
Open Geospatial Consortium

Compliance Testing Program

OpenGIS® Project Document 03-085r2

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1 Overview

This document describes the Open Geospatial Consortium, Inc. (OGC) Compliance Testing Program (formerly the OGC Conformance Testing Program). It defines the approach, including policies and procedures that OGC uses in testing software implementations for compliance to its Implementation Specifications. The primary purpose of the testing program is to permit vendors and users to take advantage of the valuable standards that OGC has created, by providing a process whereby compliance can be tested. When compliance has been confirmed, participants who agree to the terms of the trademark license that accompanies this Program document may affix OGC's certification mark to their products, thus indicating to their customers that compliance with OGC Implementation Specifications has been achieved and providing incentives for potential customers to preferentially purchase such products. **A fully executed OGC Trademark License Agreement, fully paid trademark license fees, and full compliance with the Trademark License Agreement terms are mandatory for an organization to use the "Certified OGC Compliant" mark with its product(s) in any way or to claim "compliance" with OGC Implementation Specifications.**

2 Definitions

OGC Member—an organization that is a member in good standing of the Open Geospatial Consortium.

OGC Staff—individuals employed directly by OGC.

OGC Planning Committee (PC)—a committee of the OGC consisting of representatives from OGC Principal and Strategic Members.

OGC Compliance Test Coordinator (CTC)—the OGC Staff member responsible to coordinate and manage the operation of the Compliance Testing Program.

Candidate Organization—an organization that has made, or intends to make, an application for compliance testing.

Candidate Product—a particular product version that has been submitted for compliance testing by a Candidate Organization.

Certification Authority—the body that certifies that a Candidate Organization has met the requirements to receive a Compliance Certificate. This body is the Open Geospatial Consortium, Inc.

Implementation Specification—a document containing an application programming interface specification, or other technology specification, created by OGC for the purpose of the advancement of interoperability between geospatial information systems.

Implementation Specification Revision—an OGC approved and released version of an Implementation Specification.

Compliance Alternative—an alternative implementation possibility, expressed with respect to a particular Implementation Specification version, for which compliance testing will take place.

Compliance Item—a particular, testable, compliance point that is part of a Compliance Alternative.

Test Suite—a combination of data and software that is used to determine compliance by implementing a test for all Compliance Items within a particular Compliance Alternative.

Compliance Testing Guideline—a document that details the specifics of compliance tests for a particular Implementation Specification.

3 Compliance Testing Policies and Procedures

3.1 *For Organizations with Products Approved under Previous OGC Conformance Testing Program*

Organizations that have received prior OGC approval for conformance under the previous “OGC Conformance Testing Program”, may resubmit their product for re-certification under this program without fee provided that your submitted product has not been modified in any way since its approval under the previous OGC Conformance Testing Program. If your product has been modified, for instance to implement a new release of a product for which you received prior conformance approval, you must resubmit your product, with fee, under this program.

3.2 *Compliance Overview*

The OGC certification mark, along with an appropriate descriptive term or graphical icon (Appendix H), may be used by others on software products to indicate compliance with OGC Implementation Specification versions if the organization has:

- Submitted a Candidate Product to OGC’s Compliance Testing Program,
- Successfully passed compliance testing,
- Received a certificate stating such success,
- Received a fully executed license from OGC to use the trademark,
- Paid the trademark license fee, and
- Provided a fully functional, licensed copy of the tested, branded software to OGC.

OGC reserves the right to terminate the right of a Candidate Organization to use OGC trademarks to indicate successful Compliance Testing at such time that it deems such action necessary. In the event that this occurs, advance notice will, to the extent possible, be given, and transitional steps will, to the extent possible, be taken, to minimize any inconvenience to vendors of Candidate Products.

3.3 *Test Procedures*

Compliance will be determined once for a product version with respect to a particular Implementation Specification Revision and requires the successful completion of the Testing Procedure. Compliance of future releases of the same product requires the successful completion of the Testing Procedure. Products failing a compliance test under the Testing Procedure must be re-tested under the Testing Procedure.

3.3.1 Testing Procedure

Steps 1, 2, and 3 of the Testing Procedure described here differ depending on the type of test suite used.

In the case where the test suite is made available for download from the OGC public web site:

1. The Candidate Organization must obtain the test suite from the OGC public web site (See Section 3.6.3 Test Suite Availability).
2. The Candidate Organization must test their Candidate Product utilizing the applicable Test Suite (See Section 3.6 Test Suite Policies) after making required adaptations according to the adaptation guidelines provided in the Compliance Test Guideline (See Section 3.5 Compliance Testing Guideline Documentation).
3. Once the Candidate Organization is convinced that the Candidate Product passes the tests for all Compliance Items, the Candidate Organization must prepare a Test Summary Report (Appendix A), attaching the adapted Test Suite, the output from a test run, two (2) signed copies of the appropriate Trademark License Agreement (Appendix E), and a fully functional, licensed copy of the tested, branded software.

