

# The Open Group Architecture Forum

## Operating Procedures

### 1. Introduction

#### 1.1 Purpose

The purpose of this document is to record the guiding principles, the roles of the Officers, and specific procedures for operation of The Open Group Architecture Forum. This document supplements The Open Group's standard governance processes by making specific choices, for example defining the size of a quorum and how decisions are made within the forum. A secondary purpose for this document is to assist in the provision of continuity for forum operations as and when the officers of the Architecture Forum change.

#### 1.2 Principles

The guiding principles for the operation of the Architecture Forum are as follows:

##### Principle #1 – The primacy of principles

- All the Forum's decisions, and decision-making processes, will be based on principles that are agreed by, and openly accessible to, members of the Forum.

##### Principle #2 – We Inherit the Principles of The Open Group

- We are committed to the achievement of The Open Group's vision, mission, and to adhere to its principles.
- e.g.: Boundaryless Information Flow; Standards Adoption Criteria; IPR; Making Standards Work.

##### Principle #3 – Collaboration

- Everything we do is done through good will, trust, and collaboration.
  - The Forum must be inviting, open to hearing everyone's voice.
  - We need to express rationale, not just positions.
  - Decision making is collaborative and informed.

##### Principle #4 – Shared Purpose

- Our shared purpose is to advance a common standard.
  - Everyone has a business rationale for participation.
  - Everyone has come here to make the industry better.
- Everyone shares the credit and the benefit.

##### Principle #5 – Formal Process

- The forum follows formal processes for planning, operations, decision-making, and reaching consensus.

##### Principle #6 – Obligations of Leadership

- The higher up you are, the more you are a servant to the organization.
  - The obligation of the Chair is to facilitate the forum to pursue its agreed objectives, and to enable it to make its decisions balanced by consensus, fairness, and the voluntary nature of the organization.

Principle #7 – Openness and Assumption of Good Intent

- Seek to collaborate and understand
  - By validating assumptions and inferences
  - By clarifying the meaning of special words used

**1.3 Overriding Processes**

These procedures are designed to operate within the standard governance processes of The Open Group, which override these procedures in the event of any conflict.

Standard governance processes include:

- The operation of The Open Group Governing Board
- Governing Board Technical Approvals Board
- Developing and Approving Standards (“Company Review”)
- Certification Programs
- Confidentiality
- Standards Adoption Criteria
- The processes of the Customer Council and Supplier Council which include the procedures for starting new work items within The Open Group

The overriding processes include guidelines on how to start new work items and run the consensus process. A useful resource is the website

<https://www.opengroup.org/projects/spectools/> .

**1.5 Status**

Approved.

**1.6 Revision History**

Version	Date	Status
1.4r3	27 April 2007	Approved by the forum at the April 2007 meeting in Paris
1.4r4	27 June 2007	Updated after the first set of change requests.

## 2. Forum Officers

### 2.1 Forum Chair

The Forum Chair is elected annually by the members of the Forum and is accountable to the membership of the Forum and to the Governing Board of The Open Group for operation and achievements of the Forum.

Specific responsibilities of the Forum Chair include

- Convening meetings of the Forum and agreeing the objectives and agenda for each meeting with the rest of the Leadership Team.
- Chairing meetings of the Forum and the Leadership Team; managing the Forum meetings to achieve their objectives within the published agenda.
- Convening meetings of the Leadership Team.
- Reporting to The Open Group Governing Board (and any ad-hoc groups established by The Open Group Governing Board) and Councils on the activities of the Forum.
- Reporting any direction given by The Open Group Governing Board to the members of the Forum.
- Monitoring the activities of the Forum and bringing to the attention of the Leadership Team any matter where there does not appear to be sufficient consensus to meet the formal governance requirements of The Open Group.
- Liaison with the Chairs of other Forums to avoid duplication of effort and to encourage the adoption of architecture across the whole of The Open Group
- Ensuring that the consensus process is adhered to for all decisions of the forum.
- Ensuring that all projects within the forum are documented in the forum annual plan and roadmap of deliverables.
- Ensuring that all projects within the forum have open accessibility in participation to all forum members and that all deliverables are regularly accessible.<sup>1</sup>

### 2.2 Forum Vice Chair

The Forum Vice Chair is elected annually by members of the Forum and accountable to the membership of the Forum and to the Forum Chair. The Vice Chair is responsible for supporting the activities of the Forum Chair as needed including active participation as defined in Section 2.4. In the event that the Chair is unable to attend a meeting, the Vice Chair shall assume the role of Chair.

