

# Requirements for Training and Examinations

## The TickIT<sup>plus</sup> scheme



*Software and IT Quality Management  
and Certification*

*ISO 9001*

*ISO/IEC 20000*

*ISO/IEC 27001*

*ISO/IEC 25030*

*ISO/IEC 15504*

*ISO/IEC 12207*

*ISO/IEC 15288*

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# Requirements for Training and Examinations

TickIT*plus*

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Reviewed by JTISC



First published in the UK in 2011  
by  
BSI  
389 Chiswick High Road  
London W4 4AL

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Typeset in Calibri by Helius

*British Library Cataloguing in Publication Data*  
A catalogue record for this book is available from the British Library

ISBN 978 0 580 75412 8

# Contents

1	Introduction	5
1.1	Rationale and objectives	6
1.2	Prior knowledge	7
2	Overview of training courses	7
2.1	Foundation course	8
2.1.1	Prerequisites for the course	8
2.1.2	Content and delivery of the course	8
2.2	Capability course	8
2.2.1	Prerequisites for the course	9
2.2.2	Content and delivery of the course	9
2.3	Optimizing course	9
2.3.1	Prerequisites for the course	10
2.3.2	Content and delivery of the course	10
3	Training course administration	10
3.1	Trainer processes	10
3.2	Training delivery	11
3.2.1	Course programme	12
3.3	Course materials	13
3.4	Training records	14
3.4.1	Summaries and complaints	14
3.5	Student assessment	15
4	Course provider staff	15
4.1	Course Manager	15
4.2	Course Tutors	16
4.2.1	Lead Tutor	17
4.2.2	Course Tutor	17
4.2.3	Use of TickIT <i>plus</i> logo	18

4.3	Administration manager	18
5	Accreditation of training courses and providers	18
5.1	Accreditation of training providers	18
5.2	Accreditation of course material	20
5.2.1	Variations to criteria or submitted material	20
5.2.2	Review and monitoring of training courses	20
5.3	Certificate award	21
6	Training course examinations	21
6.1	Examination Provider processes	22
6.2	Examination content	22
6.3	Examination delivery	22
6.4	Examination records	23
6.5	Certificate award	23
	Appendix A Syllabus TickIT <i>plus</i> Foundation course (supplied as separate document)	24
	Appendix B Syllabus TickIT <i>plus</i> Capability course	24
	Appendix C Syllabus TickIT <i>plus</i> Optimizing course	24
	Appendix D Examination requirements (supplied as separate document)	24
	Appendix E Rules	24

## 1 Introduction

This document provides the requirements that need to be met in order to be able to deliver accredited TickIT*plus* training courses. It also specifies the requirements for the independent examination of TickIT*plus* Assessors and Practitioners.

TickIT*plus* is both an improvement tool and an ISO 9001-based IT accredited certification scheme, and this document deals with the training and examination of both Assessors and Practitioners. It needs to be read in conjunction with the other scheme documentation, principally:

- the *TickITplus Core Scheme Requirements (CSR)* – this describes the whole purpose and *modus operandi* of operating the scheme
- the *TickITplus Administration Design Specification* – this describes all the non-technical operations covering the scheme
- the *TickITplus Requirements for Assessors and Practitioners* – this sets out all the requirements of these individuals, and hence the objectives of the training and examinations.

The Joint TickIT Industry Steering Committee (JTISC) subcommittee JTISC/-/2 is responsible for the approval of the Course Registrar, who is responsible for the approval and accreditation of training providers based on the requirements in this document.

Throughout this document the term ‘course provider’ is used to denote the organization developing and/or delivering TickIT*plus* courses, and ‘Examination Provider’ is used to describe the organization developing, deploying and marking the related examinations.

Throughout the documentation generally, the second- and third-level courses are referred to as Capability and Optimizing, respectively.

All the codified scheme rules are referenced in this document by a code in square brackets, e.g. [CEX1]. These are listed in Appendix E.

### 1.1 Rationale and objectives

The training courses are, together with the examinations, intended to qualify IT professionals as registered TickITplus Assessors and Practitioners, able to use and benefit from the scheme. Generally speaking, the differences between the two types of qualification are:<sup>1</sup>

- TickITplus Assessors – divided into three grades, Foundation, Capability and Optimizing, and able to address all aspects from developing compliant IT process systems to conducting third-party certification audits
- TickITplus Practitioners – divided into the same three grades as Assessors, Foundation, Capability and Optimizing, but concerned principally with internal IT process development and assessment.

To cater for this, three grades of training course are defined:

- Foundation course – used as a mandatory introduction to TickITplus and qualifying Foundation Assessors and Practitioners
- Capability course – building on the Foundation material, and qualifying Capability Assessors and Practitioners
- Optimizing course – covering advanced techniques, and qualifying Optimizing Assessors and Practitioners.

