BSR/ICE 1100-201x, ICE 1100-201x - Standard for Assessment-Based Certificate Programs (revision and redesignation of ANSI/NOCA 1100-2009)

The following is a normative part of the Standard

1 Scope

This standard pertains to assessment-based certificate programs. An assessment-based certificate program is a non-degree granting program that:

a) provides instruction and training to aid participants in acquiring specific knowledge, skills, and/or competencies associated with intended learning outcomes;

b) evaluates participants’ accomplishment of the intended learning outcomes; and

c) awards issues a certificate only to those participants who meet the performance, proficiency, or passing standard for the assessment(s) (hence the term, “assessment-based certificate program”).

This standard is NOT not intended to cover classes, courses, programs, or events that award only a certificate of attendance or participation; nor is it intended to apply to professional or personnel certification programs.

As used within this Standard, the terms “program” or “certificate program” refer to an assessment-based certificate program.

2 Organizational Structure, Resources, and Responsibilities, and Resources to Stakeholders

The certificate provider shall be structured so as to give stakeholders confidence in its competence and integrity and shall publish all essential information related to the assessment-based certificate program (hereinafter referred to as certificate program) to ensure that stakeholders understand its purpose, scope, and requirements. have the appropriate expertise, resources, and organizational structure to offer and maintain a program that meets or exceeds the requirements of this Standard.

Structure and Resources Responsibilities

2.1 The certificate provider shall be a recognized legal entity or part of a legal entity.

2.2 The certificate provider shall have the financial resources necessary to carry out its operations capably and support an effective certificate program.

Moved to 2.5

2.2 The certificate provider shall retain sole responsibility for defining the:

a) purpose and scope of the certificate program; and

b) prerequisites required to participate; and

c) criteria for successful completion of the program (e.g., prerequisites, completion of the education/training; meeting the performance, proficiency, or passing standard), for successful completion of the certificate program.

Previously 3.4

Responsibilities to Stakeholders

2.3 The certificate provider shall define policies and procedures for the operation of the assessment-based certificate program and for the development and delivery of the education/training and
assessment(s) that constitute(s) the certificate program. These policies and procedures shall specify the:

a) qualifications required of all individuals involved in the development and delivery of the education/training and assessment(s);
b) procedures used to develop and update the education/training;
c) methods for delivering the education/training;
d) procedures used to develop and update the assessment(s);
e) methods for conducting the assessment(s);
f) types of assessment used and procedures for evaluating or scoring participants’ performance on the assessment(s); and

g) type of feedback provided to participants.

Moved to 3.1

2.3 The decision to issue a certificate shall be made by the certificate provider have sole authority to issue a certificate based solely on participant the information and achievement gathered by the certificate provider (i.e., application, education/training, assessment[s]).

Previously 8.3

2.4 The certificate provider shall publish:

a) the purpose and scope of the certificate program;
b) the target audience for the certificate program;
c) prerequisites (if any);
d) a description of the education/training provided and the intended learning outcomes;
e) a brief description of the assessments, including an overview of how they are developed and validated, how participant performance on the assessment(s) is (are) evaluated/scored, the valid uses of the assessment results, and the percentage of participants who meet the performance, proficiency, or passing standard for the assessment;
f) the qualifications of the facilitators/instructors and assessment developers;
g) the requirements (if any) for renewing the certificate; and
h) any changes in program requirements and the effective date of the changes.

Moved to 3.2

2.4 The certificate provider shall confine its program requirements to those matters specifically related to the purpose and scope of the certificate program.

Previously 8.2

Resources

2.5 The certificate provider shall publish and provide to certificate holders a statement explaining what inferences can properly be made regarding individuals who hold the certificate. These inferences shall be consistent with the stated purpose of the certificate and the assessment(s) and also other information the certificate provider makes public about the certificate and the assessment(s).

Moved to 3.2(i)

2.5 The certificate provider shall have the financial resources necessary to carry out its operations capably and to support an effective certificate program.

Previously 2.2

2.6 The certificate provider shall define policies and procedures for the resolution of complaints and/or appeals received from participants and other parties.

Moved to 3.2(j)

2.6 The certificate provider shall contract with or employ or contract a sufficient number of individuals people with the necessary for the operational management of the program. The required qualifications, credentials, skills, and competencies for such individuals and their responsibilities
relating to the program shall be specific and documented by the certificate provider. education, training, technical knowledge, and experience to perform functions relating to the type, range, and volume of work performed, under a responsible management.

Previously 3.2

2.7 The certificate provider shall publish policies and procedures to be followed in the event that a participant misrepresents his/her identity or eligibility status, gives or receives unauthorized assistance on the assessment, or engages in other violations of established policies.

Moved to 3.3

2.7 The certificate provider shall use subject-matter experts (SMEs) and qualified individuals for in the design, development, delivery, and maintenance of the certificate program content and assessment(s). The required qualifications, credentials, skills, and/or competencies for these individuals and their responsibilities relating to the program shall be specified defined and documented by the certificate provider.

Previously 3.3 and 7.4 incorporated in concept

2.8 The policies and procedures of the certificate provider and their implementation shall be fair and equitable to participants and shall comply with all applicable regulations and statutory requirements. The certificate provider shall not impede or inhibit access by participants, except as provided for in this Standard.

Moved to 3.4

2.8 The certificate provider is responsible for monitoring, assessing, and assuring the quality of all activities performed on its behalf in accordance with documented procedure. This responsibility includes evaluation of activities performed by employees, committees, contractors, and/or other individuals. The certificate provider shall conduct periodic program evaluations to assess the program quality and effectiveness of its certificate program and to inform and implement future improvements.

