

# Information Technology Architect Certification

## Certification Policy

July 12, 2005  
Version 1.2

© Copyright 2005, The Open Group

All rights reserved.

No part of this publication may be reproduced, stored in a retrieval system, or transmitted, in any form or by any means, electronic, mechanical, photocopying, recording, or otherwise, without the prior permission of the copyright owner.

Boundaryless Information Flow™ is a trademark and UNIX® and The Open Group® are registered trademarks of The Open Group in the United States and other countries.

## **Information Technology Architect Certification: Certification Policy**

Document Number: X051

Published by The Open Group, July 2005.

Comments relating to the material contained in this document may be submitted to:

The Open Group  
Thames Tower  
37-45 Station Road  
Reading  
Berkshire, RG1 1LX  
United Kingdom

or by electronic mail to:

[ogspecs@opengroup.org](mailto:ogspecs@opengroup.org)

## Contents

1.	Overview .....	5
1.1	Introduction .....	5
1.2	Fees.....	6
1.3	Terminology and Definitions.....	6
2.	Certification Process.....	8
2.1	Direct Certification.....	8
2.2	Indirect Evaluation .....	11
3.	Conformance .....	14
3.1	Conformance Requirements .....	14
3.2	Certification Record .....	14
4.	Use of the Program Logo by Certified IT Architects.....	15
4.1	Direct Certification.....	15
4.1.1	Licensing the Program Logo.....	15
4.1.2	Use of the Program Logo.....	15
4.1.3	Removal of the Program Logo.....	16
4.2	Indirect Certification .....	16
4.2.1	Award of the Program Logo .....	16
4.2.2	Licensing the Program Logo.....	17
4.2.3	Use of the Program Logo.....	17
4.2.4	Removal of the Program Logo.....	18
5.	Directory of Certified IT Architects .....	18
5.1	Inclusion in Directory .....	18
5.2	Visibility.....	18
5.3	Removal from Directory.....	19
6.	Evaluation Process.....	19
6.1	Direct Evaluation Process.....	19
6.2	Indirect Evaluation Process .....	20
7.	Change of Employment .....	20
8.	Re-Certification and Renewal.....	20
8.1	Duration of Certification .....	20
8.2	Direct Re-Certification .....	21
8.3	Indirect Re-Certification.....	21
8.4	Annual Renewal .....	21
9.	Problem Reporting and Interpretations.....	21
9.1	Overview .....	21
9.2	Problem Report Resolution .....	22
9.3	Resolution of Problem Reports.....	23
9.3.1	Interpretations .....	24
9.3.2	Evaluation Process Deficiency .....	24
9.3.3	Certification System Deficiency .....	24
9.4	Problem Report Repository .....	24
10.	Appeals Process.....	25
11.	Confidentiality and Disclosure .....	25
11.1	Confidentiality.....	25
11.2	Disclosure of Information.....	26

## Acknowledgements

The contributions to this document by the following individuals and working groups are gratefully acknowledged:

- Len Fehskens, Hewlett-Packard Company
- Shinichi Fukushima, Hitachi, Ltd.
- Ted Lohman, Hewlett-Packard Company
- Masashi Nishikawa, Fujitsu Limited
- Walter Stahlecker, Hewlett-Packard Company
- Michael Sylvia, IBM Corporation
- Andras Szakal, IBM Corporation
- Masahiro Ueno, Fujitsu Limited
- Cristina Woodbridge, IBM Corporation
- The Open Group Architecture Forum
- The Open Group Customer Council
- The Open Group Supplier Council

# 1. OVERVIEW

## 1.1 Introduction

The Open Group IT Architect Certification Program (the Program) is designed to validate the existence of those qualities and skills in a professional that enable the effective practice of IT architecture. The Program is skills and experience-based and goes beyond validating the mastery of any specific knowledge base.

The Program includes a framework for accreditation of third parties to establish IT Architect certification programs affiliated to The Open Group. The framework of accreditation and certification is specifically intended to standardize the process and criteria for IT Architect professional certification and establish a foundation for the required skills and experience necessary to achieve such a distinction. The Program was designed to be flexible and extensible so that the framework may be adopted by any industry, country, or organization.

The Open Group supports two different routes to IT Architect certification:

- The first route is *direct* certification by The Open Group.
- The second is *indirect*, through third-party programs accredited by The Open Group.

The Conformance Requirements for IT Architect certification apply equally to the direct and indirect routes to certification.

Beyond the Conformance Requirements for a Certified IT Architect, third parties operating Accredited Certification Programs (ACPs) may levy additional requirements on their Candidates in order to satisfy their internal skills requirements. Such additional requirements are called *extended certification requirements* or simply *extended requirements*. For example, extended certification requirements might include experience with a proprietary corporate method or appropriate industry or cultural requirements.

The Program requires ACPs' extended certification requirements to be effectively documented and communicated within the accredited program. In addition, extended certification requirements must not relax the skills, experience, or process requirements set forth by the framework established herein.

The Open Group direct certification route may, at some time in the future, also include extended requirements, but these will always be optional to ensure the baseline requirements of the framework remain common across the profession.

The Program is based upon four key documents:

1. The *Certification Policy*, which sets out the policies and processes by which an IT Architect may achieve certification (this document)
2. The *Conformance Requirements*, in which the skills and experience that a Certified IT Architect must possess are documented
3. The *Accreditation Policy*, which sets out the policies and processes by which an Organization may achieve accreditation

4. The *Accreditation Requirements*, in which the criteria that must be met by an ACP are documented

## 1.2 Fees

The Certification Authority (CA) charges fees for certification in the Program. The fees are published by the CA on the CA's web site.

## 1.3 Terminology and Definitions

This table defines terms or clarifies the meaning of words used within this document. Where an acronym is also used, it is provided in parentheses.

