

**Open Trusted Technology Provider™ Standard  
(O-TTPS)**

**Certification Policy**

Version 1.1  
January 2017

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## **Open Trusted Technology Provider<sup>™</sup> Standard (O-TTPS): Certification Policy**

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

The Open Group, 800 District Avenue, Suite 150, Burlington, MA 01803, United States

or by electronic mail to:

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

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# 1. Overview

This section is an overview of the Open Trusted Technology Provider™ Standard (O-TTPS) Certification Program.

## 1.1 Introduction

The primary objective of the O-TTPS Certification Program is to provide confidence to acquirers of commercial off-the-shelf (COTS) information and communication technology (ICT) products that the risks associated with the threats currently set forth in the O-TTPS are addressed by a provider through conformance to the O-TTPS. Demonstration of conformance through an independent, voluntary certification program provides formal recognition of a provider's conformance to this industry standard. An additional objective of the O-TTPS Certification Program is to encourage and facilitate the adoption and implementation of the O-TTPS by providers: Original Equipment Manufacturers (OEMs), hardware and software component suppliers, value-add resellers, integrators, and distributors.

This Certification Policy and its associated documents govern the operation of the O-TTPS Certification Program. This policy defines what can be certified, what it means to be certified, and the process for achieving and maintaining certification. This policy also defines the obligations of Organizations, including a requirement that within a declared Scope of Certification it meets the Conformance Requirements, which include conformance to a defined version of the O-TTPS as interpreted by The Open Group Trusted Technology Forum (OTTF).

This Certification Policy – in conjunction with the Conformance Requirements, Certification Agreement, and Trademark License Agreement – constitute the set of requirements and obligations for achieving certification.

This document is intended to be used primarily by Organizations that would like to become certified, the Certification Authority, and Assessors. Acquirers intending to procure products from certified Organizations and other stakeholders who want assurance of an Organization's capabilities will also find this document useful for understanding what they can expect from a certified Organization.

The O-TTPS Certification Program is a voluntary program and is open to any Organization. An Organization is not required to be a member of The Open Group to become certified.

## 1.2 Terminology and Definitions

Capitalized terms and abbreviations in this document shall have the meaning defined in the O-TTPS. In addition, the following tables define terms or clarify the meaning of words used within this Certification Policy and associated certification documents.

### 1.2.1 Terms Applicable to all Available Tiers in the O-TTPS Certification Program

The terms in this section apply to both O-TTPS Self-Assessed and O-TTPS Third-Party Assessed certification tiers.

| <b>Term</b>                           | <b>Definition</b>  |
|---------------------------------------|--|
| Business Days                         | Monday through Friday, excluding USA and UK customary public holidays, and the period from December 23 to January 4 each year.   |
| Certification Agreement               | The agreement between the Organization and the Certification Authority that defines the certification service to be provided and contains the legal commitment by the Organization to the conditions of the O-TTPS Certification Program.  |
| Certification Authority (CA)          | The organization that manages the day-to-day operations of the O-TTPS Certification Program in accordance with the policies defined in this Certification Policy document. Authorized staff of The Open Group serve as the Certification Authority for the O-TTPS Certification Program.       |
| Certification Certificate             | A document issued to an Organization formally declaring that an Organization has successfully met the requirements for certification for their declared Scope of Certification.  |
| Certification Contacts                | Individuals within an Organization who are the points of contact with respect to the certification.  |
| Certification Logo                    | The certification mark or other marks as designated by The Open Group for use in association with O-TTPS certification.  |
| Certification Period                  | The duration for which the certification is valid before it must be renewed.   |
| Certification Register                | The official list of all Organizations that have achieved O-TTPS certification, maintained by the Certification Authority and made publicly available via the Certification Authority's website.   |
| Certification System                  | The software and hardware information systems and the supporting certification documents used in the certification process.  |
| 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.   |
| Conformance Requirements              | The O-TTPS requirements that an Organization must meet in order to demonstrate conformance to the O-TTPS. Those requirements are declared in the Conformance Requirements document.  |
| Conformance Statement                 | The document in which an Organization declares its Scope of Certification.   |
| Interpretation                        | A decision made by the Specification Authority that elaborates or refines the meaning of the O-TTPS. An Interpretation is one possible outcome of a Problem Report.  |
| Organization                          | An Original Equipment Manufacturer (OEM), hardware or software component supplier, value-add reseller, integrator, or distributor that is interested in applying for certification, has applied for certification, or that has achieved certification in the O-TTPS Certification Program.     |
| Problem Report                        | A question of clarification, intent, or correctness of the O-TTPS, the Assessment Methodology, or the Certification System. Problem Reports identified as valid are resolved by the issuance of an Interpretation, an Assessment Methodology Deficiency, or a Certification System Deficiency. |

| <b>Term</b>                        | <b>Definition</b>   |
|------------------------------------|---|
| Scope of Certification             | A description by the Organization of the products, product lines, business units, and/or geographies, which optionally could encompass an entire organization, and for which O-TTPS certification is being applied for or has been achieved. The Scope of Certification is declared in the Conformance Statement. |
| Specification Authority (SA)       | The OTTF serves as the Specification Authority for the O-TTPS and the Assessment Methodology. The OTTF is responsible for developing, maintaining, and interpreting the O-TTPS and the Assessment Methodology.  |
| Technical Review Board             | The OTTF Steering Committee.  |
| Trademark License Agreement (TMLA) | The agreement that contains the legal commitment by the Organization to the conditions for use of the Certification Logo.   |

### 1.2.2 Terms Applicable to O-TTPS Third-Party Assessed Certification

The following additional terms relate to the certification processes and requirements for O-TTPS Third-Party Assessed certification.

| <b>Term</b>                       | <b>Definition</b>   |
|-----------------------------------|---|
| Assessment                        | The mandatory use of the Assessment Procedures to inspect an Organization's Evidence of Conformance and Certification Package Document, together with additional information as required in order to recommend conformance to the Conformance Requirements for the declared Scope of Certification.             |
| Assessment Methodology            | The following certification documents: the Certification Policy, the Conformance Requirements, and the Assessment Procedures.   |
| Assessment Methodology Deficiency | A decision made by the Specification Authority that elaborates or refines the meaning of an Assessment Methodology document. An Assessment Methodology Deficiency is one possible outcome of a Problem Report.  |
| Assessment Procedures             | A set of mandatory processes and procedures uniformly applied by the Assessor to determine conformity to the Conformance Requirements.  |
| Assessment Report                 | The outcome of the Assessment as documented in the Certification Package Document by the Assessor and signed by both the Organization and the Assessor.   |
| Assessor                          | An individual or team of individuals within an O-TTPS Recognized Assessor organization who meets the criteria for performing Assessments for the O-TTPS Certification Program as specified in the O-TTPS Recognized Assessor Agreement and may perform Assessments of an Organization's Scope of Certification. |
| Certification Package             | The Certification Package Document together with the Evidence of Conformance.   |
| Certification Package Document    | The document in which the Organization defines the relationship between each requirement and the Evidence of Conformance; it is also where the Assessor subsequently records the Assessment findings and provides the Assessment Report.  |

| <b>Term</b>   | <b>Definition</b>  |
|---|--|
| Evidence of Conformance                                       | Evidence submitted to the Assessor performing the Assessment to demonstrate conformance to the Conformance Requirements within an Organization's declared Scope of Certification.  |
| Implementation Selection Criteria (ISC)                       | The documented set of criteria that an Organization applies to its declared Scope of Certification to determine a set of Selected Representative Products from which Evidence of Conformance is drawn. The Implementation Selection Criteria are identified in the ISCA Document.  |
| Implementation Selection Criteria Application (ISCA) Document | A document in which the Organization identifies a set of representative products from within the Scope of Certification and provides the methodology and rationale used in applying the Implementation Selection Criteria to make the selection. The Evidence of Conformance associated with the Selected Representative Products will be assessed against the Conformance Requirements. |
| O-TTPS Recognized Assessor                                    | A company that has met the O-TTPS Recognized Assessor criteria defined in the O-TTPS Recognized Assessor Agreement, has entered into the O-TTPS Recognized Assessor Agreement with the Certification Authority, and makes available Assessors to perform Assessments of Organizations for the purpose of O-TTPS certification.   |
| Selected Representative Products                              | A representative subset of products within the Scope of Certification identified in the ISCA Document and approved by the Certification Authority.   |

