

# **The Open Group Architecture Framework (TOGAF) Certification Policy**

October, 2005

Version 1.1

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## **The Open Group Architecture Framework (TOGAF) Certification Policy, Version 1.1**

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# 1. OVERVIEW

## 1.1 Introduction

This document defines the policies that govern the operation of the TOGAF Certification Program developed and operated by The Open Group. These policies define what can be certified, what it means to be certified, and the process for achieving and maintaining certification. These policies also define the obligations on product and/or service suppliers or individuals undergoing certification, including a requirement for the supplier<sup>1</sup> to warrant and represent that the product and/or service or the individual being certified meets the applicable Conformance Requirements. Conformance is to the applicable TOGAF specification(s) as interpreted by the appropriate<sup>2</sup> Specification Authority (see Section 1.3) from time to time, and any supporting evidence required as demonstration of conformance.

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

The TOGAF Certification Program is a voluntary program, but is required of suppliers who wish to use the TOGAF Certification Logo. TOGAF certification is open to any product, service, or individual meeting the Conformance Requirements.

TOGAF certification is available to products, services, and individuals meeting the Conformance Requirements as specified in a Product Standard (see Section 1.3). There are four Product Standards defined for the different classes of certification within the TOGAF Certification Program as follows:

### TOGAF Tool Support

**Architecture tools which support TOGAF**, to ensure that the meaning of a claim of conformance with the applicable version of the TOGAF specification is clear and that the TOGAF Architecture Development Method (ADM) is supported consistently.

### TOGAF Training

**Training courses which instruct in TOGAF**, to ensure that the course syllabus includes coverage of the necessary elements of the applicable version of the TOGAF specification and its ADM.

TOGAF Certified Training courses are given by instructors who themselves are TOGAF Certified.

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

2 The Open Group Architecture Forum.

## TOGAF Certified

**Architects trained in the use of TOGAF**, to ensure that a common core of knowledge and understanding is gained through training, and that professional services offered in support of the applicable version of the TOGAF specification are delivered by architects who have completed the necessary training course and have up-to-date knowledge about TOGAF.

## TOGAF Professional Services

**Professional services offered in support of TOGAF**, to ensure that organizations that offer such services abide by an approved code of practice, and use only properly trained architects for such services.

TOGAF Certified Professional Services are given by practitioners who themselves are TOGAF Certified.

It is possible to be certified against one or more Product Standards; for example, an organization might be a TOGAF Tool supplier and also provide TOGAF Professional Services.

A TOGAF Commercial License is a prerequisite for organizations that wish to certify to the following Product Standards:

- TOGAF Tool Support
- TOGAF Training
- TOGAF Professional Services

## 1.2 TOGAF Certification Principles

<b>Motivators to Operate TOGAF Certification</b>	<b>Certification Goals</b>	<b>Certification Aspects</b>
Create trust by clients in TOGAF	Match client's requirements	<ul style="list-style-type: none"><li>• Syllabus and examination are geared towards knowledge required in practice, not academic.</li><li>• Certification eases contracting for architecture work.</li></ul>
	Integrity	Examination is uniform and repeatable.
Protect architects' learning investment	Objectivity	Criteria and procedures minimize subjectivity.
	Scalability	Examination and supporting training services are easily scalable while protecting integrity.
	International recognition	Certified Architects are recognized internationally.
	Value recognition	Certification improves employability and marketability.

<b>Motivators to Operate TOGAF Certification</b>	<b>Certification Goals</b>	<b>Certification Aspects</b>
Grow and maintain a positive image of TOGAF	Promote brand	Policy, processes, and criteria are robust and efficient, creating a positively trusted image.
	High share of architecture profession	Certification and training services are easily available around the world.

