

# **EcoMentor**

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## **CERTIFICATION SYSTEM FOR MENTORS IN THE ECO-INDUSTRY**

### **Certification Programme**

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## **Contents**

Introduction .....	6
1.1 EcoMentor .....	6
1.1.1 Partners .....	6
1.1.2 Eco Industry .....	6
1.1.3 Project Implementation .....	7
1.1.4 EcoMentor Qualification & Training Programme .....	7
1.2 Certification Programme.....	9
2 EcoMentor Qualification .....	10
2.1 Qualification Outline .....	10
2.2 Participation/Registration .....	25
3 Validation & Recognition.....	25
3.1 Formative & Summative Evaluation .....	25
3.2 Validation.....	25
3.3 Candidate Selection Criteria .....	27
3.4 Preparing to Deliver the Qualification.....	27
3.4.1 Who is involved in delivering the EcoMentor qualification?.....	27
3.4.2 Skills and competences of Validation Practitioners.....	27
3.5 Validation Practitioner Selection.....	29
3.5.1 Expertise of validation assessors and quality assurers .....	29
3.6 Competences of the Mentor-candidate (candidate suitability).....	31
3.7 Assessment Planning & Qualification Delivery.....	32
3.7.1 Assessment Methods.....	34
3.8 Judging candidate evidence and making an assessment decision .....	36
3.9 Recording Achievement .....	37
3.10 Certification Criteria.....	38
3.11 Equality and Fairness during the Assessment Process .....	43
3.12 Malpractice .....	43
3.12.1 Centre Malpractice.....	44
3.12.2 Candidate Malpractice .....	44
3.13 Quality Assurance .....	45
3.14 Data Protection (Assessment Centres).....	46
4 Certification of Candidate .....	46
4.1 Certification Bodies .....	46
4.2 Equality.....	46
4.3 Recognition of Prior Learning .....	47
4.3.1 Data Protection (Certification Bodies).....	48

4.4	Public Information .....	48
4.5	Committees: Term Limits .....	48
4.6	Guidance on Advertising .....	49
4.7	Impartiality.....	49
4.8	Certification Bodies: Organizational Structure .....	49
4.8.1	Certification Decision .....	50
4.9	Certification and Training: Separating .....	51
4.10	Certification Personnel: Hiring .....	52
4.11	Certification Bodies: Composition and Qualifications of Members .....	52
4.12	Outsourced Services .....	53
4.13	Confidentiality.....	53
4.14	Records and Recordkeeping.....	53
4.15	Record Destruction.....	54
4.16	Record Retention.....	55
4.17	Security .....	55
4.18	Signatures (Electronic If Applicable) .....	56
4.19	Site Access .....	56
4.20	Code of Ethics and Disciplinary Procedures.....	57
4.21	Application Process for Candidates.....	57
4.22	Applications: Procedures for Processing .....	57
4.23	Special Needs Accommodations .....	58
4.24	Subject Matter Experts: Qualifications.....	58
4.25	Threat Analyses.....	59
4.26	Assessment Methods .....	59
4.27	Assessment Methods: Changes .....	60
4.28	Candidate and Certification Information: Releasing .....	60
4.29	Certification Status: Publication.....	60
4.30	Certificate, Logo, and Marks .....	60
4.31	Certificates: Information Contained .....	61
4.32	Certification Process: Information Available to Candidates.....	61
4.33	Certification Process: Information Available to the Public .....	62
4.34	Certification Scheme: Verify Certified Persons Comply With Changes .....	62
4.35	Cheating.....	63
4.36	Fraud and Evidence of Cheating .....	63
4.37	Complaints and Disciplinary Issues .....	63
4.38	Appeals of Adverse Decisions .....	64
4.39	Appeals of Denial of Special Needs .....	64

4.40	Conflict of Interest Statements and Non-Disclosure Agreements .....	64
4.41	Due Process .....	65
4.42	Eligibility and Denial of Eligibility .....	65
4.43	Certification: Awarding .....	65
4.44	Certification: Length of Time for Which It Is Awarded .....	65
4.45	Certification: Not Restricting or Limiting Conditions .....	66
4.46	Certification: Suspending, Withdrawing, and Reducing .....	66
4.47	Examinations: Administration Services—Ensure These Meet Certification Needs .....	67
4.48	Examinations: Admission .....	67
4.49	Examinations: Candidates Agree To Keep Materials Secure .....	67
4.50	Examinations: Data and Frequency of Data Review .....	67
4.51	Examinations: Languages in Which They Are Given .....	68
4.52	Examinations: Maintenance .....	68
4.53	Examinations: Staff and Volunteer Personnel Taking .....	68
4.54	Fees and Refunds .....	68
4.55	Fiduciary Responsibility .....	69
4.56	Internal Audit Procedures .....	69
4.57	Management System Components .....	69
4.58	Meeting Minutes and Recordkeeping .....	69
4.59	Non-Discrimination .....	70
4.60	Pass Point (Cut Score): Setting .....	70
4.61	Personnel Records Maintenance .....	70
4.62	Proctoring .....	71
4.63	Recertification Process .....	71
4.64	Recertification Requirements, Including Audits .....	72
5	ANNEXES .....	73
5.1	Annex 1: Validation & Certification flow chart of the EcoMentor qualification .....	73
5.2	Annex 2: Assessment and Examination outline – Knowledge Assessment .....	74
5.3	Annex 3: Assessment and Examination outline – Practical Assessment .....	81

## Introduction

### 1.1 EcoMentor

#### 1.1.1 Partners

The EcoMentor consortium consists of five organizations from four EU countries: Poland, Greece, Italy and United Kingdom. They represent different culture and traditions of vocational education as well as assure geographical diversity of the partnership.

There are 3 main areas of the expertise of the whole partnership:

- 1) eco-industry/green economy as the strategic sector of the EU economy
- 2) VET, especially in terms of mentoring and work-based learning, including quality assurance issues
- 3) management and execution of EU projects

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#### 1.1.2 Eco Industry

The choice of the eco-industry, as a pilot area for implementation of the project's outcomes is intentional and justified by its strategic importance for sustainable development of the European economy and on the other hand by a huge experience and expertise of all partner institutions. It is rapidly growing industrial sector producing goods and services to measure, prevent, limit, minimise or correct environmental damage to water, air, soil and ecosystems, as well as addressing problems related to waste and noise. By 2020, the market share of eco industries is projected to reach 2,200 billion EUR. Eco industries have a central role in enabling Europe to become a smart and sustainable economy and, as a result, have a great potential for contributing to the goals of Europe 2020 Strategy.

Eco-industries change rapidly due to technological development and implementation of innovations on the one hand and face huge legislative requirements (especially quickly changing environmental protection legislation) on the other hand. Such changes cause emergence of new skill requirements, alteration of skill and competence composition of occupations, skill shortages and gaps. In near future the eco-industry will require employees with new skills and with a higher skill-level. In the same time the graduates entering labour market often are not adequately prepared and need training.

Therefore, educating the current and future labour force is required to maintain competitiveness of the sector.

In environment-related sectors life-long learning is considered extremely important. Preparing the employees who could undertake the WBL in enterprises of eco-industry (mentors) could build the human capital needed, create a potential labour force for green jobs and in the same time increase corporate responsibility for social and environmental issues.

### 1.1.3 Project Implementation

The implementation of the certification model for mentors in the subsector of the Eco-Industry (EcoMentor) focuses on the work-based learning (WBL) in the vocational sector of eco-industry.

The project aims at developing and testing the system of certification of mentor's competences in the sector of eco-industry.

The project's objectives:

- developing the standard of professional competence for mentors in eco-industry
- developing training programme
- designing, developing and testing blended learning VET course, including e-learning
- implementation and testing of the certification system

The competencies of personnel involved in planning and conducting work-based learning directly influence the quality of vocational training. Development of the training programme and VET course for mentors in eco-industry supports the continuing professional development of educators – mentors – and in this way development of competences of key personnel involved in work-based learning in enterprises.

Proposing the solutions focusing on recognition, validation and certification of competences of mentors, including validation of non-formal and informal learning, contribute to increasing quality of continuing VET and then to improvement of the quality of work-based learning in European countries.

The choice of the eco-industry, as a pilot area for implementation of the project's outcomes is intentional and justified by its strategic importance for sustainable development of the European economy and on the other hand by an experience and expertise of all partner institutions.

### 1.1.4 EcoMentor Qualification & Training Programme

The project team will develop the EcoMentor qualification and Training Programme through a series of stages and outputs. The key outputs leading to the development of the qualification and training programme are as follows.

#### **Standard of professional competence for mentor in eco-industry (SPC)**

A standard of professional competence (SPC) will be developed for mentors working in sub-sectors of the eco-industry.

The SPC for the eco-industry will focus on small/medium sized enterprises and within the following subsectors: waste management, recycled materials, and renewable energy.



### **Training programme for mentors in eco-industry**

The vocational educational training (VET) programme for eco-mentors will be developed based on the SPC.

The VET programme will be broken into modules related to the professional tasks. This type of training should equip the participants with the knowledge, skills and competences for their specific eco-mentoring tasks.

### **Blended learning VET course for mentors in eco-industry**

The development of blended learning VET course for mentors in the eco-industry, will be achieved by blending face-to-face and online learning environments (Moodle). The course will contain: the syllabus with training plan, learning outcomes, material for course participants, teaching material for VET trainers, and examination tools for the content.

### **Benefits of a mentoring programme**

When implemented correctly, a mentoring programme within an organisation can have many benefits for the mentees, mentors and the organisation – ultimately facilitating the growth and success of the company and its employees.

Benefits to Mentees	Benefits to Mentors	Benefits to the Organisation
Develop a greater understanding of the organisation and its employees	Practice interpersonal and management skills on an ongoing basis	Improved communication within the organisation
Encouraged and supported in achieving goals	Gain additional recognition and respect	Increased support/networking/relations among employees
Develop new networks and opportunities	Extend and develop new and existing professional networks	Transfer of valued skills and knowledge within the organisation
Learn different approaches to thinking and problem-solving	Greater knowledge and connections within the different levels of the organisation	Increased employee morale
Develop new and/or different perspectives on issues	Enhance coaching and mentoring skills	Increased work performance
Develop greater visibility within the organisation	Gain personal satisfaction from helping mentees	Greater uptake of qualifications and increased personal development within the workplace



## 1.2 Certification Programme

This document sets out the requirements for the certification process for the newly developed EcoMentor vocational qualification. The certification programme contains the certification criteria, methods and mechanisms used to assess candidates, including the examination of candidates.

The programme is laid out in two parts. The first section, focused on the delivery of the course, will specify the required skills and competences of mentors applying for certificate, details of the of training course delivery, minimum requirements in terms of qualification and experience of assessors and method of their appointment. The skills and knowledge of candidates required for the qualification will also be addressed.

The second section will focus primarily on the certification process; the examination and evaluation rules, the criteria to be met by the applicant for a certificate as well as additional requirements in order to conduct an impartial and objective certification process are outlined.

The procedures for monitoring and recertification, procedures for issuing and maintaining certificates, procedures for documents keeping and confidentiality assurance will also be outlined.

The process for the assessment of prior learning will be addressed, through the recognition of learning outcomes acquired during non-formal and informal learning by experienced eco-industry workers in the area of mentoring competences.

While this document outlines the basic requirements for the validation and certification of the EcoMentor qualification, it is advisable that the strategy is reviewed and amended to ensure complete relevance and legislative compliance for each training centre, assessment centre and certifying body in the country of delivery.

As a minimum, the following documents should be produced for use in line with the Certification Programme:

- an assessment methodology for the qualification
- Guidance on internal quality assurance
- Guidance on external quality assurance
- Policies and procedures for quality assurance, validation, examination (if applicable) and certification
- Standardised templates for quality assurance management, assessor selection, assessment and examination (if applicable)

## 2 EcoMentor Qualification

### 2.1 Qualification Outline

This modular training programme has been developed based on the analysis of employers' requirements included in the description of the "Standard of professional competence for a mentor in the eco-industry".

This programme is composed of three vocational training modules and corresponding 7 modular units that are equal to professional tasks performed in the mentor's work.

The programme's modular structure consists of:

- programme and organisational assumptions of training
- teaching plans
- vocational training modules and modular units

Every vocational training module includes the learning outcomes, a list of modular units, the structure of the modular unit system, recommended literature and source materials.

The modular unit programme includes learning outcomes, proposals for teaching materials, proposals for exercises, proposal for didactic resources, methodical recommendations for the modular unit implementation, and proposed methods of validation and assessment of the candidate's achievements.

The didactic map of the vocational training programme included in the training programme and organizational assumptions present the relationship between the modules and modular units, as well as the specified sequence for their implementation. It shall make it easier for training organisers and trainers to plan and organise a didactic process, as well as to develop individual vocational training paths for mentors-to-be.

The training programme's structure is flexible, its modules and modular units may be updated (modified, supplemented or replaced) without compromising the integrity of the programme's structure. The content can therefore be adjusted to the changing needs of the labour market, scientific and technological development and learners' capacities.

The training, which is, based on this modular programme is characterised by the following features:

- a teaching and learning process which is oriented towards the achievement of specific, measurable learning outcomes in the form of knowledge, skills and social competences enabling to perform specific professional tasks
- the broad application of the principle of transfer of knowledge, skills and social competences previously acquired by a candidate in the course of formal, informal and non-formal (in a working environment) education
- learning, mainly by doing, with the support of activating teaching methods, which, on the one hand, trigger activity, creativity, learner's capacity of self-assessment, and, on the other hand, enhances the trainer's role in being an advisor, partner, designer, organiser and evaluator of the didactic process

Upon the completion of all modular units foreseen in the programme, participants of the training shall get the training certificate, confirming their competence required for the "Mentor in the eco-industry sector".

It is recommended that modular education is carried out with activating methods, such as the guiding text method, self-directed learning method, situational method and the method of projects and practical exercises. Practical exercises in the workplace are the dominant method in the training programme. It is recommended to use didactic films and organise didactic trips. In the course of programme, attention should be paid to self-learning with the use of materials other than handbooks, such as standards, manuals, guides and extra textual sources of information. Modern technologies, materials, tools and equipment should be considered in the execution of teaching content and in self-education (also through the use of e-learning).

An essential element of the organization of the teaching process is the system of checking and evaluating the learning achievements of the learner.

Assessment should make a candidate aware of a level of its achievements in relation to requirements defined in the professional competence standard. Assessment of participants' achievements should be conducted with the use of tests (oral, written and practical), observation of participant's actions, didactic measurement. Verification and assessment of achievements require defining the criteria and standards of assessment, developing achievement tests, observation sheets, and progress assessment sheets.

An approximate number of hours for completion of modules described in the training plan may be subject to changes, depending on the applied teaching methods and didactic resources.

The didactic resources, necessary in the modular training process, include didactic aids and materials, technical means of education, didactic means of work.

There is no division into theoretical and practical classes in the modular training. Organisational forms of participants' work should be adjusted to the curriculum content and methods. It is recommended that general classes are conducted in groups of up to a maximum of 20 people. Exercises should be organised in two to four-person teams or individually.

The qualification consists of three units and seven modules, outlined below;

Training module name	Modular unit name
<b>Unit 1 - Planning the mentoring activities</b>	M1_JM_01. Applying principles of adult learning and mentoring in the work-based learning process
	M1_JM_02. Designing and planning the mentoring process
<b>Unit 2 - Conducting the mentoring activities</b>	M2_JM_03. Analysing the conditions relevant to the mentoring process at the workplace
	M2_JM_04. Conducting the mentoring process
	M2_JM_05. Recording and reviewing the mentoring process

<b>Unit 3 - Evaluating the mentoring activities</b>	M3_JM_06. Preparing the evaluation of the mentoring process
	M3_JM_07. Conducting evaluation of the mentoring process

Furthermore, the structure and suggested assessment methods for each module are detailed in the following seven tables; one for each of the seven modules within the three units. Assessment & validation are discussed further in Section 3.