<b>Accredited Certification Program (ACP)</b>	An IT Architect certification program, operated by a third party, that has been assessed by The Open Group as meeting the requirements set out in the Accreditation Policy and which has been entered into the Accreditation Register.  Depending on context, the term is also used to mean the company or organizational unit that operates an Accredited Certification Program.
<b>Application Form</b>	The form completed by the Candidate to apply for certification.
<b>Candidate</b>	The individual who is in the process of being certified.
<b>Certificate</b>	The document made available to Candidates who have successfully completed the certification process and whose details have been entered into the Directory of Certified IT Architects.
<b>Certification Agreement</b>	The agreement between the Candidate and the Certification Authority that defines the certification service to be provided and contains the legal commitment by the Candidate to the conditions of the certification program.
<b>Certification Authority (CA)</b>	The Organization that manages the day-to-day operations of the certification program – in this case The Open Group.
<b>Certification Board</b>	The group of subject matter experts appointed by the Certification Authority or by an Accredited Certification Program to assess applications for certification.
<b>Certification Package</b>	The detailed description of the skill levels attained and experience undergone that provides the Certification Authority or Accredited Certification Program with sufficient information to determine whether the Candidate meets the Conformance Requirements. The Certification Package is never made public.
<b>Certification Program Guide</b>	The document that describes the processes for how a Candidate achieves certification. The Certification Program Guide is used in conjunction with this Certification Policy document. This Certification Policy document defines what a Candidate must do, whereas the Certification Program Guide provides detailed instructions on how a Candidate gets certified and where to obtain relevant information and documents.

<b>Certification Record</b>	<p>The information identifying the Candidate, including contact details, and describing the way in which the Candidate meets the Conformance Requirements, including which optional criteria are met.</p> <p>The Certification Record of a Certified IT Architect is made available by the Certification Authority at the discretion of the Certified IT Architect.</p>
<b>Certification System Deficiency (CSD)</b>	<p>An agreed error in the Certification System, which is inhibiting the certification process. A Certification System Deficiency is one possible outcome of a Problem Report.</p>
<b>Certified IT Architect</b>	<p>A Candidate that has successfully completed the certification process and who has been notified in writing by the Certification Authority that certification has been achieved.</p>
<b>Conformance Requirements</b>	<p>A definition of the mandatory and optional criteria a person must meet in order to be eligible for certification.</p>
<b>Direct Certification</b>	<p>Direct certification is achieved by applying directly to The Open Group, or to a third party operating the Program on The Open Group's behalf, and successfully completing the certification process.</p> <p>Direct certification is open to any Candidate, regardless of who they work for, or where in the world they live and work.</p>
<b>Directory of Certified IT Architects</b>	<p>The official list of all Certified IT Architects, which is maintained by the Certification Authority and made publicly available via the Internet.</p>
<b>Evaluation Process</b>	<p>The documented process by which the Certification Authority determines whether a Candidate has met the Conformance Requirements. The Evaluation Process consists of evaluation procedures and criteria.</p>
<b>Evaluation Process Deficiency (EPD)</b>	<p>An agreed error in the Evaluation Process used to evaluate whether a Candidate meets the Conformance Requirements, which impacts certification. An Evaluation Process Deficiency is one possible outcome of a Problem Report.</p>
<b>Indirect Certification</b>	<p>Indirect certification is achieved by applying to an Accredited Certification Program and successfully completing the certification process.</p> <p>To be eligible for certification by a particular ACP, Candidate's must work for the Organization running the Accredited Certification program.</p>
<b>Interpretation (INT)</b>	<p>Decision made by the Specification Authority that elaborates or refines the meaning of the Conformance Requirements, or a standard or specification referenced within the Conformance Requirements. An Interpretation is one possible outcome of a Problem Report.</p>

<b>Problem Report (PR)</b>	A question of clarification, intent, or correctness of the Conformance Requirements, the Evaluation Process, or the Certification System, which, if accepted by the Specification Authority, will be resolved into an Interpretation, Evaluation Process Deficiency, or Certification System Deficiency, respectively.
<b>Program Logo</b>	The logo or other trademarks as designated from time to time by The Open Group for use within The Open Group IT Architect Certification Program in relation to Certified IT Architects.
<b>Specification Authority (SA)</b>	The Open Group IT Architect Certification working group, or its successor, which is responsible for developing, maintaining, and interpreting the Conformance Requirements and Accreditation Requirements of The Open Group IT Architect Certification Program.
<b>Trademark License Agreement (TMLA)</b>	The agreement between the Certified IT Architect and The Open Group that contains the legal commitment by the Candidate to the conditions for use of the Program Logo.

## 2. CERTIFICATION PROCESS

This section defines the process a Candidate must follow to achieve certification.

The program allows for either *direct* certification by The Open Group, or *indirect* certification by an Accredited Certification Program (ACP).

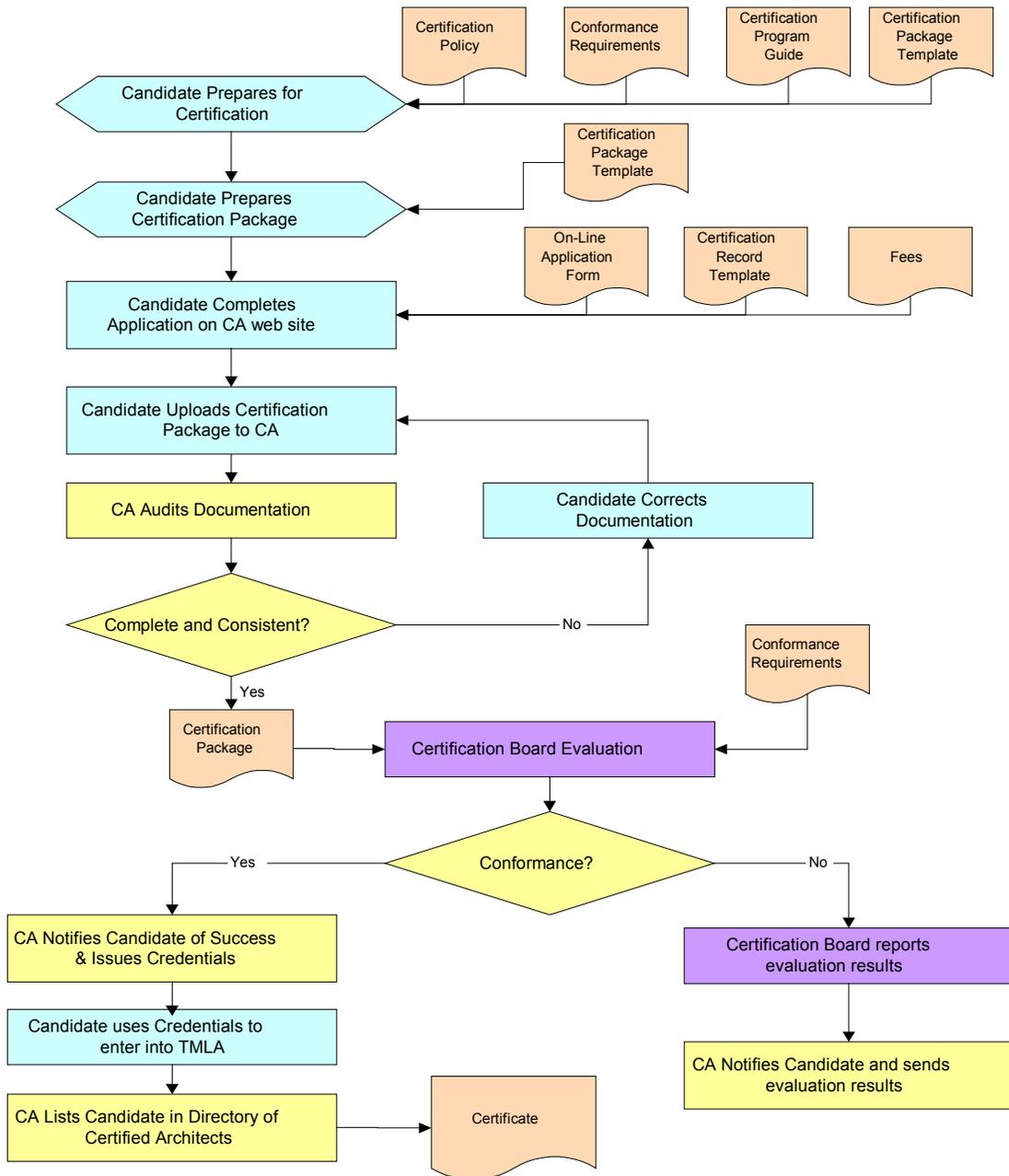
It is an essential feature of The Open Group IT Architect Certification (OGITAC) Program that the Conformance Requirements that Candidates must meet are the same for both the direct and indirect processes.

