MISMO® Software Compliance Certification Standard Level Program Overview

VERSION 1.0
MISMO® Standard Level Program Overview

Thank you for applying for MISMO Standard Level Compliance Certification. This document, along with the MISMO Software Compliance Certification Program Overview and the Standard Level Self Assessment document, will provide you with information and materials necessary to help you apply to MISMO for the Standard Level Compliance Certification. Refer to the Self Assessment for the questions you must respond to and the artifacts that will be required for MISMO review.
Standard Level Software Compliance Certification Process

The software compliance certification process for Standard Level Certification includes five parts:
- Application Process
- Assessment and Review
- Post Certification Process
- Appeals Process
- Annual Renewal

1.0 Application Process

1.1 Obtain and Review Application Materials

The application initiates the overall Compliance Certification process. Read all of the materials related to the certification process and determine the product to be certified, the level to apply for and the domain or domains.

- Go to www.mismo.org and download the appropriate program materials.
- Download the Standard Level Self Assessment Package materials and the Application Agreement-MISMO Compliance Certification Standard Level.
- Review the materials and complete a DRAFT Compliance Certification Application Form. Submit this form by email to MISMO at info@mismo.org.
- Hold a preliminary conversation with MISMO to discuss the draft Application and any questions about the process or the products and domains for which certification will be requested.

1.2 Complete the Application Materials

1. Complete all forms in the Self Assessment Package. Be sure to complete any necessary updates to the Compliance Certification Application Form. Be sure to sign the Compliance Certification Self Assessment upon completion. Complete the Self Assessment with awareness the following criteria:

A. 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 the MISMO standards and resources applicable to your company’s business domain. 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 standards. Include all policies and procedures or other control documents in the list of artifacts.

3. Please provide all policies and/or procedures that identify how individuals are internally trained on the MISMO standards applicable to your business model and/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.

B. Certification of Appropriate Use of the MISMO standards and best practices

It is expected that you are using the MISMO standards and best practices 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 standards are being used within the architecture.
2. Policies or strategies that address how to keep current with version changes to the appropriate MISMO standards.
3. A data dictionary, data mapping document or metadata repository that includes MISMO data definitions and naming conventions from the appropriate version, where applicable.
4. Policies or strategies for quality assurance when upgrading to a newer version of the standards. Provide an approach to setting up test cases, expected results, testing processes, and any other process that is included to validate compliance.
5. Evidence to demonstrate which version of the standards is being used. If you are using the XML Reference Model, it is expected 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 applicable MISMO standards and applicable artifacts in an appropriate manner. Also be able to discuss your policy for staying current with the standards. If you are not using the most current version of the applicable standards, be prepared to provide a plan for moving from the current version to the latest version of the standards. For example, if you are using the XML Reference Model and 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 XML Reference model. Include a copy of the policy in the attached list of artifacts.

C. Certification of Software and Tools

The certification of the software and tools must show all that apply from the list below. You should have documentation of 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 some or all of the above may not apply to your specific product. The key is that you must provide evidence that your product meets expected usage. MISMO Program Team members are available for discussion and clarification of appropriate evidence of compliance.

1.3 Submit the Application Materials

Review and sign the Application Agreement—MISMO Compliance Certification Standard Level. This is the contractual agreement that accompanies the application and fee.

1. Submit the completed Self Assessment Package to info@mismo.org. Be sure to include the:
   - Compliance Certification Application Form
   - Compliance Certification Self Assessment and Artifact Listing, and
   - Compliance Certification Reference Form
2. Submit the signed Application Agreement to info@mismo.org.
3. Submit Application Fee to the MISMO at 1919 M Street, NW, 5th Floor, Washington, DC 20036 or contact MISMO at 202-557-2880 to provide credit card information. Fee information is included on the MISMO Software Compliance Certification Pricing Sheet and is posted on mismo.org.

2.0 Assessment and Review

2.1 Provide Artifacts and Request References

1. Applicant will receive a MISMO staff acknowledgement that the Standard Level Self Assessment Package and corresponding materials were received by MISMO and appear complete. At that time, MISMO Staff will provide Applicant with instructions for submitting artifacts supporting Compliance Certification Self Assessment to as part of the acknowledgement message. Applicant should then:
   a. Assemble artifacts noted in the Compliance Certification Self Assessment.
   b. Submit the artifacts and supporting materials to MISMO Notify via info@mismo.org
   c. Complete one Compliance Certification Reference Form to each reference you selected on the Application Form. Complete all of the information on the form with the exception of questions identified as those that MISMO will ask when validating the references. This step is not applicable if you selected alternative validation sources on the application. MISMO Staff will contact the reference to validate all information supplied and to request additional feedback.
   d. Await response from MISMO staff following MISMO review of submitted package and supporting materials. MISMO staff will also complete integration partner reference validation procedures during this time and validate references as appropriate. Upon completion of the MISMO review, a MISMO representative will contact the Applicant.
2.2 Participate in the Review Process

1. Applicant should review Response from the MISMO representative when received.
   a. Applicant will be notified by MISMO as to whether or not requirements were met for certification.
   b. Applicants meeting Compliance Certification requirements should proceed to the next section, Post Certification Process -- Standard.
   c. If Applicant does not meet the requirements for certification the MISMO representative will provide information about areas requiring remediation. Applicant should remediate all open issues and resubmit when ready. (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.) Two attempts at remediation will be allowed. If the remediation is not effective after the second attempt to correct deficiencies, the application fee will be forfeited. Determinations can be appealed as described below.

3.0 Post Certification Process

1. Applicants who successfully complete the Compliance Certification process will be notified by a MISMO representative as noted in the section above.
2. Successful Applicants should submit Certification Fee to the MISMO at 1919 M Street, NW, 5th Floor, Washington, DC 20036 or contact MISMO at 202-557-2880 to provide credit card information for processing.
3. Upon receipt of the Certification Fee, MISMO staff will send the Applicant a Notification of Certification. Upon receipt of the Notification of Certification the Applicant 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 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.
5.0 Annual Renewal Process

1. Application Agreement-MISMO Compliance Certification Standard Level 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 MISMO Compliance Certification Mark.

2. Renewal Applicants must follow the same process outlined above for the initial assessment. That is, they must submit a new self assessment and provide a list of artifacts and the electronic set of artifacts, test cases, and results and references as with the initial award. These materials must be provided no later than four weeks prior to the end date of the then-current Certification term (currently one calendar year) along with the Renewal Fee.

3. MISMO staff will provide Renewal Applicants with the results of their reviews. Renewal Applicants meeting Compliance Certification requirements will receive a Notification of Compliance once the review is satisfactorily completed for the current period. The renewal certificate will be good for a period of one year. MISMO staff will provide Renewal Applicant with an updated Compliance Certification Mark for the current period valid for the new Certification 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’s web site and all product and marketing materials at that time. If the Applicant wishes to renew the Compliance Certification at a later date, the application process can be reinitiated.

Successful Applicants who wish to move from Standard Level to Premiere Level may do so at any time after the award of Standard Level. You must follow the steps outlined in receiving the Premiere Level certification in the Premier Program Overview. In order to maintain continuity of certification the new application must be submitted in time for processing prior to expiration of the Standard Certification.