# JCP 2: Process Document

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5 Comments to: pmo@jcp.org

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# I EXECUTIVE SUMMARY

- The international Java community develops and evolves Java™ technology specifications using the 11
- Java Community Process (JCP). The JCP produces high-quality specifications using an inclusive. 12
- consensus building approach that produces a Specification, a Reference Implementation (to prove the 13
- 14 Specification can be implemented), and a Technology Compatibility Kit (a suite of tests, tools, and
- documentation that is used to test implementations for compliance with the Specification). 15
- 16 Experience has shown that the best way to produce a technology specification is to gather a group of
- 17 industry experts who have a deep understanding of the technology in question and then have a strong
- technical lead work with that group to create a first draft. Consensus around the form and content of 18
- the draft is then built using an iterative review process that allows an ever-widening audience to review 19
- 20 and comment on the document.

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- 21 This version of the JCP was developed through the JCP by means of JSR 348, led by Oracle and the
- 22 combined Executive Committees as the Expert Group.
- 23 An Executive Committee (EC) representing a cross-section of both major stakeholders and other
- members of the Java community is responsible for approving the passage of Specifications through 24
- 25 the JCP's various stages and for reconciling discrepancies between Specifications and their
- associated test suites. There are two ECs: one to oversee the Java technologies for the 26
- desktop/server space (with responsibility for the Java SE™ and Java EE™ Specifications) and the 27
- other to oversee the Java technologies for the consumer/embedded space (with responsibility for the 28
- Java ME™ Specification). The EC's are considering merging the two bodies into a single one in the 29
- 30 near future, so newly elected EC members should be aware that their terms may vary from what is
- 31 specified in section 5.4, "EC SELECTION PROCESS AND LENGTH OF TERM"
- 32 There are four major stages in this version of the JCP:
  - 1. **INITIATION**: A Specification targeted at the desktop/server or consumer/embedded space is initiated by community member(s) and approved for development by the responsible EC. A group of experts is formed to assist the Spec Lead with the development of the Specification.
  - 2. **DRAFT RELEASES**: The Expert Group develops the Specification through an iterative process, releasing drafts for public review and comment. After the formal Public Review the EC votes on whether the JSR should proceed to the Final Release stage.
  - 3. FINAL RELEASE: The Spec Lead submits the Specification to the PMO for publication as the Proposed Final Draft. When the RI and TCK are completed, and the RI passes the TCK, the Specification, the RI, and the TCK are submitted to the PMO, who circulate them to the responsible EC for final approval.
  - 4. MAINTENANCE: The Specification, Reference Implementation, and Technology Compatibility Kit are updated in response to ongoing requests for clarification, interpretation, enhancements, and revisions. The responsible EC reviews proposed changes to the Specification and indicates which can be carried out immediately and which will require the changes to be implemented in a new JSR.

## II DEFINITIONS

- **Appeal Ballot:** The EC ballot to override a first-level decision on a TCK test challenge.
- 50 Change Log: An area accessible from the JSR Page that lists all changes made to the

51 52 53 54 55	Specification, RI, TCK, and licenses since the previous release. A Change Log has six sections: PROPOSED (changes not yet made to the Specification), ACCEPTED (changes made to the Specification), DEFERRED (changes to be considered in a new JSR), RI (changes made to the RI), TCK (changes made to the TCK) and LICENSING (changes to the licensing terms)
56 57	<b>Dormant Specification (Dormant):</b> A Specification that does not have an identified Maintenance Lead. All Specifications become Dormant at the end of their life cycles.
58 59	<b>Early Draft Review:</b> A 30 to 90 day period during which the public reviews and comments on the draft Specification.
60	<b>Elected Seat:</b> An EC seat filled by the election process described in section 5.3.4.
61 62 63 64 65	<b>Executive Committee (EC)</b> : The Members who guide the evolution of the Java technologies. The EC represents a cross-section of both major stakeholders and other Members of the Java Community. EC members are apppointed in an annual election process. The EC Policies and Procedures are in the EC Standing Rules, which is a separate document.
66 67	<b>Expert:</b> A Member or Member Representative who has expert knowledge and is an active practitioner in the technology covered by the JSR.
68 69	<b>Expert Group (EG)</b> : The group of Experts who develop or make significant revisions to a Specification.
70 71	<b>Final Approval Ballot:</b> The 14-day EC ballot to approve the Final Draft along with its associated RI and TCK.
72 73	<b>Final Approval Reconsideration Ballot:</b> The 14-day EC ballot to reconsider an initial rejection of a Final Draft, RI, and TCK.
74	Final Draft: The final draft of the Specification that will be put forward for EC approval.
75 76	<b>Final Release:</b> The final stage in the JSR development process when the Specification, RI, and TCK have been completed and can be licensed by implementors.
77 78 79	<b>First-Level TCK Appeals Process:</b> The process defined by the Spec Lead that allows implementers of the Specification to appeal one or more tests defined by the Specification's TCK.
80 81	Item Exception Ballot: The EC ballot to determine whether or not to include specific change items in a Maintenance Release.
82 83	<b>Java Community Process (JCP)</b> : The formal process described in this document for developing or revising Java technology Specifications.
84 85	<b>Java Community Process Member (Member)</b> : A company, organization, or individual that has signed the JSPA and is abiding by its terms.