Previously 3.1, 5.1, 5.3

3 Policies and Procedures Conduct and Oversight of Certificate Program
Activities

The certificate provider is responsible for defining, documenting, and maintaining policies and procedures that conform to this Standard and that are made accessible to program participants and other stakeholders, as required. All activities performed on its behalf and shall ensure these activities are performed properly by qualified individuals.

3.1 The certificate provider is responsible for monitoring, assessing, and assuring the quality of all activities performed on its behalf in accordance with documented procedure. This responsibility includes activities performed by employees, committees, contractors, and/or other individuals.

Moved to 2.8

3.1 The certificate provider shall define policies and have a documented quality assurance procedures in place for the operation of the program and for the development, delivery and maintenance of the administrative, educational/training, and assessment(s) that constitute(s) the program. These policies and procedures processes. The quality assurance procedure shall specify the:

a) qualifications required of all employees, committees, contractors, and/or individuals
involvement in the development, delivery, and ongoing maintenance of the education/training and assessment(s); quality criteria for operational procedures and the products and services offered by the certificate provider;

b) procedures used to develop and maintain the education/training; ensure that the quality criteria are met;
c) methods used to deliver the education/training; procedures for identifying products, services, and/or processes that do not conform to quality criteria; 
d) procedures used to develop and maintain assessment(s); for correcting identified deficiencies; 
e) methods used to conduct assessment(s); procedures for evaluating the effectiveness of corrective actions; and 
f) types of assessment(s) and procedures used to evaluate or score participants’ performance on the assessment(s); title of the person responsible for managing the quality assurance procedure. 
g) types of feedback provided to participants; and 
h) documented quality assurance procedures, to include processes to correct identified deficiencies.

Previously 5.1

3.2 The certificate provider shall employ or contract a sufficient number of people with the necessary education, training, technical knowledge, and experience to perform functions relating to the type, range, and volume of work performed, under a responsible management.

Moved to 2.6

3.2 The certificate provider shall make publicly available:

a) the purpose and scope of the certificate program; 
b) the target audience for the certificate program; 
c) eligibility requirements and prerequisites (if any); 
d) a description of the education/training provided and the intended learning outcomes; 
e) a brief description of the assessment(s), including an overview of how they are developed and validated; how a participant’s performance on the assessment(s) is (are) evaluated/scored; the valid uses of the assessment(s) results; and the percentage of participants who meet the performance, proficiency, and/or passing standard for the assessment(s) on an annual basis; 
f) the qualifications of the facilitators/instructors and SMEs involved in content development, assessment developers; 
g) the rationale for certificate expiration date and the specific time period for which the certificate is valid (if applicable); requirements (if any) for renewing the certificate; and 
h) any changes in program requirements and the effective date of the changes; 
i) a statement explaining what inferences can properly be made regarding individuals who hold the certificate. These inferences shall be consistent with the stated purpose of the certificate and the assessment(s) and any other information the certificate provider makes public about the certificate and the assessment(s). The certificate provider shall not claim, state, or imply that the program is a professional certification; and 
j) policies and procedures for the resolution of complaints or appeals received from participants of other parties.

Previously 2.4, 2.5 specifically addressed in (i); 2.6 specifically addressed in (j)

3.3 The certificate provider shall use subject matter experts and qualified individuals in the development, delivery, and maintenance of the certificate program. The required qualifications, credentials, skills, and/or competencies for these individuals shall be defined and documented by the certificate provider.

Moved to 2.7

3.3 The certificate provider shall establish policies and procedures and make publicly available policies to be followed in the event that a participant:

a) misrepresents his/her identity or eligibility status;
b) gives or receives unauthorized assistance on the assessment(s);
c) claims, states, or implies that the certificate is a professional certification or that its purpose and scope are beyond that specified by the certificate provider; or
d) engages in other violations of established policies.

Previously 2.7
3.4 The certificate provider shall retain sole responsibility for defining the:
   a) purpose and scope of the certificate program; and
   b) criteria (e.g., prerequisites, performance, proficiency, or passing standard) for successful
       completion of the certificate program.

Moved to 2.2

3.4 The policies and procedures of the certificate provider, including and their implementation, shall
be fair and equitable to participants in compliance with applicable legal requirements, and shall
comply with all applicable regulations and statutory requirements. The certificate provider shall
not deny, impede, or inhibit access to participants who meet the eligibility criteria, by participants,
except as provided for in this Standard.

Previously 2.8

4. Management of Program Records, Documents, and Materials

The certificate provider shall maintain orderly and accurate records, documents, and/or other
materials and manage them in a responsible manner.

Record and/or Document System

4.1 The certificate provider shall delineate the process for identifying the title(s) of the individuals
person(s) responsible for maintaining and disposing of program records, documents, and/or
materials.

4.2 The certificate provider shall maintain a record system that is appropriate to the scope and stakes
of its program, its particular circumstances, and in compliance with legal requirements, relevant
regulations. The records, documents, and/or other materials maintained shall include:

   a) a listing of all individuals who are currently participating in but have not yet successfully
      completed the education/training and/or assessment(s) program, including their status
      and the requirements met to date;
   b) a listing of all participants who have been issued, awarded a certificate; and the date that
      the certificate was issued, and (if applicable) for how long the certificate is valid, awarded;
   c) the individual performance of participants on the assessment(s) and the related
      performance, proficiency, or passing standard for the assessment(s); and
   d) the effectiveness of the assessments [(e.g., information describing key measurement
      characteristics, such as difficulty, and reliability), as appropriate to the assessment
      type and nature] of the assessment(s).

