THE OPEN GROUP
FUTURE AIRBORNE CAPABILITY ENVIRONMENT CONSORTIUM
POLICIES AND PROCEDURES

1. Introduction

These Policies and Procedures for **The Open Group** Future Airborne Capability Environment (FACE) Consortium ("the **Consortium**") are developed and approved by the **Consortium Steering Committee** and may be amended by them from time to time subject to oversight by **The Open Group**.

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 **Consortium**. 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 **Consortium**. A secondary purpose for this document is to assist in the provision of continuity for the **Consortium** operations when the **Officers** of the **Consortium** change.

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1.2 Principles

The guiding principles for the operation of the **Consortium** are as follows:

Principle #1 – The primacy of principles

All **Consortium** decisions and decision-making processes will be based on principles that are agreed by, and openly accessible to, **Members** of the **Consortium**.

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

We are committed to the achievement of **The Open Group's** vision and mission as well as adhere to its principles, e.g., Boundaryless Information Flow™; Standards Adoption Criteria (http://www.opengroup.org/standardsprocess/); IPR; Making Standards Work®.

Principle #3 – Collaboration

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

Principle #4 – Shared Purpose

Our shared purpose is to advance a common standard. Every Member has a business rationale for participation. Every Member has come here to promote the advancement of the industry and the government. Every Member shares the credit and the benefit.

Principle #5 – Formal Process

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

Principle #6 – Obligations of Leadership

The higher up a member is, the more they are a servant to the organization. The obligation of the Chair is to facilitate the **Consortium** or **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

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We will seek to collaborate and understand by validating assumptions and inferences and by clarifying the meaning of special words used.

1.3 Status

APPROVED - Document reviewed and approved by FACE Steering Committee on March 3, 2011.

1.4 Revision History

Version 0.1 – Pre-formation version developed as a formation exercise and subject to approval by the Steering Committee after the official Founding Date of the Consortium

Version 1.0 – Approved version modified through The Open Group's Document Review Process and ratified by the Steering Committee - all proposed change requests have been accepted and incorporated.

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2 The Consortium Calendar Year

For the purposes of these Policies and Procedures, the **Consortium Calendar Year** ("Year") shall run from the **Founding Date** of the **Consortium** and will run for 12 calendar months.

3 Organization

The **Consortium** is formed as a **Voluntary Consensus Standards Body** within the legal entity of **The Open Group**. **The Open Group** provides management, financial and certain legal services to the **Consortium**. **The Open Group** acts as the vendor-neutral, technology-neutral third party providing oversight to ensure that the **Consortium** meets the definition of a **Voluntary Consensus Standards Body**.

The Open Group will appoint a **Program Director** to administer these services as required. In an oversight capacity, the **Program Director**, as the appointed liaison of **The Open Group**, has the authority to veto any action of the **Consortium** that, in his or her opinion, is in violation of the current Policies and Procedures or the definition of a **Voluntary Consensus Standards Body.** The **Consortium Members** sign **Membership Agreements** (incorporating certain Terms & Conditions) and pay fees to **The Open Group**. The **Consortium** shall not create Policies and Procedures that are in conflict with the Terms & Conditions signed by each **Member Organization**.

The **Consortium** consists of a **Steering Committee**, and one or more **Working Groups** made up of **Representatives** of the **Consortium**'s **Member Organizations**.

The **Steering Committee** is responsible for the overall management and direction of the **Consortium**.

Working Groups are chartered by the **Steering Committee** and are responsible for the detailed work of the **Consortium**. They may be formed to carry out technical, business, marketing, or any other activity as determined by the **Steering Committee**.

There is also an appointed **Advisory Board**. The **Advisory Board** is made up of **Advisors** appointed by the **Steering Committee** and **Sponsor Member**(s) to provide a broad base of application and technical expertise to the **Consortium**.

3.1 Steering Committee

The **Steering Committee** consists of **Representatives** from each **Sponsor** and **Principal Member Organization.**

The **Steering Committee** shall elect a Chair and Vice Chair annually for a 1-year term. **Representatives** from both **Sponsor** and **Principal Member Organizations** are eligible for election. **Sponsor** and **Principal Members** may submit nominations to the Chair and Vice-Chair positions.

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The term of the Chair and Vice-Chair shall run from the start of one **Consortium Calendar Year** to the next. The **Program Director** shall initiate elections for the positions of **Steering Committee** Chair and Vice–Chair a minimum of 30 days prior to the end of the **Consortium Calendar Year**.

A **Sponsor** or **Principal Member Organization** can have only one *voting* **Representative** on the **Steering Committee.** This voting **Representative** to the **Steering Committee** is designated by the **Sponsor** or **Principal Member Organization.** The Chair and Vice-Chair may or may not be a voting **Representative**. An elected Chair or Vice-Chair is not required to be a designated **Representative** of a **Sponsor** or **Principal Member Organization** to the **Steering Committee** for the purpose of voting. There is no limit on the length of time a **Representative** may serve on the **Steering Committee**.

If a **Representative's Member Organization** ceases to be a member of the **Consortium**, the **Representative** will immediately cease to be a member of the **Steering Committee**.

If a company or organization ceases to be a **Sponsor** or **Principal Member Organization**, but continues in a different class of membership, it immediately ceases to have a **Representative** on the **Steering Committee**.