### 1.3 Terminology and Definitions

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

Applicant	The supplier who is in the process of having a product, service, or individual certified.
Certificate	A document issued to suppliers certifying that a product, service, or individual has successfully met the requirements for certification to a Product Standard and thus is considered a Certified Product/Service/Individual.
Certification Agreement	The agreement between the Applicant and the Certification Authority that defines the terms and conditions of the certification service to be provided, and contains the legal commitment by the Applicant to the conditions of the Certification Program.
Certification Authority (CA)	The organization officially sanctioned to manage the day-to-day operations of the Certification Program in accordance with the policies contained in this document. The Open Group, LLC acts as the Certification Authority for TOGAF certification.
Certification Register	The official list of all Certified Products, Certified Services, and Certified Individuals, which is maintained by the Certification Authority and made publicly available via the Internet.
Certification System Deficiency (CSD)	An agreed error in the certification system, which is inhibiting the certification process. A Certification System Deficiency is one possible outcome of a Problem Report.
Certified Product/Service/Individual	A product, service, or individual that has successfully completed the certification process and for which the supplier has been notified in writing by the Certification Authority that certification has been achieved.
Conformance Requirements	A definition of the mandatory and optional behavior a product must implement in order to be considered conformant.
Conformance Statement	The supplier's documented set of claims describing precisely the way in which the product, service, or individual meets the Conformance Requirements, including which optional features are supported. It provides a precise identification of the Certified Product, Service, or Individual.

Certification Policy	The Certification Policy (this document) defines what can be certified, what it means to be certified, and the process for achieving and maintaining certification. These policies define the obligations on suppliers, including a requirement for the supplier to warrant and represent that the item being certified meets the applicable Conformance Requirements, which include conformance to the applicable TOGAF specification. It also defines the process to address whatever might go wrong during the certification process. The policy is intended to be broad enough to cover future certification needs.
Certification Program Guide	The document that describes the processes for how a supplier achieves certification. The guide is used in conjunction with this policy document. The guide provides detailed instructions on the steps a supplier must take to have a product, service, or individual certified and where to obtain relevant information and documents.
Interpretation (INT)	Decision made by the Specification Authority that elaborates or refines the meaning of a TOGAF specification, or a standard or specification referenced by a TOGAF specification. An Interpretation is one possible outcome of a Problem Report.
Problem Report (PR)	A question of clarification, intent, or correctness of a specification, a Product Standard, or the certification system, which, if accepted by the Specification Authority, will be resolved into an Interpretation, or Certification System Deficiency.
Product Standard	A Product Standard is a precisely defined and documented set of functionality against which products, services, or individuals may be certified.  Each Product Standard document includes a description of the nature and purpose of the Product Standard, detailed technical Conformance Requirements, specific prerequisite requirements that must be satisfactorily completed, supporting information, if any, and, if applicable, a summary of the migration issues to the current Product Standard from previous versions of the Product Standard.
Registration Form	A form completed by the Applicant to register a particular product, service, or individual for certification. The form contains information on the Applicant and the product, service, or individual to be certified.
Specification Authority (SA)	The Open Group designated working group or expert group, which is responsible for developing, maintaining, and interpreting the TOGAF specification(s). This is The Open Group Architecture Forum.
Test Maintenance Authority (TMA)	The organization officially sanctioned to manage and maintain the tests used within the TOGAF Certification Program. The Open Group, LLC acts as the Test Maintenance Authority for TOGAF certification.
Supplier	A product vendor, service supplier, or individual who is interested in, applying for certification in, or has been certified in the TOGAF Certification Program. During the period in which a supplier is going through the certification process, the supplier is referred to as an Applicant.



TOGAF Certification Logo	The Open Group certification mark logo used in association with one of the terms “TOGAF CERTIFIED”, “TOGAF TRAINING”, “TOGAF PROFESSIONAL SERVICES”, or “TOGAF TOOL SUPPORT”. Individual Product Standards state the exact form and version of the TOGAF term applicable to them.
TOGAF Commercial License Agreement	The agreement between the supplier and The Open Group that contains the legal agreement for commercial use of the TOGAF specifications.

## **2. CERTIFICATION PROCESS**

This section defines the process a supplier must follow to achieve certification for a product, service, or individual.

The parties involved in the certification process are:

- Applicant
- Certification Authority (The Open Group, LLC)
- Specification Authority (The Open Group Architecture Forum)
- TOGAF Commercial Licensing Authority (The Open Group, LLC)

### **2.1 Preparation for Certification**

The objective of the TOGAF Certification Program is to encourage and facilitate the development and market availability of products, services, and individuals that meet the requirements of the TOGAF specification(s).

Prior to applying for certification, the supplier should perform internal preparation to ensure the product, service, or individual meets the applicable Conformance Requirements and is ready for entry into the Certification Program.

A TOGAF Commercial License Agreement must be in place for registrations for TOGAF Tool Support, TOGAF Training, and TOGAF Professional Services. The Certification Authority's web site contains information on how to obtain a TOGAF Commercial License.