### 1.3 Available Certifications

Certification is to a particular version of the O-TTPS as defined by the currently applicable Conformance Requirements document(s). Each Conformance Requirements document may define multiple tiers of certification, which differ based on the process that is required in order to demonstrate conformance to the Conformance Requirements.

Each Organization must still meet the same set of Conformance Requirements in order to achieve certification, but will be able to choose the path they take to achieve certification, by selecting a particular tier of certification.

There are currently two tiers of certification available in the Program:

| <b>Tier</b>          | <b>Description</b>   |
|----------------------|--|
| Self-Assessed        | Certification is awarded based on the Organization's execution of the Certification Agreement, which includes a warrant and representation that they meet the Conformance Requirements within the Scope of Certification.  |
| Third-Party Assessed | Certification is awarded based on both the Organization's execution of the Certification Agreement, which includes a warrant and representation that they meet the Conformance Requirements within the Scope of Certification and an independent Assessment by an O-TTPS Recognized Assessor of such claim of conformance. |



## **1.4 References**

### **1.4.1 Referenced Documents**

The following documents are referenced within this document.

The documents relevant to all O-TTPS certifications are:

- Certification Agreement
- Certification Policy (this document)
- Conformance Requirements
- Conformance Statement
- The Open Trusted Technology Provider Standard (O-TTPS)
- Trademark License Agreement

The following documents are relevant to O-TTPS Third-Party Assessed certification:

- Certification Package Document, including the Assessment Report
- Assessment Procedures
- Implementation Selection Criteria Application (ISCA) Document
- O-TTPS Recognized Assessor Agreement

### **1.4.2 Referenced Websites**

The Certification Authority's website contains all documents and software systems used in the certification process. The software systems include those for registration and management of a certification, problem reporting, and interpretations, the Certification Register, the repository of resolved Problem Reports, and the register of O-TTPS Recognized Assessors. The Certification Authority's website is located at <http://ottps-cert.opengroup.org>.

## 2. Certification Process

This section defines the process an Organization must follow to achieve O-TTPS certification.

The following parties are involved in the certification process:

- Organization
- Certification Authority
- O-TTPS Recognized Assessor and its Assessor(s) (for Third-Party Assessed certification only)
- Specification Authority
- Technical Review Board
- The Open Group Governing Board

Figure 1 defines the symbols that are used in the workflow diagrams and applies to all figures within this document.





| Symbol  | Function  |
|---|---|
|   | The start or end of the process.                                    |
|  | A process, task, or action.   |
|  | A decision. The answer or response determines the path to be taken. |
|  | Inputs.   |

Figure 1: Certification Workflow Legend

### 2.1 Certification Process for O-TTPS Self-Assessed Certification

Figure 2 illustrates an overview of the O-TTPS Self-Assessed certification process. Its steps are described in detail within this section.

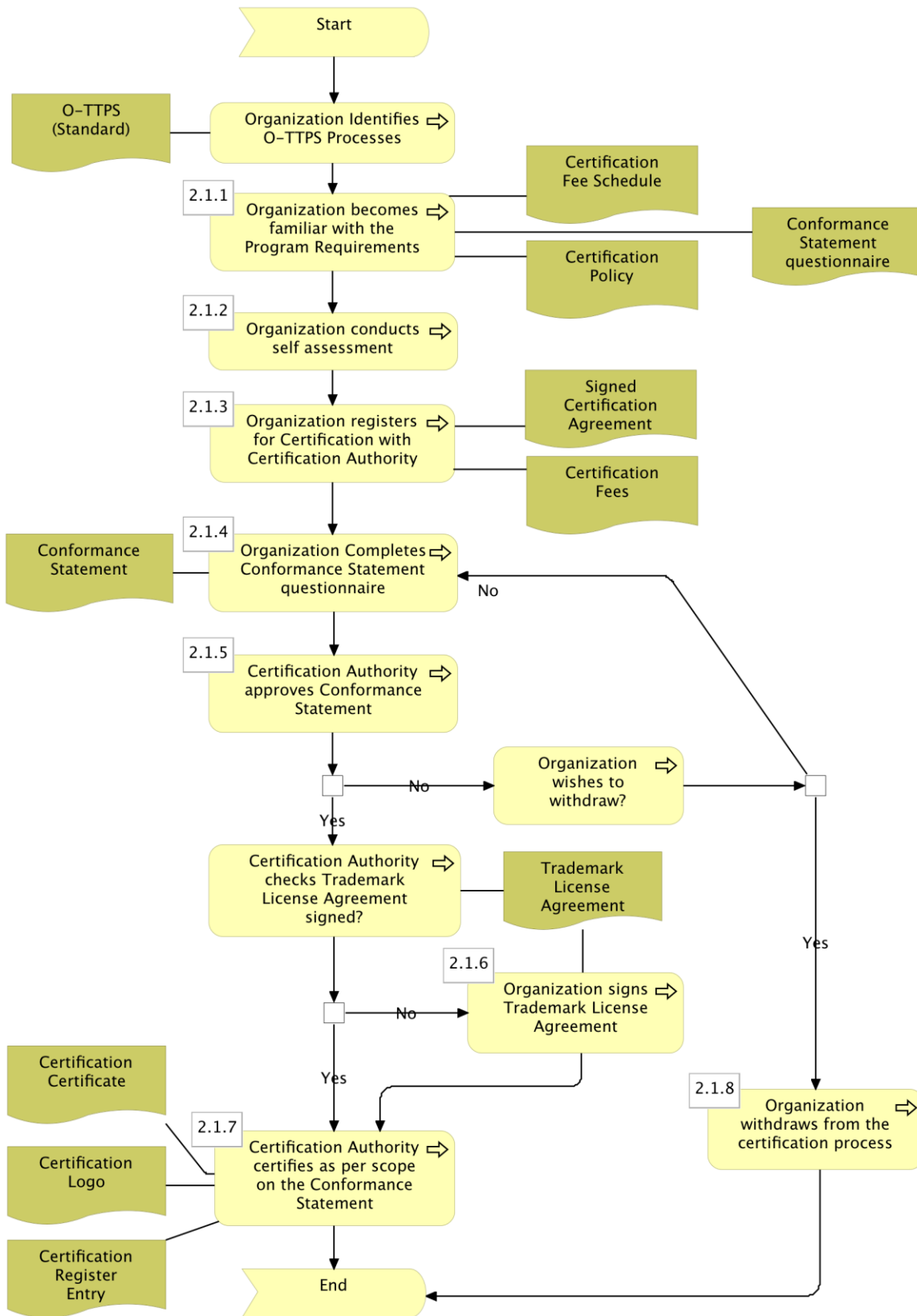


Figure 2: Self-Assessed Certification Workflow

### **2.1.1 Preparation for Certification**

Prior to registering for certification, with a goal of ensuring that it is ready for entry into the O-TTTPS Certification Program, the Organization should become familiar with the Referenced Documents (see Section 1.4.1) and any other informative documents, such as FAQs.