The **Steering Committee** may choose to appoint a permanent **Secretary**, or rotate the post among the membership on a meeting-by-meeting basis. The **Secretary** is responsible for producing the minutes of the meetings[1]. The minutes will be submitted to the **Program Director** to be recorded and published. Meeting minutes shall contain at minimum:

1. A list of attendees
2. A record of decisions (Resolutions approved or rejected)

The **Steering Committee** is responsible for the overall guidance of the **Consortium**. This includes the following:

a. Set the Policies and Procedures of the **Consortium** (with oversight from **The Open Group**)
b. Direct all activities of the **Consortium**
c. Approve the publication of appropriate work products
d. Approve the creation and dissolution of **Working Groups**
e. Approve the charter of each **Working Group** and any subsequent changes
f. Provide direction to the **Working Groups**
g. Approve the Chair and Vice-Chair of the **Working Groups**
h. Define and approve the tasks and roles of the **Advisory Board**
i. Appoint persons to the **Advisory Board**
j. Any additional responsibility as determined by the **Steering Committee**

[1] This should include any decisions made on teleconferences

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3.1.1 Responsibilities of the Steering Committee Chair

The **Steering Committee** Chair is elected annually by the **Members** of the **Consortium** and is accountable to the membership of the **Consortium** for its operation and achievements.

Specific responsibilities of the **Steering Committee** Chair include:

- Convening meetings of the **Consortium** and generating consensus on the objectives and agenda for each meeting.
- Chairing meetings of the **Consortium**; managing the **Consortium** meetings to achieve their objectives within the published agenda.
- Reporting any direction given by **The Open Group** to the members of the **Consortium**.
- Liaison with the **Officers** of the **Working Groups** within the **Consortium** to provide coordination, direction and avoid duplication of effort.
- Ensuring all **Standing Committees** and **Working Groups** within the **Consortium** are documented in the **Consortium** annual plan and roadmap of deliverables.
- Ensuring all projects within the **Consortium** have open accessibility in participation to all **Member Organizations** and that all deliverables are regularly accessible.[2]

3.1.2 Responsibilities of the Steering Committee Vice Chair

The **Steering Committee** Vice Chair is elected annually by members of the **Steering Committee** and is accountable to the membership of the **Consortium** and to the **Steering Committee** Chair. The Vice Chair is responsible for supporting the activities of the **Steering Committee** Chair as needed. In the event that the **Steering Committee** Chair is unable to attend a meeting, the Vice Chair shall assume the role of Chair for that meeting.

3.1.3 Elections of Steering Committee Chair and Vice Chair

Ballots to elect the **Steering Committee** Chair and Vice Chair are taken annually.
The **Program Director** shall announce the need for an election by e-mail to all members of the **Consortium** at least four weeks prior to the date of the election. Each **Member Organization** of the **Consortium** shall be entitled to propose a candidate for each post. Self-nomination is acceptable. A period of two working weeks shall be allowed for nominations.

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

- If there is a single candidate, the members of the **Consortium** shall ballot to accept the candidate.
- If there are two candidates, the members of the **Consortium** shall ballot and the candidate receiving the higher number of votes shall be elected.

[2] In practice this means ensuring that regular project updates and deliverables are made available to all members. This should usually correspond with the deliverable dates.

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- If there are three or more candidates, the members of the **Consortium** shall ballot. If any candidate receives more than 50 percent of the votes cast, that candidate shall be elected. Otherwise, there shall be a second ballot between the two (2) 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 **Consortium**. A formal ballot shall then be initiated within one month to be completed within four months.

3.1.4 Program Director

The **Program 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 **Program Director** will act as the neutral, non-voting facilitator of the **Steering Committee**. The **Program Director,** as the neutral party within the **Consortium,** acts in an oversight capacity on behalf of **The Open Group** to ensure that the **Consortium** meets its objective as a **Voluntary Consensus Standards Body** and to coordinate the provision of other resources from **The Open Group** in support of the activities of the **Consortium**.

The **Program Director** may introduce motions to the **Steering Committee** but may not vote on the motion or act as a second on a motion. The **Program Director** will act as the liaison between **The Open Group** Executive Management Team and the **Consortium**. In his or her role as the neutral party within **Consortium**, the **Program Director** is authorized as the final authority on any parliamentary procedures.

Specific responsibilities of the **Program Director** include:

- Publishing notification of meetings of the **Consortium**, together with the agenda and objectives in consultation with the **Steering Committee** Chair and the Vice Chair.
- Maintaining an annual plan and roadmap of deliverables for the **Consortium**.
- Publishing appropriate minutes of all meetings of the **Consortium Steering Committee**.
- Reporting to the Executive Management Team of **The Open Group** on the activities of the **Consortium**.
- Reporting any direction given by the Executive Management Team of **The Open Group** relating to the activities of the **Consortium** to its **Members**.
- Coordinating the provision of other resources from **The Open Group** to meet the needs of the **Consortium**. (Technical editing, Marketing, Certification, Product/Project, Management etc.)
- Supporting the **Consortium** Chair and Vice Chair.

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- Liaison with the directors of other forums, task forces and consortium bodies of The Open Group to avoid duplication of effort and to encourage the adoption of standards and architectures across the whole of **The Open Group**.

