Policy on Developing and Approving NSDL Policies

<table>
<thead>
<tr>
<th>Title:</th>
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<tbody>
<tr>
<td>Type:</td>
<td>Standard Policy</td>
</tr>
<tr>
<td>Status:</td>
<td>Draft</td>
</tr>
</tbody>
</table>
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PC-1-Draft2.pdf |
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Replaced by: PC-1-Draft3 [PC-1-Draft3.pdf] |
| Source: | Policy Committee                                 |
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| Contributor: | Source Editor: Stuart Sutton |
| Date: | Date Received: 6/5/2002 |
| Abstract: | This policy provides the goals, principles, and procedures for developing and approving policies for the NSDL community |

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1.0 Introduction

1.1 Abstract: This document describes the policy-making processes used by NSDL entities. More specifically, it defines the steps taken as proposals for Public Statements in the form policies, guidelines, and deprecations move from various points of origin in the NSDL up through their formalization as recommendations in the Standing Committees and then on to the Policy Committee for evaluation and action. The document also describes the criteria used by the Policy Committee in its deliberations and the mechanisms for publicly documenting its decisions.

1.2 Unique Identifier: [ not yet assigned ]

1.3 Status: Draft Policy

1.4 Definitions

1.4.1 Public Statement: One of various public documents defined more specifically in section 3.0 that provide NSDL with a corporate voice to advance its mission in ways that are informed by, and acceptable to the NSDL community. Public Statements provide a single set of documents that describe both the agreements that enable the partners to work together and the decisions of the Policy Committee.

1.4.2 [ Another operative terms needing definition ]

2.0 Policy Committee Meetings

2.1 Scheduling

2.1.1 Face-to-face meetings should be at least twice a year.
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2.1.1.1 One meeting should be in conjunction with the annual All Projects meeting.

2.1.1.2 The second meeting should be scheduled at a different time of year, preferably close to other conferences so as to make attendance as convenient for as many members as possible.

2.1.2 Virtual meetings should be scheduled as needed.

2.2 Attendance by Others

2.2.1 Attendance at Policy Committee meetings by non-Policy Committee members of the NSDL community is by invitation only

2.2.1.1 Interested attendees should request an invitation from the Chair of the Policy Committee.

2.2.2 Participation in discussion of Standing Committee recommendations is encouraged.

3.0 Categories of Policy Committee Public Statements

3.1 Policy: A specification, or set of specifications that all partners in the NSDL are required to observe.

3.2 Guideline: A specification, or set of specifications that all partners in the NSDL are encouraged to observe for participation in the aspect of the NSDL governed by the guideline.

3.3 Deprecation: A statement that the NSDL community need no longer observe a specific policy or guideline.

3.4 Decision: A full statement of the reasons for a Policy Committee action. Public dissemination of a policy, guideline or deprecation will have an accompanying Policy Committee decision. Similarly, an action of the Policy Committee declining to issue a policy, guideline or deprecation will have an extensive decision explaining the Policy Committee’s rationale.

4.0 Sources of Proposals for Public Statements

4.1 Committees: Standing Committees receive, publicize, and sponsor all proposals for policies, guidelines and deprecations forwarded to the Policy Committee for consideration and action. With the exception of policies, guidelines and deprecations put forward by the Policy Committee as a Standing Committee, responsibility for authorship of recommendations rests with the various Standing Committees.
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4.1.1 The Chair of the sponsoring Standing Committee manages the development of a draft proposal by the committee or may assign a committee member to serve as editor of the draft.

4.1.2 When a committee consensus on the draft proposal is reached, the Chair of the Standing Committee forwards the proposal to the Chair of the Policy Committee as a Standing Committee recommendation.

4.1.3 If the Chair of the Policy Committee considers the proposal to be incomplete in terms of the criteria stated in section 7.0, the Chair of the Policy Committee will return the proposal to the Chair of the Standing Committee for revision.

4.2 Assembly: The Assembly can forward a request to the Policy Committee Chair for a policy, guideline, or deprecation generated through the Assembly’s petition process. Such requests are assigned by the Policy Committee Chair to the appropriate Standing Committee for consideration and action through the processes outlined in section 4.1.