86 87 88	technology. This includes the language, virtual machine, Platform Editions, Profiles, and application programming interfaces.
89 90 91	<b>Java Specification Request (JSR):</b> The document submitted to the PMO by one or more Members to propose the development of a new Specification or significant revision to an existing Specification.
92 93 94	<b>Java Specification Participation Agreement (JSPA):</b> A one-year renewable agreement between Oracle America and a company, organization or individual that allows the latter entities to participate in the Java Community Process.
95 96 97	<b>JCP Web Site</b> : The web site where anyone can stay informed about JCP activities, download draft and final Specifications, and follow the progress of Specifications through the JCP.
98	JSR Approval Ballot: The EC ballot to determine if the JSR should be approved.
99 100	<b>JSR Reconsideration Ballot:</b> The EC ballot to determine if a revised JSR should be approved.
101 102	<b>JSR Page:</b> Each JSR has a dedicated public web page on the JCP Web Site where the JSR's history is recorded and where other relevant information about the JSR is published.
103	JSR Renewal Ballot: An EC ballot to confirm that a JSR should continue in its work.
104 105	<b>JSR Renewal Reconsideration Ballot:</b> An EC ballot to determine if a revised JSR should continue its work.
106 107	<b>JSR Review:</b> A 4 week period during which the public can review and comment on a new JSR.
108	Maintenance Lead (ML): The Expert responsible for maintaining the Specification.
109 110	<b>Maintenance Release:</b> The final stage in the JSR maintenance process when the Specification, RI, and TCK have been updated and can be licensed by implementors.
111 112 113	<b>Maintenance Review:</b> A period of at least 30 days prior to finalization of a Maintenance Release when Members and the public consider and comment on the change items listed in the PROPOSED section of the Change Log.
114 115	<b>Maintenance Review Ballot</b> : An EC ballot to determine whether the changes proposed by a Maintenance Lead are appropriate for a Maintenance Release.
116 117 118	<b>Member Representative:</b> An employee of a Member company or an associate of a Member organization who has been approved by the Member to represent it within the JCP.
119 120 121	<b>Platform Edition Specification (Platform Edition):</b> A Specification that defines a baseline API set that provides a foundation upon which applications, other APIs, and Profiles can be built. There are currently three Platform Edition Specifications: Java SE,

122	Java EE, and Java ME.
123 124 125 126 127	<b>Profile Specification (Profile):</b> A Specification that references one of the Platform Edition Specifications and zero or more other JCP Specifications (that are not already a part of a Platform Edition Specification). APIs from the referenced Platform Edition must be included according to the referencing rules set out in that Platform Edition Specification. Other referenced Specifications must be referenced in their entirety.
128 129	<b>Program Management Office (PMO)</b> : The group within Oracle America that is responsible for administering the JCP and chairing the EC.
130 131	<b>Proposed Final Draft</b> : The version of the draft Specification that will be used as the basis for the RI and TCK.
132 133	<b>Public Draft Specification Approval Ballot</b> : The EC ballot to determine if a draft should proceed after Public Review.
134 135	Public Draft Specification Reconsideration Ballot : The EC ballot to determine if a revised draft should proceed after Public Review.
136 137	<b>Public Review:</b> A 30 to 90 day period when the public can review and comment on the draft Specification.
138	Ratified Seat: An EC seat filled by the ratification process described in section 5.3.3.
139 140	<b>Reference Implementation (RI)</b> : The prototype or "proof of concept" implementation of a Specification.
141 142 143 144	<b>Specification Lead (Spec Lead)</b> : The Expert responsible for leading the effort to develop or make significant revisions to a Specification and for completing the associated Reference Implementation and Technology Compatibility Kit. A Spec Lead (or the Spec Lead's host company or organization) must be a Java Community Process Member.
145 146	<b>Spec Lead Member</b> : The individual JCP member who is a Spec Lead, or otherwise the company or organization that employs, and is represented by, the Spec Lead.
147 148 149	<b>Technology Compatibility Kit (TCK)</b> : The suite of tests, tools, and documentation that allows an organization to determine if its implementation is compliant with the Specification.
150 151	<b>Transfer Ballot:</b> The EC ballot to approve transfer of ownership of a Specification, RI, and TCK from one Member to another Member. <sup>1</sup>
152 153	<b>Umbrella Java Specification Request (UJSR):</b> A JSR that defines or revises a Platform Edition or Profile Specification. A UJSR proceeds through the JCP like any other JSR.
154 155	The use of the term <b>day</b> or <b>days</b> in this document refers to calendar days unless otherwise specified.

<sup>1</sup> Transfer of ownership does not mean transfer of IP rights, only transfer of the right to start again. The new Spec Lead can, however, negotiate a transfer of IP with the old Spec Lead.

# 156 III THE JAVA COMMUNITY PROCESS ™ PROGRAM

# 0. GENERAL PROCEDURES

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#### 0.0 EXPERT GROUP TRANSPARENCY

- 159 Each Expert Group is free to use the working style that it finds most productive and appropriate, so
- long as this is compatible with the requirements specified in this document. For example, EGs may
- 161 choose to operate by seeking consensus or by voting on issues where there is disagreement.
- As specified below, Expert Groups must operate in a transparent manner, enabling the public to
- observe their deliberations and to provide feedback. All feedback must be taken into consideration and
- public responses must be provided. In the initial JSR submission the Spec Lead must specify the
- transparency mechanisms (for example, the mailing lists and issue tracker) that the Expert Group
- 166 intends to adopt, and must provide the URLs for accessing the chosen collaboration tools. The PMO
- 167 will publish this information on the public JSR Page. The Spec Lead must also provide a pointer to any
- 168 Terms of Use required to use the collaboration tools so that the EC and prospective EG members can
- judge whether they are compatible with the JSPA.
- 170 If the EG changes its collaboration tools during the life of the JSR these changes must be reported to
- the PMO, who will update the relevant information on the JSR Page. Any such changes must ensure
- that previously-published information is incorporated into the new tools. When voting to approve a
- 173 JSR's transition to the next stage EC members are expected to take into consideration the extent to
- which the Spec Lead is meeting the transparency requirements.
- Spec Leads should be aware of their obligations under the JSPA to license the output of their JSR on
- Fair, Reasonable, and Non Discriminatory terms, and to make certain patent grants. Incorporating
- 177 feedback provided through public email aliases or forums without ensuring that the provider has
- signed the JSPA or an equivalent Contribution Agreement may make maker impossible to meet these
- requirements or may expose the Spec Lead Member to legal liability.
- 180 The use of *Confidential materials* (as defined in the JSPA) by Expert Groups limits transparency, is
- 181 strongly discouraged, and will be prohibited in a future version of the Process. If the Spec Lead
- 182 intends to permit the use of *Confidential materials* (such as emails, drafts or submissions marked as
- 183 Confidential), this must be specified in the initial Java Specification Request. Expert Groups may also
- 184 choose to keep information private by means other than marking it as Confidential (for example, by not
- publishing it on a publicly available site).<sup>2</sup>

## 0.0.1 Mailing Lists

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- 187 All substantive business must be carried out on a public mailing list designated by the Spec Lead. The
- 188 purpose of this list is to keep observers aware of important issues and, minor administrative issues
- that distract from substantive business should therefore be kept private. A private mailing list should
- 190 be used for minor administrative matters. Significant business includes, for example, eliminating or
- adding new features to the JSR, changes to the membership of the Expert Group, modifications to the
- 192 reference implementation or the TCK, publication of the agenda, and on-going debate about JSR
- 193 specifics. Non-substantive administrative matters such as notifications of meeting schedules,
- messages directing Expert Group members to particular documents or URLs, and reminders about
- voting or task assignments should be excluded from the public mailing list.
- 196 If the public mailing list is writable only by Expert Group members the EG must also provide a publicly
- readable and writable email list or a forum to enable feedback and comments from the public.