4.3 The certificate provider shall have procedures in place for reviewing, approving, updating, and
ensuring the accuracy and currency of records, documents, and/or other materials.

4.4 The certificate provider shall identify, manage, and dispose of records, documents, and/or other
materials in a manner that shall be identified, managed, and disposed of in such a way as to
ensure the integrity of the certificate program and the confidentiality of its the information, as
appropriate. The records, documents, and/or other materials shall be kept for a reasonable period
of time, as stated in program policy; and/or as required by relevant bodies; or as required by
contractual, legal, or other obligations.

Confidentiality and Security of Records, Documents, Data and/or Other Materials

4.5 The certificate provider and/or its contractors shall maintain all personal and financial information
pertaining to participants (e.g., date of birth, social security number, credit card number,
assessment(s) results) shall be maintained in a secure manner that is secure and, at a minimum,
complies with the certificate provider and/or its contractors, as required by applicable laws.
The certificate provider and/or its contractors shall maintain all learning and assessment materials, data, and results in a secure manner by the certificate provider and/or its contractors throughout their useful life. Measures shall be in place to ensure the ongoing confidentiality, integrity, availability, and resilience of the processing systems used to store such materials, data and results. The certificate provider shall have policies and procedures in place to notify stakeholders promptly in the event of a data breach.

The certificate provider shall state what program and/or participant information must be treated as confidential and the conditions under which such information may be disclosed to parties other than the organization or individual from whom the information was obtained. Participants shall be informed of all conditions for information disclosure these conditions prior to entering the certificate program. Confidentiality shall be maintained in accordance with documented guidelines and applicable laws by all individuals working for or on behalf of the certificate provider, including external bodies or individuals acting on its behalf.

5 Quality Assurance and Program Evaluation

Development, Delivery, and Maintenance of Education/Training

The certificate provider shall set quality standards for the certificate program and shall evaluate the program using these standards.

The certificate provider shall ensure that the education/training is designed, developed and delivered, and evaluated by qualified individuals in a manner that is appropriate and that the content, design, and delivery are suited to the intended learning outcomes, and consistent with generally accepted instructional design principles, and based on a needs analysis. Previously Standard 6

Needs Analysis

Quality Assurance

5.1 The certificate provider shall have a documented quality assurance procedure in place for all administrative, educational/training, and assessment processes. The quality assurance procedure shall specify the:

- quality criteria for operational procedures and the products and services offered by the certificate provider;
- procedures used to ensure that the quality criteria are met;
- procedures for identifying products, services, and/or processes that do not conform to quality criteria;
- procedures for correcting identified deficiencies;
- procedures for evaluating the effectiveness of corrective actions; and
- title of the person responsible for managing the quality assurance procedure.

Moved to 2.8 and 3.1

Program Evaluation

5.2 All components of the certificate program shall be reviewed periodically (at least annually) by subject matter experts and other qualified individuals to ensure that the:

- content of the education/training and assessment(s) is current and accurate;
b) design and delivery of the education/training are consistent with generally accepted instructional design principles and appropriate for the intended learning outcomes; and

c) development of the assessment(s) and the evaluation/scoring of participant performance on the assessment(s) are consistent with generally accepted measurement principles and appropriate for assessing accomplishment of the intended learning outcomes.

Moved to 5.7 and 6.14 (incorporated in concept)

5.2 The procedure used to conduct the needs analysis shall be consistent with the stated purpose and scope of the program. The procedure should include qualified participants and stakeholders knowledgeable about the intention, use, purpose, scope, and stakes of the certificate program.

Previously 6.6 (incorporated in concept)

5.3 The certificate provider shall conduct periodic program evaluations to assess program quality and effectiveness and implement future improvements. At a minimum, program evaluations shall include the evaluation of:

a) participants' performance and their accomplishment of the intended learning outcomes by the certificate provider;

b) facilitators/instructors by participants and the certificate provider;

c) certificate program [content, design, delivery method, assessment(s)] by facilitators/instructors and certificate providers; and

d) certificate program [content, design, delivery method, assessment(s)] by participants.

Evaluation of the certificate program by other stakeholders also may be included.

Moved 2.8

5.3 The educational/training content, intended learning outcomes, and assessment(s) shall be based on the needs analysis of stakeholders.

Previously 6.6 (incorporated in concept)

Design

5.4 The certificate provider shall ensure that the intended learning outcomes, content, delivery, and assessment(s) methods align of the education/training shall be consistent with the needs analysis and the program's purpose and scope and intended use of the certificate program and the intended learning outcomes.

Previously 6.4

5.5 The design of the education/training shall employ consistent with generally accepted instructional design methods that are relevant to the content, audience, and delivery method, principles and appropriate for the intended learning outcomes.

Previously 6.8

Development

5.6 The creation and/or selection of educational/training content and materials shall effectively address the needs analysis.

5.7 The certificate provider shall ensure that the education/training is developed by qualified individuals, which may include SMEs, and follows instructional design principles.

Previously 5.2 (incorporated in concept)

Implementation

5.8 The certificate provider shall deliver ensure that the education/training is developed, delivered, and reviewed by subject matter experts and qualified individuals. The certificate provider shall document and ensure that facilitators/instructors possess the qualifications and skills to deliver the
For instructor-led courses, the certificate provider shall ensure that the education/training is delivered by qualified facilitators/instructors using materials appropriate for delivering the education/training as designed.

**Evaluation**

The content of the education/training shall be reviewed periodically (at least annually) by SMEs and qualified individuals to ensure that it remains current and accurate. The intended learning outcomes and content of the education/training shall be modified as needed to ensure that any changes in purpose, scope, or content are incorporated. The certificate provider shall specify the procedures to be used for updating the content as well as the circumstances under which updating should occur.

