

# CERTIFICATION CHECKLIST

COMPANY:				
PREVIOUS CERT	IFICATIONS:			
<b>CURRENT CERTI</b>	FICATION:			



#### **Definitions of terms:**

#### **Assessment Center**

An assessment center (AC) is a series of diagnostic procedures, largely based on systematic behavioural observations, carried out for groups or individuals.

#### **AC** services

AC services refers to the development, implementation and evaluation of an AC.

#### **AC** provider

An AC provider is a company or business unit offering AC services. The provider is the organisation responsible for the development and quality assurance of an AC.

- **Internal** AC providers offer their services to clients who are part of the same group of companies as the AC provider.
- **External** AC providers are all non-internal AC providers, i.e. they offer AC services (development, implementation, evaluation etc.) from outside the company.

#### Client

Client refers to the individual or to the group of individuals who approach the AC provider requesting their AC services.

#### **Assessor**

Assessors are individuals who carry out the AC method. There are usually two functions:

- The **moderator** guides the participants through the individual exercises; they ensure both the correct implementation of the requirements and compliance with the structured assessment process.
- The **observers** observe and evaluate the behaviour and performance of the participants during the individual exercises.

#### **Participants**

Participants or candidates are individuals who go through the exercises of an AC.

#### **Swiss Assessment**

Swiss Assessment is the organisation that defines the certification criteria, designates the certification body, controls the certification processes and administers the quality label.

#### **Certification Body**

The certification body is the company commissioned by Swiss Assessment to carry out the certification of AC providers. A list of the approved certification bodies can be found on the Swiss Assessment website.



## **Preliminary remarks**

The following checkpoints are based on the quality standards defined by the Swiss Assessment Association - Working Group Assessment Center Switzerland AKAC (hereinafter Swiss Assessment), for the development, implementation and evaluation of assessment centers (<a href="http://www.swissassessment.ch">http://www.swissassessment.ch</a>). Members of Swiss Assessment follow those standards, in accordance with their self-declaration and in recognition of the association's statutes. Certified members undergo a quality audit carried out by the Swiss Association for Quality and Management Systems SQS and by the University of Zurich, Department of Work and Organisational Psychology.

Depending on the certification period, the audits are either carried out by attending an ongoing assessment center or are exclusively based on the documentation submitted. Initial certification requires the audit to be carried out by attending an ongoing assessment center. A second certification takes place only as an audit based on documentation submitted in advance. A third certification again requires the attendance of an ongoing assessment center. Subsequent certifications alternate between those two models.

Starting from the second certification, all changes made compared to the previous certifications must be documented. It is also important to capture the specific measures taken based on the feedback from the previous certification.

If not explicitly stated, the following requirements refer to group and individual AC.



## **Checkpoint 1: Clarified order relationship**

?	Are the goals and framework conditions of the AC contract, as well as the cons quences for the participants, clarified and communicated ahead of the design delivery of the AC?	
!	Minimum requirements: A written contract has been signed.	
	Verification: e.g. offer, order confirmation, contract or project plan Documents to be submitted: Client contract and, if relevant, verifiable documentation of any changes relation to the previous certification.	ng
⇨	Evaluation: Have the minimum requirements been	
	Remarks:	



## **Checkpoint 2: Independence of AC providers (internal or external)**

Are the internal or external AC providers in a position to make recommendations free of conflicts of interest?
Minimum requirements: Internal or external AC providers are viewed as service providers who are able and required to make independent recommendations.  Verification: Organisation chart, written contract or detailed specification sheet
Documents to be submitted: For internal providers: organisation chart For external providers: written contract / organisation chart and, if relevant, verifiable documentation of any changes relating to the previous certification.
Evaluation: Have the minimum requirements been
Remarks:



Checkpoint 3a: Basic scientific models - behavioural simulations and assessments

?	Is the AC provider able to disclose the scientific standards or basic models or
	which their behavioural simulations and assessments are based?

