

NIEMOpen Business Architecture Committee (NBAC) Technical Steering Committee (TSC) Governance

The NBAC TSC Governance is a living document, reviewed periodically, and based on inputs from the NIEMOpen Community-of-Interest.

Date	Version	Description
11 Apr 2023	REV 1	<ul style="list-style-type: none"> Replaces "Domain" with Sub-Committee when referring to the organization managing the model content of a particular Domain Space Addresses organization, membership, scope, definition, processes, and resources of the Harmonization Sub-Committee Introduces the process leading to conservatorship of inactive Sub-Committees and associated model content
TBD	REV 2	<ul style="list-style-type: none"> Replaces sponsor with patron to avoid confusion with an OASIS project funding sponsor Expands discussion of Domain Space Sub-Committees Adds section on contributing or modifying content to the NIEM model Updates NBAC TSC Chair/Co-Chair responsibilities and adds document links Adds section on NBAC TSC meetings Updates amendment process

This document amplifies the NIEMOpen Charter document and Open Project Lightweight Rules. It incorporates all provisions of those documents. In case of conflict, that parent document controls. This document changes infrequently by the process defined below.

NBAC Technical Steering Committee (TSC) Scope

The scope of the NBAC Technical Steering Committee (TSC) is to manage the content of the Core namespace in the NIEM data model, harmonize content across Core and the domains, validate and on-board new NIEMOpen Domain Space Sub-Committees as well as, advise and support the Project Governing Board (PGB) on matters relating to business architecture and requirements of NIEMOpen Project. The NBAC TSC shall:

- Facilitate the construction, maintenance, and use of a business architecture

- framework, model, code, and other NIEMOpen related documentations
- Manage the harmonization and issue resolution processes
 - Prepare and package updated versions of the data model
 - Provide management and oversight of the NIEM core, the central part of the NIEM data model that is commonly understood across all NIEM Domain Spaces
 - Serve as the forum for NIEMOpen NBAC TSC Domain Space Sub-Committees and interactions between NBAC Sub-Committees and communities-of-interest to coordinate content, data model, and code lists
 - Establish (or dissolve) tiger teams and/or Sub-Committees to help solve complicated data sharing issues or close gaps on mission critical data sharing issues or opportunities
 - On-board new NIEMOpen NBAC TSC Sub-Committees and ensure new NIEM data model content candidates are properly vetted and verified
 - Provide NIEMOpen management and technical training
 - Document standard operating procedures
 - In coordination with the NIEMOpen Technical Architecture Committee (NTAC) TSC, shepherd the model content candidate versions through the PGB evaluation and acceptance process
 - Assess NIEMOpen Domain Space Sub-Committees maturity, vitality, and health and provide remediation support if needed
 - Serve as conservator for inactive Sub-Committees and manage associated Domain Space content

Composition

NBAC TSC membership include the NBAC TSC chair/Co-Chairs, NBAC TSC Sub-Committee members, at-large members, NTAC TSC Co-chairs and members, NIEMOpen Maintainers, and NBAC TSC tiger teams (Figure 1). NBAC TSC official members must execute an Individual Contributor License Agreements (i-CLA) and an Entity Contributor License Agreement (e-CLA) if representing a company or agency. The NBAC Chair/Co-Chairs may invite non-member observers and guests to participate in activities on a temporary basis.

NBAC Chair/Co-Chair - The NBAC TSC nominally has two Co-Chairs. The NBAC Co-Chairs are appointed by the PGB via a call for nominations. Nominees for the NBAC Co-Chairs can be submitted to the PGB by any individual. The NBAC Co-Chairs serve nominal 2-year terms or until they voluntarily resign or are recalled by the PGB. If feasible, Co-Chair terms should be staggered to provide continuity.