This document specifies the requirements for course providers who wish to develop and run TickITplus courses to address these requirements. This material shall also be read in conjunction with other documents in the specification set, principally *TickITplus Administration Design Specification*, which details many of the procedural requirements in dealing with courses and examinations.

A range of examinations is also defined to verify achievement at each level.

These are run independently of the courses – although they may be sat during the course delivery – and provide part of the necessary qualifications needed.

<sup>1</sup> A full description of the definition and requirements is included in the *TickITplus Core Scheme Requirements* document.

## 1.2 Prior knowledge

Course prerequisites are described at each level, but as general criteria it is recommended that students have a good practical knowledge and some experience of the requirements of ISO 9001, and shall have a basic understanding of IT fundamentals and processes as described in ISO/IEC 12207 and ISO/IEC 15288 before they start on these courses. While compliance to ISO/IEC 15504 is a key part of *TickITplus*, no prior training in this standard is required, although experience in process capability assessment methods would be a distinct advantage. Students shall be informed of this prior to accepting a place on a training course.

## 2 Overview of training courses

While each course builds on the preceding level, there is no requirement for course providers to deliver any more than one course, although it is expected that course providers delivering the Optimizing course shall have the necessary material and experience of having delivered courses at the lower grades. Providing the criteria described in this document and the appendices are met, the course duration, detailed content and method of delivery are all at the discretion of the course provider. Three grades of training course are described: Foundation, Capability and Optimizing, with each of the last two building on its preceding course. It is recognized that two types of course delegate are being covered here – Assessors and Practitioners – and that their needs are slightly different: see the appendices, which give the full syllabus requirements of each course. How these two perspectives are met is at the discretion of the provider: it could be by covering all the material for both, extending the course duration for Assessors or running two distinct courses, providing all the syllabus requirements are met. It shall be noted that all these courses deal with the overall requirements of *TickITplus*: they are not to be regarded as specialist IT courses in any of the requirements standards such as ISO/IEC 20000 or ISO/IEC 27001, and Assessors who require these additional skills in order to assess for *TickITplus* certificates covering these requirements standards shall need additional training. Coverage of the Skills Profiles that form part of *TickITplus* shall be limited to a broad understanding and appreciation of the issues involved, but specialist modules may be added. As a general rule, at least 50 per cent of the course content shall be practical instruction, including worked examples.

## 2.1 *Foundation course*

This is the starting level, and is intended for those new to the TickIT*plus* scheme. It is mandatory for all entrants to the scheme, and is intended to prepare students for taking the Foundation examination by providing:

- an understanding of TickIT*plus* concepts and materials
- an overview of the scheme and its operation, covering all the basic concepts
- a basic understanding of the concepts of process capability assessments and the role of the Base Process Library
- a basic knowledge of the relevant standards
- Assessors and Practitioners with the skills needed to perform assessments at the Foundation level.

### 2.1.1 Prerequisites for the course

There are no prerequisites other than the general criteria described in Section 1.2, for students attending this course or taking the examination. However, both the course completion and the examination pass are themselves requirements for entry to the Foundation grade for Assessors and Practitioners.

### 2.1.2 Content and delivery of the course

The course content shall follow the criteria shown in Appendix A. The duration shall not be less than 2 days, although this may include the time taken for the examination [CEX9]. The course may be wholly delivered in a classroom-based environment, but can also be delivered as e-learning, described in Section 3.2. The content and presentation may be prepared for delivery to both Practitioners and Assessors, singly or mixed.

## 2.2 *Capability course*

This course is aimed at building on the material in the Foundation course and to prepare students for the intermediate examination, by providing:

- training for Assessors and Practitioners in the skills needed for capability assessments at Bronze and Silver grades
- the skills needed for the planning and conducting of multi-personnel assessments including the use of internal Practitioners
- an understanding of and the skills in using the improvements requirements contained in the scheme.

### **2.2.1 Prerequisites for the course**

The intention is for all delegates taking this course to be Assessment-Qualified Foundation Assessors or Practitioners. While this is not a mandated requirement, any examination pass and subsequent advancement shall only be valid providing these conditions are met.

### **2.2.2 Content and delivery of the course**

The course content shall follow the criteria in Appendix B. The duration shall not be less than 3 days, although this may include the time taken for the examination. The course may be delivered in all the formats described in Section 3.2 [CEX9]. The content and presentation may be prepared for delivery to both Practitioners and Assessors, singly or mixed.

Optionally, additional modules covering specific Skills Profiles may supplement the Capability course, but these are not included in the basic syllabus.