Once an Organization believes it is in conformance with the Conformance Requirements for the defined Scope of Certification, the Organization may register for certification.

### **2.1.2 Organization Conducts Self-Assessment**

The Organization should conduct a self-assessment to determine whether, to the best of their knowledge, they are in conformance with the O-TTTPS throughout their Scope of Certification. This assessment may be conducted internally or externally by a third party, which could be an O-TTTPS Recognized Assessor. Organizations undergoing self-assessment should use the published Assessment Procedures as guidance for determining conformance. Organizations conducting self assessments should retain evidence and documentation that support their assertion of conformance.

### **2.1.3 Registering for Certification**

The first step in the process is for the Organization to register its intent to be certified by completing the registration information and submitting it along with the Certification Agreement and certification fee to the Certification Authority.

As part of the registration process, the Organization must specify the Organization's Certification Contacts.

All notifications regarding this certification and any subsequent renewals will be sent by the Certification Authority to the Certification Contacts. It is the responsibility of the Organization to ensure that these Certification Contacts are kept up-to-date for the duration of the certification.

### **2.1.4 Completing the Conformance Statement Questionnaire**

The Organization must produce a Conformance Statement using the Conformance Statement questionnaire. The Conformance Statement defines:

- The legal entity applying for certification
- The tier to which the legal entity is applying
- The version of the O-TTTPS to which the Organization conforms
- The Scope of Certification for the proposed certification
- Optionally, any defined exclusions (e.g., products, product lines, geographies, etc.) that the Organization would like explicitly listed as outside the Scope of Certification

The O-TTTPS Certification Program allows the Organization to choose its Scope of Certification. The Organization will be certified for conforming to the O-TTTPS throughout a particular scope, which may be identified as one or more individual products, a product line or business unit, or an entire Organization. Indicate the nature of the Organization as it applies to the Organization's Scope of Certification; for example, OEM, component supplier, value-add reseller, integrator, distributor.

### **2.1.5 Certification Authority Reviews the Conformance Statement**

The Certification Authority reviews the completed Conformance Statement for consistency and completeness to determine whether:

- The Conformance Statement is complete.
- The content and style are consistent with the Conformance Statements from other O-TTPS certification applications.

The Certification Authority will respond to the Organization within 20 days to provide approval or an explanation of any elements that need further clarification or revision in the Conformance Statement.

### **2.1.6 Organization Signs Trademark License Agreement**

If the Organization has not previously completed a Trademark License Agreement for use of the Certification Logo, it must be completed at this stage. The Certification Authority's website contains information on how to obtain and complete the Trademark License Agreement.

### **2.1.7 Certification Awarded**

The Certification Authority will notify the Organization in writing of the outcome of the certification process.

If the result is success and there is a Trademark License Agreement in place, the Certification Authority will certify the Organization.

Organizations have the option to delay listing their certification in the Certification Register as described in Section 11.3. At the time of achieving certification, or of agreeing to publicly list if previously delayed, the Certification Authority will issue a Certification Certificate, and enter the Organization's details into the Certification Register. The Organization will also be notified that the Certification Logo may then be used according to the terms defined in the Trademark License Agreement.

### **2.1.8 Withdrawal from the Certification Process**

If an Organization decides to withdraw from the certification process, it must provide notification to the Certification Authority that it is withdrawing; it is not required to provide a reason for withdrawal.

When informed of a withdrawal by the Organization, the Certification Authority will archive the information that has thus far been provided to the Certification Authority. Any fees paid to the Certification Authority will be forfeited. The Organization may re-apply for certification at a later date though that application will be treated as a new application and, as such, will require payment of the applicable certification fee for submission of a full set of documents, as per an initial certification.

As an alternative to withdrawal, the Organization may submit a revised Conformance Statement to the Certification Authority for approval. Only one such revision is permitted and a further revision would require a new application.

## **2.2 Certification Process for O-TTPS Third-Party Assessed Certification**

Figure 3 illustrates an overview of the O-TTPS certification process. Its steps are described in detail in this document.

