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WEBINAR ISO 5230 Certification Process

Steps and Benefits of Implementing
ISO 5230 for IAV

Agenda

Certification Process



01 Welcome and Introduction

02 Understanding ISO 5230

03 Steps for Certification

04 IAV Benefits Realized Post-Certification

05 Q&A

Welcome and Introduction

IAV , TIMETOACT Group and Open
Chain and their roles in certification
process



IAV is More ...

Founded

1983

Berlin



Core Competences

- digital business models and vehicle products
- function- and product-development related to vehicles
- development of technologies related to the powertrain



976

Million Euros
Annual Sales



We Develop

innovative
technologies
for mobility
and beyond



7,600

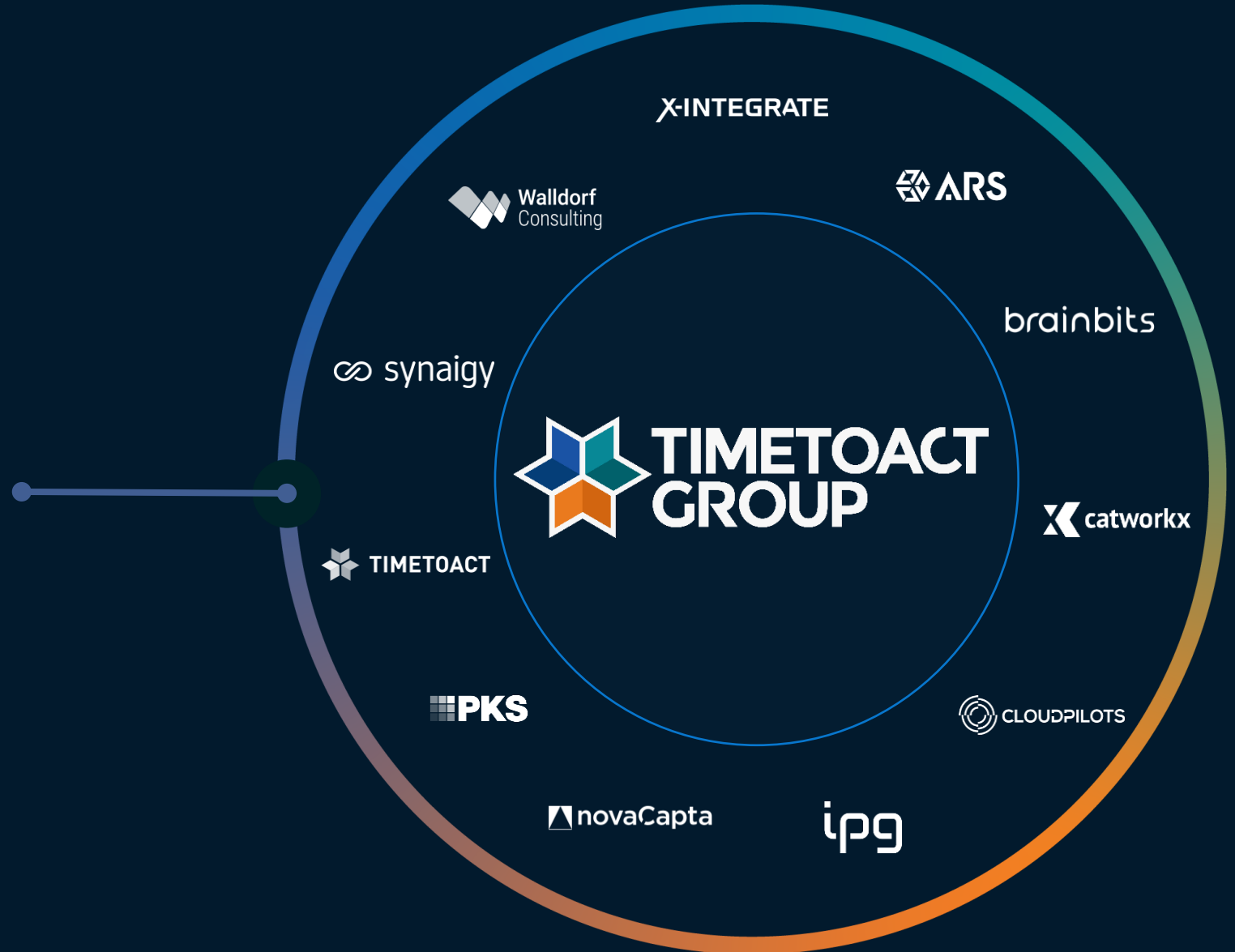
Employees



26

Locations
Worldwide

We are
small enough to care and
**BIG ENOUGH
TO DELIVER**





Leading high-tech service provider in the automotive industry with over 7,000 employees worldwide