## **2.3 *Optimizing course***

This course is aimed at delivering the advanced topics covered in *TickITplus* such as quantitative measurement and improvement and building on the work of the intermediate course. It shall prepare students for the advanced examination by:

- advanced process assessment using measurements and quantitative techniques
- planning and implementing complex assessments involving teams of Assessors
- general and specific improvement models based on measurements and quantitative techniques
- preparation and presentation of complex reports to senior management.

### 2.3.1 Prerequisites for the course

The intention is for all delegates taking this course to be Assessment-Qualified Capability Assessors or Practitioners. While this is not a mandated requirement, any examination pass and subsequent advancement shall only be valid providing these conditions are met.

### 2.3.2 Content and delivery of the course

The course content shall follow the criteria in Appendix C. The duration shall not be less than 5 days, although this may include the time taken for the examination. The course may be delivered in all formats (see Section 3.2), but must include at least 50 per cent by duration of practical content and student involvement [CEX9]. The content and presentation may be prepared for delivery to both Practitioners and Assessors, singly or mixed.

Optionally, additional modules covering specific Skills Profiles or advanced improvement techniques may supplement the Optimizing course, but these are not included in the basic syllabus.

## 3 Training course administration

This Section deals with how course providers shall deal with the administration of courses to satisfy TickITplus requirements.

### 3.1 Trainer processes

Course providers shall define, document and effectively implement processes and procedures to ensure that approved training is [CEX3]:

- developed and reviewed to the criteria in this document
- consistently controlled (including baselining)
- competently presented
- capable of assessing student performance
- continuously improved and updated
- measured, monitored and audited.

In addition, course providers are to have procedures that deal with document and record management and customer complaints.

The processes and procedures covering the above areas shall be subject to review by the Course Registrar at accreditation or on request.

### 3.2 *Training delivery*

The delivery of standard courses may follow the following approaches [CEX9]:

- Classroom only – involves having all the presentations, studies, exercises and material provided at an established venue. All standard courses include an element of this as determined by the minimum days prescribed. The Foundation course must be fully classroom-based, but for the other courses there is more flexibility.
- E-learning – distance learning can consist of correspondence- or web-based material, as determined by the course provider and approved by the Course Registrar. Controls need to be included to assure full understanding to proceed, and a Course Manager shall always be responsible for the e-learning course and recording of results.
- Blended – involves a combination of classroom presentation and exercises, etc., as described above, plus a variety of distance-learning correspondence- or web-based material as determined by the course provider and approved by the Course Registrar.

However it is delivered, students must complete the whole course of study with one training organization, against one Scheme Documentation Baseline (SDB) and over a period not exceeding 6 months [CEX2].

Exceptionally, the course provider may deliver Pilot courses at any grade against draft material, providing this is pre-approved by the Course Registrar, and a follow-up 'delta' course is eventually provided based on the differences between the draft and finalized material [CEX2]. The requirements for the delivery of Pilot courses are the same as those for the grade of course, but subject to Course Registrar approval. The entire delta course may be delivered using distance-learning approaches [CEX9].

A course provider shall provide an environment conducive to effective learning for students. At the beginning of a course the course provider shall provide the students with [CEX9]:

- a description of the course syllabus and learning objectives
- the course structure, format and programme

- a description of the requirements needed to gain qualifications from having taken the course and passed the examination, plus any suggested prerequisites
- an explanation of any assessment processes for the purposes of course improvement and student self-assessment.

The training methods selected shall seek to involve and engage students throughout the duration of the course. Just providing students with a set of reading materials shall not be acceptable as a form of training delivery. Training materials shall be designed around a clearly structured learning process with:

- theory
- examples (scenarios, case studies, etc.)
- practice (activities, case studies, progress tests, etc.).

There shall be feedback/self-assessment on activities and tests where relevant, to ensure students can self-assess their understanding and achievement of the learning objectives and identify any areas requiring further work.

The number of students per course shall not exceed 20. If the number of students is greater than 12, the course may be run with two designated tutors, both of whom shall be present for the full duration of the course [CEX2]. At least one tutor shall satisfy the requirements for a Lead Tutor (see Section 4.2.1 for details). Additional resources or trainee tutors may be used for specific activities. If two tutors are used, they are both responsible for the entire course.

### 3.2.1 Course programme

Course providers shall submit to the Course Registrar a rolling programme of planned courses covering at least 1 year ahead, but a minimum of 2 months' notice is required for each course (or 2 weeks if the course is internal) [CEX6]. This shall specify:

- the grade of course
- the type of delivery – classroom, e-learning or blended
- the number of places available
- the venue
- any variations – e.g. Assessor or Practitioner only or any additional modules
- the fees to be charged.

