

# **The Open Group Certified Architect (Open CA) Program**

## **Certification Policy**

November 2012  
Version 1.5.2

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The Open Group Certified Architect (Open CA) program is the new name for the IT Architecture Certification (ITAC) program.

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## **The Open Group Certified Architect (Open CA) Program: Certification Policy**

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<sup>1</sup> Please note that this list was accurate at the time of initial publication in July 2005.

# 1. OVERVIEW

## 1.1 Introduction

The Open Group Certified Architect (Open CA) program (the Program) is designed to validate the existence of those qualities and skills in a professional that enable the effective practice of IT, Business, and Enterprise 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 Open CA 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 Open CA certification apply equally to the direct and indirect routes to certification.

Beyond the Conformance Requirements for a Certified 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 that the baseline requirements of the framework remain common across the profession.

The Program is based upon a set of key documents:

1. The *Certification Policy* (this document) sets out the policies and processes by which an Architect may achieve certification.
2. The *Level 3 Conformance Requirements* for Chief/Lead IT Architect documents the skills and experience that an Architect must possess to achieve certification at Level 3 of the Program.
3. Other Level 3 Conformance Requirements documents for additional Career Path Categories that will become available over time.

4. The *Accreditation Policy* sets out the policies and processes by which an Organization may achieve accreditation.
5. The *Accreditation Requirements* documents the criteria that must be met by an ACP.

## 1.2 Levels of Certification

The Program recognizes three levels of certification:

- Level 1      Certified  
The Candidate is able to perform with assistance/supervision, with a wide range of appropriate skills, as a contributing architect.
- Level 2:     Master  
The Candidate is able to perform independently and take responsibility for delivery of systems and solutions as lead architect.
- Level 3:     Distinguished  
The Candidate has significant breadth and depth of impact on the business through the application of IT architecture.

The Conformance Requirements documents define the conformance levels that are available in the Program at any particular time.

Candidates may apply for certification at Level 1 or Level 2 without any prior certification in the Program.

**Candidates applying for certification at Level 3 are required either to be certified at Level 2, or to have met the Level 2 Conformance Requirements at some time in the past.**

**Certification at Level 3, without previously being certified at Level 2, requires a Candidate to submit a Level 2 package in addition to the Level 3 package. In the Level 2 package the time constraints imposed by the Level 2 Conformance Requirements are relaxed to allow Level 3 certification for people who may have met the Level 2 requirements at some time in the past.**

## 1.3 Program Logo

Architects certified within the Program are able to use an Open Group logo on their business cards, etc. In accordance with the Trademark License Agreement and Trademark Usage Guide, the logos that may be used include a label (tag line).

The labels for the three levels are as follows:

	Label
Level 3	“Distinguished” or the Career Path Category label shown in Section 1.5 of the applicable Level 3 Conformance Requirements
Level 2	“Master”
Level 1	“Certified”

## 1.4 Fees

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

## 1.5 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>	A 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>Career Path Category (CPC)</b>	A set of Conformance Requirements at Level 3 that defines one of the career paths identified in the Program. Certification at Level 3 is to one of the Career Path Categories.
<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 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 Architect is made available by the Certification Authority at the discretion of the Certified Architect.</p>
<b>Certification System Deficiency (CSD)</b>	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.
<b>Certified Architect</b>	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.
<b>Conformance Requirements</b>	A definition of the mandatory and optional criteria a person must meet in order to be eligible for certification.
<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 behalf of The Open Group, 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 Architects</b>	The official list of all Certified Architects, which is maintained by the Certification Authority and made publicly available via the Internet.
<b>Evaluation Process</b>	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.
<b>Evaluation Process Deficiency (EPD)</b>	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.
<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 Accredited Certification Program, the Candidate must work for the Organization running the Accredited Certification Program.</p>
<b>Interpretation (INT)</b>	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.
<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 Program in relation to Certified Architects. The Program Logo artwork contains a tag line that describes the level of certification achieved.
<b>Specification Authority (SA)</b>	The Open Group Certified Architect (Open CA) working group, or its successor, which is responsible for developing, maintaining, and interpreting the Conformance Requirements and Accreditation Requirements of the Program.
<b>Trademark License Agreement (TMLA)</b>	The agreement between the Certified Architect and The Open Group that contains the legal commitment by the Candidate to the conditions for use of the Program Logo.