#### ! Minimum requirements:

The AC provider must be able to provide information to clients about the principles according to which each AC is developed, which competences are being tested and why, and which behavioural simulations and/or assessments are available to this end. In particular, the AC provider should demonstrate the scientific standards used in the selection and design of the behavioural simulations/assessments for the AC (i.e. AC exercises, interviews, role-play exercises, case analyses, etc.). This means that there has to be a documented and structured procedure for planning, developing, conducting and evaluating AC exercises (e.g. AC exercises with a connection to the relevant requirements and competences, sufficient and multiple observation of the competences; clear written exercise instructions such as written role-play instructions, systematically structured questions in interviews).

#### ✓ Verification:

Description of the AC design, including (1) the principles according to which each AC has been designed (e.g. the procedure used to develop the AC exercises), (2) the procedure-competence matrix with a list of all behavioural simulations/assessments typically used in an AC (e.g. role play exercise, presentation, computer simulation, structured interview, etc.).

#### Documents to be submitted:

Documentation containing the complete description of the AC design (see "Verification" above), which can be presented to the clients if required; if applicable, comprehensible documentation of any changes made compared to the previous certification process.

$\Rightarrow$	Evaluation Have the minimum requirements been met?	0 Yes	O No
	Remarks:		



Checkpoint 3b: Basic scientific models – (Psychometric) test procedures

?	Is the AC provider able to disclose the soundness of the measurement theories ap-
	plied to the test procedures?

- ! Minimum requirements:
  - On request, the client must be informed about the soundness of the measurement theories applied to all test procedures used within the AC. Examples of these test procedures are personality questionnaires, intelligence and performance tests or new procedures based on computer-based algorithms (app-based games, speech and face analysis, evaluation of social media data, etc.). The information on the theoretical soundness of measurement must include information on the theoretical background of the test procedures as well as information about the test quality criteria (see "Verification" below).
- ✓ Verification:

Submission of a list of all psychometric testing procedures used by the AC provider as part of its AC services. The list of test procedures should include the following information: (1) reliability (accuracy of measurement), (2) internal/external construct validity (internal data structure, factor analyses and/or correlations with related and/or distinct test procedures) and (3) criterion validity (correlations with indicators of job performance), as well as (4) the underlying theoretical model for the measurements.

- Documents to be submitted:

  Complete list of all methods and test procedures used within the AC; documentation containing information on reliability and validity for all test procedures (including the sources for all information provided; names of the constructs and criteria examined; submission of test manuals); if applicable, comprehensible documentation of any changes compared to the previous certification process.
- ⇒ Evaluation:
   Have the minimum requirements been Yes No met?
   Remarks:



# 2 Work and requirements analysis

## **Checkpoint 4: Analysis of the specific requirements**

Does the AC in question follow a work and requirements analysis, which has been carried out systematically?
Minimum requirements:  The reference point for the analysis is the concrete, relevant activity in the specific company. Representative roles and reference groups have been systematically involved for the collection of the relevant information.
Verification: Requirement profile of a representative AC; documentation of the derived requirement profile OR surveys created by the AC provider or by the AC developer
Documents to be submitted: A requirement profile based on the exercises and the assessment dimensions, as well as a description of the method used to create the profile; if applicable, a comprehensible documentation of any changes applied to previous certifications.
Evaluation: Have the minimum requirements been
Remarks:



## 3 Variety of exercises

Checkpoint 5: variety of methods and multiple coverage of the dimensions of the requirements

?	How many methods <sup>1</sup> are being used in the AC? Is a dimension typically assessed more than once?
! ☑	Minimum requirements: A group or an individual AC includes at least four different methods and each behavioural dimension is captured at least twice. At least two exercises are defined by explicit behavioural observation.  Verification:  Exercise files <sup>2</sup>
	Documents to be submitted:  Exercise files of a representative AC and, if applicable, a comprehensible documentation of any changes applied to previous certifications.
$\Rightarrow$	Evaluation: Have the minimum requirements been
	Remarks:

<sup>&</sup>lt;sup>1</sup>"Methods" refers to the various types of exercises implemented for behavioural observation, but also for personality, performance and intelligence tests as well as for interviews and other processes used for aptitude diagnostics. A personality test or a performance test are each considered to be one exercise.