This information shall be used to publicize the availability of courses and to forward enquiries from potential attendees to the course provider.

Course providers may add to this programme at their own discretion. Any cancelled courses shall be notified to the Course Registrar as soon as possible.

### *3.3 Course materials*

Tutors shall be provided with all the necessary materials and supporting documentation to deliver a successful course.

Course providers shall provide tutors with model outputs and a marking scheme/guidance to assess each student's performance and outputs. Tutors shall provide students with feedback on their performance [CEX10]. Each student's achievement of learning objectives shall be recorded on their continuous-assessment record.

Each student shall be provided with the overall course objectives, the course programme, details of any assessments, the criteria for successful completion of the course, course notes, and copies of all standards relevant to the course.

In e-learning there shall be different controls that shall control the full understanding and the performance of the students: these shall be reviewed and recorded by the Course Manager before successful completion of the course.

Training materials shall be clearly presented and structured for ease of use, with appropriate navigational aids. The following shall be identified:

- the learning objectives for the overall element of the course
- the learning objectives for each Section within the course
- the structure and suggested or intended sequence of the materials
- instructions for the students' use of the materials, including realistic timescales
- examples of typical documents, reports, etc.
- how, when and how often students may contact tutors for help, guidance and feedback
- methods for students to assess their learning and to seek timely feedback and coaching from the tutors.

Students shall have timely access to a Course Tutor to answer questions and queries.

Note: as a guide, a response to communications from students in e-learning within 24 hours would be considered timely.

### 3.4 Training records

The course provider is to keep a record of all courses undertaken and all delegates who have completed the training. On completion of each course, the following information shall therefore be submitted to the Course Registrar [CEX10]:

- training course delivered – i.e. Foundation, Capability or Optimizing
  - method of delivery – classroom, e-learning or blended
  - Assessor or Practitioner variations
  - course material (SDB) baseline [CEX2]
- provider and venue
- date and duration of the course
- Course Manager
- Lead Tutor
- additional Course Tutors
- list of delegates completing the course
  - name
  - affiliation (if any)
  - results of assessments, including reason for any failures to complete the course or take the associated examination
- tutor's notes.

#### 3.4.1 Summaries and complaints

In addition to the training records, the course provider shall elicit feedback on the course from delegates and provide a summary of this to the Course Registrar [CEX10].

Any formal complaints raised during, after or about the course must be forwarded to the Course Registrar [CEX13].

### 3.5 *Student assessment*

Tutors shall provide students with feedback on their performance [CEX10]. In order to satisfactorily complete the course, each student shall:

- complete all required elements of the course and demonstrate acceptable levels of performance
- satisfactorily complete any assigned tasks connected with the learning, such as worked examples.

Records of student continuous assessments on all courses above Foundation level shall be retained by the course provider, for review by JTISC/Course Registrar if required. Certificates of course completion shall only be issued by the Course Registrar to those students who have met these criteria, and shall indicate a course completion. Note: the purpose of student assessment is primarily for the participant's benefit and course improvement. While it is not part of the examination criteria, tutors shall be able to confirm that all students taking the examination are considered capable of doing so based on their course performance.

## 4 **Course provider staff**

### 4.1 *Course Manager*

The Course Manager needs to be identified to the Course Registrar [CEX12]. This is the person with overall responsibility for the content and delivery of the course and the necessary authority to remedy deficiencies with the course, the tutors or the facilities made available, the holding of examinations or any other aspect of administration. The Course Manager does not necessarily have to train on the relevant course, but the role may be combined with that of the Lead Tutor. Specific requirements for the role include being an experienced trainer (full-time employee or established contractor) and:

- responsibility for ensuring that the course materials conform to the specified requirements
- responsibility for ensuring that all Course Tutors have been identified to the Course Registrar prior to the delivery of courses and vouches for this information

- responsibility for providing the Course Registrar with a listing of all delegates who have completed the course
- can be contacted within a reasonable amount of time throughout the course to consult with the Course Registrar as necessary on any issues that the delegates, tutors or the Course Registrar wish to raise
- responsibility for all contributors to the courses, including availability and contract status.

### 4.2 *Course Tutors*

All Course Tutors shall be experienced in quality and IT and, in particular, have an awareness of the following standards:

- ISO 9001 and ISO 9004
- ISO/IEC 12207 and ISO/IEC 15288
- ISO/IEC 15504
- ISO/IEC 20000
- ISO/IEC 27001
- ISO/IEC 25030.

The identity of all tutors shall be registered with the Course Registrar prior to course delivery [CEX12], and recorded also on the post-course training record submitted (see Section 3.4). JTISC does not require to formally approve individual tutors but does reserve the right to refuse registration of individuals either across all courses or at certain grades.