## 1.6 Migration and Change History

This section details changes made to the Open CA Certification Policy (Doc. No. X071).

Version No.	Date	Change
1.2	July 2005	First publication.
1.3	January 2006	Supersedes Version 1.2. Updates to deal with multiple levels of conformance. Process modifications covering the different logos and differences in the Evaluation Process for initial certification and renewal of certification. Minor modifications to improve clarity and changes introduced as a result of Interpretations.
1.4	November 2007	Supersedes Version 1.3. Detailed changes necessary for the introduction of the first Career Path Category (CPC) at Level 3.
1.5	November 2010	Implementation of Corrigendum U101, including: <ul style="list-style-type: none"> <li>• The ability for re-certification to be delayed by up to 12 months to accommodate time out of post as described in PR 0029 (INT.ITDC.0018) – final paragraph of Section 8.2.</li> <li>• The revised description of the Re-Certification Board process, from PR 0031 (EPD.ITDC.0004) – paragraph 3 and its subparagraphs in Section 8.2.</li> <li>• A new Section 12 on recognition of other qualifications, from PR 0043. Implementation of recognition of third-party qualifications is optional for Accredited Certification Programs.</li> </ul>
1.5.1	July 2011	Supersedes Version 1.5. Contains cosmetic changes to Version 1.5 only for the change in program name.
1.5.1	November 2012	Supersedes Version 1.5.1. Minor editorial changes applied to align with the Business Architecture Stream.