3.1.5 Decision Making Within the Steering Committee

1. Voting in the **Steering Committee** is on a one **Member Organization**, one vote basis.
2. The **Steering Committee** Chair and/or Vice Chair are permitted to vote on behalf of their respective organizations, if eligible to do so.
3. Each **Member Organization** will declare their designated voting Representative at the start of any **Steering Committee** meeting.
4. A quorum is defined as consisting of at least 2/3 of those **Members** that are entitled to vote.
5. For non-policy or non-procedural decisions, the passage of a motion requires a vote of a simple majority of a quorum of its **Member Organizations** to approve any decision.
6. Changes to the Policies and Procedures require a 2/3-majority vote of the current **Steering Committee** membership and subject to oversight by **The Open Group**. A vote to modify the Policies and Procedures requires a seven (7) day notification to the membership unless waived by a 2/3 majority of the current **Steering Committee** membership. There must be an opportunity for discussion on the motion. The vote must be conducted electronically unless 2/3 of the current **Steering Committee** membership is in attendance and there is unanimous agreement among those in attendance to waive the electronic vote requirement.
7. Abstained votes will be used for determining if a quorum is present, but not for determining the passage of a motion. Abstained votes will be subtracted from the common denominator. The policy on the treatment of abstentions only applies to non-policy or non-procedural decisions. This policy is limited to the **Steering Committee** and will not be apply to individual **Working Groups** except where the **Working Group** elects to incorporate this policy into its own consensus process.
8. In the **Program Director's** role as the neutral third party, the **Program Director** will determine if a particular motion will render a policy or procedural decision thus requiring a 2/3 majority.
9. At the **Program Director's** request, a motion brought forward to the **Steering Committee** for consideration will be submitted in writing and will follow the format recommended by the **Program Director**.
10. The basis for determining passage of a motion is the number of "Yes" votes cast and the number of **Member Organizations** entitled to vote (all **Sponsor** and **Principal Member Organization**s are entitled to vote whether present at a meeting or not). Voting may occur verbally during a meeting or electronically outside a meeting. A motion can be passed based on a verbal vote provided the number of Yes votes meets the requirements for passage.
11. Any member may call for any vote to be conducted electronically and anonymously.
12. If the requirements for conducting a verbal vote on a motion are insufficient, the motion *must* be referred for an electronic vote.

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13. To conduct an electronic vote, a minimum period of seven (7) calendar days is required for balloting. Notification via email to the designated **Representatives** is required. The subject of the email shall include something like "FACE Vote" to call attention to the fact that it is a request for voting. Electronic voting will be carried out by e-mail or by means of an online procedure defined by the **Program Director**[3]. In the event that a **Member Organization** is unable to vote electronically, the **Member Organization** may request the **Program Director** to cast their vote on the **Member's** behalf. The **Steering Committee** (through the Chair or Vice Chair) or the **Program Director** may extend the electronic balloting period as circumstances may require. In all instances, it is the intent to have the voice of all **Members** heard.

3.1.6 The Consortium Review and Approval Process of Standards Related Artifacts (Documents)

The following is the review and approval process (**Consortium Review**) of an "individual" document submitted to the **Steering Committee**. The approval of work products that consist as a composition of documents (such as a standard in its entirety) will be treated as a separate resolution for consideration and approval by the **Steering Committee**.

The **Consortium Review** is the formal process by which **The Open Group** measures consensus around a document in order for it to be considered adopted by the **Consortium** as a Standard. While the **Consortium Review** focuses primarily on technical matters, which specifically includes agreement on the technical content of the document and the definition of parts which are considered mandatory for certification purposes, the **Consortium Review** process may also be applied to achieve consensus on documents that are not standards - e.g. Guides, White Papers, Business Scenarios, etc. These procedures are based on the principals of **The Open Group**'s Standards Process.

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

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3.1.6.1 Notification

The **Program Director** shall provide at least one-week notice that a document is to be submitted for **Consortium Review**. Such notice shall be sent by electronic mail to all those who are entitled to participate. For documents proposed to become an **Open Group** standard, the notification shall include:

- The name of the document
- The start and finish of the review period
- The proposed status of the approved document (i.e. Technical Standard, Product Standard, other certification material, etc.)
- The identity of the responsible **Open Group Program Director**
- The e-mail address to be used for submission of comments and change requests or details of ***The Open Group*** *Document Online Review system* that should be used within **The Open Group** online collaboration system
- Any specific format to be used for submission of comments and change requests (not applicable if **The Open Group** Document Online Review system is used)
- The proposed description of the standard
- The composition of the review group; balloter (identified by name) and reviewer status shall be identified for all participants
- The type of ballot resolution, whether it's against the original change requests or the proposed resolutions put forward by the submitter.

3.1.6.2 Distribution

The **Program Director** is responsible for ensuring that the document is available. All documents submitted for **Consortium Review** shall be distributed electronically. Copies of the document shall normally be placed on **The Open Group** server, and availability announced by electronic mail to all reviewers and balloters, at least seven (7) days before the formal start of the review period. In all cases, the document must be available before the start of the review period.

3.1.6.3 Document Format

The document to be reviewed must be made available in acceptable Web Format, and shall be formatted to be printable on both A4 and US letter (i.e. maximum area 8" x 11", 200 x 275mm). Wherever possible, page and line numbering should be applied and consistent across all delivered formats.

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3.1.6.4 Duration

The **Consortium Review** period shall be proposed by the **Program Director** and shall be geared to the nature of the document. The **Steering Committee** may by resolution impose a different duration.