<sup>2</sup> The EC intends to remove the Confidentiality language from the next version of the JSPA.

#### 198 **0.0.2 Issue Tracking**

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- 199 Issues must be tracked through a publicly readable issue tracking mechanism. A formalized issue
- tracking mechanism will help to ensure that all issues raise the Java community are documented
- 201 and responded to before the JSR moves to the next stage.

## 202 **0.0.3** Response to Comments

- 203 Expert Groups must respond publicly to all comments before a JSR can move to the next stage. All
- 204 comments regarding a JSR deserve a well-crafted response. Expert groups should review responses
- 205 prior to release to ensure that the response addresses the specific comment. Responses to similar
- comments can be consolidated. Comments that are off-topic do not require a response but should be
- 207 denoted as such. The Executive Committee reserves the right to require that a comment deemed by
- the Expert Group as off-topic be addressed before the JSR moves to the next stage.

## 0.0.4 Changes to Licensing Terms

- 210 If the licensing terms for a JSR change from one release to the next, the changes must be explicitly
- 211 listed and explained. Changes to the licensing terms must be disclosed during JSR submission (in the
- case of a new JSR) or in the Change Log for Maintenance Releases. Subsequent changes to
- 213 licensing terms during the life of the JSR must be disclosed when the Specification is next submitted
- 214 to the PMO for public posting or review.
- 215 Existing licensees who not wish to accept a modified license when required to adopt a newer TCK will
- 216 have the option to accept the updated TCK under the previous licensing terms.

## 217 **0.1 EXPERT GROUP MEMBERSHIP**

## 218 0.1.1 WITHDRAWAL OF AN EXPERT FROM THE EXPERT GROUP

- 219 An Expert may withdraw from the Expert Group at any time. When this happens, the Spec Lead
- should approach the Member who originally contributed the Expert and work with that organization to
- 221 find a replacement. If no replacement is offered, the Spec Lead may recruit a replacement from
- 222 another Member. If the departing Expert is the Spec Lead, the Expert Group should choose one of its
- 223 members as the new Spec Lead.

#### 224 0.1.2 DISRUPTIVE, UNCOOPERATIVE OR UNRESPONSIVE EXPERT GROUP MEMBERS

- There may be rare instances when members of the Expert Group feel that one of their fellow Experts
- is not acting in ways that advance the work of the Expert Group, and is being disruptive,
- 227 uncooperative or unresponsive. EG members are expected to make a reasonable effort to resolve any
- 228 such issues among themselves, with the active help of the Spec Lead. However, if the situation cannot
- be resolved in a timely manner, any three members of the EG can approach the Spec Lead and
- 230 request that the EG member in question be excluded from further participation in the EG. If the Spec
- Lead agrees to the request he can then do so. In the case where the EG Member in question is an
- 232 Member Representative, the Spec Lead must first request that the Member replace its representative.
- 233 If the Member does not do so in a timely manner, the Spec Lead can exclude the Member itself from
- further EG participation. The Spec Lead's decision as to whether or not to exclude can be appealed to
- the EC by following the process outlined in Section 0.6, "Escalation and Appeals"

#### 0.1.3 UNRESPONSIVE OR INACTIVE SPEC LEAD

237 There may be rare instances when members of the Expert Group feel that the Spec Lead is not acting

- 238 in ways that advance the work of the Expert Group and is being unresponsive or inactive. These
- concerns should be brought to the attention of the EC as guickly as possible so they may be
- 240 proactively addressed and resolved. The EC is expected to make a reasonable effort to resolve any
- such issues in a timely manner. However, if the situation cannot be resolved in a timely manner, any
- three members of the EG may request the EC to replace the Spec Lead for cause (which should be
- 243 made clear and documented to the EC). If the EC agrees that there is cause, it may ask the PMO to
- 244 replace the Spec Lead. In the case where the Spec Lead is an Member Representative the PMO
- should ask the Member to replace the Spec Lead, or it may seek to put in place an alternative Spec
- Lead, in which case the EC must conduct a transfer ballot as specified in section 5.1.2 of this
- document. If no Spec Lead replacement can be found, the EC may disband the Expert Group.

#### 0.2 JSR DEADLINES

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- 249 If a JSR does not begin Early Draft Review within the first 12 months following the completion of its
- 250 initial JSR Approval Ballot (JSR Approval), or does not begin Public Review within 2 years of JSR
- 251 Approval, or has not achieved Final Release within 3 years of JSR Approval, then a majority of the EC
- 252 may initiate a JSR Renewal Ballot. The PMO will inform the Spec Lead and Expert Group of this
- decision and will request the Spec Lead and Expert Group to prepare a public statement to the EC.
- 254 The JSR Renewal Ballot will start 30 days after the request. If the JSR Renewal Ballot is approved ...
- 255 the EC, then another renewal ballot cannot be initiated for that JSR for an additional year.
- 256 If the JSR Renewal Ballot fails, the Expert Group will have 30 days to update the JSR in response to
- 257 the concerns raised by the EC, and may submit a revised version to the PMO. If a revised JSR is not
- received the end of the 30 days, the original decision by the EC will stand and the JSR will be
- closed revision is received, then the PMO will forward it to the EC and initiate a JSR Renewal
- 260 Reconsideration Ballot. At the close of balloting, all comments submitted by EC members, together
- with their ballots will be circulated to the Expert Group by the PMO. If this ballot fails, the JSR will be
- 262 closed and the Expert Group will disband. If the JSR was a revision to an existing Specification, the
- Spec Lead will resume the role of Maintenance Lead of the current Specification (see section 5).

