

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

**Conformance Requirements
(Multi-Level)**

July 2011
Version 1.0.1

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The Open Group Certified Architect (Open CA) Program: Conformance Requirements (Multi-Level)

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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 four key documents:

1. The *Certification Policy*, which sets out the policies and processes by which an Architect may achieve certification
2. The *Conformance Requirements* (this document), in which are documented the skills and experience that a Certified Architect must possess to achieve certification at the different levels available within the Program
3. The *Accreditation Policy*, which sets out the policies and processes by which an Organization may achieve accreditation
4. The *Accreditation Requirements*, in which the criteria that must be met by an ACP are documented

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.

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. To allow Level 3 certification for people who may have met the Level 2 requirements at some time in the past, the Level 2 time constraints are waived for combined Level 2/Level 3 applications.

This Document

This document combines the Conformance Requirements for Level 1, Level 2, and Level 3 and contains the following documents:

- X062: Open CA Conformance Requirements (Multi-Level), Version 2.2.1
- X072: Open CA Conformance Requirements – Level 3: Chief/Lead IT Architect Career Path Category, Version 1.0.1
- X085: Open CA Conformance Requirements – Level 3: Enterprise Architect Career Path Category, Version 1.0.1
- X086: Open CA Conformance Requirements – Level 3: IT Architect Profession Leader Career Path Category, Version 1.0.1

Migration and Change History

This section details changes made to the Open CA Conformance Requirements (Doc. No. X110).

Version No.	Date	Change
1.0	January 2011	First publication. Combines Levels 1 through 3.
1.0.1	July 2011	Supersedes Version 1.0. Contains cosmetic changes to Version 1.0 only for the change in program name.

PART 1: Conformance Requirements for Level 1 and Level 2

1. INTRODUCTION TO PART 1

Part 1 defines the Conformance Requirements for Level 1 (Certified Architect) and Level 2 (Master Architect).

1.1 Evaluation of Conformance

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

This may be followed by an interview as shown in the following table:

	Level 1	Level 2
Initial Certification	Telephone interview by Certification Board	Face-to-Face Interview by Certification Board
Re-Certification	No Interview	Telephone Interview by Certification Board

1.2 Program Logo

IT 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:

Level	Label
3	Distinguished
2	Master
1	Certified

1.3 Terminology and Definitions

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

Term	Definition
Accredited Certification Program (ACP)	An IT Architect certification program, operated by a third party, that has been assessed by The Open Group as meeting the requirements set out in the Accreditation Policy and which has been entered into the Accreditation Register. Depending on context, the term is also used to mean the company or organizational unit that operates an Accredited Certification Program.
Application Form	The form completed by the Candidate to apply for certification.

Term	Definition
Candidate	The individual who is in the process of being certified.
Certificate	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.
Certification Agreement	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.
Certification Authority (CA)	The Organization that manages the day-to-day operations of the certification program – in this case The Open Group.
Certification Board	The group of subject matter experts appointed by the Certification Authority or by an Accredited Certification Program to assess applications for certification.
Certification Package	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.
Certification Program Guide	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.
Certification Record	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. The Certification Record of a Certified Architect is made available by the Certification Authority at the discretion of the Certified Architect.
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 IT Architect	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.
Conformance Requirements	A definition of the mandatory and optional criteria a person must meet in order to be eligible for certification.

Term	Definition
Direct Certification	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. Direct certification is open to any Candidate, regardless of who they work for, or where in the world they live and work.
Directory of Certified Architects	The official list of all Certified Architects, which is maintained by the Certification Authority and made publicly available via the Internet.
Evaluation Process	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.
Evaluation Process Deficiency (EPD)	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.
Indirect Certification	Indirect certification is achieved by applying to an Accredited Certification Program and successfully completing the certification process. To be eligible for certification by a particular Accredited Certification Program, Candidates must work for the Organization running the Accredited Certification Program.
Interpretation (INT)	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.
Problem Report (PR)	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.
Program Logo	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.
Specification Authority (SA)	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.
Trademark License Agreement (TMLA)	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.

1.4 Migration and Change History

This section details changes made to the Open CA Conformance Requirements (Multi-Level), Doc. No. X062, the content of which is reproduced here.

Version No.	Date	Change
1.2	July 2005	First publication. Requirements for Level 2 certification.
2.0	January 2006	Addition of Level 1 certification to help Candidates decide which level is appropriate to them. Some corrections have been applied as a result of Problem Reports, which may be found at the Certification Authority's web site, as have a number changes to improve readability.
2.01	May 2008	Implementation of Corrigendum U067 that addresses PR15 (Inconsistency in the number of required Experience Profiles for Level 1 Certification) and PR16 (PD03 may be interpreted too narrowly).
2.2	November 2010	Removes the overlap between EC04 and the core foundation skill CFS12 (Apply Methods) by consolidating EC04 into CFS12 and removing EC04, as described in PR0043. There is no difference in the skills and experience required for certification, but the revised structure is considered easier for Candidates to understand. Candidates may use the previous version of the Certification Package templates for a period of six (6) months from the date of publication of this document. Covers the recognition of the Microsoft MCA Infrastructure Architect and Solution Architect qualification. Addresses PR0021 in EC01.
2.2.1	July 2011	Supersedes Version 2.2. Contains cosmetic changes to Version 2.2 only for the change in program name.

2. IT ARCHITECT ROLES AND RESPONSIBILITIES (INFORMATIVE)

An IT Architect defines solutions to client business problems through the reasoned application of information technology.

Those solutions are documented as architectures and can include systems, applications, and process components. They may also involve the application and integration of a broad variety of products; technologies, and services; various systems and applications architectures; and diverse hardware and software components.

2.1 Characteristics of the IT Architect

The key skill and contribution IT Architects bring to their pursuits is the creation of architectures that address business problems.

Effective IT Architects typically possess and exhibit the following:

Skills and experience producing architectures	IT Architects develop architectures; the definition of the structures of an IT solution to a business problem. In order to accomplish this they must be proficient at the techniques that go into the formulation of architectures, including requirements discovery and analysis, application of abstraction, formulation of solution context, solution alternatives identification and assessment, technology selection, and architectural configuration.
Appropriate technical skills and experience, including technical breadth	IT Architects require practical skills and experience with many application and infrastructure (operational) products, technologies, and services. While often relying on professionals with specialized skills for the construction, implementation, and operational aspects of solution delivery in many of these areas, the IT Architect must have enough skills and experience across them to be able to successfully architect appropriate solutions of heterogeneous components. Beyond that base of technical breadth, effective IT Architects usually possess additional architectural skills in one or more disciplines.
Disciplined, method-driven execution	The IT Architect uses formal methods to guide and drive the development of solutions, the management of their work, and the production of their deliverables.
Full lifecycle experience	In the development of architectures that address business problems, the IT Architect's work is primarily performed at the front end of the solution lifecycle. Full lifecycle experience – in particular, the knowledge and appreciation of the construction, implementation, and management aspects of the solution lifecycle – enables the IT Architect to produce solution designs that are truly viable and that can be successfully constructed, implemented, operated, and managed.
Leadership	The effective IT Architect is a leader, providing knowledge, technical, and team leadership skills in their work, to their clients, and for their teams.

Strong personal and professional skills	The IT Architect must have a high level of communications, consulting, and client relationship skills. The IT Architect must be able to clearly communicate complex technical and business concepts, both to clients (internal or external) and to team members, and to negotiate change. Problem-solving of client business and technical issues is a principle role of the IT Architect, and he or she must be capable of effectively identifying and framing problems, leading the collection of elements of information, and integrating this information to produce timely and thoughtful decisions.
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2.2 Types of IT Architects – Sample Architecture Disciplines

This version of the Conformance Requirements document does not set any requirements for architecture disciplines, but the Program is expected to be revised to include disciplines as specific options in the near future.

As part of those future discipline requirements, IT Architects will be expected to demonstrate a higher level of proficiency in one of several areas of architectural focus that reflect organizational requirements and IT industry views, in addition to the fundamental skills defined in this Conformance Requirements document. The types and requirements of the IT Architect disciplines will evolve with the needs of the IT industry and will be updated accordingly. Examples of such potential disciplines against which Candidates might obtain certification include:

- Enterprise Architecture
- Business Architecture
- Information Architecture
- Application Architecture
- Technology Infrastructure Architecture

2.2.1 Defining Additional Disciplines

Accredited Certification Programs (ACPs) will be able to define additional architectural disciplines against which they can certify individuals. In so doing, the description of the discipline:

- Must be well-formed and supported by the industry or the business needs of the Organization running the ACP
- Must not relax the skills, experience, or process requirements of the Program
- Must be ratified by The Open Group as part of the accreditation process

2.3 Example IT Architect Roles

While IT Architects share the same overall skills or characteristics associated with the profession and one or more disciplines, the role they perform may vary based on more tactical business-driven requirements from their organization or work activity. Some of these roles are described below.

2.3.1 Business Analyst

The IT Architect may lead and coordinate activities to understand a client's business problem and translate them into requirements that can be implemented and verified.

2.3.2 Methodologist

In this role the IT Architect leads customers in selecting, employing, and influencing the use of appropriate methods and design tools to achieve the desired business and technical results.

2.3.3 Project Advisor

The IT Architect may also lead project technical teams in ensuring that the business vision is free of architectural errors, and observing the deployed system to harvest lessons for future projects.

2.3.4 Solutions Designer

In this role the IT Architect analyzes a customer's business and IT challenges and designs a comprehensive solution that integrates smoothly into the customer's environment, and is checked carefully for reliability, availability, and scalability.

2.3.5 Technology Advisor

The IT Architect may also lead architectural engagements in promoting the cause of technology, and of specific technologies, in order to achieve buy-in from the enterprise's management and IT communities, seeking to create new opportunities and business relationships.

3. CONFORMANCE REQUIREMENTS (NORMATIVE)

The Conformance Requirements for a Certified Architect are broken down as follows:

- Core Foundation skills
- Discipline skills
- Experience requirements

Requirements that are stated as applying to Certified Architects apply equally to Candidates for certification and *vice versa*.

3.1 Skill Levels

For the Core Foundation skills and Discipline skills, Candidates must meet or exceed the minimum skill level defined for each of the skills.

Skill levels are defined as follows:

Table 1: Skill Levels and Proficiency Ratings

Skill Level	Proficiency	Experience
Limited	Limited or no knowledge	None
General	General conceptual knowledge only	Limited – read about it, some education
Applied	Applied knowledge	Performs with supervision or mentoring
Deep	In-depth knowledge	Mastered the current state-of-the-art and is able to perform without supervision
Expert	Expert knowledge	Advances the state-of-the-art

3.2 Core Foundation Skills

The following is a list of the Core Foundation skills for the Program. Core Foundation skills are also referred to as *framework skills* or *foundation skills*.

The Core Foundation skills are categorized into People skills, Project Management skills, and Architecture skills.

The Candidate must be able to document that they have demonstrated these skills at the required level (or higher) repeatedly and successfully.

Table 2: Core Foundation Skills

Ref	Category	Skill	Description	Required Skill Level: Level 1	Required Skill Level: Level 2
CFS01	People	Apply Communication Skills	<p>Demonstrate good written communications, including the use of proper grammar, spelling, document organization, clarity, and use of content appropriate for the audience.</p> <p>Demonstrate good verbal communications, including strong eye contact (where culturally appropriate), responsiveness to questions, ability to stay on subject, use of good feedback, and follow-up questions, etc., so that effective two-way communications is demonstrated.</p>	Applied	Deep
CFS02	People	Lead Individuals & Teams	Given a scope of architectural work to be accomplished, plan the work, form a team to perform the work, and guide the team in performing the work to completion.	Applied	Deep
CFS03	People	Perform Conflict Resolution	Mediate opposing viewpoints and negotiate equitable solutions to ensure successful and stable outcomes.	General	Applied
CFS04	Project Management	Manage Architectural Elements of an IT Project Plan	Given a project plan, identify those elements of the plan that put the integrity of the architectural elements at risk and manage those elements through to the agreement by the client/project manager that the project has been successfully completed.	Applied	Deep

Ref	Category	Skill	Description	Required Skill Level: Level 1	Required Skill Level: Level 2
CFS05	Business	Understand Business Aspects	Understand the stakeholders' business needs and how they relate to their business and mission.	Applied	Applied
CFS06	Architecture	Develop IT Architecture	Given one or more business requirements, create the structures of a solution that can be validated to meet those requirements.	Applied	Deep
CFS07	Architecture	Use Modeling Techniques	Use modeling techniques – such as use case, scenario modeling, prototyping, benchmarking, and performance modeling – to describe the problem space, to size the solution and to validate that the proposed architecture addresses the business requirements.	Applied	Deep
CFS08	Architecture	Perform Technical Solution Assessments	Given a technical solution and the underlying business requirements that drove its development, assess the technical integrity and risks inherent in that solution in such a way that the recommendations and findings are appropriate and implementable.	Applied	Deep
CFS09	Architecture	Apply IT Standards	Given project requirements that call for or would benefit from the use of standards, establish, implement, and enforce appropriate standards in the creation and implementation of the solution to meet those requirements.	Applied	Deep

Ref	Category	Skill	Description	Required Skill Level: Level 1	Required Skill Level: Level 2
CFS10	Architecture	Establish Technical Vision	Given requirements and a list of stakeholders, identify approaches, tools, techniques, and technologies to meet the requirements, and explain the present and future rationale so that stakeholders accept the choices and agree with the rationale.	Applied	Deep
CFS11	Architecture	Use of Techniques	Given an architectural question, use and apply various techniques, such as data collection, data analysis, hypothesis, and solution formulation, to produce a supportable answer to the question.	Applied	Deep
CFS12	Architecture	Apply Methods	<p>Given a work effort, adapt, apply, and enforce the use of a method that meets the method recognition criteria in Section 6 of the Conformance Requirements to successfully create architectural work products that meet the requirements of the work effort.</p> <p>Demonstrated ability to follow a recognized method ensures repeatability of delivery and success.</p> <p>Candidates are not required to have used more than one recognized method.</p>	Applied	Deep
CFS13	Architecture	Define Solution to Functional and Non-Functional Requirements	Given the functional and non-functional requirements, define a solution that meets the stated requirements using the Organization's and industry standard procedures and tools.	Applied	Deep

Ref	Category	Skill	Description	Required Skill Level: Level 1	Required Skill Level: Level 2
CFS14	Architecture	Manage Stakeholder Requirements	Given approved business goals, objectives, and constraints, document, clarify, refine, detail, and prioritize functional and non-functional requirements.	Applied	Deep
CFS15	Architecture	Establish Architectural Decisions	Determine, document, and communicate architectural decisions to support and rationalize the design of the solution.	Applied	Deep
CFS16	Architecture	Validate Conformance of the Solution to the Architecture	Given a set of requirements, define and execute strategies and plans for ensuring and demonstrating that the solution satisfies the documented architecture.	Applied	Deep
CFS17	Architecture	Perform as Technology Advisor	Maintain IT industry knowledge to advise on technical trends and techniques and apply them to the development of solution designs.	Applied	Deep

3.3 Discipline Skills

No Discipline skills are defined in this version of the Program.