In the case where the test suite is made available via the OGC Web-based Compliance Testing Engine:

1. The Candidate Organization must connect to the OGC Web-based Compliance Testing Engine.
2. The Candidate Organization must test their Candidate Product utilizing the applicable Test Suite (See Section 3.6 Test Suite Policies).
3. Once the Candidate Organization is convinced that the Candidate Product passes the tests for all Compliance Items, the Candidate Organization must prepare a Test Summary Report (Appendix A), submit the test results via the OGC Web-based Compliance Testing Engine, two (2) signed copies of the appropriate Trademark License Agreement, and a fully functional, licensed copy of the tested, branded software.

The remaining steps apply for both cases:

4. The Candidate Organization must send the Test Summary Report (and attachments) to the CTC.
5. The CTC will review the report and attachments and make a Compliance Determination (See Section 3.7 Compliance Determination). The CTC will document this decision in a Test Summary Report (Appendix A).
6. If the Candidate Product is determined to be compliant, OGC will issue a Compliance Certificate and countersign one of the Trademark License Agreements sent to OGC. These documents will then be sent to the Point of Contact on the Test Summary Report, once the Candidate Organization has paid the Trademark License Fee. If the Candidate Product is determined not to comply, OGC Staff will issue a notification letter detailing the specific failure, and, if known, the assumed reason for failure to the Point of Contact on the Test Summary Report.
7. If the Candidate Product is determined to be compliant, the CTC will place the Test Summary Report, a copy of the Compliance Certificate, and one of the Trademark License Agreements, sent to OGC with the Test Summary Report, in the OGC Testing Record. If the Candidate Product is determined not to comply, the CTC will place the Test Summary Report and a copy of the notification letter in the OGC Testing Record.

3.4 Fees and Costs

OGC will not charge a fee for compliance testing under the Testing Procedure.

OGC will charge a fee for trademark licensing for Candidate Products that successfully pass a compliance test under the Testing Procedure; this fee is termed the Trademark Licensing Fee. This fee must be paid by organizations that wish to claim compliance with OGC Implementation Specifications. This fee is not required to initiate and complete a test. The current fee structure is found in Appendix G of this document.

OGC will invoice a Candidate Organization that has submitted a Test Summary Report for the Trademark License Fee. This invoice must be paid before OGC will issue a Compliance Certificate and before OGC will deliver a countersigned Trademark License Agreement.

3.5 Compliance Testing Guideline Documentation

Before compliance testing can begin for a particular Implementation Specification version, a Compliance Testing Guideline will be prepared under the direction of the CTC, recommended to the PC, and, once acceptable, approved for use by the PC.

The Compliance Testing Guideline may contain:

- Test Description and Scope—documentation of the Compliance Alternatives for an Implementation Specification version and a description of and scope for Test Suites for each alternative,
- Test Data—a description of the test data,

- Compliance Items—documentation of the Compliance Items that constitute the requirement for compliance for each Compliance Alternative¹,
- Adaptations—a description of allowable Test Suite adaptations for each Compliance Alternative and adaptation documentation guidelines for each allowable adaptation².

When the PC approves the changes to the Compliance Testing Guideline Documentation, it will be filed in the OGC Test Record.

3.6 Test Suite Policies

Before compliance testing can begin for a particular Implementation Specification version, a Test Suite will be developed, reviewed by the CTC, recommended to the PC by the CTC, and approved for use by the PC. The criteria for the CTC review and PC approval are: 1) the Test Suite is complete with respect to the Compliance Testing Guideline for that particular Implementation Specification version (See Section 3.5 Compliance Testing Guideline Documentation), 2) it is consistent with the wording and intent of the particular Implementation Specification version, and 3) it is consistent with established OGC policy and practice.

Subject to available resources and the perceived need of the marketplace, OGC intends to adopt and maintain at least one compliance test suite for each Compliance Alternative. Test suites may exist in multiple forms (e.g., an SQL script and a C program) that are functionally equivalent. Each product that undergoes compliance testing for a particular Implementation Specification version must utilize one of these test suites.

Test suite software may be provided in the form of programming language code (e.g., C++ or Java), interpreted scripts (e.g., Visual Basic or SQL), or in other appropriate forms. If the software requires a build process (as is common in the case of programming languages), then the software should be accompanied by appropriate build information. Test suite software might require the purchase of additional software. This requirement should be examined by the CTC when reviewing candidate test suites and reflected in his/her recommendation to the PC. Test suite data may be provided in particular common formats, coded within the test suite software, or in other appropriate forms. The CTC should consider the form of data provision when reviewing candidate test suites and reflect this in his/her recommendation to the PC.

Test suites will be able to test all Compliance Items defined by a Compliance Alternative.