## 0.3 COMPATIBILITY TESTING

- The Spec Lead is responsible for defining the process whereby the TCK is used to certify
- implementations of the JSR as compatible. The Spec Lead must submit to the PMO at least quarterly,
- and at every Maintenance Release, a list of all implementations that have been certified as compatible
- and that have been released publicly or commercially. The PMO will publish this information on the
- 269 JCP website. If the Spec Lead submits the information in the form of a pointer to an already published
- 270 list the PMO may choose simply to reference that list rather than duplicate it.
- 271 TCK license terms must permit implementors to freely and publicly-discuss the testing process and
- detailed TCK test results with their customers all interested parties.

## 0.4 EXECUTIVE COMMITTEE DUTIES

## **0.4.1 Transparency**

- 275 All substantive Executive Committee business should be conducted in the most transparent manner
- possible. EC transparency requirements are specified in a separate document, EC Standing Rules.

#### **277 0.4.2 Draft Reviews**

- 278 During Draft Review periods EC members are strongly encouraged to have one or more technical
- 279 members of their organizations review the draft in order to uncover possible duplication of features or

- 280 services between the draft and other Specifications. EC members should inform the Expert Group of
- any such discoveries using the feedback mechanism specified by the Spec Lead. EC feedback is
- particularly important to the Expert Group, and EC members are encouraged not to wait until ballot
- 283 periods to raise concerns and issues.

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## 0.5 PMO RESPONSE TIMES

- 285 Materials to be posted on the JCP website for review, comment, or any other official EG or EC
- business should be submitted to the PMO, which will post them on the website and announce their
- availability to Members and the public within seven days of receipt.

#### 0.6 ESCALATION AND APPEALS

- 289 Unless otherwise specified in this document, any EG member can appeal to the EC regarding a
- 290 decision, an action or inaction by the PMO, a Spec Lead, or a Maintenance Lead that affects EG
- 291 participation or issue-resolution and which cannot be resolved by other reasonable means. An appeal
- must be initiated by sending an email message to the PMO (pmo@jcp.org) in all cases, even if it
- affects the PMO. The message must describe the issue under appeal clearly and concisely, with a
- short and relevant Subject: line, and provide all relevant documentation to support the appeal. The
- 295 PMO shall transmit the message to the EC no later than seven days of receipt. The EC shall then
- respond to the appellant within 30 days, either with a resolution or with a request for clarification
- and/or further documentation.

## 1. INITIATE A NEW OR REVISED SPECIFICATION

## 1.0 INITIATE A JAVA SPECIFICATION REQUEST

- 300 One or more Members can initiate a request to develop a new Specification, or carry out a significant
- revision to an existing one, by sending a JSR to the PMO. The JSR must use the template available at
- the JCP Web Site. Any JSR under consideration can be withdrawn by its submitter(s) without
- explanation at any time prior to the completion of the JSR approval vote (see section 1.3) upon
- request by the submitter(s) to the PMO.
- 305 The following is some of the information required to be included with each JSR:
- the Members making the request (the submitters), the proposed Spec Lead, and the initial members of the Expert Group.
  - a description of the proposed Specification.
  - the reason(s) for developing or revising it.
  - the primary Platform Edition, as well as any consideration given to other Platform Editions.
  - an estimated development schedule.
- any preexisting documents, technology descriptions, or implementations that might be used as a starting point.
- a transparency plan, which outlines the tools and techniques that the Spec Lead will use, during the creation and development of the Specification, and for communicating the progress within the Expert Group to Community Members, EC Members and the public. The EC will expect the Spec Lead to operate the JSR in accordance with this plan.

# 318 1.0.1 REVISE EXISTING SPECIFICATIONS

- 319 Existing Specifications, together with their associated RIs and TCKs, are maintained by a designated
- 320 Maintenance Lead using the processes described in section 4 of this document. Maintenance Lead

- 321 Members are expected to assume long term ownership of the Specification, RI, and TCK while
- 322 respecting the wishes of the Java Community Members with regard to evolution. Maintenance Leads
- will therefore be the Spec Leads for all significant revisions to their Specifications, but they will not
- have the exclusive right to decide when a significant revision will take place. That will be decided by
- the EC in response to a revision JSR that can be initiated by any Java Community Member.
- 326 Submitter(s) should make a reasonable effort to get some of the members of the previous Expert
- 327 Group to join the revision effort.

## 1.0.2 PROTECT THE INSTALLED BASE AND GUARD AGAINST FRAGMENTATION

- 329 Changes to the Java programming language, the Java virtual machine (JVM), the Java Native
- Interface (JNI), packages in the "java.\*" space, or other packages delivered as part of Java SE, have
- the potential to seriously disrupt the installed base if carried out inconsistently across the Platform
- 332 Editions. In order to protect the installed base, any such changes can only be accepted and carried
- 333 out within a UJSR for Java SE.
- 334 In order to guard against fragmentation, new Platform Edition Specifications will not substantially
- 335 duplicate existing Platform Editions or Profiles.

## 336 1.0.3 PROFILES AND API SPECIFICATIONS TARGET CURRENT PLATFORM EDITIONS

- 337 All new or revised Specifications must be compatible with the most recent versions of the targeted
- 338 Platform Edition Specifications. In order to achieve this, all UJSRs to define new Profile Specifications
- or revise existing Profile Specifications must reference the latest version of the Platform Edition
- 340 Specification they are based upon.

## 341 1.0.4 PLATFORM INCLUSION

- The technology that a JSR defines can be delivered as part of a Profile or Platform Edition, it can be
- 343 delivered stand-alone, or both. The JSR submission form requires the submitter to state whether the
- JSR's RI and TCK should be delivered as part of a Profile or Platform Edition, in stand-alone manner,
- or both. The final decision whether a specific JSR is included in a Profile or a Platform Edition is made
- 346 by the Spec Lead and Expert Group of that Platform Edition JSR or Profile JSR, and confirmed by the
- 347 EC ballots on those JSRs. If the Platform Edition or Profile JSR turns down the request for inclusion,
- then the JSR for the API will be required to deliver a stand-alone RI and TCK.
- 349 Tehnologies may be incorporated into a Profile or Platform Edition after having been initially delivered
- 350 standalone. A JSR for a new version of an API that proposes to become part of a Profile or Platform
- 351 Edition and is considering discontinuing stand-alone availability must state the rationale for this
- 352 change. The public must be informed of the intention to discontinue the availability of the standalone
- 353 RI and TCK one release in advance.

