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	• 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	• 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

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

Composition

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

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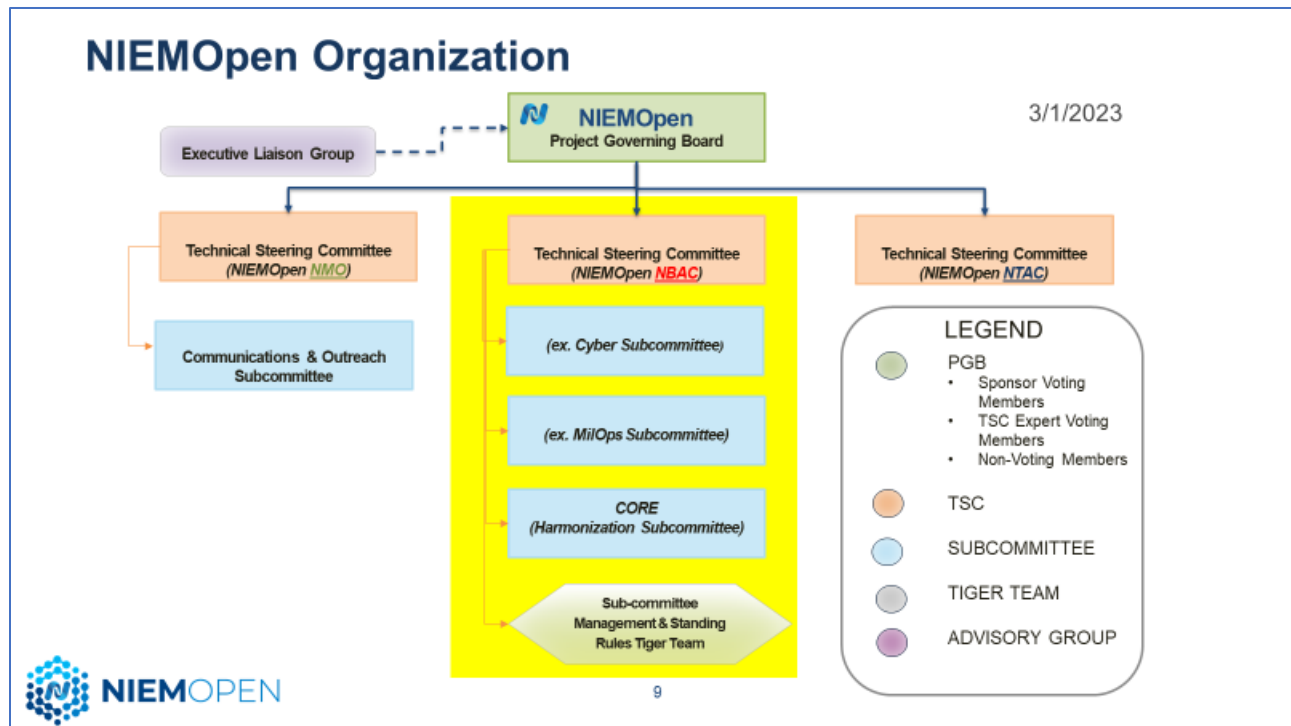54 feasible, Co-Chair terms should be staggered to provide continuity.

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.

76

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

79

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

84

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

87

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

93 Former Domains, now Sub-Committees should document their governance procedures
94 for NBAC TSC Chair/Co-Chair endorsement. A copy will also be provided to the NBAC
95 TSC at large for peer review and comment period. A template is available to assist with
96 crafting a Sub-Committee governance document: https://github.com/niemopen/nbac-
97 admin/blob/main/sub-committee-
98 documents/(FINAL)%20%20Subcommittee%20Governance%20Template%20%20v2%20Doc%
99 204-5-23.pdf . The SC policy and procedures are the province of the Sub-Committee so
100 long as it is compatible with Open Project Lightweight Rules (https://www.oasis-
101 open.org/policies-guidelines/open-projects-process/) and the NBAC TSC Governance
102 Document as amended: https://github.com/niemopen/nbac-admin/tree/main/documents .
103 Former domain charters should be transitioned to the Sub-Committee governance
104 format as time and resources permit. Former Domain Stewardship Agreements (DSAs)
105 are null, although much of what was contained in those DSA documents is captured in
106 the NBAC TSC Governance Document as amended.