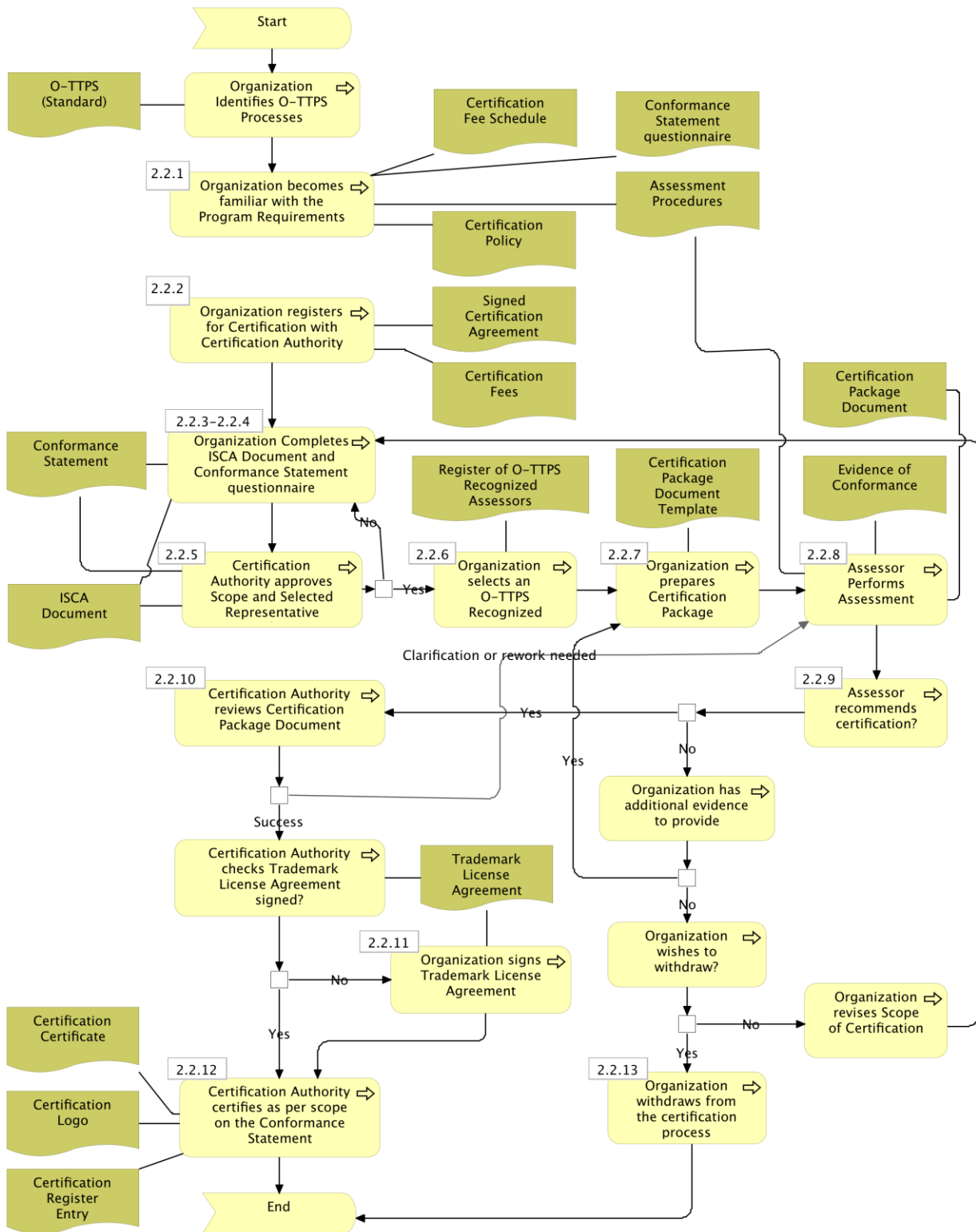


Figure 3: Third-Party Assessed Certification Workflow

### **2.2.1 Preparation for Certification**

Prior to registering for certification, with a goal of ensuring that it is ready for entry into the O-TTTPS Certification Program, the Organization should become familiar with the Referenced Documents (see Section 1.4.1) and any other informative documents, such as FAQs.

Once an Organization believes it is in conformance with the Conformance Requirements for the defined Scope of Certification, the Organization may register for certification.

### **2.2.2 Registering for Certification**

The first step in the process is for the Organization to register its intent to be certified by completing the registration information and submitting it along with the Certification Agreement and certification fee to the Certification Authority.

As part of the registration process, the Organization must specify the Organization's Certification Contacts.

All notifications regarding this certification and any subsequent renewals will be sent by the Certification Authority to the Certification Contacts. It is the responsibility of the Organization to ensure that these Certification Contacts are kept up-to-date for the duration of the certification.

### **2.2.3 Completing the Conformance Statement Questionnaire**

The Organization must produce a Conformance Statement using the Conformance Statement questionnaire. The Conformance Statement defines:

- The legal entity applying for certification
- The version of the O-TTTPS to which the Organization conforms
- The Scope of Certification for the proposed certification
- Optionally, any defined exclusions (e.g., products, product lines, geographies, etc.) that the Organization would like explicitly listed as outside the Scope of Certification
- Indicate the nature of the Organization as it applies to the Organization's Scope of Certification (e.g., OEM, component supplier, value-add reseller, integrator, distributor)
- The name of the selected O-TTTPS Recognized Assessor organization

The O-TTTPS Certification Program allows the Organization to choose its Scope of Certification. The Organization will be certified for conforming to the O-TTTPS throughout a particular scope, which may be identified as one or more individual products, a product line or business unit, or an entire Organization.

### **2.2.4 Completing the ISCA Document**

The Organization must complete the ISCA Document per the instructions within the document to the satisfaction of the Certification Authority. The objective of this activity is to identify a subset of products within the Scope of Certification that is representative of the Scope of Certification. All Selected Representative Products will be assessed for conformance to the Conformance Requirements.

The ISCA Document also contains a description of the methodology and rationale used to apply the Implementation Selection Criteria in the selection and any other information that the Organization may want to disclose to the Certification Authority to justify its Selected Representative Products.

#### **2.2.5 Certification Authority Reviews and Approves the Conformance Statement and ISCA Document**

The Certification Authority will review the Conformance Statement and the ISCA Document. Since there may be considerable variation between applications for certification in both the Scope of Certification and the Selected Representative Products, the Certification Authority will also review these documents for consistency across other O-TTPS certification applications and for appropriate selection of products.

The Certification Authority will keep confidential and not share with the Assessor information related to how the Organization applies the Implementation Selection Criteria and the methodology and rationale used to choose the Selected Representative Products.

The Certification Authority must approve both the Conformance Statement, which includes the Scope of Certification, and the ISCA Document, which includes the Selected Representative Products, before the Organization can move forward in the Assessment process. The Certification Authority will respond to the Organization within 20 days to provide approval or an explanation of any elements that need further clarification or revision in the Conformance Statement or the ISCA Document.

#### **2.2.6 Organization Selects an O-TTPS Recognized Assessor**

The Organization chooses an O-TTPS Recognized Assessor from the register of O-TTPS Recognized Assessors to perform its Assessment. This register will be maintained on the Certification Authority's website.

To be recognized by The Open Group as an O-TTPS Recognized Assessor, a company must meet the criteria defined in the O-TTPS Recognized Assessor Agreement. The company must also enter into the O-TTPS Recognized Assessor Agreement with the Certification Authority. The rationale and process for removing an O-TTPS Recognized Assessor from the register of O-TTPS Recognized Assessors is defined in the O-TTPS Recognized Assessor Agreement.

The Organization informs the Certification Authority which O-TTPS Recognized Assessor has been engaged. Should the Organization subsequently change its choice of O-TTPS Recognized Assessor, the Organization must notify the Certification Authority.

#### **2.2.7 Organization Prepares Certification Package**

After the Certification Authority approves the Selected Representative Products, the Organization assembles the Certification Package, which consists of the Certification Package Document and the Evidence of Conformance. The Certification Package Document contains a table for each requirement in which the Organization must supply pointers to evidence that demonstrates conformance to that requirement for every Selected Representative Product. The Evidence of Conformance is all material referenced in the Certification Package Document and necessary to demonstrate conformance to the Conformance Requirements. The Organization submits the Certification Package to the Assessor.



### **2.2.8 Assessor Performs the Assessment**

The Assessor assesses the Certification Package Document and the Evidence of Conformance it references. Applying the Assessment Procedures, the Assessor determines whether the evidence provided demonstrates the Organization's conformity to the Conformance Requirements for each of the Selected Representative Products.

The Assessor records comments regarding conformance to the Conformance Requirements in the Certification Package Document according to the instructions in the Assessment Procedures.

For an Assessment for initial certification, there is no time limit for the Assessment to complete. In the case of re-certification, the Assessment must complete within the timeframe defined in Section 8.2.

### **2.2.9 Assessor Recommends Certification**

Once the Assessor has completed the Assessment Report and is able to recommend certification, both the Organization and the Assessor review and sign the Assessment Report. The Assessor submits the updated Certification Package Document, including the Assessment Report, to the Certification Authority.

This fully complete Certification Package Document forms the Certification Authority's record of the Assessment.

The Evidence of Conformance that was submitted to the Assessor remains with the Assessor and must be archived for a period of at least six (6) years.

### **2.2.10 Certification Authority Reviews the Certification Package Document**

The Certification Authority reviews the completed Certification Package Document for consistency and completeness and to determine whether:

- The Certification Package Document is complete.
- The Assessment Report is unambiguous.
- The content and style are consistent with the Certification Package Documents from other O-TTPS certification applications.

If the Certification Authority believes the Assessor's findings are insufficient, then the Certification Authority may require the Assessor to provide clarification or additional rationale to support the findings.

### **2.2.11 Organization Signs Trademark License Agreement**

If the Organization has not previously completed a Trademark License Agreement for use of the Certification Logo, it must be completed at this stage. The Certification Authority's website contains information on how to obtain and complete the Trademark License Agreement.

### **2.2.12 Certification Awarded**

The Certification Authority will notify the Organization in writing of the outcome of the certification process.