### Module 1 (M1\_JM\_01)

Learning outcomes (the learner)	Assessment criteria (the learner can)	Assessment methods		
		Written assignment	Observation	Evidence from work
1. Understands the role of mentor in the learning process	1.1. Define the purpose of workplace mentoring	X		
	1.2. Define as good and poor practice examples of both the effective and ineffective characteristics of a mentor	X		
	1.3. Define as good and poor practice examples of both effective and ineffective characteristics of a learner	X		
	1.4. Describe the benefits of workplace mentoring for learner and mentor	X		
	1.5. Describe basic ethical principles in the mentor-learner relationship	X		
2. Understands the principles of adult education and VET	2.1. Describe adult learning styles and learning capabilities and how these impact on the mentor-learner relationship	x		
	2.2. Describe vocational education principles	X		
	2.3. Describe principles of formulating learning outcomes and their elaboration	X		
3. Is able to identify which types of learning would be most effective for the learner	3.1. Identify the correct learning method relevant to the agreed learning goals and identified learning needs of the learner	X	X	

Learning outcomes (the learner)	Assessment criteria (the learner can)	Assessment methods		
		Written assignment	Observation	Evidence from work
	3.2. Identify the correct activating methods and techniques taking into account the learner's age, profession, experience, etc.	X	X	
4. Is able to agree the rules and boundaries of mentoring relationship	4.1. Identify any barriers to mentoring within the organisation (individual, team, operational, organisational)	X	x	
	4.2. Identify the organisational structure, culture and - within that context - the role of mentoring process	X	X	
	4.3. Analyse the rationale for, and the characteristics of, effective contracting within mentoring	X		

## Module 2 (M1\_JM\_02)

Learning outcomes (the learner)	Assessment criteria (the learner can)	Assessment methods		
		Written assignment	Observation	Evidence from work
1. Understands the methods of identification of learner's needs, learning objectives and goals	1.1. Describe aspects of occupational development which can be served through workplace mentoring	X		
	1.2. Describe theories and techniques of objectives and goals setting	X		
	1.3. Describe nature of effective occupational learning goals that match organisational development goals	X		
2. Understands the methods used to develop and agree	2.1. Describe approaches to planning workplace mentoring	X		

Learning outcomes (the learner)	Assessment criteria (the learner can)	Assessment methods		
		Written assignment	Observation	Evidence from work
with the learner plans and to implement individual learning programmes	2.2. Describe an effective workplace mentoring plan (learning outcomes, activities, information and resources)	X		
	2.3. Describe development outcomes that can be attained through workplace mentoring	X		
	2.4. Describe the methods and practices in agreeing the learning outcomes	X		
	2.5. Describe the measures of success in attaining the outcomes	X		
3. Understands the ways of preparing and agreeing on the contractual arrangements with the learner according to organisational policies and procedures	3.1. Explain the organisational rules regarding the mentoring contract	X		
	3.2. Explain what a workplace mentoring contract should include to ensure ethical mentoring relationship	X	X	
	3.3. Describe the legal and organisational requirements relating to data protection, privacy, and confidentiality	X		
4. Is able to prepare for the mentoring process in terms of time and resources	4.1. Determine the resources needed for mentoring process implementation	X		X
	4.2. Ensure that all the resources required to support the mentoring programme (including qualified/experienced personnel) are available	X		X

Learning outcomes (the learner)	Assessment criteria (the learner can)	Assessment methods		
		Written assignment	Observation	Evidence from work
	4.3. Prepare the workplace for mentoring activities	X		
5. Is able to identify and accommodate learner's objectives and needs	5.1. Recognise interests and expectations of the learner	X		
	5.2. Assess the strengths, weaknesses and behavioural style of the learner	X		
	5.3. Identify and agree learner's goals	X		
6. Is able to plan workplace mentoring process	6.1. Agree on the rules and boundaries of the mentoring relationship and define how they will be recognised and maintained	X		
	6.2. Create and agree with the learner a mentoring agreement (contract) according to organisational procedures	X		
	6.3. Agree learning programme with the learner and where relevant with the key people in the organisation or external stakeholders (school/training organisation)	X		
	6.4. Plan activities and tasks to ensure that the agreed learning objectives will be met, agreeing with the learner appropriate measures for success for the review and evaluation	X		



Learning outcomes (the learner)	Assessment criteria (the learner can)	Assessment methods		
		Written assignment	Observation	Evidence from work
	6.5. Develop the mentoring plan and agree it with the learner (learning activities, resources, timeline)	X		

### Module 3 (M2\_JM\_03)

Learning outcomes (the learner)	Assessment criteria (the learner can)	Assessment methods		
		Written assignment	Observation	Evidence from work
1. Understands the organisational policies and procedures relevant to the mentoring process	1.1. Describe organisational structure, culture and the role of mentoring process	X		
	1.2. Describe the policies and procedures for recording interactions with learners	X		
2. Understands the operational context, working methods, resources and relevant personnel of the employing organisation	2.1. Identify and describe operational context, working methods and resources and relevant personnel of the employing organisation	X		
	2.2. Explain the procedures for contacting appropriate personnel when needed	X		
3. Understands the key personnel and support available from the learner's school, training organisation	3.1. Describe the principles and rules of cooperation between learner, mentor, employing organisation and learner's school or training organisation	X		
	3.2. Describe the role of each stakeholder in the mentoring programme	X		

Learning outcomes (the learner)	Assessment criteria (the learner can)	Assessment methods		
		Written assignment	Observation	Evidence from work
4. Understands the common factors and barriers affecting the mentoring process in the workplace	4.1. Describe factors and barriers affecting the mentoring process in the workplace (individual, operational, organisational)	X		
	4.2. Describe strategies for minimising or overcoming barriers affecting the mentoring process in the workplace	X		
5. Is able to explain the term 'corporate culture' in general to the learner and to describe the specifics of corporate culture of the specific company or organisation	5.1. Define the term "corporate culture"	X		
	5.2. Describe how the values of a corporate culture influence the ethical standards within a corporation, as well as managerial behaviour	X		
	5.3. Present the specifics of organisation's corporate culture to the learner			
6. Is able to uncover problems that may arise regarding the learner's job satisfaction or mentoring process taking into account the input from the learner and help in their solution	6.1. Identify any difficulties that learners may have with the programme, work tasks or organisation	X		
	6.2. Propose suitable remedial actions to address these difficulties	X		
	6.3. Agree suitable remedial action with the learner and with others as necessary	X		

## Module 4 (M2\_JM\_04)

Learning outcomes (the learner)	Assessment criteria (the learner can)	Assessment methods		
		Written assignment	Observation	Evidence from work
1. Understands the principles, approaches, and methods of mentoring in the context of implementation of successful work-based learning programmes	1.1. Describe the key concepts, principles and practices of mentoring	X		
	1.2. Identify and describe mentoring models and tools in the context of implementation of successful work-based learning programmes	X		
	1.3. Describe the stages of the mentoring process	X		
	1.4. Describe methods for developing successful work-based learning programmes	X		
	1.5. Describe active listening techniques and common barriers to them	X		
	1.6. Describe strategies for preparing the relationship between a mentor and the learner	X		
2. Understands the conflict resolution theories, methods, and models that can be used during mentoring process	2.1. Describe what is meant by the term "conflict resolution"	X		
	2.2. Describe the relevant theories, methods and models for conflict resolution	X		
3. Is able to use mentoring techniques and methods for achieving learner's learning outcomes and goals	3.1. Demonstrate the use of mentoring models and tools		X	X
	3.2. Apply effective communication with learner using practical communication tools and techniques	X		

Learning outcomes (the learner)	Assessment criteria (the learner can)	Assessment methods		
		Written assignment	Observation	Evidence from work
	3.3. Take appropriate actions to support the learner to accomplish their goals		X	X
4. Is able to work with learner to undertake the learning	4.1. Establish an effective working relationship and clear communication with the learner, enabling progress to be reviewed and any concerns to be raised at regular intervals	X		
	4.2. Create and provide sufficient learning opportunities to ensure that the learner is supported to meet the objectives of the learning programme	X		
5. Is able to ensure that the learner has an adequate ongoing level of support by workplace management and colleagues for learning and where relevant settling into the organization	5.1. Explain to the learner their place in the organization, whom they will be supervised by and to whom they should relate with questions and problems	X		
	5.2. Provide introductions to learner to other staff members and to the designated person to who the learner can go to for help or information	X		
	5.3. Ensure that the learner receives an orientation/induction (background of the organization, works the organization is currently involved in, location of supplies, equipment, and facilities)	X		

**Module 5 (M2\_JM\_05)**

Learning outcomes (the learner)	Assessment criteria (the learner can)	Assessment methods		
		Written assignment	Observation	Evidence from work
1. Understands the principles and methods for assessing and monitoring learner's progress and providing feedback	1.1. Describe methods for assessing and monitoring learner's progress	X		
	1.2. Describe basic principles for providing constructive feedback to the learner	X		
	1.3. Describe methods for providing constructive feedback	X		
2. Understands the methods and tools of review for mentoring process	2.1. Describe methods and tools for reviewing the workplace mentoring process	X		
	2.2. Describe the factors to be include in the assessment of the effectiveness of mentoring outcomes	X		
3. Understands the organisational requirements for recording and reporting the interactions, outcomes, and progress of the workplace mentoring process	3.1. Describe the organisational policies and procedures for reviewing, assessing and reporting the workplace mentoring process	x		
4. Is able to agree and record the interactions, outcomes, and progress towards	4.1. Identify suitable methods for recording interactions, outcomes, and progress towards objectives and goals	X	X	X

Learning outcomes (the learner)	Assessment criteria (the learner can)	Assessment methods		
		Written assignment	Observation	Evidence from work
objectives and goals with the learner according to organisational requirements	4.2. Assess the appropriateness of selected method of recording interactions, outcomes, and progress towards objectives and goals	X		
	4.3. Agree with the learner selected method of recording interactions, outcomes, and progress towards objectives and goals		X	X
	4.4. Apply selected method of recording interactions, outcomes, and progress towards objectives and goals	X	X	
	4.5. Maintain the record of interactions, outcomes, and progress according to organisational procedures			X
5. Is able to review the learning progress with the learner at regular intervals	5.1. Develop a plan to measure learner's expected outcomes and progress			X
	5.2. Apply appropriate tools and techniques in certain intervals to review the learner's progress	X	X	X
	5.3. Help the learner to reflect on their performance and actions	X	X	X
	5.4. Revise with the learner and where necessary modify objectives and goals	X	X	X
	5.5. Design supportive measures that aids learning progress	X	X	X

**Module 6 (M3\_JM\_06)**

Learning outcomes (the learner)	Assessment criteria (the learner can)	Assessment methods		
		Written assignment	Observation	Evidence from work
1. Understands the principles of summative evaluation of work-based mentoring process	1.1. Describe the principles of summative evaluation of work-based mentoring programmes	X		
2. Understands the principles for documentation and presentation of evaluation results	2.1. Describe the principles for documentation and presentation of evaluation results	X		
3. Is able to prepare for the evaluation of the workplace mentoring process	3.1. Develop a plan to measure the workplace mentoring program process progress	X	X	X
	3.2. Identify stakeholders relevant to the evaluation of workplace mentoring	X		
	3.3. Gain feedback on workplace mentoring from the learner and relevant stakeholders	X	X	X
	3.4. Use evaluation tools and techniques to evaluate the appropriateness of the workplace in providing relevant learning opportunities and support	X	X	X
4. Is able to ensure that results of evaluation of the work-based mentoring process are taken into account for the	4.1. Create the process to reflect and disseminate the evaluation results	X	X	X
	4.2. Agree a methodology of reporting conclusions from the evaluation process	X		



Learning outcomes (the learner)	Assessment criteria (the learner can)	Assessment methods		
		Written assignment	Observation	Evidence from work
improvement of the mentoring programme and organisational procedures	4.3. Identify stakeholders who are responsible for workplace mentoring and who should be informed about the results of the evaluation process	X	X	

### Module 7 (M3\_JM\_07)

Learning outcomes (the learner)	Assessment criteria (the learner can)	Assessment methods		
		Written assignment	Observation	Evidence from work
1. Understands the methods and tools for evaluating the mentoring process	1.1. Describe methods and tools used in evaluation the mentoring process	X		
	1.2. Define the measures of success when evaluating the mentoring process	X		
2. Understands the methods to analyse the evaluation results as well as their use in order to identify areas for improvement	2.1. Describe the methods to analyse the evaluation results	X		
	2.2. Describe ways of using outcomes of evaluation for identifying the possible improvement to mentoring process	X		
	2.3. Describe the ways of proposing changes to organisational processes, programmes and procedures to improve mentoring process	X		
3. Is able to evaluate the mentoring process in terms of its	3.1. Identify the scope of evaluation of the mentoring process	x		

Learning outcomes (the learner)	Assessment criteria (the learner can)	Assessment methods		
		Written assignment	Observation	Evidence from work
effectiveness in meeting learning objectives	3.2. Select a method to evaluate the learner's individual programme in terms of its effectiveness in meeting learning objectives	X	X	X
	3.3. Apply the method to evaluate the learner's individual programme in terms of its effectiveness in meeting learning objectives	X	X	X
	3.4. Assess the usefulness of the method to evaluate the learner's individual programme in terms of its effectiveness in meeting learning objectives	X		X
4. Is able to document and present evaluation results	4.1. Record agreed outcomes of evaluation according to the organisational requirements	X	X	X
	4.2. Present the evaluation results		X	X
	4.3. Propose changes to mentoring process and organisational procedures	X	X	X
5. Is able to draw useful conclusions from the evaluation process, identify areas for improvement and take appropriate actions	5.1. Agree a methodology of reporting conclusions from the evaluation process	X	X	
	5.2. Reflect with stakeholders on the strengths and potential improvement of the mentoring process	X		
	5.3. Make recommendations for improvement	X	X	X

Learning outcomes (the learner)	Assessment criteria (the learner can)	Assessment methods		
		Written assignment	Observation	Evidence from work
	5.4. Agree with stakeholders' objectives and goals for improving the mentoring process	X		

## 2.2 Participation/Registration

Candidates willing to undertake the qualification will be assessed for **candidate suitability** (see section 3.6) and, if appropriate, will be registered with an “assessment centre”. Through the assessment centre, the qualification (and the associated training programme) will be delivered to the candidate and the candidate will undergo the validation process, by qualified validation practitioners

The training programme can be accessed via the Moodle training programme, but validation and certification must be done by the relevant bodies.

## 3 Validation & Recognition

### 3.1 Formative & Summative Evaluation

Formative evaluation is assessment which is carried out over a longer duration (months, years, etc.) on an on-going basis, using several different points of assessment over that time.

Summative evaluation is assessment done at the completion of a learning programme (e.g. a formal examination at the end of a course).

Both formative and summative evaluation/assessment can be used in the field of Vocational Education – and often a combination of both methods is used during the assessment process, in order to maximise the benefits of using each of the methods.

### 3.2 Validation

Validation is the method used to acknowledge and value the full range of knowledge, skills and competences possessed by a candidate, using a 4-stage process.

The four stages of validation are important because they make the process more flexible and adaptable to individual needs. The four stages of validation are used in all sectors, in varying combinations.

The four stages of validation: identification, documentation, assessment and certification are outlined in the table below. Certification is the final stage of validation, achieved on completion of the previous 3 stages.

### Stages of the validation of learning outcomes

STAGE	DESCRIPTION OF THE STAGE	RESULTS OF THE STAGE	POSSIBLE FURTHER STEPS
IDENTIFICATION	<p>Identification knowledge, skills and competences.</p> <p>(May be performed autonomously by the person undergoing validation or with the help of a validation counsellor and/or assessor).</p>	<p>Review of:</p> <ul style="list-style-type: none"> <li>Accredited prior learning (learning outcomes which have already been achieved and can be confirmed)</li> <li>Competence gaps which may be worthwhile to fill or should be filled.</li> </ul>	<p>Development of an assessment/validation plan;</p> <p>What learning outcomes have already been achieved? Where is the supporting evidence? What learning outcomes still need to be achieved? How can these be achieved?</p>
DOCUMENTATION	<p>Collect evidence pertaining to achieved learning outcomes (e.g. certificates, product evidence).</p> <p>(May be performed autonomously by the person undergoing validation or with help)</p>	<p>Collected evidence is prepared for presentation to a third party.</p> <p>Evidence collected in one place in paper or electronic form is often called a “portfolio”.</p>	<p>Work on a personal development plan; initiate learning.</p> <p>Undergo assessment.</p>
ASSESSMENT	<p>Using appropriate methods, confirm that the specific learning outcomes have been attained.</p> <p>In validating for the awarding of a specific qualification – compare validation results with the learning outcomes required for the qualification.</p>	<p>Confirmation and validation of the assessed learning outcomes.</p> <p>The person undergoing the validation process should receive feedback about the learning outcomes which have not been confirmed and the justification for such a decision. If outcomes have not been confirmed, then stages 2 &amp; 3 should be repeated.</p>	<p><b>CERTIFICATION</b></p> <p>Work on a personal development plan; initiate learning.</p>

Annex 1 provides a flow chart for the Validation & Certification of the EcoMentor qualification.

### 3.3 Candidate Selection Criteria

Before a candidate can apply for the certificate, the candidate must be able to meet the requirements of the qualification. It is the responsibility of the assessment centre to assess the candidate, to ensure that there are no barriers to achieving the assessment criteria. For example, the candidate must be in a position to conduct mentoring duties, and there must be a mentee available to become involved in mentoring activities. Without these key factors, it is impossible for the candidate to meet all of the assessment criteria and, therefore, cannot complete the qualification.

Candidates must meet the following requirements:

- Must hold a minimum of 5 years of experience in a mentoring/management/leadership/senior technical role within the Eco Industry
- Must hold a current professional position which adequately lends itself to mentoring activities
- Must have met all of the candidate suitability assessment criteria determined by each individual assessment centre (and those in Section 3.6)
- Have agreed to the code of ethics and signed all disclosures and documents required by the assessment centre.

### 3.4 Preparing to Deliver the Qualification

#### 3.4.1 Who is involved in delivering the EcoMentor qualification?

There are a number of parties involved in the delivery of vocational qualifications. Generally, there will be three key bodies; a training centre, an assessment centre and a certification body. In some cases, one body could encompass all of the roles (i.e. will deliver the training, conduct the assessment/examination and also will be responsible for certification of candidates), or a combination of two roles (e.g. one centre may deliver the training and assessment, but another body will be responsible for certification).

#### 3.4.2 Skills and competences of Validation Practitioners

Throughout the validation process, important tasks are performed by specialists who play different roles. Irrespective of the configuration, the roles of these parties will be designed to guarantee fair accurate and consistent assessment. The key roles have been identified below:

- the candidate: the person who wants to achieve the qualification
- validation assessor(s): the person(s) who assesses the candidate(s) and decides if they have met the learning outcomes of the qualification they wish to achieve
- quality assurer: an individual(s) appointed to ensure that that validation assessors apply the standards uniformly and consistently, and verifies that assessment decisions have been fair and appropriate
- Expert Witnesses: may also be involved — their role is further explained in section 1.3.1
- Trainer: may be involved – delivery of an associated training course for the qualification
- Validation councillor: may be involved – will provide support to candidates undergoing the validation process

Assessing the qualification will involve several stages. The candidate should be clear on the roles in the assessment process before they start the assessment process.

### **Candidates' (mentor's) role**

- prepare for assessment — become familiar with the standards, what is to be assessed and how it is to be assessed
- help to identify sources of evidence and how these could be assessed
- carry out activities, and/or produce products of own work, and/or answer questions
- gather and present evidence
- receive and act on feedback from the assessor

### **Trainer's Role**

- Deliver training materials to the candidate in line with the qualification
- Determine the learning outcomes to be achieved
- Ensure candidate understands the learning material provided
- Provide learning material to the candidate to support learning
- Provide adequate means of assessing candidate's progress, in terms of achieving learning outcomes
- Support and guide the candidate in achieving set learning outcomes
- Provide equal opportunities to all candidates willing to participate in the training course
- Provide feedback to candidates undertaking the training course

Additional Responsibilities which may be required:

- Work with the assessment centre/assessor to deliver training materials in line with the assessment criteria
- Develop training materials in line with the qualification

### **Validation Assessor role**

- ensure candidates understand what is to be assessed and how it is to be assessed
- ensure the conditions and resources required for assessment are available
- help candidates to identify and gather evidence
- observe and record candidates carrying out the activities described in the assessment criteria — records should say what has been observed, how it was carried out, and what it demonstrates
- assess products of the candidate's own work
- question candidates and record results
- help candidates to present evidence
- authenticate the evidence candidates provide
- judge evidence and make assessment decisions
- identify gaps or shortfalls in candidates' competence
- provide feedback to candidates throughout the assessment process
- record achievement



## Quality Assurer's role

- have sufficient, verifiable, relevant, current eco-industry experience
- have sufficient, verifiable, relevant, current knowledge and understanding of the occupational working area at, or above, the level being assessed
- have a sound, in-depth understanding of the EcoMentor qualification
- ensure that accurate, fair, reliable and valid validation decisions are made
- have an in-depth understanding of quality assurance procedures, and carry them out
- ensure quality and equality across assessment/validation practices

## Mentee's Role

- work with the mentor and assessor in a productive manner
- contribute to mentoring activities
- produce all evidence required as part of mentoring activities

Although the quality of the work produced by the mentee will not be assessed as part of the qualification, the mentor (candidate) will be expected to ensure that the mentee contributes effectively to the mentoring process (e.g. by attending mentor meetings, contributing to feedback activities, creating a development plan with their mentee, etc.). This will ensure that sufficient evidence can be produced to meet the learning outcomes within the qualification.