Previously 6.7

The design and delivery of the education/training should be evaluated periodically (at least annually) by SMEs and qualified individuals. Modifications made shall be based on collected data/feedback to ensure that any modified as needed to ensure that it incorporates changes in the purpose, scope, or content of the certificate program are reflected and that the content reflects current, generally accepted instructional design principles.

Previously 6.9

The certificate provider and program participants shall evaluate and document and ensure that facilitators/instructors possess the qualifications and skills to deliver the education/training as designed. The certificate provider shall provide feedback on the performance of facilitators/instructors with feedback on their performance.

Previously 6.2 and 6.3

**Delivery, and Maintenance of Education/Training Development, Conduct, and Evaluation of Assessments**

The certificate provider shall ensure that the education/training is developed and delivered by qualified individuals and that the content, design, and delivery are suited to the intended learning outcomes and consistent with generally accepted instructional design principles.

Moved to Standard 5

The certificate provider shall conduct a summative assessment(s) of participants’ accomplishment of the intended learning outcomes and shall ensure that the procedures used to develop and conduct the assessment(s) and to evaluate/score participants’ performance are consistent with accepted measurement principles and the intended use of the certificate.

Previously Standard 7

**Validation of the Content of the Assessment(s)-Personnel**

The certificate provider shall ensure that the education/training is developed, delivered, and reviewed by subject matter experts and qualified individuals.

Moved to 5.8

The certificate provider shall employ a procedure to demonstrate that the assessment(s) is valid for its intended purpose, and shall choose a validation methodology that is appropriate for the
stake of the program and assessment(s). At a minimum, this procedure shall include documentation of the linkage between the assessment and the intended learning outcomes (e.g., a table listing the knowledge, skills, and/or competencies needed for participants to achieve the intended learning outcomes and identifying how the specified knowledge, skills, and/or competencies are covered by the assessment). A job or practice analysis that is appropriate for the scope of the shall be conducted for high-stakes certificate programs when their scope is sufficiently broad to support such a study.

Previously 7.5

6.2 The certificate provider shall document and ensure that facilitators/instructors possess the qualifications and skills to deliver the education/training as designed.

Moved to 5.8

6.2 The certificate provider shall employ a methodology to link the assessment(s) to the intended learning outcomes. The intended learning outcomes—or the knowledge, skills, and/or competencies needed for participants to achieve the intended learning outcomes—must be represented in appropriate proportions on the assessment(s) (i.e., the number of assessment items or points allotted to each intended learning outcome shall be proportional to the depth, breadth, and complexity of each intended learning outcome). Documentation may include a table or document listing the knowledge, skills, and/or competencies needed for participants to achieve the intended learning outcomes and identifying how the specified knowledge, skills, and/or competencies are covered by the assessment(s).

Previously 7.5

6.3 The certificate provider shall provide facilitators/instructors with feedback on their performance.

Moved to 5.12

6.3 The type of assessment(s), including item types, shall be appropriate for measuring participants' accomplishment of the intended learning outcomes and consistent with the stated purpose of the program.

Content

6.4 The content of the education/training shall be consistent with the purpose and scope of the certificate program and the intended learning outcomes.

Moved to 5.4

6.4 The content of the assessment(s) shall be appropriate for measuring participants' accomplishment of the intended learning outcomes and consistent with the published purpose of the program.

6.5 The intended learning outcomes, content and design of the education/training, delivery method, and assessment(s) shall all be in alignment [i.e., the content, design, and delivery of the education/training shall be appropriate for accomplishing the intended learning outcomes, and the assessment(s) shall be appropriate for assessing participants' accomplishment of the intended learning outcomes].

Eliminated due to redundancies. Concepts reflected in 5.4.

6.5 The certificate provider shall ensure that the content of the assessment(s) is reviewed and updated revised as necessary to reflect any changes in the scope, or purpose, or content of the program (e.g., changes in the intended learning outcomes, changes in the education/training).

Previously 7.6

Conducting the Assessment(s)
The intended learning outcomes and the knowledge, skills, and competencies to be addressed in the education/training shall be determined systematically based on an analysis of the needs of the:

a) participants;
b) industry (as appropriate);
c) consumers (as appropriate); and
d) other identified stakeholders (as appropriate).

The procedure used to conduct this analysis shall be consistent with the published purpose of the program. The procedure for selecting content for the education/training shall include an analysis of participant and stakeholder needs appropriate to the purpose, scope, and stakes of the certificate program.

The method for conducting the certificate provider shall specify how the assessment(s) shall be consistent with the stakes of the program and its stated purpose, conducted. The certificate provider shall ensure comparability in the environments in which the assessment(s) occur. Documentation shall address the:

a) conditions of the environments in which the assessment(s) take(s) place (e.g., type of setting);
b) method(s) of conducting the assessment(s) (e.g., face to face, computer, paper and pencil);
c) qualifications required of individuals conducting the assessment(s) (e.g., facilitators/instructors, proctors, raters);
d) materials and equipment needed to conduct the assessment(s);
e) time allotted for conducting the assessment(s); and
f) level of security required to be consistent with the intended purpose of the certificate.

Evaluation and Scoring of Participant Performance

The content of the education/training shall be reviewed periodically (at least annually) to ensure that it remains current and accurate. The certificate provider shall specify the procedures to be used for updating the content as well as the circumstances under which updating should occur.