## **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).

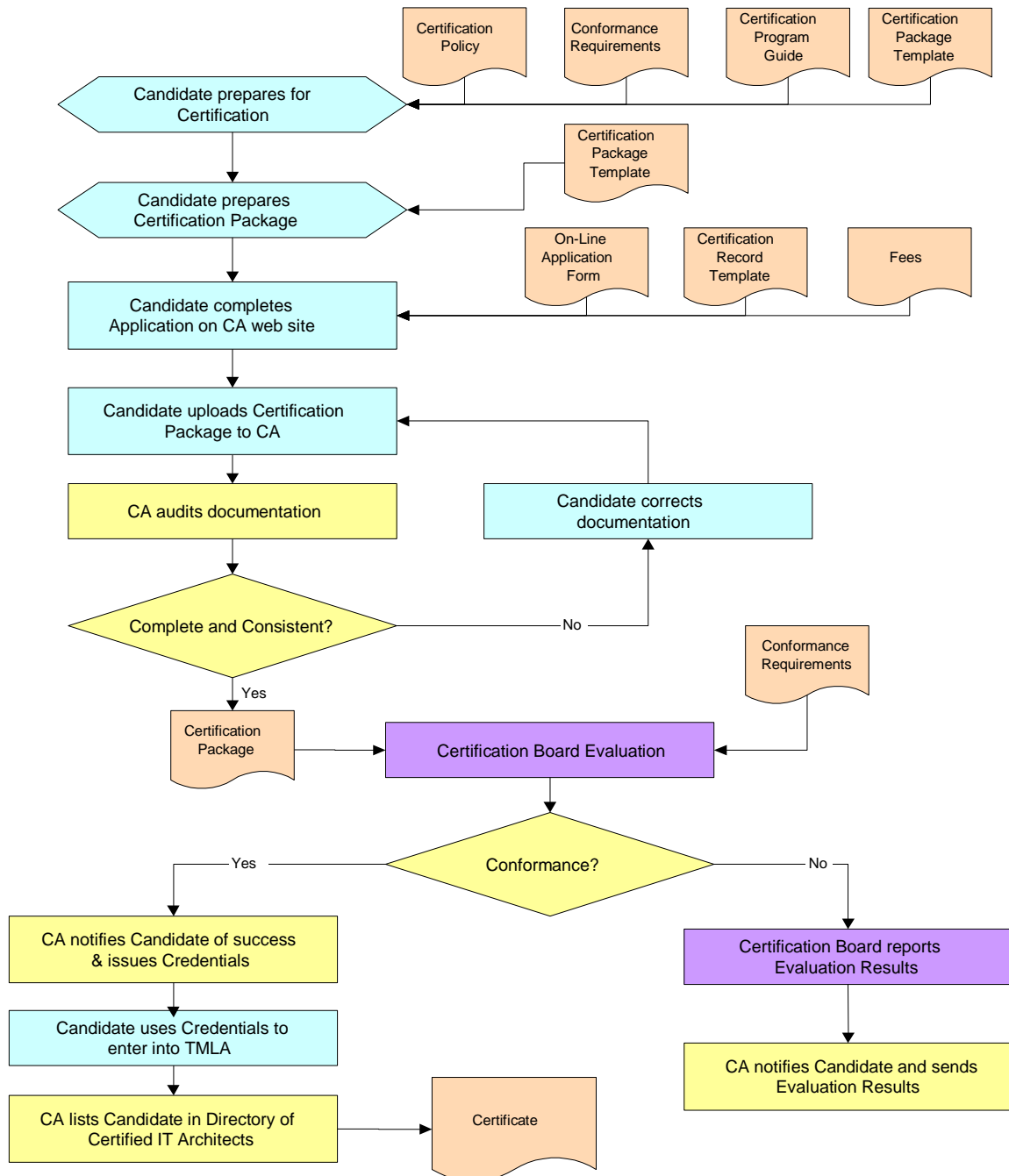
It is an essential feature of the Program that the Conformance Requirements that Candidates must meet are the same for both the direct and indirect processes.

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 Certification Authority's web site.

## 2. Preparing the Application

The Candidate must produce a Certification Record by completing the template provided by the Certification Authority. 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 Certification Authority. The Certification Package is a description of the skill levels attained and experience undergone by the Candidate that provides the Certification Authority 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 Certification Authority 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 Certification Authority along with payment of the then current fees.

## 4. Documentation Audit

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

If the Certification Authority 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 in separate interviews. Certification Board interviews will take place either face-to-face during a conference hosted by The Open Group, or at other times and places as determined by the Certification Authority, or by telephone.

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 appeals process, be censured by the Certification Board and banned from partaking in

future certification reviews for a minimum period of one (1) year. The Certification Authority 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 Certification Authority 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 Certification Authority 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 Certification Authority in writing using the Certification Authority's web site.

#### 6. Notification and Publication of Certification

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

If the decision is to accept the application for certification, the Certification Authority will issue credentials to the successful Candidate that will enable the Candidate to access the Certification Authority's web site to accept the terms of, and enter into, a Trademark License Agreement (TMLA) with the Certification Authority. This will allow the successful Candidate to obtain the artwork of the applicable Program Logo.

The Certification Authority will then make a Certificate available to the Candidate in electronic form and enter the Candidate's Certification Record into the Directory of Certified Architects. The credentials will also allow the Certified Architect to control to whom the Certification Record is disclosed and to update contact and employer information in the Certification Record.