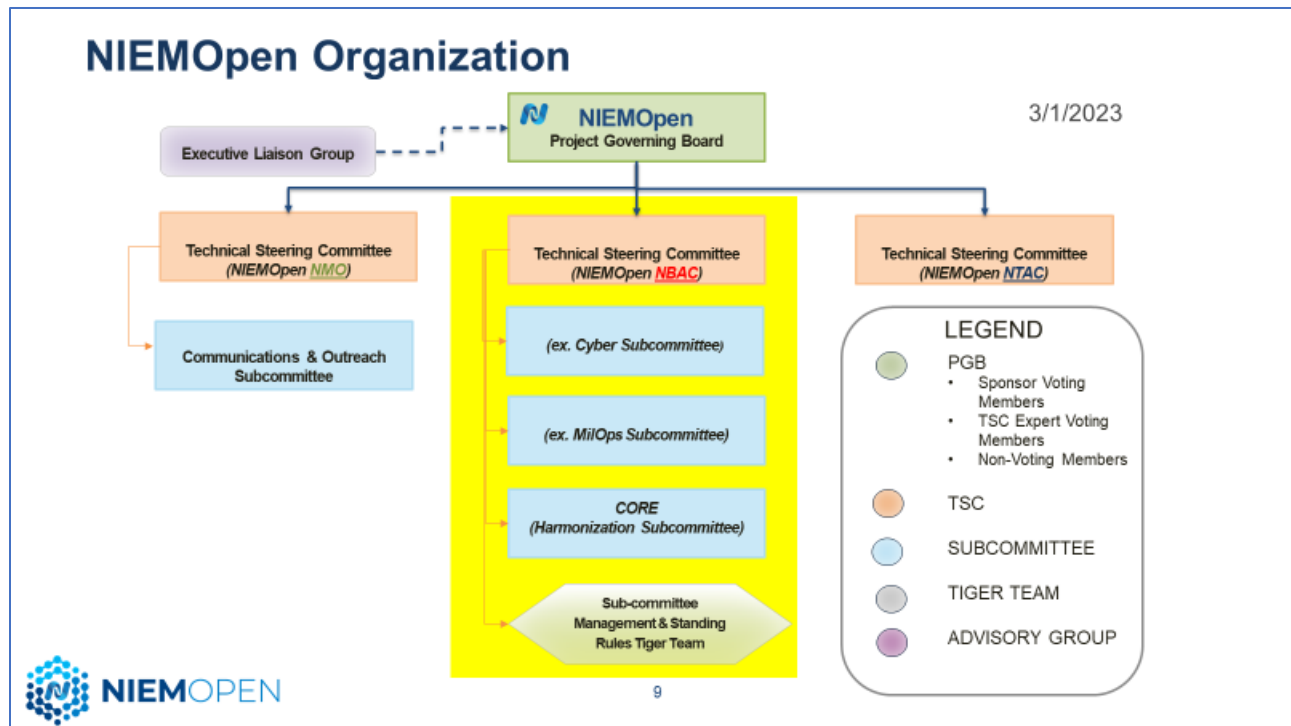


Figure 1: Governance Organization Chart

Nominees for membership to the NBAC TSC are approved by the Co-Chairs without dissent and participate until they voluntarily resign.

NIEMOpen Domain Space Sub-Committees – NIEMOpen Domain Space Sub-Committees are formally established communities-of- Interest (CoI) with chair/Co-Chairs to represent the stakeholders, governance, and data model content and context oriented around their respective business (functional) needs. Sub-Committees manage reusable, community-specific content and participate in NBAC TSC governance. Each Sub-Committee represents individuals and organizations that span all levels of government, non-governmental and commercial enterprises, and the international community.

NIEMOpen Domain Space Sub-Committee Chair/Co-Chairs - The Chair/Co-Chairs are responsible for the governance, management, operations, and model content including maintenance of their unique code-list (s) of their respective model Domain Space. The role may be shared between Co-Chairs.

Sub-Committee Chair/Co-Chairs are initially appointed by the patron organization (s) leadership or stakeholder nominations and subsequently as otherwise specified in a Sub-Committee governance document. Chair/Co-Chairs require the endorsement of the NBAC.

The Sub-Committee may appoint an executive (s)/ senior leader (s) from patron organizations and/or stakeholders to act as resource manager (s) and mentors.

Domain Space Sub-Committees (SC) – On 25 January 2023, the PGB approved establishing the former 17 NIEM Domains as NIEMOpen NBAC TSC Sub-Committees. Former Chairs/Co-Chairs, voting members, and members remain instantiated until such time that new members/ replacements are appointed/nominated by SCs.