It is likely that organizations will have to adapt test suite software to work with their products. As mentioned above, OGC will provide guidance regarding allowable adaptations. In any case, OGC testing staff, in consultation with and under the approval authority of the CTC, must review the adaptation. The OGC testing staff review and CTC approval is to ensure that the original intent and functionality of the test suite software is maintained. OGC testing staff must also document the adaptation, by inclusion of the adapted test suite, in the Compliance Test Summary Report (Appendix B). Candidate Organizations must submit adapted Test Suites at the time they submit a Self-Test Summary Report.

When the PC approves a Test Suite, it will be filed in the OGC Test Record and posted on the public website (www.opengeospatial.org). If the Test Suite is made to work with the OGC Web-based Compliance Testing Engine, then the test will be made available via the interface for the engine.

¹ In the case of the OGC Web-based Compliance Testing Engine, these Compliance Items correspond directly to the Test Assertions.

² In the case of the OGC Web-based Compliance Testing Engine there are no allowable adaptations.

3.6.1 Test Suite Development

Candidate test suites may be developed by any of:

- The CTC and/or other OGC Staff,
- OGC Testing Contractors (under the direction of the CTC), or
- OGC Members.

Candidate test suites must be submitted to the CTC for review and (potential) adoption as described in the first paragraph of this Section 3.6 Test Suite Policies.

3.6.2 Test Suite Maintenance

In general, OGC testing staff will maintain test suites under the direction of the CTC. This maintenance responsibility may be delegated to an OGC member or OGC Staff by the CTC. Test Suite maintenance is called for when a new Implementation Specification version is issued by OGC, when the dispute resolution process mandated such a change (See Section 3.9 Processing Disputes/Challenges), or when the CTC, in his/her sole direction, finds issues that require maintenance. In any case, the CTC is responsible for the review of any subsequent revisions to the Test Suite. The resulting Test Suite revision will then be recommended to the PC by the CTC and, once acceptable, approved for use by the PC. The criteria for the CTC review and PC approval is that the Test Suite revision is complete with respect to the Compliance Testing Guideline for that particular Implementation Specification version (as described in section 3.5 Compliance Testing Guideline Documentation), that it is consistent with the wording and intent of the particular Implementation Specification version, and that is consistent with OGC policy and practice.

3.6.3 Test Suite Availability

Test Suites will be provided in electronic form when they are available via OGC's public web site. The Test Suite will be made available along with full documentation of the OGC Compliance Testing Program (this document) and Compliance Testing Guidelines.

Test Suite submitters must provide either 1) unrestricted ownership of the Test Suite to OGC, or 2) an agreement to grant OGC a non-exclusive, royalty-free, paid-up, unrestricted worldwide license to copy and distribute their submission to the OGC membership, and, if adopted by OGC, the unrestricted right to modify, enhance, and make derivative works from the materials and to copy and distribute the materials, modifications, enhancements, and derivative works both inside and outside of the OGC membership.

3.7 Compliance Determination

Candidate Products that pass the tests for **all** Compliance Items for a particular Compliance Alternative of an Implementation Specification version, and that OGC has reviewed and certified as having passed the tests for **all** Compliance Items for a particular Compliance Alternative of an Implementation Specification version, are considered compliant with that Implementation Specification version. This is the sole criterion for determining the compliance of a Candidate Product. Test Suite software should indicate in the output the result of tests for each Compliance Item, however, in cases where this is not possible or is difficult, human analysis of test output may be required to determine compliance with particular Compliance Items.

3.8 Interpretation and Clarification of Specifications

Issues regarding interpretation or clarification of Implementation Specifications are the responsibility of the Revision Working Group (RWG) of the OGC Technical Committee (specifically, the RWG that corresponds to the Implementation Specification in question). If no RWG is currently active, then the TC Chair will form an ad hoc committee (comprised of the last standing RWG membership, if possible) to process the interpretation/clarification. The TC Chair can also decide to submit the issue as an OGC Review Board request.

3.9 Processing Disputes/Challenges

The procedure for processing disputes and challenges to a compliance test begins with the documentation of a “Compliance Issue” using the Compliance Issue Form (Appendix D). A “Compliance Issue” is defined as a problem identified from third party review or experience with a product after testing is completed and the product is available in the marketplace.

Some Compliance Issues may be resolved via interpretation or clarification of the Implementation Specification (See Section 3.4 Fees and Costs). Those that cannot be resolved will follow the procedure described below.

The Compliance Issue Form has two parts — A and B. Part A will remain confidential and is kept physically separate from Part B until the PC concludes its processing of the issue. The connection between parts A and B is maintained via an OGC-assigned tracking number.

