The Open Group® Certification for People

Training Course Accreditation Checklist

March 2017
Version 2.0-2

# Introduction

This document is completed by a training course provider to facilitate assessment of a training course for accreditation within The Open Group Certification for People program. The scope of the assessment is set by the Conformance Declaration. The assessment consists of the validation of two main parts:

* Quality conformance
* Training material conformance

This document enables the training provider to verify that all accreditation requirements are met and to communicate to the assessor where they are addressed. It contains 3 checklists:

* Checklist 1: Generic training provider requirements, which experienced training organizations are expected to meet and to have documented in their Quality Management System (QMS)
* Checklist 2: The Open Group specific requirements, which might need to be added to the existing QMS or the creation of an addendum
* Checklist 3: Records management, lists the records that are expected to be kept for the duration of the accreditation and which show evidence that the requirements are met.

This document is used in conjunction with the applicable Training Course Materials Checklist for the Program. The Training Course Materials Checklist provides a mapping between the training course materials and the required learning outcomes whereas the checklists within this document provide a mapping between the remaining documentation in the Accreditation Package and the program requirements. The assessor will use the full set of completed checklists to perform the documentation assessment phase of the accreditation process in order to determine whether the training course meets the Accreditation Requirements.

Regardless of the application used to populate it, this document must be submitted in a format that can be edited by the assessor. Microsoft Word, iWork Pages, and Open Office are acceptable formats. Alternate formats may be used only with approval from the assessor.

Please do not change the format of this document.

## Program document References

The acronyms below are used in the checklists within this document to identify the source document from which the specified requirement is derived, as indicated in the “Requirement Source” column.

|  |  |
| --- | --- |
| Acronym | Document |
| AP | The Open Group Certification for People: Training Course Accreditation Policy, Version 1.1 |
| AR | The Open Group Certification for People: Training Course Accreditation Requirements, Version 1.1 |

## Checklist Instructions

Please complete each of the checklists in this document.

Document name: document addressing the requirement.

Reference within document: section number or other location indication.

The “Applicant Comment” column is used to provide additional information. Comments are not considered as formal evidence.

This Accreditation Checklist provides a mapping between your Quality Management System documentation and the Accreditation Requirements; this checklist does not replace your QMS.

Guidance to the applicant on how to properly complete the checklist and satisfy the requirement is provided in blue text. Though you do not need to implement the requirement exactly as stated, your assessor will be looking to see you have addressed the requirement in a way which is consistent with this guidance.

## Training Course Information

Provide information on the training course to be accredited, including the training provider and program. This information must be consistent with the information as specified in the Training Course Schedule of the Accreditation Agreement.

|  |  |
| --- | --- |
| Program Name |  |
| Organization Name |  |
| Training Course Name |  |

## Application information

Checklist:

|  |  |
| --- | --- |
| Author |  |
| Version |  |
| Submission Date |  |
| Comment |  |

Supporting documents:

|  |  |  |
| --- | --- | --- |
| Document Name | Version | Comment |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

# Checklist 1 – Generic requirements training course providers

This checklist is used to assess the Organization’s capability to offer the training course in terms of organization, physical resources, finance, marketing, and administration. Most of the requirements in this section should be covered in the Organization’s current documented quality management system.

|  | Checklist 1 - Generic requirements |
| --- | --- |
| Rqmt. # | Base Requirement and Commentary | Level | Document name | Reference within document | Applicant Comment | Assessor Comment |
|  | General Organization Requirements(Accreditation Requirements Section 2.1) |  |  |  |  |  |
| AR 2.1-1 | The Organization must be a company registered in the appropriate legal or government body in their country.Self-explanatory. | Must |  |  |  |  |
| AR 2.1-2 | The Organization must be financially stable. This requirement may be met by submitting a financial report, P&L, and balance sheet for the previous two (2) years, all approved by an independent auditor, or other records as approved by the Certification Authority.Financial information provided must be sufficient to demonstrate that the Organization is financially viable and will be in a strong enough financial position to deliver the course throughout the period of accreditation and meet its obligations to course delegates. | Must |  |  |  |  |
|  | **Process and Quality System**(Accreditation Requirements Section 2.3) |  |  |  |  |  |
| AR2.3-1 | The Organization must operate effective procedures:* for the registration and identification of candidates
* for the selection of trainers, and
* for the allocation of Candidates and trainers to scheduled course events.