In addition, the supplier must become familiar with the Certification Program and the requirements for certification. The supplier should review this policy document, the applicable Product Standards, any agreements that are part of the program, and other related information such as the Certification Program Guide. All information and documents related to the TOGAF Certification Program are available on the Certification Authority's web site.

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

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

## **2.2 Conformance Statement**

The Applicant must produce a Conformance Statement to describe the product, service, or individual to be certified and the way in which it meets the Conformance Requirements. The Conformance Statement is produced when the Applicant completes a Conformance Statement Questionnaire. The Conformance Statement for TOGAF Tool Support contains information about the product (e.g., version, operating environment), which options the Applicant claims the product supports, and any other related information. The Conformance Statement for other classes of TOGAF certification describes the organization or individuals being certified and other pertinent information.

## **2.3 Applying for Certification**

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

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

## **2.4 Indicators of Compliance**

The Indicators of Compliance defined for the Product Standards that comprise this TOGAF Certification Program may include the use of examinations, training course attendance, or other methods. Consult the Product Standards for specific details.

The Certification Authority must be provided with the Indicator of Compliance applicable to the Product Standard against which Applicants are applying for certification.

## **2.5 Audit**

The Certification Authority will check to ensure the submitted certification information, including the Registration Form, Conformance Statement, test results (if applicable), and any other required supporting information, demonstrate that the product, service, or individual meets the applicable Conformance Requirements.

For TOGAF Certified, the Certification Authority will perform the audit of all certification-related information within six (6) business days of receiving a complete submission.

For TOGAF Tool Support, TOGAF Training, and TOGAF Professional Services, the Certification Authority will perform the audit of all certification-related information within ten (10) business days of receiving a complete submission.

## **2.6 TOGAF Certification Logo Licensing**

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

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

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

If the result is success, the Certification Authority will enter the product, service, or individual into the Certification Register. A Certificate or Certificates will be issued to the Applicant, and the Applicant will be notified that the TOGAF Certification Logo may now be used in connection with the Certified Product, Service, or Individual, according to the terms defined in the Certification Agreement.

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

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

## **3. CONFORMANCE**

### **3.1 Conformance Release**

From time to time, The Open Group will issue new versions of the TOGAF specification(s) and associated sets of Product Standards and will collect them together into consistent sets to aid product procurement and certification. Such a set is called a Conformance Release. There is expected to be a Conformance Release for each major version of the TOGAF specification(s); that is, TOGAF 7, TOGAF 8, and later. Multiple Conformance Releases may be simultaneously supported.

Products that are certified to the TOGAF Conformance Release are certified for a particular release of the TOGAF specification including minor releases. For example, the TOGAF 8 Tool Support Product Standard would include TOGAF specification Version 8.0, 8.1, and 8.2, but not 9.0.

### **3.2 Conformance Requirements**

It is an explicit condition of TOGAF certification that the supplier warrants and represents that the Certified Product, Service, or Individual meets the applicable Conformance Requirements.

The Conformance Requirements for TOGAF certification are specified in a Product Standard document (see Section 1.3).

For TOGAF certification, the Conformance Requirements include conformance to the applicable TOGAF specifications(s) as interpreted by the appropriate Specification Authority from time to time.

### **3.3 Conformance Statement**

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

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

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

## 4. OBLIGATIONS OF SUPPLIERS OF CERTIFIED PRODUCTS, SERVICES, OR INDIVIDUALS

### 4.1 Achieving Certification

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

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

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

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

### 4.2 Maintaining Certification

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

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

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

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

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

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

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

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

### **4.3 Removal of Certification**

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

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

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

## **5. THE TOGAF CERTIFICATION LOGO**

A license for the TOGAF Certification Logo is granted as part of the Certification Agreement.

The terms for use of the TOGAF Certification Logo in relation to a Certified Product, Service, or Individual are as described in the Certification Agreement.

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

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

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



## **6. CERTIFICATION REGISTER**

### **6.1 Inclusion in the Certification Register**

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

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

### **6.2 Removal from the Certification Register**

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

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

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

## 7. TESTING POLICY

This section documents the policy for tests used as the Indicator of Compliance for the TOGAF Certified Product Standard. A future version of the TOGAF Certification Program may extend testing to other areas, at which time this document will be updated to include further policy covering the test policies applicable to the area of the program.

### 7.1 Examination Tests

Some TOGAF Product Standards include a requirement for individuals to pass an authorized version of the TOGAF certification examination, valid at the time of application. The Certification Authority will maintain the list of approved certification examination tests and the authorized version information on its web site.