If the result is success and there is a Trademark License Agreement in place, the Certification Authority will certify the Organization.

Organizations have the option to delay listing their certification in the Certification Register as described in Section 11.3. At the time of achieving certification, or of agreeing to publicly list if previously delayed, the Certification Authority will issue a Certification Certificate, and enter the Organization's details into the Certification Register. The Organization will also be notified that the Certification Logo may then be used according to the terms defined in the Trademark License Agreement.

### **2.2.13 Withdrawal from the Certification Process**

If an Organization decides to withdraw from the certification process, it must provide notification to the Certification Authority that it is withdrawing; it is not required to provide a reason for withdrawal. In the case of withdrawal, the Assessor is not required to provide the Certification Package Document to the Certification Authority.

When informed of a withdrawal by the Organization, the Certification Authority will archive the information that has thus far been provided to the Certification Authority. Any fees paid to the Certification Authority will be forfeited. The Organization may re-apply for certification at a later date though that application will be treated as a new application and, as such, will require payment of the applicable certification fee for submission of a full set of documents, and a full Assessment, as per an initial certification.

As an alternative to withdrawal, the Organization may submit a revised Scope of Certification to the Certification Authority for approval. Effectively this means restarting the Assessment process with a revised Conformance Statement and ISCA Document and, if they are approved by the Certification Authority, then submitting a revised Certification Package. However, this differs from a re-application in that some of the results of the previous Assessment may be re-used where appropriate. Only one such revision of scope is permitted and a further revision would require a new application.

### **3. Conformance**

This section applies to all tiers of O-TTPS certification. It describes the policies relating to the conformance of the Organization at the time of certification and throughout the duration of the certification.

#### **3.1 Scope of Certification**

Within the O-TTPS Certification Program, an Organization may apply for and achieve certification for the specific Scope of Certification that it chooses. The declared Scope of Certification is made in the Conformance Statement as described in Section 2.1.4 for Self-Assessed and Section 2.2.3 for Third-Party Assessed.

##### **3.1.1 More than one Scope of Certification**

The O-TTPS Certification Program also allows Organizations to certify more than one Scope of Certification. The Program treats each declared Scope of Certification as a separate application and each resulting certification independently.

#### **3.2 Conformance Requirements**

The Conformance Requirements are the O-TTPS requirements that an Organization must apply within the Scope of Certification in order to be certified. Where applicable, these are the requirements against which the Assessor will be assessing the Evidence of Conformance according to the Assessment Procedures. The Conformance Requirements document includes a description of the nature and purpose of the document, the label to be used in connection with the Certification Logo, the version of the O-TTPS and identification of the O-TTPS requirements necessary for certification, and, if applicable, a summary of the migration issues to the current Conformance Requirements from previous versions of the Conformance Requirements.

#### **3.3 Conformance Statement**

The Conformance Statement is the completed Conformance Statement questionnaire, where the Organization specifies the certification tier for which they are applying. The Organization completes the Conformance Statement as described in Section 2.1.4 or Section 2.2.3 and submits it to the Certification Authority as part of the registration process for certification. The Conformance Statement will be included in the Certification Register once certification is complete.

It is the responsibility of the Organization to ensure that the information supplied in the Conformance Statement is correct and complete upon submission, and also ensure that it remains accurate and up-to-date. The Organization will provide any changes to the Conformance Statement to the Certification Authority who will review and update the Conformance Statement as appropriate, subject to the requirements set forth in Section 7.

## **4. Obligations of Organizations**

This section applies to all tiers of the certification.

### **4.1 Achieving Certification**

Claims of conformance with the O-TTPS or claims of certification may be made only in relation to the Scope of Certification for which the Certification Authority has provided written notice that certification has been achieved.

Claims of conformance or certification may not be used in relation to any other business area, geography, product line, or product that does not fall within the declared Scope of Certification, or that has been explicitly declared out of scope in the Conformance Statement, or in relation to any certifications that have been withdrawn from the certification process.

The Certification Agreement requires the Organization, to the best of an Organization's knowledge, to warrant and represent that:

- Within the Scope of Certification, the Organization conforms to the Conformance Requirements.
- The Organization agrees to the policies expressed in this Certification Policy document.

Certification must be to the then current version of the O-TTPS, except when:

- The Organization has formally started the certification process by submission of the Conformance Statement and if applicable the ISCA Document to the Certification Authority, and
- A new version of the O-TTPS is published prior to the Organization achieving certification, and
- The Organization completes the certification process within two (2) years of such submission of the Conformance Statement to the Certification Authority.

### **4.2 Maintaining Certification During the Certification Period**

A certified Organization must continue to conform, within its declared Scope of Certification, to the Conformance Requirements to which they were certified at the time of their most recent prior certification.

Information regarding a certified Organization's perceived non-conformance to the Conformance Requirements may be reported to the Certification Authority.

In cases where the Certification Authority has reasonable grounds to suspect non-conformance, the Certification Authority has the right to review the submitted Conformance Statement and where applicable the Evidence of Conformance, and to request any evidence necessary to support the Organization's claims of conformance. In these cases, the Certification Authority's costs for this work will be covered by the Certification Authority.

If the Certification Authority finds that, within its declared Scope of Certification, the Organization no longer conforms to the requirements declared in the Conformance Requirements applicable as of the most

recent prior certification, the Certification Authority shall provide written notification to the Organization who shall:

1. Within 30 calendar days notify the Certification Authority that it is indeed conformant within the declared Scope of Certification and provide evidence to satisfy the Certification Authority that the Organization is conformant; or
2. Within 30 calendar days provide a plan to the Certification Authority for rectifying the non-conformance and within the time specified in the plan rectify the non-conformance and satisfy the Certification Authority of the efficacy of the rectification; or
3. Within 30 calendar days acknowledge the existence of the non-conformance and indicate an inability or decision not to rectify the non-conformance, in which case the Organization ceases to be certified for the Scope of Certification in dispute; or
4. Within 30 calendar days invoke the appeals process as described in Section 10 of this Certification Policy document.

If the Organization chooses to invoke the appeals process (option 4), the Organization has 45 calendar days from the completion of the appeals process to provide an acceptable plan to the Certification Authority for rectifying the non-conformance and, within the time specified in the plan, rectify the non-conformance and satisfy the Certification Authority of the efficacy of the rectification. If the Organization fails to take one of the above actions within the timescale described above, the certification will be revoked for the Scope of Certification in dispute.

If the Organization is found to be conformant within its declared Scope of Certification, its certification remains active on the Certification Register.

### **4.3 Removal of Certification**

If an Organization ceases to be certified with respect to a particular Scope of Certification, the Organization may no longer make any new claim of certification in relation to that Scope of Certification. The Organization, at its own expense, shall use commercially reasonable efforts to remove existing claims of certification. The Certification Authority may inspect published materials related to the declared Scope of Certification.

Once an Organization loses certification for a particular Scope of Certification, any future claim of certification in relation to that Scope of Certification will require re-certification in advance of such claims being made.

Furthermore, the right to use the Certification Logo (see Section 5) in conjunction with the Scope of Certification that ceases to be certified shall be immediately terminated.

## **5. The Open Group Certification Logo**

This section describes the basis for using The Open Group Certification Logo in accordance with the Trademark License Agreement.

### **5.1 Overview**

Once the Certification Authority has notified the Organization that it is certified, and the Trademark License Agreement has been signed, the Organization may use the Certification Logo in association with the Organization and its Scope of Certification as per the terms specified in the Trademark License Agreement.

