**Assessment-based Certificate Program Accreditation: Self-Assessment Checklist**

This self-assessment tool is intended to provide guidance on your program’s readiness to submit an application for accreditation to the ICE 1100:2019 standard. This standard is for an assessment-based certificate program, not a certificate of attendance or participation, or a certification program (see [defining features document and ICE 1100:2019 Standard](http://www.credentialingexcellence.org/AccreditationServices/CertificateProgramAccreditation/tabid/392/Default.aspx) for more details on the distinction).

The checklist below is intended to identify any gaps in documentation or evidence that should be addressed *before* an application is submitted in order to demonstrate the rigor and completeness needed to achieve accreditation. The checklist provides a short summary of the actual standard; for the complete standard, please review the [ICE 1100:2019 Standard](http://www.credentialingexcellence.org/AccreditationServices/CertificateProgramAccreditation/tabid/392/Default.aspx).

Responses in the “working toward” or “don’t currently have” columns indicate that a program does not yet meet all of the standards. The Assessment-Based Certificate Accreditation Council (ACAC) strongly advises that you postpone application submission until *all* of the criteria below are self-assessed as “have evidence to support this criterion.” Note that the term evidence refers to documentation; guidance on required and suggested documentation is provided at the end of each section.

Please note that a *self-assessment* of “having evidence to support this criterion” does not guarantee accreditation. Once you believe that the evidence is complete and you submit an application for accreditation, the ACAC will review each application to the intent of the Standard to determine compliance and render an accreditation decision.

