The Open Group® Certification for People

Training Course Accreditation Checklist

Affiliate Management

September 2017  
Version 1.0

# Introduction

This document is completed by a training course provider to facilitate assessment of documentation related to a training course already accredited within The Open Group Certification for People program. The assessment consists of the validation of:

* Quality conformance of procedures documenting Affiliate Management

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 Accreditation checklist and documentation validated during the Accreditation process. The assessor will use the completed checklist to perform the documentation assessment phase of the accreditation process in order to determine whether the additional procedures related to the Accredited 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 Accredited Training Course, including the training provider and program. This information must be consistent with the information as specified in the Conformance Declaration.

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

## Application information

Checklist:

|  |  |
| --- | --- |
| Scope | Affiliate management |
| Author |  |
| Version |  |
| Submission Date |  |
| Comment |  |

Supporting documents:

|  |  |  |
| --- | --- | --- |
| Document Name | Version | Comment |
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# 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 |
|  | **Trainer Requirements**  (Accreditation Requirements Section 3.2) |  |  |  |  |  |
| 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.  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 |  |  |  |  |
| 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.  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** |
|  | **Process and Quality System**  (Accreditation Requirements Section 2.3) |  |  |  |  |  |
| 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. | Conditional |  |  |  |  |
| AR  2.3-9 | 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 |  |  |  |  |
| 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.  The quality system documentation should clearly state the general management responsibility over all delivery of the ATC. | Must |  |  |  |  |
| 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.  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) |  |  |  |  |  |
| 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.  The quality system documentation should describe how this will be achieved. | Must |  |  |  |  |
| 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.  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 |  |  |  |  |
| AR  2.4-3 | 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) |  |  |  |  |  |
| 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. | Must |  |  |  |  |
| 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.  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) |  |  |  |  |  |
| 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. | Conditional |  |  |  |  |
|  | **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 |  |  |  |  |

# 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 |
| AR  2.3-5 | Internal audits | Yes/No | Internal audit report (template) (including affiliate(s) compliance verification) |  |  |  |
| 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. |
| 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. |
| AR  2.3-8 | The documentation of the quality system must be under effective change control. | Yes/No | QMS change log (showing that these new procedures have been included to the QMS) |  |  |  |
| 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  2.3-10 | The Organization must operate an effective and responsive procedure for handling customer complaints. | Yes/No | Complaint form/report/list (Indicating how complaints received via affiliates will be recorded) |  |  |  |
| AP  1.2-2 | Candidate numbers are matched to the resources available. | Yes/No | Quarterly statement of vouchers (including affiliate(s) name(s)) |  |  |  |
| AR  2.3-9 | 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. |
| 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. |
| 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  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. | Yes/No | Trainer Certificates (including affiliate(s) trainer(s)) |  |  |  |
| AR  3.2-2 | All trainers used in the delivery of ATCs must have one of the following: trainer induction | Yes/No | Trainer induction records (including affiliate(s) trainer(s)) |  |  |  |
| 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. | Yes/No | Trainer experience records (e.g., resume) (including affiliate(s) trainer(s)) |  |  |  |
| 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. | Yes/No | Trainer evaluation form/report  (including affiliate(s) trainer(s)) |  |  |  |
| 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. | Yes/No | Trainer list  (including affiliate(s) trainer(s)) |  |  |  |
| 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. | Yes/No | Affiliate list |  |  |  |
| 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 (that will be shared with the affiliate to use) |  |  |  |
| 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  (including the affiliate(s)) |  |  |  |