Quality Management System appendix

Organization name (version 0.1)

Table of Contents

[Instructions on how to use this document 4](#_Toc504567221)

[Change log 6](#_Toc504567222)

[Compliance approval 7](#_Toc504567223)

[Course management and operations 9](#_Toc504567224)

[Candidate registration 9](#_Toc504567225)

[Allocation of candidates and trainers 9](#_Toc504567226)

[Candidate numbers and resources 10](#_Toc504567227)

[Candidate information 10](#_Toc504567228)

[Confirmation of course attendance 10](#_Toc504567229)

[Examination fees and reporting 10](#_Toc504567230)

[Course Evaluation 11](#_Toc504567231)

[Quality management 12](#_Toc504567232)

[Quality monitoring 12](#_Toc504567233)

[QMS change control 13](#_Toc504567234)

[Customer complaints 13](#_Toc504567235)

[Course material management 14](#_Toc504567236)

[Course material compliance 14](#_Toc504567237)

[Course material version control 14](#_Toc504567238)

[Course material change 15](#_Toc504567239)

[Trainer management 15](#_Toc504567240)

[Trainer certification 15](#_Toc504567241)

[Trainer experience 16](#_Toc504567242)

[Trainer topic knowledge 17](#_Toc504567243)

[Trainer performance 17](#_Toc504567244)

[Trainer list 18](#_Toc504567245)

[Trainer registration 18](#_Toc504567246)

[Affiliate and broker management 19](#_Toc504567247)

[Affiliate Management 19](#_Toc504567248)

[Affiliate trademark compliance 19](#_Toc504567249)

[Brokers trademark compliance 20](#_Toc504567250)

[Reference documents 20](#_Toc504567251)

# Instructions on how to use this document

**Purpose of the QMS Appendix**

The QMS appendix is based on the Accreditation Requirement and must be completed and submitted to show compliance.

The QMS appendix can be used:

- as appendix to your current QMS; it is possible to refer to existing procedures or to describe new procedures to address requirements that may not be covered by the existing QMS.

- or as a stand-alone QMS.

**Compliance approval**

Compliance approval covers requirements that may be extracted from the Accreditation Agreement, Policy or Requirements. They may not need to be addressed by a procedure for several reasons however, the Organization must confirm that they are understood and will be applied.

**Procedures**

It is possible to either refer to an existing procedure by completing the “existing procedure table” or to describe a new procedure in the “new procedure table”. New procedures must imperatively be described. Note that using the requirement wording to describe a new procedure is not sufficient. Each procedure MUST be either an existing procedure or a new procedure.

**Records Management and Supporting Documents**

All documents used to support the procedures must be submitted. The “record template / system used / submitted” supporting documents indicate the types of records that are expected to be kept during the accreditation period. Supporting documents are expected to be templates, forms, lists or even screen shots and may be used to address several requirements. The Open Group shares templates that may or must 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.

**Example**

*Requirement:* AR 3.1-1 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.

(Requirement number configuration: AR – Accreditation Requirement / AP – Accreditation Policy. Section number-Requirement position)

<guidance on the Accreditation Requirement> The Organization Management should confirm its ownership and make the means available for compliance to be maintained.

|  |  |  |
| --- | --- | --- |
| Procedure name | Document name | Reference in Document |
| Your current QMS already covers this procedure; please complete this table | <Name of the document submitted containing this procedure > |  |
| Comment |  | |
| Record template / system used / submitted | <name of the template included to the submission>  <name of the system used; screen shot included to the submission>  (Templates may be imposed by The Open Group or suggestions may be made) | |

OR <delete the table that is not applicable>

|  |  |
| --- | --- |
| Procedure name | <describe here the procedure you added to cover this requirement> |
| Record template / system used / submitted | <name of the template included to the submission>  <name of the system used; screen shot included to the submission>  (Templates may be imposed by The Open Group or suggestions may be made) |

# Change log

|  |  |  |  |
| --- | --- | --- | --- |
| Version number | Change | Author | Approved by |
|  |  |  |  |
|  |  |  |  |

# Compliance approval

The Organization must warrant that it will take responsibility and ensure compliance of the course is met at all times. This part must be approved and signed by the person accountable.

|  |  |  |
| --- | --- | --- |
| Requirement | | Read and approved by (name/initials) |
| AR 2.3-2 All aspects of course administration, delivery, and maintenance must be covered by a documented quality system. | |  |
| AR 3.1-1 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. | |  |
| AR 2.3-3 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. | |  |
| AR 2.3-11 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. | |  |
| AR 2.3-12 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. | |  |
| AR 2.4-1 The Organization and its Affiliates must not disclose any information about their Candidates’ examination results to anyone other than the Certification Authority. | |  |
| AR 2.4-2 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. | |  |
| AR 3.1-1 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. | |  |
| AR 2.5-2 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 6.1 The Organization must notify The Open Group of any material changes to the Organization’s identity, ownership, or location within 30 days. | |  |
| AR 6.2 The Organization must at all times keep the information in their Conformance Declaration correct and up-to-date. | |  |
| AR 6.4 The Organization must ensure that registration of any new Affiliate is requested from the Certification Authority and completed (including being listed on the register of Accredited Training Courses) prior to the Affiliate offering or delivering an ATC. | |  |
| **Date** | **Role** | **Signature** |