Challenges

- Open Source compliance
- Open Source security
- Process improvement
- Trust in the supply chain



- **Maturity analysis**
Evaluation of current Open Source compliance
- **Gap analysis and closure**
Identification and closing of compliance gaps
- **Audit and ISO/IEC 5230 certification**
Support by ARS for auditing and certification



Results and Added Values

- Final audit rating of **95%**
- **ISO/IEC 5230 certification** achieved in record time
- Strengthening of industry **image** and risk minimization
- Improved internal **efficiency** and strong awareness for Open Source compliance
- Improved **quality standards**
- International recognition and competitive **advantages**
- Increased operational efficiency and **risk reduction**



5230

Understanding ISO 5230

What is ISO 5230?

- International standard for Open Source license compliance
- Ensures consistent management of Open Source software
- Provides guidelines for documenting, managing, and using Open Source software in organizations



OPENCHAIN

- Defines standards for Open Source compliance
- Supports ISO 5230
- providing guidelines and resources
- Promotes collaboration and best practices within the Open Source community



The Value Achieving Certification and External Support

Benefits of Certification for Companies

- Demonstrates commitment to industry standards
- Reduces risks associated with non-compliance
- Enhances trust with clients and stakeholders
- Improves internal processes and efficiency
- Increases business opportunities and competitive advantage
- Increases internal awareness for compliance



Why External Support Makes Sense

- Third-Party certification builds trust
- Expert knowledge in certification requirements and processes
- Proven experience in successfully guiding companies to process improvements
- Comprehensive support throughout the preparation and certification process
- Tailored solutions to address specific company needs
- Access to best practices and industry insights
- Collaboration with third-party auditors for final certification review



Maturity Analysis

How **TIMETOACT** has identified **IAVS**
readiness and status concerning
Open Source



Initial Assessment and Readiness Evaluation

- Evaluate current Open Source compliance program
- Determine readiness for ISO/IEC 5230
- TIMETOACT developed a maturity model based on ISO/IEC 5230
- Verify compliance with standards requirements



Audit techniques used

Interviews
Engage with (key) stakeholders



Process Analyses
Review existing processes



Document Reviews
Analyze relevant documentation



**TIMETOACT identified
Gaps and areas needing
enhancement and
provided actionable
recommendations**



Audit techniques used

Interviews
Engage with key stakeholders



Process Analyses
Review existing processes



Document Reviews
Analyze relevant documentation



Using a visual diagram created from the **Open Chain** framework, **TIMETOACT** quickly and easily provides a clear overview that shows the maturity level of the organization.

Benchmark comparison with other Customers

Benchmark 1

Industry with over 65k employees

- Own software development department
- No Open Source policy or any binding documents available
- No department for Open Source compliance

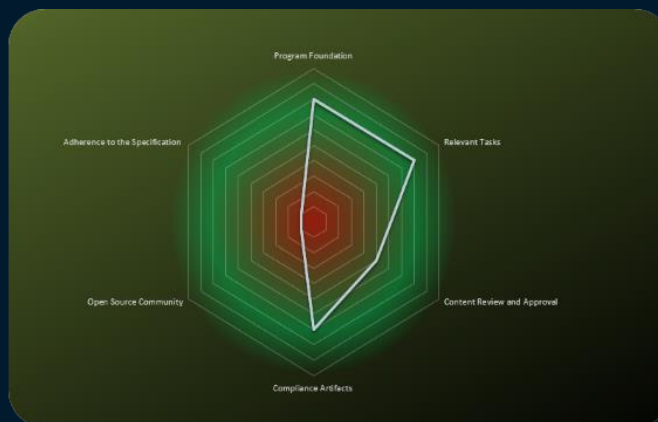
Benchmark 2

Media with over 5k employees

- Software development in multiple sub-organizations and departments
- No Open Source policy or any binding documents available
- No department for Open Source compliance



Benchmarks to compare with other organizations.