The receipt of a Compliance Issue by OGC will set the following procedure in motion:

- 1) The CTC will assign the Compliance Issue a tracking number and record it on the Part A and Part B forms received.
- 2) If the Compliance Issue is an appeal of an earlier decision, then the process will advance directly to step 4. If the Compliance Issue is not an appeal, the CTC will determine, in his/her sole discretion, if interpretation or clarification can resolve the Compliance Issue.
 - a) If the CTC determines that interpretation or clarification can resolve the Compliance Issue, then the procedure described in Section 3.8 Interpretation and Clarification of Specifications is used. The CTC will notify the disputing organization of the resolution by interpretation or clarification and record the dispute as resolved. A disputing organization may appeal this resolution by submitting another Compliance Issue Form. The procedure will then advance to step 7.
 - b) If the CTC makes the determination that interpretation or clarification cannot resolve the Compliance Issue, the process will advance to step 3.
- 3) The CTC will check the OGC Test Record for prior resolution.
 - a) If the Compliance Issue described has been resolved in the past, the CTC will notify the disputing organization of the prior resolution and record the dispute as resolved. A disputing organization may appeal this resolution by submitting another Compliance Issue Form. The process will then advance to step 7.
 - b) If the Compliance Issue described has not been resolved in the past, the process will advance to step 4.
- 4) The CTC will forward the Compliance Issue to the OGC Review Board for resolution along with proposed resolution alternatives and a recommendation.
- 5) The OGC Review Board will resolve the Compliance Issue and the CTC will document the resolution (even if it is resolved that the issue is non-valid) using the Compliance Issue Resolution Form (Appendix E).
- 6) The CTC will notify the disputing organization of the resolution and record the dispute as resolved. The disputing organization may appeal the decision by submitting another Compliance Issue Form.
- 7) The CTC will file the Compliance Issue (both Part A and Part B) and the documentation of the interpretation or clarification, the prior resolution, or the PC resolution (whichever is applicable) in the OGC Testing Record.

3.10 Certificate Issuance

A Compliance Certificate (Appendix F) is issued for tested software products that successfully pass the Testing Procedure.

The holder of such a certificate is entitled to use the “Certified OGC Compliant” mark according to terms and conditions set forth in the Trademark License Agreement (Appendix E) and after the applicable Trademark Licensing Fee has been paid (Appendix G).

A copy of the Compliance Certificate and the supporting Test Summary Report will be made part of the OGC Testing Record by the CTC.

The CTC (or OGC Staff under the direction of the CTC) will add any product that receives a Compliance Certificate to the Compliant Products Record (Appendix F). Products that are added to the Compliant Products Record will be removed after three (3) years unless renewed or previously removed by written request of the Candidate Organization. Relevant information from the Compliant Products Record will be maintained on the OGC public web site (<http://www.opengeospatial.org/>) for every product that receives a Compliance Certificate.

Compliance Certificates will expire three (3) years after the date of issuance unless renewed by written request of the Candidate Organization. OGC intends to introduce certification and/or interoperability testing programs as well. In order to avoid confusion in the marketplace, OGC reserves the right to terminate the right of a Candidate Organization to use OGC trademarks to indicate successful Compliance testing at such time as OGC deems consumer confusion likely. In the event that this occurs, OGC shall give advance notice to the extent possible, and transitional steps will be taken, to minimize any inconvenience to vendors of Candidate Products.

3.11 Test Records

The CTC will maintain a file of records pertaining to testing, hereafter referred to as the OGC Testing Record. Records pertaining to a particular organization will be available for examination by that organization upon request. Records maintained in the OGC Testing Record will be maintained for a minimum of three (3) years.

OGC will make a good faith effort to retain the following documents in the OGC Test Record:

- Compliance Testing Guidelines,
- Test Suites,
- Test Summary Reports (and all attachments),
- Test Failure Notification Letters,
- Compliance Issue Forms (Parts A and B),
- Compliance Issue Resolution Forms (and attachments),
- Compliance Certificates,
- Trademark License Agreements,
- Compliant Product Records, and
- Any other correspondence of importance related to the OGC Compliance Testing Program.

4 Compliance Testing Responsibility Summary

In general, the PC provides oversight of the compliance testing process. Operationally, the CTC is responsible for managing the compliance testing process.

4.1 The Planning Committee

With respect to compliance testing, the PC has the following responsibilities:

- Review and approve compliance testing guidelines, policies, and procedures.
- Review and select test suites.
- Review and approve the release of test suite versions.
- Resolve disputes and challenges.

4.2 The Compliance Test Coordinator

The CTC has the responsibility for the following:

- Propose candidate guidelines, policies, and procedures to the PC.
- Propose (and potentially develop) candidate test suites to the PC.
- Manage the maintenance of test suites and propose releases of test suites to the PC.
- Maintain Test Suites, guidelines, and other documentation for delivery to Candidate Organizations.
- Review and make the decision about the compliance of Candidate Products.
- Manage and execute the interpretation and clarification process in collaboration with Revision Working Groups.
- Manage and execute the dispute and challenge resolution process in collaboration with the OGC Review Board.
- Manage all document flows relating to testing, including the content of the OGC Test Record.