## 1.1 JSR REVIEW

- When a JSR is received, the PMO will give it a tracking number, assign the JSR to the appropriate EC
- 356 (or to both ECs if so requested by the submitter), create its JSR Page, announce the proposed JSR to
- 357 the public, and begin JSR Review. Comments on the JSR should be sent to the JSR's public feedback
- 358 alias. Comments will be forwarded to the EC for its consideration and will be made available from the
- 359 JSR Page (similar comments may be consolidated.). Members who are interested in joining the Expert
- 360 Group (should the JSR be approved) should identify themselves by submitting a nomination form to
- 361 the PMO.

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#### 362 1.1.1 DISCLOSURE OF LICENSING TERMS FOR THE RI AND TCK

- 363 The Spec Lead Member is responsible for developing the Reference Implementation and Technology
- 364 Compatibility Kit and for licensing them as described in the JSPA. The Spec Lead Member must
- provide the EC with complete copies of the proposed RI and TCK licenses no later than the start of
- 366 JSR Review. The licenses will be published on the public JSR page. EC members should provide
- 367 feedback on the terms as an indication of how the community as a whole might react to the terms. If
- 368 the EC consensus is that the proposed licensing terms are not compatible with the licensing guidelines
- established for use within the JCP, then balloting on the proposed JSR will be delayed until Oracle
- 370 legal provides an opinion on the matter. The opinion of Oracle legal will be the final decision on the
- 371 matter.

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## 1.2 JSR APPROVAL BALLOT

- 373 After the JSR Review, EC members will review the JSR and any comments received, and cast their
- ballot as specified in Section 5 below to decide if the JSR should be approved.
- 375 If the JSR Approval Ballot fails, the PMO will send all EC comments to the JSR submitter(s) who may
- 376 revise the JSR and resubmi it within 14 days. If a revised JSR is not received in that time, the original
- 377 EC decision will stand and the JSR will be closed. If a revised JSR is received, the PMO will post it to
- 378 the JSR Page, announce the revised JSR to the public, and send it to all EC members for a JSR
- 379 Reconsideration Ballot. If that ballot fails, the JSR will be closed.

## 380 1.3 FORM THE EXPERT GROUP

- Within 14 days of a a JSR being approved, the PMO instructs the identified Spec Lead to form the
- 382 Expert Group. If the Member contributing the Spec Lead withdraws from the Community before the
- 383 JSR is approved, the PMO will request the preliminary Expert Group to choose a replacement from
- among themselves who is willing to take on the duties defined in this document.
- There is no size limit on the Expert Group. The Spec Lead may add additional Experts at any time
- 386 provided the existing EG members are consulted. New members may be added, for example, to
- increase diversity of opinion.
- 388 Any JCP Member or Member Representative can request to join an Expert Group at any time by
- 389 sending an email to the Spec Lead of the EG. The request, together with the Spec Lead's official
- response, substantive deliberations within the EG about this matter, and any other official decision
- 391 related to EG composition, including decisions to remove or replace EG members, must be made
- 392 public via the EG's public alias.

# 393 2. DRAFT RELEASES

## 2.0 WRITE THE FIRST DRAFT OF THE SPECIFICATION

- 395 The Expert Group should begin work by considering the requirements set forth in the JSR, any
- 396 contributed documents or technology descriptions, comments received during JSR Review and, if this
- 397 is a revision of an existing Specification, the Change Log kept by the Maintenance Lead (see section
- 398 4). Additional input can be obtained from discussions with other Members, industry groups, software
- 399 developers, end-users, and academics. The goal is to define requirements and then write a draft
- 400 Specification suitable for review by the Community and the public.
- When the Expert Group decides that the first draft is ready for review, the Spec Lead will send the
- 402 draft, along with any additional files required for review, to the PMO. The Spec Lead should also
- 403 suggest the length of the Early Draft Review period if the Expert Group feels it should go beyond the

- 404 minimum 30 days.
- 405 Multiple Early Drafts (and Early Draft Reviews) are encouraged where the Expert Group feels that this
- 406 would be helpful.

## 2.1 EARLY DRAFT REVIEW

- 408 Refinement of the draft Specification begins when the PMO posts it to the JCP Web Site and
- 409 announces the start of Early Draft Review. Anyone can download and comment on the draft. The goal
- 410 of Early Draft Review is to get the draft Specification into a form suitable for Public Review as quickly
- 411 as possible by uncovering and correcting major problems with the draft. Early Draft Review is an early
- access review, and should ideally take place when the Specification still has some unresolved issues.
- The public's participation in Early Draft Review is an important part of the JCP. In the past, comments
- 414 from the public have raised fundamental architectural and technological issues that have considerably
- 415 improved some Specifications.

#### 416 2.1.1 UPDATING THE DRAFT DURING EARLY DRAFT REVIEW

- 417 If the Expert Group makes major revisions to the draft during Early Draft Review, the Spec Lead
- should send the revised draft, along with a synopsis of the changes, to the PMO who publish these
- online and make them available for download by the public.
- 420 After the Early Draft Review period has ended, the Expert Group can make any additional changes to
- 421 the draft it deems necessary in response to comments before submitting the draft to the PMO for
- 422 Public Review.

## 423 **2.2 PUBLIC REVIEW**

- 424 Public Review begins when the PMO posts a new draft Specification on the JCP Web Site and
- 425 announces its availability for public review and comment.
- 426 The Spec Lead is responsible for ensuring that all comments are read and considered. If those
- 427 comments result in revisions to the draft, and those revisions result in major changes (in the opinion of
- 428 the Expert Group), then the Spec Lead must send an updated draft (with a summary of the changes)
- 429 to the PMO before the review period ends. The PMO will post the new draft and the change summary
- on the JCP Web Site and will notify the public that the new draft is available.