Document Reviews
Analyze relevant documentation



Policy OSS

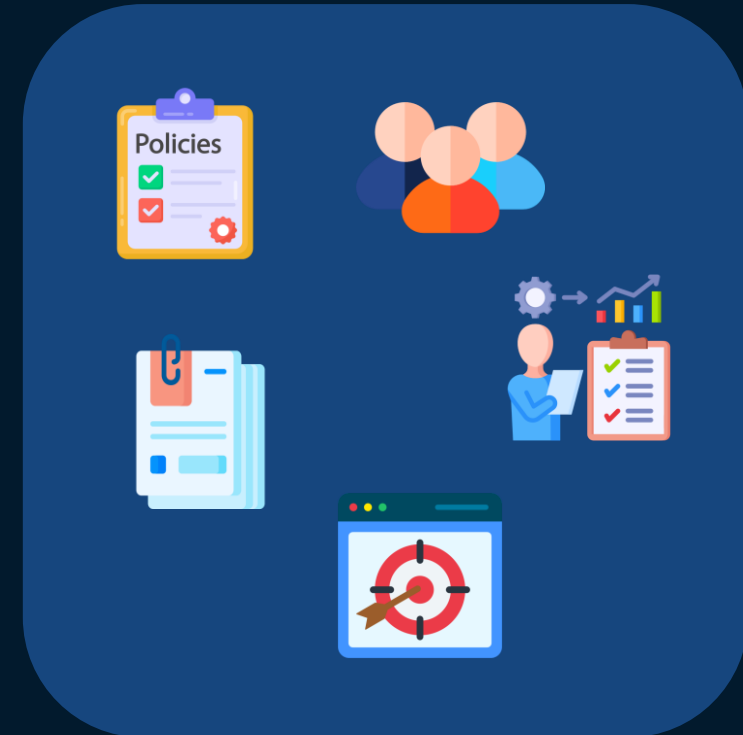
Roles and Responsibilities

Competencies for each role

Competencies for each program participant

Evidence of competence

Written statement of defining the scope



Gap Analysis and Closing

How **TIMETOACT** identified gaps,
improved processes, enhanced
compliance for certification readiness



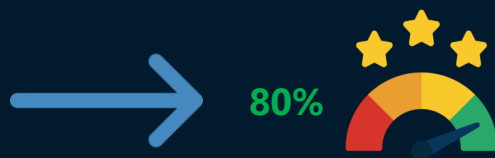
Identification of Gaps and Improvement Areas

- Identify weak spots in current compliance processes
- Highlight areas needing enhancement



Close Gaps and Improve Processes

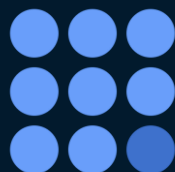
- Develop action plans to address identified gaps
- Implement process improvements



TIMETOACT aims to achieve **80%** maturity within a company to be ready for certification. For this purpose, we provide recommendations to improve individual areas.

Maturity Categories to improve Readiness

- Program Foundation
- Relevant Tasks
- Content Review and Approval
- Compliance Artifacts
- Open Source Community
- Adherence to the Specification