Each procedure should be included in the Quality Management System and separately mapped. | Must |  |  |  |  |
| AR2.3-2 | All aspects of course administration, delivery, and maintenance must be covered by a documented quality system.A primary objective of the documented quality system is to ensure that the operations of the Organization are repeatable, reproducible, and objective. | Must |  |  |  |  |
| AR2.3-5 | The Organization’s quality system must include an active internal audit program to self-police that the Accreditation Requirements are being continuously met and that the Organization’s documented quality system is being continuously and correctly implemented. Any non-compliance identified by this internal audit must be formally recorded, followed up, and cleared.The Organization should verify the compliance of its processes related to the training delivery on a regular basis. This can be achieved by verifying that procedures are applied and records are maintained. Regular verification allows the Organization to identify issues in a timely manner and prevent their re-occurrence.The Accreditation Requirements should be included in the internal audit scope.The Organization should document the approach chosen for this internal audit and record the results and improvement actions from audits performed. | Must |  |  |  |  |
| AR2.3-8 | The documentation of the quality system must be under effective change control.The process for making changes should be described including the name of the person(s) who must approve the changes. The Quality Management System must contain a change log showing all relevant information. | Must |  |  |  |  |
| AR2.3-10 | The Organization must operate an effective and responsive procedure for handling customer complaints.This should be documented in the quality system and all records retained. Note that this is a distinct activity separate from course surveys, which are done at or shortly after the end of the course. Unlike course surveys, customer complaints may occur at any point in a course lifecycle (e.g., during registration) and may not relate to a specific course. | Must |  |  |  |  |
|  | **Purpose of Accreditation**(Accreditation Policy Section 1.2) |  |  |  |  |  |
| AP1.2-1 | Sufficient guidance is available to Candidates and their employers, before enrollment, on what level of prior knowledge and experience is expected for each course.The Organization should either submit its marketing materials for assessment and/or provide a web address where the assessor may view them. | Must |  |  |  |  |
| AP1.2-2 | Candidate numbers are matched to the resources available.The quality system documentation should stipulate how the Organization will make sure that the number of trainers, the size of the venue, and other related factors will be adapted to the number of delegates to ensure the quality of the course delivery. | Must |  |  |  |  |
|  | **Training Course Content and Documentation**(Accreditation Requirements Section 3.1) |  |  |  |  |  |
| AR3.1-1 | The Organization must warrant and represent that all ATCs they offer shall at all times meet the Accreditation Requirements documented herein, and in particular that each course covers all of the required learning outcomes.The quality system documentation should stipulate how this will be achieved. | Must |  |  |  |  |
| AR 3.1-2 | The Organization must provide proof that all applicable learning outcomes are covered in the training course.The training course material checklist should be populated and included in the accreditation package. | Must |  |  |  |  |
| AR 3.1-3 | All course material must be kept under version control.The Organization should ensure that the trainer and the delegates receive the most recent course material. A change log should be kept. The version of the material should be updated with any change. Licensed material used must also be kept under version control, in particular when the Organization makes modifications of any kind to the generic slides, as adding slides or content influences the learning outcome mapping that will need to be updated accordingly. The version control process should include the name of the person(s) who must approve the changes. | Must |  |  |  |  |
|  | **Trainer Requirements**(Accreditation Requirements Section 3.2) |  |  |  |  |  |
| AR3.2-1 | All trainers used in the delivery of ATCs must themselves be certified within the Program at or above the level specified in the Program Configuration document.The Organization should document the level of certification for each trainer and should keep records proving the certification. | Must |  |  |  |  |
| AR3.2-2 | All trainers used in the delivery of ATCs must have one of the following:* A relevant training qualification that has recognition in the geography in which it was obtained. (two examples are: certification from the Institute of IT Training, and The Open Group Certified IT Specialist (Open CITS) Certification with Technical Training as the Client Focus Area)
* One (1) year of relevant training experience
* Have undertaken an induction program that meets the following criteria:
* The individual must be certified in the Program at the appropriate level before the start of the formal induction program.
* The induction program must include a mechanism to ensure that the individual is capable of delivering a training course in a satisfactory manner.
* The induction program must include provision for the individual to deliver at least two (2) training courses under the supervision of an experienced ATC trainer. At the end of each training course, the decision on whether the individual is suitable to proceed to the next phase of training must be based on a report from the supervising trainer and feedback forms from attendees on the course, which must include provision for feedback on the individual concerned separate from the supervising trainer.
* The induction program must ensure the overall quality of the ATC when a trainer under supervision delivers any part of the training.