3.4 Experience Criteria

Certified Architects must be able to demonstrate that they have at least the following experience:

Table 3: Experience Criteria

Experience Category	Requirement: Level 1	Requirement: Level 2	How Documented by the Candidate for Initial Certification at Each Level
<p>EC01 Experience Producing Architectures</p>	<p>At least two (2) years' experience developing IT architectures with supervision; for example, through mentoring. Two years of experience developing IT architectures means 24 months of full-time equivalent engagement with the architectural aspects of one or more projects or engagements.</p> <p>Guidance to Candidates: The Program is intended to recognize those individuals that possess both the required skills and a level of experience that suggests that they are capable of successfully contributing to IT architecture projects.</p> <p>Candidates for Level 1 Certification (Certified IT Architect) are expected to have the ability to produce architectures with occasional assistance from more experienced IT Architects (e.g., Master or Distinguished Level IT Architects).</p>	<p>At least three (3) years of experience producing IT architectures. Three years of experience producing IT architectures means 36 months of full-time equivalent engagement with, and accountability for, the architectural aspects of one or more projects or engagements.</p> <p>Guidance to Candidates: The Program is intended to recognize those individuals that possess both the required skills and a level of experience that demonstrates that they have mastered the ability to successfully produce IT architectures.</p> <p>Candidates for Level 2 Certification (Master Certified IT Architect) are expected to have taken responsibility for producing successful IT architectures with occasional assistance from less experienced IT Architects where appropriate.</p>	<p>Application Package must contain a list of their experiences with start and end dates of involvement.</p> <p>Candidates should endeavor to provide references who can validate their participation in listed experiences.</p> <p>For direct certification, references may be customers/clients or Master Certified IT Architects who are not the Candidate's immediate manager.</p> <p>For indirect certification, references may be managers, customers/clients, or Master Certified IT Architects.</p> <p>Reference may be made to the projects in the Experience Profiles (described below).</p>

Experience Category	Requirement: Level 1	Requirement: Level 2	How Documented by the Candidate for Initial Certification at Each Level
<p>EC02 Breadth of Architectural Experience</p>	<p>Experience producing IT architectures which:</p> <ul style="list-style-type: none"> • Involve the application and integration of <i>different</i> products, technologies, and services from either the enterprise or solution perspective, and which: • Encompass both functional and non-functional components <i>within different elements of IT architecture</i> (Business, Application, Infrastructure, Information) <p>Guidance to Candidates: A Certified IT Architect has a variety of IT architecture experience and contributes to the development of correct and complete solutions to business problems.</p>	<p>Experience architecting IT solutions which:</p> <ul style="list-style-type: none"> • Involve the application and integration of <i>a broad variety</i> of products, technologies, and services from either the enterprise or solution perspective • Encompass both functional and non-functional components <i>across multiple elements of IT architecture in each project</i> (Business, Application, Infrastructure, Information) <p>Guidance to Candidates: A Master Certified IT Architect has experience integrating multiple elements of IT architecture to enable the development of correct and complete solutions to business problems.</p>	<p>Application Package must include a set of Experience Profiles, each of which demonstrates that the Candidate satisfies the stated criteria.</p> <p>Reference may be made to sections within the Experience Profiles, or the Candidate may provide a detailed description of a work effort that demonstrates compliance with this criterion.</p>

Experience Category	Requirement: Level 1	Requirement: Level 2	How Documented by the Candidate for Initial Certification at Each Level
EC03 Experience with different types of technologies and architectures	Experience working with more than one hardware and software platform. Guidance to Candidates: A Certified IT Architect has had exposure working with different software and hardware platforms. Through this experience, a Certified IT Architect can effectively make the decisions that most appropriately satisfy requirements and mitigate risk to the project.	Experience with multiple types of systems and application architectures, and multiple hardware and software platforms. Guidance to Candidates: A Master Certified IT Architect has had exposure working with different systems and application architectures. Through this experience, a Master Certified IT Architect can effectively make the decisions that most appropriately satisfy requirements and mitigate risk to the project.	The Application Package must contain a list of the types of systems, applications, hardware, and software platforms that the Candidate has worked with. Reference may be made to sections within the Experience Profiles, or the Candidate may provide a detailed description of a work effort that demonstrates compliance with this criterion.
EC04 Application of Methods	The criteria described in EC04 in Version 2.1, and previous versions, has been consolidated into CFS12.		
EC05	The criteria described in EC05 in Version 1.2 of this document are covered elsewhere in this version – see Section 4.1.		
EC06 Full Lifecycle Involvement	Not Applicable to this level of certification. Guidance to Candidates: A Certified IT Architect is expected to gain full lifecycle experience subsequent to their certification, as they work towards achieving Master Certification.	The Candidate must have been responsible for the architecture definition activity of a project or engagement across the full lifecycle appropriate to that project or engagement, and must have been involved as an IT Architect, or in some other capacity working with others, to ensure the architecture has been realized. Participation in each phase of the lifecycle need not be as lead IT Architect. Guidance to Candidates: A Master Certified IT Architect is expected to have had full lifecycle experience.	The Application Package must identify one project or work effort in which the Candidate has performed architectural work across the full lifecycle from inception through to deployment. Reference may be made to sections within the Experience Profiles, or the Candidate may provide a detailed description of a work effort that demonstrates compliance with this criterion.

Experience Category	Requirement: Level 1	Requirement: Level 2	How Documented by the Candidate for Initial Certification at Each Level
EC07 Industry Knowledge	Demonstrate awareness of one or more industry sectors including the business, legal, and regulatory context. Guidance to Candidates: Certified IT Architects need to have up-to-date and relevant knowledge of the industry sectors in which they work.	Demonstrate expertise in one or more industry sectors, including the business, legal, and regulatory context. Guidance to Candidates: Master Certified IT Architects need to have broad, up-to-date, and relevant expertise in the industry sectors in which they work, and must have applied that knowledge.	Candidates must provide a written description of the activities through which they have acquired their industry sector knowledge. Reference may be made to sections within the Experience Profiles, or the Candidate may provide a detailed description of a work effort that demonstrates compliance with this criterion.
EC08 Knowledge of IT Trends	Demonstrate awareness of the significant trends in the IT domain. Guidance to Candidates: A Certified IT Architect needs to be aware of current significant market and technology trends.	Demonstrate knowledge of the significant trends in the IT domain. Guidance to Candidates: Master Certified IT Architects need to be aware of current significant market and technology trends and possess the ability to apply trends to architectural decisions.	Candidates must provide a written description of the activities through which they have acquired their knowledge of market and technology trends. Reference may be made to sections within the Experience Profiles, or the Candidate may provide a detailed description of a work effort that demonstrates compliance with this criterion. Experience Profiles should describe how industry sector knowledge has been deployed.

3.5 Professional Development

Ref	Description	Requirement: Level 1	Requirement: Level 2
PD01	Training in the design and engineering of IT architectures	Attendance at a taught course, or through self-study	Attendance at a taught course, or through self-study
PD02	Knowledge of the technology, trends, and techniques in the IT industry	Candidates are required to develop and maintain their knowledge of the technology, trends, and techniques in the IT industry.	Candidates are required to maintain their knowledge of the technology, trends, and techniques in the IT industry.

Ref	Description	Requirement: Level 1	Requirement: Level 2
PD03	Vertical industry knowledge (e.g., telecoms, financial, etc.)	Candidates are required to develop and maintain an understanding of the client's business as it pertains to the client's vertical industry (e.g., telecoms, financial, etc.). Candidates should endeavor to sustain this learning process during the time they are engaged with a client or produce architectures that are industry specific.	Candidates are required to maintain an understanding of the client's business as it pertains to the client's vertical industry (e.g., telecoms, financial, etc.). Candidates should be aware of the latest trends and techniques that may influence IT architectures for their customers within industry verticals. Candidates should endeavor to sustain this learning process during the time they are engaged with a client or produce architectures that are industry specific.
PD04	Skills and knowledge in IT architecture	Candidates must continually develop their skills and knowledge in IT architecture.	Candidates must continually develop their skills and knowledge in IT architecture.

3.6 Contributions to the IT Architect Community

Ref	Description	Requirement: Level 1	Requirement: Level 2
CC01	Contributions to the IT architecture profession	No Requirement	Candidates must make contributions to the IT architecture profession; for example, mentoring, publications, teaching, research collaboration, or participation in professional organizations.
CC02	Contribution to the IT architecture community	No Requirement	As part of their contribution to the community, Master Certified IT Architects are expected to be available to serve from time to time on Direct Certification Boards at the request of the Certification Authority. Such participation will be evaluated positively at re-certification.

Evidence of contribution to the community will be required to be documented in the Certification Package.

4. APPLICATION FOR CERTIFICATION

When applying for initial certification, or for certification at a new (higher) level, Candidates are required to create a Certification Package.

For *direct* certification, applications must be made using The Open Group Certification Package template and web site.

For *indirect* certification, applications must be made using the templates, forms, and processes of the Accredited Certification Program (ACP). The information required by an ACP may be a superset of The Open Group Certification Package template in order to support the extended requirements of an ACP.

In either case, the Certification Package will be made up of one or more templates that the Candidate will use to document how they meet the Core Foundation Skills and Experience Criteria described in this document. The Certification Package will also contain at least three (3) Experience Profiles, which will be the primary means by which a Candidate will demonstrate their experience.

4.1 Experience Profiles

An Experience Profile is a coherent written description of a project or architectural engagement (for example, enterprise architecture, solution architecture, or architectural framework) that provides a Candidate with the opportunity to show how they perform as an IT Architect, and enables a Certification Board to understand and question the Candidate's thought processes and decisions.

Candidates for Level 1 IT Architect Certification must provide two (2) Experience Profiles and candidates for Level 2 Master IT Architect Certification must provide three (3) Experience Profiles.

Each Experience Profile must describe a project undertaken within the eight (8) years preceding an application, at least one of which must have been undertaken in the last three (3) years. Projects over two (2) years long may be used for multiple Experience Profiles under either of the following conditions:

- **The project had clearly-defined work efforts which took place in parallel, each with their own solution development and design activities and their own deliverables.**
- **The project had clearly-defined phases that were executed in succession, each with its own solution development and design activities and deliverables. Note that a second project phase that constructs and implements the solution developed by the first phase does not meet this requirement.**

In either case, each profiled project entity must meet all of the Experience Profile criteria defined in Table 4 below.

Each Experience Profile must include:

- A description of the business purpose of the project
- A concise description of the project
- The Candidate's role
- The Candidate's period of involvement

Table 4 defines the attributes that must be present within Experience Profiles for the three levels of certification, and against which the Experience Profiles will be evaluated.

Table 4: Required Attributes for Experience Profiles

Ref	Experience Profile Attribute	Description: Level 1	Description: Level 2
EXP01	Experience with Strategy/Design/Implementation aspects of Solution	Experience must include the understanding and appreciation of the solution lifecycle from strategy, design, and implementation through to production, enabling the IT Architect to produce solution designs that are successful.	Experience must include the understanding and appreciation of the solution lifecycle from strategy, design, and implementation through to completion, enabling the IT Architect to produce solution designs that are successful.
EXP02	Key Decisions Made	Experience Profiles must contain a summary of the key architectural decisions made by the Candidate, the reasons for the decisions, and the alternatives that were considered.	Experience Profiles must contain a summary of the key architectural decisions made by the Candidate, the reasons for the decisions, and the alternatives that were considered.
EXP03	Demonstrated Architectural Capability	Produce architectures for elements of a solution that are relevant to the success of the project or activity.	Design sufficiently complex, challenging, and relevant architectures.
EXP04	Broad Technical Experience	Candidates must possess an evolving set of technical and architectural experiences obtained during the design, development, and deployment of key components on more than one software or hardware platform.	Candidates must have a broad set of technical and architectural experiences obtained during the design, development, and deployment of applications or systems on different platforms (software or hardware).
EXP05	Application of Tools and Methods	Demonstrated use of design/architecture methods and tools.	Demonstrated use of design/architecture methods and tools.

Ref	Experience Profile Attribute	Description: Level 1	Description: Level 2
EXP06	Demonstrated Success	<p>Candidates must have acted in the role of IT Architect of at least two (2) successful architectural engagements or projects.</p> <p>The architectural artifacts produced by the Candidate must have been utilized in the implementation of the component or solution.</p>	<p>Candidates must have acted in the role of IT Architect of at least three (3) successful architectural engagements.</p> <p>At least two (2) of the three engagements must have been in connection with projects that met their acceptance criteria, or, in the case of an architectural framework, successfully adopted. (An architectural engagement may be an enterprise architecture, solution architecture, or architectural framework.)</p>
EXP07	Perform as a Lead IT Architect	Not Applicable	Performed as a Lead IT Architect in the development of a major project or subsystem.

4.2 Evaluation Process

The Evaluation shall be conducted through a combination of audit of written documentation and a Certification Board interview. All applications must be readable, complete, and consistent.

For *direct* certification, applications must be made using The Open Group Certification Package template and web site.

For *indirect* certification, applications must be made using the templates and forms provided by the Accredited Certification Program (ACP). The information required by an ACP may be a superset of The Open Group Certification Package template in order to support the extended requirements of an ACP.

4.2.1 Evaluation of Core Foundation Skills

The Candidate must supply a written self-assessment of the level of their Core Foundation skills as listed in Section 3.2.

Candidates must be able to substantiate their self-assessment at a Certification Board interview.

A claim of “Expert” skill level must be accompanied by written justification and the Candidate must substantiate the claim at a Certification Board interview.

4.2.2 Evaluation of Discipline Skills

Disciplines are not addressed in this version of the Conformance Requirements document, but disciplines will be introduced in a subsequent version.

4.2.3 Evaluation of Experience Profiles

Candidates must provide evidence supporting their claim of meeting Experience Conformance Requirements.

Candidates must also submit three (3) Experience Profiles that document the Candidate's role in the development of an IT architecture that addresses the stated business problem. Each of the submitted Experience Profiles must include specific reference to the Experience Conformance Requirements listed in Section 3.4 and must meet the attributes defined in Table 4.