## 3.5 Validation Practitioner Selection

### 3.5.1 Expertise of validation assessors and quality assurers

The criteria applied outlined below provides guidance on the expertise required by validation assessors and quality assurers (also known as “verifiers”) of the qualification however, it is necessary for more detailed requirements to be detailed in the assessment methodology, which should be developed by each assessment centre.

The following sections provide some general guidance on validation assessor and quality assurer (also known as “verifier”) selection.

Validation Assessors and Quality Assurers should have had experience in at least one of the following areas:

- Performing the roles covered by the standards they are assessing as an experienced practitioner.
- Being directly responsible for directing and supervising the work of those who are performing the functions.
- Providing formal guidance or instruction to candidates on the effective performance of the functions covered by the standards which they are assessing (e.g. they must be able to guidance and/or direction, with regards to the mentoring role, in accordance with the learning outcomes of the EcoMentor qualification, current legislation and industry best practice).

They should:



- Have up-to-date knowledge of current practice and emerging issues within their industry.
- Have a thorough understanding of the qualification they are validating/assessing or quality assuring (also known as “verifying”) and be able to interpret them and offer advice on assessment-related matters.
- Show experience and working knowledge of the assessment and quality assurance (also known as “verification”) processes relating to the context in which they are working.
- Demonstrate they have relevant and credible technical and/or industrial experience at a level relevant to their role and the award.
- Must be qualified or be working towards being qualified

Validation Assessors should:

- Have a sound knowledge and understanding of the qualification and the learning outcomes within
- Have knowledge of and commitment to the principles and values of the eco-industry, including those of the relevant sector for learning outcomes imported from other areas of practice where relevant (e.g. data protection)
- Provide evidence of continuing professional development to maintain their occupational expertise.
- Only assess in their area of technical and occupational competence. However, expert witnesses could also be used to cover technical competence requirements if necessary.

Quality assurers may be internal or external. Internal quality assurers are part of the assessment centre team, and external quality assurers are often those which are part of the quality assurance team for the certifying body.

Internal Quality Assurers (also known as Internal Verifiers) should:

- be an experienced practitioner who has demonstrated the competences required by the standards during their professional career or be a manager or supervisor of those who regularly perform the competences required who is directly responsible for monitoring the work performance of such individuals or be a trainer who is occupationally competent and who has direct responsibility for developing the competences required in the standards
- satisfy the qualification requirements specified by the regulatory authorities and certification/accreditation bodies
- have a thorough knowledge of the eco-industry and its settings, including current legislative and regulatory requirements, codes of practice and guidance within the country where assessment is taking place
- have knowledge of and commitment to the principles and values of the eco-industry, including those of the relevant sector for learning outcomes imported from other areas of practice
- provide evidence of continuing professional development to maintain their occupational expertise.

External Quality Assurers should:

- have had experience of working in the eco-industry, in a capacity which involved them making judgements as to the quality of provision offered
- have a thorough knowledge and understanding of the eco-industry and its settings, including current legislative and regulatory requirements, codes of practice and guidance within the home country where assessment is taking place
- know and understand and be committed to the content and guidance provided for the assessment and verification of the qualification
- provide evidence of continuing professional development to maintain their occupational expertise and consistency of assessment across the assessment centres
- will be appointed by the certifying body, in line with the criteria outlined by the regulatory body, and the additional technical guidance outlined by the accreditation body

### ***3.6 Competences of the Mentor-candidate (candidate suitability)***

#### **Develop good relationships with mentees in the mentoring process**

- Create and maintain an effective working relationship with the mentee that will help the mentee to reach his/her professional goals.
- Ensure the welfare of the mentee and support the mentee with personal issues.
- Review and improve own role in the development of a working relationship that will maximise the results of the mentoring process.

#### **Coordinate with other stakeholders**

- Ensure that different stakeholder roles are maintained and restore the balance in case something goes wrong
- Gain sufficient awareness of the mentee's programme in order to contribute to it effectively, referring questions or concerns to the tutor.
- Review and improve own performance in supporting the mentee effectively.

#### **Plan, negotiate and implement the mentee's workplace learning programme**

- Plan activities and tasks to ensure that the agreed learning objectives will be met.
- Plan, negotiate and implement the learning programme with the mentee, the mentee's tutor and where relevant with key people in the work organisation.
- Ensure that all the resources required to support the learning programme are available (including suitably qualified/experienced personnel).
- Implement adaptations to the workplace or working methods to accommodate the mentee.
- Ensure that the learning programme accords with human, civil and social rights.
- Liaise with colleagues in order to ensure the learning programme operates effectively.
- Review and improve own performance in planning, negotiating and implementing the mentee's work-based programme.

### 3.7 Assessment Planning & Qualification Delivery

In deciding whether a candidate should achieve the EcoMentor qualification, the following key elements will be used:

- planning for assessment and validation
- generating and collecting evidence of the candidate's competence in the units
- judging the evidence of the candidate's ability and making an assessment
- decision based on the evidence
- recording the assessment decision and the candidate's achievement

Additionally, the candidate may undergo complementary training for the qualification. The training may be delivered on-line, in the candidates own time, in a classroom or a combination of two, or all three.

The candidate may be provided with a physical or electronic portfolio, where all documentation/evidence gathered will be stored. The issues surrounding data protection will be discussed in sections 1.16 and 3.11.

The validation practitioner and the candidate will have a copy of the candidate handbook, which contains the qualification outline in section 2.1. The qualification outline also provides a guide to suggested assessment methods. See below;

Learning outcomes (the learner)	Assessment criteria (the learner can)	Assessment methods		
		Written assignment	Observation	Evidence from work
1. Understands the principles of summative evaluation of work-based mentoring process	1.1. Describe the principles of summative evaluation of work-based mentoring programmes	X		
2. Understands the principles for documentation and presentation of evaluation results	2.1. Describe the principles for documentation and presentation of evaluation results	X		
3. <u>Is able to</u> prepare for the evaluation of the workplace mentoring process	3.1. Develop a plan to measure the workplace mentoring program process progress	X	X	X

The assessment methods, discussed further in Section 3.7.1, are means by which a validation practitioner can measure/evaluate competence.

The table below provides examples and explanations of each of the assessment methods, according to the evidence/learning outcomes shown in the table above.

Assessment Method	Description	Types of Evidence	Example
Written assignment (can be done under exam conditions)	A written account, describing or explaining an element of the qualification	<ul style="list-style-type: none"> <li>• Statement by candidate</li> <li>• Statement by validation practitioner</li> <li>• Q&amp;A record</li> <li>• Record of professional discussion</li> </ul>	<ul style="list-style-type: none"> <li>• Statement from candidate describing principles of formative and summative evaluation</li> <li>• Record of professional discussion where candidate describes the principles of documentation and presenting evaluation results</li> <li>• Q &amp; A record on the methodology for preparing evaluation of the workplace mentoring process</li> </ul>
Observation (can be done under exam conditions)	A record of witnessing a candidate undertaking an activity relevant to the learning outcomes within the qualification. This can be done by either an expert witness or by a validation practitioner.	<ul style="list-style-type: none"> <li>• Observation record (written account by validation practitioner)</li> <li>• Video record</li> <li>• Witness testimony</li> </ul>	<ul style="list-style-type: none"> <li>• Witness testimony from trainer to state that the candidate followed an appropriate methodology in developing a plan to measure the workplace mentoring program process progress</li> <li>• Validation practitioner observing the candidate conducting</li> </ul>
Evidence from Work (Product Evidence)	Documents or other product evidence (e.g. photographs) which support one or more learning outcomes within the qualifications	<ul style="list-style-type: none"> <li>• Certified copies/original documents from the work place</li> <li>• Photographs</li> <li>• Video evidence</li> </ul>	<ul style="list-style-type: none"> <li>• Copy of an evaluation plan, developed by the candidate</li> </ul>

It is important to note that the assessment methods indicated with an “X” for each of the assessment criteria are *suggested* assessment methods. The assessor may choose to use an alternative assessment method, or a combination of two or three of the methods, even if only one has been suggested.

The candidate must meet ALL the assessment criteria, but a range of assessment methods can be used to demonstrate the candidate’s achievement.

The only restriction to the use of assessment methods is when a simulated environment/activity is created (and observed) for the purposes of assessment. Simulation should only be used when it is

very difficult/impossible for the candidate to be assessed using other assessment methods for a particular assessment criterion and simulation, is therefore, necessary.

### 3.7.1 Assessment Methods

#### Observation

Observation by an assessor is considered to be the most valid and reliable method of assessment. It can be organised in a variety of ways:

- working alongside the candidate at their place of work
- arranging to visit when the candidate will be conducting normal work activities
- arranging for activities to take place at a specific time and place in order to be observed

Observation by the assessor can often be supplemented by other types of assessment methods such as questioning. For example, it may be appropriate to ask oral questions of candidates as they carry out their work activities.

#### Product evidence

As candidates work towards achieving the qualification, they will produce evidence in the form of work products. Some examples of product evidence include:

- Mentoring Plan
- Mentoring Evaluation Form
- Mentee Feedback Form

#### Questioning

Candidates must show that they can meet the knowledge statements for the qualification. Much of a candidate's knowledge and understanding will be apparent from what they do or produce as part of their work, but this will not always be the case, and questioning can be a useful way of confirming what candidates know and understand. Questions can be asked in a variety of forms, such as oral questions, short answer written questions, and multiple-choice.

#### Professional discussion

Professional discussion is a recorded talk between the candidate and assessor. The assessor will plan the structure of the discussion, to ensure that the candidate is guided to discuss areas of knowledge that will meet the outcomes within the qualification, in a coherent manner. The object of the conversation is to encourage the candidate to demonstrate competence, using their knowledge and understanding of the subject. For example, the candidate may be asked to demonstrate knowledge of a particular piece of evidence, where the existence of the evidence item in itself is insufficient to demonstrate competence. The candidate may have provided a data protection policy, but that does not show that the candidate understands the content or can apply the policy guidance. By discussing the evidence item (and possibly also the application of the item), the assessor can determine if the candidate has sufficient knowledge and understanding of the policy. This method of assessment lends itself to audio or video recording, but can also be recorded by paper-based methods

## Personal statements (or ‘reflective accounts’)

The assessor may ask the candidate to document an account of an activity (and/or the production of a work product), why they did the activity and why they did it in a certain manner. This is often referred to as a personal statement. Candidates should only be asked to produce personal statements which fall within the limits of the learning outcomes within the qualification. This method should only be used if there is not a more reliable or practical method of assessment.

## Witness testimony

In some cases, an assessor is unable to observe all of the activities carried out by the candidate. Where these activities are deemed to be valuable for assessment, then a statement can be provided by other people who can observe the candidate in the form of “witness testimony” and are often used to support other evidence produced by candidates.

The value of witness testimony can be determined using the table below. Where witness testimony is weak, other evidence – of a much higher quality – should be used to support the witness testimony.

**Strongest**



**Weakest**

- Someone with considerable occupational expertise in the candidate’s area of work and who is familiar with the standards. This person may also be a qualified assessor or internal verifier.
- Someone with considerable occupational expertise in the candidate’s area of work and who is familiar with the standards.
- Someone with considerable occupational expertise in the candidate’s area of work, but with no knowledge of the standards.
- Someone who may be a colleague of the candidate, but with no knowledge of the standards.
- Someone with no or little knowledge of the candidate’s work or no knowledge of the standards

## Simulation

On occasion, it may not be possible or practical to assess a candidate in real time, conducting real work activities. In these cases, simulation can be used. Simulation is a structured assessment which realistically mimics real-life situations.

Simulation should only be used when there are no other means of assessment, due to the limitations of creating a realistic scenario which effectively mimics a real-life situation.



## Other sources of evidence

Other sources of evidence can be previous experience or learning, case studies or assignments. Each assessment centre should have a policy on “accredited prior learning”, which outlines how previous achievements by candidates can be used as credit towards their current qualification.

### 3.7.1.1 Selecting Assessment Methods

Selecting methods of assessment

The methods of assessment you use should be valid, reliable and practicable.

- “valid” – the assessment method should be appropriate to the standards.
- “reliable” – the assessment method should ensure consistent results when used with different candidates, different assessors and on different occasions.
- “practicable” – the method ensures that the assessment makes best use of available resources, equipment and time.

Before you assess a candidate, you must make sure that the methods of assessment you have chosen to use, along with any assessment materials (such as questions and sample answers) have been agreed within your centre through its system of internal quality assurance. This system is often called internal verification — its purpose is to help to ensure that assessment methods are valid, reliable and practicable. There are both benefits and challenges when assessing vocational qualifications in the workplace, or under working conditions. When methods of assessment are selected, the candidate should be offered the benefits of workplace assessment to minimise any potential difficulties.

The benefits might be:

- performance and product evidence will be valid and can be authenticated
- resources to be used are readily available
- familiarity of the work area and equipment, so the candidate is comfortable during assessment
- familiarity with the assessor
- candidate can progress at his/her own pace

The challenges might be:

- work pressures for both candidate and assessor
- shift patterns
- lack of support from line manager/colleagues (for the candidate)
- customer needs and time constraints
- the location of the workplace (for the assessor)

## 3.8 Judging candidate evidence and making an assessment decision

In judging candidate evidence, you must be satisfied that your candidates can work consistently to the required standard, and that the evidence they have produced is their own. You must consider



whether your candidate understands and applies the knowledge evidence and how this links to performance evidence.

Evidence must:

- be relevant to the qualification learning criteria
- be authentic
- show current competence
- be sufficient to help the assessor form a decision about the candidate's competence

### **Insufficient evidence**

The candidate must produce enough evidence to meet all the learning outcomes within the qualification. If the evidence is insufficient, this must be discussed with the candidate, and they must be allowed time to obtain the evidence. It is not necessarily a reflection of their competence, but they need time to provide evidence in order that that assessor can make a decision.

This demonstrates the importance of providing feedback to candidates in a constructive manner.

## **3.9 Recording Achievement**

All evidence should be retained, and clearly reference – for internal and external quality assurance, and verification.

It is useful to provide the candidate with a portfolio – either in hard copy, or in electronic format. The portfolio should contain all products of the assessment process, including;

- Candidate disclosure forms
- Qualification standards
- Candidate evidence
- Assessor feedback forms
- Assessment plans
- Assessor records
- Internal verifier records
- External verifier records

Keeping the documents in the one location allows for easier verification and quality assurance. The documents must show what evidence was generated, the assessment decisions made, how the evidence meets the standards, and where the evidence can be located.

There are various reasons why record-keeping is so important:

- it provides a way of tracking a candidate's progress
- it helps candidates to make claims for certification of their competence
- internal verifiers and External Verifiers use the records to sample assessment decisions
- it is helpful for monitoring quality assurance

If your candidates' evidence is incomplete, or cannot be located, or if there is inaccurate cross-referencing to the standards, there is a risk that an internal verifier or External Verifier will be

unable to confirm the assessment decisions made by the assessor. This can have serious consequences.

### 3.10 Certification Criteria

In order to be certificated for the qualification, the candidate must undergo the assessment process and, in doing so, must meet all of the assessment criteria, ensuring that all supporting evidence used is;

- Valid
- Authentic
- Reliable
- Current and
- Sufficient

In addition to meeting the learning criteria, learning outcomes for each of the units have been determined, and are outlined below. The assessor should determine that the candidate has met the knowledge skills and competences for each of the units before the candidate can be certificated.

The knowledge, skills and competences for the EcoMentor qualification are detailed in the three tables below.