<sup>&</sup>lt;sup>2</sup> The exercise files consist of a description of the assessment dimensions, the exercises aimed at eliciting the relevant behaviour and the procedure to observe and assess participants.



# 4 Observation and evaluation

#### **Checkpoint 6: Systematic behavioural observation**

Minimum requirements: In two exercises of the relevant AC, the behaviour relevant to the function in question is systematically and comprehensibly observed and assessed.  Verification: Exercise files; instructions for assessors to observe and evaluate the participants Documents to be submitted: Exercise files and written instructions for assessors and, if applicable, a comprehensible documentation of any changes applied to previous certifications.  Evaluation: Have the minimum requirements been	Is the AC largely based on systematic be	havioural observation	?
Exercise files; instructions for assessors to observe and evaluate the participants Documents to be submitted:  Exercise files and written instructions for assessors and, if applicable, a comprehensible documentation of any changes applied to previous certifications.  Evaluation:  Have the minimum requirements been	In two exercises of the relevant AC, the		•
Exercise files and written instructions for assessors and, if applicable, a comprehensible documentation of any changes applied to previous certifications.  Evaluation:  Have the minimum requirements been		to observe and evalua	te the participants
Have the minimum requirements been ☐ Yes ☐ No met?	Exercise files and written instructions fo		•
Remarks:	Have the minimum requirements been	☐ Yes	□ No
	Remarks:		



## 4 Observation and evaluation

## **Checkpoint 7: Structured assessment template**

Minimum requirements:  The behaviour and performance of the participants are assessed based on a structured assessment template.  Verification:  Assessment documents (e.g. assessment forms) from a representative AC.  Documents to be submitted:  Structured assessment templates of a representative AC and, if applicable, a comprehensible documentation of any changes applied to previous certifications.  Evaluation:  Have the minimum requirements been	Do the observers receive a structured ass	sessment template?	
Assessment documents (e.g. assessment forms) from a representative AC.  Documents to be submitted:  Structured assessment templates of a representative AC and, if applicable, a corprehensible documentation of any changes applied to previous certifications.  Evaluation:  Have the minimum requirements been	The behaviour and performance of the p	articipants are assesse	ed based on a struc
Documents to be submitted:  Structured assessment templates of a representative AC and, if applicable, a comprehensible documentation of any changes applied to previous certifications.  Evaluation:  Have the minimum requirements been		forms) from a represe	entative AC.
Have the minimum requirements been ☐ Yes ☐ No	Documents to be submitted: Structured assessment templates of a rep	oresentative AC and, i	f applicable, a com-
	Have the minimum requirements been	☐ Yes	□ No
Remarks:	Remarks:		



## 4 Observation and evaluation

#### **Checkpoint 8: Relationship between observers and participants**

Is the ratio of observers to participants appropriate for each exercise?
Minimum requirements: In each exercise, each AC participant is observed and assessed for the same dimensions by two observers (one of whom may be a moderator <sup>3</sup> ), based on a behavioural observation method.
Verification: An implementation plan which illustrates the allocation of assessors to the participants, OR a sample drawn by the certification body of an AC carried out by the AC provider.
Documents to be submitted:  Detailed schedule and allocation plan of a representative AC and, if applicable, a comprehensible documentation of any changes applied to previous certifications.
Evaluation: Have the minimum requirements been
Remarks:

 $<sup>^{\</sup>rm 3}$  See qualifications of the participants under Checkpoint 9.