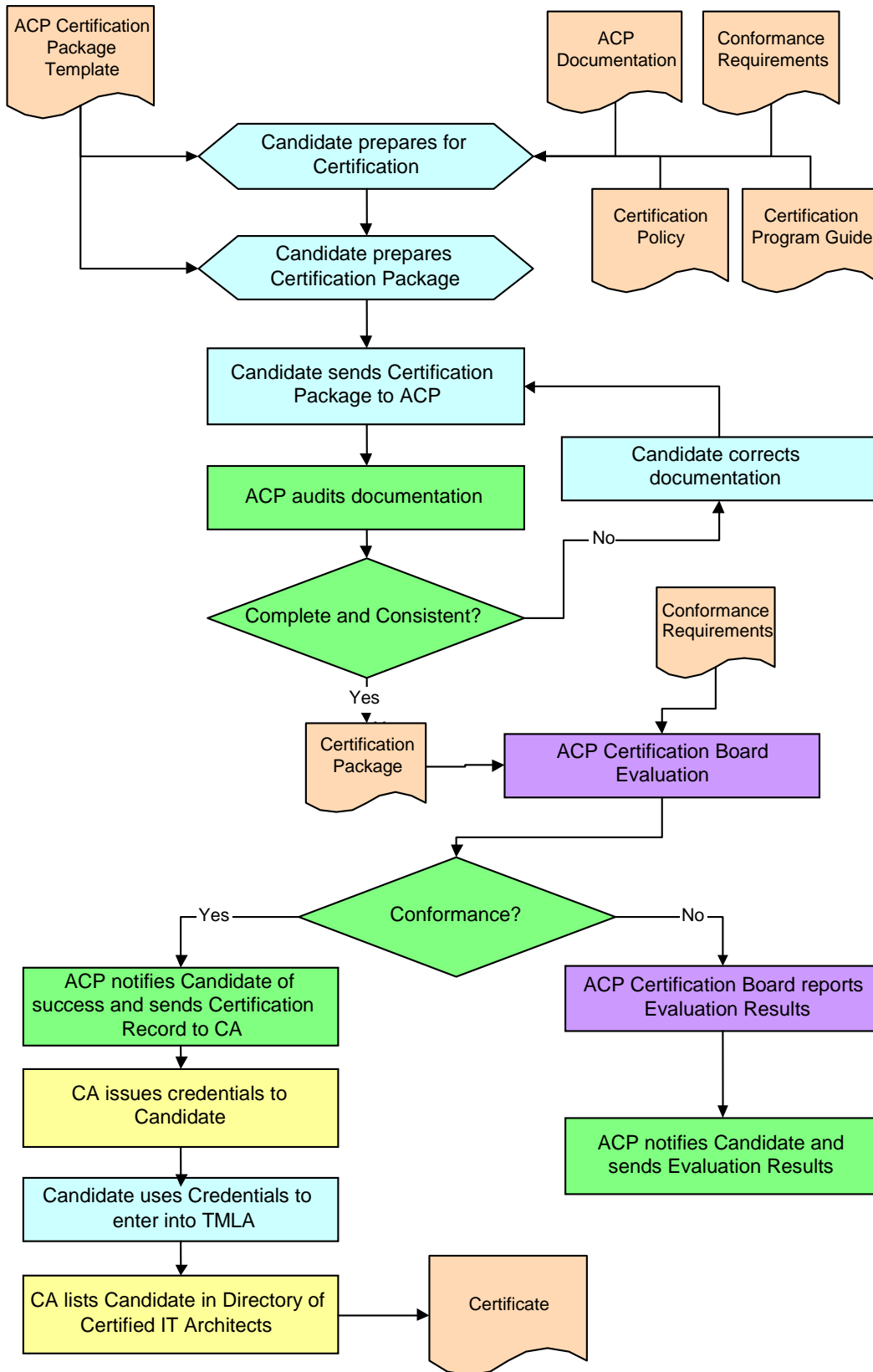
If the Certification Board decision is that the Conformance Requirements have not been met, the Certification Authority will reject the application for certification and report the discrepancies with the Conformance Requirements to the Candidate. The Candidate may undertake corrective action and re-apply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

## 2.2 Indirect Evaluation

The indirect evaluation process delegates most of the activity of the Certification Authority and the 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 Program and ensure that all 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 Certification Authority except if so requested by the Certification Authority 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 members in separate interviews. The evaluation will include an interview, either face-to-face or by video or telephone. 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 Certification Authority.

