRI retention triggers”	73
102	8.4	Rules governing identification and specification of state changes of personal	
103		information	77
104	8.4.1	Introduction	77
105	8.4.2	Specification of state changes allowed to personal information	78
106	8.4.3	Specification of store change type	80
107	8.4.4	Rules governing specification of source of state changes	82
108	8.5	Rules governing disposition of personal information	83
109	8.6	Rules governing the establishment and maintenance of record retention and	
110		disposal schedules (RRDS) for sets of personal information.....	87
111	9	Data conversion, data migration, and data synchronization	91
112	9.1	Introduction	91
113	9.2	Rules governing data conversion of sets of personal information (SPI).....	91
114	9.3	Rules governing requirements for data synchronization of sets of personal	
115		information (SPI)	93
116	10	Rules governing EDI of personal information between primary ILCM Person, i.e., the	
117		seller, and its “agent”, “third party” and/or “regulator”	97
118	10.1	Introduction	97
119	10.2	ILCM rules pertaining to use of an “agent”	98
120	10.3	ILCM rules pertaining to use of a “third party”	98
121	10.4	ILCM rules pertaining to involvement of a “regulator”	99
122	11	Conformance statement.....	101
123	11.1	Introduction	101
124	11.2	Conformance to the ISO/IEC 14662 Open-edition Reference Model and the multipart	
125		ISO/IEC 15944 eBusiness standard	101
126	11.3	Conformance to ISO/IEC 15944-12.....	101
127	11.4	Conformance by agents and third parties to ISO/IEC 15944-12.....	101
128	Annex A (normative)	Consolidated list of terms and definitions with cultural adaptability: ISO	
129		English and ISO French language equivalency	103
130	A.1	Introduction	103
131	A.2	ISO English and ISO French	103
132	A.3	Cultural adaptability and quality control	103
133	A.4	Organization of Annex A – Consolidated list in matrix form.....	104

134 A.5	List of added Part 12 terms and definitions with cultural adaptability: ISO English and	
135	ISO French	105
136 B.1	Introduction.....	119
137 B.2	Organization of Annex B: Consolidated list in matrix form	119
138 B.3	Consolidated list of rules in ISO/IEC 15944-1 pertaining to external constraints	
139	relevant to supporting privacy protection requirements	120
140 B.4	Consolidated list of rules in ISO/IEC 15944-2 pertaining to external constraints of	
141	relevance to supporting privacy protection requirements	123
142 B.5	Consolidated list of rules in ISO/IEC 15944-5 pertaining to external constraints of	
143	relevance to supporting privacy protection requirements	123
144 B.6	Consolidated list of rules in ISO/IEC 15944-7 pertaining to external constraints of	
145	relevance to supporting privacy protection requirements	128
146 B.7	Consolidated list of rules in ISO/IEC 15944-8 pertaining to external constraints of	
147	relevance to supporting privacy protection requirements	133
148	Annex C (normative) Business Transaction Model (BTM): classes of constraints	145
149	Annex D (informative) Linking ILCM to process phases of a business transaction	151
150 D.1	Introduction.....	151
151 D.2	Rules governing linkages of ILCM process to process component of the Business	
152	Transaction Model (BTM)	151
153 D.3	Figurative overview of linking the five phases of the process component of the	
154	Business Transaction Model (BTM) to ILCM requirements	152
155	Annex E (informative) Generic approach to ILCM decisions in a privacy protection requirements	
156	context – ILCM compliance decision tree	155
157 E.1	Introduction.....	155
158 E.2	Generic approach to ILCM decisions in a privacy protection requirements context	155
159 E.2.1	Link to applicable records and retention and disposal of personal information and	
160	“transitory records”	155
161 E.2.2	ILCM link to “post actualization” requirements	156
162	Annex F (informative) Generic approach to identification of properties and behaviours of	
163	personal information as SRI transitory records and their disposition/expungement	159
164 F.1	Introduction.....	159
165 F.2	Definition of the concept of “SRI transitory record”	159
166 F.3	Information on examples of “SRI transitory records”	160
167	Annex G (informative) Outsourcing information life cycle management (ILCM) and EDI of	
168	personal information: From Value-Added Networks (VANs) to cloud computing.....	161
169 G.1	Purpose	161
170 G.2	Background.....	161
171 G.3	Summary of cloud computing in ICT	162
172 G.4	Summary of cloud computing and roles of an “agent” or a “third party” and a “seller”	
173	in executing business transactions	163