- For Technical Standards, the review period shall normally be four weeks
- For recirculation reviews, the review period shall normally be two weeks
- For certification materials, the review period shall normally be two weeks for Product Standards and Conformance Statement Questionnaires, four weeks for new Certification Policies, and two weeks for derivatives
- For documents other than standards, the review period shall be defined by **The Open Group Program Director**, and be no less than two weeks.

It is recommended that any shorter review period shall normally only apply to minor changes and is subject to resolution of the **Steering Committee.**

3.1.6.5 Change Request

1. All requests for modifications must be the subject of formal change requests and shall be submitted by electronic mail sent to the notified e-mail address or ***via The Open Group*** *Document Online Review system*, whichever is applicable for the review in the opinion of the **Program Director**.
2. At the end of the **Consortium Review** period (and after each recirculation), the submitter may prepare a proposal recommending how each submitted change request should be responded to. The submitter is free to recommend rejection of some or all change requests at this stage.
3. At the submitter's discretion, the **Consortium Review** ballot may be either
    - Whether to accept or reject the original change request, or
    - Whether to accept or reject the submitter's recommendation
4. The **Program Director** shall compile and circulate to the review group a list of all comments received and submitter's proposed resolution (if any), together with a ballot form, making it absolutely clear whether it is the original change request or submitter's recommendation that is the subject of the ballot.
5. Balloters shall vote by electronic mail or via electronic polling on every proposed change request or resolution within a reasonable period as prescribed by the **Program Director**. Their votes must be Yes (accept), No (reject) or Abstain (don't care). Only Yes and No votes shall be counted when deciding the result of the ballot. The votes will be counted by the **Program Director** and the results normally circulated within one week after the end of the ballot period. ***There are no quorum requirements for* Consortium Review *ballots.***

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6. If the subject of the ballot is the original change requests:

    1. As a result of the ballot, a proposed resolution may be:
        - **Clearly accepted** - if approved by at least 75 percent of votes cast (excluding abstentions)
        - **Clearly rejected** - if rejected by at least 75 percent of votes cast (excluding abstentions)
        - **Unresolved** - in all other cases
    2. Where a proposed resolution is **clearly accepted**, it is to be incorporated into the specification with no discussion. Where a proposed resolution is **clearly rejected**, it is discarded with no discussion

7. If the subject of the ballot is the submitter's resolution recommendation:

    1. As a result of the ballot, a proposed resolution may be:
        - **Clearly accepted** - if approved by at least 75 percent of votes case (excluding abstentions)
        - **Unresolved** - in all other cases
    2. Where a proposed resolution is **clearly accepted**, it is to be incorporated into the specification with no discussion.

8. Where a proposed resolution is **unresolved**, reasonable effort will be made to achieve resolution through a discussion prior to and at an issue resolution meeting. This is under the lead of the **Program Director**.
9. If it is anticipated that unresolved change requests may remain after the ballot, an "issue resolution meeting" shall provisionally be scheduled, by the **Program Director**, with at least three working weeks notice, immediately following the completion of the ballot period to avoid unnecessary delays. This meeting is open to both balloters and reviewers. In issue resolution meetings, to achieve consensus, the unresolved change request or resolution recommendation may be modified by the submitter of the change request, or the submitter of the proposed resolution recommendation, or the **Program Director** with the agreement of the submitter. No new change requests may be proposed at this stage.

    Only balloters may vote and only those proposed resolutions which achieve 75percent approval of those voting (excluding abstentions) will be accepted. This meeting may be held by video or teleconference. Proxy votes are not permitted, but electronic mail votes submitted at least 24 hours in advance will be accepted. (If proposed resolutions are modified to achieve consensus, the **Program Director** must confirm the interpretation of e-mail votes with the submitter).

10. If the ballot or issue resolution results in rejection of any recommendation made by the submitting group or organization, that submitter has the right to withdraw the proposed standard.

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3.1.6.6 Format of Change Requests

All change requests must be submitted in the following standard format (note that ***The Open Group*** *Document Online Review system* automatically mandates this format).

Document:

Which document the Change Request refers to.

Reference:

A unique reference, including company name or an appropriate abbreviation thereof, may be used to refer to the Change Request. The reference should include a sequence number to enable the **Program Director** (and others) to identify any Change Requests not delivered by electronic mail.

Source:

Name of the company submitting the request

Title:

Describing the request

Qualifier:

Nature and severity of the change requested. Possible values are:

- Severity: Minor, Major, Critical
- Nature: Editorial, Technical

Rationale:

Reason that change is needed; reason that suggested change is preferred over other possibilities, etc.

Change:

Specific changes which should be made to the document to satisfy the objections.

Sufficient information must be included to uniquely identify the location affected, including page, section and line numbers, when available.

In the case of pervasive changes, individual changes may not be feasible. In such cases, other methods to describe the changes are permitted, but must define completely the action required of the editor. However, it should be noted that such changes may be difficult to discuss at such a late stage of the specification life-cycle.

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3.1.6.7 Recirculation Reviews

If the number of changes arising from a **Consortium Review** is large, one or more of the balloting members of the Review Group may request of the **Program Director** that the revised document be circulated for a repeat review. If the **Program Director** does not accede to this request, this shall be reported to the **Steering Committee** as part of the **Consortium Review** report.