107

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

5

116
117 <mark>New Sub-Committees will submit governance drafts as part of their onboarding process.</mark>
118
119 <mark>Sub-Committees shall appoint model content contributors and harmonization</mark>
120 <mark>representatives that act on behalf of the Sub-Committee. Representatives are posted to</mark>
121 <mark>the NBAC TSC roster as verified by the Sub-Committee by lazy consensus.</mark>
122
123 **Harmonization Sub-Committee –** The Harmonization Sub-Committee manages model
124 harmonization and is the conduit for accepting new model content for consideration.
125 Harmonization is an ongoing process to improve the quality of the NIEM model -
126 reduces semantic overlap, improves consistency of modeling, naming and definitions,
127 and incorporates new and changing requirements (new Domain Spaces, updated
128 content). The harmonization process integrates these new requirements while still
129 ensuring data elements exist only once in the model. Two types of harmonization are
130 focused on in the Sub-Committee, cross-domain harmonization (addresses overlap
131 across multiple model Domain Spaces) and Core harmonization (addresses overlap and
132 quality issues across Core and model Domain Spaces) (Figure 2).
133
134 Harmonization Sub-Committee Chair/Co-Chairs are appointed by the NBAC TSC
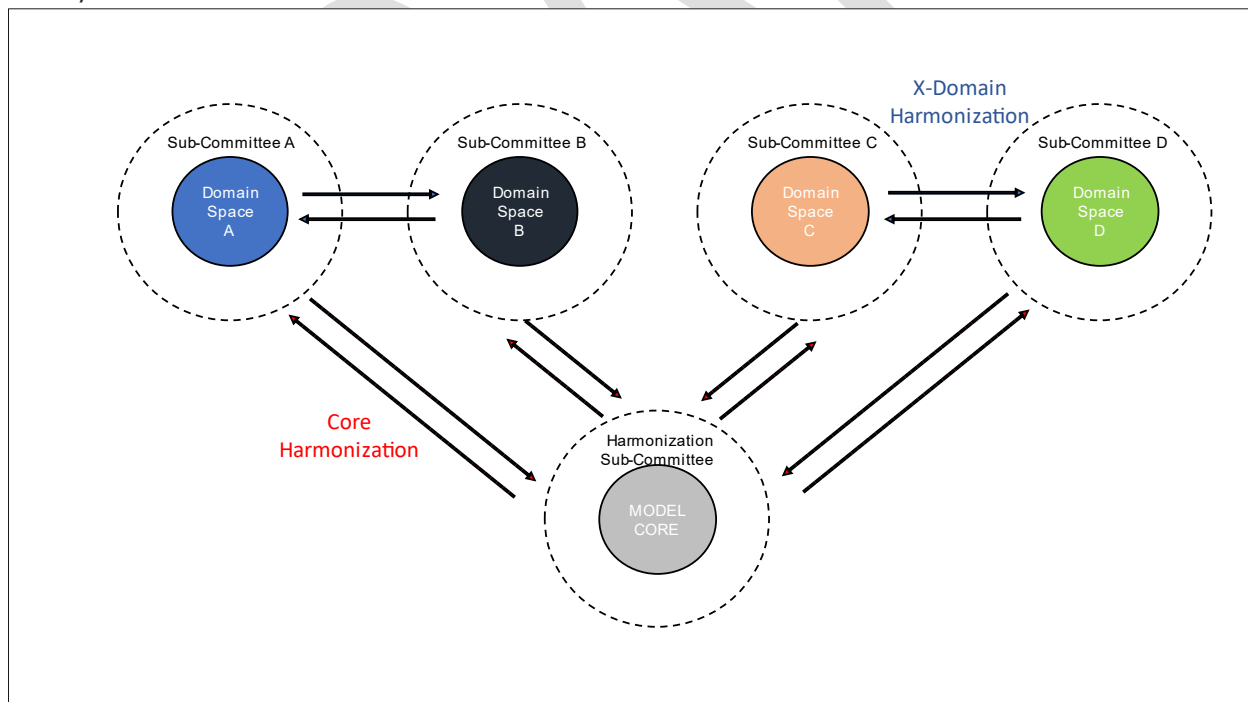135 Chair/Co-Chairs.