174	G.5	Information life cycle management (ILCM) aspects on personal information and cloud computing	166
175			
176	G.7	Conclusions - Cloud computing services and protection of personal information	168
177	Bibliography		169
178	Abstracts		171
179			
180	Figures		Page
181	Figure 1	— Open-edi environment – Open-edi Reference Model	xiii
182	Figure 2	— Integrated view - Business operational requirements: External constraints focusing on electronic business transactions, whether undertaken on a for profit or not-for-profit basis, the key element is commitment exchange among Persons made through their Decision Making Applications (DMAs) of their Information Technology Systems (IT Systems) acting on behalf of "Persons". "Persons" are the only entities able to make commitments.	xv
183			
184			
185			
186			
187	Figure 3	— Primary sources for privacy protection principles	44
188	Figure 4	— Illustration of the role of a privacy protection officer based on Part 8 in an ILCM and Open-edi context	64
189			
190	Figure 5	— Illustration of role, responsibilities, and relationship of a personal information controller (PIC) in an organization in Open-edi context	65
191			
192			
193	Figure C.1	— Business Transaction Model: Fundamental elements (Graphic illustration)	145
194	Figure C.2	— UML-based Representation of Figure C.1 Business Transaction Model	146
195	Figure C.3	— Business Transaction Model: Classes of constraints	149
196			
197	Figure D.1	— Overview - linking the five phases of the process component of the Business Transaction Model (BTM) to ILCM requirements for personal information	153
198			
199			
200	Figure E. 1	— Decision Tree Diagram for the identification and disposition of a SPI from an ILCM requirements perspective (including it being declared a transitory record")	156
201			
202			
203	Figure G.1	— Illustration of buyer-seller interaction with the seller using an agent as a cloud computing provider (CCP)	165
204			
205	Figure G.2	— Illustration of buyer and seller with both using the same third party as a cloud computing provider CCP) (including a regulator as mandatory third party	166
206			
207			
208	Tables		Page
209	Table 1	— ISO/IEC 15944-12:01 Codes representing specification of records retention responsibility for personal information	71
210			
211	Table 2	— ISO/IEC 15944-12:02 Codes representing SRI retention triggers for retention of personal information	73
212			
213	Table 3	— ISO/IEC 15944-12:03 Codes representing the specification of types of record retention period	75
214			
215	Table 4	— ISO/IEC 15944-12:04 Codes for specifying whether state changes allowed for the content values of SRIs containing personal information	79
216			

217	Table 5	—	ISO/IEC 15944-12:05 Codes representing store change type for SPIs (and SRIs).....	81
218	Table 6	—	ISO/IEC 15944-12:06 Codes representing source of state change type ID code for SRIs	82
219	Table 7	—	ISO/IEC 15944-12:07 Codes representing disposition types as actions of personal information (as SPIs).....	86
220				
221				
222	Table A.1	—	Columns in Table A.2.....	104
223	Table A.2	—	List of added Part 12 terms and definitions with cultural adaptability of: ISO English and ISO French language equivalency	105
224				
225	Table G.1	—	Some linkages among cloud computing concepts and their definitions and those existing in Open-edi and eBusiness standards	105
226				
227				
228				
229				

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230 Project Co-Editors' Note:

231 1. This DIS ballot document is an update of the draft DIS document, (e.g., sneak peek”), prepared for review
232 and comment by SC32/WG1 participating experts and P-members at the Beijing November, 2015 interim
233 meeting. As a result, a SC32/WG1 N8046 document was prepared. The SC32/WG1 N8029 “Notes on
234 progression of ISO/IEC 15944-12” (prepared by the Project Editors) was also accepted.

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235 Foreword

236 ISO (the International Organization for Standardization) and IEC (the International Electrotechnical
237 Commission) form the specialized system for worldwide standardization. National bodies that are members of
238 ISO or IEC participate in the development of International Standards through technical committees
239 established by the respective organization to deal with particular fields of technical activity. ISO and IEC
240 technical committees collaborate in fields of mutual interest. Other international organizations, governmental
241 and non-governmental, in liaison with ISO and IEC, also take part in the work. In the field of information
242 technology, ISO and IEC have established a joint technical committee, ISO/IEC JTC 1.

243 The procedures used to develop this document and those intended for its further maintenance are described
244 in the ISO/IEC Directives, Part 1. In particular the different approval criteria needed for the different types of
245 document should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC
246 Directives, Part 2 (see www.iso.org/directives).

247
248 Attention is drawn to the possibility that some of the elements of this document may be the subject of patent
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250 patent rights identified during the development of the document will be in the Introduction and/or on the ISO
251 list of patent declarations received. (See www.iso.org/patents)

252
253 Any trade name used in this document is information given for the convenience of users and does not
254 constitute an endorsement.