The quality system documentation should cover the methods used to appoint training personnel, including the vetting of qualification, experience, and satisfactory completion of inductive training. | Must |  |  |  |  |
| AR3.2-3 | All trainers used in the delivery of ATCs must have sufficient experience in and knowledge of the topic to be able to deliver the course in a clear and concise manner.The Organization should document the experience and knowledge of each trainer. | Must |  |  |  |  |
| AR3.2-4 | The Organization must ensure the proper performance of all trainers used in the delivery of their ATCs, including any trainers used by Affiliates.The quality system documentation should cover the Organization’s quality assurance measures, which could include attendee surveys, tracking examination results for trainers over time, internal audit, and surveillance. It is expected that the information collected will also be used to evaluate the trainers’ performance. Measures to improve or maintain trainer performance should be recorded. | Must |  |  |  |  |
| AR3.2-5 | The Organization must maintain a list of all of its own and its Affiliates’ trainers, including names, contact details, training qualifications, and certification status, and must make this list available to The Open Group promptly upon request.The trainer list is required during the accreditation process, re-accreditation process, and when new trainers are hired.The quality system documentation should cover the process used to ensure that the list of trainers is kept current and up-to-date, along with the mechanisms for delivery to the Certification Authority. | Must |  |  |  |  |

# Checklist 2 – The Open Group specific requirements

This checklist is used to assess procedures addressing The Open Group specific requirements. These may be included in the existing QMS or in an addendum.