Candidates must be able to describe their roles and substantiate their claims at a Certification Board interview.

4.2.4 Evaluation of Professional Development

Candidates must provide a written description of their training or self-study in the design and engineering of IT architectures.

To demonstrate maintenance of their IT and vertical industry knowledge and to demonstrate their development of skills and knowledge in IT architecture, Candidates are required to provide a written description of the activities they undertake to these ends.

Examples of qualifying activities are conference attendance, personal reading, formal education, being mentored, attending training courses, and/or related professional memberships.

4.2.5 Evaluation of Contributions to the IT Architect Community

Candidates must provide a written description of their contributions to the IT architecture community.

5. APPLICATION FOR RE-CERTIFICATION

Although compliance with the applicable skill requirements continues at all times to be a Conformance Requirement of the Program, Candidates for re-certification are not required to demonstrate their continued compliance to the applicable skill requirements when re-certifying.

Candidates for re-certification must supply sufficient information to assure the Certification Authority and the Certification Board members that the applicable Conformance Requirements continue to be met and that they have continued to practice as an IT Architect since their initial certification or last re-certification.

When applying for re-certification, Candidates are required to create and submit a Re-Certification Package.

For *direct* re-certification, applications must be made using The Open Group's Re-Certification Package template and web site.

For *indirect* re-certification, applications must be made using the templates and forms provided by the Accredited Certification Program (ACP). The information required by an ACP may be a superset of The Open Group Re-Certification Package template in order to support the extended requirements of an ACP.

In either case, the Re-Certification Package will be made up of one or more templates that the Candidate will use to document how they have continued to practice as an IT Architect since the initial certification or since the previous re-certification, as applicable. Evidence will also be required of continued Professional Development (PD02, PD03, PD04) and Community Contribution (CC01, CC02).

5.1 Evaluation Process

The Evaluation shall be conducted through a combination of audit of written documentation and a Certification Board interview. All applications must be readable, complete, and consistent.

6. RECOGNITION REQUIREMENTS FOR METHODS

Methods are evaluated and accepted as part of the certification process. The Certification Authority will maintain and make available a list of recognized methods that may be cited by certification Candidates.

Candidates for certification may also cite methods that are not listed, in which case the method will be evaluated for recognition and inclusion in the list of recognized methods.

Methods may be submitted for recognition with an application for direct certification, or by an Accredited Certification Program (ACP) either at the time of accreditation or subsequently.

ACPs are also able to evaluate methods against the Recognition Requirements and submit them to the Certification Authority for inclusion in the Accreditation Register.

Characteristic	Explanation	How Demonstrated
Relevance	The method must be meaningfully applicable to the domain of IT architecture.	Value proposition of the method and summary of approach.
Efficacy	The method must be demonstrably successful in practice. Successful means two things: <ol style="list-style-type: none"> 1. When used correctly, the method routinely has the effects it claims to provide. 2. The results satisfy the needs of the method's constituencies. 	End-user/customer testimonials or fully worked (possibly anonymous) examples.
Active User Community	The method must have a current active community of users; historically significant but disused methods are not of interest.	User rosters and community statistics, random surveys of users, or proof of community events.
Well-Formed	The method must have explicitly defined inputs, participants, roles, process steps, outputs, results, and deliverables.	Documentation example.
Documented	The method must be well-documented and subject to consistent interpretation. This documentation comprises at least a specification of the method's deliverables or results, and the process by which they are created. These specifications should be expressed with some rigor and detail.	Copy of documentation.
Training Available	The method must be supported by self-paced or instructor-led training to a published, common curriculum.	Examples of training materials or random surveys of instructors and students.
Supporting Collateral	The method must be supported by collateral materials for use by practitioners. These materials might include, for example, templates, tools, examples, and best practice recommendations.	Examples of supporting collateral.

Characteristic	Explanation	How Demonstrated
Managed	The method must have a defined process for feedback from practitioners and the maintenance and revision of the above materials (community, documentation, training, collateral).	Process definition. Identification of responsible parties.

7. ANNEX 1: RECOGNITION OF OTHER QUALIFICATIONS

7.1 Introduction

7.1.1 Purpose of Document

The purpose of this Annex to the Open CA Conformance Requirements is to document the decisions of the Open CA Specification Authority concerning recognition of other qualifications.

The purpose of recognition of other qualifications is to enable people with these qualifications to be given “credit” for what they have already achieved when applying for Open CA certification.

7.1.2 Change History

Version	Date	Status	Comment
0.1	12 August 2010	Draft	First version covering Microsoft MCA Infrastructure Architect and Solution Architect.
1.0	31 August 2010	For Company Review	Minor edits for clarity.

7.2 Microsoft MCA

Qualifications: Microsoft MCA Infrastructure Architect and Microsoft MCA Solution Architect. These two qualifications differ only in areas that are not common with Open CA, therefore only a single mapping has been performed, and applies to both the MCA Infrastructure Architect and Solution Architect qualifications.

Mapping Levels: The qualifications are mapped against Open CA Level 2 only.

7.2.1 Mapping to Open CA Criteria

For each of the underlying components of the Microsoft criteria, a mapping was performed against the Open CA requirements. Each Open CA area was determined as being:

- Fully met – no additional information needs to be provided by the Candidate.
- Fully met for one (1) project – additional examples need to be provided up to the limit of expectation expressed in the Open CA criteria.
- Not met – the Open CA criteria needs to be addressed by the Candidate.

7.2.1.1 Mapping of Core Foundation Skills at Level 2

Ref	Area	Skill	Level	Requirement Mapping
CFS01	CFS: People	Apply Communication Skills	Deep	Fully met
CFS02	CFS: People	Lead Individuals and Teams	Deep	Fully met
CFS03	CFS: People	Perform Conflict Resolution	Applied	Fully met

Ref	Area	Skill	Level	Requirement Mapping
CFS04	CFS: Project Management	Manage Architectural Elements of an IT Project Plan	Deep	Fully met
CFS05	CFS: Business	Understand Business Aspects	Applied	Fully met
CFS06	CFS: Architecture	Develop IT Architecture	Deep	Fully met
CFS07	CFS: Architecture	Use Modeling Techniques	Deep	Not met
CFS08	CFS: Architecture	Perform Technical Solution Assessments	Deep	Not met
CFS09	CFS: Architecture	Apply IT Standards	Deep	Fully met
CFS10	CFS: Architecture	Establish Technical Vision	Deep	Not met
CFS11	CFS: Architecture	Use of Techniques	Deep	Not met
CFS12	CFS: Architecture	Apply Methods	Deep	Not met
CFS13	CFS: Architecture	Define Solution to Functional and Non-functional Requirements	Deep	Fully met
CFS14	CFS: Architecture	Manage Stakeholder Requirements	Deep	Fully met
CFS15	CFS: Architecture	Establish Architectural Decisions	Deep	Fully met
CFS16	CFS: Architecture	Validate Conformance of the Solution to the Architecture	Deep	Fully met
CFS17	CFS: Architecture	Perform as Technology Advisor	Deep	Not met

7.2.1.2 Mapping of Experience Criteria at Level 2

Ref	Experience	Description	Requirement Mapping
EC01	Experience Producing Architectures	At least three (3) years' experience producing IT architectures.	Fully met
EC02	Breadth of Architectural Experience	Experience architecting IT solutions which involve the application and integration of <i>a broad variety</i> of products, technologies, and services from either the enterprise or solution perspective, and which encompass both functional and non-functional components <i>across multiple elements of IT architecture in each project</i> (Business, Application, Infrastructure, Information).	Not met
EC03	Experience with Different Types of Technologies and Architectures	Experience with multiple types of systems and application architectures, and multiple hardware and software platforms.	Fully met
EC04	No requirement from Version 2.2 onwards,		N/A
EC05	No requirement from Version 2.0 onwards.		N/A

Ref	Experience	Description	Requirement Mapping
EC06	Full Lifecycle Involvement	The Candidate must have been responsible for the architecture definition activity of a project or engagement across the full lifecycle appropriate to that project or engagement, and must have been involved as an IT Architect, or in some other capacity working with others, to ensure the architecture has been realized. Participation in each phase of the lifecycle need not be as lead IT Architect.	Fully met
EC07	Industry Knowledge	Demonstrate expertise in one or more industry sectors, including the business, legal, and regulatory context.	Fully met
EC08	Knowledge of IT Trends	Demonstrate knowledge of the significant trends in the IT domain.	Fully met

7.2.1.3 *Mapping of Professional Development Criteria at Level 2*

Ref	Requirement	Description	Requirement Mapping
PD01	Training in the design and engineering of IT architectures	Attendance at a taught course, or through self-study.	Not met
PD02	Knowledge of the technology, trends, and techniques in the IT industry	Candidates are required to maintain their knowledge of the technology, trends, and techniques in the IT industry.	Fully met
PD03	Vertical industry knowledge (e.g., telecoms, financial, etc.)	Candidates are required to maintain an understanding of the client's business as it pertains to the client's vertical industry (e.g., telecoms, financial, etc.). Candidates should be aware of the latest trends and techniques that may influence IT architectures for their customers within industry verticals. Candidates should endeavor to sustain this learning process during the time they are engaged with a client or produce architectures that are industry-specific.	Fully met
PD04	Skills and knowledge in IT architecture	Candidates must continually develop their skills and knowledge in IT architecture.	Not met

7.2.1.4 Mapping of Community Contribution Criteria at Level 2

Ref	Requirement	Description	Requirement Mapping
CC01	Contributions to the IT architecture profession	Candidates must make contributions to the IT architecture profession; for example, mentoring, publications, teaching, research collaboration, or participation in professional organizations.	Fully met
CC02	Contribution to the IT architecture community	As part of their contribution to the community, Master Certified IT Architects are expected to be available to serve from time to time on Direct Certification Boards at the request of the Certification Authority. Such participation will be evaluated positively at re-certification.	N/A

7.2.1.5 Mapping of Attributes of Experience Profiles at Level 2

Ref	Requirement	Description	Requirement Mapping
EXP01	Experience with Strategy/Design/Implementation aspects of Solution	Experience must include the understanding and appreciation of the solution lifecycle from strategy, design, and implementation through to completion, enabling the IT Architect to produce solution designs that are successful.	Fully met for 1 project
EXP02	Key Decisions Made	Experience Profiles must contain a summary of the key architectural decisions made by the Candidate, the reasons for the decisions, and the alternatives that were considered.	Fully met for 1 project
EXP03	Demonstrated Architectural Capability	Design sufficiently complex, challenging, and relevant architectures.	Fully met for 1 project
EXP04	Broad Technical Experience	Candidates must have a broad set of technical and architectural experiences obtained during the design, development, and deployment of applications or systems on different platforms (software or hardware).	Fully met for 1 project
EXP05	Application of Tools and Methods	Demonstrated use of design/architecture methods and tools.	Fully met for 1 project

Ref	Requirement	Description	Requirement Mapping
EXP06	Demonstrated Success	Candidates must have acted in the role of IT Architect of at least three (3) successful architectural engagements. The architectural artifacts produced by the Candidate must have been utilized in the implementation of the component or solution. At least two (2) of the three engagements must have been in connection with projects that met their acceptance criteria, or, in the case of an architectural framework, were successfully adopted. (An architectural engagement may be an enterprise architecture, solution architecture, or architectural framework.)	Fully met for 1 project
EXP07	Perform as a Lead IT Architect	Performed as a Lead IT Architect in the development of a major project or subsystem.	Not met

7.2.2 Certification Requirement

In addition to a certificate of Microsoft MCA Certification as an Infrastructure Architect or Solutions Architect, Candidates are required to show compliance with the following criteria by completing the applicable Certification Package template.

7.2.2.1 Core Foundation Skills

Candidates are required to provide evidence demonstrating compliance with CFS07, CFS008, CFS10, CFS11, CFS12, and CFS17.

7.2.2.2 Experience Criteria

Candidates are required to provide evidence demonstrating compliance with EC01 and EC02.

7.2.2.3 Professional Development

Candidates are required to provide evidence demonstrating compliance with PD01 and PD04.

7.2.2.4 Community Contribution

No further evidence required.

7.2.2.5 Experience Profiles

Candidates are required in their Certification Package to provide two Experience Profiles demonstrating compliance with EXP01, EXP02, EXP03, EXP04, EXP05, EXP06, and EXP07.

7.2.3 Certification Process

Candidates with the Microsoft MCA Infrastructure Architect or Solution Architect qualification may prepare and submit applications for Open CA certification using the Certification Package template designed for this purpose that is available on the Certification Authority web site, along with a scanned copy of their Microsoft MCA certificate.

Candidates will then be evaluated by an Open CA Re-Certification Board as defined in Section 8.2 of the Certification Policy.

PART 2: Conformance Requirements for Level 3

1. INTRODUCTION TO PART 2

Part 2 defines the Conformance Requirements for Level 3 (Distinguished Architect).

1.1 Evaluation of Conformance

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

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

	Level 1	Level 2	Level 3
Initial Certification	Telephone interview by Certification Board	Interview by Certification Board (face-to-face for direct certification)	Interview by Certification Board (face-to-face for direct certification)
Re-Certification	No Interview	Telephone interview by Certification Board	Telephone interview by Certification Board

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.

1.2 Program Logo

IT 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 Architect or Distinguished Chief/Lead IT Architect or Distinguished Enterprise IT Architect or Distinguished IT Architect Profession Leader
Level 2	Master Architect
Level 1	Certified

1.3 Level 3 Career Path Categories

At Level 3 of the Program, three Career Paths Categories (CPCs) are defined:

- Chief/Lead IT Architect
Chief/Lead IT Architects have progressed beyond the Master IT Architect in terms of **leadership**, and the **scope, depth, and breadth of impact** that their work has had on the business of their

clients or employers, evidenced by the significance and complexity of their engagements. Chief/Lead IT Architects often support others and troubleshoot problem projects or engagements.

- Enterprise IT Architect

Enterprise IT Architects have progressed beyond the Master IT Architect also in terms of **leadership**, and the **scope, depth, and breadth of impact** that their work has had on the business of their clients or employers, and have demonstrated this in the realm of Enterprise Architecture and/or Enterprise IT Architecture.

- IT Architect Profession Leader

IT Architect Profession Leaders deliver **leadership**, and **scope, depth, and breadth of impact** on the business of their clients (internal or external) through the development and management of the IT and Enterprise Architect profession within their employers (or clients).

1.4 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.