#### *Learning outcomes (educational outcomes) for Unit 1 – Planning the mentoring activities*

<b>Knowledge</b> (training candidate knows and understands)	<b>Skills</b> (training candidate can, is able to)
<ul style="list-style-type: none"> <li>• Values, ethics, and principles underpinning mentoring</li> <li>• Role of mentor in learning process</li> <li>• Stages of the mentoring process and the critical factors of success in each stage</li> <li>• Information and resources needed for mentoring</li> <li>• Models and methods for analysis and identification with the learner their needs and requirements which can be met by mentoring</li> <li>• Ways of effectively establishing the rules and boundaries of the mentoring relationship</li> <li>• Methods for identification of learning objectives and learner's goals which the work-based mentoring programme aims to meet</li> </ul>	<ul style="list-style-type: none"> <li>• Prepare for the mentoring process in terms of time and resources</li> <li>• Prepare the workplace for mentoring activities (inform the learner and inform others)</li> <li>• Identify and agree with the learner their requirements which can be met by mentoring</li> <li>• Agree on the boundaries of the mentoring relationship and understand how they will be recognised and maintained</li> <li>• Assess and accommodate individual learner's objectives and needs using models and methods</li> <li>• Evaluate which types of learning would be most effective for the learner</li> <li>• Develop and agree on the plan of the mentoring programme with the learner and where relevant with key people in the work organisation</li> </ul>

<ul style="list-style-type: none"> <li>• Legal and organisational requirements relating to data protection, privacy, and confidentiality</li> <li>• Principles of Adult Education and VET</li> <li>• Different learning styles and learning capabilities</li> <li>• Methods used to develop and agree with the learner plans and to implement individual learning programmes including timescale, objectives, measures of success and review and assessment requirements</li> <li>• Ways of preparing and agreeing on the contractual arrangements with the learner according to organisational policies and procedures</li> <li>• Understand record keeping requirements for documents pertaining to the mentoring planning process</li> </ul>	<ul style="list-style-type: none"> <li>• Use structured learning goals to plan workplace learning, agreeing with the learner appropriate measures for success for the review and evaluation</li> <li>• Ensure that contractual arrangements reflecting expected outcomes of the mentoring programme are put into place before beginning the mentoring process and agree with the learner the rules for their recording and updating</li> <li>• Maintain mentor planning records in line with corporate policy</li> </ul>
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#### Social competence (common for Module 1)

<ul style="list-style-type: none"> <li>• Take responsibility for his/her own work approach and role</li> <li>• Build and maintain rapport over sustained periods</li> <li>• Act in a way that shows you are willing to help the learner</li> <li>• Create and maintain an effective relationship with the learner that will help the learner to reach their professional goals</li> <li>• Respect the mentee's need for information, commitment and confidentiality within legal and organisational requirements</li> <li>• Adapt your personal style to empathise with different types of learner</li> <li>• Listen and respond effectively and check understanding</li> <li>• Seek to understand people's needs and motivations</li> <li>• Invite a two-way exchange of information and feedback with the learner and others</li> <li>• Enable the learner to take responsibility for and ownership of their objectives and goals</li> <li>• Comply with, and ensure that others comply with, legal requirements, industry regulations, organisational policies and procedures and professional codes</li> <li>• Identify opportunities for mentoring</li> <li>• Encourage colleagues and stakeholders to recognise mentoring as a way to create and support a culture of learning and development in the organization</li> </ul>
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#### *Learning outcomes (educational outcomes) for Unit 2 – Conducting the mentoring activities*

Knowledge (training candidate knows and understands)	Skills (training candidate can, is able to)
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<ul style="list-style-type: none"> <li>• Principles, approaches, and methods of mentoring in the context of implementation of successful work-based learning programmes</li> <li>• Organisational policies and procedures relevant to the mentoring process (recording interactions, objectives and goals; recording the conclusion of mentoring relationship and contract)</li> <li>• Operational context, working methods, resources and relevant personnel of the employing organisation</li> <li>• Key personnel and support available from the learner's college, training organisation or training department</li> <li>• Common factors and barriers affecting the mentoring process in the workplace</li> <li>• Specific procedures for responding effectively to learner concerns</li> <li>• Conflict resolution theories, methods, and models, active listening principles and techniques that can be used during mentoring process</li> <li>• Sources of support to deal with learner relationship issues which are outside own expertise of authority</li> <li>• Principles and methods for assessing and monitoring learner's progress and providing feedback and ways to enable learner to modify their goals based on the progress</li> <li>• Basic principles of formative evaluation of work-based mentoring programmes</li> <li>• Organisational review, assessment and reporting requirements of the learner's programme</li> <li>• Understand record keeping requirements for documents pertaining to mentoring activities</li> <li>• Operational context of eco-industry sector</li> <li>• Skill profile of employment in the eco-industrial sub-sectors</li> </ul>	<ul style="list-style-type: none"> <li>• Use specific mentoring techniques and methods for achieving learning outcomes and learner's goals including motivation for adaptation of new behaviour, taking into account different alternatives and selecting the most appropriate</li> <li>• Work with learner to undertake the learning</li> <li>• Create and provide sufficient learning opportunities to ensure that the learner is supported to meet the objectives of the learning programme in the sector of eco-industry</li> <li>• Ensure that the learner has an adequate ongoing level of support by workplace management and colleagues for learning and where relevant settling into the organization</li> <li>• Explain the term 'corporate culture' in general to the learner and to describe the specifics of corporate culture of the specific company or organisation</li> <li>• Communicate effectively with the learner using practical communication tools and techniques</li> <li>• Identify and effectively manage any factors that affect the learner's programme</li> <li>• Develop solutions to problems arising during mentoring process taking into account the input from the learner</li> <li>• Uncover problems that may arise regarding the learner's job satisfaction and help in their solution</li> <li>• Agree and record the interactions, outcomes, and progress towards objectives and goals with the learner in accordance with organisational requirements</li> <li>• Review the learning progress with the learner at regular intervals, reflecting on the progress towards objectives and goals, revising and modifying objectives and goals and taking relevant supportive action where necessary to aid progress</li> <li>• Ensure that any requirements for formal assessment or reporting are met</li> </ul>
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<ul style="list-style-type: none"> <li>• General trends in technologies in eco-industry sector</li> <li>• Framework condition having an impact on eco-industry</li> </ul>	<ul style="list-style-type: none"> <li>• Maintain records of interactions in appropriate format in line with organisational procedures</li> <li>• Agree what further support or help learners may need and plan with them how it can be accessed</li> <li>• Maintain mentoring activity records in line with corporate policy</li> <li>• Analyse the supply chain for specific eco-industry sector (e.g. waste management, renewable energy, water treatment)</li> <li>• Identify the framework conditions affecting the specific eco-industry sector (e.g. waste management, renewable energy, water treatment)</li> </ul>
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### Social competence (common for M2)

<ul style="list-style-type: none"> <li>• Take responsibility for his/her own work approach and role</li> <li>• Build and maintain rapport over sustained periods</li> <li>• Act in a way that shows you are willing to help the learner</li> <li>• Create and maintain an effective relationship with the learner that will help the learner to reach their professional goals</li> <li>• Respect the mentee's need for information, commitment and confidentiality within legal and organisational requirements</li> <li>• Adapt your personal style to empathise with different types of learner</li> <li>• Listen and respond effectively and check understanding</li> <li>• Seek to understand people's needs and motivations</li> <li>• Invite a two-way exchange of information and feedback with the learner and others</li> <li>• Enable the learner to take responsibility for and ownership of their objectives and goals</li> <li>• Comply with, and ensure that others comply with, legal requirements, industry regulations, organisational policies and procedures and professional codes</li> <li>• Identify opportunities for mentoring</li> <li>• Encourage colleagues and stakeholders to recognise mentoring as a way to create and support a culture of learning and development in the organization</li> </ul>
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### *Learning outcomes (educational outcomes) for Unit 3 – Evaluating the mentoring activities*

Knowledge (training candidate knows and understands)	Skills (training candidate can, is able to)
<ul style="list-style-type: none"> <li>• Basic principles of summative evaluation of work-based mentoring programmes</li> </ul>	<ul style="list-style-type: none"> <li>• Apply review and evaluation methods and tools (such as performance milestones, performance appraisals as well as formal</li> </ul>

<ul style="list-style-type: none"> <li>• Methods and tools (including assessment tools and interpretation methods, including Information and Communications Technology - ICT) for monitoring, reviewing and evaluating the mentoring process</li> <li>• Methods to analyse the evaluation results as well as their use in order to identify areas for improvement</li> <li>• Specific principles for documentation and presentation of evaluation results</li> <li>• Understand record keeping requirements for documents pertaining to the evaluation of mentoring activities</li> </ul>	<p>interviews or informal discussions with the learner) for mentoring process</p> <ul style="list-style-type: none"> <li>• Evaluate the learner's individual programme in terms of its effectiveness in meeting learning objectives</li> <li>• Document and present evaluation results</li> <li>• Draw useful conclusions from the evaluation process, identify areas for improvement and take appropriate actions</li> <li>• Ensure that the evaluation of the work-based mentoring programme is done systematically taking into account the outcomes of learner's self-review and feedback from relevant stakeholders</li> <li>• Ensure that results of evaluation of the work-based mentoring programme are taken into account for the improvement of the programme and organisational procedures and this information is passed on to relevant stakeholders</li> <li>• Evaluate the effectiveness of the specific workplace in providing relevant learning opportunities, support and take actions for its improvement considering external influences</li> <li>• Maintain mentoring evaluation records in line with corporate policy</li> </ul>
<p align="center"><b>Social competence</b> (common for M3)</p>	
<ul style="list-style-type: none"> <li>• Take responsibility for his/her own work approach and role</li> <li>• Build and maintain rapport over sustained periods</li> <li>• Act in a way that shows you are willing to help the learner</li> <li>• Create and maintain an effective relationship with the learner that will help the learner to reach their professional goals</li> <li>• Respect the mentee's need for information, commitment and confidentiality within legal and organisational requirements</li> <li>• Adapt your personal style to empathise with different types of learner</li> <li>• Listen and respond effectively and check understanding</li> <li>• Seek to understand people's needs and motivations</li> <li>• Invite a two-way exchange of information and feedback with the learner and others</li> <li>• Enable the learner to take responsibility for and ownership of their objectives and goals</li> <li>• Comply with, and ensure that others comply with, legal requirements, industry regulations, organisational policies and procedures and professional codes</li> <li>• Identify opportunities for mentoring</li> </ul>	



- Encourage colleagues and stakeholders to recognise mentoring as a way to create and support a culture of learning and development in the organization

Furthermore, a trainer's handbook has been developed which outlines the didactic resources required to complete the course, exercises, reading materials and the learning programme.

### ***3.11 Equality and Fairness during the Assessment Process***

Equal opportunity principles in employment, education and training should be supported, and all forms of unlawful discrimination on the grounds of disability, race, age, religion or belief, sex, gender reassignment, pregnancy and maternity or sexual orientation should be opposed.

The assessments cannot be unlawfully discriminatory, and reasonable adjustments will be made for disabled candidates, where these are consistent with maintaining the integrity of the qualification.

Reasonable adjustments are steps taken to avoid a disadvantage to a disabled person.

All methods of assessment and quality assurance will be developed, while being sensitive to the needs of all candidates, and without compromising fairness and consistency. Assessment arrangements should be provided to allow disabled candidates and/or those with additional support needs to access the assessment without compromising the integrity of the assessment process. For disabled candidates, reasonable adjustments should be made in accordance with relevant legislation.

### ***3.12 Malpractice***

Each assessment centre has a duty to ensure that all steps to avoid malpractice are taken. Malpractice can be defined as an action or practice (intentional or unintentional) which:

- Compromises the integrity of the assessment process, or the validity of assessment/validation/certification results
- Is detrimental to the authority, reputation or credibility of the assessment centre or certification body, or any individual associated with them.

Examples of how malpractice can occur, include;

- Failure to comply with or conduct quality assurance procedures
- Conducting work on behalf of the learner
- Providing false or inaccurate information, leading to the fraudulent certification of a candidate

Malpractice, or suspected malpractice – intentional or unintentional – should always be investigated, in order to maintain the integrity of the assessment and certification processes and the institutions responsible for these processes.

Incidences of malpractice should be dealt with fairly, thoroughly and with great sensitivity for all parties involved. The main concern, however, should be maintaining the integrity of the assessment and certification process. All allegations of malpractice must be investigated consistently, fairly and impartially by an independent investigator.



### 3.12.1 Centre Malpractice

Assessment centres must develop, implement and monitor procedures for dealing fairly with concerns of candidate or centre malpractice. Centres should implement a documented system and procedure for recording, and reporting where appropriate, all suspected instances of centre or candidate malpractice. This information must be available for quality assurance activities on site, and/or on request by relevant stakeholders.

Centres must be able to demonstrate that they have taken reasonable steps to ensure that candidates understand their responsibilities in relation to malpractice. Assessment centres must have malpractice policy and procedures – which should be distributed as part of the compulsory induction materials for relevant members of staff.

Centres must also regularly ensure that staff members involved in delivering the EcoMentor qualification are aware of the assessment requirements, as well as the malpractice procedures set by the centre, and act accordingly.

### 3.12.2 Candidate Malpractice

Candidate malpractice means any type of malpractice by a candidate which threatens the integrity of an examination or assessment.

Malpractice by a candidate can occur, for example, in:

- the preparation and validation of coursework
- the preparation or presentation of practical work
- the compilation of a portfolio of assessment evidence
- the completion of an examination paper, or the controlled write-up stage of externally assessed coursework; and
- conduct during or after an assessment

The following are examples of candidate malpractice, but you should be vigilant to other instances of suspected malpractice that may undermine the integrity of qualifications. Examples could include:

- Breaching the security of assessment materials in a way which threatens the integrity of any exam or assessment — including the early and unauthorised removal of a question paper or answer booklet from the examination room.
- Collusion with others when an assessment must be completed by individual candidates.
- Copying from another candidate and/or working collaboratively with other candidates on an individual task.
- Misconduct — inappropriate behaviour in an assessment room that is disruptive and/or disrespectful to others.
- Offensive content — content in assessment materials that includes vulgarity and swearing that is out with the context of the assessment, or any material that is discriminatory in nature.
- Personation — assuming the identity of another candidate or a candidate having someone assume their identity during an assessment.

- Plagiarism — failure to acknowledge sources properly and/or the submission of another person's work as if it were the candidate's own.
- Prohibited items — restricted items that candidates must not have with them at their allocated seat in the exam room because they can give an unfair advantage. Centres should make clear which items are allowed and which items are prohibited during examinations/assessments.

Assessment centres must have policies and procedures in place to ensure that concerns of possible candidate malpractice in internal assessments are investigated and managed appropriately within the centre.

Further malpractice guidance will be provided, on request, to all centres wishing to deliver the EcoMentor qualification.

### 3.13 *Quality Assurance*

The external quality assurance system should ensure that instruments of assessment are valid and reliable, and that centres' assessment decisions are in accordance with national and organisational (certifying body) standards.

Assessment decisions should be made in accordance with national standards and assist centres in achieving national standards where necessary.

Quality Assurance (QA) is a shared responsibility with stakeholders, where this is consistent with the maintenance of national standards. The certification body will provide centres with information about the QA process. Centres will be informed of the requirements that they must meet in relation to the QA process.

Outcomes of the QA will be reported to centres within published timescales, and centres will be provided with feedback and support. The certification body will have a process for managing appeals against QA outcomes.

The certification body will select the appropriate form of QA for the qualifications being verified. The certification body will select sufficient centres and qualifications to ensure an appropriate level of QA is conducted for each qualification type. Centre and qualification selection will take into account all available information and will be aimed at reducing risk.

The certification body will recruit, appoint and train sufficient personnel with the appropriate subject and/or occupational and assessment expertise to quality assure certification body assessments.

The certification body will regularly review its QA system to ensure best practice. Information about any changes made to the QA system will be made available to centres at the earliest opportunity and appointees fully trained on any changes to the system.

### **3.14 Data Protection (Assessment Centres)**

From the 25<sup>th</sup> May 2018, the General Data Protection Regulation (GDPR) will come in to force and will be applicable to all organisations that have a day-to-day responsibility for data protection.

According to the EU, “The Regulation updates and modernises the principles enshrined in the 1995 Data Protection Directive to guarantee privacy rights. It focuses on: reinforcing individuals' rights, strengthening the EU internal market, ensuring stronger enforcement of the rules, streamlining international transfers of personal data and setting global data protection standards.

The changes will give people more control over their personal data and make it easier to access it. They are designed to make sure that people's personal information is protected – no matter where it is sent, processed or stored – even outside the EU, as may often be the case on the internet.”

The full legislation, and how it is applied, can be found at the following link: [http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=uriserv:OJ.L\\_.2016.119.01.0001.01.ENG](http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=uriserv:OJ.L_.2016.119.01.0001.01.ENG)

## **4 Certification of Candidate**

Once the candidate has completed the assessment process, and the assessment centre is confident that the candidate has met the learning outcomes, and this has been verified by the internal verifier, the candidate can be certified for the qualification.

The certification body may be part of the assessment centre (e.g. a college or university) or it may be separate. Irrespective of the configuration, in order to be responsible for the certification of the EcoMentor qualification, the certification body has to comply with certain rules laid out within the standard: ISO/IEC 17024:2012(E).

This chapter details the requirements that certification bodies must meet, in line with the standard.

### **4.1 Certification Bodies**

The certification body must be a legal entity, or a defined part of a legal entity, such that it can be held legally responsible for its certification activities.

The certification body must take responsibility and authority for its decisions related to granting certification, recertifying, expanding and reducing, suspending or withdrawing certification.

The certification body shall manage and be responsible for the performance of all personnel involved in the certification process.

### **4.2 Equality**

The certification body will be committed to equality of opportunity and to a culture that respects difference.

The certification body will be committed to mainstreaming equality into every day operations for the benefit of all staff and customers. The certification body is required to:

- Advance equality of opportunity
- Foster good relations and
- Eliminate unlawful discrimination

These responsibilities set a clear expectation that the certification body must treat everyone with dignity and respect. The certification body should aim to ensure its services are accessible to all, whoever they are, wherever they are and whatever their needs.

### **4.3 Recognition of Prior Learning**

The certification body's policy should be to recognise prior learning as a method of assessing whether a learner's experience and achievements meet the evidence requirements (i.e. the standard) of a certification body Unit or Units and which may or may not have been developed through a course of learning.

The certification body will recognise that learners gain knowledge and skills acquired through formal, non-formal and informal learning contexts. Formal learning is learning certificated by a recognised awarding or professional body; Non-formal learning includes learning such as employer's in-house training courses, which may or may not be assessed and/or certificated; finally, Informal learning is learning based on experience from a variety of environments which is not formally assessed.

Evidence to support prior learning assessment decisions must be valid, reliable and of equal rigour to the standard assessment of the Unit concerned. This means that the evidence should broadly match the evidence requirements specified in the Unit and reflect the EQF level and credit value attached to the Unit.

The recognition of prior learning may be used to assess complete or partial Units. Where evidence of prior learning only partially meets the evidence requirements of a Unit, other methods of assessment should be used to complete the outstanding requirements. The minimum level of awarding and certification will be a complete Unit.

Previously attained qualifications may be used as evidence of prior learning as long as they have been awarded by a recognised awarding body or professional body. It is an assessment centre's responsibility to ensure that the content, level of demand and assessment approach of the prior attained qualification broadly matches the evidence requirements specified in the Unit(s).

The assessment of prior learning should be subject to the same internal QA by Centres as other methods of assessment. The certification body will also adopt the same approach to quality assurance as any other method of assessment. Appeals from learners will follow the same process applicable to standard assessment of the Unit(s) or Group Award and/or Centre type concerned.

