

# Auditing of training organizations



## 1. Information about the training organization

- document verification       audit  
 internal                               external

Training organisation: \_\_\_\_\_

Contact person: \_\_\_\_\_

ATO-classification:      Mini       Small       Medium       Large

- Subjects:
- |            |                              |                               |                              |
|------------|------------------------------|-------------------------------|------------------------------|
| ISMS 27001 | FND <input type="checkbox"/> | PROF <input type="checkbox"/> |                              |
| ITSM 20000 | FND <input type="checkbox"/> | PROF <input type="checkbox"/> |                              |
| ITSec      | FND <input type="checkbox"/> | PROF <input type="checkbox"/> |                              |
| AMS 19011  | FND <input type="checkbox"/> | PROF <input type="checkbox"/> |                              |
| FitSM      | FND <input type="checkbox"/> | ADV <input type="checkbox"/>  | EXP <input type="checkbox"/> |
| SCRUM      | FND <input type="checkbox"/> | PROF <input type="checkbox"/> |                              |

Contract period:	12 month <input type="checkbox"/>	24 month <input type="checkbox"/>	36 month <input type="checkbox"/>
Number of trainers:	_____		
Partner program:	yes <input type="checkbox"/>	no <input type="checkbox"/>	
Contract:	yes <input type="checkbox"/>	no <input type="checkbox"/>	
Admission fee received:	yes <input type="checkbox"/>	no <input type="checkbox"/>	
Annual fee received:	yes <input type="checkbox"/>	no <input type="checkbox"/>	
Declaration of right of use received:	yes <input type="checkbox"/>	no <input type="checkbox"/>	
ICO-ATO logo on website incl. link:	yes <input type="checkbox"/>	no <input type="checkbox"/>	
Transition:	yes <input type="checkbox"/>	no <input type="checkbox"/>	
Previous personal certifier:	_____		
Last annual account available?	yes <input type="checkbox"/>	no <input type="checkbox"/>	

## 2. Organization of trainings

*Objective: Professional planning and support of trainings, handling of inquiries of potential training participants, handling of registrations and provision of necessary information and documents as well as other necessary resources for the implementation of trainings.*

	Documented	Established	No
Is there a process for organizing trainings?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Requirements / Components</b>			
Logistical planning (room, catering, trainer)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Preparation and provision of relevant training documents (participant handouts)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Registration options for participants and handling of the registration process	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Provision of privacy notices and information on the use of personal data in the registration process	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Checking the prerequisites for participation in the training as part of the registration process	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Provision of organisational information to participants before the start of training	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Possibilities for participants to contact us before and after registration for the training with the ability to provide technical information (e.g. answering questions about training content, requirements, etc.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Ensuring that the current curricula (above all training duration and content) and examination regulations (above all the trainer assignments) are taken into account when planning and conducting the training.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Possibility of evaluation of trainings and trainers (in different defined aspects) by the participants after each training course	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Verifications:</b>			
Test registration in accordance with the documentation:      yes <input type="checkbox"/> no <input type="checkbox"/>			

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**Partial results of the audit:**    accreditable    temp. accreditable    non-accreditable

**Explanatory statement:**

## 3. Competence & training of trainers

*Objective: Ensuring sufficient professional competence and personal suitability of trainers to conduct trainings in line with requirements*

	Documented	Established	No
Is there a process for managing the competence and training of trainers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Requirements / Components</b>			
Directory / database of trainers used with information on competences and areas of application	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lead training and competence certificates (e.g. certificates) to assigned trainers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Programme for trainer training and exchange of experience	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Verifications:</b>			
<b>Partial results of the audit:</b> accreditable <input type="checkbox"/> temp. accreditable <input type="checkbox"/> non-accreditable <input type="checkbox"/>			
<b>Explanatory statement:</b>			
<b>Trainer:</b>			
Name: _____	CV <input type="checkbox"/>	trainer's code of honor (TEK) <input type="checkbox"/>	
		Confidentiality agreement <input type="checkbox"/>	
Certifikates:	ISMS 27001	FND <input type="checkbox"/> PROF <input type="checkbox"/>	
	ITSM 20000	FND <input type="checkbox"/> PROF <input type="checkbox"/>	
	ITSec	FND <input type="checkbox"/> PROF <input type="checkbox"/>	
	AMS 19011	FND <input type="checkbox"/> PROF <input type="checkbox"/>	
	FitSM	FND <input type="checkbox"/> ADV <input type="checkbox"/> EXP <input type="checkbox"/>	
	SCRUM	FND <input type="checkbox"/> PROF <input type="checkbox"/>	
	accreditable <input type="checkbox"/> temp. accreditable <input type="checkbox"/> non-accreditable <input type="checkbox"/>		
Explanatory statement:			