5.0 Procedures for Policy Committee Review

5.1 Public Comment Period

5.1.1 If the Chair of the Policy Committee considers a committee recommendation to be complete in terms of the criteria stated in section 7.0, the Chair will place the text of the recommendation on the Policy Committee Web site.

5.1.2 The Chair of the Policy Committee will post a message announcing a one month public comment period for the Standing Committee recommendation on NSDL-All and other relevant lists.

5.1.2.1 Announcements will include:

5.1.2.1.1 Links to relevant information to be considered with the recommendation.

5.1.2.1.2 The relevant deadline for comments.

5.1.2.1.3 The address for comment submissions.

5.1.2.1.4 The name and contact information for the assigned shepherd as defined in section 5.2.
5.1.2.1.5 Information about the Policy Board meeting at which the recommendation will be discussed, including how to request an invitation to participate.

5.2 Shepherd Assignment

5.2.1 No later than the date announcing the public comment period for a Standing Committee recommendation, the Chair of the Policy Committee will assign a member of the Policy Committee to serve as the shepherd for the recommendation. Nothing precludes the Chair of the Policy Committee from assigning a shepherd at any time before the public comment period.

5.2.2 The shepherd will monitor the public discussion of the Standing Committee recommendation and summarize that discussion for the Policy Committee.

5.2.3 The shepherd will serve as liaison to the relevant Standing Committee during the time the recommendation is under discussion and after a decision has been made by the Policy Committee. If the shepherd is assigned prior to the public comment period, the shepherd may serve as the Policy Committee liaison during the development of the recommendation.

5.3 Policy Committee Deliberations and Actions on Recommendations

5.3.1 Policy Committee Deliberations

5.3.1.1 Attendance by Interested Parties: Attendance by non-Policy Committee members of the NSDL at the meeting where a recommendation is to be discussed and action taken is permitted through advance arrangements with the Policy Committee Chair.

5.3.1.2 Documents for Review at the Meeting

5.3.1.2.1 The recommendation as proposed by the Standing Committee.

5.3.1.2.2 The shepherd’s summary of the public discussion including issues raised. Where possible, links to relevant email messages in the NSDL-All archive should be provided for critical issues.

5.3.1.2.3 Any other documents considered relevant to the discussion by any member of the Policy Committee or the sponsoring Standing Committee.
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5.3.2 Policy Committee Voting

5.3.2.1 Voting shall be limited to scheduled Policy Committee meetings and conference calls.

5.3.2.2 In all cases, a vote may not be cast by a Policy Committee member who is not present, either actually or virtually, for the relevant discussion.

5.3.2.3 Policy Committee members who cannot be present may present their arguments for or against a recommendation in writing prior to the meeting. Such statements do not constitute a vote.

5.3.2.4 Consensus is achieved if no more than one Policy Committee member objects to the recommendation.

5.3.3 Policy Committee Decision Documentation

5.3.3.1 A draft of the Policy Committee decision on a Standing Committee recommendation will be written by the shepherd and circulated amongst the members of the Policy Committee. The decision should include Committee reasoning and, where appropriate and necessary, recommendations for possible future actions for the sponsoring Standing Committee.

5.3.3.2 A draft decision will be considered final when a consensus is reached among the Policy Committee members who were present at the meeting that the document accurately reflects the decision reached.

5.3.3.3 Policy Committee decisions will be assigned an unambiguous identifier in a form approved by the Policy Committee and the Core Integration Team.

5.3.4 Public Statements for Policy Committee Decisions

5.3.4.1 Decision to Issue a Policy, Guideline or Deprecation

5.3.4.1.1 A Policy Committee decision to issue a policy, guideline or deprecation shall include: (1) the Policy Committee’s written decision, and (2) the normalized text of the policy, guideline or deprecation including an assigned unique identifier in a form approved by the Policy Committee and the Core Integration Team.
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5.3.4.1.2 The Policy Committee will assign the document one of following statuses: Policy, Guideline or Deprecation.

