



S/MIME Secure Messaging  
Certification Policy

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# 1. Overview

## 1.1 Introduction

This document defines the policies that govern the operation of the S/MIME Secure Messaging certification program. These policies define what can be certified, what it means to be certified, and the process for achieving and maintaining certification. These policies also define the obligations on product suppliers, including a requirement for the supplier<sup>1</sup> to warrant and represent that the product meets the applicable Conformance Requirements, which include conformance to the applicable S/MIME Secure Messaging specification(s) as interpreted by the appropriate Specification Authority<sup>2</sup> from time to time, and a passing result from the authorized indicator of compliance.

This document is intended primarily for Suppliers who would like have a product, service or individual certified. This policy in conjunction with the applicable Certification Agreement constitutes the set of requirements and obligations for achieving certification. Buyers intending to procure certified products or services will also find this document useful for understanding what they can expect from a certified product or service.

The S/MIME Secure Messaging Certification Program is a voluntary program, but is required of suppliers who wish to use the S/MIME Secure Messaging Certification Logo. S/MIME Secure Messaging certification is open to any product, service, or individual meeting the conformance requirements.

S/MIME Secure Messaging certification is available to products, services, and individuals meeting the conformance requirements as specified in a Product Standard (see Section 1.2 Definitions). There are three Product Standards defined for the different classes of certification within the S/MIME Secure Messaging Certification Program as follows:

### **S/MIME Secure Messaging TRAINING**

Training courses which instruct in S/MIME Secure Messaging, to ensure that the course syllabus includes coverage of the necessary elements of the applicable version of the S/MIME Secure Messaging specification.

Certified S/MIME Secure Messaging TRAINING courses are given by instructors who themselves are S/MIME Secure Messaging CERTIFIED.

### **S/MIME Secure Messaging CERTIFIED**

Messaging professionals trained in the deployment of Secure Messaging Solutions, to ensure that a common core of knowledge and understanding is gained through training, and that professional services offered in support of deployment of Secure Messaging solutions in accordance with The Open Group S/MIME Secure Messaging Architecture are delivered by messaging professionals

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<sup>1</sup> A supplier might be a certified training organization or an organization providing professional services, or a tools vendor.

<sup>2</sup> The Open Group Messaging Forum

who have completed the necessary training course and have up-to-date knowledge about the The Open Group S/MIME Secure Messaging Architecture.

### **S/MIME Secure Messaging SERVICES**

Professional services offered in support of deployment of The Open Group S/MIME Secure Messaging Architecture, to ensure that organizations that offer such services abide by an approved code of practice, and use only properly trained messaging professionals for such services.

Certified S/MIME Secure Messaging SERVICES are given by practitioners who themselves are S/MIME Secure Messaging CERTIFIED.

## **1.2 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.

Applicant	The Supplier who is in the process of having a product certified.
Certificate	A formal declaration of fact confirming that a product has successfully completed the certification process.
Certification Agreement	The agreement between the Applicant and the Certification Authority that defines the certification service to be provided and contains the legal commitment by the Applicant to the conditions of the certification program.
Certification Authority (CA)	The Open Group, the organization officially sanctioned to manage the day-to-day operations of the certification program.
Certification Register	The official list of all Certified Products, which is maintained by the Certification Authority and made available via the internet.
Certification System Deficiency (CSD)	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.
Certified Product	A product that has successfully completed the certification process and for which the Supplier of such product has been notified in writing by the Certification Authority that certification has been achieved.
Conformance Requirements	A definition of the mandatory and optional behavior a product must implement in order to be considered conformant.
Conformance Statement	The Supplier's documented set of claims describing precisely the way in which the product meets the Conformance Requirements, including which optional features are supported. It provides a precise identification of the Certified

	Product and the environment in which conformance is guaranteed.
Certification Program Guide	The document that describes the processes for how a Supplier achieves certification for a product. The guide is used in conjunction with this policy document. This policy document defines what a Supplier must do, whereas the guide provides detailed instructions on how a Supplier gets a product certified and where to obtain relevant information and documents.
Indicators of Compliance	Defined in the Product Standard, these identify one or more designated Test Suites or test procedures that must be used during conformance testing to demonstrate conformance to the Product Standard. No Test Suite can ever ensure conformance; the Test Suites are therefore known as Indicators of Compliance.
Interpretation (INT)	Decision made by the Specification Authority that elaborates or refines the meaning of a specification, or a standard or specification referenced by a specification. An Interpretation is one possible outcome of a Problem Report.
Problem Report (PR)	A question of clarification, intent, or correctness of a specification, a test suite, or the certification system, which, if accepted by the Specification Authority, will be resolved into an Interpretation or Certification System Deficiency respectively.
Product Standard	<p>A Product Standard is a precisely defined and documented set of functionality against which products may be certified. There will be one Product Standard for each category of product to be certified.</p> <p>Each Product Standard document includes a description of the nature and purpose of the Product Standard, the label to be used in connection with the Certification Trademark, detailed technical Conformance Requirements, specific testing requirements that must be satisfactorily completed, and, if applicable, a summary of the migration issues to the current Product Standard from previous versions of the Product Standard.</p>
Registration Form	A form completed by the Applicant to register a particular product for certification. The form contains information on the Applicant and the product to be certified.
Specification Authority (SA)	The Open Group Messaging Forum, which is responsible for developing, maintaining and interpreting the specification(s).
Supplier	A product vendor who is interested in, applying for certification in, or has certified a product in the certification program. During the period in which a Supplier is going through the certification process to get a product certified, the Supplier is referred to as an Applicant.
Test Suite Maintenance Authority (TSMA)	The entity or entities responsible for maintaining the test suites or test procedures.