Where such a repeat review is necessary, the following special procedures apply:

1. The revised document shall annotate all changes made
2. The formal notice period required for the review is one week.
3. The standard review period is two weeks
4. Objections are restricted to unresolved issues remaining from the previous review cycle and any changes introduced since the previous review round (or the impact of such changes elsewhere in the document).

3.1.6.8 Limits on Review Cycles

There is no limit to the number of **Consortium Review** cycles. However, the **Steering Committee** may decide to terminate the review if it appears that consensus cannot be achieved in a timely manner.

3.2 Standing Committees and Working Groups (or Work Groups)

Standing Committees and **Working Groups** may be established and dissolved from time-to-time by resolution of the membership of the **Steering Committee**. The **Steering Committee** will approve the charter of each **Standing Committee** and **Working Group**. A **Working Group** charter will have an expiration period associated with its charter requiring renewal by the **Steering Committee**.

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, **Member** request or a trigger event
- Possibly an indefinite lifetime

A **Working Group** is established to complete a specific project, characterized by

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

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An *individual* may participate as a **Guest Participant** of the **Consortium** with *restricted participation* when specifically authorized by the **Steering Committee** and approved by **The Open Group**. *Restricted participation* means no voting privileges; a bounded term for the participation; and in the case of a government representative, compliance with OMB-119A and Joint Ethics Regulations. The *individual* must agree to the same **Terms and Conditions** as a **Representative** of a **Member** organization before participation may begin.

If a **Representative's Member Organization** ceases to be a **Member** of the **Consortium**, the **Representative** will immediately cease to be a member of all **Standing Committees** and **Working Groups**.

Standing Committees and **Working Groups** may choose to appoint a permanent Secretary, or rotate the post among the membership on a meeting-by-meeting basis. The Secretary is responsible for producing the minutes of the meeting. The minutes will be submitted to the **Program Director** to be recorded and published[4]. Meeting minutes shall contain at a minimum:

1. A list of attendees
2. A record of decisions (Resolutions approved or rejected)

The **Program Director** is entitled to attend any **Standing Committee** or **Working Group** meeting. He or she is not obliged to attend, and not obliged to become a member of any **Standing Committees** or **Working Groups.**

All **Standing Committees** and **Working Groups** shall operate within the terms of this document.

3.2.1 Decision Making

1. In general, **Standing Committees** and **Working Groups** operate on informal consensus on a per participant basis. Rules for developing consensus *may* be stipulated (but not required) by the **Steering Committee** as part of **Standing Committee's** or **Working Group's** charter.

2. ***All*** work products of a **Standing Committee** or **Working Group** are considered *recommendations* and must be forwarded to the **Steering Committee** for formal approval. ***No*** *decisions made at the* ***Standing Committee*** *or* ***Working Group*** *level are considered binding on the* ***Consortium*** *as a whole.*

3. A Chair and Vice Chair may be selected from within the **Standing Committee** or **Working Group**, appointed by the **Steering Committee,** or as part of a membership-wide election as instructed by the **Steering Committee**. The term of the Chair and Vice Chair, Chair and Deputy or Co-Chairs shall be defined within the **Standing Committee's or Working Group**'s

[4] This should include any decisions made on teleconferences

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charter. In the event that the position of an **Officer** within a **Standing Committee or Working Group** is vacated during their term, the **Steering Committee** shall elect the method by which a replacement will occur.

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3.2.2 Conduct of All Steering Committee, Standing Committees and Working Group Meetings

The **Steering Committee** shall meet at least once every 3 months. A **Standing Committee** or **Working Group** that fails to meet for a period of 6 months shall be deemed to be inactive and may be disbanded and its charter revoked.

Meetings may be held face-to-face or by telephone, videoconference or other electronic means, provided that the majority of participants are satisfied by the means.

A seven (7)-calendar day notice via email to the **Member Organization**'s designated **Representative**s shall be given for all **Steering Committee** meetings.[5] The notice requirement may be waived if 2/3 of the voting membership of the group approves such a waiver.

The schedule of meetings shall be maintained on the website of the group concerned (**Steering Committee** or **Working Group**), together with any logistic information necessary to allow **Representative**s to participate in audio or video conferences, or attend a face-to-face meeting.

The Chair of a **Working Group** or **Standing Committee** shall publish or email an agenda appropriate to the group at least 24 hours before the start of the meeting, containing all items known at the time of publication.

The Secretary of the **Steering Committee**, **Standing Committee** or **Working Group** shall produce minutes which shall be published to the **Consortium** or be posted on the website appropriate to the **Steering Committee**, **Standing Committee** or **Working Group** as soon as is practicable after the meeting.

3.3 Code of Conduct

A set of policies and guidelines has been established by **The Open Group** for the **Consortium's** operations relating to a code of conduct. These are set forth in the document "*The Open Group Code of Conduct*". **Representatives** of **Member Organizations** are obligated to abide by these guidelines at all times.

[5] It is recommended that the Plato Events facility or equivalent (i.e. Google calendar) be used to announce meetings

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3.4 Government Participation in a Consortium

While all Member organizations operating within the Consortium are considered equal partners, it is recognized that those Member organizations originating from US Federal Agencies are required to operate under additional requirements. These policies and procedures are intended to be aligned with the "National Technology Transfer Act of 1995" as codified in the existing policies of OMB Circular A-119, DoD Directive 5500.7-R (Joint Ethics Regulation), as well as additional best practices recognized by this Consortium.