## 6. Candidate enters into TMLA with Certification Authority

The Certification Authority will issue a credential to the successful Candidate that will enable the Candidate to access the Certification Authority's web site to accept the terms of and enter into a Trademark License Agreement (TMLA) with the Certification Authority. This will allow the successful Candidate to obtain the artwork of the applicable Program Logo.

## 7. Notification and Publication of Certification

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

The credential already issued will allow the Certified 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 Program that Certified 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 Program that each Organization operating an Accredited Certification Program (ACP) warrants and represents that the applicable Conformance Requirements are met by all Architects certified through their program at the time of their certification and subsequently.

### **3.2 Certification Record**

A Certification Record is the Certified 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 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 Architects once certification is complete.

Certified 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 Certification Authority. Failure to confirm the Certification Record within 90 days of the request will mean certification will be terminated. If a Certified Architect wishes to change administrative details – such as contact names, addresses, etc. – they will be able to do so directly on the Certification Authority's web site.

The Certification Record will contain the following information:

Field alterable by Certification Authority on receipt of proof of change of name:

1. Full Name

Fields editable by Certified Architects:

2. If applicable, employer/business name and address
3. Phone number
4. (Optionally) Alternate phone number



5. Email address
6. Postal address

Fields not editable by Certified 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, level of certification, Career Path Category)
11. History of past certifications (date of first certification, dates of renewals, and any re-certifications and dates of certifications at new levels)

All Certification Records are in English.

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

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

## **4. USE OF THE PROGRAM LOGO**

### **4.1 Use by Certified Architects**

All Certified Architects will be licensed to use the Program Logo, with the applicable tag line, 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.

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

At the completion of both the direct and indirect certification processes, the successful Candidates enter into a Trademark License Agreement (TMLA) for the Program Logo with The Open Group. The Open Group then issues the artwork for the Program Logo that includes a tag line or label that identifies the level of certification that has been achieved. The TMLA is the legal contract governing how the Program Logo may be used and defines the rights and obligations of the Certified 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 Architects are required to ensure that they continue to meet the applicable Conformance Requirements at all times.

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

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

Use of the Program Logo with tag line or label for a level higher than the one to which the Architect is certified is not permitted. If a Certified Architect is found to be doing so, then the Certification Authority may remove the architect from the Directory of Certified Architects, in which case the architect ceases to be a Certified Architect and may no longer use the Program Logo.

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

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

1. Within 90 days rectify the non-conformity and satisfy the Certification Authority of the efficacy of the rectification; or
2. Within 90 days satisfy the Certification Authority 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 Architect; or
4. Within 45 days invoke the appeals process as described in Section 10.

If option (4) is selected, the Certified 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 Architect.

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

If an architect ceases to be a Certified 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 Certification Authority 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 Use of the Program Logo by ACPs**

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

Organizations operating an Accredited Certification Program (ACP) will be licensed to use the Program Logo, with applicable tag lines, in relation to the Certified Architects they employ; for example, in proposals and in marketing materials.

The Program Logo with the applicable tag lines may be used by an ACP in relation to Certified Architects once the Certification Authority has been notified by the ACP that certification has been granted.

The Program Logo may only be used on or in relation to Certified 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 Certification Authority. 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 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 Architects continue to conform to the applicable Conformance Requirements at all times.

The Certification Authority 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 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 Certification Authority via the Certification Authority’s web site.

Use by the ACP of the Program Logo in relation to a Certified Architect with a tag line or label other than the one to which the Architect is certified is not permitted. If an ACP is found to be doing so, then the Certification Authority may remove the architect in question from the Directory of Certified Architects, in which case the architect ceases to be a Certified Architect and may no longer use the Program Logo.