All tutors shall be able to demonstrate adequate knowledge and experience of IT, quality and the TickIT*plus* scheme at the grade at which they are teaching. Ideally, they shall have personally undertaken the course that they are delivering. A broad appreciation of the Skills Framework for the Information Age (SFIA) model and the Skills Profiles is also desirable.

All tutors shall have had suitable previous training experience or can demonstrate the ability to deliver any identified training course, and to give adequate coaching to failing students.

Tutors who provide educational support on self-study elements of blended learning must be competent to use any media required.

### 4.2.1 Lead Tutor

The Lead Tutor has the overall responsibility for delivering the course. This role may be combined with that of the Course Manager. Specific requirements include [CEX12]:

- responsibility for planning the course and ensuring that all syllabus requirements in the appendices Section of this document are covered
- ensuring that the course is adequately delivered in accordance with the plan
- ensuring that the contribution of other tutors is adequate
- completing the course record for submission to the Course Registrar (see Section 3.4)
- being a TickIT<sup>plus</sup> registered Assessor at the equivalent grade for the course being delivered (this requirement may be waived on application to the Course Registrar, providing alternative qualifications and experience can be demonstrated)<sup>2</sup>
- delivering at least 30 per cent of the course material.

### 4.2.2 Course Tutor

A Course Tutor may be designated by the course provider as a second tutor if they currently lack either training or subject area experience and need to gain that experience.

If a Course Tutor has limited training experience, then the Course Tutor shall act as an understudy to a Lead Tutor, as determined by the course provider – typically for four courses, but for a minimum of two [CEX12]. A Course Tutor (gaining experience) shall provide training only while a fully approved tutor is present [CEX12]. It is normally expected that a Course Tutor shall observe on the first course, participate in the second and third courses, and then deliver the training on the fourth course under the supervision of a Lead Tutor, but this can be amended at the discretion of the Lead Tutor.

<sup>2</sup>If courses are delivered that are specifically for Practitioners only, then the Lead Tutor may instead be a registered Practitioner of the appropriate grade.

#### 4.2.3 Use of TickIT*plus* logo



Course providers must use the course provider mark and registration number on all issued course documentation. It may also be used in promotional material and advertising.

### 4.3 Administration manager

All approved course providers shall have an administration manager assigned who shall act as a single point of contact for the Registrar and JTISC. This can be the Course Manager or any other full-time employee or established contractor.

## 5 Accreditation of training courses and providers

### 5.1 Accreditation of training providers

In order to become a TickIT*plus*-approved course provider, the provider has to make a formal request on the Registrar application form, providing at least the following:

- application letter
- synopsis of the TickIT*plus* course material
- compliance checklist based on the syllabus in the appendices and confirming that all the requirements are covered
- list of trainers
- professional information on each trainer (CV, certificate that they have achieved the level they shall be training at)

- outline of the training facilities
- written procedures on how they shall handle complaints
- description and procedures of the quality control of the course or a quality management system (QMS) for that.

The Course Registrar needs to ensure that [CEX3]:

- the course provider is a properly formed legal entity and has met all copyright requirements (use of standards, etc.) in running TickIT*plus* courses
- the course provider has documented procedures that cover the development and delivery of courses, documentation and record management and customer complaints (ideally, the full scope of ISO 9001 quality requirements shall be addressed)
- the course provider has at least one TickIT*plus* course available (developed or licensed) that has been submitted for approval to the Course Registrar (see Section 5.2)
- the course provider has the capability to offer the proposed training courses in terms of organization, physical resources, administration, tutors, finance and marketing
- suitable guidance is available to candidates and their employers before enrolment on the level of prior knowledge and experience expected for each course
- candidate numbers are matched to the resources available and the tutor/delegate ratio
- candidate feedback is actively sought and acted upon
- any qualification-specific requirements are adhered to
- tutors are appropriately qualified, are skilled in teaching, have knowledge and experience of the subject area, are familiar with the syllabus and keep themselves up to date in line with changes to the syllabus
- there is adequate coverage of the syllabus, with a mix of lectures, practical work and revision appropriate to the level and subject area of the qualification
- course materials (including presentations, candidate handouts, Course Tutor notes, exercises and case studies) are of good quality, relevant to the syllabus, and are kept up to date in line with changes to the syllabus (see Section 5.2).

At their discretion, the Course Registrar may restrict accreditation to one or a range of course grades only.

An accreditation of a course provider might be preliminary if the request includes a synopsis and not a complete training course package. Once accredited, the course provider may advertise their accredited status and use the official logo described in Section 4.2.3.