The two processes are described separately in the following sections.

### 2.1 Direct Certification

The parties involved in the direct certification process are:

- The Candidate
- The Certification Authority (CA)
- The Specification Authority (SA)



### 1. Preparation for Certification

Prior to applying for certification, the Candidate should become familiar with the certification program and ensure that all the applicable requirements are met.

To accomplish this, the Candidate should review this Certification Policy document, the Certification Package template, the agreements that are part of the Program, and other related information such as the Certification Program Guide and FAQ. All information and documents related to the Program are available on the CA’s web site.

## 2. Preparing the Application

The Candidate must produce a Certification Record by completing the template provided by the CA. The Certification Record identifies the Candidate, provides a summary of how the Candidate meets the Conformance Requirements, and identifies which of the major options within the requirements the Candidate claims to conform to.

The Candidate must also prepare a Certification Package by completing the Certification Package template provided by the CA. The Certification Package is a description of the skill levels attained and experience undergone by the Candidate that provides the CA with sufficient information to determine whether the Candidate meets the Conformance Requirements.

The Candidate's Certification Package will not be made public (see Section 11).

The Candidate must also complete an Application Form, which includes the terms under which the CA provides the certification service, and must pay the certification fees.

## 3. Submitting the Application

The Candidate must submit a completed online Application Form and Certification Record, and must upload the completed Certification Package to the CA along with payment of the then current fees.

## 4. Documentation Audit

The CA will audit the submitted application to ensure it is complete and well-formed. The Candidate will be required to correct any errors or inconsistencies before the certification process can continue, and will be allowed a single opportunity to do so.

Once the submission is validated as complete and well-formed, the Candidate's Certification Package and Certification Record will be passed to the Certification Board for evaluation.

The CA will perform the audit of the submitted information within ten (10) business days of receiving a complete submission.

If the CA audit shows that a re-submitted application is not complete or well-formed the second time, the application will be rejected and the Candidate will have to re-apply at a time of the Candidate's choosing. No fees will be refunded.

## 5. Certification Board Evaluation

The Certification Board will evaluate each application for compliance to the Conformance Requirements by following the documented Evaluation Process.

The Evaluation Process consists of an initial review followed by a Certification Board interview for those applications that have no conformance roadblocks noticed in the initial review.

Three (3) members of the Certification Board will be assigned to interview the individual. Certification Board interviews will take place either face-to-face during a conference hosted by The Open Group or via a teleconference. The Certification Board may also convene at other times as determined by the Certification Board.

The objective of the Certification Board interview is to verify the information in the Candidate's Certification Package and validate the Candidate's professional skills and experience.

Candidates who are found to have willingly misrepresented their skills or experience may, subject to the appeal process, be censured by the Certification Board and banned from partaking in future certification reviews for a minimum period of one (1) year. The CA may, at any time, rescind a certification for similar reasons.

The Certification Board will evaluate each certification application and make a written recommendation to the CA regarding certification. At least two (2) of the three members of the Certification Board assigned to an application must concur with the recommendation to certify.

Should an application be assessed as non-conforming, the Certification Board will state the reasons in writing and provide a written description of the deficiencies for the CA to pass to the Candidate to facilitate future enhancement to the Candidate's compliance to the Conformance Requirements.

The Certification Board reports its findings to the CA in writing using the CA's web site.

#### 6. Notification and Publication of Certification

The CA will notify the Candidate in writing of the decision of the Certification Board.

If the decision is to accept the application for certification, the CA will issue credentials to the successful Candidate that will enable the Candidate to access the CA's web site to accept the terms of, and enter into, a Trademark License Agreement (TMLA) with the CA. The CA will then make a Certificate available to the Candidate in electronic form and enter the Candidate's Certification Record into the Directory of Certified IT Architects. The credentials will also allow the Certified IT Architect to control to whom the Certification Record is disclosed and to update contact and employer information in the Certification Record.