4.3 OGC Staff and OGC Members

For compliance testing, the OGC Staff, and potentially Members, have the following responsibilities:

- Develop Test Suite Candidates when directed by the CTC.
- Maintain Test Suites under the direction of the CTC.
- Review Test Suite adaptations and provide an analysis of the adaptations to OGC Staff.

Appendix A—Test Summary Report

1. Test Completion Date		2. Require a Trademark License Agreement update? <input type="checkbox"/> —Yes, <input type="checkbox"/> —No	
3. Candidate Organization			
3a. Name of Organization			
3b. Mailing Address			
3c. City		3d. State/ Province	
3e. Country		3f. Postal Code	
4. Total Gross Annual Revenue (\$US)	<input type="checkbox"/> \$0M-\$1M <input type="checkbox"/> >\$1M-\$3M <input type="checkbox"/> >\$3M-\$10M <input type="checkbox"/> >\$10M-\$20M <input type="checkbox"/> >\$20M-\$50M <input type="checkbox"/> >\$50M-\$100M <input type="checkbox"/> >\$100M-\$500M <input type="checkbox"/> >\$500M		
5. Technical Point of Contact			
5a. Name of Individual			
5b. Mailing Address			
5c. City		5d. State/ Province	
5e. Country		5f. Postal Code	
5g. Telephone Number			
5h. Facsimile Number			
5i. Email Address			
6. Financial Point of Contact			
6a. Name of Individual			
6b. Name of Department			
6c. Mailing Address			
6d. City		6e. State/ Province	
6f. Country		6g. Postal Code	
6h. Telephone Number			
6i. Facsimile Number			
6j. Email Address			
7. Candidate Product Information			
7a. Product Name			
7b. Product Version			
7c. Operating System Required			
7d. Hardware Required			
7e. Required Software			
8. Implementation Specification	(Please replace this text with the Implementation Specification and revision number) (If a test alternative was used please indicate here.)		
I, being duly authorized to sign legal documents on behalf of my organization, certify that the Candidate Product complies with the above indicated Implementation Specification(s).			
9. Official Signature	Signature		Date
	Typed or Printed Name		
	Typed or Printed Title		
THE REMAINING BOXES WILL BE COMPLETED BY THE COMPLIANCE TESTING COORDINATOR			
10. Product passed all Compliance Items?		<input type="checkbox"/> —Yes <input type="checkbox"/> —No Comment:	
11. OGC CTC Signature	Signature		Date
	Typed or Printed Name		
(Appendix A : OpenGIS® Project Document 03-085 10/14/04)			

OGC TEST SUMMARY REPORT FORM DIRECTIONS:

Please complete a **separate** form for **each** Candidate Product that is to undergo compliance review.

Complete **all** of the required items; **do not leave any items blank** unless the item specific directions below indicate that they may be left blank.

Item Specific Directions

1. Test Completion Date—enter the date(s) that your self-test took place.
2. Trademark License Agreement—Check the appropriate box (if the Candidate Product has been determined compliant in the past, check “Yes”, otherwise check “No”).
3. Candidate Organization—enter all of the requested data for your organization.
4. Total Gross Annual Revenue—check the box that includes the total gross annual revenue of your organization as of the most recent fiscal year-end financial statements. The numbers are in millions of US dollars. Please be aware that the Open Geospatial Consortium has determined that the Trademark Licensing Fee is based upon the ***Total Gross Annual Revenues of the Parent Corporation***. Fees are **not** based on the annual revenues of operating divisions or wholly owned subsidiaries, nor are they based upon the exclusively GIS or software-related revenues of the corporation.
5. Technical Point of Contact—enter all of the requested data for the duly authorized individual within your organization that will be responsible for dealing with technical and documentation matters.
6. Financial Point of Contact—enter all of the requested data for the duly authorized individual and department within your organization that will be responsible for dealing with payment of invoices, and other financial matters.
7. Candidate Product Information
 - a. Product Name—enter the **full** name of the Candidate Product as it appears on packaging, documentation, and advertising. . This will be the exact representation of your product on the Compliance Certificate should one be issued.
 - b. Product Version—enter the version number of the Candidate Product being tested.
 - c. Operating System Required—enter the operating system (maker, name, and version) on which the tested Candidate Product will run. Do not enter all operating systems, on which it runs, only the one that will be tested under the General Testing Procedure.
 - d. Hardware Required—enter the hardware (maker, name, and version) on which the tested Candidate Product will run. Do not enter all hardware on which it runs, only the one that will be tested under the General Testing Procedure.
 - e. Required Software—enter additional software (maker, name, and version) that the tested Candidate Product requires to run (e.g., Database Management Systems, Object Request Brokers, etc.). Do not enter all software that your product requires in all cases, only the ones that will be tested under the General Testing Procedure.
8. Implementation Specification—Indicate the Implementation Specification revision and alternative (if applicable) that your product was tested against. . Please complete a Test Summary Report for each Implementation Specification your Candidate Product was tested against.
9. Official Signature—the signature, printed name and title of an individual authorized by the Candidate Organization to sign legal documents on their behalf (usually an officer of the organization).
10. LEAVE BLANK.
11. LEAVE BLANK.