## 431 2.3 PUBLIC DRAFT SPECIFICATION APPROVAL BALLOT

- 432 The Public Draft Specification Approval Ballot starts when the Public Review closes. At the close of
- balloting, all comments submitted by EC members with their ballots will be circulated to the Expert
- 434 Group by the PMO.
- 435 If the Public Draft Specification Ballot fails, the Expert Group will have 30 days to update the draft in
- 436 response to the concerns raised by the EC and to submit a revised version to the PMO. If a revised
- 437 draft is not received within 30 days, the original decision by the EC will stand and the JSR will be
- 438 closed. If a revision is received, the PMO will forward it to the EC and initiate a Public Draft
- 439 Specification Reconsideration Ballot. At the close of balloting, all comments submitted by EC members
- 440 with their ballots will be circulated to the Expert Group by the PMO. If this ballot fails, the JSR will be
- 441 closed and the Expert Group will disband. If the JSR was a revision to an existing Specification, the
- 442 Spec Lead will resume the role of Maintenance Lead of the current Specification (see section 4).

## 443 3. FINAL RELEASE

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#### 444 3.0 PROPOSED FINAL DRAFT

- 445 If the Public Draft Specification Approval Ballot (or Reconsideration Ballot) is successful, the Expert
- 446 Group will prepare the Proposed Final Draft of the Specification by completing any revisions it deems
- 447 necessary in response to comments received. The Spec Lead will then send the Proposed Final Draft
- 448 to the PMO, who will post it on the JCP Web Site for public download.

#### 3.0.1 COMPLETE THE RI AND TCK

- 450 The Spec Lead Member is responsible for the completion of both the RI and the TCK. JSRs that are
- 451 assigned to both ECs are required to support both environments, which may require a separate RI and
- TCK for each environment. If the RI and TCK uncover areas of the Specification that were under-
- defined, incomplete, or ambiguous, the Spec Lead will work with the Expert Group to correct those
- deficiencies and then send a revised Specification together with a summary of the changes to the
- 455 PMO. Information will be posted to the JCP Web Site. The Expert Group will continue to consider any
- 456 further comments received during this time.

#### 457 3.0.2 ESTABLISH A FIRST-LEVEL TCK APPEALS PROCESS

- The Spec Lead is also responsible for establishing a clearly defined First Level TCK Appeals Process
- 459 to address challenges to tests contained in the TCK. This process must be described in the TCK
- documentation. Implementers who are not satisfied with a first level decision should appeal to the EC
- by documenting their concerns in an email message to the PMO. The PMO will circulate the request to
- the EC, together with any information received from the ML concerning the rationale for the first-level
- 463 decision, and initiate a 7-day Appeal Ballot.

#### 464 3.0.3 UPDATE THE DELIVERABLES IN RESPONSE TO THE APPEAL BALLOT

- Depending on the nature of the problem, a successful TCK challenge will require updating one or
- 466 more of the TCK, the Specification, or the RI. Within one month of the close of a successful TCK
- 467 Appeal Ballot the Maintenance Lead must update these deliverables as necessary and record the
- changes in the relevant sections of the Change Log. The modified Change Log, the Specification (if
- changed,) and URLs for the updated RI and/or TCK must be delivered to the PMO, who will publish
- 470 them on the JCP website.

#### 3.1 FINAL APPROVAL BALLOT

- When the Expert Group is satisfied that the TCK provides adequate test coverage, the RI correctly
- 473 implements the Specification, and the RI passes the TCK, the Spec Lead will send the Final Draft of
- 474 the Specification to the PMO together with instructions on how EC members can obtain the RI and
- 475 TCK for evaluation. The PMO will circulate the materials to the EC and initiate the Final Approval
- 476 Ballot. At the close of balloting, all EC comments will be sent to the Expert Group by the PMO.
- The TCK submitted as part of the Final Draft must meet the following requirements:
  - Include documentation covering configuration and execution of the TCK, a definition and explanation of the First-level TCK Appeals Process, the compatibility requirements that must be met in addition to passing the TCK tests, and any other information needed to use the TCK
- 481 (e.g. Tools documentation).
- Be accompanied by a test harness, scripts or other means to automate the test execution and recording of results.

- Include a TCK coverage document that will help EC members to evaluate the TCK's quality.
   This document should include an overview of the documentation included in the TCK, a
   description of means used to validate the quality of the TCK, the criteria used to measure TCK test coverage of the Specification, test coverage numbers achieved, and a justification for the adequacy of TCK quality and its test coverage.
- Provide 100% signature test coverage. These tests must ensure that all of the required API signatures of the spec are completely implemented and that no non-specified APIs are included in the JSR's namespace.
- If the Final Approval Ballot fails, the Spec Lead will have 30 days to revise the Specification, RI, and TCK in response to EC concerns and to resubmit modified materials to the PMO.
- 494 If no responses are received within 30 days the original decision of the EC will stand, the PMO will
- 495 close the JSR, and the Expert Group will disband. If the JSR was a revision to an existing
- 496 Specification, the Spec Lead will resume the role of Maintenance Lead of the current Specification
- 497 (see section 4).

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- 498 If a response is received, the PMO will circulate it to all EC members for a Final Approval
- 499 Reconsideration Ballot. At the close of balloting, all ballot comments submitted by EC members will be
- 500 circulated to the Expert Group by the PMO. If the reconsideration ballot fails, the JSR will be closed
- and the Expert Group will disband. If the JSR was a revision to an existing Specification, the Spec
- Lead will resume the role of Maintenance Lead of the current Specification.

## 3.2 FINAL RELEASE

- 504 Within 14 days of a successful Final Approval Ballot or Reconsideration Ballot, the PMO will publish on
- the JCP website the Specification and links to information on how to obtain the RI and TCK and will
- announce the availability of these materials to both Members and the public. The published TCK
- information must include a means for any interested party to obtain a copy of the TCK documentation
- at no charge. Upon Final Release, the Expert Group will have completed its work and disbands. The
- 509 Spec Lead will typically be the Maintenance Lead and may call upon Expert Group members and
- 510 others for aid in that role.
- 511 The Maintenance Lead must ensure that the links to the RI and TCK remain valid through the lifetime
- of the Specification. If the links become broken or non-functional, the Maintenance Lead will have 30
- 513 days following notification from the PMO of the invalid links to correct them. If the problems are not
- 514 corrected within 30 days, the Specification must reenter the Process at the Proposed Final Draft or
- 515 Maintenance Review stage as appropriate, and complete the Final Release or Maintenance Release
- 516 process again. NOTE: IP rights granted when the JSR made any previous releases are not affected by
- 517 such a change in status.