Evidence to support prior learning decisions needs to ensure the currency of the learner's knowledge, skills and achievement within the context of the Unit(s) being assessed. The certification body should not set a general time limit for the currency of evidence of prior learning or experience. Currency is likely to differ depending on the sector. Supplementary questioning may

be undertaken by assessors in order to ascertain the currency of a learner's prior learning or experience

#### **4.3.1 Data Protection (Certification Bodies)**

All certification bodies must have a Data Protection Policy in place, in line with National and EU legislation.

The policy should be designed in such a way that it outlines the practices to protect individuals from having their personal data or privacy exploited or abused. The onus is placed on the certification body, and individuals processing such data, to ensure that the processing is conducted in a fair, lawful and secure way.

The policy should therefore ensure that all certification body employees, appointees, nominees, agency workers and secondees comply with the requirements of the requirements of the policy.

### **4.4 Public Information**

The certification body is required to provide specific information to the public (ISO/IEC 17024, Clause 7.2). At a minimum, policies should ensure the following information is public and available:

- Status of certified persons
- Scope of certifications
- Policies affecting applicants, candidates, and certified persons
- Requirements to earn and maintain certification
- Examination blueprint (content outline)
- Commitment to impartiality
- Complaints and appeals processes.

### **4.5 Committees: Term Limits**

To prevent the appearance of conflict of interest and cronyism, good governance practices limit the terms committee members may serve (ISO/IEC 17024 Clause 4.3.8). The certification body should have a policy and a procedure for the term limits of members of its various committees. In setting policy to guide term limits, the following should be considered:

- The number of committee members
- The length of service
- Rotation schedule (one third, one half, etc.)
- Representation of interested parties
- Subject matter expertise represented
- Ability to recruit and retain committee members.



## 4.6 Guidance on Advertising

The certification body needs to ensure that all marketing for the certification is accurate and not misleading (ISO/IEC 17024, Clause 7.2.4). Each certification body is required to have a policy for its commitment to ensuring that all marketing materials are accurate and not misleading.

## 4.7 Impartiality

The certification body must have a policy and a procedure to manage impartiality and to ensure that the certification activities are conducted objectively (ISO/IEC 17024, Clause 4.3.1). A policy on commitment to impartiality should, at a minimum, ensure that the body:

- Acts impartially and fairly in relation to applicants, candidates, and certified persons.
- Does not restrict certification on the grounds of undue financial or other limiting conditions, such as membership in an association or group.
- Does not unfairly impede or inhibit access to certification by applicants and candidates.
- Does not allow commercial, financial, or other pressures to compromise impartiality.
- Makes decisions according to policies and procedures.
- Makes public policies and procedures affecting applicants, candidates, and certified persons.
- Understands, identifies, and minimize threats to impartiality.
- Understands and minimizes threats associated with related bodies.

## 4.8 Certification Bodies: Organizational Structure

The certification body must be organised to safeguard impartiality (ISO/IEC 17024, Clause 5.1.1). This means that if it has a related body (one that is linked to the certification body by common ownership, in whole or part, and has common members of the board of directors, contractual arrangements, common names, common staff, informal understanding, or other means, such that the related body has a vested interest in any certification decision or may be able to influence the process) (ISO/IEC 17024, Clause 4.3.6 note 3), there should be specific measures in place to reduce or eliminate any potential risk to impartiality. This could include administrative, physical, and financial separations between the certification body and the related body. This is particularly important if the related body provides educational or training services.

The certification body is required to document its organizational structure, describing the duties, responsibilities, and authorities of management, certification personnel, and any committee (ISO/IEC 17024, Clause 5.1.2). When the certification body is a defined part of a legal entity, documentation of the organizational structure shall include the line of authority and the relationship to other parts within the same legal entity (ISO/IEC 17024, Clause 5.1.2).

The certification body should be aware that offering training and certification within the same legal entity constitutes a threat to impartiality, and a certification body that is part of a legal entity offering training must complete additional activities to ensure the impartiality of the certification program (ISO/IEC 17024, Clause 5.2.3, a through e). This is discussed in section 2.7.

There must be a designated individual, or team of individuals, who will be responsible for:

- Policies and procedures relating to the operation of the certification body

- Implementation of the policies and procedures
- Finances of the certification body
- Resources for certification activities
- Development and maintenance of the certification schemes
- Assessment activities
- Decisions on certification, including the granting maintaining, recertifying, expanding, reducing, suspending or withdrawing of the certification
- Contractual arrangements

The structure of a certification body will vary greatly, however, generally the key functions within the certification process can be identified below;

Key functions within the Certification Process include:

- a. Assessment Centre management.
- b. Assessment/Evaluation delivery and management.
- c. Internal Quality Assurance (IQA) of the assessment process (assessment centre)
- d. External Quality Assurance (EQA) of the assessment process (certification body)
- e. Certification Decision making.
- f. Certification body management.

**Assessment Centre (AC) Management**

The AC shall appoint a designated person(s) responsible for:

- Facilitation, implementation and maintenance of the assessment process.
- Appointment and training of all examination personnel.
- Safety, by ensuring that assessment areas and assessments are carried out safely following the completion of a safety risk evaluation of the assessment equipment and location of practical tasks.
- Ensuring a documented quality system is established, implemented and maintained to the certification body (CB) requirements.
- Arrangements to ensure that internal audits, management reviews and corrective actions are adequate, implemented and verified.
- Arrangement of contract review (candidate application).
- Maintaining impartiality of the assessment process.
- Ensure storage, receipt and availability of assessment documentation.
- Ensuring submission of all completed examination documentation as required by the CB (this may be via hard copy postal methods or Electronic transfer).
- Compile statistical data related to the assessment process.
- Management of complaints including records and their resolution.
- Reporting on performance of the quality system (including any preventative actions identified) to the AC's senior management for review and as a basis for improving the CB approved examination processes as applied to the AC.

#### 4.8.1 Certification Decision

The decision for certification of candidates can only be made by the CB and must be based solely on the information gathered during the assessment process as part of its quality



assurance procedures. The CB shall describe the mechanism it has in place to carry out the certification decision.

Appointment, and competences and requirements of the decision maker:

- i. Personnel who make certification decisions shall be employed, trained, familiar with the requirements of the scheme, ISO 17024 and authorised by the CB.
- iii. Personnel who make certification decisions shall have sufficient knowledge of and experience with the certification process to determine if the certification requirements have been met.
- vi. Those personnel involved in making the certification decision shall not have participated in any examination, internal quality assurance procedures or assessment/training of the candidate.
- viii. Be qualified with an appropriate qualification as required by the CB or educated to secondary level.

#### ***4.9 Certification and Training: Separating***

Offering training and certification within the same legal entity constitutes a threat to impartiality. Therefore, a certification body that also offers training must ensure that:

- It continually identifies and documents the real and perceived threats to impartiality and has a documented process to demonstrate how it minimizes those threats (ISO/IEC 17024, Clause 5.2.3.a).
- All processes it performs are independent of training to ensure that confidentiality, information security, and impartiality are not compromised (ISO/IEC 17024, Clause 5.2.3.b).
- It does not give the impression that use of both services would provide any advantage to the applicant (ISO/IEC 17024, Clause 5.2.3.c).
- Candidates are not required to complete the certification body's own education or training as an exclusive prerequisite if an alternative education or training with an equivalent outcome is available (ISO/IEC 17024, Clause 5.2.3.d).
- Personnel do not serve as examiners of specific candidates they have trained for a period of 2 years from the date of conclusion of the training activities (ISO/IEC 17024, Clause 5.2.3.e).
- The certification body's completion of training is a requirement of a certification scheme, but the recognition or approval of any training by the certification body may not compromise impartiality or reduce the assessment and certification requirements (ISO/IEC 17024, Clause 5.2.1). If education or training is used as a prerequisite for certification, the certification body must provide information about the various available training and education, but the certification body may not imply that certification would be simpler, easier, or less expensive if any specified education or training services are used (ISO/IEC 17024, Clause 5.2.2).

The certification body should develop a policy for the separation of certification and training that should, at a minimum, address:

- Whether the certification body requires applicants or candidates to take a particular training or education program as a prerequisite or as a condition of earning or maintaining certification.

- If there is an educational requirement, that the certification body does not endorse any source of education or training as a guarantee of success on the certification examination.
- If the certification body offers its own training, that use of its own training does not provide any advantage over any other available training.

#### ***4.10 Certification Personnel: Hiring***

The certification body is required to ensure that all personnel associated with the certification process:

- Have the necessary competence to perform certification functions (ISO/IEC 17024, Clause 6.1.2).
- Have competence for the specific tasks and responsibilities as defined in the competence criteria for their positions (ISO/IEC 17024, Clause 6.1.3).
- Receive documented instructions describing their duties and responsibilities (ISO/IEC 17024, Clause 6.1.4).
- Have up-to-date personnel records that contain relevant information such as qualifications, training, experience, professional affiliations, professional status, competence, and known conflicts of interest (ISO/IEC 17024, Clause 6.1.6).
- Agree to keep confidential all information obtained or created during the certification activities (ISO/IEC 17024, Clause 6.1.6).

#### ***4.11 Certification Bodies: Composition and Qualifications of Members***

The certification body should have policies that outline how the various committee members and members of the organizational structure are selected. The certification body should have a procedure to ensure committee members and organizational structure members are selected according to this policy. The policies and procedures should ensure that all stakeholders are represented (ISO/IEC 17024, Clause 4.3.8), that members of the various committees are competent (ISO/IEC 17024, Clause 6.1.3), and that committee members have information about their duties and responsibilities (ISO/IEC 17024, Clause 6.1.5). The policies should answer the following questions:

- What are the qualifications of the members of the various committees and organizational structure?
- How are these individuals selected?
- What type of term do they serve?
- What are their qualifications?

A policy on the composition of the governing body should, at a minimum, include information about:

- Number—enough to represent interested parties and stakeholder categories affected by the certification, as well as the breadth, depth, and scope of certification
- Geography
- Industry
- Certified persons.

A policy on the qualifications of members of the governing body should, at a minimum, address:

- Work experience
- Subject matter expertise
- Years in industry
- Certified persons
- Representation of interested parties
- Other characteristics of the certification and industry it represents.

#### **4.12 Outsourced Services**

The certification body must have legally enforceable agreements covering the arrangements, including confidentiality and conflict of interest, with any body that provides outsourced work related to the certification process (ISO/IEC 17024, Clause 6.3.1). Additionally, the certification body shall:

- Take full responsibility for all outsourced work (ISO/IEC 17024, Clause 6.3.2.a).
- Ensure that any body conducting outsourced work is competent and complies with the relevant clauses of ISO/IEC 17024 (ISO/IEC 17024, Clause 6.3.2.b).
- Assess and monitor the performance of any bodies conducting outsourced work (ISO/IEC 17024, Clause 6.3.2.c).
- Ensure that all work undertaken by outsourced parties is conducted in line with the certification body's documented procedures (ISO/IEC 17024, Clause 6.3.2.d)
- Maintain an accurate and up to date list of outsourced parties (ISO/IEC 17024, Clause 6.3.2.e)

#### **4.13 Confidentiality**

The certification body is required to have policies and procedures for confidentiality and the release of information (ISO/IEC 17024, Clause 6.1.6 and 7.3). A policy on confidentiality should, at a minimum, address:

- All information obtained in the process of prosecuting the objectives of the certification program (confidential information extends to information obtained about applicants, candidates, and certified persons, including financial information, test scores, investigations, and sanctions)
- Denials of eligibility to qualify for certification and maintain certification (recertification)
- Intellectual property—examination questions, other resources
- Policy should state that the certification status (date awarded, date expiration) is public information and will be disclosed.

#### **4.14 Records and Recordkeeping**

The certification body should have a policy and a procedure for recordkeeping. The certification body shall maintain records, including records that confirm the status of a certified person (ISO/IEC 17024, Clause 7.1.1). The records should demonstrate that the certification or recertification process has been effectively fulfilled, particularly with respect to application forms, assessment reports (which include examination records), and other documents (ISO/IEC 17024, Clause 7.1.1).

The policy for maintaining information such as candidate records should include:

- Authorization of persons in the certification office to do so and to access information throughout the individual's life cycle of certification
- Confidentiality requirements
- Access to confidential information by persons such as those who work in information technology and accounting to support certification activities
- Description of information kept on individuals
- Medium for collecting information
- Length of time for record retention
- Information on the format and location of records being retained
- Timeline for record destruction.

The policy for access to records should, at a minimum, address:

- Personnel with access
- Conditions permitting access to unauthorized personnel (legal request)
- Authorization to remove records (legal requirement)
- Training of certification personnel handling records.

A policy for records of volunteers or SMEs participating in the certification program should:

- Ensure that electronic or hard copy files are kept on volunteers.
- Include signed confidentiality and non-disclosure agreements
- Include records of qualification such as bios and resumes
- Include other requirements such as the volunteer code of conduct
- Include information about destruction of record
- Ensure confidentiality.
- Access to records.

A policy for record storage should address:

- Secure storage for electronic and hard copy records
- Authorized and restricted access to records (personnel, passwords, etc.)
- Requirement for personnel accessing records to sign non-disclosure agreements.

#### **4.15 Record Destruction**

The certification body should have a policy and a procedure for record destruction. Records of applicants, candidates, and certified persons shall be disposed of in such a way as to ensure the integrity of the process and the confidentiality of the information (ISO/IEC 17024, Clause 7.1.2). The records of applicants, candidates, and certified persons should be kept for an appropriate period of time (as defined by the certification body), for a minimum of one full certification cycle, or as required by recognition arrangements, contractual, legal, or other obligations (ISO/IEC 17024, Clause 7.1.2).

A policy for destroying records and certification documents should address:

- Type of destruction (papers shredding; deletion of electronic records)
- Security of records during destruction
- Conditions for destroying records (record is no longer required)
- Evidence of destruction

- Destruction time period.

#### **4.16 Record Retention**

The certification body should have policies and procedures for retention of all records. This policy should address:

- Corporate records (annual reports, minutes)
- Legal documents (contracts, copyright and trademark registrations)
- Certification (correspondence with certified persons, applications, score reports, disciplinary proceedings, job/task analysis studies, item and examination statistics, qualifications of SMEs, examination forms, non-disclosure agreements, etc.).

#### **4.17 Security**

The certification body must design and use procedures that ensure the security of examinations and related information at all times. These procedures should include a statement of potential consequences for violations of security procedures. Security issues addressed should include:

- Signed confidentiality agreements with item writers and test development committee members that explain their responsibilities for security of the materials
- Allowed and prohibited acts and materials (including access and removal)
- Handling of materials and equipment
- Adequate staffing for mode of testing, number of candidates, and room size and configuration
- Training and orientation of staff
- Directions to candidates
- Responding to candidate questions (including avoidance of coaching and interfering)
- Monitoring of test administration (including prevention of candidate collaboration) for standardization and security
- Reporting on security during test administration
- Accounting of materials
- Monitoring the field for the unauthorized reproduction or distribution of secure test content that may compromise the integrity of the test.

Security during test administration must be adequate to ensure that no activity or event will lead to an unfair advantage or disadvantage for any candidate. It must also ensure that no compromises of test materials or equipment will lead to future unfairness or adverse implications for test reliability and validity.

The certification body is required to develop and document policies and procedures to ensure security throughout the entire certification process (ISO/IEC 17024, Clause 7.4.1). Security policies and procedures should consider:

- The location of secure materials (transportation, electronic delivery, disposal, storage, examination centres, etc.) (ISO/IEC 17024, Clause 7.4.2.a)
- The nature of the secure materials (electronic, paper, test equipment, etc.) (ISO/IEC 17024, Clause 7.4.2.b)
- The steps in the examination process (development, administration, results reporting, etc.) (ISO/IEC 17024, Clause 7.4.2.c)



- The threats arising from repeated use of examination materials (e.g., examination item exposure and overexposure) (ISO/IEC 17024, Clause 7.4.2.d).

The certification body should also require candidates to sign confidentiality and non-disclosure agreements indicating their commitment not to repeat confidential examination information (ISO/IEC 17024, Clause 7.4.3.a).

The certification body is also required to consider:

- Requiring an examination proctor to be present at examination administrations (ISO/IEC 17024, Clause 7.4.3.b)
- Verifying the identity of the candidate (ISO/IEC 17024, Clause 7.4.3.c)
- Ensuring that candidates do not bring unauthorized materials into the examination or otherwise gain access to unauthorized examination materials (ISO/IEC 17024, Clause 7.4.3.d and 7.4.3.e)
- Monitoring examination results for indications of cheating (ISO/IEC 17024, Clause 7.4.3.f).

Security policies and procedures developed by the certification body should cover:

- Access to confidential records
- Certification body staff
- Application processing
- Computer access, data storage, and backup
- Facilities (office, test sites)
- SMEs participating in passing score studies
- SMEs writing or reviewing test questions
- Test administration
- Test development and maintenance
- Test materials.

The certification body should keep in mind that all test data are secure and that all candidate data obtained during the certification process are considered confidential or secure (ISO/IEC 17024, Clause 7.3.3).

#### **4.18 Signatures (Electronic If Applicable)**

The certification body must obtain signatures from candidates and personnel (ISO/IEC 17024, Clauses 6.1.7, 9.1.2, and 9.7.2). However, ISO/IEC 17024 allows these signatures to be electronic or, where permitted by law, to use other methods. This means that any acknowledgment, including checked boxes on an online application, should be acceptable for use as a signature.

#### **4.19 Site Access**

The certification body should have a policy and a procedure pertaining to access to all secured areas for visitors and others. The policy should cover the headquarters of the certification body where secured data are stored, the site where examination development activities occur, and examination sites (ISO/IEC 17024, Clause 7.4).

#### ***4.20 Code of Ethics and Disciplinary Procedures***

The certification scheme is required to include a code of conduct/code of ethics where appropriate (ISO/IEC 17024, Clause 8.2.f) and the disciplinary criteria (criteria for suspension or withdrawal) (ISO/IEC 17024, Clause 8.3.d). The certification body implementing the scheme will be required to develop policies and procedures related to the code of ethics and how it will sanction the certified person who violates the code of ethics.

#### ***4.21 Application Process for Candidates***

The certification body shall have an application for certification and shall require all applicants for certification to complete the application (ISO/IEC 17024, Clause 9.1.2).