Additional Instructions

An electronic version of the report, the adapted test suite, and test run output is required. These electronic materials should be sent as attachments to mbuehler@opengeospatial.org, or on a 3.5-inch floppy disk or CD-ROM to Mark Buehler at the first address listed below.

Questions concerning the technical content of summary reports or the Compliance Testing Program in general should be addressed to:

Open Geospatial Consortium, Inc
ATTN: Mark Buehler
4899 N. Old State Road 37
Bloomington, Indiana 47408-9239 USA
Tel: +1 812 334 0601
Fax: +1 812 334 0625
Email: mbuehler@opengis.org

Two (2) signed copies of a Trademark License Agreement (if applicable) must be mailed to:

Open Geospatial Consortium, Inc
ATTN: Compliance Testing Program
35 Main Street, Suite 5
Wayland, Massachusetts 01778-5037 USA

Questions concerning payment of fees should be addressed to the same address or contact Jeff Burnett at:

Tel: +1 508 655 5858
Fax: +1 508 655 2237
Email: jburnett@opengeospatial.org

Report Checklist

We provide the following checklist to remind you of the items that are required for an acceptable Compliance Testing Application:

- ☐—All information requested on the Test Summary Report Form is completed and correct, the report has been sent electronically to mbuehler@opengeospatial.org.
- ☐—The adapted Test Suite used for your pre-report testing has been sent electronically to mbuehler@opengeospatial.org. THIS ELEMENT DOES NOT APPLY TO TESTS USING THE OGC WEB-BASED COMPLIANCE TESTING ENGINE.
- ☐—The output from a test run using the adapted Test Suite against your Candidate Product has been sent electronically to mbuehler@opengeospatial.org. THIS ELEMENT DOES NOT APPLY TO TESTS USING THE OGC WEB-BASED COMPLIANCE TESTING ENGINE.
- ☐—The output from a test run using the Test Suite against your Candidate Product has been submitted via the OGC Web-based Compliance Testing Engine. THIS ELEMENT DOES APPLY TO TESTS USING THE OGC WEB-BASED COMPLIANCE TESTING ENGINE.
- ☐—A hardcopy of the Test Summary Report that must be signed by a corporate officer (or other individual authorized to commit your organization to the terms and conditions in the agreement) has been mailed to OGC at the first address listed above.
- ☐—A fully functional, licensed copy of the software has been mailed to OGC at the first address listed above.
- ☐—Two (2) copies of the appropriate TRADEMARK LICENSE AGREEMENT (if applicable) that must be signed by a corporate officer (or other individual authorized to commit your organization to the terms and conditions in the agreement) have been mailed to OGC at the second address listed above.

Appendix B—Compliance Issue Form

Compliance Issue Form—Part A			
1. Completion Date		2. Tracking Number (leave blank)	
3. Candidate Organization			
3a. Name of Organization			
3b. Mailing Address			
3c. City		3d. State/ Province	
3e. Country		3f. Postal Code	
4. Technical Point of Contact			
4a. Name of Individual			
4b. Mailing Address			
4c. City		4d. State/ Province	
4e. Country		4f. Postal Code	
4g. Telephone Number			
4h. Facsimile Number			
4i. Email Address			
5. Candidate Product Information			
5a. Product Name			
5b. Product Version			
5c. Operating System Required			
5d. Hardware Required			
5e. Required Software			
6. Implementation Specification		(Please replace this text with the Implementation Specification and revision number) (If a test alternative was used please indicate here.)	
7. Signature		Signature	
		Typed or Printed Name	
		Typed or Printed Title	
(Appendix B – Part A : OpenGIS® Project Document 03-085 10/14/04)			

[illegible]

NOTE: Please attach additional pages if necessary.

OGC COMPLIANCE ISSUE FORM DIRECTIONS:

Please complete a **separate** form for **each** compliance issue. Complete **all** of the required items; **do not leave any items blank** unless the item specific directions below indicate that they may be left blank.