255
256 For an explanation on the meaning of ISO specific terms and expressions related to conformity assessment,
257 as well as information about ISO's adherence to the WTO principles in the Technical Barriers to Trade (TBT)
258 see the following URL: Foreword – Supplementary information.

259
260 The committee responsible for this document is ISO/IEC JTC1, Information technology, SC32, Data
261 management and interchange.

262
263 ISO/IEC 15944 consists of the following parts, under the general title *Information technology – Business*
264 *Operational View*.

- 265
- 266 — *Part 1: Operational aspects of Open-edi for implementation***
- 267 — *Part 2: Registration of scenarios and their components as business objects*
- 268 — *Part 4: Business transaction scenarios — Accounting and economic ontology*
- 269 — *Part 5: Identification and referencing of requirements of jurisdictional domains as sources of external*
270 *constraints***
- 271 — *Part 6: Technical introduction to e-Business modelling [Technical Report]*
- 272 — *Part 7: eBusiness vocabulary***
- 273 — *Part 8: Identification of privacy protection requirements as external constraints on business transactions***
- 274 — *Part 9: Business transaction traceability framework for commitment exchange*
- 275 — *Part 10: IT-enabled coded domains as semantic components in business transactions*
- 276 — *Part 12: Privacy protection requirements on information life cycle management (ILCM) and EDI of*
277 *personal information**

278 — *Part 20: Linking business operational view to functional service view*

279 * Indicates standard is under development. ** Indicates the standard is undergoing review under the “minor
280 revision” process.

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281 0 Introduction

282 0.1 Purpose and overview

283 Modelling business transactions using scenarios and scenario components includes specifying the applicable
284 constraints on the data content using explicitly stated rules. The ISO/IEC 14662 Open-edi Reference Model
285 identifies two basic classes of constraints, "internal constraints" and "external constraints". External
286 constraints apply to most business transactions.

287 Jurisdictional domains are the primary source of external constraints on business transactions. Privacy
288 protection requirements in turn are a common requirement of most jurisdictional domains, although they may
289 also result from explicit scenario demands from or on the parties involved in a business transaction.
290 (Requirements for secrecy or confidentiality are not addressed in this part of ISO/IEC 15944, unless they are
291 implicitly needed to apply privacy protection requirements to data).

292 This Part of ISO/IEC 15944 describes the added business semantic descriptive techniques needed to support
293 information life cycle management (ILCM) aspects as part of privacy protection requirements when modelling
294 business transactions using the external constraints of jurisdictional domains. ILCM aspects are central to the
295 ability to ensure that privacy protection requirements are passed on and supported among all the parties to a
296 business transaction using EDI.

297 This standard applies to any organization which receives, creates, process, maintains, communicates, etc.
298 personal information (PI) and, in particular, to those who receive, create, capture, maintain, use, store or
299 dispose of sets of recorded information (SRIs) electronically. This standard applies to private and public sector
300 activities of Persons irrespective of whether such activities are undertaken on a for-profit or not-for-profit basis.

301 This standard is intended for use by those organizations to which privacy protection requirements apply and
302 who therefore need to ensure that the recorded information (electronic records and transactions) in their IT
303 Systems is trustworthy, reliable and recognized as authentic. Typical users of this standard include

- 304 a) managers of private and public sector organizations;
- 305 b) IT Systems and records/information management system professionals;
- 306 c) Privacy protection officers (PPOs) and other personnel in organizations, including those responsible for
307 risk management; and,
- 308 d) legal professionals and others within an organization responsible for information law compliance by the
309 organization.

310

0.2 Use of ISO/IEC 14662 “Open-edi Reference Model” and Business Operational View (BOV) perspective¹

0.2.1 ISO/IEC 14662 “Open-edi Reference Model”²

The ISO/IEC 14662 *Open-edi Reference Model*³ states the conceptual architecture necessary for carrying out electronic business transactions among autonomous parties. That architecture identifies and describes the need to have two separate and related views of the business transaction.