At a minimum, the application shall contain:

- Information required to identify the candidate
- The scope of the desired certification
- A statement that the applicant agrees to comply with the certification requirements and to supply any information needed for the assessment
- Any supporting information to demonstrate objectively compliance with the scheme prerequisites
- Notice to the applicant of his or her opportunity to declare, within reason, a request for accommodation of special needs.

The application may take one of many forms, including an electronic application, a written statement, or a paper application. Simple acknowledgment of the provisions above may be considered an application.

The certification body should establish a policy for applying for certification that addresses, at a minimum:

- Means of application, electronic, mail, fax
- Payment options such as credit card, cheque.

The certification body should establish through a policy how it will communicate with the applicant or candidate. The policy for corresponding with applicants should include:

- Medium of communication—electronic, written
- Name and contact information of contact person in certification office.

#### ***4.22 Applications: Procedures for Processing***

The certification body must have a policy and a procedure for processing applications. Upon initial application, the certification body must make available to the applicant an overview of the certification process in accordance with the certification scheme (ISO/IEC 17024, Clause 9.1.1).

The certification body shall require an application that is signed by the applicant (where permitted by law, other methods, including electronic signatures, are acceptable), which include:

- Information required to identify the applicant (name, address, etc.) (ISO/IEC 17024, Clause 9.1.2.a)
- The scope of the desired certification (ISO/IEC 17024, Clause 9.1.2.b)



- A statement that the applicant agrees to comply with the certification requirements and to supply any information needed for the assessment (ISO/IEC 17024, Clause 9.1.2.c)
- Any supporting information to objectively demonstrate compliance with the scheme prerequisites (ISO/IEC 17024, Clause 9.1.2.d)
- Notice to the applicant of his or her opportunity to make a reasonable request for accommodation of special needs (ISO/IEC 17024, Clause 9.1.2.e).

A policy for the application process also needs to include the following information:

- Application timelines and fees
- How the application is to be completed and what information the applicant must supply along with the application (e.g., evidence of eligibility)
- The certification body's internal processes for receiving, processing, and reviewing the application.
- The responsible party (committee, etc.) within the certification body for reviewing the application and eligibility evidence.
- The certification body's process for rejecting an application.

#### **4.23 Special Needs Accommodations**

The certification body needs to have a policy and a procedure for dealing with candidates who have special needs. This begins with the application for accommodation. How is it made available to special needs candidates and how do they know where to get it? Once the candidate obtains the application, what information is collected and what happens to that information? Typically, a certification body requires evidence of the special needs from a licensed medical doctor, social worker, psychologist, or other pertinent professional. The certification body must specify and verify the special needs request. The certification body should have both a policy on special needs and a procedure for special needs candidates (ISO/IEC 17024, Clauses 9.1.2.e and 9.2.5).

#### **4.24 Subject Matter Experts: Qualifications**

Guidance on Subject Matter Experts: Qualifications

The certification body typically uses SMEs to conduct various aspects of the certification program, including:

- Item writing
- Item review
- Passing score studies
- Performance examination scoring
- Post-examination item analysis review and candidate comment reviews
- Eligibility review
- Appeals and disciplinary processes.

The certification body should have descriptions of the job duties for the various aspects of the certification program requiring the use of SMEs and qualification descriptions for the various jobs. Qualifications usually include holding the certification as well as educational and experience.

#### 4.25 Threat Analyses

The certification body is required to conduct a threat analysis (ISO/IEC 17024, Clause 4.3.6 and 4.3.7). A policy on conducting an analysis of threats to impartiality should include:

- List of relationships that can threaten impartiality with potential area(s) of risk (self-interest, products and services, involvement of interested parties, governance structure, resources, contracts, etc.)
- Timing of conduct of threat analysis—annually or as circumstances warrant
- Metrics for assessing risk of threat
- Timeline to implement corrective actions to minimize a threat.

#### 4.26 Assessment Methods

The certification body must maintain a number of documents associated with the development and maintenance of the assessment to ensure the fairness, validity, and reliability of the examination process (ISO/IEC 17024, Clauses 9.2 and 9.3). These would include the following documented descriptions of:

- How the assessment method corresponds to the competence requirements
- How the assessment methods and test items correspond to the examination format and information about how the certification body ensures that all scheme requirements are objectively and systematically verified with documented evidence to confirm the candidate's competence (ISO/IEC 17024, Clause 9.2.3).
- How the type of assessment (multiple-choice, short answer, performance examination, etc.) was selected and how it relates to the competence requirements.
- How the assessment items were developed and by whom, the qualifications persons involved in assessment material, and when the assessment items were developed.
- How the test items were reviewed, who reviewed them, the qualifications of the item reviewers, how the reviewers were trained, and when the review activities occurred.
- How the examination items are stored and what information is stored with them.
- How the examination forms are developed and verified.
- How the passing score was established (passing score or cut score study).
- How the certification body ensures that alternate examination forms are equivalent in content and difficulty (comparability of results of each single examination (ISO/IEC 17024, Clause 9.3.1).
- How various examination and assessment forms are standardised.
- How the examinations are administered, including administration policies and procedures, to ensure a consistent examination administration (ISO/IEC 17024, Clauses 9.3.2 and 9.3.3). Normally an examination administration manual and examination administration procedures are components of these documents.
- How the examinations are scored, including information and feedback content provided to candidates.
- How the certification body ensures that the assessment methods are fair and valid.
- How statistical examination data are collected and reviewed at defined intervals to confirm the fairness, validity, reliability, and general performance of each examination and how all identified deficiencies corrected (ISO/IEC 17024, Clause 9.3.5). Policies and procedures should also be written about when an examination or test item is flagged as poorly performing and what corrective actions the certification body takes when it learns it has a bad examination item and/or examination administration.

#### **4.27 Assessment Methods: Changes**

Any time any changes are made to the assessment methods, including the addition or deletion of content on the examination, or to the eligibility requirements, the candidates and the public must be notified as to how the certification body will ensure that certified persons comply with the changes (ISO/IEC 17024, Clause 9.2.2). The certification body should have a policy and a procedure for notifying candidates and the public about changes to the certification scheme and the assessment methods.

#### **4.28 Candidate and Certification Information: Releasing**

The certification body must make public information, upon request, about whether an individual holds a current, valid certification and the scope of that certification (ISO/IEC 17024, Clause 7.2.1). However, the certification body shall ensure that information obtained during the certification process is kept confidential (ISO/IEC 17024, Clause 7.3.2 and 7.3.3) and may not be disclosed without the written consent of the certified person (ISO/IEC 17024, Clause 7.3.3). Therefore, the certification body should have a policy and a procedure for the confidentiality and release of candidate information.

The policy for information about candidates and certified persons should include:

- Status of certified persons—name and certification status for verification purposes
- Sanctions imposed on certified persons—code of ethics
- Written requests to release confidential information (legal representative, employer).

#### **4.29 Certification Status: Publication**

The certification body is required to verify and provide information, upon request, as to whether an individual holds a current, valid certification and the scope of that certification (ISO/IEC 17024, Clause 7.2.1). Upon request means that the individual requesting the information may have to call, send an email, and/or provide information such as the certified person's name for the certification body to verify certification. The certification body is not required to publish a list of certified persons, although many choose to do so and there is no prohibition against doing so. Also, when certification has been suspended or withdrawn, the certification body is not required to publish a list of individuals who have had their certifications suspended or withdrawn. Instead, the certification body may simply state, upon request, that the individual in question does not hold a current, valid certification.

#### **4.30 Certificate, Logo, and Marks**

Guidance on Certificate, Logo, and Marks

The certification body must document the conditions for use of a certification mark or logo and must appropriately manage the rights for usage of the mark and logo (ISO/IEC 17024, Clause 9.7.1). Part of this responsibility includes having certified persons sign an agreement that they will:

- Comply with the relevant sections of the certification scheme (ISO/IEC 17024, Clause 9.7.2.a).

- Make claims about certification only with respect to the scope for which they have been granted certification (ISO/IEC 17024, Clause 9.7.2.b).
- Not use the certification in such a manner as to bring the certification body into disrepute, and not make any misleading or unauthorized statement about the certification (ISO/IEC 17024, Clause 9.7.2.c).
- Discontinue the use of all claims to certification upon suspension or withdrawal of certification and return any certificates issued by the certification body (ISO/IEC 17024, Clause 9.7.2.d).
- Not use the certificate in a misleading manner (ISO/IEC 17024, Clause 9.7.2.e).

The certification body is required to address any misuse of its certification mark or logo (ISO/IEC 17024, Clause 9.7.3). To do this, the certification body should have a policy and a procedure for the use of its certificates, logos, and marks. The policy for use of certificate, logo, and marks should, at a minimum, address:

- Protection of intellectual property (registration of marks, logos, and property)
- Authorized and appropriate use of marks
- Monitoring and enforcing appropriate use of property
- Authority of certification governing body over certificates, logos and marks).

#### ***4.31 Certificates: Information Contained***

Information on the certificate should, at a minimum, contain:

- Name of the certified person (ISO/IEC 17024, Clause 9.4.8.a)
- A unique identification (ISO/IEC 17024, Clause 9.4.8.b)
- Name of the certification body (ISO/IEC 17024, Clause 9.4.8.c)
- Reference to the certification scheme, standard, or other relevant documents, including issue date if relevant (ISO/IEC 17024, Clause 9.4.8.d)
- Scope of certification, including any applicable validity conditions and limitations (ISO/IEC 17024, Clause 9.4.8.e)
- Dates of certification award and expiration (ISO/IEC 17024, Clause 9.4.8.f)
- Signature of authorized individual.

The policy for issuing certificates upon successful completion of recertification requirements should include:

- The same as with the original certificate but with new effective and expiration dates
- Conditions associated with awarding of new certificate; e.g., continued approved use of certification logos and marks.

Certificates must be designed to reduce the risks of counterfeiting (ISO/IEC 17024, Clause 9.4.9).

#### ***4.32 Certification Process: Information Available to Candidates***

Candidates have a right to know the conditions under which they are applying for a certification. Upon application, the certification body is required to make available to the applicant an overview of the certification process in accordance with the certification scheme (ISO/IEC 17024, Clause 9.1.1). The certification body should make available to candidates the following information:

- The scope of the certification and a general description of the certification process (ISO/IEC 17024, Clauses 7.2.2 and 9.1.1)
- All the prerequisites of the certification scheme (ISO/IEC 17024, Clause 7.2.3)
- Information about the application process
- Information about the applicant's rights (ISO/IEC 17024, Clause 9.1.1)
- Information about the examination administration (where it will be, what to bring to be admitted, what not to bring to the examination, appropriate attire for the examination, etc.)
- Information about the content of the examination (content outline or examination blueprint)
- Information about the examination (type of examination, sample items, length of examination, time given to take the examination, etc.)
- Examination administration policies (rules about the examination administration, security and cheating issues, late arrivals, failure to show, cancellations and rescheduling policies, providing comments and feedback to candidates)
- Information about the length of time before score reports will be issued
- Information about scoring, score reports, passing and failing the examination, challenging examination results, requesting rescoring and hand scores, re-examination information, and indeterminate scores
- Information about certification status, including length of certification validity, use of the certification mark and logos, replacement certificates, code of ethics and misconduct, discipline (including suspension and withdrawal of certification), and recertification requirements
- Information about the duties of the certified person (ISO/IEC 17024, Clause 9.1.1)
- Information about the appeals and grievance process
- Information about the application for accommodation of special needs
- Information about the fees to be certified (ISO/IEC 17024, Clause 9.1.1).

Most of this information is usually available in a candidate handbook or bulletin.

#### ***4.33 Certification Process: Information Available to the Public***

The certification body is required to make some types of information available to the public. This would include:

- Information about whether an individual holds a current, valid certification and the scope of that certification (ISO/IEC 17024, Clause 7.2.1)
- Information about the scope of the certification and a general description of the certification process (ISO/IEC 17024, Clause 7.2.2)
- All the prerequisites of the certification scheme (ISO/IEC 17024, Clause 7.2.3).

Information about the validity of a certification may be made after a request, but information about the scope and prerequisites must be publicly available without request. That means placing this information on a website or otherwise making it available to interested parties without request.

#### ***4.34 Certification Scheme: Verify Certified Persons Comply With Changes***

When the certification scheme undergoes changes that require additional assessment, the certification body must document and make publicly accessible without request the specific



methods and mechanisms required to verify that the certified person has complied with the changed requirements (ISO/IEC 17024, Clause 9.2.2). Recertification may be used to achieve this verification (ISO/IEC 17024, Clause 9.2.2 note). This means that if new tasks or knowledge and skills are identified during qualification update, the certification body will be expected to ensure that the certified person is competent in the new tasks, knowledge, and skills. However, this verification may be done at recertification. Competence in new content may be verified by offering an examination of the new content, a re-examination of all content, or even continuing professional development specifically in the new content. The certification body must develop policies and procedures for how it will verify that the certified person will remain competent after new content is added to the certification scheme.

### ***4.35 Cheating***

The certification body must proactively safeguard the security of the examination and should have a policy and a procedure that address cheating. Consideration should be given to consequences and penalties for cheating, including invalidation of test scores, cancellation of examination administration, and legal remedies. The certification body must be prepared to act on the consequences stated in its policies. Candidates should be informed in the candidate handbook, or other information about the program, of the consequences of cheating. This is also done in the interest of due process and fairness to candidates (ISO/IEC 17024 Clause 7.4.1).

### ***4.36 Fraud and Evidence of Cheating***

The certification body is required to prevent fraudulent examination practices by:

- a) Requiring candidates to sign a non-disclosure agreement or other agreement indicating their commitment not to release confidential examination materials or participate in fraudulent test-taking practices.
- b) Requiring an invigilator (examination proctor) to be present.
- c) Confirming the identity of the candidates.
- d) Implementing procedures to prevent any unauthorized aids from being brought into the examination area.
- e) Preventing candidates from gaining access to unauthorized aids during the examination.
- f) Monitoring examination results for indications of cheating (ISO/IEC 17024, Clause 7.4.3).

Items a and c have been previously addressed. Item b means that the certification body cannot have un-proctored examinations or examinations where the candidate simply goes online and takes an examination without being observed. It is still debatable whether “remote proctoring” is acceptable. Items d and e require examination proctors to ensure that no notes or other aids are brought into the room and that the walls and desks are clear, so no hints, clues, or notes can be used during the examination. Finally, item f means that the certification body must run regular cheat detection software or otherwise monitor the results (i.e., look for changes in the difficulty of a test item, look for repeating response strings from candidates, look for abnormal pass rates in a candidate population).

### ***4.37 Complaints and Disciplinary Issues***

The certification body is required to have a complaints and disciplinary process (ISO/IEC 17024, Clause 9.9). The policy for complaints and discipline should, at a minimum, address:

- Enforcement of the code of ethics
- Requirements for submission of a complaint—must be signed and linked to a violation of the code of ethics
- Timeline for processing complaints
- Authority to investigate complaints, make determinations, and impose sanctions on certified persons, including suspending and withdrawing certification.
- The policy on administrative complaints should include:
- Applicable circumstances for lodging complaints of an administrative nature (usually related to certification services)
- Procedures and timeline for processing an administrative complaint
- Notification of outcomes
- Conditions for appeal of outcomes.

Disciplinary actions should be based on the scheme and appropriate for the compliant or violation.

#### ***4.38 Appeals of Adverse Decisions***

The certification body must have policies and a procedure for appeals of any adverse decisions made against the candidate or certified person (ISO/IEC 17024, Clause 9.8). The appeals policy should include all adverse decisions, including denial of eligibility to earn the certification, denial of recertification to maintain certification, any sanctions resulting from an investigation of a violation of the Code of Ethics, or any other condition for awarding and maintaining certification. At a minimum, the policy should include:

- Conditions for requesting an appeal
- Procedures for pursuing an appeal
- Deadlines
- Supporting documentation
- Procedures for conducting an appeal
- Administrative processes.

#### ***4.39 Appeals of Denial of Special Needs***

The certification body should have a policy and a procedure for appeals when applications for special accommodations are denied. The procedure should allow a candidate to present additional information about his or her application for special accommodation to a neutral party (appeals committee) for review and decision.

#### ***4.40 Conflict of Interest Statements and Non-Disclosure Agreements***

The certification body is required to have a policy and a procedure for conflict of interest (ISO/IEC 17014, Clauses 4.3.7, 6.1.7, and 6.2.1). A policy on conflict of interest should be clearly stated and upheld by every member governing the certification program. At a minimum, the policy should address each member's:

- Refraining from using his or her position, or the knowledge gained therefrom, in such a manner that is a conflict of interest between the interests of the organization or any of its affiliates and his or her personal interests



- Placing the interest of the organization foremost in any dealings
- Continuing to comply with the requirements of this policy
- Agreement to sign a conflict of interest form at the time of service.

#### ***4.41 Due Process***

The certification body must have a policy and a procedure to ensure that an applicant, candidate, or certified person's due process rights are not violated. This would include the right to have appeals or complaints results in a constructive, impartial, and timely manner (ISO/IEC 17024, Clauses 9.8.3 and 9.9.3). The policy for due process should, at a minimum, address:

- Any adverse decision (to deny access to certification, maintain certification, or sanction a certified person for a violation of the code of ethics)
- Right to request an appeal of an adverse decision
- Procedure for requesting an appeal
- Procedure and timeline for processing an appeal
- Involvement of independent, impartial persons during appeals
- Notification of outcomes to parties
- Confidentiality of parties.

#### ***4.42 Eligibility and Denial of Eligibility***

Eligibility requirements normally are defined by the scheme. The certification body is required to implement the eligibility procedure and to ensure that all candidates meet the eligibility requirements (ISO/IEC 17024, Clauses 9.2.1 and 9.2.3). The certification body should therefore have a policy for eligibility. The policy for qualification requirements should include:

- Eligibility requirements such as education, work experience, and other factors to qualify for certification and to take the certification examination
- Documentation requirements as evidence to show the applicant's achievement of eligibility requirements
- Timelines or deadlines for submission
- Timeline to review applications.

#### ***4.43 Certification: Awarding***

The certification body should develop a policy that describes the conditions under which it will award certification. At a minimum, the policy for awarding certification should address:

- Requirements to earn certification, such as passing the examination, meeting eligibility requirements, passing background checks, signing the code of ethics, and other conditions for awarding certification
- Matters that do not affect awarding certification, such as completion of specific training programs, membership, and other conditions external to the purposes of certification.