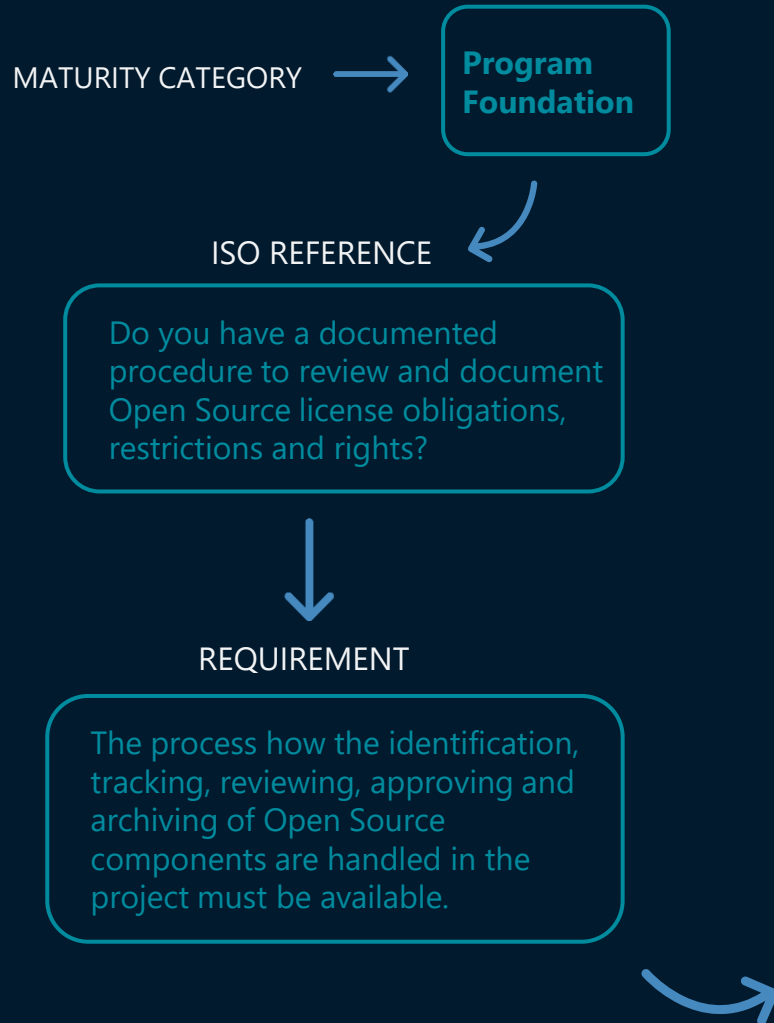
These are the categories we have defined for assessing maturity based on the ISO standard and Open Chain model.

By calculating and measuring the maturity level of each category, we can provide personalized recommendations and develop a gap-closing strategy.



| Maturity Assessment ISO 530 | | | | |
|----------------------------------|----------|-------------------|-------|----------------|
| Scale | | | | |
| Likert Scale | | | | |
| 1 | 2 | 3 | 4 | 5 |
| Strongly disagree | Disagree | Neither agree nor | Agree | Strongly agree |
| Boolean Scale | | | | |
| 1 | | 5 | | |
| No | | Yes | | |
| Domain and Sub Domain Weightings | | | | |
| Domain / Sub domain | | Weight | | |
| | | 100,0% | | |
| Program Foundation | | 16,7% | | |
| Relevant Tasks | | 16,7% | | |
| Content Review and Approval | | 16,7% | | |
| Compliance Artifacts | | 16,7% | | |
| Open Source Community | | 16,7% | | |
| Adherence to the Specification | | 16,7% | | |

EXAMPLE FOR RECOMMENDATIONS STEPS:



Recommendations for IAV

| Domain | ISO/IEC 5230-1 Reference | Requirement | Observation | Recommendation |
|------------------------------------|--|---|-------------|----------------|
| Inner Source (outside of ISO Norm) | | | | |
| Program Foundation | If applicable: Have you defined actions to ensure to gather necessary competences? | The requirements describes measures and actions to ensure that all stakeholder receive proper competencies in terms of open source compliance e.g., through a mandatory training. | | |
| Program Foundation | Do you have a documented procedure to communicate the existence of the open source policy to all program participants? | The policy or for IAV "Verfahrensansweisung Free and Open-Source Software in der Software-Entwicklung" should be known to each program participant. | | |
| Program Foundation | Do you have a documented procedure to review and document open source license obligations, restrictions and rights? | The process how the identification, tracking, reviewing, approving and archiving of open source components are handled in the project must be available. | | |
| Program Foundation | Have you documented the assessed competence for each Program participant? | Each role must be known and competencies must be assessed. See below best practice Open Chain. | | |
| OSS Content and Approval | Do you have a documented procedure for identifying, tracking, reviewing, approving, and archiving information about open source components in the Supplied Software? | The process how the identification, tracking, reviewing, approving and archiving of open source components are handled in the project must be available. | | |
| Open Source Community | A documented procedure that governs open source contributions | A documented procedure should be available for contributions to open source projects. | | |
| Open Source Community | A documented procedure that makes all program participants aware of the existence of the open source contribution policy (e.g., via training, internal wiki, or other practical communication method). | Communication about the contribution policy / procedures should be ensures. | | |

↖ Maturity Categories

OBSERVATION

Some projects do have a documented procedure, some do not. Each project must set-up their own documentation.

