MISMO® Software Compliance Certification Premiere Level Program Overview

VERSION 1.0
MISMO® Premiere Level Program Overview

Thank you for applying for MISMO Premiere Level Compliance Certification. This document, along with the MISMO Software Compliance Certification Program Overview and the Premiere Level Written Assessment document, will provide you with information and materials necessary to help you apply to MISMO for the Premiere Level Compliance Certification. It will also help you to prepare for the on-site visit by the Authorized Assessor by providing summary information for the Application and subsequent processes. Refer to the Written Assessment for a preview of the questions you will be asked and the artifacts that will be reviewed during the review.
Software Certification Process

The software compliance certification process for Premiere Level Certification includes 5 parts:
1. Application Process
2. Assessment and Review
3. Post Certification Process
4. Appeals Process
5. Annual Renewal

1.0 Application Process

1.1 Obtain and review Premiere Level Compliance Certification Materials

- The application process is initiated by obtaining and reviewing the appropriate MISMO Software Compliance Certification Program materials. Materials are found on www.mismo.org. Premiere Level Certification Applicants are encouraged to download and review the following documents:
  - MISMO Software Compliance Certification Program Overview
  - Premiere Level Preparation Package
  - Compliance Certification Application Form
  - MISMO Premiere Level Compliance Certification Application Agreement
  - MISMO Compliance Certification Mark License Agreement
- Review the materials and complete a DRAFT Compliance Certification Application Form. Submit this form by email to MISMO at info@mismo.org.
- Upon receipt of the DRAFT Compliance Certification Application Form MISMO staff will contact the Premiere Level Compliance Certification Applicant to conduct a preliminary conversation regarding the draft Application Form and answer any questions you may have regarding the process or the domains for which certification will be requested.

1.2 Identify and Contract with an Authorized Assessor

- Identify an Authorized Assessor from the list of approved Authorized Assessors located on www.mismo.org.
- Identify an Authorized Assessor from the MISMO Software Compliance Certification page site on mismo.org. Interview / evaluate Authorized Assessors as needed to identify preferred party.
- Contract with an Authorized Assessor to complete an assessment. Please note that this contract is between the Authorized Assessor and the Applicant. Fees for completion of the Assessment are due to the Authorized Assessor directly.
- Establish timeline for completing Premiere Level assessment.
1.3 Complete, Sign, and Submit Required Documents

- Finalize and sign the Compliance Certification Application Form.
- Review the preparation tool and corresponding guidance for preparing for the Authorized Assessor review.
- Review and sign the MISMO Premiere Level Compliance Certification Application Agreement. This is the contractual agreement that accompanies the application and fee.
- Submit the completed Compliance Certification Application Form and signed MISMO Premiere Level Compliance Certification Application Agreement to info@mismo.org.
- Submit Application Fee to the MISMO lock box (see address below) or send credit card information to info@mismo.org for processing.

MISMO Lockbox
P.O. Box 10370
First Data – Remitco
1150 South Avenue, Suite 201
Staten Island, NY 10314

- Upon receipt of the Application Fee and completed Application Form and Certification Application Agreement MISMO will contact the Authorized Assessor to confirm completion of the application process.

2.0 Assessment and Review

2.1 Review and compile required artifacts

- Review list of required artifacts located at the end of this document.
- Complete the Premiere Level Written Assessment and gather additional artifacts as requested upon review of the written materials as directed by the Authorized Assessor.
- Follow directions from Authorized Assessor for how and when to provide required materials in preparation for the on-site review.

2.2 Prepare for the On-Site Visit with the Authorized Assessor

Approximately one to two weeks prior to the on-site review you need to prepare for the visit and work out logistics with the Authorized Assessor.

- The Authorized Assessor will work with you to complete a plan for the on-site review. The plan will identify the tasks that the Authorized Assessor will perform. These are detailed in the sections below. One key to a successful review is to agree ahead of time on the necessary set of meetings and interviews that must be completed during the on-site review. It is important to
ensure that the appropriate personnel are available, as needed, during the review, to ensure that there are no delays during the on-site review.

- Agree on the test case(s) that will be run during the visit. You should first agree to the test cases and then prepare the data and be ready to run them during the visit. If you wait until the visit, you may disrupt the plan and incur additional expenses. Test cases should align with the domains for which you are requesting compliance certification. The test cases should have a sufficient level of complexity to demonstrate proper use of the MISMO Reference Model within the specified domain including both the schema and the logical data dictionary. Examples could include the ability to create and appraisal data set, a delivery data set, or another of many standard XML transfers. Use your best judgment in selecting the test cases and work with the Authorized Assessor if you have questions or need advice.

- Determine a space where the Authorized Assessor will work. If possible provide a work room or conference room that can be dedicated for a week that includes work space for the size of the team that will be on-site. Assume that the team will need internet connectivity and a phone to use.

- Work with your company security function to get badges, parking passes, and other clearance for the Authorized Assessors as required by your company.

- If the Authorized Assessor is from out of your area you should expect to pay for travel and per diem expenses for the Authorized Assessors so provide them with corporate discounts if possible.

- Agree on an arrival time and make sure that someone will be there to escort the Authorized Assessors into the building and to their work space.

### 2.3 Certification of Company Policies and Practices

1. It is expected that you have one or more designated employees who are responsible for interaction with MISMO, staying abreast of version changes, and understanding of the schema and data dictionary. The number of employees expected is based on what is reasonable for the size and complexity of the company, the number of software products or tools, and the domains associated with the certification. Identify individual names, titles, and provide either a resume or biography as an artifact. Be prepared to explain why the number of individuals is appropriate for your company and associated software or tools.