The Certification Logo may be used only on or in relation to the Organization and its Scope of Certification. It may not be used with other business areas, geographies, product lines, or products that have not completed the certification process or that have been withdrawn from the O-TTPS Certification Program.

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

### **5.2 Trademark License Agreement**

In order to use the Certification Logo, the Organization is required to sign a Trademark License Agreement. This agreement is the legal contract governing the terms of use of the Certification Logo and defines the rights and obligations of the Organization.

Failure to adhere to the provisions in the Trademark License Agreement is a breach of the Trademark License Agreement and shall result in its termination.

### **5.3 Removal of the Certification Logo**

Once the rights to use the Certification Logo have been removed, any future use of the Certification Logo requires re-certification in advance of such use.

If an Organization loses certification for a particular Scope of Certification, any and all rights the Organization has to use the Certification Logo on or in relation to that Scope of Certification cease immediately. The terms for removal of the Certification Logo are as described in the Trademark License Agreement.

### **5.4 Reporting Misuse of the Certification Logo**

Customers and stakeholders of certified Organizations who suspect a misuse of the Certification Logo should report such instance to the Certification Authority, who will undertake such review as is necessary to assess the veracity of the alleged misuse of the Certification Logo.

## **6. Certification Register**

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

The Certification Register is a web-based record of all certified Organizations and is maintained by the Certification Authority. The Certification Register contains:

- The name of the Organization
- The duration for which the certification is valid before it must be renewed
- The status of the certification, as either current or inactive, and the tier of certification achieved
- The version of the O-TTPS against which it is certified
- The Conformance Statement, which includes the declared Scope of Certification
- A pointer to the Organization's website, which is maintained by the Organization

Once certification has been awarded, the Certification Authority will enter the certification information into the Certification Register, provided that the Organization has not requested to delay such publication, as provided for in Section 11.3.

If an Organization has more than one Scope of Certification, each one will have its own entry in the Certification Register.

### **6.2 Deactivate Listing in the Certification Register**

If a certified Organization ceases to be certified for a particular Scope of Certification, the Certification Authority will deactivate the certification listing. The corresponding entry in the Certification Register will remain accessible, though the Certification Authority will update it to reflect the status as inactive and the date on which certification ended.

An Organization shall cease to be certified for a particular Scope of Certification if:

1. The Organization is in breach of the Certification Agreement or the Trademark License Agreement.
2. The Organization requests that the Certification Authority change the status to inactive in the Certification Register.
3. The Organization ceases to meet the Conformance Requirements within that Scope of Certification.
4. The Organization fails to meet the renewal requirements or declines to renew certification.
5. The Organization fails to adhere to any of the policies defined within this Certification Policy document.
6. The Organization fails to satisfactorily implement any agreed corrective actions within the respective agreed timeframes.

## **7. Alterations to a Certification**

This section identifies the impact on certification, if any, when an Organization makes changes to the Scope of Certification or wishes to make changes to any of the information upon which the certification is based.

### **7.1 Changes in Scope of Certification**

During the Certification Period, if an Organization wants to increase its Scope of Certification, the Organization will follow the re-certification process specified in Section 8. In addition, if the Organization is successful in the re-certification process, the subsequent renewal date will be set at three (3) years from the date that re-certification is granted.

If an Organization wants to decrease its Scope of Certification, and that decrease in scope represents a subset of the previous Scope of Certification, it is considered an administrative change. Such changes are addressed in Section 7.3. In this case, the re-certification date is the same as the renewal date associated with the original or previous certification.

### **7.2 Changes in Certification Tier**

During the Certification Period, if an Organization wants to change the certification to a tier with a more rigorous assessment process (e.g., from Self-Assessed to Third-Party Assessed), this will be considered a new certification. The Organization will need to register for certification and complete the full certification process for the new tier. Once certified at the new tier, the Certification Period will begin at that time.

If an Organization wants to change their certification to a tier with a less rigorous assessment process for a given Scope of Certification, it is considered an administrative change. Such changes are addressed in Section 7.3.

### **7.3 Administrative Changes**

If a certified Organization wants to make changes to the Conformance Statement, including a decrease in the Scope of Certification, that do not have a material effect on the conformance, then the certified Organization must notify the Certification Authority within 30 calendar days of such a change occurring. The Certification Authority will update the Conformance Statement to reflect the requested changes.



## **8. Re-Certification**

### **8.1 Renewal of Certification**

Certification is valid for three (3) years from the date on which the Certification Authority provides written notice to the Organization that certification has been achieved, unless certification is subsequently terminated in accordance with Section 4.3.

The last day of the Certification Period is referred to as the renewal date and represents the date on which the certification will by default cease to be valid, unless the Organization begins renewal of the certification in accordance with the procedures defined in the following sections.

### **8.2 Timeframes for Renewal**

An Organization is required to renew its certification periodically, as defined in this section. At least six (6) months prior to the renewal date, the Certification Authority will notify the Organization as to the date when the renewal is due.

If the Organization wishes to renew, the Organization must submit an application for renewal prior to the renewal date, whether or not there have been any changes to the Scope of Certification at that time.

The Organization must conform to the latest published version of the O-TTPS at the time of application for renewal, or if this version of the O-TTPS was recently published, the Organization may instead demonstrate conformance to the version of the O-TTPS in effect six (6) months prior to the renewal date.

The Organization is required to renew the Certification Agreement between the Organization and the Certification Authority. The Organization must review the existing Conformance Statement and update it as appropriate to reflect the current Scope of Certification. Where applicable, the Organization may choose to select a different O-TTPS Recognized Assessor to that used for its previous Assessment, provided that the chosen company is selected from the current register of O-TTPS Recognized Assessors.

In order for a re-certification to be considered “started” prior to the renewal date, the Organization must submit to the Certification Authority:

- The Conformance Statement updated as appropriate to reflect the current Scope of Certification

And additionally for Third-Party Assessed certification:

- A current ISCA Document, even if it has not changed from the previous Assessment
- The identity of the chosen O-TTPS Recognized Assessor

If re-certification has started but not completed by the renewal date, then the certification will be extended for a further six (6) months from the renewal date. During this time the Organization will be in a “grace period”, will continue to be certified, and will remain on the Certification Register.

If re-certification has not been completed within the six (6)-month initial “grace period”, the Certification Authority may grant additional extensions at its sole discretion on a case-by-case basis.

An extension in certification to complete the Assessment is not a means to delay the obligation to periodically renew certification. Subsequent re-certification dates are always based on the previous renewal date, except in the case when re-certification has been brought forward for the purposes of increasing the Scope of Certification prior to the normal renewal date, as described in Section 7.1. In this case, the three (3)-year Certification Period starts on the date of receiving notification from the Certification Authority that re-certification has been granted, provided that it is earlier than the pre-existing renewal date.

### **8.3 Re-Certification Process**

When an Organization applies for re-certification (whether associated with the renewal date or to increase the Scope of Certification prior to the renewal date), all of the steps in the re-certification process are the same as for initial certification.

#### **8.3.1 Overview of O-TTPS Self-Assessed Re-Certification**

The Organization updates the Conformance Statement then submits it to the Certification Authority. The Certification Authority will review and approve the Conformance Statement, including the Scope of Certification.

Once all re-certification requirements are met and the outcome of the re-certification process is a success, the Certification Authority will renew the certification and inform the Organization. The Certification Authority will update the Certification Register and issue an updated Certification Certificate to reflect that certification has been renewed.