Inactive Sub-Committees will be reviewed and placed under conservatorship and managed by the NBAC TSC Chair/Co-Chairs.

Sub-Committee members' i-clas and e-clas must be registered before new model content can be contributed by the SC or SC harmonization decisions can be made by SC members. If no Sub-Committee member has executed i-clas and e-clas as appropriate, the NBAC TSC Chair/Co-Chairs may act on their behalf as conservator until their clas are in place.

Former Domains, now Sub-Committees should document their governance procedures for NBAC TSC endorsement. A copy will also be provided to the NBAC TSC at large for peer review and comment period. A template is available to assist with crafting a Sub-Committee governance document: [https://github.com/niemopen/nbac-admin/blob/main/sub-committee-documents/\(FINAL\)%20%20Subcommittee%20Governance%20Template%20%20v2%20Doc%204-5-23.pdf](https://github.com/niemopen/nbac-admin/blob/main/sub-committee-documents/(FINAL)%20%20Subcommittee%20Governance%20Template%20%20v2%20Doc%204-5-23.pdf) . The SC policy and procedures are the province of the Sub-Committee so long as it is compatible with Open Project Lightweight Rules (<https://www.oasis-open.org/policies-guidelines/open-projects-process/>) and the NBAC TSC Governance Document as amended: <https://github.com/niemopen/nbac-admin/tree/main/documents> . Former domain charters should be transitioned to the Sub-Committee governance format as time and resources permit. Former Domain Stewardship Agreements (DSAs) are null, although much of what was contained in those DSA documents is captured in the NBAC TSC Governance Document as amended.

Sub-Committees shall hold open meetings for all interested parties, with meeting details sent ahead of time to the NBAC TSC subgroup mailing list. The NBAC TSC Secretary will post meetings to the NBAC TSC calendar. In lieu of specific meeting protocols as established in individual governance documents, meetings and decisions should generally follow "Roberts Rules" as adjudicated by Sub-Committee Chair/Co-Chairs. It is not the intent for Sub-Committees to be strictly bound by formalisms such as Roberts Rules if they overly burden the accomplishment of Sub-Committee work during meetings.

New Sub-Committees will submit governance drafts as part of their onboarding process.

Sub-Committees shall appoint model content contributors and harmonization representatives that act on behalf of the Sub-Committee. Representatives are posted to the NBAC TSC roster as verified by the Sub-Committee by lazy consensus.

Harmonization Sub-Committee – The Harmonization Sub-Committee manages model harmonization and is the conduit for accepting new model content for consideration. Harmonization is an ongoing process to improve the quality of the NIEM model - reduces semantic overlap, improves consistency of modeling, naming and definitions, and incorporates new and changing requirements (new Domain Spaces, updated content). The harmonization process integrates these new requirements while still ensuring data elements exist only once in the model. Two types of harmonization are focused on in the Sub-Committee, cross-domain harmonization (addresses overlap across multiple model Domain Spaces) and Core harmonization (addresses overlap and quality issues across Core and model Domain Spaces) (Figure 2).

Harmonization Sub-Committee Chair/Co-Chairs are appointed by the NBAC TSC Chair/Co-Chairs.