2. Be prepared to provide and describe your policies and/or procedures related to MISMO and how your company uses and intends to use the MISMO schema and data dictionary. Include all policies and procedures or other control documents in the list of artifacts.

3. Please identify all policies and/or procedures that identify how individuals are internally trained on the MISMO Reference Model (schema and logical data dictionary) or evidence that individuals either participate regularly as MISMO volunteers or have completed MISMO educational tracks deemed appropriate for their role. Include all related policies and procedures or other control documents in the list of artifacts.
2.4 Certification of Appropriate Use of the MISMO XML Schema and Logical Data Dictionary

We expect that you are using the MISMO XML schema and logical data dictionary appropriately and in accordance with published guidance such as MISMO I-Guides. It is expected that the company has:

1. Design artifacts that contain reference to MISMO and that indicate that the schema is being used within the architecture.
2. Policies or strategies that address how to keep current with version changes to the MISMO schema and data dictionary.
3. A data dictionary, data mapping document or metadata repository that includes MISMO data definitions and naming conventions from the appropriate version.
4. Policies or strategies for quality assurance when upgrading to a newer version of the schema and/or LDD. Provide an approach to setting up test cases, expected results, testing processes, and any other process that is included to validate compliance.
5. Evidence that you are using v3.x. If you are not using v3.x you must provide an explanation that justifies the use of a lower version.

Please be prepared to explain how you believe you are using the MISMO schema and artifacts in an appropriate manner. Also be able to discuss your policy for staying current with the schema. If you are not on version 3.x be prepared to provide a plan for moving from the current version to version 3.x of the MISMO model. Include a copy of the policy in the attached list of artifacts.

2.5 Certification of Software and Tools

The certification of the software and tools must show all that apply from the list below. You must work with the Authorized Assessor to create one or more test cases, expected results, and the output for:

1. Proof of storage of data in a MISMO format by providing a data extract for a sample set of data determined in the application process
2. Proof of the ability to create a data file for transmission
3. Proof of the ability to create a report using MISMO data

Note that all of the above may not apply to your specific product. Prior to the assessment you must complete the test case and expected results. You should have agreed to the scope of the test and set expectations during your planning meeting. The Authorized Assessor will review the test case and observe the creation of the appropriate proof through the actual test run. The Authorized Assessor will validate the results and identify any issues.
2.6 Certification Review Activities Following the On-site Review

At the end of the review, the Authorized Assessor will provide the Applicant with an Authorized Assessor Recommendation Report. This report will provide the Authorized Assessor’s recommendation specific to Compliance Certification.

- If the Applicant is verified as meeting all requirements for Compliance Certification within the specific domain, the Authorized Assessor will send the results to MISMO at Applicant’s request.
- If the Applicant does not meet the Compliance Certification requirements, the Authorized Assessor will provide the Applicant with information about areas that require remediation. Applicant will remediate issues and work with the Authorized Assessor to successfully meet Compliance Certification requirements. As above, the Authorized Assessor will send the certification review results to MISMO. (If Applicant decides that items cannot be remediated, the Applicant may elect to not continue with the certification process by notifying a MISMO representative. The application fee will not be refunded upon withdrawal.)
- Determinations can be appealed as discussed below.

3.0 Post Certification Process

1. Applicants who successfully complete the premiere level Compliance Certification process will be officially notified by a MISMO representative based upon the Authorized Assessor Recommendation Report.
2. Upon notification, Applicant must submit Certification Fee to the MISMO lock box (address below) or send credit card information to info@mismo.org for processing.

   MISMO Lockbox
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3. Upon receipt of the Certification Fee, the Applicant will receive a Notification of Certification and may begin to refer in its marketing materials to its receipt of certification for the applicable software/tools in specific domains.
4. Review, sign and submit the MISMO Compliance Certification Mark License Agreement to MISMO by e-mailing it to info@mismo.org. Once that agreement is executed, the successful Applicant will be permitted to use the Marks in its product marketing for so long as its Compliance Certification remains in effect.
4.0 Annual Renewal

1. The MISMO Premiere Level Compliance Certification Application Agreement is good for a period of one year and therefore must be renewed in order for the Applicant to retain the ability to refer to its products as certified and to continue to use the Compliance Certification Mark(s).

2. Renewal Applicants must follow the same process outlined above for the initial assessment. That is, they must undergo an Authorized Assessor review of their company product development policies and procedures as well as of the software. The new Authorized Assessor review and corresponding Authorized Assessor Recommendation Report denoting that the Renewal Applicant has satisfied all Compliance Certification requirements should be received by MISMO along with the Renewal Fee at least two weeks prior to the one year anniversary of the Applicant’s then-current Compliance Certification.

3. Renewal Applicants meeting Premiere Compliance Certification requirements will receive a Notification of Compliance from MISMO. The renewal certificate will be good for a period of one year.

4. Renewal Applicants who do not meet Compliance Certification requirements will be notified of items requiring remediation and afforded the opportunity to complete remediation and resubmit for consideration.

5. Not renewing certification will result in the termination of the MISMO Compliance Certification Mark License Agreement and other rights under all agreements with MISMO regarding certification. All references to certified products as well as the Certification Mark must be removed from Applicant web site and all product marketing materials at that time. If the Applicant wishes to renew the Compliance Certification at a later date, the application process can be reinitiated.

5.0 Appeals Process

If the Applicant disagrees with the results of the Compliance Certification process, a formal appeal can be made to MISMO to review the findings. MISMO will appoint a review board to review the assessment results and the Applicant’s formal rebuttal and evidence of compliance. The findings of this Review Board will be final and binding and may include a recommendation for remediation and reapplication at a later time.