136
137
138 *Figure 2: Core & X Domain Harmonization*

139 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
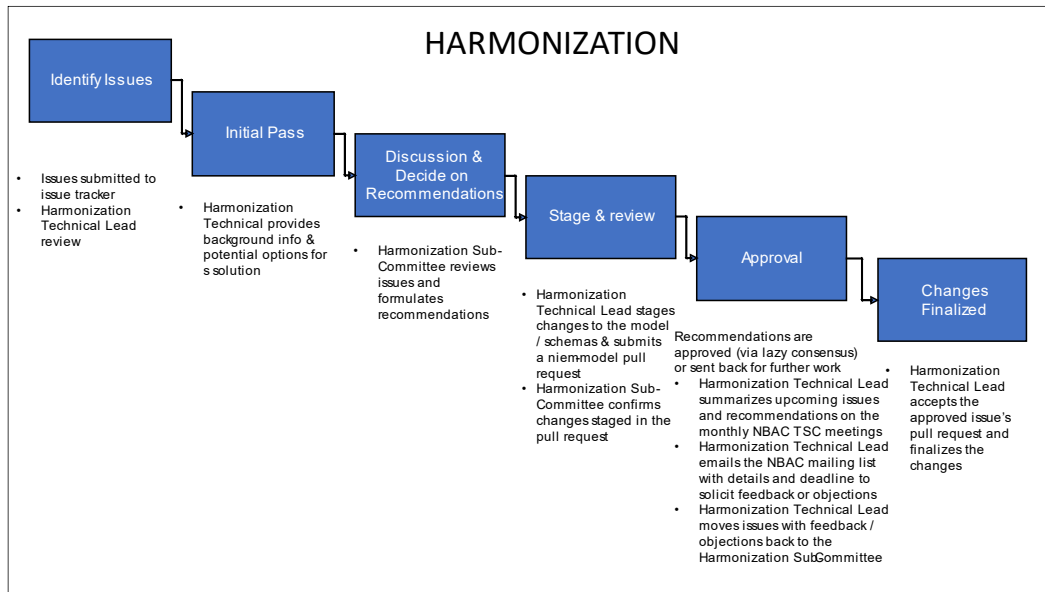 - Harmonization Technical Lead accepts the approved issue's pull request and finalizes the changes

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.

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

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

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

196   **NBAC TSC Contributions**

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

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

211   Contributing or Modifying Content to the NIEM Model – NIEMOpen accepts major
212   changes to the content of the data model from either NIEM-conformant XML schema or a
213   change request / mapping spreadsheet. The spreadsheet template and an example are available
214   at https://niem.github.io/reference/iepd/artifacts/mapping-spreadsheet/. When adding /
215   modifying content in the model, use the "add", "edit", and "delete" operations to specify
216   changes. Other operations are also available if users want to capture in more detail how their
217   data requirements map to NIEM.
218
219   Minor content requests can also be made by submitting a new GitHub issue to the NIEMOpen
220   repo: https://github.com/niemopen/niem-model/issues .
221
222   If a contributor submits changes, then the NIEM model administrator (maintainer) reviews the
223   changes to ensure NIEM conformance and that the request passes quality assurance (QA)
224   checks.
225
226   If a contributor submits changes for a namespace not under their control, then approval from
227   that namespace authority or the NBAC if under conservatorship must be obtained prior to
228   accepting the change and conducting conformance and QA checks. The changes will then be

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

229 <mark>scheduled for TSC review and consideration. The TSC may consult with namespace experts for</mark>
230 <mark>input to the consideration</mark>.

231

232 The options for communicating a contribution or modification request include:
233 - Submit a pull request for the model repo with the
234 schema: https://github.com/niemopen/niem-model/pulls/
235 - Submit an issue on the model repo with the schema or
236 spreadsheet: https://github.com/niemopen/niem-model/issues
237 - Email the Harmonization Mailing List with the request and supporting documentation:
238 niemopen-harmonizationsc@lists.oasis-open-projects.org

239

240 **NBAC TSC Voting Members** – The NBAC TSC voting members include:
241 - NBAC Chair/Co-Chairs
242 - Maximum 2 voting members per Sub-Committee as appointed or elected by the
243 Sub-Committee

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

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

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

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

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

260 ## Responsibilities

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

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

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

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

302 • Participate in Domain Space content harmonization and reconciliation activities
303   supporting the NIEM<mark>Open</mark> version publication cycle
304 • Provide support to the NBAC TSC including annual reporting of progress, plans,
305   requirements, and achievements
306 • Provide support to the NIEMOpen Technical Architecture Committee (NTAC) TSC
307   production of technical specifications, requirements, tools, and associated
308   artifacts.
309 • Provide ongoing identification of data requirements based on data exchange
310   modeling and development efforts
311 • Attend TSC meetings or provide a temporary proxy

312

313 **Harmonization Sub-Committee-** The Harmonization Sub-Committee Chair/Co-
314 Chairs shall

315

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

328

329 **Voting Members -** Voting Members shall

330

331 • Attend TSC meetings or provide a temporary proxy
332 • Participate in voting in a timely fashion.