RECOMMENDATION

Ensure a standardized procedure which can than be adopted by each project individually.



Final Audit and Certification

Overview of the audit process and certification through ARS, key findings, and final certification results



Authorized Bodies For certification

- Certification can only be issued by certification bodies, such as ARS, that have the necessary authority and credentials
- These bodies are recognized by international standard organizations to ensure adherence to the ISO 5230 requirements



Specializes in consulting, digital transformation, and software development, ensuring top-quality and successful projects for clients, experience in licensing and compliance



Role



- Acts as an independent third-party auditor
- Ensures compliance with industry standards and regulations
- Provides unbiased and objective assessments for certification.

Certification Process



1. Initial Meeting

Arrange an initial meeting to discuss and agree on the audit timeline.



2. Documentation Request

Provide a list of required documents and set a submission deadline.



4. Scheduling and Conducting Audit

Schedule audits: a 6-hour main audit with the compliance team and 1-hour audits with development teams.



3. Documentation Submission and Review

Company submits documents; auditor reviews for completeness and compliance, noting any issues for discussion.



5. Post-Audit Review

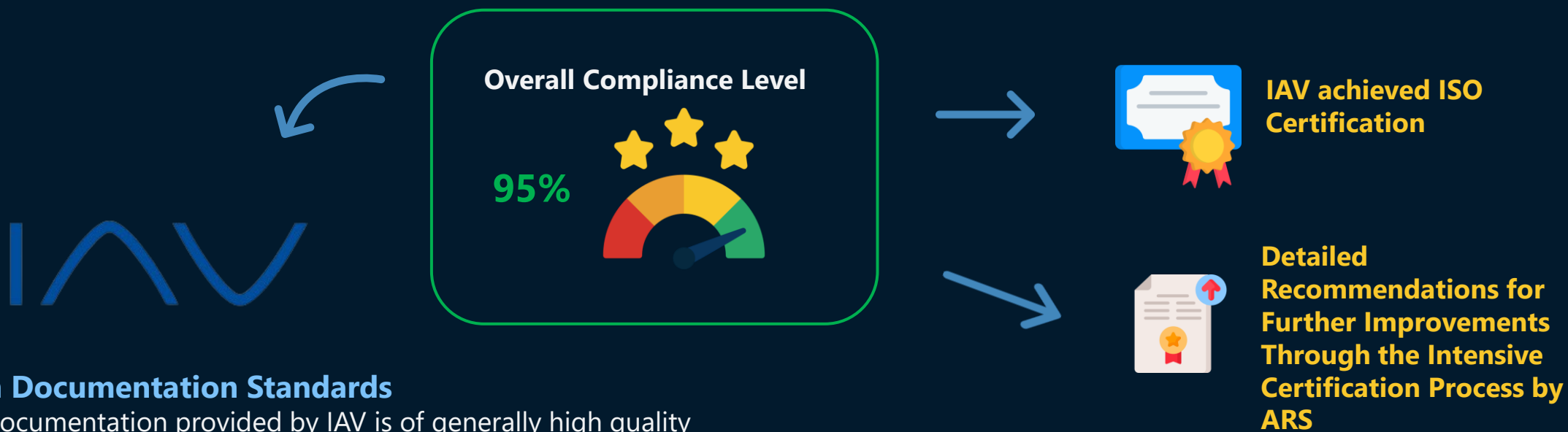
Summarize findings, address non-compliance issues, and prepare the audit report.



6. Final Certification

Review findings and issue certification based on compliance.