The Open Group Architecture Forum is the authority for approving the knowledge base from which questions are developed for each version of the TOGAF Certified Product Standard.

From time to time, The Open Group may introduce new examination tests, either as replacements for existing examination tests or as part of a continuing policy of extending examination test coverage within the TOGAF Certification Program. This section documents the process for creating, reviewing, and formally accepting examination tests for use in the program.

Tests will be reviewed and approved by The Open Group member experts in a manner that takes into account the confidential nature of the test materials.

An individual who has failed an examination will not be allowed to retake the examination within 30 days of the first sitting. No candidate is allowed to take the same examination more than three (3) times in twelve (12) months.

There are three (3) types of examination test releases: *certification*, *maintenance*, and *enhancement*.

#### 7.1.1 Certification Releases

Examination test certification releases are used for formal certification testing.

#### 7.1.2 Maintenance Releases

Examination test maintenance releases are updates to approved certification examination tests, and are created to address Interpretations or Examination Test Deficiencies that have arisen.

Maintenance releases have a two (2)-week review period. The new version will be used in the program after faults found in the review period have been rectified and a revised version is made available and accepted by The Open Group for use in the program. Once accepted, maintenance releases may be used for formal testing and will immediately replace existing releases. The Certification Authority will establish a mailing list for announcements of new maintenance releases and shall post an announcement when a new examination test release is valid.

### **7.1.3 Enhancement Releases**

Examination test enhancement releases consist of enhancements to existing certification examination tests (e.g., to include new coverage) or entirely new examination tests. Enhancement releases will have a two (2)-week review period. The new version will be used in the program after faults found in the review period have been rectified and a revised version is made available and accepted by The Open Group for use in the program. Once accepted, enhancement releases may be used for certification and will replace existing releases as soon as approved.

## 8. CERTIFICATION REQUIREMENTS FOR MODIFICATIONS OF A CERTIFIED PRODUCT OR SERVICE

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

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

Products, services, and individuals that are certified to a Product Standard are certified for a particular release of the TOGAF specification including minor releases; for example, conformance to a TOGAF 8 Product Standard can include TOGAF specification Version 8.0, 8.1, and 8.2, but not 9.0.

Product Standards will not be updated for minor point releases of TOGAF and so there will be no difference on the Certification Register between products, services, and individuals certified for TOGAF 8.0 and TOGAF 8.1, etc.

### 8.1 TOGAF Tool Support

This section defines the requirements for products registered to the TOGAF Tool Support Product Standard.

#### 8.1.1 TOGAF Tool Support Maintenance Releases

Maintenance releases to a TOGAF Tool Support Certified Product may take place throughout the life of the Certified Product.

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

- A limited update that can be installed without a complete re-installation of the Certified Product
- A release which does not reduce the Certified Product’s support for optional features related to the Product Standard
- A change that does not affect the conformance statement for the Certified Product

	Certification Requirement
TOGAF Tool Support Maintenance Release	Certification Information update

Maintenance releases that consist entirely of changes representing functionality outside the scope of the current TOGAF specification(s) for which the TOGAF Tool Support Certified Product is certified do not require re-certification.

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

### 8.1.2 TOGAF Tool Support New Versions

A new version of a TOGAF Tool Support Certified Product that does not qualify as a maintenance release, and thus contains a material change in the TOGAF-related functionality, constitutes a new product with respect to certification.

A material change in the product is one that may affect its conformance to the applicable TOGAF specification(s), or which may affect the Conformance Statement.

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

A new version of a TOGAF Tool Support Certified Product, which has been repackaged and shipped as a new product with a reduced set of supported features, qualifies as a new version.

	Certification Requirement
TOGAF Tool Support New Version	New Certification

### 8.1.3 TOGAF Tool Support Renamed Products

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

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

	Certification Requirement
TOGAF Tool Support Renamed Product	Certification Information update

### 8.1.4 TOGAF Tool Support Re-Branded Products

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

	Certification Requirement
TOGAF Tool Support Re-branded Product	New Certification

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

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

### 8.1.5 TOGAF Tool Support Other Variants

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

## 8.2 TOGAF Training

This section defines the requirements for training course materials registered to the TOGAF Training Product Standard.

### 8.2.1 TOGAF Training Maintenance Updates

Maintenance updates to a TOGAF Training Certified Product may take place throughout the life of the Certified Product.