Term	Definition
Accredited Certification Program (ACP)	An IT Architect certification program, operated by a third party, that has been assessed by The Open Group as meeting the requirements set out in the Accreditation Policy and which has been entered into the Accreditation Register. Depending on context, the term is also used to mean the company or organizational unit that operates an Accredited Certification Program.
Application Form	The form completed by the Candidate to apply for certification.
Candidate	The individual who is in the process of being certified.
Career Path Category (CPC)	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.
Certificate	The document made available to Candidates who have successfully completed the certification process and whose details have been entered into the Directory of Certified IT Architects.
Certification Agreement	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.
Certification Authority (CA)	The Organization that manages the day-to-day operations of the certification program – in this case The Open Group.
Certification Board	The group of subject matter experts appointed by the Certification Authority or by an Accredited Certification Program to assess applications for certification.

Term	Definition
Certification Package	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.
Certification Program Guide	The document that describes the processes for how a Candidate achieves certification. The Certification Program Guide is used in conjunction with the Certification Policy document. The 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.
Certification Record	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. The Certification Record of a Certified IT Architect is made available by the Certification Authority at the discretion of the Certified IT Architect.
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 IT Architect	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.
Conformance Requirements	A definition of the mandatory and optional criteria a person must meet in order to be eligible for certification.
Direct Certification	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. Direct certification is open to any Candidate, regardless of who they work for, or where in the world they live and work.
Directory of Certified IT Architects	The official list of all Certified IT Architects, which is maintained by the Certification Authority and made publicly available via the Internet.
Evaluation Process	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.
Evaluation Process Deficiency (EPD)	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.

Term	Definition
Indirect Certification	Indirect certification is achieved by applying to an Accredited Certification Program and successfully completing the certification process. To be eligible for certification by a particular Accredited Certification Program, Candidates must work for the Organization running the Accredited Certification Program.
Interpretation (INT)	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.
Problem Report (PR)	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.
Program Logo	The logo or other trademarks as designated from time to time by The Open Group for use within the Program in relation to Certified IT Architects. The Program Logo artwork contains a tag line that describes the level of certification achieved.
Specification Authority (SA)	The Open Group IT Architect Certification working group, or its successor, which is responsible for developing, maintaining, and interpreting the Conformance Requirements and Accreditation Requirements of the Program.
Trademark License Agreement (TMLA)	The agreement between the Certified IT Architect and The Open Group that contains the legal commitment by the Candidate to the conditions for use of the Program Logo.

1.5 Migration and Change History

This section details changes made to the Open CA Conformance Requirements for the Level 3 Career Path Categories, the content of which is reproduced here.

Chief/Lead IT Architect Career Path Category

This section details changes made to the Conformance Requirements for the Chief/Lead IT Architect Career Path Category (Doc. No. X072).

Version No.	Date	Change
1.0	November 2007	First publication.
1.0.1	July 2011	Supersedes Version 1.0. Contains cosmetic changes to Version 1.0 only for the change in program name.

Enterprise Architect Career Path Category

This section details changes made to the Conformance Requirements for the Enterprise Architect Career Path Category (Doc. No. X085).

Version No.	Date	Change
1.0	June 2008	First publication.
1.0.1	July 2011	Supersedes Version 1.0. Contains cosmetic changes to Version 1.0 only for the change in program name.

IT Architect Profession Leader Career Path Category

This section details changes made to the Conformance Requirements for the IT Architect Profession Leader Career Path Category (Doc. No. X086).

Version No.	Date	Change
1.0	June 2008	First publication.
1.0.1	July 2011	Supersedes Version 1.0. Contains cosmetic changes to Version 1.0 only for the change in program name.

2. CHIEF/LEAD IT ARCHITECT ROLES AND RESPONSIBILITIES (INFORMATIVE)

An IT Architect defines solutions to client business problems through the reasoned application of information technology.

Those solutions are documented as architectures and can include systems, applications, and process components. They may also involve the application and integration of a broad variety of products; technologies, and services; various systems and applications architectures; and diverse hardware and software components.

The role of the Chief/Lead IT Architect is:

- To initiate, business justify, and lead projects for the development of new and sufficiently complex components within the enterprise architecture in the areas of information, applications, and technology, in order to meet business objectives
- To establish an architectural framework that is the foundation for other systems across the organization and is essential for the proper execution and delivery of critical and strategic business systems
- To implement organizational-wide initiatives aimed at supporting the enablement of the IT Architect community through the development of tooling, education, or career enhancement

The Chief/Lead IT Architect is:

- An expert in the **understanding of architectural principles and their implications** to system design, securability, system extensibility and interoperability, costs, and operational considerations
- **A student of the profession** that is constantly learning and applying new techniques and technologies and seeks to design new innovative architectural solutions

What distinguishes IT Architects at Level 3 from those at Level 2 are **leadership, and scope, depth, and breadth of impact.**

2.1 Leadership

Leadership means **getting something done through other people.**

Leadership is not equivalent to management. Leadership requires the effective coordination of resources that are often not directly under the leader's control:

- A leader accepts the responsibility for the success of a project or organization and provides selfless giveback and support to ensure everyone's success.
- A leader recognizes the need to change, adapt, and innovate – and they find effective ways to communicate those needs to the organization.

In order to understand the meaning of architectural leadership it is necessary to understand that **any professional can be a leader.** Leadership is essential for all IT professionals who wish to progress in their careers.

Examples of leadership in a technical context are:

- Establishing and driving a **new architectural vision** or direction in order to adapt to changing business dynamics
- Developing a **new technical standard** or framework as part of a standards body
- Setting and maintaining the **direction** of a team of IT professionals to achieve a common goal
- Resolving a **complex technical problem** by developing new tooling or techniques
- Designing a new **innovative solution IT architecture** that changes the way an organization does business or establishes a new IT industry view or initiative
- Helping the organization to **recognize weak links in their technical strategy** and implementation in a way that helps to facilitate the organizations closure of gaps
- Facilitating the implementation of a **significant and complex architectural initiative** through other technical members of the organization – this is often accomplished through mentorship, enablement, and giveback
- Acting in the role of the **technical advocate** by [recommending] an innovative IT solution that changes the dynamics of the business environment; a technical advocate works with business leaders to consider strategic changes to the business – facilitates entry into new markets – and responds to changing market dynamics.
- Being seen as a **role model** by team members

2.2 Level 3 Architectural Leadership

The Conformance Requirements at Level 3 are focused on innovative technical leadership through the realization of an IT architecture-based initiative and the breadth of impact that a Candidate has had across their organization as well as within the industry. The Conformance Requirements are intended to measure a Candidate’s ability to successfully impact an organization’s mission and business strategy through their leadership of the development of innovative IT solutions and initiatives.

Level 3 Conformance Requirements require a Candidate to demonstrate significant architectural leadership evidenced in the use and application of IT architecture.

Architectural leadership for the Chief/Lead IT Architect is defined as leading the creation and realization of a sufficiently complex system or enterprise architecture that is:

- Critical to the business
- Significant and complex – non-trivial and meaningful to the business
- Innovative
- Recognized as essential across multiple organizations or multiple lines of business
- Visible to stakeholders including, for example, customers or business partners

3. CHIEF/LEAD IT ARCHITECT CONFORMANCE REQUIREMENTS (NORMATIVE)

The Conformance Requirements for a Certified IT Architect are broken down as follows:

- Core Foundation skills
- Experience requirements

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. To allow Level 3 certification for people who may have met the Level 2 requirements at some time in the past, the Level 2 time constraints are waived for combined Level 2/Level 3 applications.

3.1 Skill Levels

For the Core Foundation skills, Candidates must meet or exceed the minimum skill level defined for each of the skills.

Skill levels are defined as follows:

Table 5: Skill Levels and Proficiency Ratings

Skill Level	Proficiency	Experience
Limited	Limited or no knowledge	None
General	General conceptual knowledge only	Limited – read about it, some education
Applied	Applied knowledge	Performs with supervision or mentoring
Deep	In-depth knowledge	Mastered the current state-of-the-art and is able to perform without supervision
Expert	Expert knowledge	Advances the state-of-the-art, delivering greater business value realized through architectural innovation or application

3.2 Level 3 Scope and Definitions

Certification for Level 3 Chief/Lead IT Architect Career Path Category is focused on establishing the metrics to identify those Level 2 Certified IT Architects that have made valuable and recognizable contributions to their client’s business through the practice of IT architecture as a Chief/Lead IT Architect.

In addition, these individuals also work to evolve the practice of IT architecture as well as contribute to the growth of the IT architecture profession.

3.2.1 Definitions Specific to Level 3

A number of the Core Foundation skills refer to “significant” or “complex” contributions. These terms are defined below:

A **significant** contribution to a project is one that has a positive impact on the client’s business and that is recognized by the client’s business leadership.

Examples of impact are:

- A cross-organizational or cross-line of business engagement
- A substantial financial cost/benefit
- A troubled project turnaround saved by your ideas or efforts
- A high-risk project

A **complex** project or engagement is one or more of the following:

- System of systems integration
- Cross-organizational/business partner/multiple customer or multi-vendor coordination
- Alignment of IT systems to a new strategic business model
- Adoption of cutting-edge technologies
- A system of substantial scale as measured by the total number of components, the number of different kinds of components, and the complexity of the relationships between them

3.3 Level 3 Core Foundation Skills for Chief/Lead IT Architect

The Level 3 Core Foundation skills are categorized into Leadership skills, Project Management skills, People skills, Business skills, Architecture skills, and Governance skills.

The Candidate must be able to document that they have demonstrated these skills at the required level (or higher) repeatedly and successfully.

Table 6: Level 3 Core Foundation Skills –Chief/Lead IT Architect CPC

Reference	Category	Skill	Description	Required Skill Level
CFS.L3.01	Leadership	Collaborative Influence	Facilitate the implementation of an important business initiative by promoting teaming and cross-organizational participation.	Deep
CFS.L3.02	Leadership	Cross-organizational Leadership	Initiate, lead, and influence multi-disciplinary initiatives across organizational boundaries coordinating the activities necessary to succeed.	Deep

Reference	Category	Skill	Description	Required Skill Level
CFS.L3.03	Leadership	Risk Management	Guide an organization's strategy to recognize the weak links in their technical plans and implementation in a way that mitigates risk and facilitates the organization's closure of gaps.	Deep
CFS.L3.04	Leadership	Strategic Planning	Identify and drive strategic architectural decisions for an organization.	Deep
CFS.L3.05	Project Management	Cross-organizational Project Management	Experience in allocating project activities and architecture assignments to multiple teams or architects.	Deep
CFS.L3.06	People	Executive Communication	Demonstrate the ability to evangelize architectures and strategies to business executives and project leaders in order to gain stakeholder commitment.	Deep
CFS03	People	Perform Conflict Resolution	Mediate opposing viewpoints and negotiate equitable solutions to ensure successful and stable outcomes.	Deep
CFS.L3.07	Business	Understand Business Aspects	Champion the business stakeholders' requirements and align the IT implementation accordingly.	Deep
CFS.L3.08	Architecture	Stakeholder Advocate	Simultaneous advocate of multiple stakeholders' interests (business and IT).	Deep
CFS.L3.09	Architecture	Strategic Architectural Thinking	Apply architectural thinking to mission, strategy, and vision in [innovative] ways that deliver positive impact and results to the business.	Deep
CFS.L3.10	Architecture	Employ Modeling Techniques	Select, enhance, adapt, and use the proper modeling techniques necessary to realize a significantly complex architectural effort that delivers a strategic business initiative.	Deep
CFS.L3.11	Architecture	Perform Technical Solution Assessments	Ability to perform architectural assessment and provide remediation guidance for existing architectures or systems in crisis.	Deep
CFS.L3.12	Architecture	Technology Innovation	Provide break-through architectural thinking to the innovative application of information technology to deliver greater business value.	Deep

Reference	Category	Skill	Description	Required Skill Level
CFS.L3.13	Governance	Establish IT Governance	Establish, maintain, and evolve process and policies for IT governance for those programs or projects in which the architect is responsible.	Deep
CFS.L3.14	Governance	Assess architectures and implementations	Evaluate the relevance and currency of IT implementations and architectures in a changing business environment and in the context of enterprise and technology governance. Establish metrics for validating the conformance of a solution to an architecture.	Deep

3.4 Experience Criteria

Certified IT Architects must be able to demonstrate that they have at least the following experience:

Table 7: Experience Criteria

Experience Category	Level 3 Requirement	Documentation Requirements
EC.L3.01 Establish Architectural Vision	<p>Establish architectural vision for significantly complex enterprise (-wide) solution architectures.</p> <p>Guidance to Candidates: A Distinguished Chief/Lead IT Architect works to realize an architectural strategy across multiple systems or applications.</p> <p>Examples: Establish the logical architecture for a significantly complex engagement.</p>	<p>The Application Package must contain a list of the Candidate’s experiences with start and end dates of involvement.</p> <p>Candidates should endeavor to provide references which can validate their participation in listed experiences.</p> <p>For direct certification, references may be customers/clients (internal or external*) or Master Certified IT Architects or Distinguished IT Architects who are not the Candidate’s immediate manager.</p> <p>For indirect certification, references may be customers/clients (internal or external*) or Master Certified IT Architects and Distinguished IT Architects who are not the Candidate’s immediate manager.</p> <p>Reference may be made to the projects in the Experience Profiles (described below).</p> <p>* Internal clients who provide a reference must have a formal customer/client relationship defined; e.g., formal acceptance criteria for the</p>

Experience Category	Level 3 Requirement	Documentation Requirements
		work.
EC.L3.02 Demonstrate Strategic Leadership	<p>The Candidate must have anticipated, created, and defined innovative concepts in a strategic IT environment. The Candidate must have shown technical leadership in conducting strategic architectural projects or initiatives.</p> <p>Guidance to Candidates: A strategic IT environment results from the need to support a strategic business initiative.</p> <p>Technical leadership is leadership conducted in the context of information technology.</p>	<p>The Application Package must include a set of Experience Profiles, each of which demonstrates that the Candidate satisfies the stated criteria.</p> <p>Reference may be made to sections within the Experience Profiles, or the Candidate may provide a detailed description of a work effort that demonstrates compliance with this criterion.</p>
EC.L3.03 Demonstrate Business Impact	<p>The Candidate must have demonstrated positive significant impact on the business by leading significantly complex projects, applications, or system-of-systems architectures.</p> <p>Guidance to Candidates: A Distinguished Chief/Lead IT Architect has a recognized and measurable breadth of impact across an organization or enterprise.</p> <p>Examples: A Chief/Lead Distinguished IT Architect is accountable for business unit, major country, or international projects, customer engagements, or activities that are strategic to the organization's business.</p>	<p>The Application Package must demonstrate that the Candidate has successfully lead significantly complex projects that have had positive impact on the business. The Candidate must explain why the project was important to the business and how their involvement was essential to the success of the project. The Candidate must document the contributions that were directly attributed to their involvement.</p>
EC.L3.04 Establish Architectural Process, Policies, and Procedures	<p>The Candidate must have experience defining enterprise-wide architectural processes, policies, and procedures. This includes, but is not limited to, selecting and adapting the proper architectural methods, governance, and technical standards necessary to realize a strategic IT system.</p> <p>Guidance to Candidates: Demonstrated ability to impact the business by applying and extending architectural methods that facilitate the development of IT systems that solve</p>	<p>The Application Package must contain a list of experiences in each of which the Candidate has successfully established architectural processes, polices, procedures, or roadmaps.</p> <p>Reference may be made to sections within the Experience Profiles, or the Candidate may provide a detailed description of a work effort that demonstrates compliance with this criterion.</p>

Experience Category	Level 3 Requirement	Documentation Requirements
	<p>significant business problems.</p> <p>Architectural processes, policies, and procedures can be realized through architectural roadmaps.</p> <p>Examples:</p> <p>Experience establishing IT governance process and organization frameworks.</p> <p>Experience in the broader aspects of IT governance (not just project-level governance).</p> <p>Experience in applying IT governance frameworks that facilitate the alignment of business processes to IT function.</p> <p>Experience in the application of enterprise-wide IT standards and processes.</p>	

3.5 Professional Development

A certified Level 3 Candidate is expected to show continued growth and pursuit of knowledge and education in the field of IT architecture. A Candidate is required to show continued professional growth in each of the following categories.