The certificate provider shall identify a performance, proficiency, or passing standard for the assessment(s) that participants must achieve in order to be awarded the certificate. The method used by the certificate provider shall use a generally accepted method for setting the performance, proficiency, or passing standard that shall be consistent with the stakes and stated purpose of the certificate. This method shall demonstrate that:

a) link the performance, proficiency, or passing standard to the expected performance of a participant who has achieved the intended learning outcomes; and
b) be consistent with the nature and intended use of the assessment. Documentation should identify the number of participants, provide a rationale for the method, and describe any other resources considered.

Design

The design of the education/training shall be consistent with generally accepted instructional design principles and appropriate for the intended learning outcomes.
6.8 The certificate provider shall document the rules, methods, and/or rubrics for evaluating and/or scoring participants' performance on all types of assessment(s), whether they are (both objectively or and subjectively evaluated or / scored assessments).

Previously 7.9

6.9 The design of the education/training should be modified as needed to ensure that it incorporates changes in the purpose, scope, or content of the certificate program and reflects current, generally accepted instructional design principles.

Moved 5.11

6.9 For subjectively evaluated/scored assessment(s) (e.g., essays, work products, portfolios, demonstrations, presentations), the certificate provider shall:

a) supply raters with rating or scoring scales, performance evaluation checklists, rubrics, and/or other appropriate guidelines to be used to evaluate participant performance;

b) train raters in the use of the rating or scoring scales, performance evaluation checklists, rubrics, and/or other appropriate guidelines;

c) establish procedure(s) by which raters can be calibrated periodically (if multiple raters are used);

d) conduct and report analyses of the consistency and/or agreement in the raters' evaluation/scoring as appropriate for the type of assessment(s) and its intended use; and

e) establish procedure(s) by which significant differences in scoring among between raters can be discussed and/or remedied (if applicable).

Previously 7.10

Delivery Method

6.10 The certificate provider shall specify the methods for delivery of the education/training (e.g., classroom, online synchronous, online asynchronous). These methods shall enable accomplishment of the intended learning outcomes and be consistent with the purpose and scope of the certificate program.

Moved to 5.8

6.10 The certificate provider shall ensure the comparability of different forms (versions) of the same assessment(s) with respect to content coverage and overall difficulty (i.e., e.g., the questions on two comparable versions of an written examination assessment(s) should cover the same knowledge areas and have be of the same overall difficulty).

Previously 7.11

Reporting and Interpretation of Assessment(s) Results-Delivery Method

6.11 The certificate provider shall report the results of the summative assessment(s) to course participants in a manner consistent format that is appropriate for to the type of assessment(s) and consistent with the published purpose and stakes of the assessment(s). At a minimum, participants shall be informed as to whether they have passed or failed the assessment(s), accomplished the intended learning outcomes. If a report of participants' relative strengths and weaknesses related to accomplishment of the intended learning outcomes (i.e., individually or in subgroups) is also may be provided for remediation purposes, the certificate provider must either be able to demonstrate evidence of subscore reliability or provide participants with interpretive guidance around the limitation of subscores.

Previously 7.12

6.12 The certificate provider shall provide supply participants and stakeholders with guidance on interpreting and using the results of the assessment(s), including what inferences can appropriately be drawn from the results.

Previously 7.14

Evaluation of the Effectiveness of the Assessment(s)
The certificate provider shall prepare reports of assessment(s) results in aggregate form, summarizing the overall results of the performance of an entire class or period of time (e.g., one year) results based on the performance of an entire class) to support program evaluation and address other stakeholder interests. At a minimum, the reporting shall include:

a) the total number of participants who completed the program,

b) the summary statistics for the assessment(s) (e.g., score mean, standard deviation, minimum, and maximum),

c) the percentage of participants who passed the assessment(s), and

d) the minimum score required to pass the assessment(s).

Previously 7.13

The certificate provider shall evaluate the effectiveness of the assessment(s) on a regular basis (at least annually) to ensure ongoing utility for measuring participants' accomplishment of the intended learning outcomes. This evaluation shall include information related to the procedure:

a) overall difficulty of individual items or components of the assessment(s) (e.g., the percentage of participants who answer an item correctly or who perform a task successfully); achieve a satisfactory performance on a hands-on demonstration) or of individual items or components of an assessment (e.g., the percentage of participants who answer a multiple-choice question correctly); and

b) measurement precision of the assessment(s), that is, the degree to which the results obtained are free from measurement error (e.g., a measure of inter-rater agreement on the assessment of a product produced by a participant).

Previously 7.15

7 Development, Conduct, and Evaluation of Assessments Issuance, Verification, and Use of Certificates

The certificate provider shall conduct an assessment of participants’ accomplishment of the intended learning outcomes and shall ensure that the procedures used to develop and conduct the assessment(s) and to evaluate/score participants’ performance are consistent with accepted measurement principles and the intended use of the certificate.

Moved to Standard 6

A certificate is issued upon completion of the education/training and successful performance on the assessment(s). A certificate shall be issued only in accordance with documented requirements and procedures, and Certificate holders shall be informed of the proper uses of the certificate.

Previously Standard 8

Issuance of Certificates

7.1 The certificate provider shall conduct one or more assessments of participants' accomplishment of the intended learning outcomes and the effectiveness of the education/training.


7.1 The certificate provider shall identify the requirements and procedures for issuing granting the certificate. These requirements must specify that the certificate provider shall not specify acronyms or letters in reference to the certificate for use after participants’ names.

Previously 8.1

7.2 The assessment(s) shall be appropriate for measuring participants’ accomplishment of the intended learning outcomes and consistent with the published purpose of the certificate.

Eliminated due to redundancies. Concepts reflected in 6.3
7.2 The certificate may take the form of a letter, card, digital badge, or other medium, and must be signed or authorized by a designated representative of the certificate provider or a designated representative of the certificate provider.