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

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

1. Within 90 days rectify the non-conformity and satisfy the Certification Authority of the efficacy of the rectification; or
2. Within 90 days satisfy the Certification Authority that the Certified Architect is conformant; or
3. Within 90 days cease use of the Program Logo in relation to the Certified Architect, in which case the architect ceases to be a Certified Architect; or
4. Within 45 days invoke the appeals process as described in Section 10.

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 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 Architect.

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

If an architect ceases to be a Certified 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 Certification Authority 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 Architects from the Directory of Certified Architects.

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

### **5.1 Inclusion in the Directory**

The Directory of Certified Architects is a web-accessible record of all Certified Architects and is maintained by the Certification Authority. 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 Certification Authority is satisfied that the Candidate meets the applicable Conformance Requirements and all other requirements for certification have been met, the Certification Authority 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 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 Certification Authority.

The Certification Authority 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 Architects.

## **5.2 Visibility**

By default, entries in the Directory of Certified Architects are held confidential by the Certification Authority, and the Certification Authority will not disclose any information about Certified 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 Certification Authority will make the Certification Record of a Certified Architect available at the discretion of the Certified Architect (see Section 11). At the time of certification, the Certification Authority will issue credentials to Certified Architects that they may pass to their customers and prospective customers to allow queries on the web-based Directory of Certified Architects. In response to a query, the directory will return the complete corresponding Certification Record.

ACPs may elect to have their Certified Architects listed publicly in the Directory of Certified 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 Certification Authority may elect to be listed publicly in the Directory of Certified 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 Certification Authority or by an ACP.

## **5.3 Removal from the Directory**

All past and present Certified Architects are included in the Directory of Certified Architects. If an architect ceases to be certified, the Certification Authority 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 Certification Authority withdraw them from the Directory of Certified IT Architects.
- The architect ceases to meet the applicable 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

### 6.1 Direct Evaluation Procedures

The process for evaluating conformance starts with a review of the Candidate's Certification Package by the Certification Authority and the members of the Certification Board.

This is followed by an interview, as shown in the following table:

	Level 1	Level 2	Level 3
Initial Certification	Telephone interviews by Certification Board	Face-to-face interviews by Certification Board	Face-to-face interviews by Certification Board
Re-Certification	No Interview	Telephone interviews by Certification Board	Telephone interviews by Certification Board

The Certification Board Member Handbook 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 Certification Board Member Handbook is maintained by the Certification Authority and may be updated from time to time, subject to approval by the Specification Authority.

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

To enable fair and equal access to certification at Level 2 and 3, the Certification Authority will give due consideration to requests for remote interviews based upon the extenuating circumstances of the Candidate, such as physical inability to travel.

### 6.2 Indirect Evaluation Procedures

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

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

ACPs are required to update their evaluation procedures and criteria whenever this policy or the Certification Board Member Handbook is updated in a way that materially affects the ACP's evaluation procedures.

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 Certification Authority.

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 Certification Authority.

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

## **7. CHANGE OF EMPLOYMENT**

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

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

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

If a Certified 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 Certification Authority.

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 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 Architects is kept up-to-date.

The Certification Authority will send reminders by email to Certified 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 Re-Certification Package must be submitted to the Certification Authority along with an updated Certification Record. The Certification Authority 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.

The process is as follows:

- One Board member will review the Re-Certification Package.
- Normally the Board member will not interview the Certified Architect, but may do so to resolve questions of clarification.

- If the Board member considers that the Re-Certification Package demonstrates that the Certified Architect meets the Open CA re-certification requirements, then the outcome is to accept the re-certification and re-certification is complete.
- In all other cases, a second Board member will review the Re-Certification Package and will interview the Certified Architect. If the first and second Board members agree to either accept or reject the re-certification request, then that is the outcome. If the first and second Board members disagree, then a third Board member will be asked to review the Re-Certification Package, interview the Certified Architect, and decide the outcome. Interviews may be conducted by telephone or video.