Certification Trademark	The Open Group Certification Mark logo used in association with the term "S/MIME Secure Messaging CERTIFIED", "S/MIME Secure Messaging TRAINING" or "S/MIME Secure Messaging SERVICES". Individual Product Standards state the exact form and version of the S/MIME Secure Messaging term applicable to them.
Company Review	The formal process by which specifications and reviewed and approved by The Open Group



## **2. Certification Process**

This section defines the process a Supplier must follow to achieve certification for a product.

The parties involved in the certification process are:

- Applicant
- Certification Authority (The Open Group LLC)
- Specification Authority (The Open Group Messaging Forum)
- S/MIME Secure Messaging Examining Authority (The Open Group LLC)

### **2.1 Preparation for Certification**

The objective of the S/MIME Secure Messaging certification program is to encourage and facilitate the development and market availability of products, services and individuals that meet the requirements of the S/MIME Secure Messaging specifications.

Prior to applying for certification, the Supplier must become familiar with the certification program and the requirements for certification. The Supplier should review this policy document, the applicable product standards, any agreements that are part of the program, and other related information such as the Certification Program Guide. All information and documents related to the S/MIME Secure Messaging Certification Program are available on the CA's web site.

The documents available from the Certification Authority's web site include:

- The Certification Policy (this document)
- The Product Standards (see section 3.2)
- The Certification Program Guide
- The Certification Agreement
- Product Registration Form
- Conformance Statement Questionnaire

### **2.2 Conformance Statement**

The Applicant must produce a Conformance Statement to describe the product, service or individual to be certified and the way in which it meets the Conformance Requirements. The Conformance Statement is produced when the Applicant completes a Conformance Statement questionnaire. The Conformance Statement for S/MIME Secure Messaging Training contains information about the product (e.g. version) and which options the Applicant claims the product supports, and any other related information. The Conformance Statement for other classes of S/MIME Secure Messaging Certification describes the organization or individuals being certified and other pertinent information.

### **2.3 Applying for Certification**

In order to apply for certification, the Applicant is required to demonstrate that the product, service or individual to be certified meets the applicable Conformance Requirements. The Applicant will submit the completed Registration Form, Certification Agreement, and Conformance Statement to the Certification Authority.

The Certification Authority will review the submission to ensure that it is complete and correct. If an error or inconsistency is found, the Applicant will be required to correct any problems before the certification process can continue.

### **2.4 Formal Testing**

Individual applicants for S/MIME Secure Messaging CERTIFIED must complete an un-timed open book examination as defined in the Product Standard, and documented in the Conformance Statement.

There is no formal testing requirement for other classes of S/MIME Secure Messaging certification.

### **2.5 Audit**

The Certification Authority will check to ensure the submitted certification information, including the Registration Form and Conformance Statement, demonstrate that the product meets the applicable Conformance Requirements and for S/MIME Secure Messaging CERTIFIED, that the necessary examination has been completed successfully.

For S/MIME Secure Messaging CERTIFIED, the Certification Authority will perform the audit of all certification-related information within six (6) business days of receiving a complete submission.

For other classes of S/MIME Secure Messaging certification, the Certification Authority will perform the audit of all certification-related information within ten (10) business days of receiving a complete submission.

### **2.6 S/MIME Secure Messaging Certification Logo Licensing**

The Applicant accepts the terms and conditions for use of the S/MIME Secure Messaging Certification Logo when they submit the product, service, or individual for certification. The terms are part of the Certification Agreement.

### **2.7 Notification and Publication of Certification**

The Certificate Authority will notify the Applicant in writing of the audit result.

If the result is success, and there is Certification Agreement in place, the Certificate Authority will issue a certificate to the Applicant and enter the product, service or individual into the

Certification Register. The Applicant will also be notified that the S/MIME Secure Messaging Certification Logo may now be used in connection with the Certified Product, Service or Individual according to the terms defined in the Certification Agreement.