## 5.2 Accreditation of course material

Before accreditation can be final, the course provider must submit a complete training course package (with all planned variants) for Course Registrar review [CEX4]. This is to include, as a minimum:

- course timetable
- material issued to delegates
- material used in the delivery of the course – slides, worked examples, etc.
- tutor's notes
- compliance matrix showing on which slides which part of the syllabus is covered for the submitted course.

The course material is to be presented against the current SDB baseline set, which can then be used as a reference when training records are submitted [CEX4].

Over time, as courses are delivered, it is expected that improvements shall be made, and additions or changes made to this baseline. Resubmission is only required on request or when significant changes are made, but these variations must be controlled with a history of identified changes held. All delivered courses must be to the current SDB baseline set or the previous SDB baseline set, providing this is not more than 12 months old, and details of amendments required are included [CEX2]. (See the *TickITplus Administration Design Specification* document for a discussion on scheme material baselines.)

### 5.2.1 Variations to criteria or submitted material

Requests for variations to any of these criteria, previously submitted course baselines, or in respect of any special circumstances shall be considered for approval on written submission by the approved course provider to the Course Registrar. Any such request shall be made immediately upon the reason for the variation request becoming apparent [CEX4].

### 5.2.2 Review and monitoring of training courses

Once the submitted course has been reviewed and approved by the Course Registrar, the course provider shall run a provisional course. Before final accreditation, all changes to the preliminary approved material and the results of delegates taking the related examination

shall be reviewed. Delegates taking provisional courses that are subsequently approved shall be treated as though they had taken the formally accredited course. Delegates taking provisional courses that are not subsequently accredited may have to take a further delta course, within 12 months, at the Course Registrar's discretion [CEX8].

The course provider must submit to the Course Registrar a listing of the personnel managing and delivering the courses, including the range they cover, i.e. the Course Manager and Lead and Course Tutors [CEX12]. It is expected that the course provider shall verify all tutor qualifications and experience, and refusal to register a tutor would only be done exceptionally – i.e. on previous poor reports, poor examination results or customer complaints.

Accreditation shall continue on a rolling 3-year cycle for as long as the course provider delivers the course, but may be subject to review and termination with 3 months' notification at any time [CEX7]. JTISC or the Course Registrar shall retain the right to sample any course delivery on an ad hoc basis.

### 5.3 Certificate award

The course providers shall issue certificates showing course completion [CEX11]. The issued certificate shall include, as a minimum:

- name of the delegate
- date of the award
- name of the course provider (as appropriate)
- the grade of the course
- the TickIT*plus* logo
- the name and signature of the person authorizing the award
- a unique certificate identification number.

## 6 Training course examinations

Each course shall have a related examination, both for Assessors and Practitioners, which are administered separately from the course providers. Taking the examination is optional for delegates. Undertaking the course prior to the examination is mandatory at the Foundation level, and optional with 'fast-track' concession at the Capability level, and optional for all at

the Optimizing level. At Foundation and Capability levels the course or any resits must also be taken within 12 months of completing the course [CEX8].

### *6.1 Examination Provider processes*

The Examination Provider must be able to demonstrate that their processes and procedures include provision for:

- examination development and support
- examination delivery and marking
- record keeping
- dispute handling.

### *6.2 Examination content*

This must be adequate to cover the course syllabus as described in the appendices in this document. The format of questions, methods of scoring and marking is at the discretion of the Examination Provider, but shall fulfil all requirements in this document and Appendix D.

Examination material is to be suitably baselined and held confidentially by the Examination Provider. The Examination Provider needs to have access to Assessors at the same level as the course and examination for the creation of the examination material. A copy, however, needs to be available for JTISC review, together with a formal policy statement showing the criteria for the examination pass mark and distinction award.

The Examination Provider is to determine and agree with JTISC/-/2 subcommittee the necessary criteria for determining the examination pass mark (recommended to be not less than 65 per cent). (This is to also include resit criteria and any permitted variations, such as for foreign language students.)

### *6.3 Examination delivery*

It is normally expected that examinations are delivered at the final session of the training course, but the Examination Provider may wish to change this or add additional approaches,

such as online examinations (e-examinations). Provision of any invigilator requirements is for the course provider and the Examination Provider to agree.

Within the baseline there shall be a suitable selection of questions such that different deliveries of the examination material can be modified with up to 30 per cent of the questions varying.

Applicants shall be notified of their results within 2 weeks of taking the examination, or immediately for e-examinations.

### *6.4 Examination records*

The Examination Provider is to maintain an accurate record of all results, including as a minimum:

- examination grade and baseline undertaken
- name of the applicant
- date of the examination and date of the course (as applicable)
- venue and course provider or delivery method (as appropriate)
- overall score obtained
- whether a certificate of achievement was awarded.