# **5 Selection and training of observers**

## **Checkpoint 9: Training**

with overall responsibility for the implementation and evaluation of the AC has completed recognised studies and/or further education courses at a universit (bachelor or master's degree, Master of Advanced Studies).  The moderators have completed recognised studies and/or further education courses at a university (bachelor or master's degree, Master of Advanced Studies and/or further education courses at a university (bachelor or master's degree, Master of Advanced Studies and Courses at a university (bachelor or master's degree, Master of Advanced Studies and Courses must have completed observer training.   Verification:	Are the participants in the AC (provider, assessors) adequately trained?
Proof of the study completion of the individuals involved, including the aims a content of the courses completed Documents to be submitted: List of assessors, including information about their highest level of education. Attendance list of observer training carried out for a representative AC.  Evaluation: Have the minimum requirements been	The employees of the AC provider responsible for the development of the AC and with overall responsibility for the implementation and evaluation of the AC have completed recognised studies and/or further education courses at a university (bachelor or master's degree, Master of Advanced Studies). The moderators have completed recognised studies and/or further education courses at a university (bachelor or master's degree, Master of Advanced Studies) The moderators have completed recognised studies and/or further education courses at a university (bachelor or master's degree, Master of Advanced Studies)
List of assessors, including information about their highest level of education. Attendance list of observer training carried out for a representative AC.  Evaluation: Have the minimum requirements been	Proof of the study completion of the individuals involved, including the aims and
Have the minimum requirements been ☐ Yes ☐ No	List of assessors, including information about their highest level of education.
	Have the minimum requirements been ☐ Yes ☐ No
Remarks:	Remarks:

 $<sup>^4</sup>$  Internal assessors typically undergo full training once, which is why specific training for a particular AC is not required.



# **5 Selection and training of Assessors**

#### **Checkpoint 10: Experience**

Do the assessors have sufficient experience?
Minimum requirements: The majority of assessors have attended 100 AC over the past three years. <sup>5</sup> Verification: List of assessors with number of AC Documents to be submitted: List of assessors with number of AC in which they participated.
Evaluation: Have the minimum requirements been
Remarks:

<sup>&</sup>lt;sup>5</sup> A completed AC report counts as one AC; in other words, a single AC with one candidate counts as one AC, a group AC with 12 candidates counts as 12 AC.



# **5 Selection and training of Assessors**

## **Checkpoint 11: Seniority**

	s the cooperation between the AC provider a ionship?	and the assessors a	a long-term rela-
M Th	Minimum requirements: The majority of the assessors have been worl more years.	king for the AC pro	vider for two or
V	/erification: Attendance list of the assessors		
	Documents to be submitted: Attendance list for the past three years of the	e assessors in AC ru	un by the provider
Н	Evaluation: Have the minimum requirements been $\Box$ met?	Yes	□ No
Re	Remarks:		
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## 6 Pre-selection and information to participants

#### **Checkpoint 12: Pre-selection of the participants**

?	Are the participants nominated on the basis of reasonable criteria and do they have realistic chances to succeed?
!	Minimum requirements:  The nomination criteria are clearly defined. The connection to the career models and the requirement criteria is evident.
<b></b> ✓	Verification: Career models and nomination criteria for the AC, which are used by line managers and HR managers.
	Documents to be submitted: Career models and nomination criteria for the participants for the AC <sup>6</sup> and, if applicable, a comprehensible documentation of any changes applied to previous certifications.
⇨	Evaluation: Have the minimum requirements been
	Remarks:

<sup>&</sup>lt;sup>6</sup> External AC providers must supply the relevant documentation to the company for which they carried out the representative AC. This means that the providers partially depend on their corporate clients. If the shortfall of documentation obtained is too big to enable the provider to get certified, the issue needs to be recorded in view of the next certification. The AC provider will then be required to take a pro-active stance towards their corporate clients.