Item Specific Directions (Part A)

1. Completion Date—enter the date that the form is completed.
2. OGC Tracking Number—LEAVE BLANK.
3. Candidate Organization—enter all of the requested data for your organization.
4. Technical Point of Contact—enter all of the requested data for the duly authorized individual within your organization that will be responsible for dealing with technical and documentation matters.
5. Candidate Product Information
 - a. Product Name—enter the **full** name of the Candidate Product as it appears on packaging, documentation, and advertising
 - b. Product Version—enter the version number of the Candidate Product being tested.
 - c. Operating System Required—enter the operating system (maker, name, and version) on which the tested Candidate Product will run. Do not enter all operating systems on which it runs, only the one that will be tested under the General Testing Procedure.
 - d. Hardware Required—enter the hardware (maker, name, and version) on which the tested Candidate Product will run. Do not enter all hardware on which it runs, only the one that will be tested under the General Testing Procedure.
 - e. Required Software—enter additional software (maker, name, and version) that the tested Candidate Product requires to run (e.g., Database Management Systems, Object Request Brokers, etc.). Do not enter all software that your product requires in all cases, only the ones that will be tested under the General Testing Procedure.
6. Implementation Specification—Indicate the Implementation Specification revision and alternative (if applicable) that the product was tested against.
7. Signature—your signature.

Item Specific Directions (Part B)

1. OGC Review Board Forwarding Date—LEAVE BLANK.
2. OGC Tracking Number—LEAVE BLANK.
3. Pertinent Compliance Alternative—Check the Implementation Specification revision and alternative that your product was tested against. If your product was tested against multiple revisions or alternatives, check all that apply.
4. Summary—provide a summary of your issue.
5. Detailed Description—provide a detailed description of your issue.

Submission Instructions

An electronic version of the form is required. These electronic materials should be sent to compliance.issue@opengeospatial.org or on other electronic media to the address given below. Hardcopies of the above or questions concerning the technical content of compliance issues or the Compliance Testing Program in general should be addressed to:

Open Geospatial Consortium, Inc
ATTN: Mark Buehler
4899 N. Old State Road 37
Bloomington, Indiana 47408-9239 USA
Tel: +1 812 334 0601
Fax: +1 812 334 0625
Email: mbuehler@opengeospatial.org

Appendix D—Compliance Certificate Format

Compliance Certificates will have the following format:

**Open Geospatial Consortium, Inc.
Compliance Certificate**

This Compliance Certificate is awarded to

[Organization Name]

In recognition that its product

[Product Name and Version]

Meets all Compliance Items and therefore complies with

[Implementation Specification Name and Version Number]

Awarded the [Day] day of [Month] [Year].

This Certificate expires the [Day] day of [Month] [Year].

David Schell, Chairman and Chief Executive Officer

Appendix E—Trademark License Agreement

This appendix contains a link to the Trademark License Agreement. It must be completed and signed by a corporate officer (or other individual authorized to commit the Candidate Organization to the terms of the agreement) and submitted with OGC Compliance Testing Applications and Self-Test Summary Reports. OGC requires two (2) signed copies of the appropriate agreement in either case.

INSTRUCTIONS FOR COMPLETING TRADEMARK LICENSE AGREEMENTS:

1. Obtain an electronic version of the Trademark License Agreement available at <http://www.opengeospatial.org/resources/?page=testing>).
2. Complete the Trademark License Agreement by replacing text within and including the square brackets ('[' and ']') with the appropriate information.
3. Print two (2) copies of the completed agreement.
4. Obtain the signature of a corporate officer (or other individual authorized to commit the Candidate Organization to the terms of the agreement) on both copies of the agreement.
5. Send both copies to OGC along with OGC Compliance Testing Application or Self-Testing Summary Reports to:

Open Geospatial Consortium, Inc
ATTN: Compliance Testing Program
35 Main Street, Suite 5
Wayland, Massachusetts 01778-5037 USA

6. Questions concerning payment of fees should be addressed to the same address or to Jeff Burnett at:
Tel: +1 508 655 5858
Fax: +1 508 655 2237
Email: jburnett@opengeospatial.org

Appendix F—Compliant Products Record

The following Compliant Products Record will be maintained on the OGC public Web site for every product that receives a Compliance Certificate.

Compliant Product Record			
1. Certificate Award Date			
2. Organization			
3. Point of Contact (from Compliance Application)			
3a. Name			
3b. Mailing Address			
3c. City		3d. State/ Province	
3e. Country		3f. Postal Code	
3f. Telephone			
3g. Facsimile			
3h. Electronic Mail			
4. Product Information (from Summary Report)			
4a. Product Name			
4b. Product Version			
4c. Operating System Required			
4d. Hardware Required			
4e. Required Software			
5. Implementation Specification for which product has been determined to be compliant :		(Please replace this text with the Implementation Specification and revision number) (If a test alternative was used please indicate here.)	

Appendix G—Trademark Licensing Fees

The following schedule defines the annual fees that each Licensee must be pay in order to use the OGC Certification Mark in connection with any Product that has successfully passed a compliance test under OGC's Compliance Testing Program. Fees described below are subject to change without notice.