The first is the Business Operational View (BOV). The second is the Functional Service View (FSV). Figure 1 from ISO/IEC 14662 illustrates the Open-edi environment. {For definitions of the terms used in Figure 1, please see Clause 3 below}

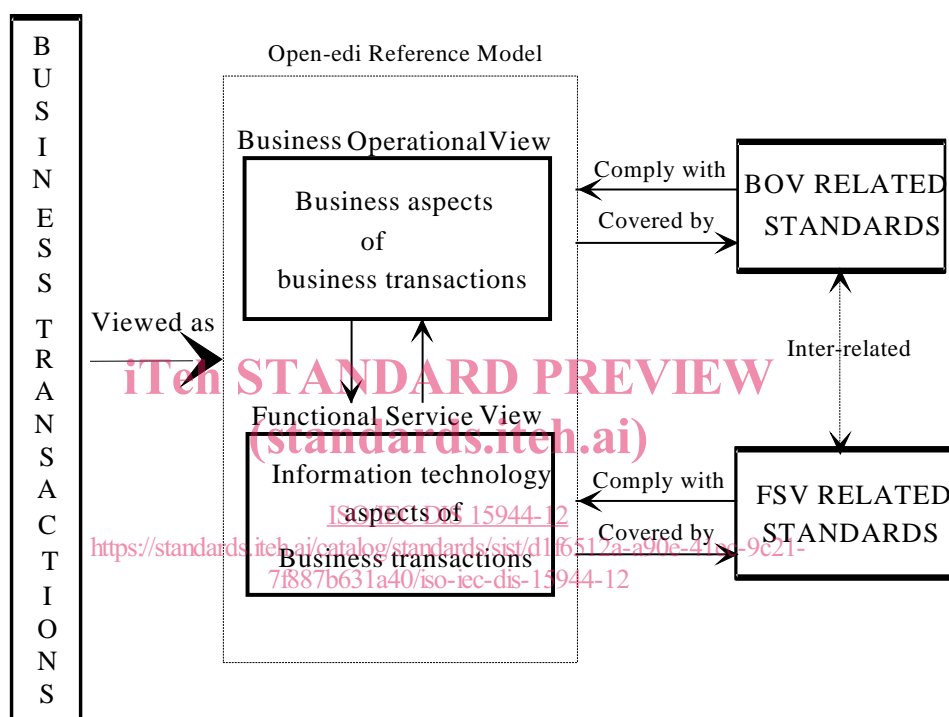


Figure 1 — Open-edi environment – Open-edi Reference Model

This Part of ISO/IEC 15944 focuses on addressing commonly definable aspects of external constraints that relate to information life cycle management (ILCM) in a privacy and data protection⁴ context when the source is a jurisdictional domain. A useful characteristic of external constraints is that, at the sectoral level, national and international

¹ While “public administration” is one of the three distinct sub-types of Person, most of the rules in this Part applicable to “organization” also apply to “public administration”. In addition, an unincorporated seller is also deemed to function as an “organization”. Consequently, the use of “organization” throughout this part of ISO/IEC 15944 also covers “public administration”. Where it is necessary to bring forward specific rules, constraints, properties, etc., which apply specifically to “public administration”, this is stated explicitly.

² The ISO/IEC 14462 *Open-edi Reference Model* serves as the basis of the 2000 Memorandum of Understanding (MOU) among ISO, IEC, ITU and the UN/ECE concerning [harmonization of] standardization in the field of electronic business. {See <http://www.itu.int/ITU-T/e-business/files/mou.pdf> }

³ ISO/IEC 14662 (3rd ed. E/F) “*Information technology — Open-edi Reference Model/Technologies de l’information — Modèle de référence EDI-ouvert*” is an ISO freely available standard.

⁴ “Privacy protection” is the common set of world-wide requirements. In the European Union, “data protection” is the equivalent concept used mainly (due to historical reasons).

