Quality Management System appendix

Organization name (version 0.1)

Table of Contents

[Instructions on how to use this document 2](#_Toc8821568)

[Change log 4](#_Toc8821569)

[Compliance approval 5](#_Toc8821570)

[operational quality 7](#_Toc8821571)

[Quality monitoring 7](#_Toc8821572)

[Candidate guidance 7](#_Toc8821573)

[Examination vouchers and reporting 7](#_Toc8821574)

[Confirmation of course attendance 8](#_Toc8821575)

[Course evaluation 9](#_Toc8821576)

[Customer complaints 9](#_Toc8821577)

[Course material management 10](#_Toc8821578)

[Course material compliance 10](#_Toc8821579)

[Course material change 10](#_Toc8821580)

[Course material change notification 11](#_Toc8821581)

[Trainer management 11](#_Toc8821582)

[Trainer registration 11](#_Toc8821583)

[Trainer certification 12](#_Toc8821584)

[Trainer experience 12](#_Toc8821585)

[Trainer topic knowledge 13](#_Toc8821586)

[Trainer performance 14](#_Toc8821587)

[Trainer list 14](#_Toc8821588)

[Affiliate and broker management 15](#_Toc8821589)

[Affiliate registration 15](#_Toc8821590)

[Affiliate management 15](#_Toc8821591)

[Affiliate trademark compliance 15](#_Toc8821592)

[Brokers trademark compliance 16](#_Toc8821593)

[Reference documents and relevant links 17](#_Toc8821594)

# 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.

|  |  |
| --- | --- |
| Requirements | Read and approved by (name/initials) |
| AR 2.1-1 The Organization must at all times ensure that any representation of The Open Group, the Program, and the Body of Knowledge is done in accordance with The Open Group Trademark Guidelines and Copyright Permissions and does not infringe on The Open Group Intellectual Property rights. This extends without limitation to the use of the Accreditation Logo, Certificate of Accreditation, any plaques or certificates of course attendance, acknowledgment of The Open Group copyrighted materials, copyright notices, and trademarks in all promotional and explanatory material of accredited and other courses. |  |
| AR 2.1-2 Terminology used by the Organization must be consistent with the terminology used within the Program. |  |
| AR 2.2-4 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 2.2-5 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 2.2-6 In order to achieve and maintain accreditation, the Organization must provide evidence that demonstrates how these Accreditation Requirements are met. |  |
| AR 2.3-1 The Organization and its Affiliates must not disclose any information about their Candidates’ examination results to anyone other than the Certification Authority. |  |
| AR 2.3-2 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 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 3.1-3 The course materials must contain the applicable copyright notices and trademark attributions. |  |
| AR 3.2-1 The Organization must ensure that all trainers used to deliver their Accredited Training Courses, including the Affiliate’s trainers, meet the trainer requirements. |  |
| AP 3.2-2 If an update to a Body of Knowledge is released, Organizations are required to update all affected courses to align with the revised materials, and include any new material as required by any updated Accreditation Requirements and Conformance Requirements, within six (6) months of release of the revised documents by The Open Group. |  |
| AP 7 The Organization must notify The Open Group of ATC manager, course material changes, new delivery language or method, to the Organization’s identity change, ownership, administrative or other change within 30 days. |  |
| **Date** | **Role** | **Signature** |

# operational quality

## Quality monitoring

AR 2.2-1 The Organization must have mechanisms in place to:

* Ensure the quality of course operations, including instructor qualifications, attendee interactions, and course administration, materials, and delivery
* Monitor and improve the quality level of course operations
* Ensure that the Accreditation Requirements continue to be met when the Accredited Training Course is delivered by an Affiliate Monitor and improve the quality level of course operations.

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 | <For example internal audit reports–quality monitoring meeting reports- evaluation meeting reports> |

OR

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

## Candidate guidance

AP 1.2-3 Sufficient guidance is available to Candidates and their employers, before enrollment, on whether any 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> |

## Examination vouchers and reporting

AR 2.4-1 For certification training courses, the Organization or its Affiliate(s) must purchase an appropriate examination voucher from the Certification Authority, or its designated supplier of examination vouchers, for each Accredited Training Course attendee and deliver the voucher to the course attendee with its full intended validity period.

The Organization is expected to keep sufficient records to track all voucher purchases made by the Organization and its Affiliates and assignment of those vouchers to course attendees.

The quality management 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 |  |

AR 2.4-2 The Organization must provide a quarterly statement of vouchers purchased by the Organization and its Affiliates showing how the vouchers were distributed. The statement must be delivered in the format designated by the Certification Authority.

|  |  |  |
| --- | --- | --- |
| Quarterly voucher Statement | Document name | Reference in Document |
|  |  |  |
| Comment |  |

OR

|  |  |
| --- | --- |
| Quarterly Voucher statement | <New procedure description> |
| Record template/ System used |  |

## Confirmation of course attendance

AR 2.1-3 The Organization and its Affiliates may provide their Accredited Training Course attendees with written confirmation of course attendance. Such written confirmation must not imply that the attendee is certified in any way.

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> |

## Course evaluation

AR 2.2-3 The Organization must operate an effective process for obtaining a post-course evaluation from attendees. Every time an Accredited Training Course is delivered, directly by the ATC Provider or by an Affiliate, the Organization must ensure that a survey of each attendee 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 > |

AR 2.2-3 Summary records of these surveys must be made available to The Open Group in English upon request. The Organization must retain all survey results for a minimum of 18 months.