Reference	Description	Conformance Criteria
PD.L3.01	Knowledge of the technology, trends, and techniques in the IT industry	Candidates are required to maintain their knowledge of the technology, trends, and techniques in the IT industry.
PD.L3.02	Vertical industry knowledge (e.g., telecoms, financial, etc.)	Candidates are required to maintain their vertical industry knowledge (e.g., telecoms, financial, etc.). Level 3 Candidates must show evidence of continuing education.
PD.L3.03	Skills and knowledge in IT architecture	Candidates must continually develop their skills and knowledge of the latest trends and techniques in IT and enterprise architecture.

3.6 Contributions to the IT Architect Community

The Candidate is expected to provide significant contributions in the following categories.

Reference	Description	Conformance Criteria
CC.L3.01	Contributions to the IT Architecture Profession	Candidates must make significant contributions to the IT architecture profession with the objective of promoting the growth of the profession itself. Guidance:

Reference	Description	Conformance Criteria
		<p>Candidates are expected to make visible contributions to the IT architecture community or the body of knowledge. For example, contributions to standards bodies or professional associations that seek to define innovative new architectural solutions, strategies, research, or technologies.</p> <p>As part of their contribution to the community, Certified Distinguished Chief/Lead IT Architects are expected to be available to serve from time to time on Level 2/3 Direct Certification Boards at the request of the Certification Authority. Such participation qualifies for contributions to the IT Architect profession.</p>
CC.L3.02	Profession Mentoring	<p>Actively facilitate the professional development of multiple aspiring IT Architects, especially those seeking architectural certification.</p> <p>Guidance:</p> <p>A Level 3 Certified IT Architect is expected to help grow the ranks of the IT Architect community. This is often referred to as <i>professional mentorship</i> or <i>mentoring</i>. Mentoring is the process in which an experienced architect works alongside a less experienced individual to impart their experience in order to help them grow professionally.</p>

Note: Evidence of contribution to the community will be required to be documented in the Certification Package.

4. APPLICATION FOR CERTIFICATION

When applying for initial certification, or for certification at a new (higher) level, Candidates are required to create a Certification Package.

For direct certification, applications must be made using The Open Group Certification Package template and web site. The web site is at www.opengroup.org/itac/cert and the Certification Package Templates are available at www.opengroup.org/itac/cert/docs.

For indirect certification, applications must be made using the templates, forms, and processes of the Accredited Certification Program (ACP). The information required by an ACP may be a superset of The Open Group Certification Package template in order to support the extended requirements of an ACP.

In either case, the Certification Package will be made up of one or more templates that the Candidate will use to document how they meet the Core Foundation Skills and Experience Criteria described in this document. The Certification Package will also contain at least three (3) Experience Profiles, which will be the primary means by which a Candidate will demonstrate their experience.

4.1 Conformance Criteria for Experience Profiles

An Experience Profile is a coherent written description of a project or architectural engagement (for example, enterprise architecture, solution architecture, or architectural framework) that provides a Candidate with the opportunity to show how they perform as an IT Architect, and enables a Certification Board to understand and question the Candidate's thought processes and decisions.

Candidates must provide three (3) Experience Profiles describing projects undertaken within the eight (8) years preceding a Candidates' application, at least one of which must have been undertaken in the last three (3) years. Projects over two (2) years long may be used for multiple Experience Profiles under either of the following conditions:

Condition 1: The project had clearly-defined work efforts which took place in parallel, each with their own solution development and design activities and their own deliverables.

Condition 2: The project had clearly-defined phases that were executed in succession, each with its own solution development and design activities and deliverables. Note that a second project phase that constructs and implements the solution developed by the first phase does not meet this requirement.

In either case, each profiled project entity must meet all of the Experience Profile criteria defined in Table 8 below.

Each Experience Profile must include:

- A description of the business purpose of the project
- A concise description of the project
- The Candidate's role
- The Candidate's period of involvement

Table 8 defines the attributes that must be present within Experience Profiles for the three levels of certification, and against which the Experience Profiles will be evaluated.

Table 8: Required Attributes for Experience Profiles

Reference	Experience Profile Attribute	Description: Level 3
EXP.L3.01	Leading a project of significant business value and impact	<p>A Distinguished Chief/Lead IT Architect has experience leading projects of significant business impact by directing the architectural strategy and design.</p> <p>Experience profiles must document projects or activities that resulted in visible positive business impact. Documented projects must have had significant business impact and meet the definition of significant and complex.</p> <p>Guidance to Candidates:</p> <p>The Candidate must have defined the vision, mission, and business case for a new business capability that was realized and supported through information technology. The Candidate must have been involved with at least the production of the logical architecture.</p> <p>The experience profile should identify the value of the business function (e.g., monetary value), the business opportunities realized that resulted from the strategy implemented, and the resulting architecture that was deployed.</p> <p>Examples:</p> <p>The Candidate understands, directs, and appropriately applies new industry initiatives and technologies.</p> <p>The Candidate worked with business leaders to align the organization’s IT strategy with the needs of the business.</p>
EXP.L3.02	Key Decisions and Contributions	<p>Candidates must explain their role and responsibility in a particular project. The Candidate is required to identify the key strategic decisions they made, their approach to the solution, their specific contributions (architectural artifacts and deliverables), and the outcome of the project.</p> <p>Guidance to Candidates:</p> <p>Candidates must document the architectural thinking and decisions that lead to their approach and architectural solution. The Candidate should document the alternatives that were considered and how they worked to mitigate the risk to their architectural decisions.</p>

Reference	Experience Profile Attribute	Description: Level 3
EXP.L3.03	Perform as a Chief/Lead IT Architect	Perform in the role of the Chief/Lead IT Architect responsible for the execution of a strategic engagement. Guidance to Candidates: Did the Candidate act in the role of the Chief/Lead IT Architect? A Candidate must be recognized as the Chief or Lead IT Architect by the organization that is responsible for funding the development of the IT system or program that is the object of the engagement.
EXP.L3.04	Demonstrated Success	Candidates must have acted in the role of the Chief/Lead IT Architect in at least three (3) successful strategic engagements. Guidance to Candidates: A strategic engagement is any business initiative, program, or engagement that is recognized as essential to an organization's business plan. The Candidate must have shown repeated success by the involvement in three successful strategic engagements.

4.2 Evaluation Process

The Evaluation shall be conducted through a combination of audit of written documentation and a Certification Board interview. All applications must be readable, complete, and consistent.

For direct certification, applications must be made using The Open Group Certification Package template and web site. The web site is at www.opengroup.org/itac/cert and the Certification Package Templates are available at www.opengroup.org/itac/cert/docs.

For indirect certification, applications must be made using the templates and forms provided by the Accredited Certification Program (ACP). The information required by an ACP may be a superset of The Open Group Certification Package template in order to support the extended requirements of an ACP.

4.2.1 Evaluation of Core Foundation Skills

The Candidate must supply a written self-assessment of the level of their Core Foundation skills as listed in Section 3.3.

Candidates must be able to substantiate their self-assessment at a Certification Board interview.

4.2.2 Evaluation of Experience Profiles

Candidates must provide evidence supporting their claim of meeting the Experience Conformance Requirements.

Candidates must also submit three (3) Experience Profiles that document the Candidate's role in the development of an IT architecture that addresses the stated business problem. Each of the submitted

Experience Profiles must include specific reference to the Experience Conformance Requirements listed in Section 3.4 and must meet the attributes defined in Table 8.

Candidates must be able to describe their roles and substantiate their claims at a Certification Board interview.

4.2.3 Evaluation of Professional Development

Candidates must provide a written description of their training or self-study in the design and engineering of IT architectures.

To demonstrate maintenance of their IT and vertical industry knowledge and to demonstrate their development of skills and knowledge in IT architecture, Candidates are required to provide a written description of the activities they undertake to these ends.

Examples of qualifying activities are conference attendance, personal reading, formal education, being mentored, attending training courses, and/or related professional memberships.

4.2.4 Evaluation of Contributions to the IT Architect Community

Candidates must provide a written description of their contributions to the IT architecture community.

5. APPLICATION FOR RE-CERTIFICATION

Although compliance with the applicable skill requirements continues at all times to be a Conformance Requirement of the Program, Candidates for re-certification are not required to demonstrate their continued compliance to the applicable skill requirements when re-certifying.

Candidates for re-certification must supply sufficient information to assure the Certification Authority and the Certification Board members that the applicable Conformance Requirements continue to be met and that they have continued to practice as an IT Architect since their initial certification or last re-certification.

When applying for re-certification, Candidates are required to create and submit a Re-Certification Package.

For direct re-certification, applications must be made using The Open Group Re-Certification Package template and web site. The web site is at www.opengroup.org/itac/cert and the Re-Certification Package Templates are available at www.opengroup.org/itac/cert/docs.

For indirect re-certification, applications must be made using the templates and forms provided by the Accredited Certification Program (ACP). The information required by an ACP may be a superset of The Open Group Re-Certification Package template in order to support the extended requirements of an ACP.

In either case, the Re-Certification Package will be made up of one or more templates that the Candidate will use to document how they have continued to practice as an IT Architect since the initial certification or since the previous re-certification, as applicable. Evidence will also be required of continued Professional Development (PD.L3.02, PD.L3.03, PD.L3.04) and Community Contribution (CC.L3.01, CC.L3.02.).

5.1 Evaluation Process

The Evaluation shall be conducted through a combination of audit of written documentation and Certification Board interviews. All applications must be readable, complete, and consistent.

6. ENTERPRISE IT ARCHITECT ROLES AND RESPONSIBILITIES (INFORMATIVE)

Enterprise Architecture is the description of the current and/or future structure and behavior of an organization's processes, information systems, personnel, and organizational sub-units, aligned with the organization's core goals and strategic direction. Although often associated strictly with information technology, it relates more broadly to the practice of business optimization in that it addresses business architecture, information architecture, performance management, organizational structure, and business process architecture as well.

The Level 3 Enterprise Architect Career Path Category is intended to apply to practicing and experienced Enterprise Architects.

The role of the Enterprise Architect is:

- To lead the creation and realization of sufficiently complex enterprise architectures
- To establish an architectural framework that is the foundation for other systems across the enterprise and is essential for the proper execution and delivery of critical and strategic business systems
- To implement enterprise-wide initiatives aimed at supporting the enablement of the Enterprise and IT Architect community through the development of tooling, education, or career enhancement

The Enterprise Architect is:

- An expert in the **understanding of architectural principles and their application** to business architecture, performance management, organizational structure, and process architecture as well as IT architectural aspects such as system design, security, cost, and operational considerations
- **A student of the profession** that is constantly learning and applying new techniques and technologies and seeking to design new innovative architectural solutions
- A contributor to the profession; by providing best practices and concepts to refine enterprise architecture methodologies, frameworks, and techniques based on practical experiences

What distinguishes Enterprise and IT Architects at Level 3 from those at Level 2 are **leadership, and scope, depth, and breadth of impact.**

6.1 Leadership

Leadership means **getting something done through other people.**

Leadership is not equivalent to management. Leadership requires the effective coordination of resources that are often not directly under the leader's control:

- A leader accepts the responsibility for the success of a project or organization and provides selfless giveback and support to ensure everyone's success.
- A leader recognizes the need to change, adapt, and innovate – and they find effective ways to communicate those needs to the organization.

In order to understand the meaning of architectural leadership it is necessary to understand that **any professional can be a leader**. Leadership is essential for all Enterprise and IT Architect professionals who wish to progress in their careers.

Examples of leadership in a technical context are:

- Establishing and driving a **new architectural vision** or direction in order to adapt to changing business dynamics
- Developing a **new technical standard** or framework as part of a standards body
- Setting and maintaining the **direction** of a team of IT professionals to achieve a common goal
- Resolving a **complex technical problem** by developing new tooling or techniques
- Implementing **innovative enterprise architecture concepts and strategies** that facilitate the way an organization does business or support a new IT industry view or initiative
- Helping the organization to **recognize weak links in their IT strategy** and implementation in a way that helps to facilitate the organization's closure of gaps
- Facilitating the implementation of a **significant and complex architectural initiative** through other technical members of the organization – this is often accomplished through mentorship, enablement, and giveback
- Acting in the role of the **technical advocate** by [recommending] an appropriate enterprise solution that changes the dynamics of the business environment; a technical advocate works with business leaders to consider strategic changes to the business, facilitates entry into new markets, and responds to changing market dynamics
- Being seen as a **role model** by team members

6.2 Level 3 Architectural Leadership

The Conformance Requirements at Level 3 are focused on innovative technical leadership through the realization of an enterprise architecture-based initiative and the breadth of impact that a Candidate has had across their organization as well as within the industry. The Conformance Requirements are intended to measure a Candidate's ability to successfully impact an organization's mission and business strategy through their leadership of the development of innovative business solutions and initiatives.

Level 3 Conformance Requirements require a Candidate to demonstrate significant architectural leadership evidenced in the use and application of enterprise architecture.