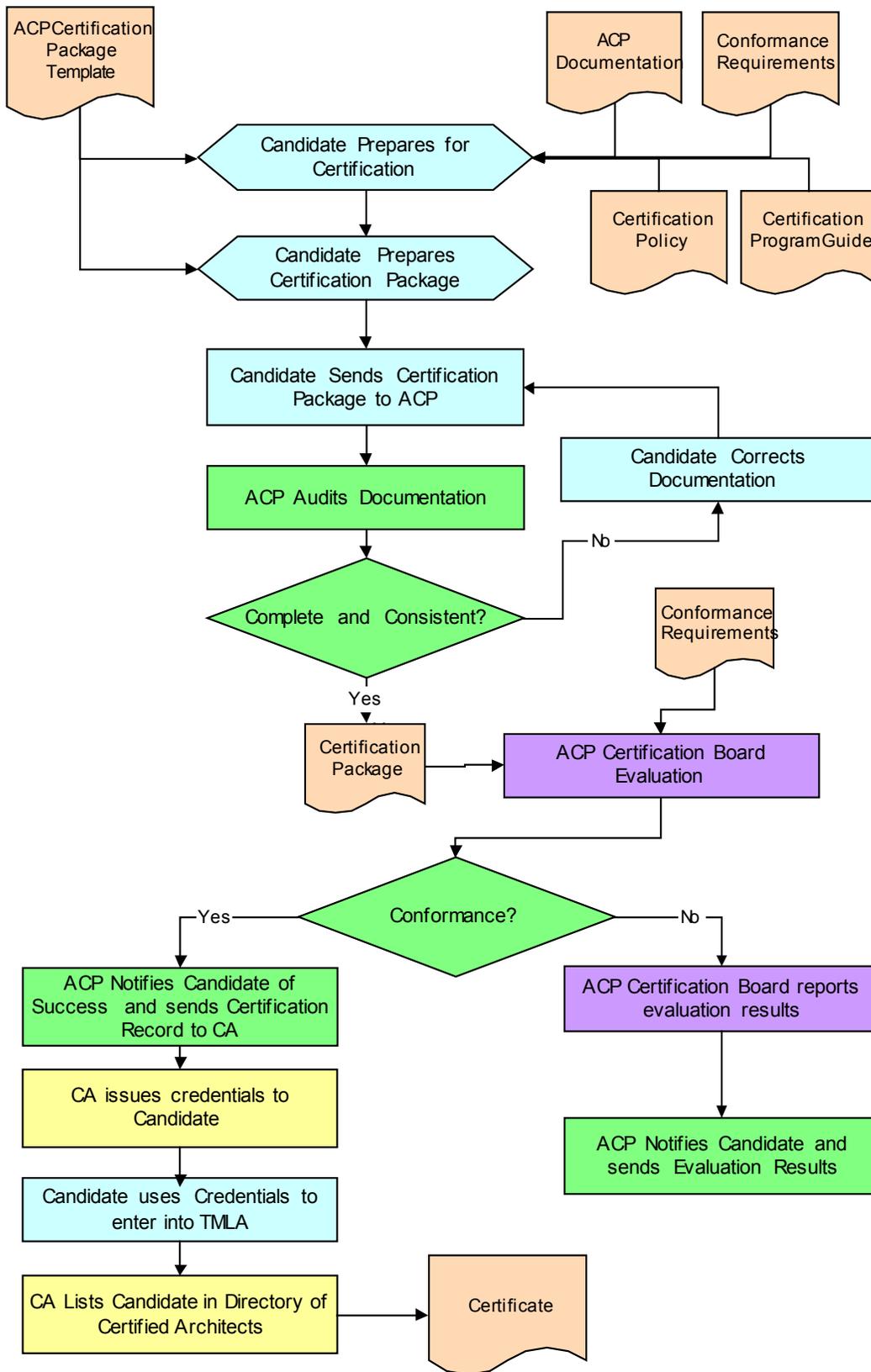
If the Certification Board decision is that the Conformance Requirements have not been met, the CA will reject the application for certification and report the discrepancies with the Conformance Requirements to the Candidate. The Candidate may undertake corrective action and re-apply after three (3) months.

## 2.2 Indirect Evaluation

The indirect evaluation process delegates most of the activity of the CA and the CA's Certification Board to an ACP.

The parties involved in the indirect certification process are:

- The Candidate
- The Accredited Certification Program (ACP)
- The Certification Authority (CA)
- The Specification Authority (SA)



## 1. Preparation for Certification

Prior to applying for certification, the Candidate should become familiar with the certification program and ensure that all the applicable requirements are met.

All information and documents related to the Program are available from the administrator of the ACP. The ACP may provide a URL for inclusion with their entry in the Accreditation Register.

In order to achieve certification by The Open Group, the Candidate needs only to satisfy the requirements of the ACP as the requirements for indirect certification will never be less stringent than the requirements for direct certification.

## 2. Preparing the Application

Part of the Candidate's set of documentation provided to the ACP administrator will be a Certification Record, created by completing a template made available by the ACP administrator.

The Certification Record identifies the Candidate, provides a summary of how the Candidate meets the Conformance Requirements, and identifies which of the major options within the requirements the Candidate claims to conform to.

The Candidate must also prepare a Certification Package by completing the Certification Package template provided by the ACP administrator. The Candidate's Certification Package is a description of the skill levels attained and experience undergone by the Candidate that provides sufficient information to determine whether the Candidate meets the Conformance Requirements.

The Candidate's Certification Package will not be made public and will not be sent to the CA except if so requested by the CA for audit purposes.

## 3. Submitting the Application

The Candidate submits the completed Application Form, Certification Record, and Certification Package to the ACP administrator.

## 4. Documentation Audit

The ACP will review all of the information submitted by the Candidate to ensure it is complete and well-formed. If errors or inconsistencies are found, the Candidate will be required to correct the problems before the certification process can continue.

Once the submission is validated as complete and well-formed, it will be passed to the ACP's Certification Board for evaluation.

## 5. Certification Board Evaluation

The Candidate's Certification Package will be evaluated for consistency and compliance to the Conformance Requirements according to the ACP's procedures, which will include evaluation by the ACP's Certification Board. The evaluation will include an interview, either face-to-face or by teleconference.

Should an application be assessed as non-conforming, the Certification Board will state the reasons in writing and provide a written description of the deficiencies for the ACP to pass to the Candidate to facilitate future enhancement to the Candidate's compliance to the Conformance Requirements.

If the Candidate is found to meet the criteria for certification, the ACP administrator will notify the Candidate and submit the Candidate's Certification Record to the CA.

## 6. Candidate enters into TMLA with CA

The CA will issue a credential to the successful Candidate that will enable the Candidate to access the CA's web site to accept the terms of and enter into a Trademark License Agreement (TMLA) with the CA.

## 7. Notification and Publication of Certification

The CA will then make a Certificate available to the Candidate in electronic form and enter the Candidate's Certification Record into the Directory of Certified IT Architects.

The credential already issued will allow the Certified IT Architect to control to whom the Certification Record is disclosed and to update contact and employer information in the Certification Record.

## **3. CONFORMANCE**

### **3.1 Conformance Requirements**

It is an explicit condition of The Open Group IT Architect Certification (OGITAC) Program that Certified IT Architects warrant and represent that the applicable Conformance Requirements are met at the time of certification and subsequently.