5.3.4.2 Decision Not to Issue a Policy, Guideline or Deprecation

5.3.4.2.1 The only public statement made by the Policy Committee when it declines to issue a policy, guideline or deprecation is its formal written decision described in section 5.3.3.

5.3.5 Publication of Policy Committee Public Statements

5.3.5.1 The Chair of the Policy Committee will register Policy Committee public statements with the Core Integration Team.

5.3.5.2 The Core Integration Team will maintain a single linked index to all public statements of the Policy Committee divided into Policies, Guidelines, Deprecations and Decisions.

5.3.5.3 Once the public statement is publicly available, the Chair of the Policy Committee will announce the decision on NSDL-All and on the sponsoring Standing Committee list.

6.0 Policy Committee Evaluative Criteria for Recommendations

6.1 Is the recommendation well-formed—i.e., does it include all of the relevant information defined in section 7.0?

6.2 Is the recommendation procedurally correct—i.e., does the recommendation actually represent a Standing Committee consensus reached through open discussion and other open processes?

6.3 Has the Standing Committee clearly demonstrated a need for the recommendation—i.e., is the recommendation necessary to advance some goal of the NSDL?

6.4 Are there identifiable negative effects or potential negative effects presented by the recommendation in terms of the NSDL mission, its community and its infrastructure?

7.0 Format of Standing Committee Recommendations

7.1 Components of a Standing Committee Recommendation

7.1.1 Supporting Information: One of the goals of the supporting information is for the Standing Committee to directly address the criteria
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the Policy Committee uses in making its decisions as stated in section 6.0. Particular attention should be paid sections 6.2 through 6.4. This discussion should include identified concerns.

7.1.2 The Recommendation: The following table contains the information necessary for a Standing Committee recommendation to be considered “well-formed.”

<table>
<thead>
<tr>
<th>Sponsoring Committee</th>
<th>The sponsoring Standing Committee</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unique Identifier</td>
<td>Recommendation are identified by a code that identifies the sponsoring Standing Committee (usually the initials of the Committee), the word “draft” and a draft sequence number separated by hyphens.</td>
</tr>
<tr>
<td>Date</td>
<td>The date on a Standing Committee recommendation is the date the sponsoring Committee submitted the recommendation to the Policy Board. The date on a Public Statement is the date Policy Board published the Statement.</td>
</tr>
<tr>
<td>Title</td>
<td>The title is a one-line description. The word &quot;Interim&quot; may be included in the title if there is an expectation that the document will be revised in the near future.</td>
</tr>
<tr>
<td>Proposed Category (Status)</td>
<td>Policy, Guideline or Deprecation. The Policy Committee reserves the right to change the category—e.g., a proposed Policy might be issued as a Guideline.</td>
</tr>
<tr>
<td>Proposed Conformance Entity</td>
<td>If possible and necessary, the sponsoring Standing Committee should identify any NSDL entity or entities that should be responsible for monitoring/enforcing conformance.</td>
</tr>
<tr>
<td>Abstract</td>
<td>Every Public Statement should have an abstract. Although there is no strict limit on the length, authors are encouraged to keep abstracts short, preferably to less than 100 words. Setting the context for the Public Statement is one function of the abstract.</td>
</tr>
<tr>
<td>Body</td>
<td>There is no prescribed format for a Standing Committee recommendation. However, Standing Committees are cautioned to consider the following factors:</td>
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<td></td>
<td>• The sponsoring Standing Committee should specify means to evaluate the level of conformance and identify a strategy for encouraging full compliance (rewards</td>
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### Policy on Developing and Approving NSDL Policies

- To support unambiguous internal citation, sections and paragraphs of Public Statements need to be numbered or otherwise uniquely identified in a consistent manner (this document is an example).

- Public Statements are intended to be readable by anybody who is interested in the NSDL; therefore, terms that are unlikely to be clear outside the Public Statement’s immediate community of interest should be defined.

- Policies and guidelines remain in effect until deprecated. Therefore, they may remain current for many years.

- As far as possible, Public Statements should be self-contained. In general, if a document needs to be modified, it is better to replace it, rather than to present a set of changes that have to be read in conjunction with the original.