Architectural leadership for the Enterprise Architect is defined as leading the creation and realization of a sufficiently complex business system or enterprise architecture that is:

- Critical to the business
- Significant and complex – non-trivial and meaningful to the business
- Innovative
- Recognized as essential across multiple organizations or multiple lines of business
- Visible outside of the business or enterprise to customers or business partners

7. ENTERPRISE IT ARCHITECT CONFORMANCE REQUIREMENTS (NORMATIVE)

The Conformance Requirements for the Program are broken down as follows:

- Core Foundation skills
- Experience requirements

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. To allow Level 3 certification for people who may have met the Level 2 requirements at some time in the past, the Level 2 time constraints are waived for combined Level 2/Level 3 applications.

7.1 Skill Levels

For the Core Foundation skills, Candidates must meet or exceed the minimum skill level defined for each of the skills.

Skill levels are defined as follows:

Table 9: Skill Levels and Proficiency Ratings

Skill Level	Proficiency	Experience
Limited	Limited or no knowledge	None
General	General conceptual knowledge only	Limited – read about it, some education
Applied	Applied knowledge	Performs with supervision or mentoring
Deep	In-depth knowledge	Mastered the current state-of-the-art and is able to perform without supervision
Expert	Expert knowledge	Advances the state-of-the-art, delivering greater business value realized through architectural innovation or application

7.2 Level 3 Scope and Definitions

Certification for the Level 3 Enterprise IT Architect Career Path Category is focused on establishing the metrics to identify those Level 2 Certified IT Architects that have made valuable and recognizable contributions to their client’s business through the practice of business architecture as an Enterprise Architect.

In addition, these individuals also work to evolve the practice of enterprise architecture as well as contribute to the growth of the enterprise architecture profession.

7.2.1 Definitions Specific to Level 3

A number of the Core Foundation skills refer to “significant” or “complex” contributions. These terms are defined below:

A **significant** contribution to a project is one that has a positive impact on the client’s business and that is recognized by the client’s business leadership.

Examples of impact are:

- A cross-organizational or cross-line of business engagement
- A substantial financial cost/benefit
- A troubled project turnaround saved by your ideas or efforts
- A high-risk project

A **complex** project or engagement is one or more of the following:

- System of systems integration
- Cross-organizational/business partner/multiple customer or multi-vendor coordination
- Alignment of IT and business systems to a new strategic business model
- Adoption of cutting-edge technologies
- A system of substantial scale as measured by the total number of components, the number of different kinds of components, and the complexity of the relationships between them

7.3 Level 3 Core Foundation Skills for the Enterprise IT Architect

The Level 3 Core Foundation skills are categorized into Leadership skills, Project Management skills, People skills, Business skills, Architecture skills, and Governance skills.

The Candidate must be able to document that they have demonstrated these skills at the required level (or higher) repeatedly and successfully.

Table 10: Level 3 Core Foundation Skills – Enterprise IT Architect CPC

Reference	Category	Skill	Description	Required Skill Level
CFS.L3.01	Leadership	Collaborative Influence	Facilitate the implementation of an important business initiative by promoting teaming and cross-organizational participation.	Deep
CFS.L3.02	Leadership	Cross-organizational Leadership	Initiate, lead, and influence multi-disciplinary initiatives across organizational boundaries coordinating the activities necessary to succeed.	Deep

Reference	Category	Skill	Description	Required Skill Level
CFS.L3.03	Leadership	Risk Management	Guide an organization's strategy to recognize the weak links in their technical plans and implementation in a way that manages risk and facilitates the organization's closure of gaps.	Deep
CFS.L3.04	Leadership	Strategic Planning	Identify and drive strategic architectural decisions for an enterprise or organization.	Deep
CFS.L3.05	Project Management	Cross-organizational Project Management	Experience in allocating project activities and architecture assignments to multiple teams or architects.	Deep
CFS.L3.06	People	Executive Communication	Demonstrate the ability to evangelize architectures and strategies to business executives and project leaders in order to gain stakeholder commitment.	Deep
CFS03	People	Perform Conflict Resolution	Mediate opposing viewpoints and negotiate equitable solutions to ensure successful and stable outcomes.	Deep
CFS.L3.07	Business	Understand Business Aspects	Champion the business stakeholders' requirements and align the IT implementation accordingly.	Deep
CFS.L3.08	Architecture	Stakeholder Advocate	Simultaneous advocate of multiple stakeholders' interests (business and IT).	Deep
CFS.L3.09	Architecture	Strategic Architectural Thinking	Apply strategic architectural thinking to mission, strategy, and vision in ways that deliver positive impact and results to the business.	Deep
CFS.L3.10	Architecture	Employ Modeling Techniques	Select, enhance, adapt, and use the proper modeling techniques necessary to realize a significantly complex architectural effort that delivers a strategic business initiative.	Deep
CFS.L3.11			Intentionally left blank.	
CFS.L3.12	Architecture	Technology Innovation	Provide break-through architectural thinking to the innovative application of information technology to deliver greater business value.	Deep
CFS.L3.13	Governance	Manage IT Governance	Manage, maintain, and evolve the process and policies for business and IT governance that support the principles of the enterprise architecture.	Deep

Reference	Category	Skill	Description	Required Skill Level
CFS.L3.14	Governance	Evaluate Enterprise Architectures & Implementations	<p>Assess enterprise architectures and implementations especially in the context of enterprise and technology governance for those projects in which the enterprise architect is responsible.</p> <p>Appraise an existing enterprise architecture in terms of completeness of scope, level of detail, quality of work, etc. Validate implementations against the defined enterprise architecture.</p> <p>Establish metrics for validating the conformance of an implementation to an enterprise architecture.</p>	Deep

7.4 Experience Criteria

Certified Enterprise and IT Architects must be able to demonstrate that they meet the experience criteria defined in Table 11.

The Application Package must describe a set of work efforts that demonstrate the required experience.

Reference may be made to sections within the Experience Profiles, and/or the Candidate may provide detailed descriptions of work efforts that demonstrate compliance with these criteria.

Table 11: Experience Criteria

Experience Category	Level 3 Requirement
EC.L3.01 Establish Architectural Vision	<p>Establish architectural vision for significantly complex enterprise architectures.</p> <p>Guidance to Candidates: A Distinguished Enterprise Architect works to realize an architectural strategy across multiple lines of business, business systems, or IT applications.</p> <p>Examples: Establish/amend the architectural vision in response to a decision to adopt SOA.</p>

Experience Category	Level 3 Requirement
<p>EC.L3.02</p> <p>Demonstrate Strategic Leadership</p>	<p>The Candidate must have anticipated, created, and defined innovative concepts in a strategic business environment. The Candidate must have shown technical leadership in conducting strategic architecture projects or initiatives.</p> <p>Guidance to Candidates:</p> <p>A strategic solution/architecture results from the need to support a strategic business initiative.</p> <p>Technical leadership is leadership conducted in the context of information technology and business systems.</p>
<p>EC.L3.03</p> <p>Demonstrate Business Impact</p>	<p>The Candidate must have demonstrated positive impact on the business by leading significantly complex projects or enterprise architecture initiatives.</p> <p>Guidance to Candidates:</p> <p>A Distinguished Enterprise Architect has a recognized and measurable breadth of impact across an organization or enterprise.</p> <p>Examples:</p> <p>A Distinguished Enterprise Architect is accountable for business unit, major country, or international projects, customer engagements, or activities that are strategic to the organization’s business.</p>
<p>EC.L3.04</p> <p>Establish Architectural Process, Policies, and Procedures</p>	<p>The Candidate must have experience defining enterprise-wide architectural processes, policies, and procedures. This includes, but is not limited to, selecting and adapting the proper architectural methods, governance, and technical standards necessary to realize an enterprise architecture initiative.</p> <p>Guidance to Candidates:</p> <p>Demonstrated ability to impact the business by applying and extending architectural methods that facilitate the development of IT systems that solve significant business problems.</p> <p>Architectural processes, policies, and procedures can be realized through architectural roadmaps or frameworks (policies and procedures have restricted connotations in some organizations).</p> <p>Examples:</p> <p>Experience establishing business and/or IT governance process and organization frameworks.</p> <p>Experience in the broader aspects of IT governance (not just project-level governance).</p> <p>Experience in applying business and IT governance frameworks that facilitate the alignment of business processes to business and IT function.</p> <p>Experience in the application of enterprise-wide IT and industry standards and processes.</p>

7.5 Professional Development

A certified Level 3 Candidate is expected to show continued growth and pursuit of knowledge and education in the field of enterprise and IT architecture. A Candidate is required to show continued professional growth in each of the following categories.

Professional development activities cited in an application for certification should all have taken place in the previous three (3) years.

Reference	Description	Conformance Criteria
PDL302	Knowledge of the technology, trends, and techniques in the IT industry	Candidates are required to maintain their knowledge of the technology, trends, and techniques in the IT industry. Level 3 Candidates must show documented evidence of continuing education.
PDL303	Vertical industry business knowledge (e.g., telecoms, financial, etc.)	Candidates are required to maintain their vertical industry business knowledge (e.g., telecoms, financial, etc.). Level 3 Candidates must show documented evidence of continuing education.
PDL304	Skills and knowledge in enterprise architecture	Candidates must continually develop their skills and knowledge of the latest trends and techniques in enterprise architecture. Level 3 Candidates must show documented evidence of continuing education.

7.6 Contributions to the Enterprise and IT Architect Community

The Candidate is expected to provide significant contributions in the following categories.

Community contribution activities cited in an application for certification should all have taken place in the previous three (3) years.

Reference	Description	Conformance Criteria
CC.L3.01	Contributions to the Enterprise Architecture Profession	Candidates must make significant contributions to the enterprise architecture profession with the objective of promoting the growth of the profession itself. Guidance: Candidates are expected to make visible contributions to the enterprise architecture community or the body of knowledge. For example, contributions to standards bodies or professional associations that seek to define innovative new architectural solutions, strategies, research, or technologies. As part of their contribution to the community, Certified Distinguished Enterprise Architects are expected to be available to serve from time to time on Direct Certification Boards at the request of the Certification

Reference	Description	Conformance Criteria
		Authority. Such participation qualifies for contributions to the profession.
CC.L3.02	Profession Mentoring	<p>Actively facilitate the professional development of multiple aspiring Enterprise Architects, especially those seeking architectural certification.</p> <p>Guidance:</p> <p>A Level 3 Certified IT Architect is expected to help grow the ranks of the Enterprise and IT Architect community. This is often referred to as <i>professional mentorship</i> or <i>mentoring</i>. Mentoring is the process in which an experienced architect works alongside a less experienced individual to impart their experience in order to help them grow professionally.</p>

Note: Evidence of contribution to the community will be required to be documented in the Certification Package.

8. APPLICATION FOR CERTIFICATION

When applying for initial certification, or for certification at a new (higher) level, Candidates are required to create a Certification Package.

For direct certification, applications must be made using The Open Group Certification Package template and web site. The web site is at www.opengroup.org/itac/cert and the Certification Package Templates are available at www.opengroup.org/itac/cert/docs.

For indirect certification, applications must be made using the templates, forms, and processes of the Accredited Certification Program (ACP). The information required by an ACP may be a superset of The Open Group Certification Package template in order to support the extended requirements of an ACP.

In either case, the Certification Package will be made up of one or more templates that the Candidate will use to document how they meet the Core Foundation Skills and Experience Criteria described in this document. The Certification Package will also contain at least three (3) Experience Profiles, which will be the primary means by which a Candidate will demonstrate their experience.

8.1 Conformance Criteria for Experience Profiles

An Experience Profile is a coherent written description of a project or architectural engagement (for example, enterprise architecture, solution architecture, or architectural framework) that provides a Candidate with the opportunity to show how they perform as an Enterprise Architect, and enables a Certification Board to understand and question the Candidate's thought processes and decisions.

Candidates must provide three (3) Experience Profiles describing projects undertaken within the eight (8) years preceding a Candidates' application, at least one of which must have been undertaken in the last three (3) years. Projects over two (2) years long may be used for multiple Experience Profiles under either of the following conditions:

Condition 1: The project had clearly-defined work efforts which took place in parallel, each with their own solution development and design activities and their own deliverables.

Condition 2: The project had clearly-defined phases that were executed in succession, each with its own solution development and design activities and deliverables. Note that a second project phase that constructs and implements the solution developed by the first phase does not meet this requirement.

In either case, each profiled project entity must meet all of the Experience Profile criteria defined in Table 8 below.

For each project or engagement cited in a profile, references are required to confirm the Candidate's role, and the strategic nature and the success of the project (see EXP.L3.04). References must be from a principal stakeholder in the solution who is familiar with the project and its significance to the business.

References must describe the stakeholder's relationship with the project and their business relationship to the Candidate.

References may be customers/clients (internal or external) or Master Certified IT Architects or Distinguished Certified IT Architects who are not the Candidate’s immediate manager. Internal clients who provide a reference must have a formal customer/client relationship defined; e.g., formal acceptance criteria for the work.

Each Experience Profile must include:

- A description of the business purpose of the project
- A concise description of the project
- The Candidate’s role
- The Candidate’s period of involvement

Table 8 defines the attributes that must be present within Experience Profiles for Level 3 certification, and against which the Experience Profiles will be evaluated.

Table 12: Required Attributes for Experience Profiles

Reference	Experience Profile Attribute	Description: Level 3
EXP.L3.01	Leading a project of significant business value and impact	<p>A Distinguished Enterprise Architect has experience in guiding the evolution of the enterprise architecture and directing projects of significant business impact.</p> <p>Experience Profiles must document significant enterprise architecture initiatives that resulted in visible positive business impact. Documented projects must have had significant business impact and meet the definition of significant and complex.</p> <p>Guidance to Candidates:</p> <p>The Candidate must have defined the vision, mission, and business case for a new business capability that was realized and supported through information technology and supporting infrastructure that was required by the enterprise architecture. The Candidate must have been involved with at least the production of the enterprise architecture.</p> <p>The Experience Profile should identify the value of the business function (e.g., monetary value), the business opportunities realized that resulted from the strategy implemented, and the resulting architecture that was deployed.</p> <p>Examples:</p> <p>The Candidate understands, directs, and appropriately applies new industry initiatives and technologies.</p> <p>The Candidate worked with business leaders to align the organization’s solution strategy with the needs of the business.</p>

Reference	Experience Profile Attribute	Description: Level 3
EXP.L3.02	Key Decisions and Contributions	<p>Candidates must explain their role and responsibility in a particular enterprise architecture initiative. The Candidate is required to identify the key strategic decisions they made, their approach to the solution, their specific contributions (architectural artifacts and deliverables), and the outcome of a particular enterprise architecture initiative.</p> <p>Guidance to Candidates:</p> <p>Candidates must document the architectural thinking and decisions that lead to their approach and architectural solution. The Candidate should document the alternatives that were considered and how they worked to mitigate the risk to their architectural decisions.</p>
EXP.L3.03	Perform as an Enterprise Architect	<p>Perform in the role of the Enterprise Architect responsible for the evolution of a significant enterprise architecture initiative.</p> <p>Guidance to Candidates:</p> <p>Candidates must show how they acted in the role of lead Enterprise Architect responsible for the deployment of specific enterprise architecture initiatives.</p>
EXP.L3.04	Demonstrated Success	<p>Candidates must have acted in the role of Enterprise Architect in at least three (3) successful strategic engagements.</p> <p>Guidance to Candidates:</p> <p>A strategic engagement is any enterprise architecture initiative, program, or engagement that is recognized as essential to an organization's enterprise architecture and business strategy. Candidates must have shown repeated success through involvement in three (3) successful strategic engagements.</p>

8.2 Evaluation Process

The Evaluation shall be conducted through a combination of audit of written documentation and a Certification Board interview. All applications must be readable, complete, and consistent.