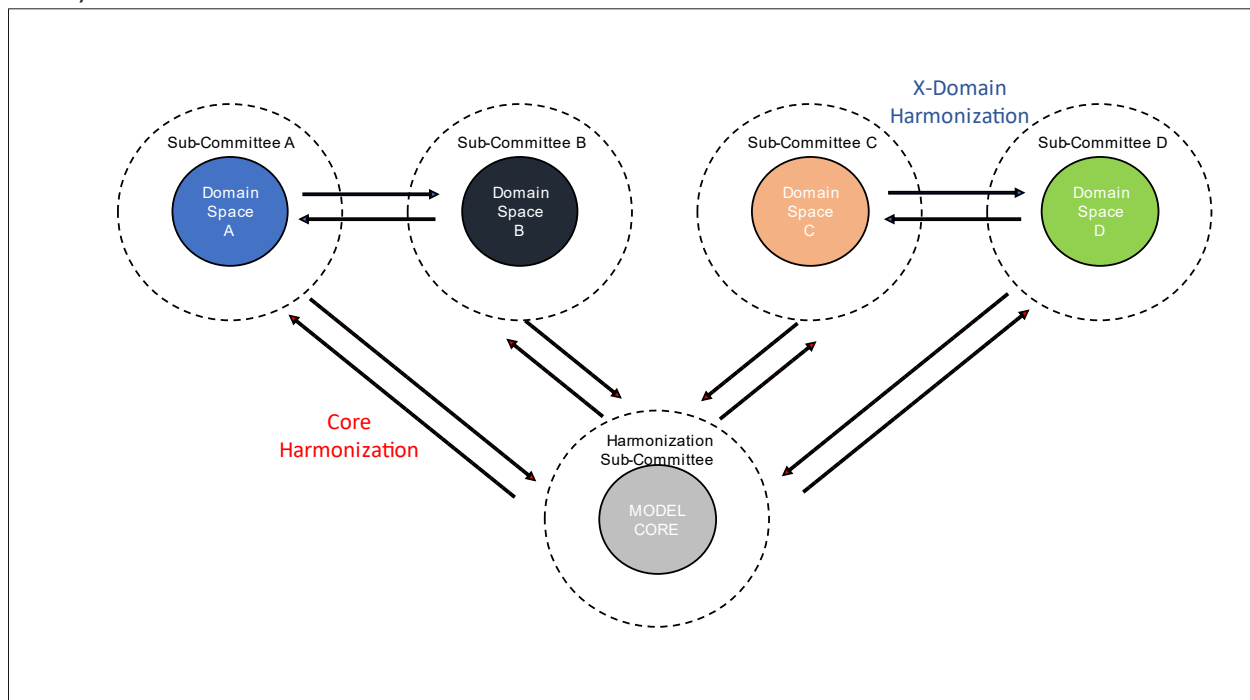


Figure 2: Core & X Domain Harmonization

The harmonization process involves the following major steps (Figure 3):

- Identify and submit potential issues
 - Anyone can submit potential issues to the issue tracker in the [niemopen/niem-model](#) repo on GitHub
 - Harmonization Technical Lead performs reviews to identify new harmonization issues based on commonly used terms, quality assurance checks
- Initial pass
 - Harmonization Technical Lead provides additional background information and potential options for a solution
- Discussion and recommendation
 - Harmonization Sub-Committee meets to review issues and decide on recommendations
- Recommended changes are staged and reviewed
 - Harmonization Technical Lead stages changes to the model / schemas and submits a niem-model pull request
 - Harmonization Sub-Committee confirms changes staged in the pull request
- Recommendations are approved by the NBAC via lazy consensus or sent back for further work
 - Harmonization Technical Lead summarizes upcoming issues and recommendations on the monthly NBAC TSC meetings or via the NBAC mailing list
 - Harmonization Technical Lead emails the NBAC mailing list with details and deadline to solicit feedback or objections
 - Harmonization Technical Lead moves issues with feedback / objections back to the Harmonization Sub-Committee
- Model updates are finalized
 - Harmonization Technical Lead accepts the approved issue's pull request and finalizes the changes