Previously 8.4

7.3 The certificate provider shall adhere to generally accepted measurement principles in the development of the assessment(s) and the evaluation/scoring of participants' performance.

Eliminated due to redundancies. Concepts reflected in 6.1

7.3 The certificate document shall contain the following information:

a) name of the certificate holder;

b) name of the certificate provider;

c) scope of the accomplishment, certificate (and title of certificate, if appropriate); and

d) title of the certificate (if appropriate).

e) date on which the certificate was issued and awarded;

f) date of expiration of the certificate (if applicable).

An expiration date for the certificate may be used but is not mandatory; if an expiration date is used, it must be noted on the certificate.

Previously 8.5

7.4 Individuals who develop or conduct the assessment(s) or who evaluate/score participants' performance shall have the required knowledge and skills for their role.

Moved to 2.7 (incorporated in concept)

7.4 The certificate provider shall have a verification procedure in place by which the status of certificate holders can be confirmed verified by employers and other stakeholders.

Previously 8.6

Validation of the Assessment(s)

7.5 The certificate provider shall employ a procedure to demonstrate that the assessment is valid for its intended purpose. At a minimum, this procedure shall include documentation of the linkage between the assessment and the intended learning outcomes (e.g., a table listing the knowledge, skills, and/or competencies needed for participants to achieve the intended learning outcomes and identifying how the specified knowledge, skills, and/or competencies are covered by the assessment). A job/practice analysis shall be conducted for high-stakes certificate programs when their scope is sufficiently broad to support such a study.

Moved to 6.1

7.5 The certificate provider shall have a policy stating that it maintains the right to recall or nullify the certificate document in the event any certificate holders have violated program requirements or policies. The certificate provider shall maintain sole ownership of the certificate document in whichever format or medium it may take.

Previously 8.8

Use of Certificates

7.6 The certificate provider shall ensure that the assessment is revised as necessary to reflect changes in the scope or purpose of the program (e.g., changes in the intended learning outcomes, changes in the education/training).

Moved to 6.5
The certificate provider shall specify how to publish and provide to certificate holders may and may not refer to a statement defining the appropriate ways in which to reference the certificate. This responsibility includes making publicly available a statement shall specify that certificate holders:

a) may state that they hold a "certificate in ...";

b) shall not state say that they are "certified in ..."; and

c) shall not use acronyms or letters after their names in reference to the certificate they hold.

Previously 8.10

Conducting the Assessment(s)

The certificate provider shall specify how the assessment(s) shall be conducted. These specifications shall ensure comparability in the environments in which the assessment occurs and permit participants to exert their best effort. Specifications shall address the:

a) conditions of the environments in which the assessment(s) take(s) place (e.g., type of setting);

b) method(s) of conducting the assessment(s) (e.g., face to face, computer, paper and pencil);

c) qualifications required of individuals conducting the assessment(s) (e.g., facilitators/instructors, proctors, raters);

d) materials and equipment needed to conduct the assessment(s);

e) instructions to participants;

f) time allotted for conducting the assessment(s); and

g) level of security required to be consistent with the intended purpose of the certificate.

Moved to 6.6

Evaluation/Scoring of Participant Performances

The certificate provider shall identify a performance, proficiency, or passing standard for the assessment(s) which participants must achieve in order to be awarded the certificate. The certificate provider shall use a generally accepted method for setting the performance, proficiency, or passing standard. This method shall:

a) link the performance, proficiency, or passing standard to the expected performance of a participant who has achieved the intended learning outcomes; and

b) be consistent with the nature and intended use of the assessment.

Moved to 6.7

The certificate provider shall document the rules, methods, and/or rubrics for evaluating and/or scoring participant performance on all types of assessments (both objectively and subjectively evaluated/scored assessments).

Moved to 6.8

For subjectively evaluated/scored assessment(s) (e.g., essays, work products, portfolios, demonstrations, presentations), the certificate provider shall:

a) supply raters with rating or scoring scales, performance evaluation checklists, rubrics, and/or other appropriate guidelines to be used to evaluate participant performance;

b) train raters in the use of the rating or scoring scales, performance evaluation checklists, rubrics, and/or other appropriate guidelines;

c) establish procedure(s) by which raters can be calibrated periodically (if multiple raters are used);

d) conduct analyses of the consistency and/or agreement in the raters’ evaluation/scoring as appropriate for the type of assessment and its intended use; and

e) establish procedure(s) by which significant differences between raters can be discussed and/or remedied (if applicable).

Moved to 6.9
7.11 The certificate provider shall ensure the comparability of different forms (versions) of the same assessment with respect to content coverage and overall difficulty (e.g., the questions on two comparable versions of a written examination should cover the same knowledge areas and be of the same overall difficulty).

Moved to 6.10

Reporting and Interpretation of Assessment Results

7.12 The certificate provider shall report the results of the assessment(s) to participants in a consistent format that is appropriate to the type of assessment. At a minimum, participants shall be informed as to whether they have accomplished the intended learning outcomes. A report of participants' relative strengths and weaknesses also may be provided.

Moved to 6.11

7.13 The certificate provider shall prepare reports of assessment results in aggregate form (e.g., results based on the performance of an entire class) to support program evaluation and address other stakeholder interests.

Moved to 6.13

7.14 The certificate provider shall supply participants and stakeholders with guidance on interpreting and using the results of the assessment(s), including what inferences can appropriately be drawn from the results.