For direct certification, applications must be made using The Open Group Certification Package template and web site. The web site is at www.opengroup.org/itac/cert and the Certification Package Templates are available at www.opengroup.org/itac/cert/docs.

For indirect certification, applications must be made using the templates and forms provided by the Accredited Certification Program (ACP). The information required by an ACP may be a superset of The Open Group Certification Package template in order to support the extended requirements of an ACP.

8.2.1 Evaluation of Core Foundation Skills

The Candidate must supply a written self-assessment of the level of their Core Foundation skills as listed in Section 3.3.

Candidates must be able to substantiate their self-assessment at a Certification Board interview.

8.2.2 Evaluation of Experience Profiles

Candidates must provide evidence supporting their claim of meeting the Experience Conformance Requirements.

Candidates must also submit three (3) Experience Profiles that document the Candidate's role in the development of an enterprise architecture that addresses the stated business problem. Each of the submitted Experience Profiles must include specific reference to the Experience Conformance Requirements listed in Section 7.4 and must meet the attributes defined in Table 8.

Candidates must be able to describe their roles and substantiate their claims at a Certification Board interview.

8.2.3 Evaluation of Professional Development

Candidates must provide a written description of the training, self-study, or continuing education they obtained, as described in PDL303.

To demonstrate maintenance of their IT and vertical industry knowledge and to demonstrate their development of skills and knowledge in enterprise and IT architecture, Candidates are required to provide a written description of the activities they undertake to these ends, and are encouraged to provide specific course numbers, certifications, or references and links to conferences or seminars.

Examples of qualifying activities are conference attendance, personal reading, formal education, being mentored, attending training courses, and/or related professional memberships.

8.2.4 Evaluation of Contributions to the Enterprise and IT Architect Community

Candidates must provide a written description of their contributions to the enterprise and IT architecture community.

9. APPLICATION FOR RE-CERTIFICATION

Although compliance with the applicable skill requirements continues at all times to be a Conformance Requirement of the Program, Candidates for re-certification are not required to demonstrate their continued compliance to the applicable skill requirements when re-certifying.

Candidates for re-certification must supply sufficient information to assure the Certification Authority and the Certification Board members that the applicable Conformance Requirements continue to be met and that they have continued to practice as an Enterprise Architect since their initial certification or last re-certification.

When applying for re-certification, Candidates are required to create and submit a Re-Certification Package.

For direct re-certification, applications must be made using The Open Group Re-Certification Package template and web site. The web site is at www.opengroup.org/itac/cert and the Re-Certification Package Templates are available at www.opengroup.org/itac/cert/docs.

For indirect re-certification, applications must be made using the templates and forms provided by the Accredited Certification Program (ACP). The information required by an ACP may be a superset of The Open Group Re-Certification Package template in order to support the extended requirements of an ACP.

In either case, the Re-Certification Package will be made up of one or more templates that the Candidate will use to document how they have continued to practice as an Enterprise Architect since the initial certification or since the previous re-certification, as applicable. Evidence will also be required of continued Professional Development (PDL302, PDL303, PDL304) and Community Contribution (CC.L3.01, CC.L3.02.).

9.1 Evaluation Process

The Evaluation shall be conducted through a combination of audit of written documentation and Certification Board interviews. All applications must be readable, complete, and consistent.

10. IT ARCHITECT PROFESSION LEADER ROLES AND RESPONSIBILITIES (INFORMATIVE)

An IT Architect defines solutions to client business problems through the reasoned application of information technology. An IT Architect Profession Leader is responsible for establishing and/or maintaining an organization's IT Architect profession community. An IT Architect Profession Leader plays an essential role in ensuring the vitality of an organization's IT Architect population. What constitutes a sufficient population of IT Architects to warrant the need for a profession leader? That is a difficult question considering the global nature of IT. However, it's safe to say that if an organization feels that the investment in such a role is necessary, it is sufficient reason enough. Moreover, it is the *role* that is important. A community of practicing IT Architects needs a champion as soon as the role of the IT Architect has been deemed essential and has been committed to by the organization.

The Open CA Working Group suggests that an individual who is recognized in, empowered by, and focused on the IT Architect profession (i.e., an IT Architect Profession Leader) is necessary once the organization's IT Architect population rises above 20 practicing architects. The Group believes that once the organization's population reaches 20 it becomes too difficult to ensure the vitality of the architect population without dedicated leadership. The individual in this role may continue to be a practicing IT Architect.

The Open CA Working Group understands that there may be many architects with profession lead responsibilities who may be able to qualify for certification against the IT Architect Profession Leader CPC conformance criteria, but only if their practice expands and they retain the responsibility long enough to meet the Level 3 requirements. This set of Conformance Requirements has been developed to define the role and to provide guidance to individuals responsible for establishing an IT Architect profession within their organization, or for developing and supporting an existing population of IT Architects.

The Open CA Working Group's primary goal in developing this definition of skills and experiences is to help guide the industry to mature the IT Architect profession by establishing the professional criteria for becoming a Certified IT Architect Profession Leader. An IT Architect Profession Leader evolves and maintains an IT Architect skills and experienced-based profession model that includes a rigorous validation process (i.e., Open CA or similar). An IT Architect Profession Leader is responsible for working with their organization's business leaders and Human Resources (HR) department to align the needs of the architecture profession to those of the business to ensure the proper delivery of IT architecture talent and skills across the organization.

So, the role of the IT Architect Profession Leader is:

- To promote, establish, or maintain the need, value, and presence of an organization's IT Architect profession (or architecture consulting practice)
- To evangelize the IT Architect profession within the organization and externally to promote the continued development and effective utilization of the IT Architect community
- To develop and/or maintain and deploy an organization's IT Architect profession career development model
- To establish and manage an IT Architect profession skills and experienced-based profession model that includes a rigorous validation process (for example, Open CA certification – direct or indirect)

The IT Architect Profession Leader must therefore be:

- An experienced practitioner who retains the **understanding of architectural principles and their implications** to system design, securability, system extensibility and interoperability, costs, and operational considerations
- **A student of the profession** that is constantly learning how the organization can utilize and apply new techniques and technologies and seeks to design new innovative architectural solutions
- An **effective leader** who influences organizational structure by leading an organization's IT Architect **profession programs and initiatives**

An IT Architect Profession Leader is the recognized individual whose **primary responsibility is to represent the IT Architect profession** across an organization. This person is empowered to promote the health and wellbeing of the IT Architect profession by:

- Promoting a common definition and practice of IT architecture
- Ensuring that the practice of IT architecture supports the needs of the business/organization
- Maintaining an IT Architect profession model to ensure the viability of the profession and maintain the skills of the organization
- Managing and sustaining an IT Architect profession certification program
- Ensuring the integrity and ethics of the practice of IT architecture
- Shepherding, promoting, and advocating the proper application and practice of IT architecture method(s)
- Guiding the evolution of the organization's use of IT architecture methodology(ies) through the influence of the IT architecture profession community

An **IT Architect profession model** is a framework that is used to establish and sustain a community of IT Architects whose goal is the viability of the organization's IT Architect profession. The framework is realized through continuous mentorship, management of competencies and skills, and professional progression based on experience and contribution, which is recognized through professional certification or an equivalent rigorous validation process.

Examples of how an IT Architect Profession Leader would represent their organization both externally and internally are as follows:

- Through professional organizations, forums, or standard bodies; for example, AOGEA, the ACM, IEEE, The Open Group Open CA Working Group, OMG, Telecommunications Management Forum (TMF), etc.
- Through promotion and participation in architecture community events such as The Open Group EA Practitioners' conference, FEAF conferences, Gartner EA events, industry architecture events, and working groups
- Through internal profession bodies that group other professions within the organization (e.g., Project Management, Software Engineering, etc)
- Through work with other IT leaders and business executives to maintain an IT Architect profession model that supports the needs of the business and the organization's community of IT Architects

10.1 Leadership

Leadership means **getting something done through other people**.

Leadership is not equivalent to management. Leadership requires the effective coordination of resources that are often not directly under the leader's control:

- A leader accepts the responsibility for the success of a project or organization and provides selfless giveback and support to ensure everyone's success.
- A leader recognizes the need to change, adapt, and innovate – and they find effective ways to communicate those needs to the organization.

In order to understand the meaning of architectural leadership it is necessary to understand that **any professional can be a leader**. Leadership is essential for all IT professionals who wish to progress in their careers.

Examples of leadership in a technical context are:

- Establishing and driving a **new architectural vision** or direction in order to adapt to changing business dynamics
- Developing a **new technical standard** or framework as part of a standards body
- Setting and maintaining the **direction** of a team of IT professionals to achieve a common goal
- Resolving a **complex technical problem** by developing new tooling or techniques
- Designing a new **innovative solution IT architecture** that changes the way an organization does business or establishes a new IT industry view or initiative
- Helping the organization to **recognize weak links in their technical strategy** and implementation in a way that helps to facilitate the organization's closure of gaps
- Facilitating the implementation of a **significant and complex architectural initiative** through other technical members of the organization – this is often accomplished through mentorship, enablement, and giveback
- Acting in the role of the **technical advocate** by [recommending] an innovative IT solution that changes the dynamics of the business environment; a technical advocate works with business leaders to consider strategic changes to the business – facilitates entry into new markets – and responds to changing market dynamics
- Being seen as a **role model** by team members

10.2 Level 3 Architectural Leadership

The Conformance Requirements at Level 3 are focused on innovative technical leadership through the realization of an IT architecture-based initiative and the breadth of impact that a Candidate has had across their organization as well as within the industry. The Conformance Requirements are intended to measure a Candidate's ability to successfully impact an organization's mission and business strategy through their leadership of the development of innovative IT solutions and initiatives.

Level 3 Conformance Requirements require a Candidate to demonstrate significant architectural leadership evidenced in the use and application of IT architecture.

Architectural leadership for the IT Architect Profession Leader is defined as leading the deployment of an organization's IT Architect profession career development model that:

- Is critical to the business
- Is aligned to the needs of the business
- Establishes a skills and experience-based profession model
- Is recognized as essential across multiple organizations or multiple lines of business
- Is visible to stakeholders including, for example, customers or business partners

What distinguishes IT Architects at Level 3 from those at Level 2 are **leadership, and scope, depth, and breadth of impact.**

11. IT ARCHITECT PROFESSION LEADER CONFORMANCE REQUIREMENTS (NORMATIVE)

The Conformance Requirements for the Program are broken down as follows:

- Core Foundation skills
- Experience requirements

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. To allow Level 3 certification for people who may have met the Level 2 requirements at some time in the past, the Level 2 time constraints are waived for combined Level 2/Level 3 applications.

11.1 Skill Levels

For the Core Foundation skills, Candidates must meet or exceed the minimum skill level defined for each of the skills.

Skill levels are defined as follows:

Table 13: Skill Levels and Proficiency Ratings

Skill Level	Proficiency	Experience
Limited	Limited or no knowledge	None
General	General conceptual knowledge only	Limited – read about it, some education
Applied	Applied knowledge	Performs with supervision or mentoring
Deep	In-depth knowledge	Mastered the current state-of-the-art and is able to perform without supervision
Expert	Expert knowledge	Advances the state-of-the-art, delivering greater business value realized through architectural innovation or application

11.2 Level 3 Scope and Definitions

Certification for the Level 3 IT Architect Profession Leader Career Path Category is focused on establishing the metrics to identify those Level 2 Certified IT Architects that have made valuable and recognizable contributions to their client’s business (internal or external) through the practice of IT architecture as an IT Architect Profession Leader.

In addition, these individuals also work to evolve the practice of IT architecture by deploying a training and development program aligned to the needs of the business that promotes the growth of the IT Architect profession.

11.2.1 Definitions Specific to Level 3

A number of the Core Foundation skills refer to “significant” or “complex” contributions. These terms are defined below.

A **significant** contribution to a project is one that has a positive impact on the client’s business and that is recognized by the client’s business leadership.

Examples of impact are:

- A cross-organizational or cross-line of business engagement
- A substantial financial cost/benefit
- A troubled project turnaround saved by your ideas or efforts
- A high-risk project

A **complex** project or engagement is one or more of the following:

- Align IT architecture to HR initiatives and business objectives
- Cross-organizational/business partner/multiple customer or multi-vendor coordination
- Adoption of cutting-edge technologies and techniques to support the IT Architect profession
- Deploy a new architectural framework or method necessary to enable the organization’s IT Architect population

11.3 Level 3 Core Foundation Skills for the IT Architect Profession Leader

The Level 3 Core Foundation skills are categorized into Leadership skills, Project Management skills, People skills, Business skills, Architecture skills, Profession skills, and Governance skills.

The Candidate must be able to document that they have demonstrated these skills at the required level (or higher) repeatedly and successfully.