#### ***4.44 Certification: Length of Time for Which It Is Awarded***

The scheme should specify the period of validity for one certification cycle. However, the certification body needs to create a policy and a procedure based on the certification validity period

identified in the scheme. At a minimum, the policy for the period of time certification is awarded for should include:

- The number of years for which certification is awarded
- Any conditions for maintaining certification such as completion of recertification requirements, maintenance fees, continuous compliance with the code of ethics, background check, or other conditions.

#### ***4.45 Certification: Not Restricting or Limiting Conditions***

The certification body should not restrict participation in certification on the grounds of undue financial or other limiting conditions such as membership in an association or group (ISO/IEC 17024, Clause 4.3.4). This means that the certification body may NOT:

- Require membership in its own or any other organization as a condition or prerequisite for applying for certification.
- Create eligibility requirements that are intended to restrict entry into the certification (e.g., requiring an advanced degree when there is no reason for the degree).
- Require excessive expenses for certification significantly above what may be reasonable (e.g. €10,000 certification application fee) when the only reason is to restrict entry to certification to the very rich.
- Require candidates to complete the certification body's own education or training as an exclusive prerequisite when alternative education or training with an equivalent outcome is available (ISO/IEC 17024, Clause 5.2.3.d).

#### ***4.46 Certification: Suspending, Withdrawing, and Reducing***

The certification scheme must include the criteria for suspending and withdrawing certification (ISO/IEC 17024, Clause 8.3.d) or reducing certification (changing the scope or level of certification) (ISO/IEC 17024, Clause 8.3.e). However, the certification body must implement the scheme and therefore must have a policy and documentation for suspension or withdrawal of the certification or reduction in the scope of certification, which includes subsequent actions by the certification body (ISO/IEC 17024, Clause 9.5.1). If the certification body suspends a certification, failure on the part of the suspended certified person to resolve the issue that resulted in suspension in a time established by the certification body, shall result in the withdrawal of the certification or the reduction of the scope of certification (ISO/IEC 17024, Clause 9.5.2). The certification body must have enforceable agreements with the certified person to ensure that in the event of suspension of certification, the certified person refrains from further promotion of the certification while it is suspended (ISO/IEC 17024, Clause 9.5.3). Similarly, the certification body must have enforceable agreements with the certified person to ensure that in the event of withdrawal of certification, the certified person refrains from use of all references to a certified status (ISO/IEC 17024, Clause 9.5.4).

#### ***4.47 Examinations: Administration Services—Ensure These Meet Certification Needs***

The certification body must have a policy and a procedure to evaluate all its outsourced services, in particular any that pertain to examination development or administration (ISO/IEC 17024, Clause 6.3.2). To ensure that outsourced examination administration meets the certification body's needs, a regular evaluation must be conducted on the outsourced test administration services regardless of whether the services are paper and pencil or computer-based testing. At least annually, the certification body should conduct an evaluation by reviewing any and all incidents that occurred at the test site, any comments or complaints by any candidates, and a review of the contract and performance of test administration staff to contract specifications. Checklists are useful for these occasions.

#### ***4.48 Examinations: Admission***

The certification body must have a policy and a procedure for how candidates are admitted to the examination sites, particularly the identification process. Most certification bodies require two forms of photo identification, one of which must be government issued (driver's license, passport, etc.) (ISO/IEC 17024, Clause 7.4.3.c).

#### ***4.49 Examinations: Candidates Agree To Keep Materials Secure***

Candidates often do not know that by revealing test questions they are affecting the security of the examination. Therefore, the certification body must require candidates to agree not to disclose examination materials (ISO/IEC 17024, Clause 7.4.3.a). The certification body should have a policy and a procedure for obtaining agreement from candidates about examination materials.

#### ***4.50 Examinations: Data and Frequency of Data Review***

The certification body must have appropriate methodologies and procedures (e.g., collecting and maintaining statistical data) to reaffirm, at justified defined intervals, the fairness, validity, reliability, and general performance of each examination (ISO/IEC 17024, Clause 9.5.3). This means that the certification body should have a policy or procedure that specifies how often it will conduct an examination and item analysis. Normally the frequency (justified defined intervals) is based on the candidate numbers and the frequency the examination is given. The certification body must have a policy that specifies the type of examination data that it will review and the frequency of that review.

A statistical analysis of test results should be conducted for each administrative cycle of each test. There are multiple definitions of what constitutes an administrative cycle, based on the format of the test (e.g., linear versus adaptive), its defensible shelf life, and other considerations.

The certification body should describe the procedures by which, and the personnel by whom, the analysis is performed, reviewed, and used in the scoring and test development processes. The certification body should provide sample output of the test analysis and describe how test statistics

are monitored for historical and comparability purposes. Finally, the context of this information should include an explanation of the administration cycle for which the analyses are conducted.

#### ***4.51 Examinations: Languages in Which They Are Given***

The certification body is not required to offer examinations in languages other than English; however, if it does, it must ensure that translated examinations are equivalent in content. This involves documented evidence that the translated items are the same as the English items. One common method for doing this is to have an examination translated and then translated back into the original language and to compare the results with the original.

Where examiners are used, they should be fluent in both the written and oral language of the examination; however, in some circumstances an interpreter or translator may be used. If an interpreter or translator is used, the certification body must have a procedure in place to ensure that the translation does not affect the validity of the examination (ISO/IEC 17024, Clause 6.2.2.1.d).

#### ***4.52 Examinations: Maintenance***

The certification body is required to keep the contents of its assessment process in line with the certification scheme (ISO/IEC 17024, Clause 9.2.1). Any time the scheme changes, the certification body must ensure that certified persons comply with the changed requirements (ISO/IEC 17024, Clause 9.2.2) and that all scheme requirements are objectively and systematically verified with documented evidence to confirm the candidate's competence (ISO/IEC 17024, Clause 9.2.3). Therefore, the certification body should have a policy and a procedure to update the examination based on the following:

- Changes to the scheme
- Identification of deficiencies.

#### ***4.53 Examinations: Staff and Volunteer Personnel Taking***

The certification body is required to develop a policy and a procedure to maintain impartiality when the certification body certifies a person it employs (either for pay or voluntarily) (ISO/IEC 17024, Clause 6.1.8). There are numerous ways to do this. One way is to ensure that staff and volunteers are not exposed to the entire item bank or all examination forms and to allow staff and volunteers to sit only for examinations to which they have not been exposed.

#### ***4.54 Fees and Refunds***

The certification body should have a policy and a procedure for fees and refunds. Fee payment is normally a prerequisite to obtaining certification, and the certification body must make information about the prerequisites of the certification scheme publicly available without request (ISO/IEC 17024, Clause 7.2.2). At a minimum, the policy on fees should include:

- Application fees
- Maintenance or renewal fees
- Penalties for cancelling examinations or not showing

- Fees to replace a certificate
- Administrative fees
- Late fees.

At a minimum, the policy on refunds should include:

- Terms and conditions for issuing a refund
- Processes subject to refund
- Circumstances in which refunds are not permitted
- Timelines to issue refunds.

#### ***4.55 Fiduciary Responsibility***

The certification body should develop a policy for fiduciary responsibility that should, at a minimum:

- Protect the assets entrusted to the body.
- Safeguard the public's trust by administering a credible credential.
- Protect the intellectual property and reputation of the certification program.
- Exercise due diligence and good stewardship in performing duties.

#### ***4.56 Internal Audit Procedures***

The certification body is required to have a procedure for internal audits to verify it fulfils the requirements of ISO/IEC 17024 and that the management system is effectively implemented and maintained (ISO/IEC 17024, Clause 10.2.6.1). Internal audits are required to be performed at least once every 12 months (ISO/IEC 17024, Clause 10.2.6.3). The certification body must ensure that:

- Internal audits are conducted by competent personnel knowledgeable in the certification process, auditing, and the requirements of ISO/IEC 17024.
- Auditors do not audit their own work.
- Opportunities for improvement are identified (ISO/IEC 17024, Clause 10.2.6.4).

#### ***4.57 Management System Components***

The certification body must document that it has an operational management system that includes document control, management review of inputs and outputs, internal audits, and corrective and preventative actions (ISO/IEC 17024, Clause 10). ISO 9000 is one example of a quality management system. For each of these areas, the certification body should have a policy and a procedure for the management system and how it operates within the certification body. Numerous consultants, books, and guidance documents are available to help certification bodies develop their management systems.

#### ***4.58 Meeting Minutes and Recordkeeping***

The Certification Body should have a document control system to control documents (internal and external) as well as records (ISO/IEC 17024, Clauses 10.2.3 and 10.2.4). The document control system should include a procedure to ensure that the most recent and up-to-date document is in use (ISO/IEC 17024, Clauses 10.2.3.d and 10.2.3.g).



All meetings should be documented. The certification body should have a policy for documenting all meetings pertaining to certification. Meeting documentation should include:

- Description of type of meeting
- Identification of meeting participation
- Medium for participation (face-to-face or electronic)
- Penalties (such as dismissal) for failure to participate
- Agenda used during the meeting
- Resolutions or actions items arising from the meeting
- Parties responsible for action items
- Date and time of next meeting.

#### **4.59 Non-Discrimination**

The certification body should have a policy on non-discrimination that should include, at a minimum:

- What is prescribed by law
- Scope—all individuals involved in the certification program, including paid personnel, volunteer personnel, applicants, candidates, and certified persons.

#### **4.60 Pass Point (Cut Score): Setting**

The certification body must design examinations to ensure the validity of the pass/fail decisions (ISO/IEC 17024, Clause 9.3.1). This means that setting the passing score or cut point on the examination cannot be arbitrary. Establishing passing scores requires systematic procedures to be applied that consider the defined performance level definition of the “minimally qualified certified person” and the difficulty of the examination. Before the final passing scores are established, they are evaluated to ensure that the available validity evidence supports their use for the intended purpose of distinguishing the “minimally qualified candidates” from those who are not yet qualified.

#### **4.61 Personnel Records Maintenance**

The certification body is required to maintain up-to-date personnel records, including relevant information (e.g., qualifications, training, experience, professional affiliations, professional status, competence, and known conflicts of interest) (ISO/IEC 17024, Clause 6.1.5). At a minimum, the records of certification personnel should include:

- Job title
- Job description
- Qualifications for the job
- Documentation, such as a resume, of qualifications
- Training in job requirements
- Signed non-disclosure agreements, confidentiality agreements, and other forms.

Personnel is defined as “Individuals, internal or external, of the certification body carrying out activities for the certification body” (ISO/IEC 17024, Clause 3.12). According to this definition, even volunteers carrying out activities for the certification body would be considered “personnel” and the certification body should have records for these individuals.



#### 4.62 Proctoring

The certification body must conduct all test administrations in the same manner or in a manner that can be demonstrated to provide the same opportunity for all candidates. If a test is administered in more than one format or mode, the scores produced under all formats and modes must be demonstrably comparable.

Policies for the implications of testing irregularities and for accommodations, modifications, and adaptations, are essential. Guidelines are required for understanding the most likely effects of irregularities, accommodations, or changes upon the interpretation of resultant scores.

The certification body should provide specifications detailing and standardizing the conditions under which tests are administered. Such specifications should address, at a minimum:

- Characteristics of the physical environment
- Necessary materials and equipment
- Arrangement of candidates
- Arrangement, calibration, and preparation of equipment
- Training (including instructions and responsibilities) of individuals who administer and proctor the test
- Timing of the test
- Maintenance of security
- Monitoring for cheating.

Standardized administration of tests helps to ensure consistency and fairness. Without standardized administration and evidence that test administrations are comparable, many potential sources of error could result that would adversely affect reliability and validity.

The certification body must have documented descriptions of the responsibilities and qualifications of personnel involved in the assessment process, including proctors (ISO/IEC 17024, Clause 6.2.3.1). These documented descriptions should include:

- Information about how to administer the examination
- Information about how to receive and return examination materials (including electronic materials for computer-based examinations)
- Information about the requirements for the physical examination location (seating, lighting, etc.)
- Information about the verification of candidate identifications
- Information about what to do for various incidents, including late arrivals, suspected cheating, power outages and other emergencies, and candidate illness.
- Scripts to be read by examination staff or projected on computer screens to ensure standardized examination administrations.

The certification body should evaluate the qualifications of proctors and examination administrators and ensure they sign conflict of interest agreements (ISO/IEC 17024, Clause 6.2.3.2) and confidentiality agreements.

Instructions for proctoring examinations (both paper and computer-based examinations) are usually provided in an examination administration manual.

#### 4.63 Recertification Process

The certification body must implement the recertification program as defined by the certification scheme. Therefore, the certification body should have a policy and a procedure for recertification. The policy for maintaining certification or recertification should include:

- Conditions for maintaining certification, such as completion of recertification requirements, continuous compliance with code of ethics, and other conditions such as background check
- Specific recertification requirements based on competencies, such as continuing education credits and work experience
- Applicable fees
- Documentation requirements (evidence to support attainment of recertification requirements)
- Timelines for submission of recertification documents
- Circumstances such as military duty or illness for which an extension can be granted.

#### ***4.64 Recertification Requirements, Including Audits***

The certification body shall review the applications for recertification. The certification body should have a policy and a procedure for reviewing the recertification applications, which should include:

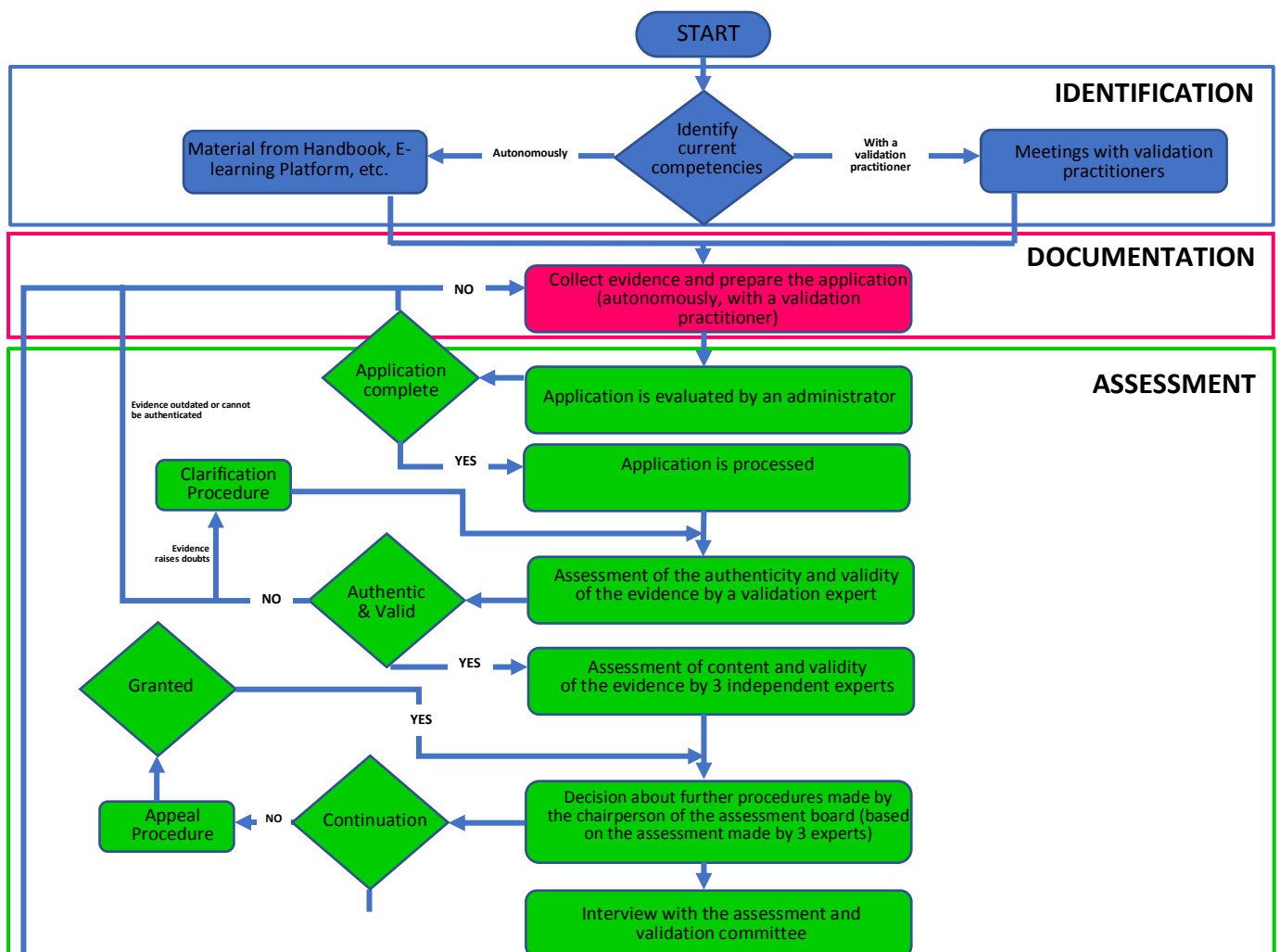
- Completeness of application, including supporting documentation
- Notification of audits (a percentage)
- Timeline to review and process applications.