Applicants have the option to keep certification confidential for a defined period of time, as described in Section 12.3. During this period, the product will not be included in the Certification Register and the Supplier may not use the Certification Trademark with the Certified Product, Service or Individual.

If the audit indicates that the Conformance Requirements have not been met, the CA will reject the application for certification and report the discrepancies with the Conformance Requirements. The Applicant may undertake corrective action and re-apply.



## **3. Conformance**

### **3.1 Conformance Release**

From time to time, The Open Group will issue new versions of the S/MIME Secure Messaging specification(s) and associated sets of Product Standards and will collect them together into consistent sets to aid product procurement and certification. Such a set is called a Conformance Release.

There is expected to be a Conformance Release for each major version of the S/MIME Secure Messaging specification(s). Multiple Conformance Releases may be simultaneously supported.

Products that are certified to the S/MIME Secure Messaging Conformance Release are certified for a particular release of the S/MIME Secure Messaging specification(s) including minor releases.

### **3.2 Conformance Requirements**

It is an explicit condition of S/MIME Secure Messaging Certification that the supplier warrants and represents that the Certified Product, Service or Individual meets the applicable Conformance Requirements.

The Conformance Requirements for S/MIME Secure Messaging certification are specified in a Product Standard document (see section 1.2).

For S/MIME Secure Messaging certification, the Conformance Requirements include conformance to the applicable S/MIME Secure Messaging specification(s) as interpreted by the applicable Specification Authority from time to time.

### **3.3 Conformance Statement**

A Conformance Statement is the supplier's documented set of claims describing precisely the way in which the product, service, or individual meets the Conformance Requirements, including which optional features are supported. It provides a precise identification of the Certified Product, Service, or Individual. Completing the relevant Conformance Statement Questionnaire produces a Conformance Statement.

Conformance Statements are submitted to the Certification Authority as part of the application process for certification. It is the responsibility of the Supplier to ensure that the information supplied in the Conformance Statement is correct and complete. The Conformance Statement will be included in the Certification Register entry for the product, service or individual once certification is complete.

Suppliers must ensure that the Conformance Statement of a Certified Product is kept accurate and up-to-date. Changes to the Conformance Statement may only be made by the Certification Authority. If the Supplier wishes to change administrative details such as contact names, addresses, etc., the Certification Authority will make these changes upon request. Any other change, such as to a product name or one affecting the conformance of the Certified Product, is subject to the requirements set forth in Section 8.

## **4. Obligations of Suppliers of Certified Products**

### **4.1 Achieving Certification**

Claims of conformance with the S/MIME Secure Messaging specification(s) or claims of certification may only be made in relation to Certified Products, Services, and Individuals; that is, products, services, and individuals that meet the Conformance Requirements and for which the Certification Authority has provided written notice that certification has been achieved. Claims of conformance or certification may not be used with products, services, or by Individuals that have not completed the certification process, or that have been withdrawn from the Certification Program.

Once the Certification Authority has notified a supplier that a product, service, or individual is certified, the supplier may use the S/MIME Secure Messaging Certification Logo in association with the certified item as per the terms and conditions of the Certification Agreement.

The Certification Agreement requires the supplier to publicly “warrant and represent” that each Certified Product, Service, or Individual meets the applicable Conformance Requirements, as well as agree to the policies expressed in this document.

The buyer therefore has confidence that the product, service, or individual conforms to the S/MIME Secure Messaging specification(s) and will continue to do so.

### **4.2 Maintaining Certification**

The Supplier of a Certified Product or Service is required to ensure that the Product or Service continues to conform to the applicable specification(s), including all Interpretations that have been granted by the Specification Authority.

The Certification Authority has the right to audit the supplier’s claims of conformance and adherence to the requirements of this policy. The Certification Authority may at any time request suppliers of Certified Products or Services to provide the Certification Authority with any information reasonably related to their certified items’ conformance with the applicable specification(s). If the supplier fails to provide such information within 45 days of the request, then the Certification Authority may remove the item from the Certification Register, in which case the item ceases to be certified and the supplier may no longer make a claim of certification in relation to the item.

Buyers and prospective buyers of a Certified Product or Service who discover a non-conformance in the Certified Product or Service should report such non-conformance to the supplier of the product or service. If the supplier does not address the non-conformance within 45 days, the issue may be raised to the Certification Authority. Recourse should always be made through normal support channels before escalation to the Certification Authority.