For indirect certification, it is an explicit condition of the OGITAC Program that each Organization operating an Accredited Certification Program (ACP) warrants and represents that the applicable Conformance Requirements are met by all IT Architects certified through their program at the time of their certification and subsequently.

### **3.2 Certification Record**

A Certification Record is the Certified IT Architect's documented set of claims describing the way in which the Conformance Requirements are met, including any optional requirements. The Candidate produces the Certification Record by completing the relevant Certification Record questionnaire.

Certification Records are submitted to the Certification Authority (CA) as part of the application process for certification. It is the responsibility of the Candidate to ensure that the information supplied in the Certification Record is correct and complete. The Certification Record will be included in the Candidate's entry in the Directory of Certified IT Architects once certification is complete.

Certified IT Architects must ensure that their Certification Record is kept accurate and up-to-date and they will be required to confirm the correctness of the Certification Record annually at the request of the CA. Failure to confirm the Certification Record within 90 days of the request will mean certification will be terminated. If a Certified IT Architect wishes to change administrative details – such as contact names, addresses, etc. – they will be able to do so directly on the CA's web site.

The Certification Record will contain the following information:

Field alterable by CA on receipt of proof of change of name:

1. Full Name

Fields editable by Certified IT Architects:

2. Optionally: Employer/business name and address
3. Phone number
4. Optionally: Alternate phone number

5. Email address
6. Postal address

Fields not editable by Certified IT Architects:

7. Direct or Indirect certification

If indirect, the name of the Organization operating the ACP with a link to the entry in the Accreditation Register.

8. Certification expiry date
9. Certification state: one of *current* or *lapsed*
10. Conformance Requirements met

Name and version/date, and which major options, if any.

11. History of past certifications

Date of first certification, dates of renewals, and any re-certifications.

All Certification Records are in English.

Fields 3, 4, 5, and 6 are termed the *contact details*.

The CA will send email confirmation to Certified IT Architects whenever there is a change to the contents of their Certification Record.

## **4. USE OF THE PROGRAM LOGO BY CERTIFIED IT ARCHITECTS**

Certified IT Architects will be licensed to use the Program Logo in relation to the services they offer and in descriptions of themselves and their skills and experience; for example, in proposals and in marketing materials.

### **4.1 Direct Certification**

#### **4.1.1 Licensing the Program Logo**

At the completion of the certification process, the Candidate enters into a Trademark License Agreement (TMLA) for the Program Logo. The TMLA is the legal contract governing how the Program Logo may be used and defines the rights and obligations of the Certified IT Architect.

Award of the Program Logo is not an endorsement of any product or service by The Open Group.

#### **4.1.2 Use of the Program Logo**

Certified IT Architects are required to ensure that they continue to meet the applicable Conformance Requirements at all times.

The Certification Authority (CA) has the right at any time to audit Certified IT Architects' claims of conformance and adherence to the requirements of this policy and to the TMLA.

Customers and prospective customers of Certified IT Architects who discover a non-conformance may report such non-conformance to the CA.

The CA may at any time request Certified IT Architects to provide the CA with any information reasonably related to their conformance with the applicable Conformance Requirements. If a Certified IT Architect fails to provide such information within 45 days of the request, then the CA may remove the architect from the Directory of Certified IT Architects, in which case the architect ceases to be a Certified IT Architect and may no longer use the Program Logo.

If a Certified IT Architect is found by any means to no longer meet the Conformance Requirements, the CA will notify the Certified IT Architect who shall:

1. Within 90 days rectify the non-conformity and satisfy the CA of the efficacy of the rectification; or
2. Within 90 days satisfy the CA that they are conformant; or
3. Within 90 days cease all use of the Program Logo, in which case the architect ceases to be a Certified IT Architect; or
4. Within 45 days invoke the appeals process as described elsewhere in this document.

If option (4) is selected, the Certified IT Architect will have 45 days from the completion of the appeals process to implement the decision or cease all use of the Program Logo.

If the architect fails to take one of the above actions within the timescales described above, the architect will cease to be a Certified IT Architect.

#### **4.1.3 Removal of the Program Logo**

If an architect ceases to be a Certified IT Architect, any and all rights they have to use the Program Logo cease immediately. The architect at their own expense shall remove the Program Logo from all sales literature, proposals, web sites, and other materials. The CA may inspect any such sales literature, or other materials, to ensure adequate removal of the Program Logo.

Once the rights to the Program Logo have been removed, any future use of the Program Logo will require re-certification.

Failure to adhere to these provisions will be a breach of the TMLA and shall result in its termination.

## **4.2 Indirect Certification**

### **4.2.1 Award of the Program Logo**

The Program Logo may be used by an Accredited Certification Program (ACP) in relation to Certified IT Architects once the CA has been notified by the ACP that certification has been granted.

The Program Logo may only be used on or in relation to Certified IT Architects. It may not be used in relation to other employees that have not been certified, or that have been withdrawn from the certification process.

Award of the Program Logo is not an endorsement of any product or service by The Open Group.

#### **4.2.2 Licensing the Program Logo**

In order to use the Program Logo, the ACP will be required to enter into a TMLA with the CA. The TMLA is the legal contract governing how the Program Logo may be used and defines the rights and obligations of the ACP in respect of the Program Logo.

The TMLA requires the ACP to publicly “warrant and represent” that each of their Certified IT Architects meets the applicable Conformance Requirements, as well as to agree to the policies expressed in this document, the Accreditation Policy, and the Accreditation Requirements.

#### **4.2.3 Use of the Program Logo**

The ACP is required to ensure that their Certified IT Architects continue to conform to the applicable Conformance Requirements at all times.

The CA has the right to audit the ACP’s claims of conformance and adherence to the requirements of this policy and the TMLA.

Customers and prospective customers of an ACP’s Certified IT Architects who discover a non-conformance may report such non-conformance to the ACP in the first instance. If such complainants are not satisfied with the response from the ACP, they may report the matter to the CA via the CA’s web site.

The CA may at any time request an ACP to provide the CA with any information reasonably related to their Certified IT Architects’ conformance with the applicable Conformance Requirements. If the ACP fails to provide such information within 45 days of the request, then the CA may remove the Certified IT Architect(s) in question from the Directory of Certified IT Architects, in which case the architect(s) cease to be Certified IT Architect(s) and the Program Logo may no longer be used in relation to them.

