The Open Group Security Forum

Operating Charter

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 Security Forum. This document supplements The Open Group standard governance processes by making specific choices; for example, defining how Standing Committees and Projects operate. A secondary purpose for this document is to assist in the provision of continuity for Forum operations as and when the officers of the Security Forum change.

1.2 Principles

The guiding principles for the operation of the Security 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 vision and mission, and to adhere to its principles:

- Openness
- Consensus
- Public availability of Published Standards
- No Legal Impediment to Implementation or Adoption
- Confidentiality

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 serve the Forum and its members.

The obligation of the Chair/Vice-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 governance processes defined in The Open Group Standards Process,[1] which override this Operating Charter in the event of any conflict.

In addition, the following handbooks provide overriding guidance:

- A Handbook for Elected Officers of The Open Group Forums and Work Groups (I122)

- A Handbook for the Consensus Decision-Making Process (I121)

- A Handbook for Individuals Acting as The Open Group Liaison to Another Organization (I123)

Additional guidelines including how to start new work items and templates are available from the Standards Process Resource website at https://www.opengroup.org/projects/spectools/.

1.4   Status

Final

1.5   Revision History

Version	Date	Status
2.0	October 2019	Refresh and Restatement of the Security Forum Operating Charter using the standard template.
1.6	February 2013	Editorial refresh for consistency with the 2012 edition of The Open Group Standards Process.

[1] http://www.opengroup.org/standardsprocess/.

2.   Forum Officers

2.1   Forum Chair

The Forum Chair is elected biannually 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) 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 and Work Groups to avoid duplication of effort

- Ensuring that the consensus process is adhered to for all decisions of the Forum

- Ensuring that all Standing Committees and Projects within the Forum are documented in the Forum annual plan and roadmap of deliverables

- Ensuring that all Standing Committees and Projects within the Forum have open accessibility in participation to all Forum members and that all deliverables are regularly accessible[2]

2.2   Forum Vice-Chair

The Forum Vice-Chair is elected biannually 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 usually 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, or an appointed

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[2] 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.

delegate. 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:

- Enabling the Forum members to execute their work plan using the available processes and tools in accordance with The Open Group Standards Process

- Publishing notification of meetings of the Forum, together with the agenda and objectives in consultation with the Chair and the Vice-Chair

- Maintaining, in cooperation with the Chair/Vice-Chair, an annual plan and roadmap of deliverables for the Forum

- Acting as a facilitator in reaching consensus within Forum meetings

- Ensuring that minutes of all meetings of the Forum are published

- Reporting to the Executive Management Team of The Open Group on the activities of the Forum

- Reporting any direction given by the Executive Management Team of The Open Group relating to the activities of the Forum to its members

- 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

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

- Ensuring that an Acting Chair is identified and briefed on the objectives and agenda for meetings which both the elected Chair and Vice-Chair are unable to attend

- Formulation of proposals (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

— New Standing Committees; changes in scope of Standing Committees; closure of Standing Committees

— Establishment of new Projects; changes in scope of Projects; termination of Projects

— Resolution of issues

- Acting as an escalation vehicle 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 governance 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 every two years. The specific voting rules associated with email ballots shall apply (see Section 3.6).

The Forum Director shall announce the need for an election by email to all members of the Forum at least four (4) weeks prior to the date of the election (or in the case of an email 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 two (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 Security Forum shall ballot to accept the candidate

- If there are two candidates, the members of the Security 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 Security 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 existing Chair or Vice-Chair is unable to complete their elected term, then a temporary Chair or Vice-Chair may be appointed by resolution of the members of the Forum. A formal ballot shall then be initiated within one (1) month to be completed within four (4) months.

3.2 Voting

By default, decisions of the Security Forum shall be taken using the consensus decision-making process (see Section 3.3).

Voting is required for:

- Decisions related to approval of standards (which must use The Open Group Company Review Process)

- Decisions related to approval of White Papers (which must use the White Paper Review Process)

- Elections of officers (see Section 3.1)

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/her organization, if eligible to do so.

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 Consensus Decision-Making

The consensus decision-making process is used within the Security Forum to reach decisions.

Consensus is a principle of The Open Group. The Open Group Standards Process requires Chairs to ensure that all legitimate views and objections are considered, and endeavor to resolve them, whether these views and objections are expressed by the active participants or by others (e.g., another Forum or Work Group, or a group in another organization). Decisions may be made during meetings (face-to-face or distributed) as well as through email. Consensus must be established over a time period sufficient to give any interested party an equal chance to participate.

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 four (4) weeks in advance, and the agenda of such meetings shall be published at least two (2) weeks in advance.[3]

Any matter requiring a resolution by the members of the Forum shall be notified to members of the Forum at least two (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 two (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, email process, or teleconference for ratification.

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

Any member may submit a vote by email 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 Email Ballots

Resolutions of the Forum may be taken by email.[4]

All email ballots must be announced at least one (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 one (1) week must be allowed for the ballot itself.

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[3] It is recommended that the Plato Events facility be used to announce meetings.

[4] It is recommended that the Plato Poll facility be considered for conducting such ballots.

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)

3.8   Standing Committees and Projects

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

A Standing Committee is established to carry out operational tasks and functions, characterized 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 piece of work, characterized 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. In the event that the Chair or Deputy Chair is unable to complete his/her elected term, then a temporary Chair or Deputy Chair may be appointed by resolution of the members of the Forum. A formal ballot shall then be initiated within one (1) month to be completed within four (4) months.

Each Project must have a Project Facilitator appointed by the members of the Forum when the Project is established and subject to Forum Review. In the event that the Project Facilitator is unable to continue in his/her role, a new Project Facilitator may be appointed by resolution of the members of the Forum.

Any member of the Forum is entitled to participate in any Standing Committee and 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.