Under all circumstances, US Federal Law will take precedence over these Policies and Procedures.

OMB Circular A-119 states that Federal Agencies must consult with voluntary consensus standards bodies, both domestic and international, and must participate with such bodies in the development of voluntary consensus standards when consultation and participation is in the public interest and is compatible with their missions, authorities, priorities, and budget resources.

a. What are the purposes of agency participation?

Agency representatives should participate in voluntary consensus standards activities in order to accomplish the following purposes:

(1) Eliminate the necessity for development or maintenance of separate Government-unique standards.

(2) Further such national goals and objectives as increased use of the metric system of measurement; use of environmentally sound and energy efficient materials, products, systems, services, or practices; and improvement of public health and safety.

b. What are the general principles that apply to agency support?

Agency support provided to a voluntary consensus standards activity must be limited to that which clearly furthers agency and departmental missions, authorities, priorities, and is consistent with budget resources. Agency support must not be contingent upon the outcome of the standards activity. Normally, the total amount of federal support should be no greater than that of other participants in that activity, except when it is in the direct and predominant interest of the Government to develop or revise a standard, and its timely development or revision appears unlikely in the absence of such support.

c. What forms of support may my agency provide?

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The form of agency support, may include the following:

(1) Direct financial support; e.g., grants, memberships, and contracts.
(2) Administrative support; e.g., travel costs, hosting of meetings, and secretarial functions.
(3) Technical support; e.g., cooperative testing for standards evaluation and participation of agency personnel in the activities of voluntary consensus standards bodies.
(4) Joint planning with voluntary consensus standards bodies to promote the identification and development of needed standards.
(5) Participation of agency personnel.

d. Must agency participants be authorized?

Agency employees who, at Government expense, participate in standards activities of voluntary consensus standards bodies on behalf of the agency must do so as specifically authorized agency representatives. Agency support for, and participation by agency personnel in, voluntary consensus standards bodies must be in compliance with applicable laws and regulations. For example, agency support is subject to legal and budgetary authority and availability of funds. Similarly, participation by agency employees (whether or not on behalf of the agency) in the activities of voluntary consensus standards bodies is subject to the laws and regulations that apply to participation by federal employees in the activities of outside organizations. While we anticipate that participation in a committee that is developing a standard would generally not raise significant issues, participation as an officer, director, or trustee of an organization would raise more significant issues. An agency should involve its agency ethics officer, as appropriate, before authorizing support for or participation in a voluntary consensus standards body.

e. Does agency participation indicate endorsement of any decisions reached by voluntary consensus standards bodies?

Agency participation in voluntary consensus standards bodies does not necessarily connote agency agreement with, or endorsement of, decisions reached by such organizations.

f. Do agency representatives participate equally with other members?

Agency representatives serving as members of voluntary consensus standards bodies should participate actively and on an equal basis with other members, consistent with the procedures of those bodies, particularly in matters such as establishing priorities, developing procedures for preparing, reviewing, and approving standards, and developing or adopting new standards. Active participation includes full involvement in discussions and technical debates, registering of opinions and, if selected, serving as chairpersons or in other official capacities. Agency representatives may vote, in accordance with the procedures of the voluntary consensus

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standards body, at each stage of the standards development process unless prohibited from doing so by law or their agencies.

g. Are there any limitations on participation by agency representatives?

In order to maintain the independence of voluntary consensus standards bodies, agency representatives must refrain from involvement in the internal management of such organizations (e.g., selection of salaried officers and employees, establishment of staff salaries, and administrative policies). Agency representatives must not dominate such bodies, and in any case are bound by voluntary consensus standards bodies' rules and procedures, including those regarding domination of proceedings by any individual. Regardless, such agency employees must avoid the practice or the appearance of undue influence relating to their agency representation and activities in voluntary consensus standards bodies.

h. Are there any limits on the number of federal participants in voluntary consensus standards bodies?

The number of individual agency participants in a given voluntary standards activity should be kept to the minimum required for effective representation of the various program, technical, or other concerns of federal agencies.

i. Is there anything else agency representatives should know?

OMB Circular A-119 does not provide guidance concerning the internal operating procedures that may be applicable to voluntary consensus standards bodies because of their relationships to agencies under this Circular. Agencies should, however, carefully consider what laws or rules may apply in a particular instance because of these relationships. For example, these relationships may involve the Federal Advisory Committee Act, as amended (5 U.S.C. App. I), or a provision of an authorizing statute for a particular agency.

j. What if a voluntary consensus standards body is likely to develop an acceptable, needed standard in a timely fashion?

If a voluntary consensus standards body is in the process of developing or adopting a voluntary consensus standard that would likely be lawful and practical for an agency to use, and would likely be developed or adopted on a timely basis, an agency should not be developing its own government-unique standard and instead should be participating in the activities of the voluntary consensus standards body.

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4. Advisory Board

The **Advisory Board** is made up of one or more **Advisors** appointed by the **Steering Committee** and **Sponsor Members** to perform specific roles or tasks. The **Advisory Board** has been established to facilitate the goal of the National Technology Transfer Act and OMB Circular A-119 in encouraging the participation of federal government representatives in a **Voluntary Consensus Standards Body**, thus increasing the likelihood that standards under development will meet both public and private sector needs.

