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, Working Groups, 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 upon 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 and Vice-Chair or Co-Chairs 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)

1.4 Status

Final

1.5 Revision History

Version	Date	Status
1.6	February 2013	Editorial refresh for consistency with the 2012 edition of The Open Group Standards Process.
2.0	October 2019	Refresh and Restatement of the Security Forum Operating Charter using the standard template.
2.1	October 2021	Update of the Security Forum Operating Charter for re-acceptance

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

2. Forum Officers

2.1 Elected Officers: Forum Chair and Vice-Chair or Forum Co-Chairs

The Forum may decide to elect a Chair and Vice-Chair or to elect two (2) Co-Chairs.

If the Forum decides to elect a Chair and Vice-Chair, the Forum may also decide that after the period of one year, the Forum Vice-Chair may be elevated to the position of Forum Co-Chair, subject to ballot for approval by the Forum.

In the event that the Forum decides to elect a Chair and Vice-Chair, Section 2.1.1 applies.

In the event that the Forum decides to elect two (2) Co-Chairs or that, after the period of one year, the Forum Vice-Chair is elevated to the position of Forum Co-Chair, Section 2.1.2 applies.

2.1.1 Forum Chair and Vice-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.

The Forum Chair is responsible for coordinating 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. The Forum Chair is authorized to take decisions on behalf of the Forum, where warranted, subject to subsequent ratification by the Forum.

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 Forum Vice-Chair is responsible for supporting the activities of the Forum Chair as needed, including active participation as defined in Section 2.2. In the event that the Forum Chair is unable to attend a meeting, the Forum Vice-Chair shall assume the role of Forum Chair.

2.1.2 Forum Co-Chairs

The Forum Co-Chairs are elected biannually by the Members of the Forum and are accountable to the membership of the Forum and to the Governing Board of The Open Group for operation and achievements of the Forum.

Alternatively, after the period of one year, the Forum may decide to elevate the Forum Vice-Chair to Forum Co-Chair. In this case, the Forum will ballot to accept the Forum Vice-Chair as Forum Co-Chair, and the elected individual will serve the remainder of their elected term as Forum Co-Chair.

The Forum Co-Chairs are responsible for coordinating 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. The Forum Co-Chairs are authorized to take decisions on behalf of the Forum, where warranted, subject to subsequent ratification by the Forum.

2.2 Elected Officer Responsibilities

Specific responsibilities of the Forum Chair (with support of the Forum Vice-Chair) or Forum Co-Chairs include…

- Convening meetings of the Forum and agreeing to the objectives and agenda for each meeting with the rest of the Leadership Team.

- Convening quarterly meetings of the Leadership Team and Working Group Chairs or Co-Chairs.

    o Attending at least 3/4 of these meetings during the elected term.

- Agreeing to the schedule of meetings and teleconferences to progress the work of the Forum.

- Chairing meetings of the Forum and the Leadership Team; managing the Forum meetings to achieve their objectives within the published agenda; soliciting input from Forum Members with respect to the content of all meetings of the Forum.

    o Ensuring that an Acting Chair is identified and briefed on the objectives and agenda for meetings which the elected Chair, Vice-Chair, and/or Co-Chairs are unable to attend.

- 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.

- Monitoring the activities of the Forum and ensuring that the consensus process is adhered to for all decisions of the Forum.

    o 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.

- Acting as an escalation vehicle to handle any issues arising from the Forum or Working Group membership.

- Working with the Forum Director to communicate with the Chairs of other Forums and Work(ing) Groups to avoid duplication of effort.

- Working with the Forum Director to ensure that all Standing Committees, Working Groups, and Projects within the Forum are documented and maintained in the Forum annual plan and roadmap of deliverables.

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

- Ensuring that new work items follow the established governance guidelines for starting new work items within The Open Group.

- Formulation of proposals for [this does not preclude any other Members of the Forum from making such proposals]:

    o Changes to the structure of the Forum and its operating procedures.

    o Establishment of new projects; Changes in scope of projects; Termination of projects.

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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.