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

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

	Certification Requirement
TOGAF Training Maintenance Update	Certification Information update

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

In order to update the Certification Register entry to reflect the maintenance update of the Certified Product, the supplier must submit a new application for certification indicating that it is for a maintenance

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

### 8.2.2 TOGAF Training New Versions

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

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

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

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

	Certification Requirement
TOGAF Training New Version	New Certification

### 8.2.3 TOGAF Training Renamed Products

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

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

	Certification Requirement
TOGAF Training Renamed Product	Certification Information update

### 8.2.4 TOGAF Training Re-Branded Products

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

	Certification Requirement
TOGAF Training Re-branded Product	New Certification

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

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

### 8.2.5 TOGAF Training Other Variants

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

## 8.3 TOGAF Certified

This section defines the requirements for individuals that are registered to the TOGAF Certified Product Standard.

### 8.3.1 TOGAF Certified Name Change

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

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

	Certification Requirement
TOGAF Certified Name Change	Certification Information update

## 8.4 TOGAF Professional Services

This section defines the requirements for organizations that are registered for the TOGAF Professional Services Product Standard.

### 8.4.1 TOGAF Professional Services Providers Update to Practitioners Register

Organizations providing TOGAF Professional Services must maintain a register of TOGAF Certified practitioners who provide the services. This may be an empty register. The TOGAF Professional Services provider must notify the Certification Authority of any changes to this register within 60 days of any change occurring in the organization's ability to provide the services. The practitioners who are registered must be on the applicable TOGAF Certified Certification Register (i.e., if a TOGAF Professional Service provider is a TOGAF 8 Professional Services provider, the practitioners must themselves be TOGAF 8 Certified).

The Certification Authority will update the list of practitioners for the TOGAF Professional Services provider on the Certification Register.

The TOGAF Professional Services provider will be required to provide a written statement to the Certification Authority indicating the reason for the change.



	Certification Requirement
TOGAF Professional Service Providers Practitioners Register Update	Certification Information update

## 9. RENEWAL PROCESS

### 9.1 Duration of Certification

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

**For Product Standards where there are interim Conformance Requirements (typically for a three-month period), the duration of certification will be equal to one half of the applicable duration shown below.**

Product Standard	Duration of Certification	Renewal Possible?
TOGAF Certified	24 months <sup>3</sup>	Yes
TOGAF Tool Support	24 months	Yes
TOGAF Training	24 months	Yes
TOGAF Professional Services	24 months	Yes

### 9.2 Certification Renewal

Certification renewal is required periodically as shown in the table above. Approximately 60 calendar days prior to the renewal date, the Certification Authority will notify the supplier or individual (in the case of TOGAF Certified) that renewal is due.

If renewal does not occur within 30 calendar days after the renewal date, the Certification Authority will remove the certified entry from the Certification Register. Such an item or individual will then no longer be considered certified and the non-renewal shall also result in a termination of any licensed Certification Logo rights. Individuals who are TOGAF Certified renew their certification by paying the renewal fee.

For the TOGAF Tool Support, TOGAF Training, and TOGAF Professional Services, the supplier is required to ensure that the Certified Product or Service continues to meet all applicable Conformance Requirements and to re-affirm the warranty of conformance. This includes the requirements to conform to the applicable TOGAF specification(s), including all Interpretations that have been granted by the Specification Authority.

A supplier can renew if the following criteria are met:

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

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

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<sup>3</sup> Note that renewal is not applicable to those individuals who have certified under the interim Conformance Requirements. Those individuals must complete the requirements for full certification at the end of the interim period and certify, or they will be removed from the Certification Register.

For all renewal cases, once all requirements are met, the Certification Authority will renew the certification and inform the supplier or individual. The Certification Authority will update the Certification Register and issue an updated Certificate to reflect that certification has been renewed.