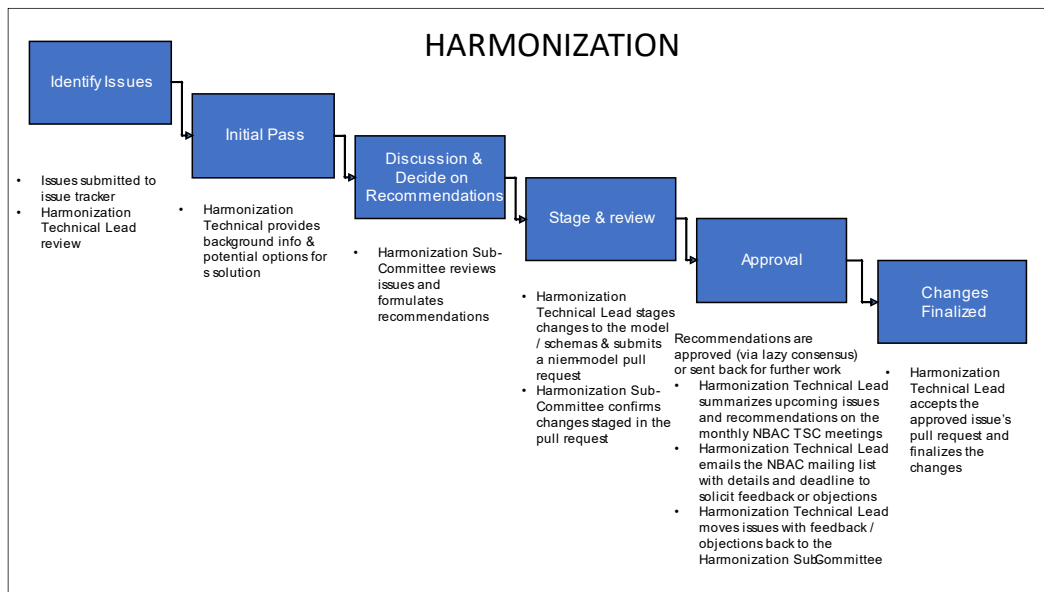


Figure 3: Harmonization Process

Harmonization resources include:

- [niemopen/niem-model GitHub repo](#)
 - Contains NIEM model schemas and documentation
 - NIEM 1.0 – NIEM 5.2 already added as contributions
- [Issue list](#) on niem-model repo
- [Project board](#) on niem-model repo
- [Mailing list](#)

Contributing to NIEMOpen (Overview)

A contribution is defined as "any material submitted to an OASIS Technical Committee by a TC Member in writing or electronically, whether in an in-person meeting or in any electronic conference or mailing list maintained by OASIS for the OASIS Technical Committee and which is or was proposed for inclusion in an OASIS Deliverable."¹ The definition as applied in the OASIS IPR Policy is likewise applicable to Open Projects (OPs).

Of note, a contribution is 'material,' or in other words something substantive, not a passing comment, observation, or suggestion. Second, it is something proposed for inclusion in a deliverable, e.g. a Project Specification (PS), model content or content change, document, etc. Together, these describe a contribution as a substantive piece of content with direct, pointed bearing on the project's work.

¹ [Intellectual Property Rights \(IPR\) Policy - OASIS Open \(oasis-open.org\)](#), Section 2. Definitions, listed sub-paragraph 4. Contributions.

The TC Process, and by extension to OPs, says:

"Contributions... shall be made by sending to the TC's general email list either the contribution, or a notice that the contribution has been delivered to the TC's document repository... The TC is not required to acknowledge or use any contribution."²

NBAC TSC Contributions

NBAC TSC contributions shall be made to the NBAC TSC mailing list (niemopen-nmotsc@lists.oasis-open-projects.org) or a notice to the mailing list that the contribution has been delivered to the NBAC TSC Admin Repo, contribution folder. The NBAC TSC mailing list requires subscription to post. Subscribe by sending blank message to niemopen-nmotsc+subscribe@lists.oasis-open-projects.org. Contributions will be acknowledged and either scheduled for consideration at a meeting of the TSC or a notice emailed to voting members for consensus or vote. For the special case of model content contributions or model change requests the rules in the subsequent section apply.

For NBAC TSC suggestions or proposals that don't constitute 'material', decisions can be made by consensus or vote. If someone comes forward with an idea or proposal, the member should present it to the committee as a motion and ask that it be considered. There are no requirements that the committee take into account technical justifications or cost/benefit analysis or any other requirements other than to give it consideration and then make its decision.

Contributing or Modifying Content to the NIEM Model – NIEMOpen accepts major changes to the content of the data model from either NIEM-conformant XML schema or a change request / mapping spreadsheet. The spreadsheet template and an example are available at <https://niem.github.io/reference/iepd/artifacts/mapping-spreadsheet/>. When adding / modifying content in the model, use the "add", "edit", and "delete" operations to specify changes. Other operations are also available if users want to capture in more detail how their data requirements map to NIEM.

Minor content requests can also be made by submitting a new GitHub issue to the NIEMOpen repo: <https://github.com/niemopen/niem-model/issues>.

If a contributor submits changes, then the NIEM model administrator (maintainer) reviews the changes to ensure NIEM conformance and that the request passes quality assurance (QA) checks.