Moved to 6.12

Evaluation of the Effectiveness of the Assessment(s)

7.15 The certificate provider shall assess the effectiveness of the assessment(s) on a regular basis to ensure ongoing utility for measuring participants' accomplishment of the intended learning outcomes. This procedure may include the collection of data pertaining to the:

a) overall difficulty of the assessment(s) (e.g., the percentage of participants who achieve a satisfactory performance on a hands-on demonstration) or of individual items or components of an assessment (e.g., the percentage of participants who answer a multiple-choice question correctly); and

b) measurement precision of the assessment(s), that is, the degree to which the results obtained are free from measurement error (e.g., a measure of inter-rater agreement on the assessment of a product produced by a participant).

Moved to 6.14

8—Issuance and Use of Certificates

A certificate shall be issued only in accordance with documented requirements and procedures, and certificate holders shall be informed of the proper uses of the certificate.

Moved to Standard 7

Issuance of Certificate

8.1 The certificate provider shall identify the requirements and procedures for granting the certificate.

Moved to 7.1

8.2 The certificate provider shall confine its requirements to those matters specifically related to the purpose and scope of the certificate program.

Moved to 2.3
8.3 The decision to issue a certificate shall be made by the certificate provider based solely on the information gathered by the certificate provider (i.e., application, education/training, assessment).

Moved to 2.3

8.4 The certificate may take the form of a letter, card, or other medium, signed or authorized by a designated representative of the certificate provider.

Moved to 2.2

8.5 The certificate document shall contain the following information:

a) name of the certificate holder;

b) name of the certificate provider;

c) scope of the certificate (and title of certificate, if appropriate); and

d) date on which the certificate was awarded.

Moved to 2.3

8.6 The certificate provider shall have a confirmation procedure in place by which the status of certificate holders can be verified.

Moved to 2.4

8.7 A certificate holder is generally not required to engage in activities to maintain the certificate; however, in some cases, providers may require additional education/training and/or assessment(s) for this purpose. When certificate maintenance is required, the maintenance procedure shall be fair and reasonable, and the requirements shall be confined to those matters specifically related to the purpose and scope of the certificate program.

Moved to 2.4(e) Maintenance and renewal section removed.

8.8 The certificate provider shall have a policy stating that it maintains the right to recall or nullify the certificate document in the event certificate holders have violated program requirements or policies. The certificate provider shall maintain sole ownership of the certificate document.

Moved to 2.5

Use of the Certificate

8.9 The certificate provider shall not award an acronym or letters to certificate holders for use after their names upon completion of the certificate program.

Moved to 2.1 (incorporated in concept)

8.10 The certificate provider shall publish and provide to certificate holders a statement defining the appropriate ways in which to reference the certificate. This statement shall specify that certificate holders:

a) may state that they hold a "Certificate in______"

b) shall not say that they are "Certified in______"

c) shall not use acronyms or letters after their names to reference the certificate they hold.

Moved to 2.6

8.11 The certificate provider shall publish and provide to certificate holders a statement defining the purpose and scope of the certificate. This statement shall specify that certificate holders shall not make:

a) claims or imply that the certificate is a professional certification or that its purpose and scope are beyond that specified by the certificate provider; or

b) any other statement regarding the certificate which the certificate provider may consider misleading or unauthorized,

Moved to 2.3
Annex 1: Terms and Definitions
(This Annex is Normative and Part of the Standard)

appeal
A request by a participant or certificate holder for reconsideration of any a decision made by the certificate provider related to her/his status as a certificate holder.

assessment
An instrument or protocol designed to measure the knowledge, skill, and/or competencies associated with the accomplishment of the intended learning outcomes. Assessments may be written, oral, practical or observational and may be used prior to, during, and at the end of education/training.

assessment-based certificate
A non-degree granting program that provides instruction and training to aid participants in acquiring knowledge, skill, and/or competencies associated with intended learning outcomes; evaluates participants’ accomplishment of the intended learning outcomes; and awards a certificate only to those participants who meet the performance, proficiency, or passing standard for the assessment(s).

certificate holder
An individual who has successfully completed an assessment-based certificate program and been awarded a certificate.

certificate of attendance (certificate of participation)
Certificates of attendance or participation are provided to individuals (participants) who have attended or participated in a class, course, or other education/training program or event. The certificate awarded at the completion of the program or event signifies that the participant was present and in some cases that the participant actively participated in the program or event.

certificate maintenance
A system of requirements and procedures with which certificate holders must comply in order to keep a certificate.

certificate provider
An entity that conducts or sponsors education/training and an end-of-program assessment for the purpose of awarding a certificate.

certification
A voluntary process by which a non-governmental body grants time-limited recognition and use of a credential to individuals who have demonstrated that they have met predetermined and standardized criteria for required knowledge, skills, or competencies. To retain the credential, certificants must meet requirements for renewal. The credential awarded by the certifier denotes that the participant possesses particular knowledge, skills, or competencies. Also known as professional or personnel certification.

complaint
A request (other than an appeal) by any organization or individual to a certificate provider, for corrective action relating to the activities of that provider or to those of any of its customers.

criterion-reference
An approach to establishing the performance, proficiency, or passing standard for an assessment in which subject matter experts first define how participants who have accomplished the intended learning outcomes would be expected to perform (e.g., the proficiency category they would achieve, the number of points they would earn) and then set a required level of performance on the assessment which is consistent with this definition.

documentation
The collection and preservation of evidence that requirements have been met. Documentation is necessary for many aspects of assessment-based certificate programs (e.g., prerequisites, qualifications of subject matter experts, measurement quality of assessments).

**facilitator/instructor**
A knowledgeable individual or other qualified person who articulates the intended learning outcomes and enables accomplishment of the intended learning outcomes of the certificate program.