### 2.3 Forum Director

The **Forum Director** is a staff member of The Open Group, appointed by the President of The Open Group and is accountable to the President of The Open Group. The primary responsibility of the Forum Director is to ensure that the Forum operates within the operating rules of The Open Group and to co-ordinate the provision of other resources from The Open Group in support of the activities of the Forum.

Specific responsibilities of the Forum Director include:

- Publishing notification of meetings of the Forum, together with the agenda and objectives in consultation with the Chair and the Vice Chair.
- Maintaining an annual plan and roadmap of deliverables for the Forum.
- Publishing appropriate minutes of all meetings of the Forum.
- Reporting to the Executive Management Team of The Open Group on the activities of the Forum.
- Reporting any direction given by the Management Team of The Open Group relating to the activities of the Forum to its members.

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<sup>1</sup> In practice this means ensuring that regular project updates and deliverables are made available to all members. Usually this should correspond with the deliverable dates within the specific project plan.

- Co-ordinating the provision of other resources from The Open Group to meet the needs of the Forum. (Technical editing, Marketing, Product/Project Management etc.)
- Supporting the Forum Chair and Vice Chair.
- Liaison with the Directors of other Forums to avoid duplication of effort and to encourage the adoption of architecture across the whole of The Open Group.

#### **2.4 Responsibilities of the Elected Officers**

The Elected Officers are responsible for co-ordinating the activities of the Forum on behalf of the membership of the Forum. Their primary role is to enhance the effectiveness of the Forum by formulating recommendations for approval by the members of the Forum. However, the Elected Officers are authorized to take decisions on behalf of the Forum, where warranted, subject to subsequent ratification by the Forum.

Specific responsibilities of the Elected Officers include:

- Agreeing the schedule of meetings and teleconferences to progress the work of the Forum.
- Soliciting input from Forum Members with respect to the content of all meetings of the Forum.
- Agreeing the objectives and agenda for each meeting.
- Formulation of proposals for [this does not preclude any other members of the Forum from making such proposals]:
  - Changes to the structure of the Forum and its operating procedures.
  - Establishment of new projects; Changes in scope of projects; Termination of projects.
  - New Standing Committees; Changes in scope of Standing Committees; Closure of Standing Committees.
  - Resolution of issues.
- Acting as an escalation body to handle any issues arising from the forum membership.
- Working with the Forum Director to develop and maintain the forum annual plan and roadmap of deliverables.
- Ensuring that new work items follow the established Customer Council guidelines for starting new work items within The Open Group.

### 3. Specific Processes

#### 3.1 Elections of Forum Chair and Vice Chair

Ballots to elect the Forum Chair and Vice Chair are taken annually. The specific voting rules associated with e-mail ballots shall apply (see section 3.6).

The Forum Director shall announce the need for an election by e-mail to all members of the Forum at least 4 weeks prior to the date of the election (or in the case of an e-mail ballot, the start date of the balloting period). Each member of the Forum shall be entitled to propose a candidate for each post. Self-nomination is acceptable. A period of 2 working weeks shall be allowed for nominations.

On closure of the nomination period, the Forum Director shall contact each candidate to obtain confirmation that the candidate is willing to be serve if elected.

- If there is a single candidate, the members of the Architecture Forum shall ballot to accept the candidate.
- If there are two candidates, the members of the Architecture Forum shall ballot and the candidate receiving the higher number of votes shall be elected.
- If there are three or more candidates, the members of the Architecture Forum shall ballot. If any candidate receives more than 50% of the votes cast, that candidate shall be elected. Otherwise, there shall be a second ballot between the two candidates receiving the highest number of votes in the first ballot; the candidate receiving the higher number of votes in the second ballot shall be elected.

In the event that the Forum establishes a new position (Vice-Chair, Project Leader/Committee Chair), or the existing appointee is unable to complete their elected term then a temporary Project Leader/Chair/Vice-Chair may be appointed by resolution of the members of the Forum. A formal ballot shall then be initiated within 1 month to be completed within 4 months.

