

AQMS TRAINING PROVIDER QMS REQUIREMENTS CHECKLIST

The training provider shall operate a QMS which is documented and covers all the requirements of this standard and ensures the effective application of these requirements. A documented QMS based on ISO 9001 which addresses the requirements of this standard would be one method of satisfying this requirement.

9104-3	REQUIREMENT	OBJECTIVE EVIDENCE PROVIDED AND REQUIREMENT MET
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ADMINISTRATIVE PROCEDURES		
6.15	The training provider shall develop, implement, and maintain documented procedures for the effective administration of the course. Procedures shall address the following items:	
A	Design, development, and evaluation of course materials and documentation.	<input type="checkbox"/> YES <input type="checkbox"/> NO
B	Presentation of the course.	<input type="checkbox"/> YES <input type="checkbox"/> NO
C	Verification of prerequisite knowledge of students, where this is required.	<input type="checkbox"/> YES <input type="checkbox"/> NO
D	Control of courses presented through affiliate or franchise organizations, presented overseas, and in other languages.	<input type="checkbox"/> YES <input type="checkbox"/> NO
E	Course publicity and advertising.	<input type="checkbox"/> YES <input type="checkbox"/> NO
F	Document control system for maintaining the training provider's procedures and course materials.	<input type="checkbox"/> YES <input type="checkbox"/> NO
G	Training programs for instructors, including annual witnessing and evaluations.	<input type="checkbox"/> YES <input type="checkbox"/> NO
H	Management reviews.	<input type="checkbox"/> YES <input type="checkbox"/> NO
I	Student records for each course offering, including trend analysis of results.	<input type="checkbox"/> YES <input type="checkbox"/> NO

J	Student evaluation procedure, including definition of pass/fail criteria.	<input type="checkbox"/> YES <input type="checkbox"/> NO
K	Operation and conduct of the examination and re-examination, including security, invigilation and confidentiality of examination questions, answers, and graded papers.	<input type="checkbox"/> YES <input type="checkbox"/> NO
L	Issuance and withdrawal of certificates.	<input type="checkbox"/> YES <input type="checkbox"/> NO
M	Record retention of graded papers and continual evaluation records.	<input type="checkbox"/> YES <input type="checkbox"/> NO
N	Methods (e.g., statistical techniques) used to measure student evaluations, instructor performance, and overall course performance.	<input type="checkbox"/> YES <input type="checkbox"/> NO
O	Submission of significant changes to the course(s) to the TPAB for review and acceptance, prior to implementation.	<input type="checkbox"/> YES <input type="checkbox"/> NO
P	Complaints and appeals.	<input type="checkbox"/> YES <input type="checkbox"/> NO
		<input type="checkbox"/> YES <input type="checkbox"/> NO
Notes:		
6.16	RECORDS	
16.16.1	The training provider shall maintain records that demonstrate conformity to the requirements of this standard.	<input type="checkbox"/> YES <input type="checkbox"/> NO
16.16.1	These records shall be made available to the TPAB for their review.	<input type="checkbox"/> YES <input type="checkbox"/> NO
16.16.1	Records or translations of the records shall be maintained in a language acceptable to the TPAB	<input type="checkbox"/> YES <input type="checkbox"/> NO
16.16.1	If the training provider goes out of business, all of the auditor training records shall be made available, free of charge, to the TPAB. (Required component of the Training Provider Agreement)	<input type="checkbox"/> YES <input type="checkbox"/> NO
16.16.2	Records may be in the form of any medium (i.e., hard copy, electronic) acceptable to the TPAB.	<input type="checkbox"/> YES <input type="checkbox"/> NO
16.16.3	The records for pass/fail decisions, course certificates, and management reviews shall be maintained for at least three years. All remaining records shall be maintained for at least 18 months, unless otherwise specified.	<input type="checkbox"/> YES <input type="checkbox"/> NO