If a Certified IT Architect is found by any means to no longer meet the Conformance Requirements, the CA will notify the ACP who shall:

1. Within 90 days rectify the non-conformity and satisfy the CA of the efficacy of the rectification; or
2. Within 90 days satisfy the CA that the Certified IT Architect is conformant; or
3. Within 90 days cease use of the Program Logo in relation to the Certified IT Architect, in which case the architect ceases to be a Certified IT Architect; or
4. Within 45 days invoke the appeals process as described elsewhere in this document.

If option (4) is selected, the ACP will have 45 days from the completion of the appeals process to implement the decision or cease use of the Program Logo in relation to the Certified IT Architect.

If the ACP fails to take one of the above actions within the timescales described above, the architect will cease to be a Certified IT Architect.

#### **4.2.4 Removal of the Program Logo**

If an architect ceases to be a Certified IT Architect, any and all rights the ACP has to use the Program Logo in relation to that architect cease immediately. The ACP at its expense shall remove the Program Logo from all sales literature, web pages, and other materials related to that architect. The CA may inspect any such sales literature, web pages, or other materials to ensure adequate removal of the Program Logo.

Once the rights to the Program Logo have been removed, any future use of the Program Logo in relation to that architect will require re-certification.

Failure to adhere to these provisions will be a breach of the TMLA and shall result in its termination, the consequence of which is the removal of all of the ACP's Certified IT Architects from the Directory of Certified IT Architects.

## **5. DIRECTORY OF CERTIFIED IT ARCHITECTS**

### **5.1 Inclusion in Directory**

The Directory of Certified IT Architects is a web-accessible record of all Certified IT Architects and is maintained by the Certification Authority (CA). The directory contains the name of the architect, contact details, the name of the Accredited Certification Program (ACP) through which certification was achieved, and the architect's Certification Record.

For *direct* certification, once the CA is satisfied that the Candidate meets the applicable Conformance Requirements and all other requirements for certification have been met, the CA will issue written notice to the Candidate that they have met the Conformance Requirements of the Program and requesting them to enter into the Trademark License Agreement (TMLA) in order for the certification process to be completed and for their Certification Record to be entered into the Directory of Certified IT Architects.

For *indirect* certification, once the ACP management is satisfied that the Candidate meets the applicable Conformance Requirements and all other requirements for certification have been met, the ACP will issue written notice to the Candidate that they have met the Conformance Requirements of the Program and will send their Certification Record to the CA.

The CA will then contact the Candidate requesting them to enter into the TMLA in order for the certification process to be completed and for their Certification Record to be entered into the Directory of Certified IT Architects.

### **5.2 Visibility**

By default, entries in the Directory of Certified IT Architects are held confidential by the CA, and the CA will not disclose any information about Certified IT Architects without permission. But customers and prospective customers of IT architecture-related services must be able to verify that a consultant they have been sent or offered is indeed certified.

Therefore, the CA will make the Certification Record of a Certified IT Architect available at the discretion of the Certified IT Architect (see Section 11). At the time of certification, the CA will issue

credentials to Certified IT Architects that they may pass to their customers and prospective customers to allow queries on the web-based Directory of Certified IT Architects. In response to a query, the Directory will return the complete corresponding Certification Record.

ACPs may elect to have their Certified IT Architects listed publicly in the Directory of Certified IT Architects by name only and may also elect to have the full Certification Records publicly accessible with or without contact details (see Section 3.2).

Architects certified *directly* by the CA may elect to be listed publicly in the Directory of Certified IT Architects by name only and may also elect to have their full Certification Records publicly accessible with or without contact details (see Section 3.2).

Candidates' Certification Packages will never be made public by the CA or by an ACP.

### **5.3 Removal from Directory**

All past and present Certified IT Architects are included in the Directory of Certified IT Architects. If an architect ceases to be certified, the CA will change their certification status in the Directory to indicate the date at which certification was terminated.

An architect shall cease to be certified if:

- The architect or ACP requests that the CA withdraw them from the Directory of Certified IT Architects.
- The architect ceases to meet the Conformance Requirements.
- The architect fails to meet the renewal requirements or declines to renew certification.

Individuals found to have achieved certification under false pretences will be removed from the Directory.

## **6. EVALUATION PROCESS**

### **6.1 Direct Evaluation Process**

The Evaluation Process document defines the procedures to be followed and the evaluation criteria to be used when The Open Group directly assesses Candidates for their compliance with the Conformance Requirements.

The Evaluation Process document is maintained by the Certification Authority (CA) and may be updated from time to time, subject to approval by the Specification Authority (SA).

New versions of the Evaluation Process come into force three (3) months after their introduction, at which time the previous version of the Evaluation Process will no longer be used.

## 6.2 Indirect Evaluation Process

Accredited Certification Programs (ACPs) develop and maintain their own Evaluation Process. One of the principle Conformance Requirements of the ACPs is that they use procedures that are functionally equivalent to the CA's *direct* evaluation procedures and use evaluation criteria that are no less stringent than those used by the CA.

ACPs may employ evaluation procedures and criteria that are more stringent or wider in scope than those used by the CA.

ACPs are required to update their evaluation procedures and criteria whenever the direct evaluation procedures and criteria are updated.

For major changes and new requirements, ACPs must use the updated versions no later than six (6) months after publication of the new version by the CA.

For bug fixes and minor changes, ACPs must use the updated versions no later than three (3) months after publication of the new version by the CA.

Categorization of changes into major, minor, or bug-fix is done by the SA.

## 7. CHANGE OF EMPLOYMENT

If a Certified IT Architect leaves the employment of the company listed as the employer in the Certification Record, the Certification Authority (CA) must be notified immediately.

The Certified IT Architect must update the Certification Record on the CA's web site using the Certified IT Architect's credentials.

If a Certified IT Architect moves to an employer that operates an Accredited Certification Program (ACP), the ACP must accept the change to the Certified IT Architect's Certification Record using the ACP's credentials.

If a Certified IT Architect moves to an employer that does not operate an ACP, certification continues as normal until renewal or re-certification. Renewal or re-certification will take place directly with the CA.

Change of employment does not affect the term of certification.

## 8. RE-CERTIFICATION AND RENEWAL

### 8.1 Duration of Certification

Certification is valid for three (3) years, after which re-certification is required.

The objective of re-certification is to ensure that Certified IT Architects continue to hone their skills and maintain their status as practitioners of the profession, as well as to ensure that the Directory of Certified IT Architects is kept up-to-date.