|  | **Checklist 2 – The Open Group specific requirements** |
| --- | --- |
| **Rqmt. #** | **Base Requirement and Commentary** | **Level** | **Document name** | **Reference within document** | **Applicant Comment** | **Assessor Comment** |
|  | **Representation of The Open Group, the Program, and the Standards**(Accreditation Requirements Section 2.2) |  |  |  |  |  |
| AR 2.2-1 | The Organization must at all times represent the relationship between the ATC, the Organization, and The Open Group correctly.In particular, any and all promotion of accredited and other courses must be aligned with and not in conflict with the Program. All promotional and explanatory material published by the Organization in any form must correctly represent The Open Group, the Standards covered by the Program, and The Open Group Certification for People Program and its options. This extends without limitation to the use of the Accreditation Logo, Certificate of Accreditation, any plaques or certificates of course attendance, use and acknowledgment of The Open Group copyrighted materials, copyright notices, and trademarks.The Quality Management System should contain a procedure to show how the Organization will adhere to this requirement. | Must |  |  |  |  |
| AR 2.2-2 | The Organization must not disparage the Standards covered by the Program, The Open Group Certification, The Open Group itself, or its programs or activities, in written or oral form.The Quality Management System should contain a procedure to show how the Organization will adhere to this requirement. | Must |  |  |  |  |
| AR2.2-3 | Terminology used by the Organization must be consistent with the terminology used within the program.The Organization should make it clear to the delegates which terminology and materials are extracted from the Standard and which have been added by the ATC Provider. The Quality Management System should contain a procedure to show how the Organization will adhere to this requirement. | Must |  |  |  |  |
|  | **Process and Quality System**(Accreditation Requirements Section 2.3) |  |  |  |  |  |
| AR2.3-3 | The Organization’s quality system must include procedures to ensure that these Accreditation Requirements continue to be met for as long as the ATC is offered.Compliance must be met at all times. The Quality Management System should provide the guidance to the Organization’s employees on how to continue acting according to the requirements. | Must |  |  |  |  |
| AR2.3-4 | The Organization’s quality system must include procedures to ensure that all updates and changes to the Conformance Requirements are adopted and deployed in the ATC in the timescales defined by The Open Group.The Organization should have clear procedures for how it collects the updates and changes from The Open Group and how they are communicated within the Organization and applied within the time frame indicated. | Must |  |  |  |  |
| AR2.3-6 | Audit records must be kept for a minimum of six (6) years.Audit records must be submitted during the re-accreditation process and may be required earlier upon request by The Open Group.The Quality Management System should cover the means by which these records will be stored and retained for the specified time period. | Must |  |  |  |  |
| AR2.3-7 | If the Organization chooses to partner with one or more Affiliates, the quality system must include procedures to ensure that the Accreditation Requirements continue to be met when the ATC is delivered by an Affiliate.The Quality Management System should clearly state how the Organization ensures that the Affiliates can reproduce all procedures around delivery of the ATC. | Conditional |  |  |  |  |
| AR2.3-9 | Records of each ATC delivered must be kept for a minimum of six (6) years. These records must include date, location, and level of course, trainer name, attendee names, and voucher code issued to each attendee and, if applicable, the name of the Affiliate that delivered or supported the delivery of the course.The Quality Management System should cover the means by which these records will be stored and retained for the specified time period. | Must |  |  |  |  |
| AR2.3-11 | The general management of the Organization must be responsible for the quality of ATC delivery, whether by the ATC Provider itself or by any Affiliates and all aspects of ATC operation and management.The quality system documentation should clearly state the general management responsibility over all delivery of the ATC. | Must |  |  |  |  |
| AR2.3-12 | The Organization must designate an ATC Manager for each ATC who is responsible for the operation, quality, and integrity of the ATC. If the ATC Manager role for a given ATC is distributed among several people, the Organization must nominate one person as ATC Manager for the purposes of accreditation.A single point-of-contact is required for each accredited training course to cover delivery by the Organization and any Affiliates. | Must |  |  |  |  |
|  | **Confidentiality**(Accreditation Requirements Section 2.4) |  |  |  |  |  |
| AR2.4-1 | The Organization and its Affiliates must not disclose any information about their Candidates’ examination results to anyone other than the Certification Authority.The quality system documentation should describe how this will be achieved. | Must |  |  |  |  |