If a Certified Product or Service is found by any means to no longer meet the Conformance Requirements, written notification should be provided to the supplier of such Certified Product or Service who shall:

1. Within 90 days rectify the non-conformity and satisfy the Certification Authority and/or the notifier of the efficacy of the rectification; or

2. Within 90 days satisfy the Certification Authority and/or the notifier that the Certified Product or Service is conformant; or
3. Within 90 days, cease making any claim of certification in relation to the Certified Product or Service, in which case the product or service ceases to be certified; or
4. Within 45 days invoke the appeals process as described elsewhere in this document.

If option 4 is selected, the supplier will have 45 days from the completion of the appeals process to implement the decision or cease making any claim of certification in relation to the Certified Product or Service.

If the supplier fails to take one of the above actions within the timescales described above, the product will cease to be a Certified Product or Service.

### **4.3 Removal of Certification**

If a product, service, or individual ceases to be certified, the supplier or individual may no longer make any claim of certification in relation to that product, service, or individual. The supplier, at its own expense, shall remove any existing claim of certification from all subsequent production of that Certified Product or Service and from all sales literature and other materials. The Certification Authority may inspect any such Certified Product, sales literature, or other materials to ensure adequate removal.

Once a product, service, or individual ceases to be certified, any future claim of certification in relation to that product, service, or individual will require re-certification.

Furthermore, the right to use the S/MIME Secure Messaging Certification Logo (see Section 5) in conjunction with a product, service, or individual, which ceases to be certified, shall be immediately terminated.

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## **5. The S/MIME Secure Messaging Certification Logo**

A license for the S/MIME Secure Messaging Certification Logo is granted as part of the Certification Agreement.

The terms for use of the S/MIME Secure Messaging Certification Logo in relation to a Certified Product, Service, or Individual are as described in the Certification Agreement.

The S/MIME Secure Messaging Certification Logo may only be used on or in relation to Certified Products, Services, or Individuals once the Certification Authority has provided written notice that certification has been achieved. It may not be used with products, services, or individuals that have not completed the certification process, or that have been withdrawn from the certification process.

The terms for removal of the use of the S/MIME Secure Messaging Certification Logo in relation to a product, service, or individual are as described in the Certification Agreement. Once the rights to the S/MIME Secure Messaging Certification Logo have been removed, any future use of the S/MIME Secure Messaging Certification Logo in relation to that product, service, or individual will require re-certification.

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

## **6. Certification Register**

### **6.1 Inclusion in register**

The Certification Register is a public web-accessible record of all Certified Products, Services, and Individuals and is maintained by the Certification Authority. The register contains at least the name of the supplier, name of the product (if applicable), and the Conformance Statement for the product or service. It also contains the date of certification and the expiry date (if applicable).

Once the Certification Authority is satisfied that the product, service, or individual meets the applicable Conformance Requirements and all other requirements for certification have been met, the Certification Authority will issue written notice to the Applicant that the product, service, or individual is certified and create an entry in the Certification Register.

### **6.2 Removal from register**

Only Certified Products, Services, or Individuals are included in the Certification Register; thus, if a product, service, or individual ceases to be certified, the Certification Authority will remove it from the register.

A product, service, or individual shall cease to be certified if:

- The supplier requests that the Certification Authority withdraw the product, service, or individual from the Certification Register.
- The product, service, or individual ceases to meet the Conformance Requirements.
- The supplier fails to meet the renewal requirements or declines to renew certification.

## 7. Examination Procedures

Individual applicants for S/MIME Secure Messaging CERTIFIED must complete an un-timed open book examination as defined in the Product Standard, and documented in the Conformance Statement.

There is no formal testing requirement for other classes of S/MIME Secure Messaging certification.

This section defines the policies for reviewing and formally accepting examination procedures defined for use in the program.

### 7.1 Certification Releases

From time to time, The Open Group will approve new certification releases of examination procedures for use in the program. The Open Group may introduce new examination procedures as replacements for existing examination procedures or as part of a continuing policy of extending examination coverage. Certification releases are categorized as either a maintenance release or enhancement release, depending on the nature of the changes. All new releases of an examination procedure are subject to Company Review and the relevant approval process. All new releases must be approved prior to use in the program.

#### 7.1.1 Maintenance Releases

Maintenance releases will have a 2-week review period. Upon acceptance by The Open Group, maintenance releases may be used for formal examination and will replace existing certification releases after a 3-month overlap period.

#### 7.1.2 Enhancement Releases

Enhancement releases will have a 4-week review period. Upon acceptance by The Open Group, enhancement releases may be used for formal examination and will replace existing certification releases after a 6-month overlap period.

## **8. Certification Requirements for modifications of a Certified Product**

This section defines the scope of certification and the requirements for maintaining certification when modifying a Certified Product or Service, making changes related to the certification of a Certified Individual, and for achieving certification for a new product or service that is based on or derived from a Certified Product or Service. The subsections detail the types of modifications that may be made to Certified Products or Services, and any corresponding requirements for re-certification.