**formative assessment**
An assessment that is employed as part of and during the delivery of education/training in order to inform participants and facilitators/instructors about their progress in accomplishing the intended learning outcomes.

**high-stakes assessment-based certificate program**
See stakes. An assessment-based certificate program that is promoted by the certificate provider as being appropriate for regulatory purposes or for decision making related to hiring, promotion, and other key employment-related outcomes, such as hospital privileging for physicians.

**inference**
The conclusion that one draws on the basis of available evidence (e.g., certificate holders are knowledgeable about a specified topic, the results of an assessment represent the level of skill a person possesses).

**instructional design principles**
Rules, standards, and practices pertaining to the design, delivery, and evaluation of education/training that facilitates accomplishment of intended learning outcomes related to defined knowledge, skill, competencies, and other constructs. Generally accepted instructional design principles are defined in professional literature and standards.

**intended learning outcome**
A statement that identifies what a learner is expected to know, understand, or do as a result of completing an assessment-based certificate program successfully.

**interrater agreement**
Any of several calculations that describe the degree to which there is concurrence between or among the individuals responsible for evaluating/scoring participant performance on subjectively evaluated-scored assessments.

**interrater reliability**
Any of several calculations that describe the consistency in evaluations/scores based on the observation(s) of raters during the evaluation/scoring of subjectively evaluated-scored assessments.

**item**
Questions and/or tasks in examinations to which candidates must respond or perform.

**job analysis**
Any of several methods used singly or in combination to identify the performance domains and associated tasks, knowledge, and/or skills relating to the purpose of the credential and providing the foundation for program validation. Also known as task or practice analysis, job task analysis, or role delineation study.

**measurement principles**
Rules, standards, and practices pertaining to assessing knowledge, skill, competencies, and/or other constructs in a manner that supports the inferences to be made. Generally accepted measurement principles are defined in professional literature and standards (e.g., *Standards for Educational and Psychological Testing*).
needs analysis
A method by which one determines the requirements for the program, including needs or expectations of learners and other stakeholders, prior to a learning experience, event, or program.

objectively scored assessment
A type of scoring rule in which responses to questions or problems on an assessment are deemed as correct or incorrect using a pre-established answer key.

participant
An individual who is enrolled as a learner, student, trainee, etc., in an assessment-based certificate program.

performance, proficiency, or passing standard
A specific level of performance, proficiency category, or score which must be achieved by a participant to successfully complete an assessment. Performance, proficiency, or passing standards are established using methods that are defined in generally accepted measurement principles.

program evaluation
A process through which a variety of data are collected and analyzed for the purpose of determining the effectiveness of an assessment-based certificate program.

publicly available
Easily available and accessible, with or without request, to all relevant stakeholders.

quality assurance process
An ongoing activity that informs the individuals responsible for managing an assessment-based certificate program whether a process or activity meets expectations or predefined quality standards. Quality assurance activities are executed on all development processes to help maintain an expected level of effectiveness.

quality standards
Criteria addressing the design, development, delivery, and evaluation of assessment-based certificate programs to ensure that the program components are suited for their purpose and function correctly.

rater
A subject matter expert who has been trained in the use of rubrics and rules to evaluate/score the response of participants on one or more subjectively evaluated questions, problems, demonstrations, work products, etc.

reliability
The degree to which the results of an assessment are free of measurement error.

rubric
The criteria (often called scoring rules) used to guide the evaluation or rating of responses and the emphasis each component has in determining participants' proficiency, with the desired result that responses will be determined as correct, proficient, or successful and weighted in a standardized manner. Scoring rules are part of the implementation of a standardized scoring scale.

scope of certificate
The inferences about participants’ knowledge, skill, and/or competencies that can be justified based on the education/training provided and their performance on the assessment.

scoring rules
The criteria (often called a rubric) used to guide the evaluation or rating of responses and the emphasis each component has in determining participants’ proficiency, with the desired result that responses will be
determined as correct, proficient, or successful and weighted in a standardized manner. Scoring rules are part of the implementation of a standardized scoring scale.

**stakeholders**
The various groups with an interest in the quality, governance, and operation of a certificate program, such as the public, participants, certificate holders, employers, customers, clients, and third party payers.

**stakes**
The degree to which inferences and/or other decisions have significant consequences for the stakeholders in an assessment-based certificate program. **High stakes** are associated with substantial potential for adverse consequences for the public, clients, patients, etc. Programs may also be high stakes when participants’ careers hinge on their success in accomplishing the intended learning outcomes of an assessment-based certificate program.

**standardized scoring scale**
A clearly defined system for assigning numerical value, proficiency category, etc., to responses on an assessment in order to achieve a structure that places all evaluations/scores on the same distribution and permits comparison among evaluations/scores.

**subject matter expert (SME)**
An individual who, by virtue of position, education, training, and/or experience, is expected to have greater-than-normal expertise or insight relative to a particular technical or operational discipline, system, or process, and who has been selected or appointed to participate in the development, verification, validation, delivery or evaluation of a course of education/training or an assessment.

**subjectively evaluated/scored assessment**
A type of evaluation/scoring system in which responses to questions, problems, demonstrations, work products, etc., on an assessment are deemed as correct or incorrect, acceptable or not acceptable, etc. using pre-established rubrics or scoring rules that involve subject matter expertise.

**summative assessment**
An assessment that is employed as an end-of-program measure of participants’ accomplishment of intended learning outcomes in an assessment-based certificate program.

**validity**
The degree to which accumulated evidence supports specific interpretations of all components of an assessment-based certificate program (e.g., prerequisites, assessment).

**validation**
The accumulation of evidence to support the argument that the results of an assessment are useful for intended inferences.