Table 14: Level 3 Core Foundation Skills – IT Architect Profession Leader CPC

Reference	Category	Skill	Description	Required Skill Level
CFS.PL.01	Leadership	Collaborative Influence	Facilitate the implementation of important IT Architect profession initiatives by promoting teaming and cross-organizational participation.	Deep
CFS.PL.02	Leadership	Cross-organizational Leadership	Initiate, lead, or influence multi-disciplinary IT Architect profession initiatives across organizational boundaries coordinating the activities necessary to succeed.	Deep
CFS.PL.03	Leadership	Strategic Planning	Identify and drive strategic IT Architect profession decisions for an organization.	Deep

Reference	Category	Skill	Description	Required Skill Level
CFS.PL.04	Project Management	Cross-organizational Project Management	Ability to accomplish IT Architect profession initiatives through the coordination of resources across the organization.	Deep
CFS.PL.05	Project Management	Organizational Program Management	Demonstrate the ability to integrate the IT Architect profession into the organization's business model by influencing organizational structure and leading IT Architect profession programs and initiatives.	Deep
CFS.PL.06	People	Executive Communication	Demonstrate the ability to evangelize the IT Architect profession mission and strategy to business executives to gain stakeholder commitment.	Deep
CFS.PL.07	People	Perform Conflict Resolution	Demonstrate executive-level conflict resolution techniques.	Deep
CFS.PL.08	Business	Understand Business Aspects	Ensure the IT Architect profession is responsive to the needs of the business.	Deep
CFS.PL.09	Profession	Stakeholder Advocate	Ensure shared understanding and commitment to IT Architect profession initiatives through the simultaneous advocacy of multiple stakeholders' interests in the practice of IT architecture.	Deep
CFS.PL.10	Profession	Profession Evangelism	Ability to effectively evangelize the IT Architect profession within the organization and externally to promote the continued development and effective utilization of the IT Architect community.	Deep
CFS.PL.11	Profession	ITA Profession Value Proposition	Ability to effectively establish or maintain and evolve the need, value, and presence of an organization's IT Architect profession (or architecture consulting practice).	Deep
CFS.PL.12	Profession	Skills and Experience Profession Model	Experience in establishing and managing an IT Architect profession skills and experienced-based profession model that includes a rigorous validation process (for example, Open CA certification – direct or indirect).	Deep

Reference	Category	Skill	Description	Required Skill Level
CFS.PL.13	Architecture	Subject Matter Expertise	Apply experience as a practitioner to effectively lead the IT Architect profession.	Deep
CFS.PL.14	Governance	Profession Governance	Maintain, enforce, and evolve process and policies for the governance of the IT Architect profession and associated programs.	Deep

11.4 Experience Criteria

To be certified at Level 3, IT Architect Profession Leaders must be able to demonstrate that they have at least the following experience:

Table 15: Experience Criteria

Experience Category	Level 3 Requirement
EC.PL.01 Professional Architecture Career Development	<p>Experience in developing and/or maintaining and deploying an organization's IT Architect profession model.</p> <p>Guidance to Candidates: A Distinguished IT Architect Profession Leader works to establish a structure or framework for progressing the career of the IT Architect and managing an IT Architect profession model.</p> <p>Examples: Establish and/or maintain an IT Architecture profession model tied to career growth.</p> <p><i>Note: See Section 10 of this document for additional examples.</i></p>
EC.PL.02 Demonstrate Strategic Leadership	<p>The Candidate must have anticipated, created, and defined innovative concepts in support of the organization's IT Architect profession program.</p> <p>Guidance to Candidates: Strategic leadership is realized by collaborating with business and technical leaders across the organization to establish programs and initiatives to ensure the IT Architect profession meets its strategic goals.</p>
EC.PL.03 Demonstrate Business Alignment	<p>Candidates must demonstrate the alignment of the IT Architect profession with the needs of the business through the application and use of the organization's IT Architect profession model.</p> <p>Guidance to Candidates: Facilitate and guide the proper alignment of IT architecture resources across the organization. Develop, maintain, and measure the skills of the IT Architect population through the application of a skills development and enablement program.</p>

Experience Category	Level 3 Requirement
EC.PL.04 Establish IT Architect Profession Process, Policies, and Procedures	<p>The Candidate must have experience defining profession-wide architectural processes, policies, and procedures. This includes, but is not limited to, selecting and adapting the proper architectural methods, governance, and technical standards necessary to support the IT Architect profession.</p> <p>Guidance to Candidates:</p> <p>Demonstrated ability in developing and/or maintaining and deploying an organization’s IT Architect profession career development model.</p> <p>Examples:</p> <p>Experience establishing profession governance process and organization frameworks.</p> <p>Experience establishing architecture deployment models.</p> <p>Experience evolving and deploying a training and development program for the IT Architect profession against the profession skills model.</p>

11.5 Professional Development

A Certified Level 3 Distinguished IT Architect Profession Leader is expected to show continued growth and pursuit of knowledge and education in the field of IT architecture. A Candidate is required to show continued professional growth in each of the following categories.

Professional development activities cited in an application for certification should all have taken place in the previous three (3) years.

Reference	Description	Conformance Criteria
PD.PL.01	Knowledge of the technology, trends, and techniques in the IT industry	Candidates are required to maintain their knowledge of the technology, trends, and techniques in the IT industry. Level 3 Candidates must show documented evidence of continuing education.
PD.PL.02	Vertical industry understanding (e.g., telecoms, financial, etc.)	Candidates should maintain their vertical industry knowledge (e.g., telecoms, financial, delivery services, etc.). Level 3 Candidates must show evidence of continuing education.
PD.PL.03	IT profession trends and techniques	Candidates are required to maintain their knowledge in evolving trends and techniques within the IT Architect and related professions. This includes skills models, certification practices, and deployment frameworks.
PD.PL.04	Knowledge of evolving IT architecture trends and techniques – including architectural trends of vertical industries	Candidates must continually develop their skills and knowledge of the latest trends and techniques in IT and enterprise architecture.

11.6 Contributions to the IT Architect Community

The Candidate is expected to provide significant contributions in the following categories.

Community contribution activities cited in an application for certification should all have taken place in the previous three (3) years.

Reference	Description	Conformance Criteria
CC.PL.01	Contributions to the IT Architecture Profession	<p>Candidates must make significant contributions to the IT Architect profession with the objective of promoting the development of the profession itself.</p> <p>Guidance:</p> <p>Candidates are expected to make visible contributions to the IT architecture community and its body of knowledge. For example, contributions to standards bodies or professional associations that seek to define innovative new architectural solutions, strategies, research, or technologies.</p> <p>As part of their contribution to the community, Certified Distinguished IT Architect Profession Leaders are expected to be available to serve from time to time on Level 2/3 Direct Certification Boards at the request of the Certification Authority. Such participation qualifies for contributions to the IT Architect profession.</p>
CC.PL.02	Profession Mentoring	<p>Evangelize and administrate programs that promote the development and growth of IT Architects through their professional career. Actively facilitate the professional development of IT Architects of all skill levels, especially those seeking architectural certification.</p> <p>Guidance:</p> <p>A Level 3 Certified IT Architect is expected to help grow the ranks of the IT Architect community. This is often referred to as <i>professional mentorship</i> or <i>mentoring</i>. Mentoring is the process in which an experienced architect works alongside a less experienced individual to impart their experience in order to help them grow professionally.</p>

Note: Evidence of contribution to the community will be required to be documented in the Certification Package.

12. APPLICATION FOR CERTIFICATION

When applying for initial certification, or for certification at a new (higher) level, Candidates are required to create a Certification Package.

For direct certification, applications must be made using The Open Group Certification Package template and web site. The web site is at www.opengroup.org/itac/cert and the Certification Package templates are available at www.opengroup.org/itac/cert/docs.

For indirect certification, applications must be made using the templates, forms, and processes of the Accredited Certification Program (ACP). The information required by an ACP may be a superset of The Open Group Certification Package template in order to support the extended requirements of an ACP.

In either case, the Certification Package will be made up of one or more templates that the Candidate will use to document how they meet the Core Foundation Skills and Experience Criteria described in this document. The Certification Package will also contain at least three (3) Experience Profiles, which will be the primary means by which a Candidate will demonstrate their experience.

12.1 Conformance Criteria for Experience Profiles

An Experience Profile is a coherent written description of a project or architectural engagement (for example, enterprise architecture, solution architecture, or architectural framework) that provides a Candidate with the opportunity to show how they perform as an IT Architect Profession Leader, and enables a Certification Board to understand and question the Candidate's thought processes and decisions.

Candidates must provide three (3) Experience Profiles describing projects undertaken within the eight (8) years preceding a Candidates' application, at least one of which must have been undertaken in the last three (3) years. Projects over two (2) years long may be used for multiple Experience Profiles under either of the following conditions:

Condition 1: The project had clearly-defined work efforts which took place in parallel, each with their own solution development and design activities and their own deliverables.

Condition 2: The project had clearly-defined phases that were executed in succession, each with its own solution development and design activities and deliverables. Note that a second project phase that constructs and implements the solution developed by the first phase does not meet this requirement.

In either case, each profiled project entity must meet all of the Experience Profile criteria defined in Table 8 below.

For each project or engagement cited in a profile, references are required to confirm the Candidate's role, and the strategic nature and the success of the project (see EXP.L3.04). References must be from a principal stakeholder in the profession (or a related profession) who is familiar with the project and its significance to the business.

References must describe the stakeholder's relationship with the project and their business relationship to the Candidate.

Each Experience Profile must include:

- A description of the business purpose of the project
- A concise description of the project
- The Candidate’s role
- The Candidate’s period of involvement

Table 8 defines the attributes that must be present within Experience Profiles for Level 3 certification, and against which the Experience Profiles will be evaluated.

Table 16: Required Attributes for Experience Profiles

Reference	Experience Profile Attribute	Description: Level 3
EXP.PL.01	Managing an Organization’s IT Architect Profession Model	<p>Experience establishing, managing, and/or evolving an IT Architect profession model, or using it to further the business.</p> <p>Guidance to Candidates:</p> <p>A Distinguished IT Architect Profession Leader has experience leading projects of significant business impact by directing an organization’s IT Architect profession.</p> <p>The Candidate must have defined the vision, mission, and business case for a new business-related capability that was realized and supported through the deployment of IT Architect profession initiatives. The Candidate must have been involved with the development of the initiative that is part of or built on the IT Architect profession model.</p> <p>The Experience Profile should identify the value of the business function (e.g., monetary value), and the business opportunities realized that resulted from the deployment of IT Architect profession initiatives.</p> <p>Examples:</p> <p>The Candidate understands, directs, and appropriately applies new industry initiatives and technologies as it relates to the IT Architect profession model.</p> <p>The Candidate worked with business leaders to align the organization’s IT Architect profession model with the needs of the business.</p>
EXP.PL.02	Initiate, Lead, or Influence Multi-disciplinary IT Architect Profession Initiative	<p>Initiate, lead, or influence multi-disciplinary IT Architect profession initiatives across organizational boundaries coordinating the activities necessary to succeed.</p> <p>Guidance to Candidates:</p> <p>Candidates must describe their role and responsibility in a particular IT Architect profession initiative or project and must identify the cross-organizational and multi-disciplinary aspects.</p>

Reference	Experience Profile Attribute	Description: Level 3
EXP.PL.03	Perform Role as the IT Architect Profession Leader	<p>Perform in the role of the IT Architect Profession Leader responsible for the success of an organization’s IT Architect profession.</p> <p>Guidance to Candidates:</p> <p>The Candidate must act in the role of the IT Architect Profession Leader. A Candidate must be recognized as the IT Architect Profession Leader by the organization that is responsible for funding the development of the IT Architect profession and alignment to the business.</p>
EXP.PL.04	Demonstrated Success	<p>Candidates must have acted in the role of the IT Architect Profession Lead in at least three (3) successful strategic IT Architect profession initiatives.</p> <p>Guidance to Candidates:</p> <p>Successful in this context means to achieve a particular IT Architect profession initiative. For example, the implementation/deployment of Open CA certification or the development of a skills/enablement framework or a new element of the organization’s IT Architect profession model.</p>

12.2 Evaluation Process

The Evaluation shall be conducted through a combination of audit of written documentation and a Certification Board interview. All applications must be readable, complete, and consistent.

For direct certification, applications must be made using The Open Group Certification Package template and web site. The web site is at www.opengroup.org/itac/cert and the Certification Package Templates are available at www.opengroup.org/itac/cert/docs.

For indirect certification, applications must be made using the templates and forms provided by the Accredited Certification Program (ACP). The information required by an ACP may be a superset of The Open Group Certification Package template in order to support the extended requirements of an ACP.

12.2.1 Evaluation of Core Foundation Skills

The Candidate must supply a written self-assessment of the level of their Core Foundation skills as listed in Section 3.3.

Candidates must be able to substantiate their self-assessment at a Certification Board interview.

12.2.2 Evaluation of Experience Profiles

Candidates must provide evidence supporting their claim of meeting the Experience Conformance Requirements.

Candidates must also submit three (3) Experience Profiles that document the Candidate’s role in the development of an IT architecture that addresses the stated business problem. Each of the submitted

Experience Profiles must include specific reference to the Experience Conformance Requirements listed in Section 7.4 and must meet the attributes defined in Table 8.

Candidates must be able to describe their roles and substantiate their claims at a Certification Board interview.

12.2.3 Evaluation of Professional Development

Candidates must provide a written description of their training or self-study in the design and engineering of IT architectures.

To demonstrate maintenance of their IT and vertical industry knowledge and to demonstrate their development of skills and knowledge in IT architecture, Candidates are required to provide a written description of the activities they undertake to these ends.

Examples of qualifying activities are conference attendance, personal reading, formal education, being mentored, attending training courses, and/or related professional memberships.

12.2.4 Evaluation of Contributions to the IT Architect Community

Candidates must provide a written description of their contributions to the IT architecture community.

13. APPLICATION FOR RE-CERTIFICATION

Although compliance with the applicable skill requirements continues at all times to be a Conformance Requirement of the Program, Candidates for re-certification are not required to demonstrate their continued compliance to the applicable skill requirements when re-certifying.

Candidates for re-certification must supply sufficient information to assure the Certification Authority and the Certification Board members that the applicable Conformance Requirements continue to be met and that they have continued to practice as an IT Architect since their initial certification or last re-certification.

When applying for re-certification, Candidates are required to create and submit a Re-Certification Package.

For direct re-certification, applications must be made using The Open Group Re-Certification Package template and web site. The web site is at www.opengroup.org/itac/cert and the Re-Certification Package Templates are available at www.opengroup.org/itac/cert/docs.

For indirect re-certification, applications must be made using the templates and forms provided by the Accredited Certification Program (ACP). The information required by an ACP may be a superset of The Open Group Re-Certification Package template in order to support the extended requirements of an ACP.

In either case, the Re-Certification Package will be made up of one or more templates that the Candidate will use to document how they have continued to practice as an IT Architect since the initial certification or since the previous re-certification, as applicable. Evidence will also be required of continued Professional Development (PD.L3.02, PD.L3.03, PD.L3.04) and Community Contribution (CC.L3.01, CC.L3.02.).

13.1 Evaluation Process

The Evaluation shall be conducted through a combination of audit of written documentation and Certification Board interviews. All applications must be readable, complete, and consistent.