333 **PGB Expert Voting Member–** PGB Expert Voting Member shall

334 • Attend TSC and PGB meetings
335 • Participate in PGB voting in a timely fashion.

336 **At Large Members –** At large members shall

337 • Attend TSC meetings

338   •   Serve on Tiger Teams and Sub-Committees

339   •   Participate in harmonization and model cycle activities.

NBAC TSC Meetings

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

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

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

Decisions

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

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

366 Decisions on the following items must be made based on a Simple Majority Vote

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

369 ## Appeals

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

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

379

380 ## Instantiating a Sub-Committee

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

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

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

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

394 ## Conservatorship

395 As Sub-Committees mature, some may reach stasis where there is no requirement to
396 create new model content or exchanges. Additionally, there may be circumstances
397 where a Sub-Committee is suspended, terminated, or otherwise becomes dormant. If a

398 Sub-Committee is inactive, or without a Chair, or dormant for an extended period (6-12
399 months or as determined by the NBAC TSC), the NBAC TSC may retire the Sub-
400 Committee and act as conservator for the Sub-Committee's Domain Space model
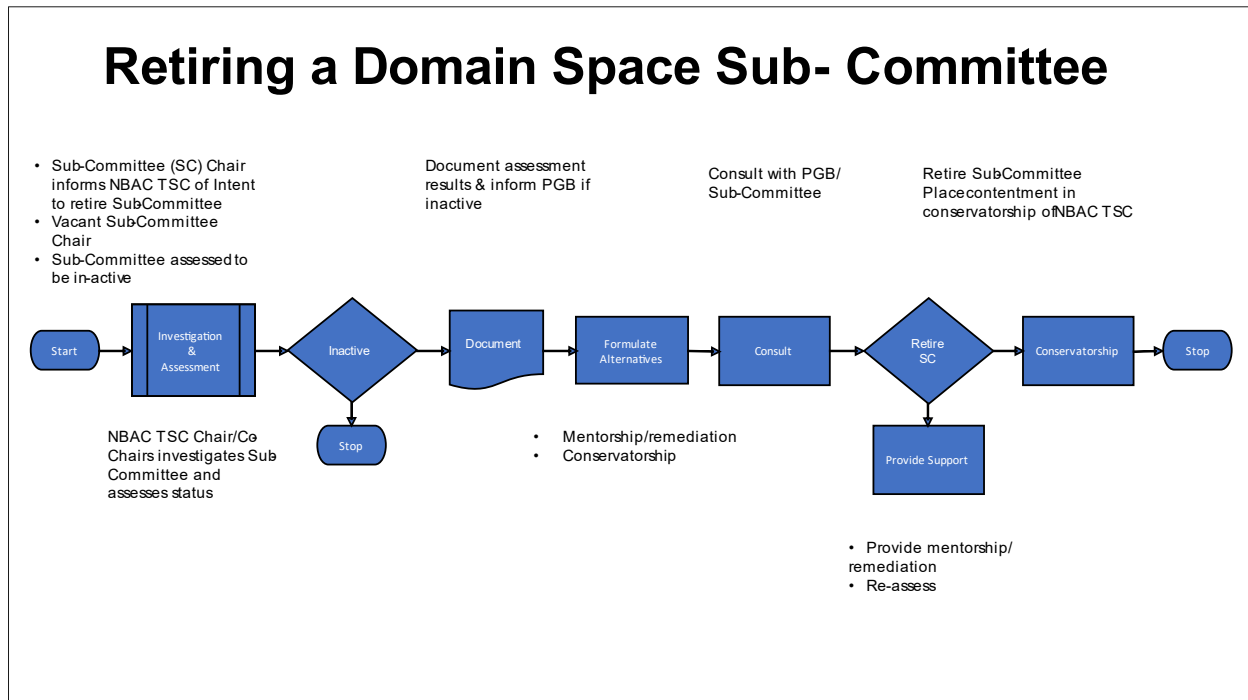401 content (Figure 4).

402

403
Figure 4: Conservatorship Process

404 <mark>**Amendments**</mark>

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

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