| AR2.4-2 | The Organization and its Affiliates must not disclose the identity of any ATC attendees to anyone other than the Certification Authority and a company that paid the course fee for an attendee, if applicable.The quality system documentation should describe how the Organization will limit disclosure of attendee identities and how the Organization will inform attendees that their information will be shared with the Certification Authority. | Must |  |  |  |  |
| AR2.4-3 | The Organization and its Affiliates may provide their ATC attendees with written confirmation of course attendance.Such written confirmation must not imply that the attendee is certified in any way and in particular the words “Certificate”, “Certify”, “Certified”, “Certification”, or derivatives thereof may not appear therein.A copy of the written confirmation should be submitted for accreditation and can be requested at any time thereafter by the Certification Authority for verification during the accreditation period. | Must |  |  |  |  |
|  | **Examination Fees and Reporting**(Accreditation Requirements Section 2.5) |  |  |  |  |  |
| AR2.5-1 | In advance of delivery of each ATC and for each course attendee, the Organization or its Affiliate(s) must buy an appropriate examination voucher from the Certification Authority, or its designated supplier of examination vouchers.The quality system documentation should clearly state:- How vouchers will be purchased in time- How they will be distributed to all delegatesThe training course marketing information should clearly state that the voucher is included in the training fee.If the Organization uses Affiliates, the quality system documentation must indicate whether the Organization or its Affiliates will be responsible for buying examination vouchers for instances of the ATC which are delivered by Affiliates. | Must |  |  |  |  |
| AR2.5-2 | The Organization must provide a quarterly statement of vouchers purchased by the Organization and its Affiliates, showing the voucher number, attendee name, country, date of course attendance, and any other particulars as the Certification Authority may reasonably require.The quality system documentation should cover the means by which this is to be achieved. | Must |  |  |  |  |
|  | **Delivery of an ATC by Partners – Affiliates** (Accreditation Policy Section 8.1) |  |  |  |  |  |
| AP8.1-1 | ATC Providers are at all times responsible for their Affiliates’ compliance with the trademark usage guidelines in the Accreditation Trademark License Agreement with respect to promotional material for their ATC.The quality system documentation should describe how the Organization will instruct and police its Affiliates with respect to trademark usage. | Conditional |  |  |  |  |
|  | **Promotion of an ATC by Partners – Brokers** (Accreditation Policy Section 8.2) |  |  |  |  |  |
| AP8.2-1 | ATC Providers are at all times responsible for their Brokers’ compliance with the trademark usage guidelines in the Accreditation Trademark License Agreement with respect to promotional material for their ATC.The quality system documentation should describe how the Organization will instruct and police its brokers on trademark usage. | Conditional |  |  |  |  |
|  | **Training Course Content and Documentation** (Accreditation Requirements Section 3.1) |  |  |  |  |  |
| AR3.1-2 | Whenever The Open Group updates or makes a maintenance release or other update of a Standard covered by the Program and/or the Conformance Requirements, the Organization must update all affected courses to align with the new version of the Standard and/or the Conformance Requirements within six (6) months of release of the revised documents by The Open Group.The quality system documentation should cover the responsibilities and means by which changes to the Program documentation are tracked. When material is added, deleted, or replaced within the Standard, the course materials must be updated to align with the new version of the Standard; it is not sufficient to just identify what has changed between versions of the Standard. | Must |  |  |  |  |
|  | **Course Evaluation**(Accreditation Requirements Section 3.3) |  |  |  |  |  |
| AR 3.3-1 | Every time an ATC is delivered, directly by the ATC Provider or by an Affiliate, the Organization must ensure that a survey of the Candidates is conducted that covers venue, facilities, materials, procedures, and trainer(s).The quality system documentation should cover the process used to collect data, analyze results, and generate corrective action as appropriate. Records of the survey results must be available to the Certification Authority for inspection on request for up to18 months after completion. | Must |  |  |  |  |
| AR 3.3-2 | Summary records of these surveys must be made available to The Open Group on request in English.If the surveys are done in a language other than English, the quality system documentation should cover the process used to ensure the accuracy of any translation required. Summary records are expected to show which improvements have been implemented based on the feedback collected. | Must |  |  |  |  |