If a Certified Architect wishes to update their certification to a higher level, they must re-apply for certification at that higher level.

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.

If a Certified Architect fails to re-certify within four (4) months after the re-certification due date, their certification will lapse. Architects whose certification has lapsed may regain their certification by re-certifying at any time up until one (1) year after their re-certification due date. In such cases, the new three-year certification period also starts at the re-certification due date.

### **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 Architects is kept up-to-date.

Certified 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 web site to obtain resolution to the issue. The Certification



Authority 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 Certification Authority's Help Desk will provide assistance on obtaining further information.

## 9.2 Problem Report Resolution

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 Specification Authority will perform a preliminary review and will provide an initial response via the Certification Authority 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.

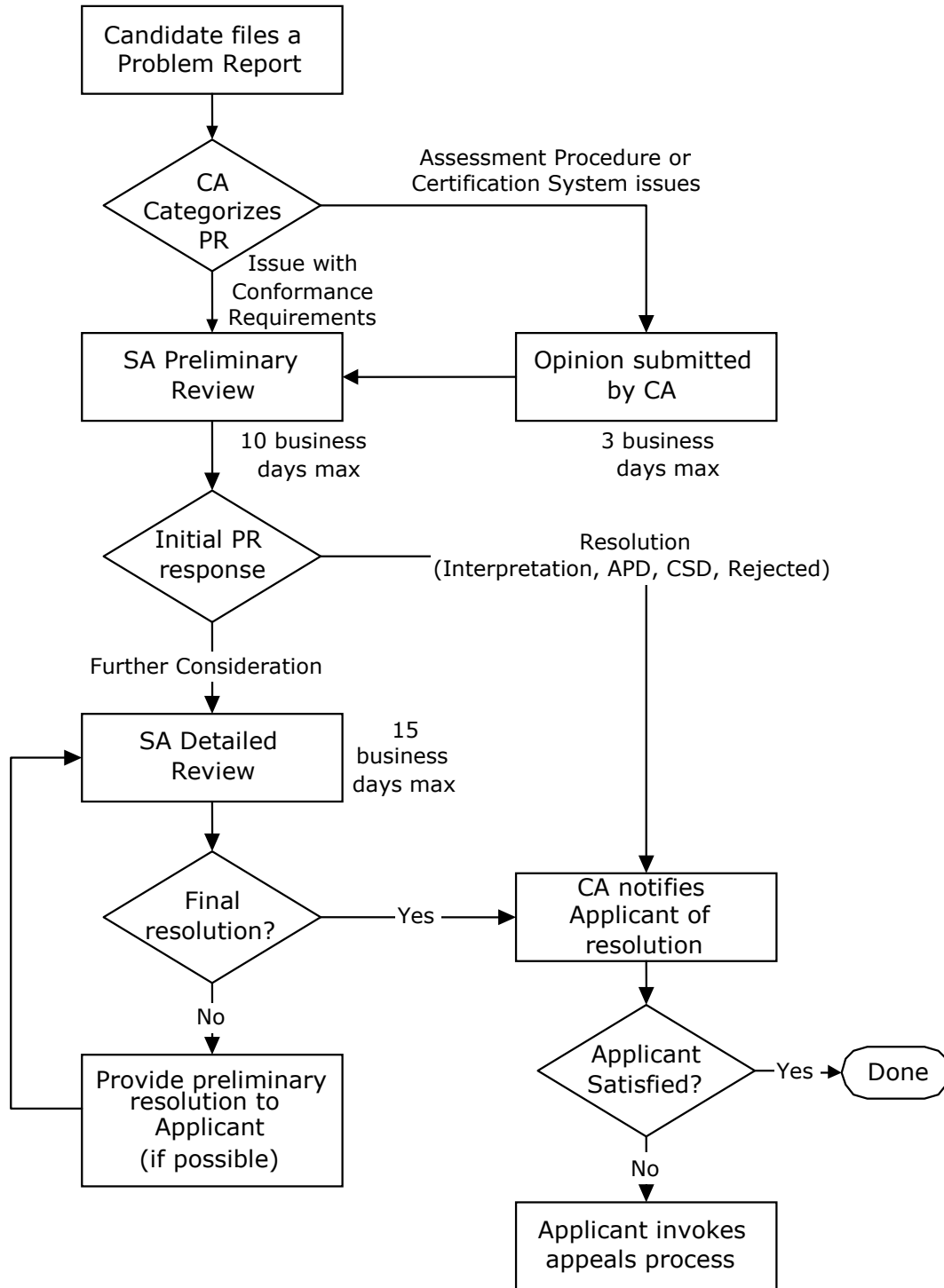
In most cases, 25 business days is sufficient to provide a final Problem Report resolution. However, in exceptional circumstances, final resolution may take longer. If possible, the Problem Report will be addressed sufficiently within the 25 business days to allow the certification process to proceed pending final resolution. The Certification Authority 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, as described in Section 10.