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 > |

## Customer complaints

AR 2.2-2 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 | <For example complaint log–complaint overview–complaint review summary> |

OR

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

# Course material management

## Course material compliance

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 change

AR 3.1-4 The Organization must maintain a written record of the changes made to the course materials.

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 notification

AP 7.5-1 The Organization must notify The Open Group of any material changes to the Organization’s identity, ownership, or location within 30 days.

|  |  |  |
| --- | --- | --- |
| 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 registration

AP 7.3 All trainers who deliver the Accredited Training Course must be registered with and approved by the Certification Authority at all times.

The ATC Manager must notify the Certification Authority of all new trainers and their qualifications. Such notification must be made at least one (1) week before the trainer plans to deliver a course. The Certification Authority must grant approval before such new trainers may deliver an Accredited Training Course.

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

OR

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

## Trainer certification

AR 3.2-3 All trainers used in the delivery of Accredited Training Courses must themselves be certified within the Program at or above the level specified in the Program Configuration document and meet any additional requirements identified in the Program Configuration document.

The Organization should document the level of certification for each trainer and should keep records proving the certification.

|  |  |
| --- | --- |
| Trainer certification | <New procedure description> |
| Submitted | <Certificates ID on trainer list> |

## Trainer experience

AR 3.2-4 All trainers used in the delivery of Accredited Training Courses 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)
* A minimum of one (1) year of relevant training experience
* Completed a train the trainer program that meets the following criteria:
* Includes a mechanism to ensure that the individual is capable of delivering a training course in a satisfactory manner
* Includes provision for the individual to deliver at least two (2) training courses under the supervision of an experienced Accredited Training Course trainer
* Individual must receive a successful evaluation and recommendation as a trainer from the supervising 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.

Trainer the trainer program records need to retain this record.

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

OR

|  |  |
| --- | --- |
| Trainer selection and program | All trainers used in the delivery of Accredited Training Courses 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)
* A minimum of one (1) year of relevant training experience
* Completed a train the trainer program that meets the following criteria:
* Includes a mechanism to ensure that the individual is capable of delivering a training course in a satisfactory manner
* Includes provision for the individual to deliver at least two (2) training courses under the supervision of an experienced Accredited Training Course trainer
* Individual must receive a successful evaluation and recommendation as a trainer from the supervising 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.
 |
| Record template/ system used | <For example trainer selection & program log–TTT report–training delivery observation report> |

## Trainer topic knowledge

AR 3.2-5 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 (for example resume)> |

## Trainer performance

AR 3.2-6 The Organization must ensure the proper performance of all trainers used in the delivery of their Accredited Training Courses, including any trainers used by Affiliates, and provide evidence demonstrating how this is ensured.

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 3.2-2 The Organization must maintain a list of active trainers with the Certification Authority. In advance of a trainer delivering an Accredited Training Course, the Organization must obtain the Certification Authority’s approval for the trainer by providing the trainer’s credentials as evidence that these requirements are met, including the trainer’s name, contact details, training qualifications, and certification status.

[Authorized trainer requirements](https://www.opengroup.org/certifications/accreditation/authorized-trainers)

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

# Affiliate and broker management

## Affiliate registration

AP 8.1-9 The ATC Provider 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 Accredited Training Course.

|  |  |  |
| --- | --- | --- |
| Affiliate registration | Document name | Reference in Document |
|  |  |  |
| Comment |  |
| Record template/ system used | <For example Written instruction> |

OR

|  |  |
| --- | --- |
| Affiliate registration | <New procedure description> |
| Record template/ system used | <For example written instructions> |

## Affiliate management

AR 2.2-1 The Organization must have mechanisms in place to: Ensure that the Accreditation Requirements continue to be met when the Accredited Training Course 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 | <For example written instructions-internal audit reports-website checks reports> |

OR

|  |  |
| --- | --- |
| Affiliate management | <New procedure description> |
| Record template/ system used | <For example written instructions-internal audit reports–website checks report> |

## Affiliate trademark compliance

AP 8.1-10 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 Accredited Training Course.

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 | <For example written instructions-internal audit reports–website checks reports> |

OR

|  |  |
| --- | --- |
| Affiliate trademark compliance | <New procedure description> |
| Record template/ system used | <For example written instructions-internal audit reports–website checks reports> |

## Brokers trademark compliance

AR 8.2-3 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 | <For example written instructions-internal audit reports–website checks reports> |

OR

|  |  |
| --- | --- |
| Broker trademark compliance | <New procedure description> |
| Record template/ system used | <For example written instructions-internal audit reports–website checks reports> |

# Reference documents and relevant links

[The Open Group Library](https://publications.opengroup.org/)

[The Open Group Certification for People: Training Course Accreditation Policy](https://publications.opengroup.org/x1312)

[The Open Group Certification for People: Training Course Accreditation Requirements](https://publications.opengroup.org/x1313)

[Course Naming Guidance](https://www.opengroup.org/certifications/accreditation/course-naming)

[Trademark Usage Guidelines](https://www.opengroup.org/trademarks)

[Training Course Accreditation](https://www.opengroup.org/certifications/accreditation)

 [ATC Providers Home Page](https://www.opengroup.org/certifications/accreditation/atc-home)