The Certification Authority (CA) will send reminders by email to Certified IT Architects four (4) months and two (2) months prior to the end of their three (3)-year certification term.

## **8.2 Direct Re-Certification**

A fully revised and current Certification Package must be submitted to the CA along with an updated Certification Record. The CA will audit the submitted documentation and validate that it is complete and well-formed.

If complete and well-formed, the documentation will be passed to the Certification Board for review against the then applicable Conformance Requirements.

Re-certification will not normally require a Certification Board interview. The Certification Board may hold an interview with the Certified IT Architect if they feel it is needed.

Interviews will be held if the Certified IT Architect makes a change to the Certification Record indicating a material extension to the conformance claim; e.g., to claim certification for an extended discipline.

After completion of the Certification Board review, notification etc. will be carried out in the same way as for the initial certification.

For re-certifications that take place in the four-month renewal notice period, the new three-year term will start at the end of the previous term.

## **8.3 Indirect Re-Certification**

Accredited Certification Programs (ACPs) will operate an equivalent re-certification process, but may impose more stringent requirements.

For re-certifications that take place in the four-month renewal notice period, the new three-year term will start at the end of the previous term.

## **8.4 Annual Renewal**

The objective of annual renewal is to ensure that the Directory of Certified IT Architects is kept up-to-date.

Certified IT Architects will be notified by email one (1) month and one (1) week before the annual renewal date and requested to confirm the information in their Certification Record and update it as necessary.

# **9. PROBLEM REPORTING AND INTERPRETATIONS**

## **9.1 Overview**

During the certification process or during the preparation phase, a Candidate may encounter a problem that inhibits or will inhibit their certification submission or evaluation. The Candidate may file a Problem

Report via the Certification Authority's (CA) web site to obtain resolution to the issue. The CA is the sole interface with the Candidate for problem reporting, though other parties may be involved in determining the resolution.

The types of problems that may be found include:

- Errors or ambiguities in the Conformance Requirements against which certification is based
- Errors in the Evaluation Process (evaluation procedures and criteria)
- Errors in the Certification System itself, specifically related to the registration process, agreements, and completion of Certification Records

The Problem Report is used specifically for the types of errors listed above which are inhibiting the certification effort. For general questions on the certification process, or other problems not covered above, the CA's Help Desk will provide assistance on obtaining further information.

## 9.2 Problem Report Resolution

The Specification Authority (SA) is responsible for reviewing and providing a resolution to all Problem Reports. The key element of the review process is a deterministic timeline for a formal resolution to the Problem Report.

The SA will perform a preliminary review and will provide an initial response via the CA to the Candidate within ten (10) business days of the Problem Report submission. This stage allows simple problems to be dealt with expeditiously. A detailed review will be undertaken for issues that are more complicated, or when the preliminary review does not resolve the issue. Final resolution will be provided within an additional 15 business days.

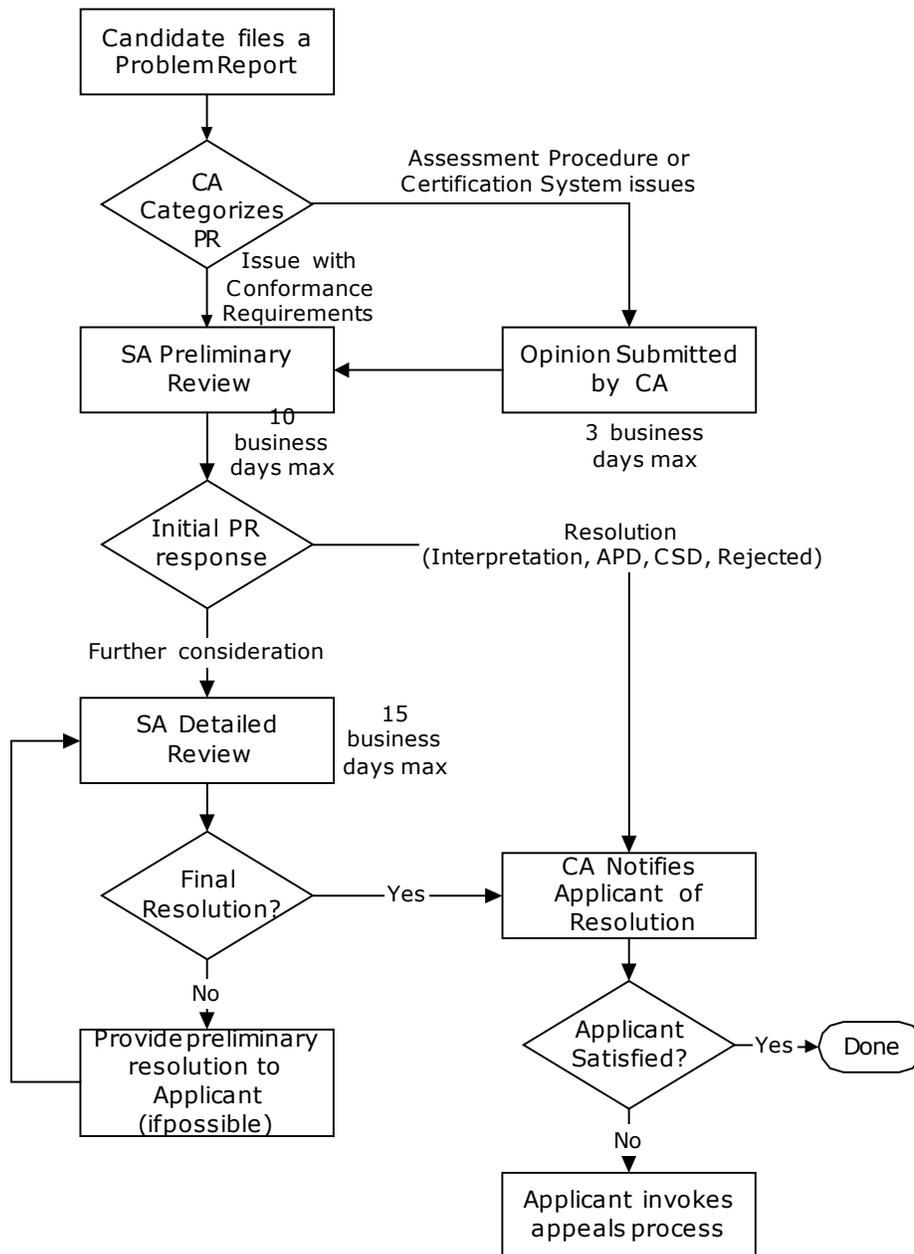
In most cases, 25 business days is sufficient to provide a final Problem Report resolution. However, in exceptional circumstances, final resolution may take longer. If possible, the Problem Report will be addressed sufficiently within the 25 business days to allow the certification process to proceed pending final resolution. The CA will notify the Candidate by the 25<sup>th</sup> day of the delay and preliminary resolution, if available.