The **Consortium** will encourage the participation of *individual person*s from government, industry or academia who are subject matter experts (SMEs) not necessarily associated with any particular organization. Unlike **Member Organizations** of the **Consortium**, the participation with the **Consortium** through the **Advisory Board** is by individual persons rather than by organizations. The **Consortium**'s **Steering Committee** creates and approves the Policies and Procedures under which the **Advisory Board** will operate:

1. The **Steering Committee** will identify appropriate federal government agencies and solicit individuals from such agencies who can advise the **Consortium** on achieving its mission.
2. The **Steering Committee** will identify appropriate individual persons who are SMEs in technical, political or business areas who can advise the **Consortium** in achieving its mission.
3. Nominees for participation on the **Advisory Board** as an **Advisor** may be brought forward to the **Steering Committee** as a recommendation from any **Consortium Member Organization**.
4. The position of Chair (and optionally a Vice Chair) and all members of the **Advisory Board** will be appointed by the **Steering Committee** and will serve at the pleasure of the **Steering Committee**.
5. Serving as an **Advisor** on the **Advisory Board** does not imply membership in the **Consortium**.
6. No active member of the **Advisory Board** may serve as the Chair or Vice-Chair of the **Steering Committee**, function as the voting **Representative** of a **Member** organization within the **Consortium** or participate in any governance of the **Consortium**. If an individual is to function as a **Representative** of a **Member** organization within the **Consortium**, that individual must resign their position as an **Advisor** on the **Advisory Board**.
7. An **Advisor, who represents a federal government agency,** may participate in a **Consortium Working Group** provided that it is made clear that the **Advisor** represents only a federal government agency's interests to the **Consortium** in an advisory capacity.
8. An **Advisor** may officially represent a federal government agency in discussions of matters of mutual interest with the **Consortium** providing it is made clear to the **Consortium** that the opinions expressed by the **Advisor** do not bind the agency or any component of the agency to any action.
9. Any information shared with the **Consortium** should be limited to publicly releasable information. Participation of an **Advisor** should not give the **Consortium** any greater access to federal government information than the public-at-large or to that information which would be normally shared with like organizations.
10. Participation by the **Advisor** should not give the appearance of partiality with respect to the

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Consortium or its **Members**

11. Participation within the **Advisory Board** or a **Consortium Standing Committee** or **Working Group** by a federal government agency liaison does not imply endorsement or sponsorship by that agency of any conclusions or work products produced by the **Consortium**.
12. The comments, observations or other input given to the **Consortium** by **Advisory Board** members *will **not** be held for attribution without explicit permission*.

5. Membership Levels and Entitlements

All **Member** entitlements are depend**e**nt on the **Member Organization** remaining in good standing. All Members in good standing are entitled to the free use of all the **Consortium** work products.

*All participation within the **Consortium** is restricted to **US Persons.***

Any standards produced by the **Consortium** are intended to be Open Standards and will be freely available to all.

Specific membership levels and entitlements are identified in the document "The *Open Group Future Airborne Capability Environment Consortium Membership Levels and Entitlements"*.

6. ITAR Responsibilities and Obligations of Member Organizations

As a US Corporation, **The Open Group,** consisting of both staff and its **Members,** must comply with:

- International Traffic in Arms Regulations (ITAR) - 22 CFR 120-130
- Export Administration Regulations (EAR) - 15 CFR 730-774

To further the protection of export sensitive materials brought into **The Open Group** or any entity operating under **The Open Group** a set of policies and procedures has been established by **The Open Group** for the **Consortium**'s operations relating to ITAR and potential export controlled documentation. These are set forth in the document "*ITAR Responsibilities and Obligations of Member Organizations*". From time to time, these policies and procedures may be modified as required to be compliant with current regulations and best practices. **Representative**s of **Member Organizations** are obligated to abide by these policies and procedures at all times as agreed to in the **Consortium** Membership Agreement Term and Conditions.

7. Antitrust

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A set of policies and guidelines has been established by **The Open Group** for **the Consortium**'s operations relating to antitrust. These are set forth in the document "The Open Group Antitrust Guidelines for Consortia." **Representative**s of **Member Organizations** are obligated to abide by these guidelines at all times.

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8. Definition of Terms

Advisor	A person appointed by the **Steering Committee** to serve on the **Advisory Board**
Advisory Board	The **Advisory Board,** established by the **Steering Committee** to facilitate the goal of the National Technology Transfer Act and OMB Circular A-119 in encouraging the participation of federal government representatives in a **Voluntary Consensus Standards Body** thus increasing the likelihood that standards under development will meet both public and private sector needs. The **Advisory Board** of the **Consortium** is made up of persons appointed by the **Steering Committee** and **Sponsor Member(s).** *The **Advisory Board** does not participate in the governance of the **Consortium***.
Associate Members	**Associate Members** are those **Members** who join the **Consortium** at the **Associate Member** level, with entitlements described in "The *Open Group Future Airborne Capability Environment Consortium Membership Levels and Entitlements* "
Consortium Calendar Year	For the purposes of these policies and procedures, the **Consortium's** Calendar Year ("Year") shall run from the **Founding Date** of the **Consortium** and run (12) twelve calendar months.
Consortium Review	The **Consortium Review** is the formal process by which **The Open Group** measures consensus around a document in order for it to be considered adopted by the **Consortium** as a Standard. The **Consortium Review** process may also be applied to achieve consensus on documents that are not standards - e.g. Guides, White Papers, Business Scenarios, etc.
Founding Date	The Founding Date of the Consortium is defined as: **June 10, 2010**.
ITAR	**International Traffic in Arms Regulations** (**ITAR**) is a set of United States government regulations that control the export and import of defense-related articles and services on the United States Munitions List (USML). These regulations implement the provisions of the Arms Export Control Act (AECA), and are described in Title 22 (Foreign Relations), Chapter I (Department of State), Subchapter M of the Code of Federal Regulations. The Department of State interprets and enforces **ITAR**. Its goal is to safeguard US national security and further US foreign

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	policy objectives.