16.16.4	The records for each course presentation shall include, as applicable:	<input type="checkbox"/> YES <input type="checkbox"/> NO
A	Venue and dates of presentation.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A
B	Names of instruction team members, including substitutes, trainee instructors, and observers.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A
C	Identification of the revision level of the course documentation.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A
D	Identification of the examination paper.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A
E	Names of all students who attended the course, and their continual evaluation and examination results.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A
F	Graded examination papers and continual evaluation forms.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A
G	Percentage of students that successfully completed the course.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A
H	Name of each student that took a re-examination and their re-examination results.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A
I	Unique identification number of each certificate of successful completion and the name of the delegate to whom it was issued.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A
Notes:		
6.17	MANAGEMENT REVIEW	
6.17	The management of the training provider shall review at least annually the following, at a minimum, for effectiveness and conformity to these criteria:	<input type="checkbox"/> YES <input type="checkbox"/> NO
A	Follow-up actions from previous management reviews.	<input type="checkbox"/> YES <input type="checkbox"/> NO
B	Actions resulting from surveillance by the TPAB.	<input type="checkbox"/> YES <input type="checkbox"/> NO

C	Administrative procedures.	<input type="checkbox"/> YES <input type="checkbox"/> NO
D	Course design.	<input type="checkbox"/> YES <input type="checkbox"/> NO
E	Course presentation.	<input type="checkbox"/> YES <input type="checkbox"/> NO
F	Instructor performance.	<input type="checkbox"/> YES <input type="checkbox"/> NO
G	Future training needs (Continual Professional Development [CPD]).	<input type="checkbox"/> YES <input type="checkbox"/> NO
H	Complaints and appeals.	<input type="checkbox"/> YES <input type="checkbox"/> NO
I	Analysis of student feedback.	<input type="checkbox"/> YES <input type="checkbox"/> NO
J	Course pass/fail rates.	<input type="checkbox"/> YES <input type="checkbox"/> NO
Notes:		
6.18	CERTIFICATES	
6.18.1	A certificate of 'Successful Completion' shall be provided to each student who has passed both the written examination and the continual evaluation.	<input type="checkbox"/> YES <input type="checkbox"/> NO
6.18.1	The certificate shall include, on a single side of the certificate, the following information at a minimum:	<input type="checkbox"/> YES <input type="checkbox"/> NO
A	Clearly state that the course is recognized by the TPAB.	<input type="checkbox"/> YES <input type="checkbox"/> NO
B	Identification mark of the TPAB, as applicable.	<input type="checkbox"/> YES <input type="checkbox"/> NO
C	A unique identification number for each certificate.	<input type="checkbox"/> YES <input type="checkbox"/> NO

D	Name of the training provider, as it is registered with the TPAB.	<input type="checkbox"/> YES <input type="checkbox"/> NO
E	Course title, course number, as applicable, training dates, and location where course was presented.	<input type="checkbox"/> YES <input type="checkbox"/> NO
F	Name of the student; in the same form that the student would use to apply for certification in an auditor certification program.	<input type="checkbox"/> YES <input type="checkbox"/> NO
G	State that the student named has successfully completed the course.	<input type="checkbox"/> YES <input type="checkbox"/> NO
6.18.2	The wording of any certificates of 'Attendance' shall make it readily apparent that the student has only attended the course; there shall be no implication of successful completion. The TPAB mark shall not be included on such certificates.	<input type="checkbox"/> YES <input type="checkbox"/> NO
6.18.3	Students shall be informed by the training provider that certificates of 'Attendance' will not be accepted for authentication.	<input type="checkbox"/> YES <input type="checkbox"/> NO
6.18.4	The design and content of the certificates for 'Successful Completion' and 'Attendance', and any changes thereto, shall be approved by the TPAB.	<input type="checkbox"/> YES <input type="checkbox"/> NO
Notes:		
6.19	COMPLAINTS AND APPEALS	
6.19.1	The training provider shall have documented procedures for managing complaints and appeals against its decisions, including provision for corrective and/or preventive action resulting from root cause analysis to be taken, if appropriate. The procedures shall include an elevation process to the TPAB for unresolved complaints or appeals.	<input type="checkbox"/> YES <input type="checkbox"/> NO
6.19.2	The training provider shall inform all students of the right to make a complaint or an appeal, and shall provide written details of the process, on request.	<input type="checkbox"/> YES <input type="checkbox"/> NO
6.19.3	The training provider shall notify each complainant or appellant in writing of the result of the complaint or appeal and of the right to appeal against the result to the TPAB.	<input type="checkbox"/> YES <input type="checkbox"/> NO
6.19.4	The training provider shall maintain records of all complaints and appeals, and of their resolution.	<input type="checkbox"/> YES <input type="checkbox"/> NO
6.20	SUBCONTRACTING OF COURSES	