| **Self-Assessment Criteria** | **Have evidence to support this criterion** | **Working towards completion of evidence** | **Don’t currently have evidence** |
| --- | --- | --- | --- |
| **Standard 1: Scope** | | | |
| Program/Provider does the following: |  |  |  |
| 1. Provides instruction and training to aid participants in acquiring specific knowledge, skills, and/or competencies |  |  |  |
| 1. Evaluates participants’ accomplishment of the intended learning outcomes |  |  |  |
| 1. Issues a certificate only to those meeting the standard for the assessment |  |  |  |
| **Required Documentation:** executive summary of the program purpose, scope, goals, and target audience. | | | |
| **Suggested Documentation:** marketing brochures; participant handbook; website screenshot; etc. | | | |
| **Standard 2: Organizational Structure, Responsibilities, and Resources** | | | |
| 1. Is a recognized legal entity or part of a legal entity |  |  |  |
| 1. Is solely responsible for:  * Defining purpose and scope * Defining prerequisites * Defining criteria for successful completion of the program * Issuing certificates |  |  |  |
| 1. Program requirements are confined specifically to matters related to the purpose and scope |  |  |  |
| 1. Is financially viable to carry out operations effectively |  |  |  |
| 1. Employs or contracts with a sufficient number of qualified individuals to operate the program and documents the qualifications, competencies, and responsibilities of their roles |  |  |  |
| 1. Uses qualified subject-matter experts (SMEs) for the content and assessment design, delivery, and maintenance and documents their qualifications, competencies, and responsibilities of their roles |  |  |  |
| 1. Monitors, assesses, and assures the quality of all activities performed on behalf of the program in accordance with documented procedures |  |  |  |
| 1. Conducts periodic evaluations to assess the quality of the program and inform future improvements |  |  |  |
| **Required documentation:** articles of incorporation or memorandum of understanding (MOU); specific policies and procedures; two years of program-related financial statements (e.g., balance sheets, income statements, and any tax filings – if in existence less than two years, the program should provide available financial statements and projections of likely revenues and expenses based on a reasonable, good-faith estimate for the next two years); organizational chart; position descriptions; documentation of qualifications (CVs, resumes, bios); reports related to evaluations and their frequency, and evidence of actions taken/outcomes | | | |
| **Suggested documentation:** website; marketing materials; program requirements publicly available to candidates; committee structures; descriptions of contractual work with vendors | | | |
| **Standard 3: Policies and Procedures** | | | |
| 1. Has defined policies and procedures for the:   - qualifications required of all employees and/or volunteers involved in development, delivery, and maintenance of the education and assessment  - procedures used to develop and maintain the education/training;  - methods used to deliver the education/training;  - procedures used to develop and maintain assessment(s);  - methods used to conduct assessment(s);  - types of assessment(s) and procedures used to evaluate or score participants;  - types of feedback provided to participants; and  - documented quality |  |  |  |
| 1. Makes **publicly available** *(publicly available is defined as “easily available and accessible, with or without request, to all relevant stakeholders”*):  * purpose and scope of program * target audience * eligibility/prerequisites * description of the education/training and intended learning outcomes * a brief description of the assessment(s) * qualifications of the facilitators/instructors and SMEs * rationale for certificate expiration date and the specific time period for which the certificate is valid (if applicable) * changes to program requirements and effective date of change * explanation of what inferences can properly be made regarding individuals who hold the certificate * policies and procedures for complaints or appeals |  |  |  |
| 1. Has defined policies and procedures in the event that a participant:  * misrepresents identity or eligibility status * gives or receives unauthorized assistance on the assessment * claims, states, or implies that the certificate is a professional certification * engages in other violations of policies |  |  |  |
| 1. Has fair and equitable policies and procedures that comply with applicable legal requirements |  |  |  |
| **Required documentation:** policies and procedures or standard operating procedures for program; participant handbook or webpage which is **publicly available**; policies and procedures for accommodation requests | | | |
| **Standard 4: Management of Program Records, Documents and Materials** | | | |
| 1. Identifies title(s) of the individual(s) responsible for record maintenance |  |  |  |
| 1. Maintains records of participants, their performance, successful certificate holders, and key measurement characteristics of the assessment |  |  |  |
| 1. Has procedures for reviewing, approving, updating, and ensuring the currency of records, documents, and/or other materials**,** maintaining confidentiality, and following appropriate guidelines for retention and disposal |  |  |  |
| **Required documentation:** roles and responsibilities document; template or redacted version of records/rosters of certificate holders and current participants; standard operating procedures; document retention policy; confidentiality forms; information release forms; security policies and procedures for staff and vendors | | | |
| **Suggested documentation:** quality assurance report | | | |
| **Standard 5: Development, Delivery, and Maintenance of Education/Training** | | | |
| 1. Has a process for conducting a needs analysis that is consistent with the program’s purpose/scope |  |  |  |
| 1. Education/training, intended learning outcomes, and assessment development are based on the needs analysis reflected in design document |  |  |  |
| 1. Education/training employs generally-accepted instructional design methods relevant to the content, scope, and delivery method and developed by qualified individuals, including SMEs |  |  |  |
| 1. Education/training is delivered using a method consistent with the purpose/scope of the program and delivered by qualified instructors (if applicable) |  |  |  |
| 1. Content, design, and delivery of the education/training is reviewed periodically (at least annually) by qualified individuals, including SMEs |  |  |  |
| 1. Has a process for evaluating and providing feedback on the performance of instructors/facilitators (if applicable) |  |  |  |
| **Required documentation:** description of process used to conduct the needs analysis; results of the needs analysis; design document with content outline; content development and/or selection process including the roles of your qualified individuals and SMEs in development; qualifications for program facilitators/instructors; facilitator's guide/manual (if applicable); memo or report that documents a content review took place and any modifications identified were made; documentation of how SMEs and qualified individuals were involved in the update/revision process; samples of program evaluations (and if applicable, instructor evaluations), process for providing feedback to facilitators/instructors (if applicable); content examples such as modules (e.g., print or e-learning) | | | |
| **Suggested documentation:** train-the-trainer materials | | | |
| **Standard 6: Development, Conduct and Evaluation of Assessments** | | | |
| 1. Conducts summative assessment(s) to measure participants’ accomplishment of the program’s intended learning outcomes |  |  |  |
| 1. Uses validation methodology appropriate for the stakes of the program and assessment |  |  |  |
| 1. Establishes and documents the linkage between the assessment and the intended learning outcomes |  |  |  |
| 1. Provides evidence establishing that assessment type and the content of the assessment are appropriate for measuring participants’ performance |  |  |  |
| 1. Ensures that the method by which the assessment is conducted is consistent with the stated purpose and stakes of the program and, if applicable, ensures that assessments conducted in different environments (e.g., classroom vs. online) are comparable |  |  |  |
| 1. Uses a generally accepted method for setting the passing standard that students must attain to be awarded a certificate |  |  |  |
| 1. Documents all rules, methods, and/or rubrics for evaluating and/or scoring participant performance on all types of assessment (both objective and subjective) |  |  |  |
| 1. Uses rating scales, rubrics, or checklists to evaluate participant performance on subjective assessments (e.g., essays, portfolios, demonstrations) and documents procedures for training raters in the use of the scales, calibrating raters, evaluating the consistency of ratings, and resolving scoring differences (if applicable) |  |  |  |
| 1. Ensures that different versions of the assessment are comparable with respect to content coverage and level of difficulty (if applicable) |  |  |  |
| 1. Reports the results of the assessment(s) to participants in a manner appropriate for the type of assessment and consistent with the purpose and stakes of the assessment and provides guidance to participants and stakeholders on interpreting and using the assessment results |  |  |  |
| 1. Prepares annual reports of assessment results summarizing the overall performance of the program and its participants |  |  |  |
| 1. Regularly assesses the effectiveness of the assessment(s), including information relating to the difficulty of individual items or components of the assessment |  |  |  |
| **Required evidence:**  Copy of the assessment(s) that includes linkage to intended learning outcomes; documentation of method used to link assessment items to ILOs; rationale for the proportion of assessment items linked to each ILO; documentation of item types and why they are appropriate; documentation of changes to program content that have resulted in review and associated changes to assessment (if applicable); documentation and rationale for conditions under which the assessment is administered; documentation of method used to identify the passing standard; documentation of the methods used for evaluating or scoring participants’ performance on all types of assessment(s), including rating or scoring scales, rubrics or other guidelines; documentation of procedures by which multiple raters are evaluated and scoring differences are resolved (if applicable); evidence of the comparability of multiple versions of the assessment and that overall difficulty is the same; copies of passing and failing score reports; copies of guidance on interpretation and uses of assessment results; annual reports; evidence of regular review of individual item or component difficulty and documentation of actions taken as a result. | | | |
| **Standard 7: Issuance, Verification, and Use of Certificates** | | | |
| 1. Authorizes certificates only in accordance with documented requirements and procedures, related to the intended purpose and scope of the program |  |  |  |
| 1. Informs certificate holders of the proper uses of the certificate |  |  |  |
| 1. Has a verification procedure for stakeholders to confirm certificate holders |  |  |  |
| 1. Defines proper use of the certificate |  |  |  |
| **Required documentation:** program policies and procedures; program must designate the form of the certificate and provide copy of certificate documentation in whatever medium it is issued, including metadata if applicable; website link to directory if applicable; verification procedure; participant handbook or website | | | |
| **Suggested documentation:** screenshot of website verification; verification letter | | | |