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 Specification Authority to resolve Problem Reports for issues related to the Evaluation Process, an opinion from the Certification Authority is required. Likewise, for Problem Reports related to the Certification System, the Specification Authority will require an opinion from the Certification Authority. These opinions must be provided within three (3) business days, in order for the Specification Authority 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 Architects to be “un-certified”. Interpretations, EPDs, and CSDs evolve the definition of conformance over time and Certified IArchitects are always required to conform to the current definition of conformance. At the time of certification renewal, the Certified 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 Specification Authority is responsible for deciding the meaning of conformance, in the 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 Open CA 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 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 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 or Certification Authority. 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 Certification Authority'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 Certification Authority. The appeals process is invoked by sending an email to [openca-cert-auth@opengroup.org](mailto:openca-cert-auth@opengroup.org).

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 Certification Authority 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 Specification Authority 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 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 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 Certification Authority 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, 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 Certification Authority, or the Certification Board.

In addition, the Certification Authority 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 Certification Authority has notified the Candidate in writing that they have successfully completed the certification process.

Any Certified 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 Certification Authority will make certification information available as described in Section 3.2 and 5.2.

## **12. RECOGNITION OF OTHER QUALIFICATIONS**

From time to time the Specification Authority may decide to recognize qualifications obtained through other certification or similar programs as meeting some or all of the requirements for certification in the Program.

The Specification Authority will at its sole discretion decide which of such qualifications it will consider for recognition.

In each assessment, the Specification Authority will examine the other program in detail and decide which of the Open CA Conformance Requirements are met by the candidate qualification, and whether they are evaluated in that program to an equivalent degree of thoroughness.

The outcome of the assessment will be one of:

Not equivalent:        There is insufficient overlap in requirements for there to be any recognition of the qualification.

Partially equivalent: The qualification meets some of the requirements for certification in the Program at Level 1, 2, or 3 (as applicable). Additional evidence would be required to be submitted and evaluated by a Certification Board.

Fully equivalent: The qualification fully meets the requirements for certification in the Program at Level 1, 2, or 3 (as applicable).

In the case of partial equivalence, the Specification Authority will list in an annex to the Conformance Requirements document:

1. The individual criteria in the Conformance Requirements that the qualification meets.
2. The individual criteria in the Conformance Requirements that the qualification does not meet and the evaluation process that Candidates must undergo to determine whether they meet these criteria. The process will either be evaluation by a full Certification Board or evaluation by a Re-Certification Board.

Candidates may apply for certification directly and obtain credit for an existing recognized qualification by using the Certification Package template that is made available for this purpose, providing proof that they have been awarded the recognized qualification, plus specific information from their application for the recognized qualification as required by the Certification Authority.

Implementation of recognition of third-party qualifications is optional for Accredited Certification Programs (ACPs).