## **10. PROBLEM REPORTING AND INTERPRETATIONS PROCESS**

### **10.1 Overview**

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

The types of problems that may be found include:

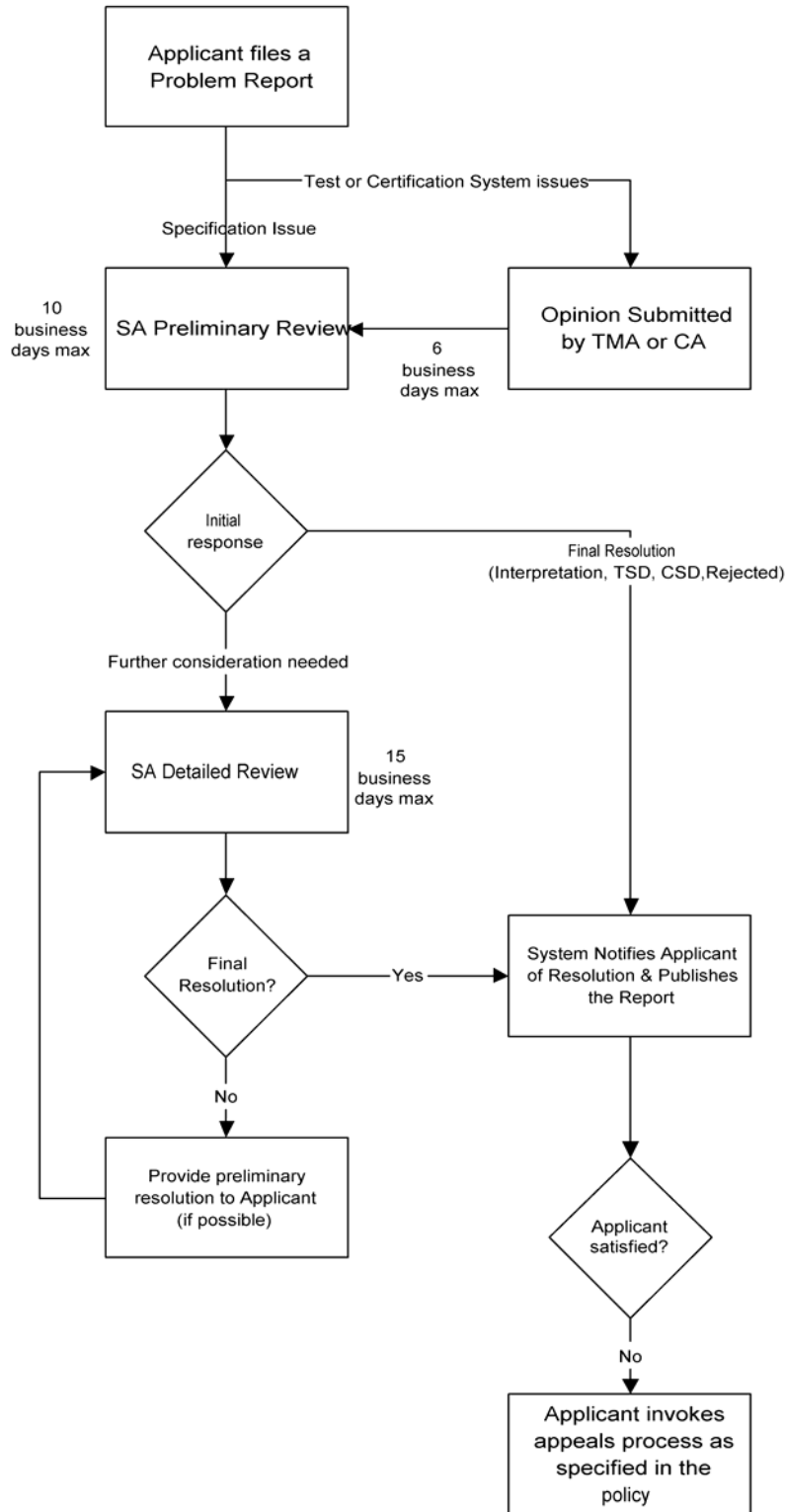
- Errors or ambiguities in the specification(s) against which conformance is based; specifically, in the TOGAF specification(s), or the underlying standards referenced by the TOGAF specification(s)
- Errors in the tests that assess the Conformance Requirements for certification
- Errors in the certification system; specifically related to the registration process, agreements, and completion of Conformance Statements

The Problem Report is used specifically for the types of errors listed above which are inhibiting the certification effort. For general questions on the certification process, or other problems not covered above, the Certification Authority's web site should be consulted for further information.

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

The process is outlined in the following diagram.

# Problem Reporting WorkFlow



The Specification Authority is the appropriate interpretations body for the TOGAF specification(s), and is responsible for reviewing and providing a resolution to all Problem Reports. The key element of the review process is a deterministic timeline for a formal resolution to the Problem Report. The Certification Authority provides an opinion to the Specification Authority for certification problems.