IAV Certification Results



High Documentation Standards

The documentation provided by IAV is of generally high quality

Management Support

Strong support from management for the OSPO (Open Source Program Office) team

Engagement and Expertise

High levels of engagement and expertise demonstrated by all involved parties

Mature Training Concept

The training concept implemented is highly developed and effective

Continuous Adherence to ISO 5230 Standards

- **Comprehensive Audits Every Three Years**
To ensure continuous adherence to ISO/IEC 5230 standards, ARS conducts a comprehensive audit every three years
- **Annual Surveillance Audits**
Between comprehensive audits, annual surveillance audits are performed. These audits ensure the company continuously meets certification requirements
- **Regular Reviews**
These regular reviews are crucial for maintaining compliance and the quality of Open Source software practices.



Maintains Certification Standards

Identifies and Addresses Issues Early

Enhances Software Quality

Builds Trust with Stakeholders

Post Certification View

**Achievements and Benefits of ISO
5230 Compliance at IAV**



Post-Certification: Unleashing Potential and Rewards

Becoming certified according to ISO/IEC 5230 provides IAV with several benefits, including



Open Channels, Solid Bonds: Demonstrated OSS compliance builds customer and partner confidence in our software products and services.



Innovation Driven, Distinguished Standing: Certification promotes enhanced market opportunities and differentiates us from our competitors by validating the quality and security of the use and contribution of OSS.



Anticipate, Safeguard, and Navigate: Identifies and manages risks associated with Open Source software.

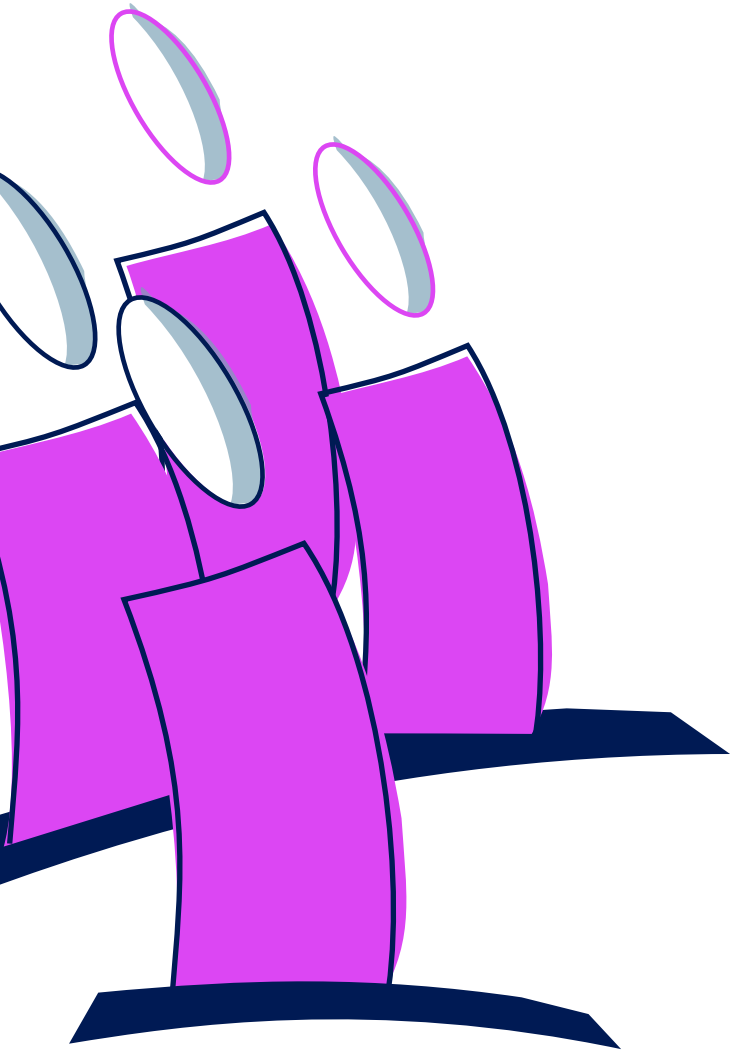


Streamline Processes, Maximized Returns: Streamline the processes of working with Open Source components, resulting in time and cost savings.