6.20.1	No training provider shall subcontract and/or license another organization or training provider. A training provider may, however, contract with an organization to make arrangements (i.e., marketing, hotel accommodations for an offering).	<input type="checkbox"/> YES <input type="checkbox"/> NO
6.20.2	The training provider shall remain responsible that all promotional materials meet the requirements of the TPAB. Promotional materials shall clearly state the relationship between the subcontracted organization and the training provider.	<input type="checkbox"/> YES <input type="checkbox"/> NO
6.20.3	The training provider shall maintain control of the administration and presentation of the approved course.	<input type="checkbox"/> YES <input type="checkbox"/> NO
Notes:		
6.21	CONFIDENTIALITY	
6.21.1	The training provider shall have adequate arrangements, consistent with applicable laws, to safeguard confidentiality of all information provided by students, including the results of examinations. These arrangements shall be extended to include organizations or individuals acting on its behalf, and representatives of the training provider.	<input type="checkbox"/> YES <input type="checkbox"/> NO
6.21.2	Except as required by this standard, student information shall not be disclosed to a third party without the written consent of the student. Where the law requires information to be disclosed to a third party, the student shall be informed of the information provided, as permitted.	<input type="checkbox"/> YES <input type="checkbox"/> NO
Notes:		
6.22	CHANGES	
6.22.1	The training provider shall ensure that any major changes made to the training course are first approved by the TPAB. Depending on the nature of the changes, the TPAB may require re-approval of the course materials and/or the training provider's administrative system.	<input type="checkbox"/> YES <input type="checkbox"/> NO

6.22.2	Following a decision on, and publication of changes, the training provider shall verify that each of its course instructors and subcontracted organizations carries out any necessary adjustments to the course and materials within a reasonable time (e.g., 30 days).	<input type="checkbox"/> YES <input type="checkbox"/> NO
6.22.3	The training provider shall notify the TPAB of any change of address, or any significant changes in organization structure or provision of services.	<input type="checkbox"/> YES <input type="checkbox"/> NO
Notes:		
6.23	VARIATIONS	
6.23.1	Variations to any of the requirements of this standard shall be submitted by the training provider to the TPAB for consideration. The training provider shall ensure that any variances are approved by the TPAB prior to implementation. Any such request shall be made immediately upon the condition/situation being identified. The TPAB's response shall be provided in writing.	<input type="checkbox"/> YES <input type="checkbox"/> NO
6.23.2	When requesting a variance, the training provider shall submit the following to the TPAB:	<input type="checkbox"/> YES <input type="checkbox"/> NO
	Reason(s) for the variance.	<input type="checkbox"/> YES <input type="checkbox"/> NO
	Rationale for the variance.	<input type="checkbox"/> YES <input type="checkbox"/> NO
	Modified training plan and/or revised course outline.	<input type="checkbox"/> YES <input type="checkbox"/> NO
	Training provider's assessment of impact on the learning process.	<input type="checkbox"/> YES <input type="checkbox"/> NO
Notes:		
6.24	SUSPENSION OR CANCELLATION	

6.24	The TPAB may suspend or cancel a training provider's approval under, but not limited to, the following circumstances:	<input type="checkbox"/> YES <input type="checkbox"/> NO
A	Non-payment of fees.	<input type="checkbox"/> YES <input type="checkbox"/> NO
B	Nonconformity that may result in serious or sustained failure of the training provider to meet the requirements of AS9104-3 or of the TPAB.	<input type="checkbox"/> YES <input type="checkbox"/> NO
C	At the training provider's request.	<input type="checkbox"/> YES <input type="checkbox"/> NO
Notes:		