If a contributor submits changes for a namespace not under their control, then approval from that namespace authority or the NBAC if under conservatorship must be obtained prior to accepting the change and conducting conformance and QA checks. The changes will then be

² Technical Committee (TC) Process (27 July 2011) - OASIS Open (oasis-open.org), Section 2.17.

scheduled for TSC review and consideration. The TSC may consult with namespace experts for input to the consideration.

The options for communicating a contribution or modification request include:

- Submit a pull request for the model repo with the schema: <https://github.com/niemopen/niem-model/pulls/>
- Submit an issue on the model repo with the schema or spreadsheet: <https://github.com/niemopen/niem-model/issues>
- Email the Harmonization Mailing List with the request and supporting documentation: niemopen-harmonizationsc@lists.oasis-open-projects.org

NBAC TSC Voting Members – The NBAC TSC voting members include:

- NBAC Chair/Co-Chairs
- Maximum 2 voting members per Sub-Committee as appointed or elected by the Sub-Committee

At-Large NBAC TSC Members (Non-Voting) – NIEMOpen stakeholders/Cols unaffiliated with a specific Sub-Committee may participate as At-Large members. Cols are groups of people who share a common concern, set of problems, or interest in a topic and eventually come together based on the need to exchange information. Members need not be aligned to a formal Sub-Committee to create NIEM exchanges or participate in the NBAC TSC.

PGB Expert Voting Member- The NBAC TSC PGB Expert Voting Member is appointed by the NBAC TSC Chair/Co-Chairs with consent of the PGB. Nominees can be submitted by any individual. The NABAC TSC PGB Expert Voting Member serves a nominal 2-year renewable term.

The TSC appointed PGB Expert Voting Member may rotate between Co-Chairs on a periodic basis.

PGB Expert Non-Voting Member (s) – TSC Chair/Co-Chairs not assigned as PGB Expert Voting Members may attend the PGB as Non-Voting Member (s).

NBAC TSC Maintainer (s) – NBAC TSC Maintainers and alternates are recommended by the NBAC TSC Chair/Co-Chairs and appointed by the PGB.

Responsibilities

NBAC TSC Chair/Co-Chairs - The NBAC Chair/Co-Chairs are delegated the following responsibilities

- Appoint NBAC TSC PGB Expert Voting Member
- Appoint NBAC TSC PGB Expert Non-Voting Member (s)
- Nominate NBAC TSC Maintainer (s) For NBAC repositories
- Endorse changes to the NBAC TSC governance document and submit to the PGB for approval
- Establish (or dissolve) Tiger Teams and Sub-Committees
- Endorse NBAC TSC Sub-Committee governance documents
- Endorse NBAC TSC Sub-Committee Chair/Co-Chairs without dissent
- Approve NBAC TSC membership
- Conduct regular NBAC meetings, creating or approving the agenda and directing the business of the meeting, the Chair/Co-Chairs shall exercise their executive discretion in bringing items before the committee for a vote
- Ensure that meeting minutes, including lists of attendees, and any assignments, decisions, or votes taken are compiled, recorded, and posted to the GitHub NBAC TSC Admin repo: <https://github.com/niemopen/nbac-admin>
- Post NBAC TSC, Sub-Committee, and Tiger Team Public Meetings to the NBAC TSC Subgroup Calendar: <https://lists.oasis-open-projects.org/g/niemopen-nbactsc/calendar>
- Draft NIEMOpen Project Annual Report if required
- Develop an NBAC TSC annual Work Plan
- Track accomplishment of Work Plan and committee tasks
- Document TSC membership, maintaining a current mailing list
- Maintain a roster and mailing list of TSC voting members
- Approve and Onboard new Sub-Committees
- Enforce committee voting rules and ensure that voting members can cast a vote
- Supervise Sub-Committee participation in the model harmonization process
- Supervise Sub-Committee participation supporting new model version candidates.