Steady Progress, Sustainable Growth: Establishes a process for the continuous review and improvement of Open Source software.

Best Practice



OSPO Open Source Program Office Our Hub of Excellence for Open Source

Internal focal point for OSS
issues

Centralized control of quality
assurance activities

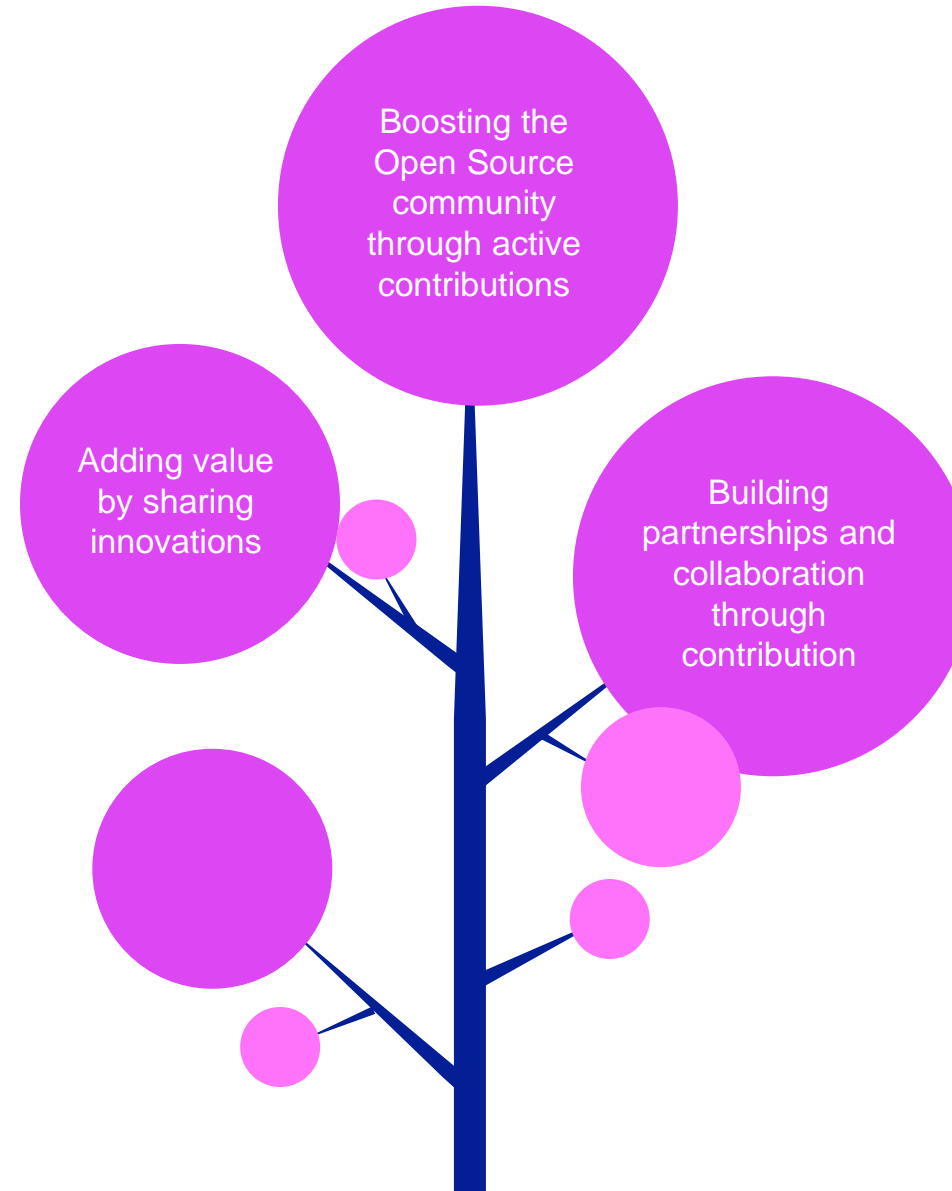
Guiding our
contribution
objectives

Simplify internal
and external
collaboration

External expert
representation

Best Practice: Powering Open Source Contribution

IAV Innovation Space



Questions?



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