In each case where a "new certification" is required in any of the subsections below, the supplier must submit a new application for certification along with a new Conformance Statement and applicable supporting evidence. Upon successful completion of the certification process, the Certification Authority will create a new entry in the Certification Register for the new version of the product or service, and if applicable, issue a new certificate. The Certification Register entry for the original Certified Product or Service, if applicable, will remain in the register unchanged, unless the supplier explicitly requests to have it deleted.

Products, services, and individuals that are certified to a Product Standard are certified for a particular release of the S/MIME Secure Messaging specification including minor releases.

Product Standards will not be updated for minor point releases of S/MIME Secure Messaging and so there will be no difference on the Certification Register between products, services, and individuals certified for different minor releases.

### **8.1 S/MIME Secure Messaging TRAINING**

This section defines the requirements for training course materials registered to the S/MIME Secure Messaging Training Product Standard.

#### **8.1.1 S/MIME Secure Messaging Training Maintenance Updates**

Maintenance updates to a S/MIME Secure Messaging Training Certified Product may take place throughout the life of the Certified Product.

For the purposes of this Certification Program, such a maintenance release is defined as being:

- A limited update in which no more than 20% of the S/MIME Secure Messaging Training Certified Product is modified in the maintenance release
- An update that does not affect the Conformance Statement Checklist for the S/MIME Secure Messaging Training Certified Product
- A release which does not reduce the Certified Product's support for optional features related to the S/MIME Secure Messaging Training Product Standard.

	Certification Requirement
S/MIME Secure Messaging Training Maintenance Update	Certification Information Update

Maintenance updates that consist entirely of changes representing functionality outside the scope of the current S/MIME Secure Messaging specification(s) for which the S/MIME Secure Messaging Training Certified Product is certified do not require re-certification.

In order to update the Certification Register entry to reflect the maintenance update of the Certified Product, the supplier must submit a new application for certification indicating that it is for a maintenance update, and indicating that the product is functionally identical to an already Certified Product. A written statement should be provided to the Certification Authority that this is the case. The supplier is not required to provide a Conformance Statement. The Certification Authority will update the product details of the Conformance Statement and the Certification Register to reflect the maintenance update.

#### 8.1.2 S/MIME Secure Messaging Training New Versions

A new version of a S/MIME Secure Messaging Training Certified Product that does not qualify as a maintenance update, and thus contains a material change in the S/MIME Secure Messaging Training Certified Product constitutes a new product with respect to certification.

A material change in the S/MIME Secure Messaging Training Certified Product is one that may affect its conformance to the applicable S/MIME Secure Messaging specification(s), or which may affect the Conformance Statement.

It is the responsibility of the supplier to ensure that the Certified Product remains compliant and thus to determine whether a modification constitutes a material change.

A new version of a S/MIME Secure Messaging Training Certified Product, which has been repackaged and shipped as a new product with a reduced set of supported features, qualifies as a new version.

	Certification Requirement
S/MIME Secure Messaging Training New Version	New Certification

#### 8.1.3 S/MIME Secure Messaging Training Renamed Products

If a Certified Product is to be renamed, with no other change to the Certified Product, the certification may be amended upon request to the Certification Authority. The Certification Authority will change the product name on the Conformance Statement and in the Certification Register and issue a new certificate.

The supplier will be required to provide a written statement to the Certification Authority indicating that there have been no material changes to the Certified Product.

	Certification Requirement
S/MIME Secure Messaging Training Renamed Product	Certification Information Update

#### 8.1.4 S/MIME Secure Messaging Training Re-Branded Products

If technically identical S/MIME Secure Messaging Training products are to be given by more than one supplier, each supplier will have to apply for certification, in order to have their product listed in the Certification Register. A re-branded product shipped by a different supplier constitutes a new product with respect to certification, since the new supplier will be required to assume the warranty for the product.

	Certification Requirement
S/MIME Secure Messaging Training Re-branded Product	New Certification

To add a new entry to the Certification Register for the re-branded product, the new supplier must submit a new application for certification, indicating that the product is identical to an already Certified Product. The supplier must submit a Conformance Statement that is technically identical to the Certified Product apart from the product name and vendor information. The supplier must also submit a written statement indicating that the re-branded product is indeed technically identical to the referenced Certified Product.

If the audit result is a success, the Certification Authority will update the Certification Register to reflect the re-branded product and issue a new certificate. The period of certification will be aligned to that of the original certified product; that is, the renewal date for the re-branded product will be the same as that of the original product.

#### 8.1.5 S/MIME Secure Messaging Training Other Variants

Except where specifically stated in this document, any other variant of change to a S/MIME Secure Messaging Training Certified Product which may have a material effect on the conformance of the product to the S/MIME Secure Messaging specification(s) constitutes a new product, which will be subject to full certification.

