**OpenChain Conformance 2016-H1 Certification**

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# Introduction

###

* Not asking for documents here. But if you say you have a certain document (i.e. a written policy) here, you should be able to provide it to your client any time, as the client can ask for them and expect to receive them any time.

###

# G1: Know Your FOSS Responsibilities

|  |  |  |  |
| --- | --- | --- | --- |
|  |  | **No** | **Yes** |
| 1.1 | Do you have rules that govern FOSS license compliance of the Supplied Software distribution? |  |  |
| 1.2 | Are these rules internally communicated? |  |  |
| 1.3 | Are these rules documented? |  |  |
| 1.4 | Is your Software Staff aware of the rules that govern FOSS license compliance of the Supplied Software distribution? |  |  |
| 1.5 | Do you document, how you make your Software Staff aware of the existing procedures that govern FOSS license compliance of the Supplied Software distribution?  |  |  |
| 1.6 | How do you make your software staff aware of the existence of the FOSS policy? |  |  |
|  | * Training
 |  |  |
|  | * Internal wiki
 |  |  |
|  | * Other practical communication methods
 |  |  |
| 1.7 | How many percent of the Software Staff attended a FOSS training within the last 24 months? |  |  |
|  | * 90%
 |  |  |
|  | * 85%
 |  |  |
|  | * 75%
 |  |  |
|  | * 60%
 |  |  |
| 1.8 | Which topics does this training cover? |  |  |
|  | * Basics of IP law pertaining to FOSS and FOSS licenses.
 |  |  |
|  | * FOSS licensing concepts (including the concepts of permissive and copyleft licenses).
 |  |  |
|  | * FOSS project licensing models.
 |  |  |
|  | * Software Staff roles and responsibilities pertaining to FOSS compliance specifically and the FOSS policy in general.
 |  |  |
|  | * Process for identifying, recording and/or tracking of FOSS components contained in Supplied Software.
 |  |  |
|  | * The FOSS policy and where to find a copy?
 |  |  |
| 1.9 | Do you use FOSS course material? |  |  |
|  | * Do you use slide decks?
 |  |  |
|  | * Do you use online courses?
 |  |  |
|  | * Do you use other training material?
 |  |  |
| 1.10 | Do you track the completion of the course for all Software Staff? |  |  |
| 1.11 | Do you provide a written test to track the completion of the course for all Software Staff? |  |  |

# G2: Assign Responsibility for Achieving Compliance

|  |  |  |  |
| --- | --- | --- | --- |
|  |  | **No** | **Yes** |
| 2.1 | Have you assigned an individual responsible for managing internal FOSS compliance? |  |  |
| 2.2 | Have you assigned a group of persons responsible of managing internal FOSS compliance? |  |  |
| 2.3 | Is the FOSS Liaison identical with the individual responsible for managing internal FOSS compliance or part of the group of persons responsible for it. |  |  |
| 2.4 | How much time have you allocated to the FOSS compliance management activity. |  |  |
|  | * More than a Full Time Equivalent (“FTE”)
 |  |  |
|  | * One FTE
 |  |  |
|  | * Half an FTE
 |  |  |
|  | * Less than half an FTE
 |  |  |
| 2.5 | Is there a budget dedicated to the compliance management activity? |  |  |
| 2.6 | Have you assigned responsibilities to develop and maintain FOSS compliance policy and processes? |  |  |
| 2.7 | Is legal expertise pertaining to FOSS compliance accessible to the FOSS Compliance Role (e.g., could be internal or external)? |  |  |
| 2.8 | Have you assigned individual(s) responsible for receiving external FOSS compliance inquiries (“FOSS Liaison”)? |  |  |
| 2.9 | Is the FOSS Laison function publicly identified? |  |  |
|  | * Is the FOSS Liaison function identified via an email address?
 |  |  |
|  | * Is the FOSS Liaison funtion identified via the Linux Foundation's Open Compliance Directory?
 |  |  |
|  | * Is the FOSS Liaison function identified in another practical way?
 |  |  |
| 2.10 | If yes, reference the where you identified the FOSS Liaison (i.e. website, directory): |  |  |
| 2.11 | Can third parties reach the FOSS Liaison by way of electronic communication? |  |  |
| 2.12 | Does the FOSS Liaison respond to FOSS compliance inquiries? |  |  |
| 2.13 | How quickly does the FOSS Liaison respond to FOSS compliance inquiries? |  |  |
|  | * Within a week
 |  |  |
|  | * Within a month
 |  |  |
|  | * Within two months
 |  |  |
|  | * Within six months
 |  |  |
| 2.14 | Can the FOSS Liaison escalate FOSS compliance issues to resolve them? |  |  |