# 4. MAINTENANCE

## 4.0 MAINTENANCE LEAD RESPONSIBILITIES

- 520 The Maintenance Lead Member is expected to assume long term ownership of the Specification, RI,
- 521 and TCK while respecting the wishes of the Java Community Members with regard to evolution. A
- 522 Maintenance Lead will therefore automatically be the Spec Lead for all significant future revisions to
- 523 their Specification but will not have the exclusive right to decide when a significant revision will take
- 524 place (see section 1.1.1).
- 525 The PMO will provide a publicly archived Maintenance feedback alias through which the public may
- 526 submit requests for clarification, interpretation, and enhancements to the Specification.

- 527 The ML will consider all requests and will decide how and if the Specification should be updated in
- 528 response. The ML is not required to do all these tasks alone, but is free to consult with the former
- 529 members of the Expert Group, or any other sources, to assist with the Maintenance duties.
- 530 All changes proposed by the ML will make their way into the Specification by either the Maintenance
- 531 Release process (described below) or through a new JSR. Changes appropriate for a Maintenance
- Release include bug-fixes, clarifications of the Specification, changes to the implementation of existing 532
- 533 APIs, and implementation-specific enhancements. Modifications to existing APIs or the addition of new
- 534 APIs should be deferred to a new JSR.

#### 4.0.1 RELINQUISHING OWNERSHIP

- 536 If the ML decides to discontinue his or her work fat any time (including discontinuing maintenance
- 537 activities or declining to take on the role of Spec Lead during a significant revision initiated by a JSR)
- 538 the ML should make a reasonable effort to locate another Member who is willing to take on the task.
- 539 The PMO must initiate a Transfer Ballot within one month of a new ML being found. If the ML or the
- 540 PMO fails to find a replacement, the PMO will declare the Specification to be Dormant. No further
- 541 maintenance will can be carried out. No further Transfer Ballots will be initiated by the PMO unless a
- 542 Member volunteers as ML, in which case the PMO will have again a month to initiate a Transfer Ballot.
- 543 If a Transfer Ballot is successful, the new ML must assume his or her responsibilities no later than 14
- 544 days after the announcement of the ballot results. on it until a new ML is identified and ownership of
- the Specification, RI, and Tis transferred to the new ML's organization (subject to a successful Transfer ballot by the EC). 545
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## **4.1 MAINTENANCE REVIEW**

- 548 The ML will document all proposed Specification changes in the PROPOSED section of the Change
- 549 Log and then send a request to the PMO to initiate a Maintenance Review. Before the Maintenance
- 550 Review begins, the ML must summarize comments received through the Maintenance feedback alias
- 551 and must indicate the disposition of each comment (e.g. deferred with a brief explanation, rejected
- with a brief explanation, included in the Change Log proposal.) This summary will be posted along 552
- 553 with the Change Log on the JSR Page. The PMO will then make a public announcement and begin
- 554 the review.

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- 555 The ML may choose to modify one or more of the proposed changes based on comments received
- during the review. 556
- 557 At the close of the Maintenance Review the PMO will initiate a 7-day Maintenance Review Ballot.
- 558 During this ballot EC members should vote "yes" if they agree that the Maintenance Release should
- 559 go ahead as the Spec Lead has proposed, and "no" if they believe that one or more of the changes
- 560 proposed by the ML is inappropriate for a Maintenance Release and should be deferred to a follow-on
- 561 JSR. "No" votes must be accompanied by comments in which the offending items are identified and
- 562 the reasons for the objection are explained.
- 563 If there are any "no" votes the PMO will within two weeks initiate an Item Exception Ballot for each
- 564 change that EC members have objected to.
- 565 NOTE: there is no minimum number of "yes" votes required to move forward with the proposed
- 566 Maintenance Release, and "no" votes cannot prevent a release unless the ML is unwilling to defer
- 567 items subsequently disallowed in an Item Exception Ballot.
- 568 At the end of Maintenance Review and any subsequent Item Exception Ballots, the ML will update the
- 569 Specification, moving all approved revisions from the PROPOSED to the ACCEPTED section of the
- 570 Change Log. Items voted down in an Item Exception Ballot must be moved to the DEFERRED section
- 571 of the log. Other changes not incorporated into the Specification may be left in the PROPOSED
- section or moved to the DEFERRED section at the ML's discretion. 572

## 573 **4.2 MAINTENANCE RELEASE**

- 574 At any time after a Maintenance Review Ballot and possible Item Exception Ballot the Spec Lead will
- 575 update the Specification, RI, TCK, and Change Log as necessary and submit them to the PMO for
- 576 publication in a Maintenance Release. The PMO verifies that the necessary changes have been
- 577 made, and publishes the Specification, the Change Log, and pointers to the RI and TCK on the JSR
- Web Page.

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- NOTE: until the Maintenance Release stage is reached any proposed changes should be considered
- preliminary and subject to change, and therefore should not be implemented in shipping products.

## 5. EXECUTIVE COMMITTEE POLICIES AND PROCEDURES

## 582 **5.0 SCOPE**

- 583 The Executive Committee (EC) oversees the development and evolution of the Java technologies
- 584 within the JCP.

## 5.1 MEMBERSHIP

- There are currently two Executive Committees: one responsible for Java ME and one for Java SE and
- 587 EE together. Each EC is composed of 16 Java Community Process Members. Oracle America, Inc.
- has a permanent voting seat on each EC. (Oracle representatives must not be members of the PMO.)
- The ECs are led by a non-voting Chair from the Program Management Office.
- 590 Should one Member on the EC acquire a majority ownership of another EC member, one of those
- 591 members must resign his or her seat by the effective date of the acquisition.
- NOTE: In the near future the EC intends to merge the two ECs, and modify the number of members
- and possibly their terms of office.

## 594 5.2 EC DUTIES AND RESPONSIBILITIES

- 1. Select JSRs for development within the JCP.
- 2. Approve draft Specifications for Public Review.
- 3. Give final approval to completed Specifications and their associated RIs and TCKs.
- 4. Decide appeals of first-level TCK test challenges.
- 5. Review proposed maintenance revisions and possibly require some to be carried out in a new JSR.
- 6. Approve the transfer of maintenance duties between Members.
- 7. Decide when JSRs that have not made sufficient progress through the Process should be withdrawn.
- 8. Provide guidance to the PMO and JCP Community to promote the efficient operations of the organization and to guide the evolution of Java platforms and technologies. Such guidance may be provided by mechanisms such as publishing white papers, reports, or comments as the EC deems appropriate to express the opinions of one or both Executive Committees.