# Course management and operations

## Candidate registration

AR 2.3-1 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.

|  |  |  |
| --- | --- | --- |
| Candidate registration | Document name | Reference in Document |
|  |  |  |
| Comment |  | |
| Record template / system used | <registration form…> | |

OR

|  |  |
| --- | --- |
| Candidate registration | <New procedure description> |
| Record template / system used | <registration form…> |

## Allocation of candidates and trainers

AR 2.3-1 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.

|  |  |  |
| --- | --- | --- |
| Candidates and trainers’ allocation to scheduled course events | Document name | Reference in Document |
|  |  |  |
| Comment |  | |
| Record template / system used |  | |

OR

|  |  |
| --- | --- |
| Candidates and trainers’ allocation to scheduled course events | <New procedure description> |
| Record template / system used |  |

## Candidate numbers and resources

Based on AP 1.2-2 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.

|  |  |  |
| --- | --- | --- |
| Candidate numbers and resources | Document name | Reference in Document |
|  |  |  |
| Comment |  | |

OR

|  |  |
| --- | --- |
| Candidate numbers and resources | Minimum number of candidates per course / trainer – Maximum number of candidates per course / trainer |

## Candidate information

AP 1.2-1 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.

|  |  |
| --- | --- |
| Submitted | URL / <document name> |

## Confirmation of course attendance

AR 2.4-3 The Organization and its Affiliates may provide their ATC attendees with written confirmation of course attendance.

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.

|  |  |
| --- | --- |
| Submitted | <Written confirmation of course completion template name> |

## Examination fees and reporting

AR 2.5-1 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 delegates

The 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.

|  |  |  |
| --- | --- | --- |
| Examination vouchers | Document name | Reference in Document |
|  |  |  |
| Comment |  | |

OR

|  |  |
| --- | --- |
| Examination vouchers | <New procedure description> |
| Record template / System used |  |

## Course Evaluation

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.

|  |  |  |
| --- | --- | --- |
| Course evaluation | Document name | Reference in Document |
|  |  |  |
| Comment |  | |
| Record template / system used | <Survey template > | |

OR

|  |  |
| --- | --- |
| Course evaluation | <New procedure description> |
| Record template / system used | <Survey template > |

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.

|  |  |  |
| --- | --- | --- |
| Course evaluation summary | Document name | Reference in Document |
|  |  |  |
| Comment |  | |
| Record template / system used | <Survey summary template > | |

OR

|  |  |
| --- | --- |
| Course evaluation summary | <New procedure description> |
| Record template / system used | <Survey summary template > |

# Quality management

## Quality monitoring

Based on AR 2.3-5 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 must have procedures in place to monitor quality. 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.

|  |  |  |
| --- | --- | --- |
| Quality monitoring procedure | Document name | Reference in Document |
|  |  |  |
| Comment |  | |
| Record template / system used | <internal audit reports – quality monitoring meeting reports – evaluation meeting reports…> | |

OR

|  |  |
| --- | --- |
| Quality monitoring | <New procedure description> |
| Record template / system used | <internal audit reports – quality monitoring meeting reports – evaluation meeting reports…> |

## QMS change control

AR 2.3-8 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.

|  |  |  |
| --- | --- | --- |
| QMS change control | Document name | Reference in Document |
|  |  |  |
| Comment |  | |
| Record template / system used |  | |

OR

|  |  |
| --- | --- |
| QMS change control | <New procedure description> |
| Record template / system used | <Appendix QMS change log in this document> |

## Customer complaints

AR 2.3-10 The Organization must operate an effective and responsive procedure for handling customer complaints.

(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.

A procedure should clearly state which steps are taken, which resolutions are applied and under which conditions. Procedures subject to be applied should be submitted (e.g. rescheduling, cancellation, refund).

A complaint log should be maintained including: complainant name, contact information, complaint description, date of receipt, resolution and date of closure. Individual complaint records should be kept and made available on The Open Group request.

Unsolved complaints filed by candidates with The Open Group are considered as non-compliant to this requirement, putting the Accreditation at risk.)

|  |  |  |
| --- | --- | --- |
| Complaint management | Document name | Reference in Document |
|  |  |  |
| Comment |  | |
| Record template / system used | <complaint log – complaint overview – complaint review summary…> | |

OR

|  |  |
| --- | --- |
| Complaint management | <New procedure description> |
|  |  |
| Record template / system used | <complaint log – complaint overview – complaint review summary…>> |
|  |  |

# Course material management

## Course material compliance

Based on AR 3.1-2 The Organization must provide proof that all applicable learning outcomes are covered in the training course.