Member Organization **(or Member)**	A **Member Organization** (or **Member**) is a company or organization that has joined the **Consortium** in order to participate in the **Consortium** through execution of the **Membership Agreement.**
Officer	An elected or appointed **Representative** that serves as a Chair, Vice Chair, Co-Chair or Deputy on the **Steering Committee**, a **Standing Committee** or **Work Group**.
Person	**Person** means a natural person as well as a corporation, business association, partnership, society, trust, or any other entity, organization or group, including governmental entities. If a provision in this document does not refer exclusively to a foreign person or **US Person**, then it refers to both.
Principal Members	**Principal Members** are those **Members** who join the **Consortium** at the **Principal Member** level, with entitlements described in "The *Open Group Future Airborne Capability Environment Consortium Membership Levels and Entitlements"*.
Program Director	The **Program 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 **Program Director** acts as the neutral, non-voting Facilitator of the **Steering Committee**. The **Program Director**, as the neutral party within the **Consortium**, acts in an oversight capacity on behalf of **The Open Group** to ensure that the **Consortium** meets its objective as a **Voluntary Consensus Standards Body** and to coordinate the provision of other resources from **The Open Group** in support of the activities of the **Consortium**.

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Representative	A **Representative** is an individual person of a **Member Organization** that participates in a **Standing Committee** or **Working Group**. A **Member Organization** will designate a primary and alternate **Representative** as a point of contact for business purposes. A **Member** may appoint multiple additional **Representatives** to exercise the **Member**'s entitlements. A **Representative** is not required to be an employee of the **Member Organization**, but in the case where the **Representative** is not an employee, the **Member Organization** will notify **The Open Group** that the designated **Representative** is representing the **Member Organization**'s interests. The **Member Organization** is responsible and assures that all their designated **Representatives** will abide by the Terms and Conditions of the Membership Agreement along with these Policies and Procedures.
Sponsor Members	**Sponsor Members** are those **Members** who join the **Consortium** at the **Sponsor Member** level, with entitlements described in "The *Open Group Future Airborne Capability Environment Consortium Membership Levels and Entitlements*".
Standing Committee	One or more groups chartered and directed by the **Steering Committee** for the purpose of carrying out the tasks and developing the work products of the **Consortium**. A **Standing Committee** may be given specific rules by the **Steering Committee**. A **Standing Committee** may be chartered with an indefinite period of operation and remain dormant until triggered by specific events or conditions.
Secretary	An individual appointed by the Chair of the **Steering Committee**, a **Standing Committee** or **Working Group** to generate meeting minutes which are submitted to the **Program Director** for recording and publication.
Steering Committee	The **Steering Committee**, consisting of **Sponsors** and **Principal Member Organizations**, is the governing board of the **Consortium**. It conducts the business of the **Consortium**, establishes policy and procedures, approves the release of official documents and provides general oversight of the affairs of the **Consortium** as defined in Section 3.1.

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The Open Group	The **Consortium** operates under the legal umbrella and oversight of **The Open Group**. **The Open Group** is a vendor-neutral and technology-neutral consortium, which drives the creation of Boundaryless Information Flow™ that will enable access to integrated information within and between enterprises based on open standards and global interoperability. **The Open Group** works with customers, suppliers, consortia and other standard bodies. Its role is to capture, understand and address current and emerging requirements, establish policies and share best practices; to facilitate interoperability, develop consensus, and evolve and integrate specifications and open source technologies; to offer a comprehensive set of services to enhance the operational efficiency of consortia; and to operate the industry's premier certification service. **http://www.opengroup.org/** .
US Person	**US Person** means a **Person** who is lawful permanent resident [Green Card Holder] as defined by 8 U.S.C. 1101(a)(20) or who is a protected individual [Has been Granted Asylum] as defined by 8 U.S.C. 1324b(a)(3). It also means any corporation, business association, partnership, society, trust, or any other entity, organization or group that is incorporated to do business in the United States. It also includes any governmental (federal, state or local) entity. It does not include any foreign person. **Note -> Any Person holding dual citizenship or holding a non-US passport will be considered a foreign person.**
Voluntary Consensus Standards Body	**The Open Group** defines a **Voluntary Consensus Standards Body** by the following attributes: 1. Openness 2. Balance of interest 3. Due Process 4. An appeals process 5. Consensus
Working Group (or Work Group)	One or more groups chartered and directed by the **Steering Committee** for the purpose of carrying out the tasks and developing the work products of the **Consortium**. **A Working Group** may be given specific rules by the **Steering Committee**. A **Working Group** is chartered with a specific period of operation

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