Members of the Executive Committee shall be dedicated to the principles of full and open competition, in full compliance with all applicable laws, including all antitrust laws of the United States and other nations and governmental bodies as appropriate. Violations of such laws can result in criminal as well as civil penalties for individuals as well as employers, depending on the jurisdiction. In particular, any discussion related to product pricing, methods or channels of distribution, division of markets or allocation of customers, among other subjects, should be avoided.

## 5.3 EC SELECTION PROCESS AND LENGTH OF TERM

- 616 EC members serve three-year terms, which are staggered so that a third of the seats are up for
- 617 election each year.
- On each EC there are two Ratified Seats for every Elected Seat (currently 10 Ratified Seats and 5
- 619 Elected Seats) plus one permanent seat held by Oracle America, Inc.

#### 620 5.3.1 RESIGNATION OF EC SEATS

- 621 EC Members may resign their seats at any time during their term.
- 622 EC members who fail to remain Java Community Members forfeit their EC seat.
- 623 Vacated seats will be filled for the remainder of their term by a special election ballot that will be held
- on later than two months after the resignation (unless the resignation is less than six months before
- 625 the next scheduled annual election ballot).

#### 626 5.3.2 ELECTION PROCESSES

- 627 All JCP Members are eligible to vote in ballots for Ratified and Elected Seats subject to the provision
- 628 that if a Member has majority-ownership of, or is the employer of, one or more other Members, then
- that group of Members will collectively have 1 vote, which will be cast by the person they designate to
- 630 be their representative for the ballot in question.
- Annual elections for Ratified and Elected Seats will be held simultaneously. Voting in these elections
- 632 will start in the third week of October.

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  634 In the interests of promoting transparency and participation in the election process the PMO shall
- organize teleconferences at which the Members have an opportunity to hear from and to ask
- questions of the candidates. If a suitable venue such as JavaOne is available the PMO shall also
- organize a public meeting with the same purpose.

## 638 5.3.3 SELECTION PROCESS FOR RATIFIED SEATS

- 639 Members are selected for the Ratified Seats using a ratification ballot which is carried out as follows:
  - The PMO nominates Members to fill the vacant Ratified Seats with due regard for balanced community and regional representation.
    - Eligible Members will vote to ratify each nominee over a 14-day voting period.
- A nominee is ratified by a simple majority of those who cast a vote.
- If one or more of the nominees are not ratified by the vote, the PMO will nominate additional Members as needed and hold additional ratification ballots until the vacant seats are filled.

#### 646 5.3.4 SELECTION PROCESS FOR ELECTED SEATS

- 647 Members are selected for the Elected Seats using an open election process that is carried out as 648 follows:
  - Four weeks before the voting period the PMO will post on the public JCP site a complete description of all materials that will be provided to voters (e.g. any candidate statements, position papers, candidate forums, etc. that will be posted during the election).
- Four weeks before the voting period the PMO will accept nominations from the Community for a period of 14 days. Any Member may nominate themselves except that employees of JCP Members cannot run for Elected Seats as individuals and the PMO shall reject such nominations.

- Eligible Members may vote for as many nominees as there are vacant Elected Seats over a 14-day voting period.
  - The nominees who receive the most votes will fill the vacant Elected Seats.
    - If there is only one nominee for an Elected Seat voters will be given the opportunity to vote "yes" or "no" for that candidate. To be elected, the candidate must obtain a simple majority.
  - Ties will be decided by following the procedure defined in <a href="http://www.ietf.org/rfc/rfc2777.txt">http://www.ietf.org/rfc/rfc2777.txt</a> and using the calculator provided by W3C in <a href="http://www.w3.org/2001/05/rfc2777">http://www.w3.org/2001/05/rfc2777</a>.

# 6. EXECUTIVE COMMITTEE JSR VOTING RULES

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- 1. All JSR ballots will be conducted electronically and the results made public.
- 2. JSR balloting periods last 14 days except where noted in this document.
- 3. EC Members may cast three types of votes: "yes", "no" and "abstain". Explicit abstentions are strongly discouraged. In the extreme and most undesirable case, an EC Member may not vote at all.
- 4. Only "yes" and "no" votes count in determining the result of a JSR ballot.
- 5. JSR ballots are approved if (a) a majority of the votes cast are "yes" votes, and (b) a minimum of 5 "yes" votes are cast. Ballots are otherwise rejected.
- 6. Ballots to approve UJSRs for new Platform Edition Specifications or JSRs that propose changes to the Java language are approved if (a) at least a two-thirds majority of the votes cast are "yes" votes, (b) a minimum of 5 "yes" votes are cast, and (c) Oracle casts one of the "yes" votes. Ballots are otherwise rejected.
- 7. Maintenance Review ballots are advisory only, as indicated in section 4.1.
- 8. "No" votes must be accompanied by an explanation of the changes (if any) that would persuade the member to change the vote to "yes".
- 9. It is highly recommended that abstentions be accompanied by comments.
- 10. When a failed JSR ballot results in the closing of a JSR, at least 1 month must pass before the JSR can be reinitiated.
- 11. EC ballots to override a first-level decision on a TCK challenge are approved if (a) at least a two-thirds majority of the votes cast are "yes" votes, and (b) a minimum of 5 "yes" votes are cast.
- 12. An item listed in an Item Exception Ballot will be deferred to the next JSR if at least one-third of the EC Members cast "no" votes for that item.
- 13. When more than one EC is voting on any JSR ballot, the ballot will be approved only if each EC approves it separately.

# IV APPENDIX A: REVISING THE JCP AND THE JSPA

- Revisions to the Java Community Process (this document) and the Java Specification Participation Agreement will be carried out using the Java Community Process with the following changes:
  - 1. Only EC members can initiate a JSR to revise one of these documents.
  - 2. Each EC must approve the JSR.
  - 3. The Expert Group consists of both ECs with a member of the PMO as Spec Lead.
- 4. There is no Reference Implementation or Technology Compatibility Kit to be delivered and no TCK appeals process to be defined.