Domain Space Sub-Committee- The Sub-Committee Chair/Co-Chairs shall

- Appoint Sub-Committee voting members (2 maximum). Voting members should be
 - Experienced with NIEMOpen
 - Familiar with harmonization and model cycle processes
 - Understand OASIS Open Project Lightweight Rules and NIEMOpen governance
- Maintain a data dictionary of common elements and their related code-lists
- Maintain a roster and mailing list
- Draft, publish, and maintain procedures for Sub-Committee governance and the processes related to Domain Space data model and code list management

- Participate in Domain Space content harmonization and reconciliation activities supporting the NIEMOpen version publication cycle
- Provide support to the NBAC TSC including annual reporting of progress, plans, requirements, and achievements
- Provide support to the NIEMOpen Technical Architecture Committee (NTAC) TSC production of technical specifications, requirements, tools, and associated artifacts.
- Provide ongoing identification of data requirements based on data exchange modeling and development efforts
- Attend TSC meetings or provide a temporary proxy

Harmonization Sub-Committee- The Harmonization Sub-Committee Chair/Co-Chairs shall

- Appoint Sub-Committee voting members (2 maximum). Voting members should be
 - Experienced with NIEMOpen
 - Familiar with harmonization and model cycle processes
 - Understand OASIS Open Project Lightweight Rules and NIEMOpen governance
- Maintain a roster and mailing list
- Attend TSC meetings or provide a temporary proxy
- Participate in voting in a timely fashion
- Manage the harmonization process
- Approve membership and schedule meetings
- Provide updates to the NBAC TSC

Voting Members - Voting Members shall

- Attend TSC meetings or provide a temporary proxy
- Participate in voting in a timely fashion.

PGB Expert Voting Member– PGB Expert Voting Member shall

- Attend TSC and PGB meetings
- Participate in PGB voting in a timely fashion.

At Large Members – At large members shall

- Attend TSC meetings

- Serve on Tiger Teams and Sub-Committees
- Participate in harmonization and model cycle activities.

NBAC TSC Meetings

The NBAC TSC routinely holds a virtual community meeting on the last Thursday of the month from 1-2 PM EST. Meetings are scheduled on the NBAC TSC Subgroup calendar (<https://lists.oasis-open-projects.org/g/niemopen-nbactsc>) with a notice posted to the mailing list. Ad hoc meetings will be posted to the calendar and mailing list as early as feasible.

Meeting minutes are available at the NBAC TSC GitHub repo: <https://lists.oasis-open-projects.org/g/niemopen-nbactsc>

The agenda of the NBAC TSC monthly meeting is the discretion of the Chair/Co-Chairs. Agenda items may be submitted to the mailing list for consideration but need to be received prior to the third Tuesday of the month preceding a monthly meeting to receive favorable consideration. The meeting will include an opportunity for members to motion or ask questions, but discussion during the meeting is at the discretion of the Chair/Co-Chair based on time constraints. Tabled discussions items/motions will be addressed at subsequent meetings or as discussion threads and/or vote via the mailing list.

Decisions

For most decisions, the NBAC operates by [lazy consensus](#). The NBAC may, at its own discretion, delegate authority on minor decisions to Maintainers in the community, NBAC Tiger Teams, Sub-Committees, or members.

- NBAC TSC acceptance of Harmonization Process recommendations
- Recommending new Sub-Committees to TSC Chair/Co-Chairs for approval
- Approving minor version candidates for submission to PGB
- Approving major version candidates for submission to PGB
- Recommending work to the PGB for promotion to the standards track
- Endorsing NIEM award nominations for PGB approval

Decisions on the following items must be made based on a [Simple Majority Vote](#)

- Proposals, issues, or motions that do not have unanimous consent via vote or lazy consensus.

Appeals

An action taken or not taken by or with respect to the TSC may be appealed to the PGB.

Appellants shall file a complaint within 30 days of the action being appealed or at any time with respect to an inaction. The complaint shall state the nature of the objection(s), including any direct and material adverse effects upon the appellants; the section(s) of this TSC Process or OASIS policies at issue; the actions or inactions at issue; and the specific remedial action(s) that would satisfy the appellants' concerns. Previous efforts to resolve the objection(s) and the outcome of each shall be noted.

Instantiating a Sub-Committee

The NBAC TSC shall establish Standard Operating Procedures for instantiating new Sub-Committees.

As part of NIEMOpen operations, the need for new and unique content may become transparent. The NBAC TSC will explore potential candidate organizations for establishing Domain Space Sub-Committees.

As part of the NBAC TSC's normal outreach to potential "new adopters of NIEM" an organization may identify a business need that lends itself to establishing a new Domain Space. The NBAC TSC will assist candidates in qualifying and establishing a Sub-Committee.