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

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

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

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

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

### **10.3 Resolution of Problem Reports**

The possible outcomes for Problem Report resolution are:

- Accepted as an error or ambiguity in the specifications (an Interpretation)
- Accepted as an error in the certification system (Certification System Deficiency), or
- Accepted as an error in an examination test (Examination Test Deficiency), or
- Rejected

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

### **10.3.1 Interpretations**

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

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

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

The Specification Authority is responsible for deciding the meaning of conformance to normative referenced standards in the TOGAF context. Problem Reports regarding such underlying or referenced standards in the context of TOGAF will be processed as normal. Problem Reports regarding underlying or referenced standards in any other context will be rejected.

### **10.3.2 Examination Test Deficiency**

An Examination Test Deficiency is an agreed error in an examination test. Examination Test Deficiencies apply to a specific version of an examination test and are permanent against that version. They remain in force until the test is updated, at which time, the error should be fixed in the examination test update. If the Test Maintenance Authority (TMA) should decide not to fix an Examination Test Deficiency in the updated examination test, the TMA will submit a new Problem Report and assign it as an Examination Test Deficiency against the new examination test version. These will be flagged as a re-issue by the TMA and will be administratively issued by the Certification Authority.

In all circumstances, the complete examination test or set of examination tests must be run during certification. The existence of any Examination Test Deficiency with respect to an examination test question does not absolve an Applicant from taking the examination test in question, or any part thereof.

### **10.3.3 Certification System Deficiency**

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

## **10.4 Problem Report Repository**

The Certification Authority will maintain a web-accessible repository of all submitted Problem Reports. This repository will be publicly accessible. The publicly accessible information will contain the technical

details such as the nature of the problem and its current status of resolution, but will not contain sections reserved for supplier and product details, thus maintaining the confidentiality of the supplier.

An Applicant may not cite an Interpretation or Certification System Deficiency to resolve discrepancies in their application for certification or to support their application in any other way, irrespective of the origin of the Problem Report.



## 11. APPEALS PROCESS

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

1. The supplier disagrees with the resolution of a Problem Report.
2. The supplier disagrees with the Certification Authority's grounds for denying the award of certification.
3. The supplier of a Certified Product, Service, or Individual disagrees with a formal notification of the need to rectify a non-conformance.

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

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

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

A supplier wishing to dispute a Specification Authority or Certification Authority decision may request a Technical Review. A Technical Review requires the responsible expert group to consider the matter and produce a response with a recorded vote according to its voting rules, within 21 calendar days of the request. The responsible expert group may commission reports from independent experts, and may seek input from other committees within The Open Group as it sees fit.

If the supplier is not satisfied with the outcome of the Technical Review, the supplier may request an appeal to The Open Group TOGAF Certification Review Board within 14 calendar days of being notified in writing by the Certification Authority of the results of the Technical Review. The Review Board is an independent panel of experts appointed by The Open Group. It may ask for technical reports from the relevant working groups and may also ask for reports from independent experts. The Board Review will be completed within 30 calendar days of the supplier's written request for a Board Review. The results of a Board Review are final and cannot be further appealed.

## **12. NON-DISCLOSURE POLICY**

### **12.1 Non-Disclosure**

Information relating to an Applicant and the product, service, or individual(s) to be certified will not be disclosed during the certification process; that is, prior to the award of certification. This includes information related to the Registration Form, Conformance Statements, and Problem Reports.

In addition, the Certification Authority will not disclose any information regarding unsuccessful applications for certification.

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

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

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

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

On occasions, a supplier will apply for and achieve certification prior to a product or service launch in the marketplace. To enable a supplier to keep such information confidential prior to product or service launch, the supplier may request that the certification information be kept confidential for a maximum period of six (6) months from the date of written notification by the Certification Authority that the product or service has achieved certification.

During this period, the supplier may not make any representation of conformance with the TOGAF specification(s) or claims of being certified without first informing the Certification Authority that the confidential period has expired. In addition, the TOGAF Certification Logo must not be used in association with the product or service during this period. In the event the supplier wishes to keep the certification information for a product or service confidential permanently, the supplier may request withdrawal and deletion of such information. Such product or service will then no longer be considered certified.

The certification information will cease to be held confidential upon the earlier of notice by the supplier that the confidential period has expired, or at the end of the six (6)-month period, provided that the supplier has not requested withdrawal and deletion of such information.