Each Licensee pays an annual Trademark License Fee per Product Version, per Implementation Specification tested, and based on the TLA date on which the first Product/Implementation Specification was certified compliant—the “Trademark License Year”. The amount of the Trademark License Fee is based upon the Total Gross Annual Revenue (“TGAR”) of the parent corporation. The Trademark License Fee is not based on the annual gross revenues of an operating division, a wholly owned subsidiary, or the GIS, geospatial, or software-related revenues of a corporation.

Maximum Annual Trademark License Fees for Members

Associate Member: The maximum annual Trademark License Fees that an Associate Member licensee will pay per Trademark License Year is equal to the total number of Product Version/Implementation Specification combinations being trademarked multiplied by the Associate Member fee from the table below.

Technical Member: The maximum annual Trademark License Fees a Technical Member licensee will pay per Trademark License Year is equal to four times (4X) the Trademark License Fee for its TGAR, even if the Technical Member licensee wishes the Trademark License to cover more than four Product Version/Implementation Specification combinations that have successfully passed compliance testing.

Principal Member: The maximum annual Trademark License Fees a Principal Member licensee will pay is equal to two times (2X) the Trademark License Fee for its TGAR, even if the Principal Member licensee wishes the Trademark License to cover more than two Product Version/Implementation Specification combinations that have successfully passed compliance testing.

Strategic Member: The maximum annual Trademark License Fees a Strategic Member licensee will pay is equal to one time (1X) the Trademark License Fee for its TGAR, even if the Strategic Member licensee wishes the Trademark License to cover more than one Product Version/Implementation Specification combination that has successfully passed compliance testing.

Adding Products to a Trademark License during a Licensee's Trademark License Year

When an existing licensee adds a Product that has successfully passed compliance testing during the Trademark License Year, the appropriate Trademark License Fee for each such Product is pro-rated for the balance of the Trademark License Year on a whole month basis. When the number of Products licensed during a licensee's Trademark License Year exceeds the cap for a licensee's OGC membership level, if applicable, no additional Trademark License Fee is assessed.

Trademark License Fee Schedule

Total Gross Annual Revenue (in millions of US dollars)	Non Member Fees No Cap	OGC Member Fees			
		Associate (No Cap)	Technical (4X Cap)	Principal (2X Cap)	Strategic (1X Cap)
0-1M	\$100	\$80	\$320	\$160	\$80
>1M-3M	\$250	\$200	\$800	\$400	\$200
>3M-10M	\$500	\$400	\$1,600	\$800	\$400
>10M-20M	\$750	\$600	\$2,400	\$1,200	\$600
>20M-50M	\$1,200	\$960	\$3,840	\$1,920	\$960
>50M-100M	\$2,000	\$1,600	\$ 6,400	\$3,200	\$1,600
>100M-500M	\$4,500	\$3,600	\$14,400	\$7,200	\$3,600
>500M	\$7,000	\$5,600	\$22,400	\$11,200	\$5,600

Appendix H—Use of OGC Certification Mark

The "CERTIFIED OGC COMPLIANT" Certification Mark is only to be used with products that have been tested and approved by the OGC as "Compliant" to one or more OpenGIS Implementation Specifications. Further, this Certification Mark may only be used in conjunction with the appropriate logos listed below.



For products that are compliant to one or more OpenGIS Implementation Specifications, the appropriate logos listed below (or the full text description of the specification) should be used with the Certification Mark. In no case should any of the following logos be used separately from the Certification Mark.

The following statement must accompany all uses of the Certification Mark: "This product conforms to the [Specification Name], Revision [Revision Number], [Alternative Name] Alternative. OGC, OpenGIS®, and CERTIFIED OGC COMPLIANT are trademarks or registered trademarks of the Open Geospatial Consortium, Inc. in the United States and other countries." Licensee may also use the OpenGIS Implementation Specification logos listed below to graphically identify the Certification Mark with one or more OpenGIS Specifications.



The below images are samples and are herein for reference only.

CTS 1.0	OpenGIS® Coordinate Transformation Services Implementation Specification, Version 1.0
CS 1.1.1	OpenGIS® Catalog Services Implementation Specification, Version 1.1.1
GC 1.0	OpenGIS® Grid Coverages Implementation Specification, Version 1.0
GML 3.0	OpenGIS® Geography Markup Language Implementation Specification, Version 3.0
SF-CORBA 1.0	OpenGIS® Simple Features Specification for CORBA, Version 1.0
SF-OLE/COM	OpenGIS® Simple Features Specification for OLE/COM, Version 1.1
SF-SQL 1.1	OpenGIS® Simple Features Specification for SQL, Version 1.1
WFS 1.0	OpenGIS® Web Feature Service Implementation Specification, Version 1.0
WMS 1.1.1	OpenGIS® Web Map Service Implementation Specification, Version 1.1.1

This formulation of OGC's notice and license became active on June 14, 2001. Please see our Copyright FAQ for common questions about using materials from our site. Other questions about this notice can be directed to Sam Bacharach at sbacharach@opengeospatial.org.