# G3: Review and Approve FOSS Content

|  |  |  |  |
| --- | --- | --- | --- |
|  |  | **No** | **Yes** |
| 3.1 | Do you identify all FOSS components and their respective Identified Licenses from which Supplied Software is comprised? |  |  |
| 3.2 | Do you list all FOSS components and their respective Identified Licenses from which Supplied Software is comprised? |  |  |
| 3.3 | Is there a procedure for identifying and listing all FOSS components and their respective Identified Licenses) from which Supplied Software is comprised? |  |  |
| 3.4 | Is this procedure documented? |  |  |
| 3.5 | Do you archive the list of FOSS components and their respective Identified Licenses from which Supplied Software is comprised? |  |  |
| 3.6 | Is there a procedure for archiving all FOSS components and their respective Identified Licenses from which Supplied Software is comprised? |  |  |
| 3.7 | Is this procedure documented? |  |  |
| 3.8 | Have you set up a FOSS program? |  |  |
| 3.9 | Is this FOSS program capable of handling at least the following typical FOSS use cases encountered by Software Staff for Supplied Software? |  |  |
|  | * Distribution in binary form.
 |  |  |
|  | * Distribution in source form.
 |  |  |
|  | * Integration with other FOSS such that it may trigger copyleft obligations.
 |  |  |
|  | * Contains modified FOSS.
 |  |  |
|  | * Contains FOSS or other software under an incompatible license interacting with other components within the Supplied Software.
 |  |  |
|  | * Contains FOSS with attribution requirements.
 |  |  |
| 3.10 | Are you addressing the typical FOSS use cases encountered by Software Staff for Supplied Software? |  |  |
| 3.11 | Have you implemented a process to address these typical FOSS use cases? |  |  |

# G4: Deliver FOSS Content Documentation and Artifacts

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | No | Yes | Not required by Identified License |
| 4.1 | Which of the following information do you accompany software with that you supply to third parties? |  |  |  |
|  | * copyright notices
 |  |  |  |
|  | * copies of Identified Licenses
 |  |  |  |
|  | * modification notifications
 |  |  |  |
|  | * attribution notices
 |  |  |  |
|  | * prominent notices
 |  |  |  |
|  | * source code
 |  |  |  |
|  | * written offers
 |  |  |  |
| 4.2 | Do you ensure the above Distributed Compliance Artifacts are distributed with Supplied Software? |  |  |  |
| 4.3 | Have you set up a process to ensure the above Distributed Compliance Artifacts are distributed with Supplied Software? |  |  |  |
| 4.4 | Is this process documented? |  |  |  |
| 4.5 | Is this process available to the Software Staff? |  |  |  |
| 4.6 | Do you archive copies of the Distributed Compliance Artifacts of the Supplied Software (e.g., legal notices, source code, SPDX documents)? |  |  |  |
| 4.7 | Can you easily retrieve the archived copies of the Distributed Compliance Artifacts of the Supplied Software (e.g., legal notices, source code, SPDX documents)? |  |  |  |
| 4.8 | How long is the archive planned to exist for? |  |  |  |
|  | * There is no time limit
 |  |  |  |
|  | * For as long as the Supplied Software is offered.
 |  |  |  |
|  | * For as long as required by the Identified Licenses.
 |  |  |  |
|  | * For at least as long as the Supplied Software is offered or as required by the Identified Licenses (whichever is longer)?
 |  |  |  |
|  | * We get rid of the archive as soon as we start with a new product.
 |  |  |  |
| 4.9 | Are there any compliance artifacts publicly available? |  |  |  |
| 4.10 | If so, please provide information on where these artifacts can be accessed: |  |  |  |

# G5: Understand FOSS Community Engagement

|  |  |  |  |
| --- | --- | --- | --- |
|  |  | No | Yes |
| 5.1 | Do you allow contributions of your employees to FOSS projects on behalf of the organization? |  |  |
| 5.2 | Do your employees have to follow rules, when they contribute to FOSS projects on behalf of the organization? |  |  |
| 5.3 | Are these rules captured in a written policy (“FOSS Contribution Policy”)? |  |  |
| 5.4 | Is this FOSS Contribution Policy available to all your employees? |  |  |
| 5.5 | Is your Software Staff aware of the existence of the FOSS Contribution Policy?  |  |  |
| 5.6 | How do you make your Software Staff aware of the FOSS Contribution Policy? |  |  |
|  | * Via training
 |  |  |
|  | * Via an internal wiki
 |  |  |
|  | * Via other practical communication method
 |  |  |
| 5.7 | Which of the following considerations does the FOSS Contribution Policy include? |  |  |
|  | * Legal approval for license considerations business rationale or approval
 |  |  |
|  | * Technical review of code to be contributed
 |  |  |
|  | * Community engagement and interaction
 |  |  |
|  | * Adherence to project-specific contribution requirements
 |  |  |