# Checklist 3 – Records management

This checklist indicates the types of records that are expected to be kept during the accreditation period and is used to validate that there are supporting documents or means available to keep track of these records. Supporting documents are expected to be templates, forms, lists or even print screens and may be used to address several requirements. The Open Group can share templates that may be submitted by the organization as its own if appropriately integrated to the Quality Management System. These records will be required during the re-accreditation assessment, 3 years after Accreditation was granted.

|  | Checklist 3 – Records management |
| --- | --- |
| Rqmt. # | Base Requirement and Commentary | Submitted | Template to retain Records | Document name | Applicant Comment | Assessor Comment |
| AR2.3-5 | Internal audits | Yes/No | Internal audit report |  |  |  |
| AR2.3-6 | Audit records must be kept for a minimum of six (6) years. |
| AR2.4-1 | The Organization and its Affiliates must not disclose any information about their Candidates’ examination results to anyone other than the Certification Authority. |
| AR2.4-2 | The Organization and its Affiliates must not disclose the identity of any ATC attendees to anyone other than the Certification Authority and a company that paid the course fee for an attendee, if applicable. |
| AP8.1-1 | ATC Providers are at all times responsible for their Affiliates’ compliance with the trademark usage guidelines in the Accreditation Trademark License Agreement with respect to promotional material for their ATC. |
| AP8.2-1 | ATC Providers are at all times responsible for their Brokers’ compliance with the trademark usage guidelines in the Accreditation Trademark License Agreement with respect to promotional material for their ATC. |
| AR2.3-8 | The documentation of the quality system must be under effective change control. | Yes/No | QMS change log |  |  |  |
| AR2.3-3 | The Organization’s quality system must include procedures to ensure that these Accreditation Requirements continue to be met for as long as the ATC is offered. |
| AR2.3-10 | The Organization must operate an effective and responsive procedure for handling customer complaints. | Yes/No | Complaint form/report/list |  |  |  |
| AP1.2-2 | Candidate numbers are matched to the resources available. | Yes/No | Quarterly statement of vouchers |  |  |  |
| AR2.3-9 | Records of each ATC delivered must be kept for a minimum of six (6) years. These records must include date, location, and level of course, trainer name, attendee names, and voucher code issued to each attendee and, if applicable, the name of the Affiliate that delivered or supported the delivery of the course. |
| AR2.5-1 | In advance of delivery of each ATC and for each course attendee, the Organization or its Affiliate(s) must buy an appropriate examination voucher from the Certification Authority, or its designated supplier of examination vouchers. |
| AR2.5-2 | The Organization must provide a quarterly statement of vouchers purchased by the Organization and its Affiliates, showing the voucher number, attendee name, country, date of course attendance, and any other particulars as the Certification Authority may reasonably require. |
| AR 3.1-1 | All course material must be kept under version control. | Yes/No | Training course material change log |  |  |  |
| AR3.1-2 | Whenever The Open Group updates or makes a maintenance release or other update of a Standard covered by the Program and/or the Conformance Requirements, the Organization must update all affected courses to align with the new version of the Standard and/or the Conformance Requirements within six (6) months of release of the revised documents by The Open Group. |
| AR3.1-2 | Whenever The Open Group updates or makes a maintenance release or other update of a Standard covered by the Program and/or the Conformance Requirements, the Organization must update all affected courses to align with the new version of the Standard and/or the Conformance Requirements within six (6) months of release of the revised documents by The Open Group. |
| AR3.2-1 | All trainers used in the delivery of ATCs must themselves be certified within the Program at or above the level specified in the Program Configuration document. | Yes/No | Trainer Certificates |  |  |  |
| AR3.2-2 | All trainers used in the delivery of ATCs must have one of the following: trainer induction | Yes/No | Trainer induction records |  |  |  |
| AR3.2-3 | All trainers used in the delivery of ATCs must have sufficient experience in and knowledge of the topic to be able to deliver the course in a clear and concise manner. | Yes/No | Trainer experience records (e.g., resume) |  |  |  |
| AR3.2-4 | The Organization must ensure the proper performance of all trainers used in the delivery of their ATCs, including any trainers used by Affiliates. | Yes/No | Trainer evaluation form/report |  |  |  |
| AR3.2-5 | The Organization must maintain a list of all of its own and its Affiliates’ trainers, including names, contact details, training qualifications, and certification status, and must make this list available to The Open Group promptly upon request. | Yes/No | Trainer list |  |  |  |
| AR2.3-7 | If the Organization chooses to partner with one or more Affiliates, the quality system must include procedures to ensure that the Accreditation Requirements continue to be met when the ATC is delivered by an Affiliate. | Yes/No | Affiliate list |  |  |  |
| AR2.3-12 | The Organization must designate an ATC Manager for each ATC who is responsible for the operation, quality, and integrity of the ATC. If the ATC Manager role for a given ATC is distributed among several people, the Organization must nominate one person as ATC Manager for the purposes of accreditation. | Yes/No | Conformance Declaration |  |  |  |
| AR 3.3-1 | Every time an ATC is delivered, directly by the ATC Provider or by an Affiliate, the Organization must ensure that a survey of the Candidates is conducted that covers venue, facilities, materials, procedures, and trainer(s). | Yes/No | Candidate survey form |  |  |  |
| AR 3.3-2 | Summary records of these surveys must be made available to The Open Group on request in English. | Yes/No | Candidate survey summary template |  |  |  |