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	AMS 19011	FND <input type="checkbox"/> PROF <input type="checkbox"/>
	FitSM	FND <input type="checkbox"/> ADV <input type="checkbox"/> EXP <input type="checkbox"/>
	SCRUM	FND <input type="checkbox"/> PROF <input type="checkbox"/>
	accreditable <input type="checkbox"/> temp. accreditable <input type="checkbox"/> non-accreditabile <input type="checkbox"/>	
Explanatory statement:		

  

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	AMS 19011	FND <input type="checkbox"/> PROF <input type="checkbox"/>
	FitSM	FND <input type="checkbox"/> ADV <input type="checkbox"/> EXP <input type="checkbox"/>
	SCRUM	FND <input type="checkbox"/> PROF <input type="checkbox"/>
	accreditable <input type="checkbox"/> temp. accreditabile <input type="checkbox"/> non-accreditabile <input type="checkbox"/>	
Explanatory statement:		

## 4. Organization of examinations

*Obejctive: Ensuring the smooth processing of tests*

	Documented	Established	No
Is there an examination organisation process that takes into account the current ICO regulations for examination acceptance (VPA) and the current examination regulations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Requirements / Components</b>			
Validation of the formal requirements for taking the examination per participant before ordering the examination according to the current examination regulations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Ordering tests at ICO including secure and data transmission to ICO in compliance with data protection requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Ensuring the feasibility of tests (e.g. sufficiently large space and sufficient space for on-site tests)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Ensuring that only persons (including trainers) who have been instructed in the current process of exam acceptance (ICO regulations for exam acceptance (VPA) are involved in the exam organization.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Ensuring that only persons (including trainers) who have signed the <b>current</b> ICO confidentiality agreement for persons in the training process are involved in the organisation of the examination.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Ensuring the confidentiality of test content and the immediate, secure and data protection-compliant transmission of test results to ICO after test execution	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Destruction of audit documents after confirmed transmission or sending by post	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Verifications:</b>			

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**Partial results of the audit:**    accreditable    temp. accreditable    non-accreditable

**Explanatory statement:**

**Participants in the examination acceptance process:**

Name: \_\_\_\_\_

Instruction VPA  Confidentiality declaration

Licensed  not licensed

**Participants in the examination acceptance process:**

Name: \_\_\_\_\_

Instruction VPA  Confidentiality declaration

Licensed  not licensed

## 5. Handling of complaints

*Obejctive: Professional handling of participant complaints and initiation of measures*

	Documented	Established	No
Is there a complaint management process?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Requirements / Components</b>			
Possibility of submission of complaints by participants	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Prompt response to complaints and forwarding or escalation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Keeping records and evaluations of complaints and follow-up actions taken	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
In the event of complaints concerning the content, conduct and evaluation of the examination, including certification decisions and other matters under the responsibility of ICO: Immediate contact with ICO	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Verifications:</b>			
<b>Partial results of the audit:</b> accreditable <input type="checkbox"/> temp. accreditable <input type="checkbox"/> non-accreditable <input type="checkbox"/>			
<b>Explanatory statement:</b>			



## 6. Management system, quality assurance & improvement

*Objective: To review the quality of training and the performance of trainers through the use of target-oriented control mechanisms and the management of measures for continuous improvement.*

	Documented	Established	No
Is there a process for quality assurance and continuous improvement?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Requirements / Components</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Definition and specifications of performance indicators (KPI) for the training-specific management system	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Definition and specifications of performance indicators (KPI) for managing documents (process, procedures and training documents)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Regular review, improvement and updating of training materials and other media, taking into account participant and trainer feedback as well as changed curricula, regulations and examination regulations.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Keeping records and creating regular evaluations based on the defined specifications, including tracking of improvement measures taken	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Internal reviews (management review and/or audit) and verification of defined key figures to a meaningful extent based on records and their evaluation			
<ul style="list-style-type: none"> <li>• Organization of trainings</li> <li>• Competence &amp; Training of Trainers</li> <li>• Organization of examinations</li> <li>• Handling of complaints</li> <li>• Quality Assurance &amp; Improvement</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>• Organization of trainings</li> <li>• Competence &amp; Training of Trainers</li> <li>• Organization of examinations</li> <li>• Handling of complaints</li> <li>• Quality Assurance &amp; Improvement</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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