## 8.2 S/MIME Secure Messaging CERTIFIED

This section defines the requirements for individuals that are registered to the S/MIME Secure Messaging Certified Product Standard.

#### 8.2.1 S/MIME Secure Messaging Certified Name Change

If the name of a Certified Individual needs to be changed (e.g., through marriage), with no other change to the certification information, the certification may be amended upon request to the Certification Authority. The Certification Authority will change the name on the Conformance Statement and in the Certification Register and issue a new certificate.

The individual or their training instructor will be required to provide a written statement to the Certification Authority indicating the reason for the change.

	Certification Requirement
S/MIME Secure Messaging Certified Name Change	Certification Information Update

### 8.3 S/MIME Secure Messaging SERVICES

This section defines the requirements for organizations that are registered for the S/MIME Secure Messaging SERVICES Product Standard.

#### 8.3.1 S/MIME Secure Messaging Professional Services Providers Update to Practitioners Register

Organizations providing S/MIME Secure Messaging Professional Services must maintain a register of S/MIME Secure Messaging Certified practitioners who provide the services. This may be an empty register. The S/MIME Secure Messaging Professional Services provider must notify the Certification Authority of any changes to this register within 60 days of any change occurring in the organization's ability to provide the services. The practitioners who are registered must be on the applicable S/MIME Secure Messaging Certified Certification Register.

The Certification Authority will update the list of practitioners for the S/MIME Secure Messaging Professional Services provider on the Certification Register.

The S/MIME Secure Messaging Professional Services provider will be required to provide a written statement to the Certification Authority indicating the reason for the change.

	Certification Requirement
S/MIME Secure Messaging Professional Service Providers Practitioners Register Update	Certification Information Update

## 9. Renewal Process

### 9.1 Duration of Certification

Certification is valid for the period shown in the table below from the date at which the Certification Authority provides written notice to the supplier that certification has been achieved.

Product Standard	Duration of Certification	Renewal Possible?
S/MIME Secure Messaging Training	24 months	Yes
S/MIME Secure Messaging Professional Services	24 months	Yes
S/MIME Secure Messaging Certified	24 months	Yes (see section 9.2)

### 9.2 Certification Renewal

The suppliers of items certified for the S/MIME Secure Messaging Training, and S/MIME Secure Messaging Professional Services Product Standards are required to renew certification periodically as shown in the table above. Approximately 60 calendar days prior to the renewal date, the Certification Authority will notify the supplier that renewal is due.

If the supplier does not renew within 30 calendar days after the renewal date, the Certification Authority will remove the certified entry from the Certification Register. Such item will then no longer be considered a Certified Product and the non-renewal shall also result in a termination of any licensed logo rights.

The supplier is required to ensure that the Certified Product or Service continues to meet all applicable Conformance Requirements and to re-affirm the warranty of conformance. This includes the requirements to conform to the applicable S/MIME Secure Messaging specification(s), including all Interpretations that have been granted by the Specification Authority.

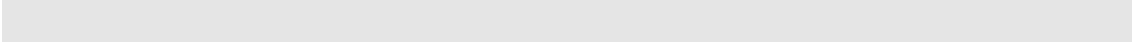
A supplier can renew if the following criteria are met:

1. The supplier wishes to renew, and
2. The supplier will continue to offer the Certified Product or Service for the duration of the renewal period

The only requirement on the supplier is to pay the certification renewal fee.

Once all requirements are met, the Certification Authority will renew the certification and inform the supplier. The Certification Authority will update the Certification Register and issue an updated certificate to reflect that certification has been renewed.

Individuals who are S/MIME Secure Messaging Certified must additionally provide evidence of attendance at technology update seminars as defined in the Product Standard, or may maintain their certification by applying for new certification.



## **10. Problem Reporting and Interpretations Process**

### **10.1 Overview**

During the certification process or during the preparation phase, a Supplier may encounter a problem that inhibits or will inhibit the certification effort. The Supplier may file a Problem Report via the Certification Authorities web site to obtain resolution to the issue. The Certification Authority is the sole interface with the Supplier for problem reporting, though others will be involved in determining the resolution.

The types of problems that may be found include:

- Errors or ambiguities in the specification(s) against which conformance is based, specifically in the S/MIME Secure Messaging specifications or underlying standards referenced by the S/MIME Secure Messaging specifications.
- Errors in the certification system, specifically related to the registration process, agreements and completion of Conformance Statements

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, running the test suites, or other problems not covered above, the Certification Authority's Help Desk will provide assistance on obtaining further information.

### **10.2 Problem Report Resolution Process**

The Specification Authority 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 Certification Authority provides an opinion to the Specification Authority for certification problems.