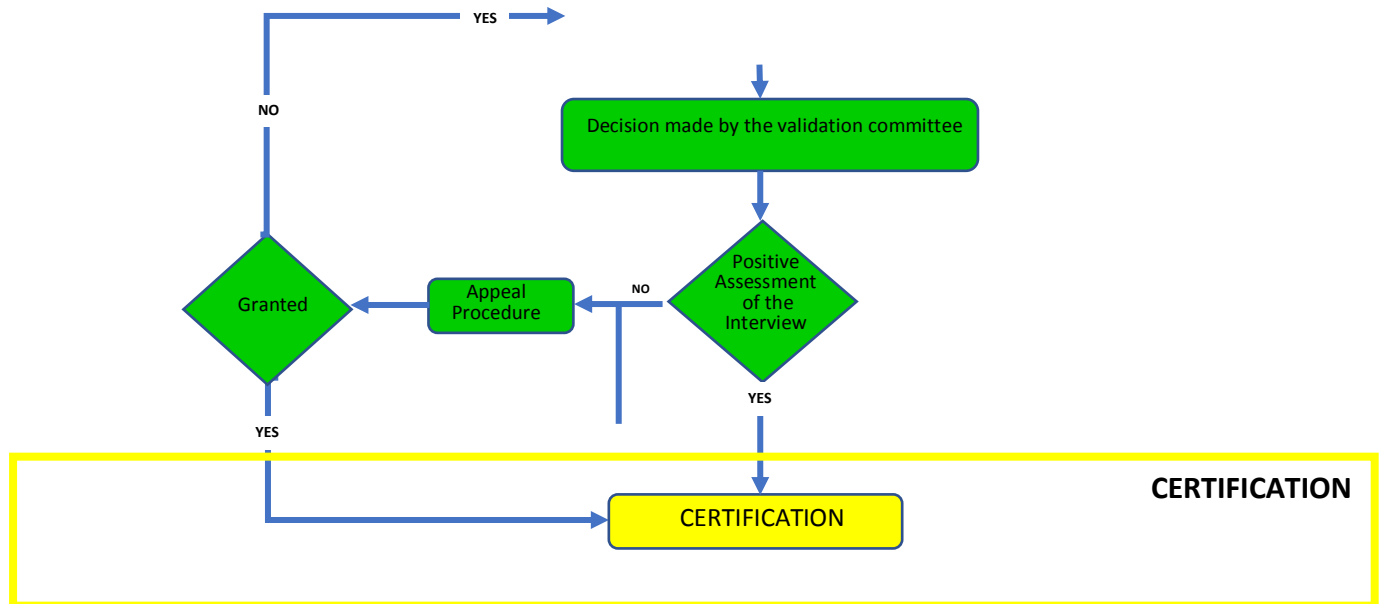
The policy for auditing recertification applications should include:

- The percentage audited (10%, 20%, etc.)
- Notification of audit (electronic, written)
- Information to be provided if audited; e.g., certificates of completion of continuing education courses, verification of employment.
- Penalties such as suspension of certification associated with failure to comply with audit.

## 5 ANNEXES

### 5.1 Annex 1: Validation & Certification flow chart of the EcoMentor qualification





## 5.2 Annex 2: Assessment and Examination outline – Knowledge Assessment

Learning outcomes	Assessment criteria
1. Understands the role of mentor in the learning process	<p><b><i>In your own words:</i></b></p> <p>1.1. Define the purpose of workplace mentoring</p> <p>1.2. Define as good and poor practice examples of both the effective and ineffective characteristics of a mentor</p> <p>1.3. Define as good and poor practice examples of both effective and ineffective characteristics of a learner</p> <p>1.4. Describe the benefits of workplace mentoring for learner and mentor</p> <p>1.5. Describe basic ethical principles in the mentor-learner relationship</p>
2. Understands the principles of adult education and VET	<p><b><i>In your own words:</i></b></p> <p>2.1. Describe adult learning styles and learning capabilities and how these impact on the mentor-learner relationship</p> <p>2.2. Describe vocational education principles</p> <p>2.3. Describe principles of formulating learning outcomes and their elaboration</p>
3. Is able to identify which types of learning would be most effective for the learner	<p><b><i>In your own words:</i></b></p> <p>3.1. Identify the correct learning method relevant to the agreed learning goals and identified learning needs of the learner</p> <p>3.2. Identify the correct activating methods and techniques taking into account the learner's age, profession, experience, etc.</p>

Learning outcomes	Assessment criteria
4. Is able to agree the rules and boundaries of mentoring relationship	<p><b><i>In your own words:</i></b></p> <p>4.1. Identify any barriers to mentoring within the organisation (individual, team, operational, organisational)</p> <p>4.2. Identify the organisational structure, culture and - within that context - the role of mentoring process</p> <p>4.3. Analyse the rationale for, and the characteristics of, effective contracting within mentoring</p>

## Module 2 (M1\_JM\_02)

Learning outcomes	Assessment criteria
1. Understands the methods of identification of learner's needs, learning objectives and goals	<p><b><i>In your own words:</i></b></p> <p>1.1. Describe aspects of occupational development which can be served through workplace mentoring</p> <p>1.2. Describe theories and techniques of objectives and goals setting</p> <p>1.3. Describe nature of effective occupational learning goals that match organisational development goals</p>
2. Understands the methods used to develop and agree with the learner plans and to implement individual learning programmes	<p><b><i>In your own words:</i></b></p> <p>2.1. Describe approaches to planning workplace mentoring</p> <p>2.2. Describe an effective workplace mentoring plan (learning outcomes, activities, information and resources)</p> <p>2.3. Describe development outcomes that can be attained through workplace mentoring</p> <p>2.4. Describe the methods and practices in agreeing the learning outcomes</p> <p>2.5. Describe the measures of success in attaining the outcomes</p>

Learning outcomes	Assessment criteria
3. Understands the ways of preparing and agreeing on the contractual arrangements with the learner according to organisational policies and procedures	<b><i>In your own words:</i></b>  3.1. Explain the organisational rules regarding the mentoring contract 3.2. Explain what a workplace mentoring contract should include to ensure ethical mentoring relationship 3.3. Describe the legal and organisational requirements relating to data protection, privacy, and confidentiality
4. Is able to prepare for the mentoring process in terms of time and resources	<b><i>In your own words:</i></b>  4.1. Determine the resources needed for mentoring process implementation

## Module 3 (M2\_JM\_03)

Learning outcomes	Assessment criteria
1. Understands the organisational policies and procedures relevant to the mentoring process	<b><i>In your own words:</i></b>  1.1. Describe organisational structure, culture and the role of mentoring process 1.2. Describe the policies and procedures for recording interactions with learners



Learning outcomes	Assessment criteria
2. Understands the operational context, working methods, resources and relevant personnel of the employing organisation	<p><b><i>In your own words:</i></b></p> <p>2.1. Identify and describe operational context, working methods and resources and relevant personnel of the employing organisation</p> <p>2.2. Explain the procedures for contacting appropriate personnel when needed</p>
3. Understands the key personnel and support available from the learner's school, training organisation	<p><b><i>In your own words:</i></b></p> <p>3.1. Describe the principles and rules of cooperation between learner, mentor, employing organisation and learner's school or training organisation</p> <p>3.2. Describe the role of each stakeholder in the mentoring programme</p>
4. Understands the common factors and barriers affecting the mentoring process in the workplace	<p><b><i>In your own words:</i></b></p> <p>4.1. Describe factors and barriers affecting the mentoring process in the workplace (individual, operational, organisational)</p> <p>4.2. Describe strategies for minimising or overcoming barriers affecting the mentoring process in the workplace</p>
5. Is able to explain the term 'corporate culture' in general to the learner and to describe the specifics of corporate culture of the specific company or organisation	<p><b><i>In your own words:</i></b></p> <p>5.1. Define the term "corporate culture"</p> <p>5.2. Describe how the values of a corporate culture influence the ethical standards within a corporation, as well as managerial behaviour</p>

Module 4 (M2\_JM\_04)

Learning outcomes	Assessment criteria
1. Understands the principles, approaches, and methods of mentoring in the context of implementation of successful work-based learning programmes	<p><b><i>In your own words:</i></b></p> <p>1.1. Describe the key concepts, principles and practices of mentoring</p> <p>1.2. Identify and describe mentoring models and tools in the context of implementation of successful work-based learning programmes</p> <p>1.3. Describe the stages of the mentoring process</p> <p>1.4. Describe methods for developing successful work-based learning programmes</p> <p>1.5. Describe active listening techniques and common barriers to them</p> <p>1.6. Describe strategies for preparing the relationship between a mentor and the learner</p>
2. Understands the conflict resolution theories, methods, and models that can be used during mentoring process	<p><b><i>In your own words:</i></b></p> <p>2.1. Describe what is meant by the term “conflict resolution”</p> <p>2.2. Describe the relevant theories, methods and models for conflict resolution</p>

## Module 5 (M2\_JM\_05)

Learning outcomes	Assessment criteria
1. Understands the principles and methods for assessing and monitoring learner’s progress and providing feedback	<p><b><i>In your own words:</i></b></p> <p>1.1. Describe methods for assessing and monitoring learner’s progress</p> <p>1.2. Describe basic principles for providing constructive feedback to the learner</p> <p>1.3. Describe methods for providing constructive feedback</p>

Learning outcomes	Assessment criteria
2. Understands the methods and tools of review for mentoring process	<b><i>In your own words:</i></b> 2.1. Describe methods and tools for reviewing the workplace mentoring process 2.2. Describe the factors to be include in the assessment of the effectiveness of mentoring outcomes
3. Understands the organisational requirements for recording and reporting the interactions, outcomes, and progress of the workplace mentoring process	<b><i>In your own words:</i></b> 3.1. Describe the organisational policies and procedures for reviewing, assessing and reporting the workplace mentoring process

## Module 6 (M3\_JM\_06)

Learning outcomes	Assessment criteria
1. Understands the principles of summative evaluation of work-based mentoring process	<b><i>In your own words:</i></b> 1.1. Describe the principles of summative evaluation of work-based mentoring programmes
2. Understands the principles for documentation and presentation of evaluation results	<b><i>In your own words:</i></b> 2.1. Describe the principles for documentation and presentation of evaluation results

## Module 7 (M3\_JM\_07)

Learning outcomes	Assessment criteria
1. Understands the methods and tools for evaluating the mentoring process	<p><b><i>In your own words:</i></b></p> <p>1.1. Describe methods and tools used in evaluation the mentoring process</p> <p>1.2. Define the measures of success when evaluating the mentoring process</p>
2. Understands the methods to analyse the evaluation results as well as their use in order to identify areas for improvement	<p><b><i>In your own words:</i></b></p> <p>2.1. Describe the methods to analyse the evaluation results</p> <p>2.2. Describe ways of using outcomes of evaluation for identifying the possible improvement to mentoring process</p> <p>2.3. Describe the ways of proposing changes to organisational processes, programmes and procedures to improve mentoring process</p>

### 5.3 Annex 3: Assessment and Examination outline – Practical Assessment

Module 2 (M1\_JM\_02)

Learning outcomes (the learner)	Assessment criteria (the learner can)
4. Is able to prepare for the mentoring process in terms of time and resources	<p><b>The candidate must be observed by an independent evaluator conducting the mentoring process. The key elements which will be assessed during this process are;</b></p> <p>4.2. Ensure that all the resources required to support the mentoring programme (including qualified/experienced personnel) are available</p> <p>4.3. Prepare the workplace for mentoring activities</p>
5. Is able to identify and accommodate learner's objectives and needs	<p><b>The candidate must be observed by an independent evaluator conducting the mentoring process. The key elements which will be assessed during this process are;</b></p> <p>5.1. Recognise interests and expectations of the learner</p> <p>5.2. Assess the strengths, weaknesses and behavioural style of the learner</p> <p>5.3. Identify and agree learner's goals</p>
6. Is able to plan workplace mentoring process	<p><b>The candidate must be observed by an independent evaluator conducting the mentoring process. The key elements which will be assessed during this process are;</b></p> <p>6.1. Agree on the rules and boundaries of the mentoring relationship and define how they will be recognised and maintained</p> <p>6.2. Create and agree with the learner a mentoring agreement (contract) according to organisational procedures</p> <p>6.3. Agree learning programme with the learner and where relevant with the key people in the organisation or external stakeholders (school/training organisation)</p> <p>6.4. Plan activities and tasks to ensure that the agreed learning objectives will be met, agreeing with the learner appropriate measures for success for the review and evaluation</p> <p>6.5. Develop the mentoring plan and agree it with the learner (learning activities, resources, timeline)</p>

## Module 3 (M2\_JM\_03)

Learning outcomes (the learner)	Assessment criteria (the learner can)
5. Is able to explain the term 'corporate culture' in general to the learner and to describe the specifics of corporate culture of the specific company or organisation	<p><b>The candidate must be observed by an independent evaluator conducting the mentoring process. The key elements which will be assessed during this process are;</b></p> <p>5.3. Present the specifics of organisation's corporate culture to the learner</p>
6. Is able to uncover problems that may arise regarding the learner's job satisfaction or mentoring process taking into account the input from the learner and help in their solution	<p><b>The candidate must be observed by an independent evaluator conducting the mentoring process. The key elements which will be assessed during this process are;</b></p> <p>6.1. Identify any difficulties that learners may have with the programme, work tasks or organisation</p> <p>6.2. Propose suitable remedial actions to address these difficulties</p> <p>6.3. Agree suitable remedial action with the learner and with others as necessary</p>

## Module 4 (M2\_JM\_04)

Learning outcomes (the learner)	Assessment criteria (the learner can)
3. Is able to use mentoring techniques and methods for achieving learner's learning outcomes and goals	<p><b>The candidate must be observed by an independent evaluator conducting the mentoring process. The key elements which will be assessed during this process are;</b></p> <p>3.1. Demonstrate the use of mentoring models and tools</p> <p>3.2. Apply effective communication with learner using practical communication tools and techniques</p> <p>3.3. Take appropriate actions to support the learner to accomplish their goals</p>



Learning outcomes (the learner)	Assessment criteria (the learner can)
4. Is able to work with learner to undertake the learning	<p><b>The candidate must be observed by an independent evaluator conducting the mentoring process. The key elements which will be assessed during this process are;</b></p> <p>4.1. Establish an effective working relationship and clear communication with the learner, enabling progress to be reviewed and any concerns to be raised at regular intervals 4.2. Create and provide sufficient learning opportunities to ensure that the learner is supported to meet the objectives of the learning programme</p>
5. Is able to ensure that the learner has an adequate ongoing level of support by workplace management and colleagues for learning and where relevant settling into the organization	<p><b>The candidate must be observed by an independent evaluator conducting the mentoring process. The key elements which will be assessed during this process are;</b></p> <p>5.1. Explain to the learner their place in the organization, whom they will be supervised by and to whom they should relate with questions and problems 5.2. Provide introductions to learner to other staff members and to the designated person to who the learner can go to for help or information 5.3. Ensure that the learner receives an orientation/induction (background of the organization, works the organization is currently involved in, location of supplies, equipment, and facilities)</p>

## Module 5 (M2\_JM\_05)

Learning outcomes (the learner)	Assessment criteria (the learner can)
4. Is able to agree and record the interactions, outcomes, and progress towards objectives and goals with the learner according to organisational requirements	<p><b>The candidate must be observed by an independent evaluator conducting the mentoring process. The key elements which will be assessed during this process are;</b></p> <p>4.1. Identify suitable methods for recording interactions, outcomes, and progress towards objectives and goals 4.2. Assess the appropriateness of selected method of recording interactions, outcomes, and progress towards objectives and goals 4.3. Agree with the learner selected method of recording interactions, outcomes, and progress towards objectives and goals 4.4. Apply selected method of recording interactions, outcomes, and progress towards objectives and goals 4.5. Maintain the record of interactions, outcomes, and progress according to organisational procedures</p>

Learning outcomes (the learner)	Assessment criteria (the learner can)
5. Is able to review the learning progress with the learner at regular intervals	<p><b>The candidate must be observed by an independent evaluator conducting the mentoring process. The key elements which will be assessed during this process are;</b></p> <p>5.1. Develop a plan to measure learner's expected outcomes and progress</p> <p>5.2. Apply appropriate tools and techniques in certain intervals to review the learner's progress</p> <p>5.3. Help the learner to reflect on their performance and actions</p> <p>5.4. Revise with the learner and where necessary modify objectives and goals</p> <p>5.5. Design supportive measures that aids learning progress</p>

## Module 6 (M3\_JM\_06)

Learning outcomes (the learner)	Assessment criteria (the learner can)
3. Is able to prepare for the evaluation of the workplace mentoring process	<p><b>The candidate must be observed by an independent evaluator conducting the mentoring process. The key elements which will be assessed during this process are;</b></p> <p>3.1. Develop a plan to measure the workplace mentoring program process progress</p> <p>3.2. Identify stakeholders relevant to the evaluation of workplace mentoring</p> <p>3.3. Gain feedback on workplace mentoring from the learner and relevant stakeholders</p> <p>3.4. Use evaluation tools and techniques to evaluate the appropriateness of the workplace in providing relevant learning opportunities and support</p>
4. Is able to ensure that results of evaluation of the work-based mentoring process are taken into account for the improvement of the mentoring programme and organisational procedures	<p><b>The candidate must be observed by an independent evaluator conducting the mentoring process. The key elements which will be assessed during this process are;</b></p> <p>4.1. Create the process to reflect and disseminate the evaluation results</p> <p>4.2. Agree a methodology of reporting conclusions from the evaluation process</p> <p>4.3. Identify stakeholders who are responsible for workplace mentoring and who should be informed about the results of the evaluation process</p>

## Module 7 (M3\_JM\_07)

Learning outcomes (the learner)	Assessment criteria (the learner can)
3. Is able to evaluate the mentoring process in terms of its effectiveness in meeting learning objectives	<p><b>The candidate must be observed by an independent evaluator conducting the mentoring process. The key elements which will be assessed during this process are;</b></p> <p>3.1. Identify the scope of evaluation of the mentoring process</p> <p>3.2. Select a method to evaluate the learner's individual programme in terms of its effectiveness in meeting learning objectives</p> <p>3.3. Apply the method to evaluate the learner's individual programme in terms of its effectiveness in meeting learning objectives</p> <p>3.4. Assess the usefulness of the method to evaluate the learner's individual programme in terms of its effectiveness in meeting learning objectives</p>
4. Is able to document and present evaluation results	<p><b>The candidate must be observed by an independent evaluator conducting the mentoring process. The key elements which will be assessed during this process are;</b></p> <p>4.1. Record agreed outcomes of evaluation according to the organisational requirements</p> <p>4.2. Present the evaluation results</p> <p>4.3. Propose changes to mentoring process and organisational procedures</p>
5. Is able to draw useful conclusions from the evaluation process, identify areas for improvement and take appropriate actions	<p><b>The candidate must be observed by an independent evaluator conducting the mentoring process. The key elements which will be assessed during this process are;</b></p> <p>5.1. Agree a methodology of reporting conclusions from the evaluation process</p> <p>5.2. Reflect with stakeholders on the strengths and potential improvement of the mentoring process</p> <p>5.3. Make recommendations for improvement</p> <p>5.4. Agree with stakeholders' objectives and goals for improving the mentoring process</p>

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