- o Establishment of new Working Groups; Changes in scope of Working Groups; Closure of Working Groups.

- o Establishment of new Standing Committees; Changes in scope of Standing Committees; Closure of Standing Committees.

- o Resolution of issues.

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 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 coordinate 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 or Co-Chairs.

- Maintaining, in cooperation with the Chair and Vice-Chair or Co-Chairs, 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 or Co-Chairs.

- Liaising with the Directors of other Forums and Work Groups to avoid duplication of effort.

3.   Specific Processes

3.1   Elections

In the event that the Forum decides to elect a Chair and Vice-Chair, Section 3.1.1 applies.

In the event that the Forum decides to elect two (2) Co-Chairs or that after the period of one year, the Forum Vice-Chair is elevated to the position of Forum Co-Chair, Section 3.1.2 applies.

3.1.1   Chair and Vice-Chair Elections

Ballots to elect the Forum Chair and Forum Vice-Chair are taken, separately, every two (2) 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 Forum Chair or Forum Vice-Chair is unable to complete their elected term, then a temporary Forum Chair or Forum 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.

3.1.2   Co-Chair Elections

Ballots to elect the Forum Co-Chairs are taken, separately, every two (2) 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 an existing Forum Co-Chair is unable to complete their elected term, then a temporary Forum Co-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.

In the event that after the period of one year, the Forum decides the Forum Vice-Chair is to be elevated to the position of Formal Co-Chair, a formal ballot shall then be initiated within one (1) month to be completed within four (4) months. The individual will complete the remainder of their original term as Forum Co-Chair.

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 Guides (which must use the Guide 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 Forum Chair and Forum Vice-Chair or Forum Co-Chairs are permitted to vote on behalf of their respective organizations, if eligible to do so.

When there are multiple representatives from the same organization, the organization shall define an order of precedence. If an order of precedence is not established, 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 the Forum Chair and Forum Vice-Chair or Forum Co-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 (in-person) meetings of the Forum and any Working Groups/Projects/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 (virtual meeting) 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 Forum Vice-Chair or Forum Co-Chair or Active Chair) who is running the teleconference 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.

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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[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.

3.8 Standing Committees, Working Groups, and Projects

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

Any Member of the Security Forum is welcome and entitled to propose establishing new, changing scope of current, and/or closing of Standing Committees, Working Groups, or Projects, by resolution of the membership of the Security Forum, with the Security Forum Steering Committee acting as adjudicator.

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 Working Group is established to complete a category of work, characterized by:

- A separate Operating Charter
- Multiple Projects within a focus/subject area
- An indefinite lifetime

A Project is established to complete a specific piece of work, characterized by:

- A specific Project Charter
- A defined task
- A defined timescale
- Defined acceptance criteria

Each Standing Committee must have a Chair (and optionally Co-Chair) elected biannually by Members of the Forum. In the event that the Chair or Co-Chair is unable to complete the elected term, then a temporary Chair or Co-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.

- For the Security Forum Steering Committee, the Forum Chair or Forum Co-Chairs act as Chair or Co-Chairs of the Committee.

Each Working Group must have a Chair (and optionally Vice-Chair) or Co-Chairs elected biannually by Members of the Working Group. In the event that the Chair or Co-Chair is unable to complete the elected term, then a temporary Chair or Co-Chair may be appointed by resolution of the Members of the Working Group. A formal ballot shall then be initiated within one (1) month to be completed within four (4) months.

- For a Working Group Steering Committee, the Working Group Chair or Working Group Co-Chairs act as Chair or Co-Chairs of the Committee.

Each Project must have a Project Facilitator appointed by the Members of the Project Team when the Project is established and subject to Project Team Review. In the event that the Project

Facilitator is unable to continue in their role, a new Project Facilitator may be appointed by resolution of the Members of the Project Team.

Any Member of the Forum is entitled to participate in all Standing Committees, Working Groups, and Projects.

The Forum Director is entitled to attend any Standing Committee, Working Group, or Project meeting. They are not obliged to attend or to become a Member of any Standing Committee, Working Group, or Project.

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