The Specification Authority will perform a preliminary review and an initial response will be provided via the Certification Authority to the supplier 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.

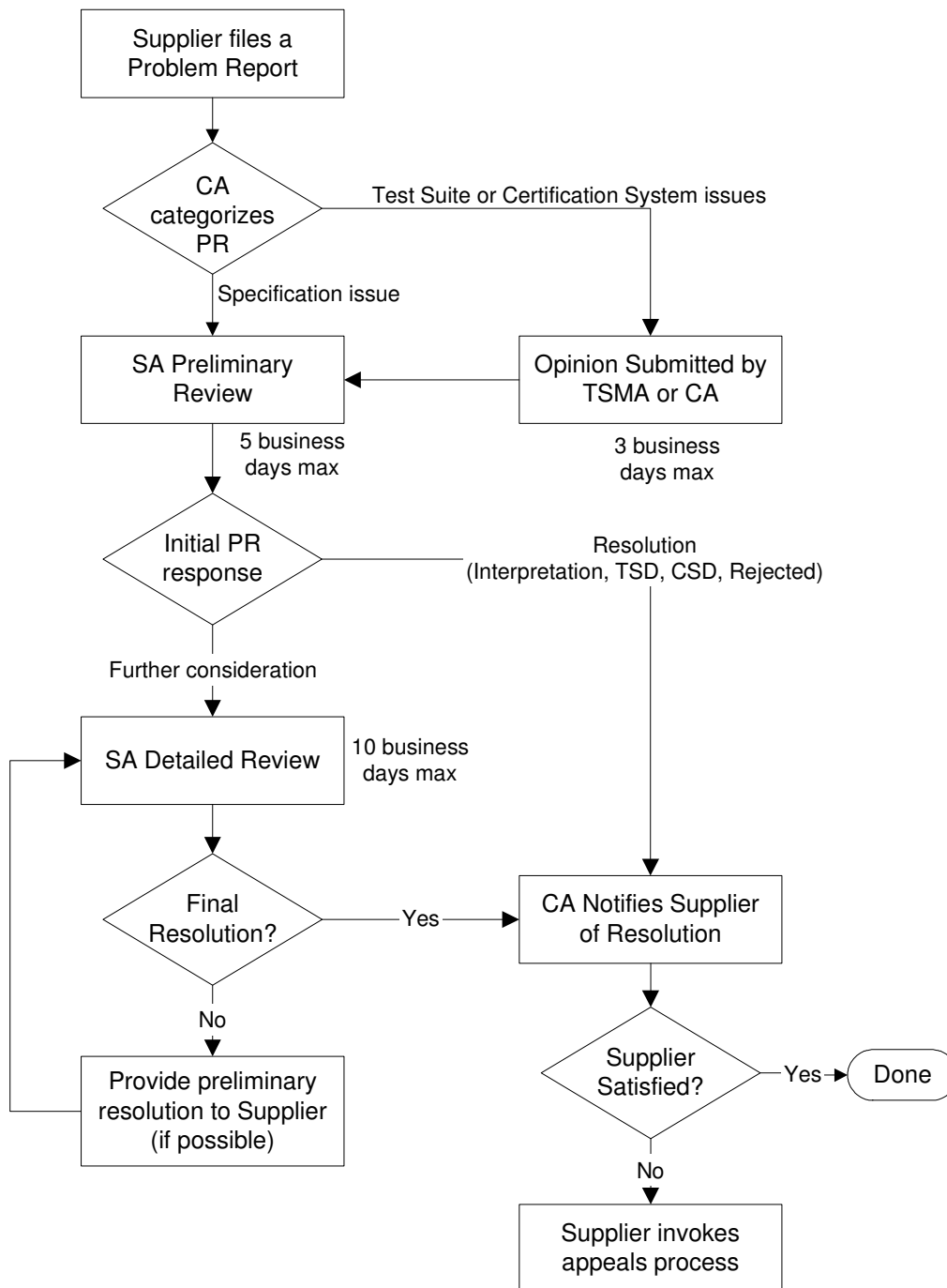
In most cases, 25 business days is sufficient to provide a final Problem Report resolution. However, in exceptional circumstances, final resolution may take longer. If possible, the Problem Report will be addressed sufficiently within the 25 business days to allow the certification process to proceed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

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

The Problem Report resolution process will allow the supplier 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 product and supplier sections of the Problem Report, so these are the only sections that should contain company names, product names, or other confidential information. Please note that if supplier-specific information is included in the sections reserved for the technical descriptions, filtering will not result in an anonymous request.

In order for the Specification Authority to resolve Problem Reports related to the certification system, the Specification Authority will require an opinion from the Certification Authority. These opinions must be provided within six (6) business days, in order for the Specification Authority to provide its preliminary response on time.