### *6.5 Certificate award*

The Examination Provider is to issue certificates showing examination results no more than 1 month following the sitting [CEX11]. The issued certificate shall include, as a minimum:

- examination grade
- name of the delegate
- date of the examination
- the TickIT*plus* logo
- the name and signature of the person authorizing the award
- a unique certificate identification number.

## Appendix A Syllabus TickITplus Foundation course

In this version, the syllabus is a separate document that shall be read in conjunction with this document.

## Appendix B Syllabus TickITplus Capability course

Under development. See the TickITplus website for the latest download.

## Appendix C Syllabus TickITplus Optimizing course

Under development. See the TickITplus website for the latest download.

## Appendix D Examination requirements

In this version, the examination requirements are a separate document that shall be read in conjunction with this document.

## Appendix E Rules

- [CEX1] *Course and Exam Baseline* (CEXB). This baseline is only used internally by the Examination Provider and JTISC/-/2.
- [CEX2] All courses delivered must be either:
  - to the current SDB baseline set or the previous SDB baseline set, providing this is not more than 12 months old and the course provider includes details of amendments to the scheme documentation or
  - may exceptionally be delivered against draft material (Pilot courses) (based on the current CEXB), providing a follow-up delta course revision is also offered.
  - Any e-learning or blended format courses must be taken over a period not exceeding 6 months and with one course provider.
  - The maximum course size (for classroom-based content) is to be 20 students.

- **[CEX3]** Only courses provided by accredited course providers and who meet the following conditions shall be recognized for qualification purposes:
  - is a properly formed legal entity and is able to meet all the copyright requirements for running courses with the capacity to offer training in terms of organization, physical resources, administration, tutors, finance and marketing
  - have procedures covering document and record management and customer complaints and are able to demonstrate effective management processes throughout the organization
  - have defined processes and procedures for the development, review, maintenance, monitoring, improvement and Configuration Management of all TickITplus courses offered
  - have legal availability (developed or licensed) to TickITplus courses to the criteria defined in the *TickITplus Requirements for Training and Examinations* document, and have submitted this material for approval
  - have processes for monitoring student performance.

Course providers must use the official TickITplus logo and their registration number with their material.
- **[CEX4]** Course providers must submit proposed course material, based on valid SDB sets, to the Course Registrar within 18 months of initial acceptance. Once accepted, this material must form the content of all delivered courses. If significant amendments to the material are required, a request for variation shall be lodged with the Registrar, with reasons for the changes and their scope and impact. Officially approved courses may be run by the course provider only:
  - after the submitted material is formally approved.
- **[CEX5]** Course provider accreditation is based on a renewable 3-year period.
- **[CEX6]** Course providers are to register courses run with the Examination Provider, giving at least 2 months' notice for public courses and at least 2 weeks' notice for private internal courses. The provided information is to include:
  - course grade and the type of delivery
  - the venue
  - the Course Manager and the Lead and other tutors
  - the number of places available
  - any variations to a previously approved standard course
  - course fees.
- **[CEX7]** Course providers may have their accreditation status removed:
  - at their own request
  - for failure to provide any courses within the accreditation period
  - for failure to comply with the terms of accreditation
  - for under performance – at JTISC discretion.

The Registrar is to give a minimum of 3 months' notice for removal of accreditation.

- **[CEX8]** For examinations to be valid, the following rules apply:
  - the examination, or the resit examination, must be taken within 12 months of taking the related course, unless 'fast-track' status has been approved
  - if the course taken was based on an SDB baseline that is invalid at the time of taking the examination and a delta course is available, then that additional delta course must be taken prior to the examination
  - if the course and examination undertaken are identified as a Pilot (or if the course was not a subsequently accredited provisional course), then the follow-up delta course and/or examination – if required – must be taken within 12 months of completing the course.
- **[CEX9]** Course duration and format:
  - All the minimum established venue periods for the courses may include the examination period.
  - The Foundation course is to be conducted over a minimum of 2 working days – all formats.
  - The Capability (intermediate) course is to include at least 3 working days tuition (which may be blended) – all formats.
  - The Optimizing (advanced) course may include blended format tuition but must include a minimum of 5 working days for all formats, with at least 50 per cent of the material devoted to practical examples.
  - Any Pilot course delivery must be subject to advance approval, and the periods at established venues apply as for the grade. Follow-up delta courses may be entirely distance learning subject to advance approval.
  - Course material may be blended or non-blended:
    - classroom only – notes and written classroom material, presentations, worked examples, etc., all delivered in a classroom environment
    - e-learning – can consist of correspondence-, computer- or web-based material, but there need to be controls included to assure full understanding to proceed, and a Course Manager shall always be responsible for the e-learning course and recording of results
    - blended – may include classroom material plus distance-learning correspondence and web-based material in any combination, providing the minimum duration at established venue criteria is observed.
  - The course provider must provide each student attending the course with:
    - a description of the syllabus and learning objectives
    - the course format, programme and structure
    - suggested prerequisites for the course