If the Candidate is not satisfied with the final resolution, the Candidate may invoke the appeals process.

The Problem Report resolution process will allow the Candidate to remain anonymous, so pre-certification activity is kept entirely confidential. The anonymous review process requires that requests be filtered automatically prior to distribution to the review group. Filtering will remove the section of the Problem Report intended to identify the Candidate, so these are the only sections that should contain company names, product names, or other confidential information. Please note that if Candidate-specific information is included in the sections reserved for the technical descriptions, filtering will not result in an anonymous request.

In order for the SA to resolve Problem Reports for issues related to the Evaluation Process, an opinion from the CA is required. Likewise, for Problem Reports related to the Certification System, the SA will require an opinion from the CA. These opinions must be provided within three (3) business days, in order for the SA to provide its preliminary response on time.

The process is outlined in the following diagram.



### 9.3 Resolution of Problem Reports

The possible outcomes for Problem Report resolution are:

- Accepted as an error or ambiguity in the Conformance Requirements (an Interpretation)
- Accepted as an error in the Evaluation Process (an Evaluation Process Deficiency (EPD))
- Accepted as an error in the Certification System (Certification System Deficiency (CSD))
- Rejected

Interpretations, EPDs, and CSDs will never cause previously Certified IT Architects to be “un-certified”. Interpretations, EPDs, and CSDs evolve the definition of conformance over time and Certified IT Architects are always required to conform to the current definition of conformance. At the time of certification renewal, the Certified IT Architect will be required to confirm that they conform to the applicable Conformance Requirements, including all Interpretations that have been granted since the previous certification.

### **9.3.1 Interpretations**

An Interpretation elaborates or refines the meaning of a set of Conformance Requirements, by clarifying an error or ambiguity in the Conformance Requirements document or a document referenced therein. Interpretations apply to a specific version of a Conformance Requirements document and are permanent against that version. They remain in force until the Conformance Requirements document is updated, at which time, the elaboration or refined meaning should be incorporated into the updated version.

The SA is responsible for deciding the meaning of conformance, in the IT Architect context, to third-party specifications or other documents that form the Conformance Requirements or which are referenced therein. Problem Reports regarding such underlying or referenced specifications in the context of IT Architect certification will be processed as normal. Problem Reports regarding underlying or referenced specifications in any other context will be rejected.

### **9.3.2 Evaluation Process Deficiency**

An Evaluation Process Deficiency (EPD) is an agreed error in the evaluation procedures or criteria that form the Evaluation Process. EPDs apply to a specific version of the Evaluation Process and are permanent against that version. They remain in force until the Evaluation Process is updated, at which time the error should be fixed.

### **9.3.3 Certification System Deficiency**

A Certification System Deficiency (CSD) is an agreed error in the Certification System. The Certification System includes the workflow and information systems provided to implement the certification process. CSDs apply to the version of the Certification System in which they are found. If the problem is blocking the certification effort, a patch will be made to the Certification System to enable certification to proceed. Otherwise, the problem will be fixed in a future update of the Certification System and the CSD will remain in force until such update.

## **9.4 Problem Report Repository**

The CA will maintain a web-accessible repository of all submitted Problem Reports. This repository will be publicly accessible. The publicly accessible information will contain the technical details such as the nature of the problem and its current status of resolution, but will not contain sections reserved for Candidate details, thus maintaining the confidentiality of the Candidate.

A Candidate may cite an Interpretation, EPD, or CSD to resolve discrepancies in their application for certification, or to support their application for certification in any other way, irrespective of the origin of the Problem Report.

## **10. APPEALS PROCESS**

Candidates may appeal decisions made by the Specification Authority (SA) or Certification Authority (CA). The occasions that may give rise to an appeal include, but are not limited to, the following:

1. The Candidate disagrees with the resolution of a Problem Report.
2. The Candidate disagrees with the CA's grounds for denying the award of certification.
3. The Candidate disagrees with a formal notification of the need to rectify a non-conformance.

Appeal requests should be made to the CA. The Certification Program Guide describes the process for raising an appeal.

There are two levels of appeal:

- A Technical Review
- A Board Review

At each level of appeal, the Candidate has the right to representation at the review meeting to make their case, though is not required to do so. The appeals process will be anonymous if the Candidate does not wish to be represented at the review meetings. In such case, the CA will remove the details of the Candidate from all information provided for the Technical and Board Reviews.

A Candidate wishing to dispute a decision may request a Technical Review. Technical Review requires the SA to consider the matter and produce a response with a recorded vote according to normal voting rules of The Open Group, within 30 calendar days of the request. The SA may commission reports from independent experts, and may seek input from other committees within The Open Group as it sees fit.

If the Candidate is not satisfied with the outcome of the Technical Review, the Candidate may request an appeal to The Open Group Board of Directors within 14 calendar days of being notified in writing by the CA of the results of the Technical Review. The Open Group Board of Directors may ask for technical reports from the relevant working groups and may also ask for reports from independent experts. The Board Review will be completed within 90 calendar days of the Candidate's written request for a Board Review. The results of a Board Review are final and cannot be further appealed.

## **11. CONFIDENTIALITY AND DISCLOSURE**

### **11.1 Confidentiality**

All information relating to a Candidate will be held confidential to the Accredited Certification Program (ACP), the Certification Authority (CA), and Certification Board during the certification process; that is, prior to the award of certification. This includes information related to the Application Form, Certification Record, Certification Package, and any Problem Reports.

Candidates' Certification Packages will always be considered confidential information and shall not be disclosed in any publicly available document or to any third party by the ACP, the CA, or the Certification Board.

In addition, the CA will always hold confidential all information regarding unsuccessful applications for certification.

## **11.2 Disclosure of Information**

Any claims of conformance or information related to the certification process may only be made public after the CA has notified the Candidate in writing that they have successfully completed the certification process.

Any Certified IT Architect that makes a public or private claim to be certified is required to provide actual and prospective customers, at their request, with sight of their Certificate and access to their Certification Record.

The CA will make certification information available as described in Section 3.2 and 5.2.