The process is outlined in the following diagram:



Timescales in the above diagram are wrong. Will be changed from 3/5/10 business days to 6/10/15 respectively in the final version of this document.

## 10.3 Resolution of Problem Reports

The possible outcomes for Problem Report resolution are:

- accepted as an error or ambiguity in the specifications (an Interpretation),
- accepted as an error in the certification system (Certification System Deficiency), or
- rejected.

Interpretations and Certification System Deficiencies will never cause previously Certified Products, Services or Individuals to be "un-certified", but can affect the continued conformance of a Certified Product Service or Individual. Interpretations and Certification System Deficiencies evolve the definition of conformance over time and Certified Products are always required to conform to the current definition of conformance. At the time of certification renewal, the Supplier will be required to demonstrate that the Certified Product conforms to the applicable S/MIME Secure Messaging specification(s), including all Interpretations that have been granted since the previous certification.

### 10.3.1 Interpretations

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

Interpretations always apply to a particular version of the S/MIME Secure Messaging specifications. Therefore, if a Problem Report submitted against a specification includes rationale that cites conflict with a previous or subsequent version of the specification, the PR will be assessed without reference to such rationale. In particular, conflict with another version of the same S/MIME Secure Messaging specification does not in itself form grounds for granting an Interpretation.

Interpretations of S/MIME Secure Messaging specifications will never result in product behavior that was previously considered to be conformant being declared non-conformant, at a given revision level of the S/MIME Secure Messaging specifications. However, Interpretations may cause a change in a future release of the specification that will prohibit behavior previously considered acceptable. Interpretations can only result in product behavior that was previously considered to be non-conformant being declared to be conformant.

The Specification Authority is responsible for deciding the meaning of conformance to normative referenced specifications in the S/MIME Secure Messaging Certification context. Problem reports regarding such underlying or referenced specifications in the context S/MIME Secure Messaging Certification will be processed as normal. Problem reports regarding underlying or referenced specifications in any other context will be rejected.

### 10.3.2 Certification System Deficiency

A Certification System Deficiency is an agreed error in the certification system. The certification system includes the workflow and information systems provided to implement the certification process. Certification System Deficiencies 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 Certification System Deficiency will remain in force until such update.

## **10.4 Problem Report Repository**

The Certification Authority 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 Supplier and product details, thus maintaining the confidentiality of the Supplier.

An Applicant may cite an Interpretation, or Certification System Deficiency to resolve discrepancies in test reports or to support their application for certification in any other way, irrespective of the origin of the Problem Report.

## 11. Appeals Process

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

- a) The Supplier disagrees with the resolution of a Problem Report
- b) The Supplier disagrees with the Certification Authority's grounds for denying the award of certification
- c) The Supplier of a Certified Product disagrees with a formal notification of the need to rectify a non-conformance

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

There are two levels of appeal: a Technical Review and a Board Review. Review decisions will be made in accordance with The Open Group's policies.

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

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

If the Supplier is not satisfied with the outcome of the Technical Review, the Supplier 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's 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 1 calendar month of the Supplier's written request for a Board Review. The results of a Board Review are final and cannot be further appealed.

## **12. Confidentiality**

### **12.1 Confidentiality**

All information relating to an Applicant and the product, service or individual(s) to be certified will be held confidential during the certification process, that is, prior to the award of certification. This includes information related to the Registration Form, Conformance Statements, and Problem Reports.

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

### **12.2 Disclosure of Certification Information**

Certification information consists of the fact that certification was achieved, the description of the item that was certified and the Conformance Statement for the Certified Product, Service or Individuals(s). Any claims of conformance or information related to the certification process may only be made public after the Certification Authority has notified the Applicant in writing that the product, service or individual has passed the certification process.

The Certification Authority will make certification information publicly available by including it in the Certification Register available on the Certification Authority's web site.

### **12.3 Optional Confidential Treatment of Certification Information Prior to Product Launch**

On occasions, a Supplier will apply for and achieve certification prior to a product or service launch in the marketplace. To enable a Supplier to keep such information confidential prior to product launch, the Supplier may request that the certification information be kept confidential for a maximum period of six months from the date of written notification by the CA that the product has achieved certification.

During this period, the Supplier may not publicly use the Certification Trademark or make any representation of conformance with the S/MIME Secure Messaging specification(s) without first informing the Certification Authority that the confidential period has expired. In the event the Supplier wishes to keep the certification information for a product or service confidential permanently, the Supplier may request withdrawal and deletion of such information. Such product or service will then no longer be considered certified.

The certification information will cease to be held confidential upon the earlier of notice by the Supplier that the confidential period has expired, or at the end of the six-month period, provided that the Supplier has not requested withdrawal and deletion of such information.