Introductions and Welcome – Dr. Cynthia Woodley

Background Information – Dr. Cynthia Woodley

- A summary of the 2016 Implementation survey results was provided, as this workshop has been held to try to address perceived implementation issues. The focus of the workshop are Clauses 8 and 9, but the clauses where issues were raised were included on the agenda to ensure that comments were covered off on.

Clause 4 - General Requirements – Dr. George Anastasopoulos

- Clause 4.3 Threats to Impartiality.
- Topics of discussion:
  - Financial threats – particularly where a CB has large corporate clients that may influence the manner in which schemes operate. Financial threats may ‘creep’ in – they may not always be obvious.
  - Use of the word ongoing. This means when and as needed, rather than periodically. So if there is a new contract then the threats relating to that contract would need to be analysed.
- Clause 4.4 CB Liability
- Topics of discussion:
  - Financial stability. There was a request for an explanation of the intent of the financial stability clause. They should have sufficient financial resources to support the delivery of their services. Discussion on what this might look like, and what an ‘unhealthy’ certification body may look like.
  - Question around 4.1 – regulation in certain countries only allow the Governing Board or Managing Director be responsible.
  - Question around confidentiality of information, and how this relates to the IAF Sanctions document where it says that stakeholders will be notified? Explanation indicated that schemes and CBs typically deal with this through the scheme rules or contract with the person that indicate what sanctions may be taken if they do not comply with the ‘code of ethics’. This information is provided up front before certification. Clause 7.4.3 also covers where information is required by law.

Clause 5 - Structural Requirements – Dr. George Anastasopoulos

- Clause 5.2.1 When Education or Training is a Requirement
- Clause 5.2.3 Certification and Training by Same Legal Entity
- Topics of discussion:
CB providing training. Discussion about how it may be difficult for some small CBs to overcome the separation issues where they also provide training. There were several examples provided by participants for clarification on this topic.

Clause 8 - Certification Schemes – Dr. Cynthia Woodley and Dr. Christine Niero

- Greatest request for guidance
- ISO CASCO Scheme Development Document
- Role of Scheme Committee
- Responsibility of the CAB and relationship with external committees, Responsibility of Scheme Owner versus Responsibility of CAB
- Definition of a Scheme Owner
- Clause 8.2 d) – Aptitude vs. abilities vs. competence
- Clause 8.3 – Dealing with Schemes based on ISO or other national standards not meeting Clause 8
- Clause 8.3 – Certification Schemes with no recertification or extremely long recertification periods
- Clause 8.5 – Review and validation of a scheme, Systematic and Ongoing definition
- Topics of discussion:
  - Could the scheme owner be the owner of the item bank? Yes.
  - Can external scheme owners own the test questions? Couldn’t meet the requirements of the standard unless the scheme owner provided all the information on how the questions were developed. RvA considers this as subcontracting and assess as this during assessment. So they look at how the CB assesses the subcontractor.
  - Do examinations need to cover all the items of the JTA? No – the examination randomly samples the body of knowledge.
  - Recertification. Discussion around whether the recertification activities need to be the same as the certification – example is practical examination required for recertification as well if they have demonstrated ongoing performance through work experience. It’s the decision of the scheme committee what activities are required. There needs to be justification by the scheme committee.
  - Clause 8.5. Validation – what might be the evidence that an assessor see. Some sort of evidence that it is correct, either experts reviewing or a survey or a similar activity.

Clause 9 - Certification Process Requirements – Dr. Vijay Krishna

- Clause 9.1.2 – Guidance on Application Review
- Clause 9.4.7 – Clarification on “responsible member of the CAB”
- Clause 9.4.8 – External codes/standards used in certification schemes referenced in the certificates
- Clause 9.6.4 – Adequacy of a CAB’s recertification requirements (continuing workplace learning, competence self-declaration or employer declaration). Does recertification require a formal assessment/examination? What does “at least mean”?
- Clause 9.3.5 – Appropriate methods to reaffirm the fairness, validity reliability and general performance of examinations – Dr. Cynthia D. Woodley
- **Topics of discussion:**
  - Difficulty differentiating between 9.6.4 and 9.6.5. Is a declaration from the employer impartial? Or a declaration from a customer? How do you value the level of impartiality required for recertification? Response was that it’s best to ask yourself the question ‘Would you accept this for initial certification?’ This would not be the same level of rigor that you’re using for initial certification. It’s really just a confirmation of work experience – so could be used but not as a determination of competence. But in practice if a scheme comes to an AB and only has one of the list of 9.6.5 they could be accredited? This clause appears to have provided the minimum requirements, not the optimal requirements.

Clause 6 - Resource Requirements – *Dr. Cynthia Woodley and Dr. Christine Niero*

- Clause 6.2.2.2 – Monitoring of Examiners and Reliability of CBs Monitoring Mechanisms
- Clause 6.3.2 – Assessment of Small Vendors who Operate from their Homes
- Clause 6.3 – Use of external Personnel (not outsourcing)
- Clause 6.4 – Other resources

- **Topics of discussion:**
  - Use of candidate’s equipment. Needs to be standardized before the beginning of the test? Use of candidate’s calculators or computers. Or hairdressers bringing their own models. Complex.

Clause 7 - Records and Information Requirements – *Dr. Cynthia Woodley and Dr. Christine Niero*

- Clause 7.1.1 – Examination Records
- Clause 7.1.3 – Who is covered by enforceable arrangements
- Clause 7.4.2 d) – Threats to Repeated use of Examination Materials
- Clause 7.4.3 b) – Online/Remote Proctoring

- **Topics of discussion:**
  - Can anyone else access the examination results other than the candidate? Only with written permission, e.g. the employer wanting to know if their employee passed an exam – would still need permission from the candidate.

Clause 10 - Management System Requirements – *Everyone*

- Management Systems Requirements consistency with other Requirements

- **Topics of discussion:**
  - Nil

Questions and Answer Period – *All Presenters*

- Group sharing of ideas
- Summary