An organization may approach NIEMOpen and the NBAC TSC and self-identify an organizational business need and interest in becoming a new NIEM Domain Space Sub-Committee. The NBAC TSC will assist candidates in qualifying and establishing a Sub-Committee.

Conservatorship

As Sub-Committees mature, some may reach stasis where there is no requirement to create new model content or exchanges. Additionally, there may be circumstances where a Sub-Committee is suspended, terminated, or otherwise becomes dormant. If a Sub-Committee is inactive, or without a Chair, or dormant for an extended period (6-12 months or as determined by the NBAC TSC), the NBAC TSC may retire the Sub-

Committee and act as conservator for the Sub-Committee's Domain Space model content (Figure 4).

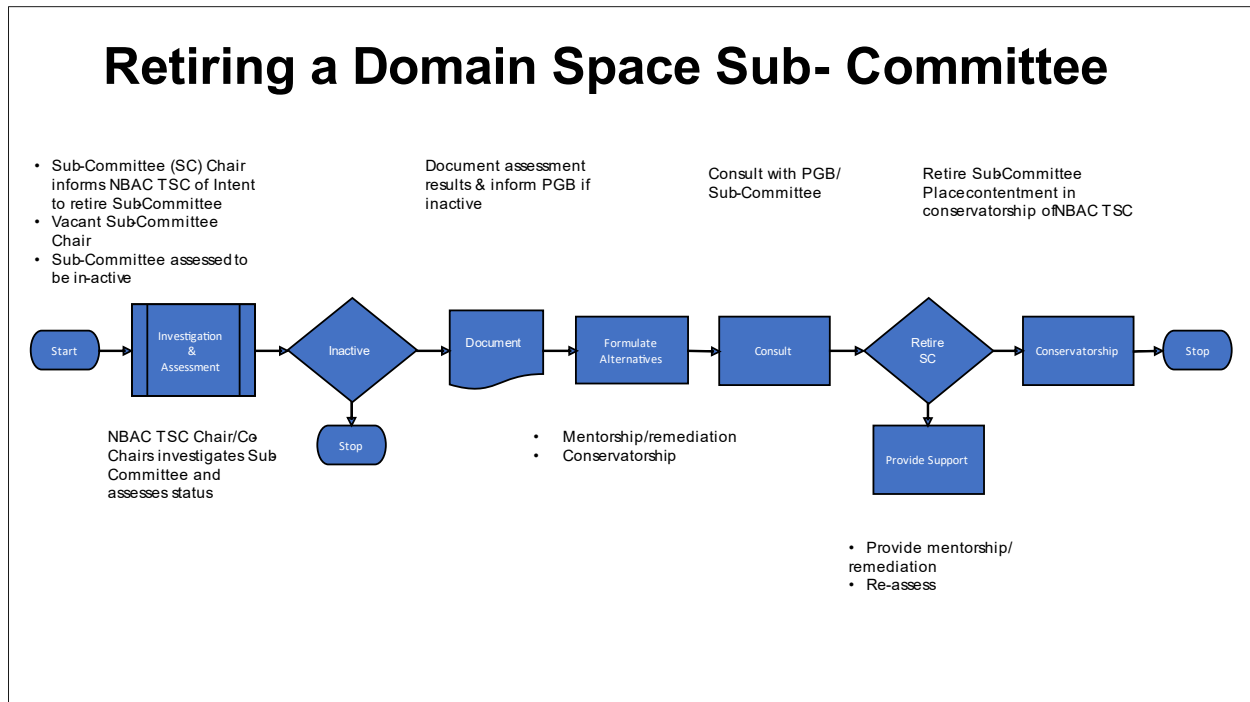


Figure 4: Conservatorship Process

Amendments

Updates/ amendments to the NBAC TSC Document can be submitted by any member to the NBAC TSC mailing list or as a motion during a NBAC TSC monthly meeting. A minimum 1-week notice will be afforded NBAC TSC members for peer review and comment before Chair/Co-Chairs consider for endorsement. Chair/Co-Chairs submit to PGB for approval.

Non-substantive changes such as updating links, grammar, and syntax can be accomplished by the NBAC TSC Secretary with Chair/Co-Chairs approval.