

The Open Group

Security and Risk Management Working Group

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

1.2 Principles

The guiding principles for the operation of the Security and Risk Management Working Group are as follows:

Principle #1 – The primacy of principles

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

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

- We are committed to the achievement of The Open Group vision, mission, and to adhere to its principles:
 - Openness, Consensus, Public availability of Published Standards, No Legal Impediment to Implementation or Adoption, and Confidentiality.

Principle #3 – Collaboration

- Everything we do is done through good will, trust, and collaboration.
 - The Working Group 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 Working Group 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 Working Group and its members.
 - The obligation of the Co-Chairs is to facilitate the Working Group 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 Process¹, 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 (Document no. I122)
- A Handbook for the Consensus Decision-Making Process (Document no. I121)
- A Handbook for Individuals Acting as The Open Group Liaison to Another Organization (Document no. I123)

Additional guidelines including how to start new work items and templates are available from the Standards Process Resource website at <http://www.opengroup.org/standardsprocess/index.html>.

1.4 Status

Approved

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	August 2021	Updates to function as Operating Charter for Security and Risk Management Working Group

¹ <http://www.opengroup.org/standardsprocess/>

2. Working Group Officers

2.1 Elected Officers: Working Group Chair or Co-Chairs

The Working Group Chair or Co-Chairs are elected biannually by the members of the Security Forum. The Chair or Co-Chairs are accountable to the membership of the Working Group and to the Governing Board of The Open Group as well as the Security Forum Steering Committee for operation and achievements of the Working Group.

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

Specific responsibilities of the Working Group Chair or Co-Chairs include...

- Convening meetings of the Working Group 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 Project Facilitators.
 - 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 Working Group.
- Chairing meetings of the Working Group and the Leadership Team; managing the Working Group meetings to achieve their objectives within the published agenda; soliciting input from Working Group members with respect to the content of all meetings of the Working Group.
 - Ensuring that an Acting Chair is identified and briefed on the objectives and agenda for meetings which the elected Chair or Co-Chairs are unable to attend.
- Reporting to The Open Group Security Forum Steering Committee and The Open Group Governing Board (and any ad-hoc groups established by The Open Group Governing Board) on the activities of the Working Group.
 - Reporting any direction given by The Open Group Security Forum Steering Committee and/or The Open Group Governing Board to the members of the Working Group.
- Monitoring the activities of the Working Group and ensuring that the consensus process is adhered to for all decisions of the Working Group.
 - 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 and Projects within the Working Group are documented and maintained in the Working Group annual plan and roadmap of deliverables, which is part of the Security Forum annual plan and roadmap of deliverables.
- Ensuring that all Standing Committees and Projects within the Working Group have open accessibility in participation to all Working Group 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.

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.

- Formulation of proposals for [this does not preclude any other members of the Working Group from making such proposals]:
 - Changes to the structure of the Working Group 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.

2.2 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 Working Group 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 Working Group.

Specific responsibilities of the Forum Director include...

- Enabling the Forum and Working Group 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 Working Group, together with the agenda and objectives in consultation with the Chair or Co-Chairs.
- Maintaining, in cooperation with the Chair or Co-Chairs, an annual plan and roadmap of deliverables for the Working Group, which is part of the Security Forum annual plan and roadmap of deliverables.
- Acting as a facilitator in reaching consensus within Working Group meetings
- Ensuring that minutes of all meetings of the Working Group are published.
- Reporting to the Executive Management Team of The Open Group on the activities of the Working Group.
- Reporting any direction given by the Management Team of The Open Group relating to the activities of the Working Group to its members.
- Co-ordinating the provision of other resources from The Open Group to meet the needs of the Working Group. (Technical editing, Marketing, Product/Project Management etc.)
- Supporting the Working Group Chair or Co-Chairs.
- Liaison with the Directors of other Forums and Work(ing) Groups to avoid duplication of effort.

3. Specific Processes

3.1 Elections of Working Group Chair or Co-Chairs

Ballots to elect the Working Group Chair or Co-Chairs are taken biannually. 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 Working Group 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 Security and Risk Management Working Group shall ballot to accept the candidate as Chair.
- If there are two or more candidates, the members of the Security and Risk Management Working Group shall ballot and the two candidates receiving the highest number of votes shall be elected as the Co-Chairs.

In the event that an existing Chair or Co-Chair is unable to complete their 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 1 month to be completed within 4 months.

3.2 Voting

By default, decisions of the Security and Risk Management Working Group shall be taken using the consensus decision-making process (see 3.3 below).

Voting is required for:

- Decisions related to approval of Standards (which must use the approved Open Group Company Review Process)
- Decisions related to approval of White Papers (which must use the White Paper Review Process)
- Elections of officers (see 3.1 above)

All voting within the Working Group shall be on the basis of one organization, one vote. (The Forum Director is a voting member of the Working Group.) The Chair or Co-Chairs are permitted to vote on behalf of their organization(s), 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 and Risk Management Working Group to reach decisions.

Consensus is a principle of The Open Group. The Open Group Standards Process requires the Chair or Co-Chairs to ensure that all legitimate views and objections are considered, and endeavour 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 Working Group

The dates and location of all face-to-face (in-person) meetings of the Working Group and any Projects/Committees shall be published at least 4 weeks in advance, and the agenda of such meetings shall be published at least 2 weeks in advance³.

Any matter requiring a resolution by the members of the Working Group shall be notified to members of the Working Group at least 2 weeks in advance. Any member of the Working Group 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 Working Group.

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 Co-Chair (or Active Chair) who is running the conference shall determine whether any votes cast in advance remain valid.

3.6 E-Mail Ballots

Resolutions of the Working Group may be taken by e-mail.⁴

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 Working group (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 and Risk Management Working Group:

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

- A defined scope

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.

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- 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, characterised by...

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

Each Standing Committee must have a Chair (and optional Co-Chair) elected biannually by members of the Working Group. In the event that the Chair or Co-Chair is unable to complete his/her 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 1 month to be completed within 4 months.

Each Project must have a Project Facilitator appointed by the members of the Working Group when the Project is established and subject to Working Group 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 Working Group.

Any member of the Working Group 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.