- a statement of the requirements needed to gain the appropriate qualifications from the course
  - an explanation of any assessment processes.
- **[CEX10]** Course monitoring and student assessment:
  - Course providers are required to monitor each student's progress during all courses above the level of Foundation.
  - Course Tutors are to be provided with model examples and answers and assessment guidance.
  - Students are to receive feedback on their performance throughout the course and timely access to tutors.
  - On course completion the following are to be provided for each student:
    - student's name and any affiliation
    - attendance as Assessor or Practitioner
    - assessment results
    - course delivered
    - method of delivery
    - any Assessor or Practitioner variations
    - material SDB baseline
    - course provider and the venue
    - date and duration of the course
    - Course Manager and Lead and any additional tutors
    - tutor's notes.
  - Course providers are to elicit feedback from delegates and forward this to the Registrar.
- **[CEX11]** Course and examination certificates:
  - All students completing the course and/or passing the associated examination are to be provided with a certificate, stating either:
    - course completion only (course provider)
    - course completion and examination pass (course provider and Examination Provider) or
    - examination pass only (Examination Provider).
  - Only course certificates issued by the course provider shall be considered valid, and these are to be individually numbered and recorded centrally.
  - Each certificate shall indicate the course grade, the course provider, the date and the venue, have a unique number and carry the TickIT*plus* logo. It is to be formally signed by a Course Manager.
  - Certificates are to be issued within 1 month of the course to which they apply.
  - Examination certificates are to be issued by the Examination Provider within 1 month of the examination to which they apply.

- **[CEX12]** Course provider personnel:
  - Course providers are required to nominate a Course Manager with specific responsibilities for:
    - overall responsibility for the content, planning and delivery of courses, including tutor provision
    - general management and administration of the courses.
  - An administration manager shall be nominated as a single point of contact for any issues relating to the course provision.
  - Course providers are required to nominate one or more Lead Tutors with the following specific responsibilities and criteria:
    - TickIT*plus* qualified to at least the grade covered by the course being delivered unless a waiver has been granted by the Registrar (TickIT*plus* Assessors may be Lead Tutors for all courses at their grade or below; TickIT*plus* Practitioners may be Lead Tutors only for courses exclusively for Practitioners – unless a waiver has been granted)
    - delivering specifically identified courses, including the correctly baselined material and ensuring that all syllabus topics are addressed and that any other tutors are suitably qualified
    - completing the course registration and result requirements and submitting the relevant material to the Registrar
    - delivering at least 30 per cent of the course content for which they are the designated Lead Tutor.
  - The roles of the Course Manager, administration manager and Lead Tutor may be occupied by the same individual.
  - Course providers are required to register any other tutors who may participate in the delivery of courses and provide statements of their qualifications with respect to TickIT*plus*.
  - Nominated tutors with limited (less than two courses) experience may provide tuition only with the Lead Tutor present.
- **[CEX13]** Complaints:
  - Depending on the nature of the complaint and where received, the responsible party is to maintain a register of complaints, and, if necessary, forward the complaint to whichever party is responsible. Complaints shall normally be lodged within 6 weeks of the incident.
  - The party responsible for the category of complaint is to undertake initial acknowledgement and investigation.
  - All parties affected by the complaint and JTISC (or its relevant subcommittee) is to be notified of the issue within 10 working days.

- Up to 15 working days following closure of a complaint is given for the complainant to lodge objections.
- No record is kept against an individual's or organization's records for dismissed complaints. However, complaints formally forwarded and reviewed by JTISC are always recorded, but JTISC may decide to mark the incident as non-relevant in individual records.
- All valid complaints must be reviewed by JTISC (or its nominated subcommittee) within 30 working days, with involved parties informed of status. A final decision and initiation of any subsequent actions must be made within 8 weeks of the complaint being raised.
- All complaints that cannot be resolved by the parties directly involved are to be formally forwarded to JTISC for action. The decision of JTISC is final unless the complaint is passed on to authorities outside *TickITplus*.
- Closed complaints must be recorded in the maintained record, and all parties formally informed of the outcome. If the complaint involves regulatory authorities or parties outside the direct responsibilities of JTISC, then this shall be recorded and the issue transferred.
- All lodged complaints are to be formally reviewed by JTISC in an annual scheme review.