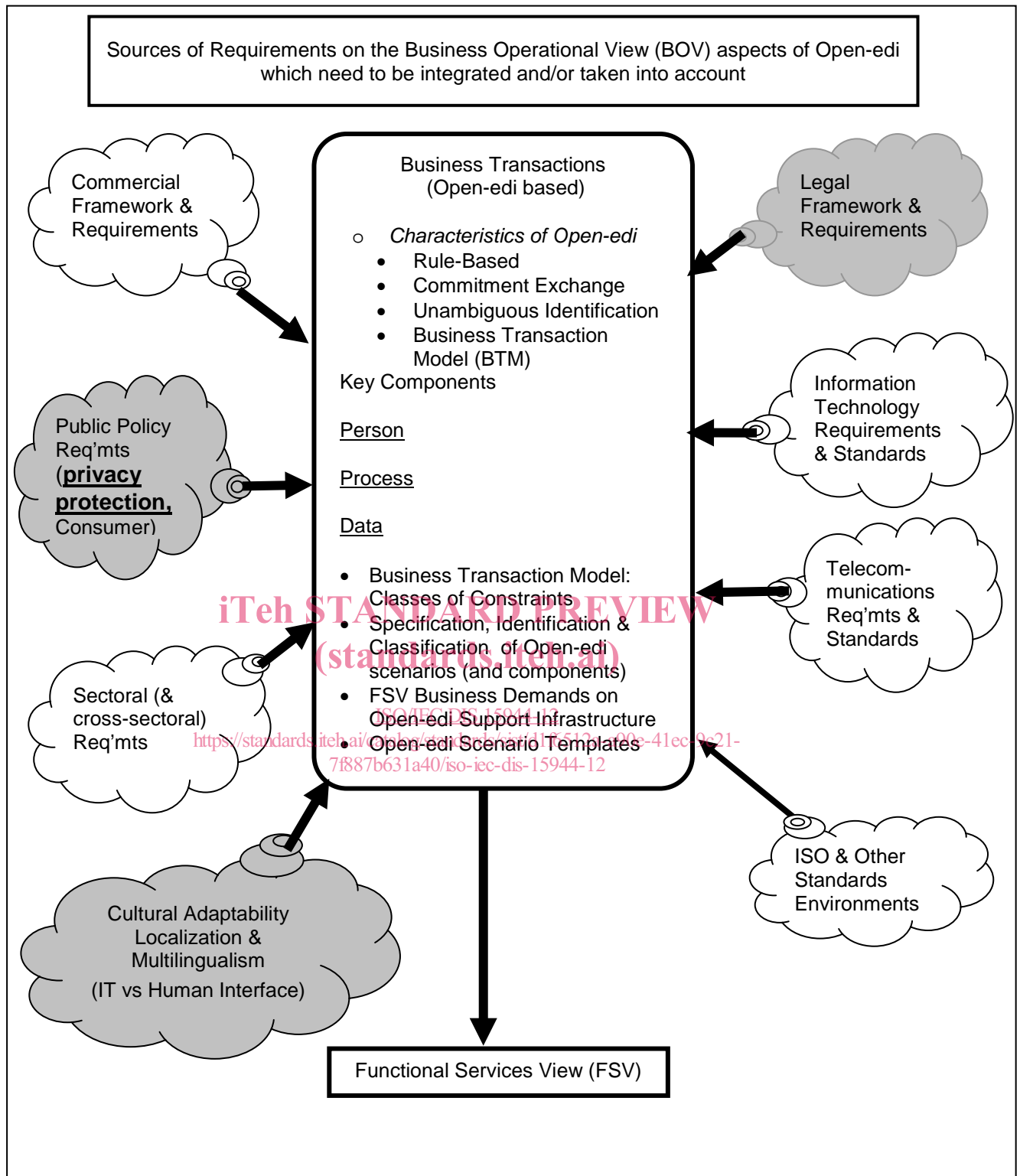
325 levels, etc., focal points and recognized authorities often already exist. The rules and common business practices in many
 326 sectoral areas are already known. Use of this Part of ISO/IEC 15944 (and related standards) addresses the transformation
 327 of these external constraints (business rules) into specified, registered, and re-useable scenarios and scenario
 328 components.

330 **0.2.2 ISO/IEC 15944-1 “Business Agreement Semantic Descriptive Techniques” (“Business** 331 **Operational View (BOV”))**

332 ISO/IEC 15944-1 states the requirements of the BOV aspects of Open-edi in support of electronic business
 333 transactions. They shall be taken into account in the development of business semantic descriptive
 334 techniques for modelling e-business transactions and components thereof as re-useable business objects.
 335 They include:

- 336 • commercial frameworks and associated requirements;
- 337 • legal frameworks and associated requirements;
- 338 • public policy requirements particularly those of a generic nature such as consumer protection, privacy,
 339 accommodation of handicapped/disabled;
- 340 • requirements arising from the need to support cultural adaptability. This includes meeting localization and
 341 multilingual requirements, (e.g., as may be required by a particular jurisdictional domain or desired to
 342 provide a good, service and/or right in a particular market). Here one needs the ability to distinguish, the
 343 specification of scenarios, scenario components, and their semantics, in the context of making
 344 commitments, between:
 - 345 a) the use of unique, unambiguous and linguistically neutral identifiers (often as composite identifiers) at
 346 the information technology (IT) interface level among the IT systems of participation parties on the
 347 one hand; and, on the other,
 - 348 b) their multiple human interface equivalent (HIE) expressions in a presentation form appropriate to the
 349 Persons involved in the making of the resulting commitments.

350 Figure 2 shows an integrated view of these business operational requirements. It is based on Figure 3 from
 351 ISO/IEC 15944-1. Since the focus of Part 12 of ISO/IEC 15944 is that of external constraints for which
 352 jurisdictional domains are the primary source, these primary sources have been shaded in Figure 2 below).



353

354 Figure 2 — Integrated view - Business operational requirements: External constraints focus