Online delivery: courses with any online delivery aspect or option must be made available to The Open Group assessors online for the duration of the assessment.

|  |  |
| --- | --- |
| Course material compliance | The training course material checklist should be populated and included in the accreditation package. It should be up to date and can be required at all times for validation by the Certification Authority. |
| Submitted | <Training course material checklist name/version> |

## Course material version control

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.

|  |  |  |
| --- | --- | --- |
| Course material version control | Document name | Reference in Document |
|  |  |  |
| Comment |  | |
| Record template / system used | <Training course material change log> | |

OR

|  |  |
| --- | --- |
| Course material version control | <New procedure description> |
| Record template / system used | <Training course material change log> |

## Course material change

AR 6.3 The Organization must notify The Open Group of any material changes to course content that could impact how the course meets the applicable Accreditation Requirements within 30 days of the change being made, with the changes being clearly identified.

|  |  |  |
| --- | --- | --- |
| Course material change notification to the Certification Authority | Document name | Reference in Document |
|  |  |  |
| Comment |  | |

OR

|  |  |
| --- | --- |
| Course material change notification to the Certification Authority | <New procedure description> |

# Trainer management

## Trainer certification

AR 3.2-1 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.

|  |  |
| --- | --- |
| Course material change notification to the Certification Authority | <New procedure description> |
| Submitted | <Certificates ID on trainer list> |

## Trainer experience

AR 3.2-2 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.

Trainer induction records need to retain this record.

|  |  |  |
| --- | --- | --- |
| Trainer selection and induction | Document name | Reference in Document |
|  |  |  |
| Comment |  | |
| Record template / system used |  | |

OR

|  |  |
| --- | --- |
| Trainer selection and induction | All trainers used in the delivery of ATCs must have one of the following:  <please remove what is not applicable to your procedure>   * 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. |
| Record template / system used | <Trainer selection & induction log – TTT report – training delivery observation report…> |

## Trainer topic knowledge

AR 3.2-3 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.

|  |  |  |
| --- | --- | --- |
| Trainer topic knowledge | Document name | Reference in Document |
|  |  |  |
| Comment |  | |
| Record template / system used |  | |

OR

|  |  |
| --- | --- |
| Trainer topic knowledge | <New procedure description> |
| Submitted | < Trainer experience records (e.g. resume)> |

## Trainer performance

AR 3.2-4 The Organization must ensure the proper performance of all trainers used in the delivery of their ATCs, including any trainers used by Affiliates.

Trainer evaluation form/report need to retain this record.

|  |  |  |
| --- | --- | --- |
| Trainer performance measurement and maintenance | Document name | Reference in Document |
|  |  |  |
| Comment |  | |
| Record template / system used |  | |

OR

|  |  |
| --- | --- |
| Trainer performance measurement and maintenance | <New procedure description> |
| Record template / system used | <Trainer performance evaluation report/log - TTT report/log> |

## Trainer list

AR 3.2-5 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.

|  |  |
| --- | --- |
| Trainer list | <New procedure description> |
| Submitted | < The trainer list template is made available by the Certification Authority> |

## Trainer registration

AP 7.3 All trainers who deliver the ATC must be registered with the Certification Authority at all times.

The ATC Manager must notify the Certification Authority of all new trainers and their qualifications. The

Certification Authority must grant approval before such new trainers may deliver an ATC.

|  |  |  |
| --- | --- | --- |
| Trainer registration | Document name | Reference in Document |
|  |  |  |
| Comment |  | |

OR

|  |  |
| --- | --- |
| New trainer registration | < New procedure description> |

# Affiliate and broker management

## Affiliate Management

AR 2.3-7 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.

|  |  |  |
| --- | --- | --- |
| Affiliate management | Document name | Reference in Document |
|  |  |  |
| Comment |  | |
| Record template / system used | < written instructions - internal audit reports – web site checks reports…> | |

OR

|  |  |
| --- | --- |
| Affiliate management | < New procedure description> |
| Record template / system used | < written instructions - internal audit reports – web site checks reports…> |

## Affiliate trademark compliance

AP 8.1-1 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.

|  |  |  |
| --- | --- | --- |
| Affiliate trademark compliance | Document name | Reference in Document |
|  |  |  |
| Comment |  | |
| Record template / system used | < written instructions - internal audit reports – web site checks reports…> | |

OR

|  |  |
| --- | --- |
| Affiliate trademark compliance | < New procedure description> |
| Record template / system used | < written instructions - internal audit reports – web site checks reports…> |

## Brokers trademark compliance

AR 8.2-1 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 with respect to trademark usage. Internal audit report should retain this record.

|  |  |  |
| --- | --- | --- |
| Broker trademark compliance | Document name | Reference in Document |
|  |  |  |
| Comment |  | |
| Record template / system used | < written instructions - internal audit reports – web site checks reports…> | |

OR

|  |  |
| --- | --- |
| Broker trademark compliance | < New procedure description> |
| Record template / system used | < written instructions - internal audit reports – web site checks reports…> |

# Reference documents

Accreditation Policy and Accreditation Requirements available on http://www.opengroup.org/certifications/accreditation/submit-new