#### **8.3.2 Overview of O-TTPS Third-Party Assessed Re-Certification**

The Organization updates the Conformance Statement and the ISCA Document then submits them to the Certification Authority. The Certification Authority will review and approve the Conformance Statement, including the Scope of Certification, and review and approve the ISCA Document, including the Selected Representative Products, in the same way as described for initial certification.

The ISCA Document may or may not identify new Selected Representative Products. Irrespective of this, the Organization must submit a new Certification Package to the Assessor, with updated current Evidence of Conformance. This is the case even if one, some, or all of the Selected Representative Products have been assessed on a previous occasion. The Assessment then proceeds as per the process defined for an initial certification.

Once all re-certification requirements are met and the outcome of the re-certification process is a success, the Certification Authority will renew the certification and inform the Organization. The Certification Authority will update the Certification Register and issue an updated Certification Certificate to reflect that certification has been renewed.

### **8.4 Withdrawal of Certification Associated with Renewal**

During the renewal process, the Certification Authority may revoke the certification and deactivate the listing on the Certification Register in accordance with Section 6.2 if:

- The Organization declines to renew certification:
  - Either actively in written form

— Or passively by not responding to follow-up notifications to do so by the Certification Authority

- The Organization fails to start the re-certification process by the renewal date.

If the Organization's listing has been deactivated on the Certification Register, the Organization is no longer considered certified for the Scope of Certification.

## **9. Problem Reporting and Resolution**

This section describes how potential errors with the O-TTPS, the Assessment Methodology, or the associated Certification System are managed.

### **9.1 Overview**

During the certification process or during the preparation phase, an Organization may encounter a problem that inhibits or will inhibit the certification effort. The Organization or any other party involved in the O-TTPS Certification Program, including Assessors, may file a Problem Report using the Certification Authority's website to obtain resolution to the issue. The Certification Authority is the sole interface with the submitter of the Problem Report, though others will be involved in determining the resolution.

The types of problems that may be found include:

- Errors or ambiguities in the O-TTPS against which conformance is based
- Errors or ambiguities in the Assessment Methodology
- Errors in the Certification System

The Problem Report is used only for the types of errors listed above; those which are inhibiting the certification effort. For general questions on the certification process, the assessment process, or other problems not covered above, individuals should contact the Certification Authority, which can provide assistance on obtaining further information.

Problem Reporting may not be used to dispute the outcome of the assessment and certification process. Such issues should instead use the appeals process defined in Section 10.

The Certification Authority maintains a public website of all resolved Problem Reports.

### **9.2 Problem Report Resolution Process**

The Certification Authority is responsible for reviewing and providing a resolution to all Problem Reports.

The Certification Authority will perform a preliminary review and provide an initial response to the Organization within 15 business days of the Problem Report submission. This stage allows simple problems to be dealt with expeditiously.

In order for the Certification Authority to resolve Problem Reports for issues related to the O-TTPS or the Assessment Methodology, an opinion from the Specification Authority is required. These opinions must be provided within ten (10) business days of the Problem Report submission in order for the Certification Authority to provide its preliminary response on time.

In some cases, 15 business days are sufficient to provide a final Problem Report resolution. However, when the preliminary review does not resolve the issue, a detailed review will be undertaken to address

the more complicated issues. Final resolution will then be provided within an additional 15 business days, thus within 30 business days maximum from submission of the Problem Report.

Decisions by the Specification Authority on Problem Reports are made using the voting rules of The Open Group Standards Process ([www.opengroup.org/standardsprocess](http://www.opengroup.org/standardsprocess)).

The Problem Report resolution process allows the Organization to remain anonymous, so pre-certification activity is kept confidential. This requires that requests be filtered automatically prior to viewing by anyone other than the Certification Authority. Filtering removes the sections of the Problem Report specific to identification of the Organization; these are the only sections that should contain the company name or other confidential information. If Organization-specific information is included in the sections reserved for the detailed problem descriptions, the report will not be anonymous because filters are not applied to these sections.

If an Organization is not satisfied with the final resolution, the Organization may invoke the appeals process; see Section 10.

The Problem Reporting process is outlined in Figure 4.

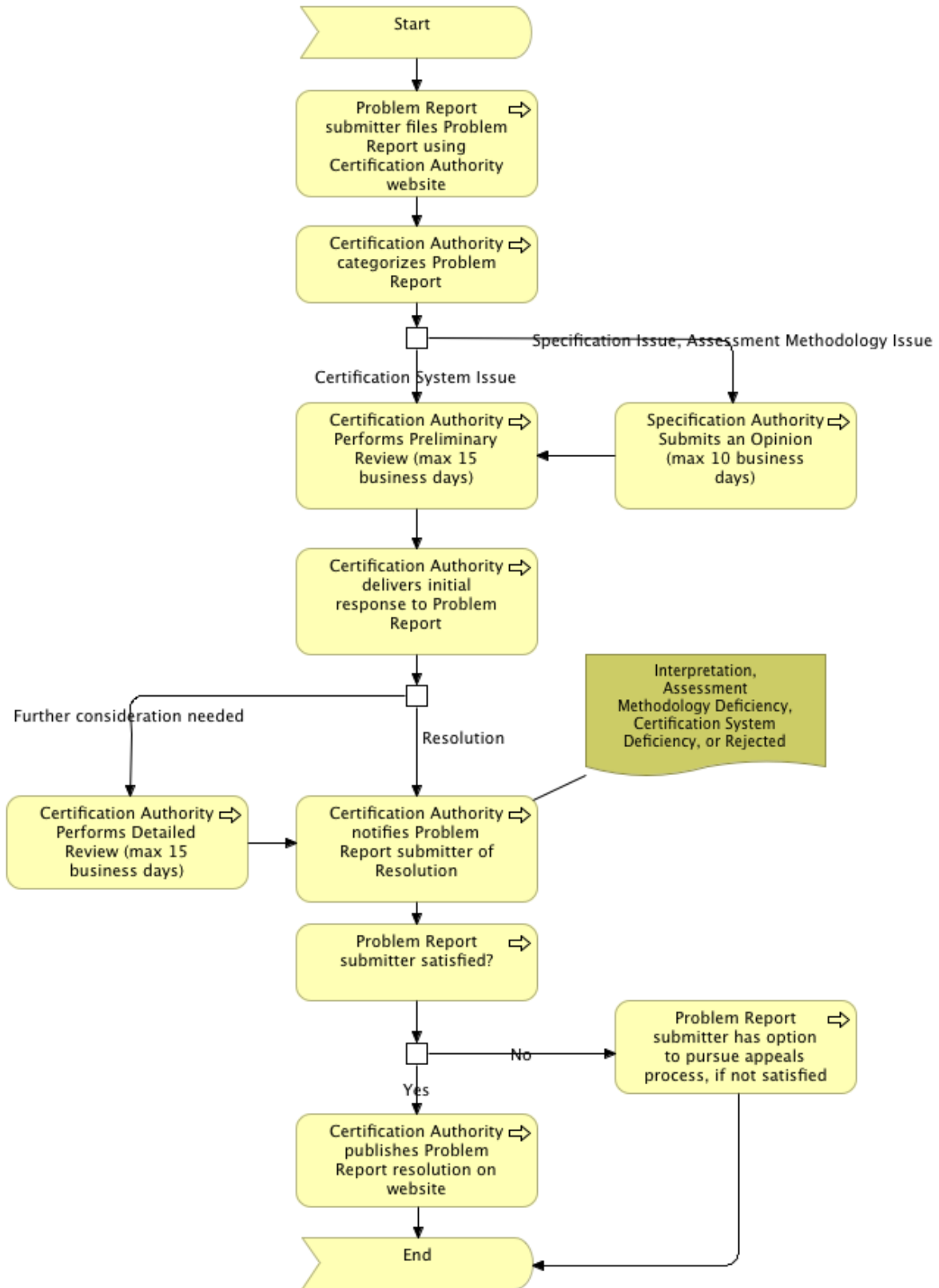


Figure 4: Problem Report Resolution Workflow

## 9.3 Resolution of Problem Reports

The possible outcomes for Problem Report resolution are:

- Accepted as an error or ambiguity in the O-TTPS (an Interpretation)
- Accepted as an error or ambiguity in the Assessment Methodology (an Assessment Methodology Deficiency)
- Accepted as an error in the Certification System (a Certification System Deficiency)
- Rejected

The issuance of an Interpretation, an Assessment Methodology Deficiency, or a Certification System Deficiency will not cause an Organization and a previously declared Scope of Certification to be revoked for certification to a given version of the O-TTPS. Interpretations and Problem Report resolutions are optional for the Organization. The Organization, at its sole discretion, may cite a Problem Report resolution.

Any Problem Report not related to ambiguity in the O-TTPS, the Assessment Methodology, an error in the Certification System, or correctness of the certification materials will be rejected.

### 9.3.1 Interpretations

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

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

The Specification Authority is responsible for deciding the meaning of conformance to normative referenced specifications only within the context of the O-TTPS. Problem Reports regarding any such underlying or referenced specifications in the context of O-TTPS certification will be processed as normal. However, any Problem Report that seeks to change the base requirements of underlying normative specifications over which the Specification Authority has no direct control will be rejected.

Problem Reporting may not be used to dispute the outcome of the assessment and certification process. Such issues should instead use the appeals process defined in Section 10.

### 9.3.2 Assessment Methodology Deficiencies

An Assessment Methodology Deficiency elaborates or refines the meaning of an Assessment Methodology document. Assessment Methodology Deficiencies apply to a specific version of a document and are permanent against that version. They remain in force until that document is updated, at which time the elaboration or refined meaning should be incorporated into the updated document.

### **9.3.3 Certification System Deficiencies**

A Certification System Deficiency is an agreed error in the Certification System.

Certification System Deficiencies apply to the version of the system or document in which they are found. The Problem Report will be approved as a Certification System Deficiency against the current version of the system or document. If the problem is in the information systems and is blocking the certification effort, an update or workaround will be made in a timely manner to enable certification to proceed. If the problem is not fixed immediately, the problem will be fixed in a future update of the system or document and the Certification System Deficiency will remain in force until such update.

### **9.4 Problem Report Repository**

The Certification Authority will maintain a web-accessible repository of all submitted Problem Reports, and their associated resolutions including Interpretations, Assessment Methodology Deficiencies, and Certification System Deficiencies. 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 organizational details, thus maintaining the confidentiality of the Organization.

An Organization may cite a resolved Interpretation, Assessment Methodology Deficiency, or Certification System Deficiency to address discrepancies or to support its application for certification in any other way, irrespective of the origin of the Problem Report.



## 10. Appeals Process

Organizations 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:

- The Organization disagrees with the resolution of a Problem Report.
- The Organization disagrees with the Certification Authority's grounds for denying the award of certification.
- The Organization disagrees with a formal notification of the need to rectify a non-conformance.

Appeal requests should be made to the Certification Authority.

There are two levels of appeal:

- A Technical Review by the Technical Review Board, which comprises the OTTF Steering Committee
- A Board Review by The Open Group Governing Board

Review decisions will be made in accordance with The Open Group policies.

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

An Organization wishing to dispute a decision may request a Technical Review. A Technical Review requires the Technical Review Board to consider the matter and produce a response with a recorded vote according to the Technical Review Board's voting rules, within 30 calendar days of the request. Decisions by the Technical Review Board in the appeals process are under the same formal voting rules as per The Open Group Standards Process. The outcome of the appeal will be:

- Upheld – if approved by at least 75% of votes cast (excluding abstentions)
- Denied – if rejected by at least 75% of votes cast (excluding abstentions)
- Unresolved – in all other cases

An unresolved outcome of a first vote is subject to a second vote to attempt to gain a clear outcome, but if it is still unresolved it will be escalated to a Board Review.

The Technical Review Board may commission reports from independent experts, including Assessors, and may seek input from other committees within The Open Group as it sees fit.

If the Organization is not satisfied with the outcome of the Technical Review, the Organization may request an appeal to The Open Group Governing Board within 14 calendar days of being notified in writing by the Certification Authority of the results of the Technical Review.

The Open Group Governing Board may ask for technical reports from the relevant working groups and may also ask for reports from independent experts. The Board Review will be completed within 90

calendar days of the Organization's written request for a Board Review. The results of a Board Review are final and cannot be further appealed. In the event that the Organization requesting the appeal is also a member of The Open Group Governing Board, that Organization should recuse their company from the Board Review.

## **11. Confidentiality**

### **11.1 Confidentiality**

All information relating to an Organization and the declared Scope of Certification will be held confidential during the certification process; that is, prior to the award of certification.

The Assessment Report shall not be disclosed by the Certification Authority or the Assessor. The Organization may, at their sole discretion, disclose that Assessment Report to whomever they wish. The only information that is made public by the Certification Authority is on the Certification Register, as described in Section 6.1. Any other information regarding the Assessment shall not be disclosed publicly, or to any third party, by or by any party acting on behalf of the Certification Authority, the O-TTPS Recognized Assessor, or its Assessors, without explicit permission by the Organization.

In addition, the Certification Authority and Assessor will always hold confidential any information regarding unsuccessful requests for certification.

The terms and conditions regarding confidentiality and non-disclosure are contained in the Certification Agreement.

### **11.2 Disclosure of Certification Information**

Certification information consists of the fact that certification was achieved, the description of the Scope of Certification, and the associated Conformance Statement. Any claims of conformance or information related to the certification process may be made public only after the Certification Authority has notified the Organization in writing that certification has been awarded.

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

### **11.3 Delay Listing in Certification Register**

On occasion, an Organization may want to delay listing their certification in the public Certification Register for a period of time after being awarded certification. The Organization may request that the listing be delayed and the certification remain confidential for a maximum period of six (6) months from the date that the Certification Authority notifies the Organization that it has achieved certification.

During this period, the Organization may not publicly represent that they are certified, use the Certification Logo, or make any representation of conformance with the O-TTPS with respect to the declared Scope of Certification.

The Organization may request to list the certification in the Certification Register at any point during this six (6)-month period. In the event that the Organization wishes to keep the certification information confidential permanently, the Organization may request withdrawal from the certification process. See Sections 2.1.8 and 2.2.13.

The certification information will be published in the Certification Register upon the earlier of notice by the Organization to list the certification or at the end of the six (6)-month period, provided that the Organization has not requested withdrawal.

Delay in listing in the Certification Register does not extend the Certification Period. The certification is valid for three (3) years from the date on which the Certification Authority provides written notice to the Organization that certification has been achieved, as stated in Section 8.1.