#### 3.2 Voting

All voting within the Forum shall be on the basis of one organization, one vote. (The Forum Director is a voting member of the Forum). The Chair is permitted to vote on behalf of his or her organization, if eligible to do so.

By default, resolutions of the Architecture Forum shall be taken by a simple majority of those present and voting (excluding abstentions).

Some decisions are defined as **consensus decisions**, where it is important that a substantial majority of the members of the Forum support the decision. Such resolutions require a 75% majority of those present and voting.

Where there are multiple representatives from the same organization, the organization shall define an order of precedence. The senior representative from that organization present shall cast the vote representing that organization.

#### 3.3 Quorum

All resolutions of the Forum require at least 10%<sup>2</sup> of the membership entitled to vote. In measuring this 10%, the following shall be counted as having voted

1. Those who have voted to approve the resolution
2. Those who have voted against the resolution

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<sup>2</sup> The 10% quorum for the Forum should be reviewed from time to time. It has to balance the number of total members versus those actively participating. If the required percentage for a quorum is set too high it can prevent work from progressing. At the current time 10% equates to 12 organizations.

3. Those who have explicitly abstained from voting and by so doing have indicated their support for the majority position

In the event that the quorum is not reached, any member of the Forum may within 14 days of publication of the minutes of the appropriate meeting, request that the resolution be declared null and void. If no such request is received, the resolution shall be deemed to be carried.

### **3.4 Meetings of the Forum**

The dates and location of all face-to-face meetings of the Forum and any Teams/Committees shall be published at least 4 weeks in advance, and the agenda of such meetings shall be published at least 2 weeks in advance<sup>3</sup>.

Any matter requiring a resolution by the members of the Forum shall be notified to members of the Forum at least 2 weeks in advance. Any member of the Forum may request that a matter not so notified be deferred to another properly constituted meeting.

Proxy and absentee ballots are not allowed. Remote teleconference access to face-to-face meetings is permitted where this is feasible.

### **3.5 Decision Making Teleconferences**

A teleconference may be convened at any time to progress the work of the Forum.

All teleconferences during which a consensus decision is to be taken must be announced at least 2 weeks in advance, together with the specific wording of any resolutions to be proposed during the teleconference. If such notice is not given, then any decision made must be submitted to a correctly convened meeting, e-mail process or teleconference for ratification.

All other teleconferences must be announced at least 1 week in advance.

Any member may submit a vote by e-mail in advance to the Forum Director on any resolution that is to be discussed during the teleconference. It is the responsibility of the Forum Director to declare these positions during the teleconference.

Should the wording of the proposed resolution be changed during the teleconference, then the Forum Chair (or Vice-Chair) who is running the conference shall determine whether any votes cast in advance remain valid.

### **3.6 E-Mail Ballots**

Resolutions of the Forum may be taken by e-mail.<sup>4</sup>

All e-mail ballots must be announced at least 1 week in advance of the start of the ballot period, together with the specific wording of the resolution(s) which are the subject of the ballot.

A period of at least 1 week must be allowed for the ballot itself.

### **3.7 Minutes**

Minutes shall be published of all meetings of the Forum (including decision making teleconferences) and shall include at least

- A list of participants.
- A list of decisions made (Resolutions approved or rejected)

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<sup>3</sup> It is recommended that the Plato Events facility be used to announce meetings

<sup>4</sup> It is recommended that the Plato Poll facility be considered for conducting such ballots.

### **3.8 Standing Committees and Projects**

Standing Committees and Projects may be established from time-to-time by resolution of the membership of the Architecture Forum:

A Standing Committee is established to carry out operational tasks and functions, characterised by

- A defined scope
- Continuous monitoring and/or operational activities
- Possible activation by problem resolution or member request
- An indefinite lifetime

A Project is established to complete a specific project, characterised by

- A defined task
- A defined timescale
- Defined acceptance criteria

Each Standing Committee must have a Chair (and optionally Deputy Chair) elected annually by members of the Forum. Each project must have a Project Leader (and optionally Deputy Project Leaders) elected by the members of the Forum and subject to Forum Review. Any member of the Forum is entitled to participate in any project.

The Forum Director is entitled to attend any Standing Committee or Project meeting. He or she is not obliged to attend, and not obliged to become a member of any Standing Committees or Projects.

All Standing Committees and Projects shall operate within the terms of this document.