# **6 Pre-selection and information to participants**

## **Checkpoint 13: Information for the participants**

Are the participants informed about the cess of the AC?	purpose, the	consequences and the pro-
Minimum requirements: Participants are informed in advance of the All participants receive the same informations involved.	• •	•
Verification: Documents sent to participants, OR transing participants, OR documents sent to participants of the AC, OR samples drawn in the	articipants to	o inform them before the
Documents to be submitted: Documents which have been sent to par versations informing participants, OR do them before the start of the AC, OR rand body in the form of participant surveys fand, if applicable, a comprehensible doc vious certifications.	cuments sen lom samples or an AC carr	t to participants to inform drawn by the certification ied out by the AC provider
Evaluation: Have the minimum requirements been met?	☐ Yes	□ No
Remarks:		



# 7 Preparation and implementation

## **Checkpoint 14: Schedule and premises**

?	Is there a differentiated and clear schedule for all participants (assessors and participants) and do the premises guarantee an undisturbed and confidential process?	=
!	Minimum requirements: The current schedules are clearly structured and understandable for outsiders to The implementation is spatially separated from other events (e.g. in a convention centre). The premises have an adequate infrastructure.	
	Verification: Schedules and overview of rooms	
	Documents to be submitted: Timetables, schedules, overview of rooms including images of the rooms, of a representative AC and, if applicable, a comprehensible documentation of any change applied to previous certifications.	•
$\Rightarrow$	Evaluation: Have the minimum requirements been	
	Remarks:	
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# 8 Feedback and follow-up

## Checkpoint 15: Feedback

Minimum requirements: In addition to a written feedback, the participants receive an offer for an oral feed back. Should they accept this offer, the feedback session will ideally take place no later than two months after the completion of the AC.  Verification: Feedback reports and schedule of their creation and distribution, names of feedback providers as well as information about their role and qualifications and, if applicable, the participant's explicit waiver of feedback.  Documents to be submitted:  Example of a feedback report (final AC report), names of feedback providers from a representative AC and, if applicable, a comprehensible documentation of any changes applied to previous certifications.  Evaluation:  Have the minimum requirements been	Do the participants receive meaningful meeting in a confidential setting?	feedback, delivered	during a face-to-face
Verification: Feedback reports and schedule of their creation and distribution, names of feedback providers as well as information about their role and qualifications and, if applicable, the participant's explicit waiver of feedback.  Documents to be submitted:  Example of a feedback report (final AC report), names of feedback providers from a representative AC and, if applicable, a comprehensible documentation of any changes applied to previous certifications.  Evaluation:  Have the minimum requirements been	In addition to a written feedback, the p back. Should they accept this offer, the	feedback session wi	
Example of a feedback report (final AC report), names of feedback providers from a representative AC and, if applicable, a comprehensible documentation of any changes applied to previous certifications.  Evaluation:  Have the minimum requirements been	Verification: Feedback reports and schedule of their back providers as well as information a	creation and distrib bout their role and q	
Have the minimum requirements been ☐ Yes ☐ No met?	Example of a feedback report (final AC a representative AC and, if applicable, a	comprehensible do	•
Remarks:	Have the minimum requirements been	□ Yes	□ No
	Remarks:		



# 8 Feedback and follow-up

## **Checkpoint 16: Confidentiality**

Minimum requirements: The AC provider is obviously committed to confidentiality. Verification: Mission statement OR Code of Conduct, assessors' statement of confidentiality. Documents to be submitted: Mission statement OR Code of Conduct and an example of a confidentiality state-	Does the AC provider guarantee confidentiality regarding the information gathered from the client and the participants?
Verification:  Mission statement OR Code of Conduct, assessors' statement of confidentiality.  Documents to be submitted:  Mission statement OR Code of Conduct and an example of a confidentiality statement signed by the relevant manager; if applicable, a comprehensible documentation of any changes applied to previous certifications.  Evaluation:  Have the minimum requirements been	Minimum requirements:
Documents to be submitted:  Mission statement OR Code of Conduct and an example of a confidentiality statement signed by the relevant manager; if applicable, a comprehensible documentation of any changes applied to previous certifications.  Evaluation:  Have the minimum requirements been	Verification:
Have the minimum requirements been ☐ Yes ☐ No met?	Documents to be submitted: Mission statement OR Code of Conduct and an example of a confidentiality statement signed by the relevant manager; if applicable, a comprehensible documenta
Remarks:	Have the minimum requirements been ☐ Yes ☐ No
	Remarks:



# 8 Feedback and follow-up

## **Checkpoint 17: Data Protection**

Minimum requirements: The AC provider follows the rules concerning data protection. Verification: Data protection statement available in writing as well as information regarding storage of AC documents Documents to be submitted: Written data protection statement and information on where, how and for how long the individual AC documents (exercise documents, final reports, etc.) are being stored; if applicable, a comprehensible documentation of any changes applied to previous certifications.  Evaluation: Have the minimum requirements been	Does the AC provider adequately handle	e confidential data?	
Data protection statement available in writing as well as information regarding storage of AC documents  Documents to be submitted:  Written data protection statement and information on where, how and for how long the individual AC documents (exercise documents, final reports, etc.) are being stored; if applicable, a comprehensible documentation of any changes applied to previous certifications.  Evaluation:  Have the minimum requirements been	The AC provider follows the rules conce	rning data protection.	
Written data protection statement and information on where, how and for how long the individual AC documents (exercise documents, final reports, etc.) are being stored; if applicable, a comprehensible documentation of any changes applied to previous certifications.  Evaluation:  Have the minimum requirements been	Data protection statement available in v	writing as well as infor	mation regarding
Have the minimum requirements been ☐ Yes ☐ No met?	Written data protection statement and long the individual AC documents (exercing stored; if applicable, a comprehensi	cise documents, final r	eports, etc.) are be-
Remarks:	Have the minimum requirements been	☐ Yes	□ No
	Remarks:		
	·		



## 9 Evaluation

## **Checkpoint 18: Cooperation with academic institutions**

Does the AC provider show willingness to work with academic institutions?
Minimum requirements: Yearly participation of an assessor in a further training event run by Swiss Assessment, active participation in a Swiss Assessment working group, contribution to a journal, active support of student projects, teaching assignment on the subject of AC at a recognised training institution.
Verification:  Proof that two of the activities listed under the minimum requirements have been carried out within the past three years.
Documents to be submitted:  Two supporting documents for the following activities over the past three years: participation in a Swiss Assessment event, participation in a Swiss Assessment working group, participation or presentation in academic conferences (e.g. EA-WOP, SGP, etc.), copy of an article from a specialist journal, support/supervision of a student project (copy of the project, confirmation from the university), teaching assignment (contract with training institution, curriculum extract)
Evaluation: Have the minimum requirements been
Remarks:



## 9 Evaluation

#### **Checkpoint 19: Evaluation**

The AC pr lidity. 8 Re Verification Evaluation Document An internations the	n report according to specified ts to be submitted: al evaluation report, which is r relevant key figures, OR a publ	demic theories and the demic theories and the demical theories and the	are clearly visible.  nree years and which con-
Evaluation Documen An internations the	n report according to specified ts to be submitted: al evaluation report, which is r relevant key figures, OR a publ	not older than th lication regardin	-
An internations the	al evaluation report, which is relevant key figures, OR a publ	lication regardin	-
ings and t the evalua and what	the resulting outcomes. An over the resulting outcomes. An over tion report, showing which part type of evaluation report was y or criterion validity).	erview must be s articular iteratio	nd a list of the main find- submitted in any case along on the certificate represents
Evaluation Have the met?	n: minimum requirements been	☐ Yes	□ No
Remarks:			

<sup>&</sup>lt;sup>7</sup> Please refer to the document 'Specifications for evaluation'.

<sup>&</sup>lt;sup>8</sup> An evaluation report must be submitted for each certification period (time span between two certification audits, usually 3 years). At least one evaluation report on criterion validity must be submitted over two certification periods (i.e. within six years).



## **10** Internal focus

#### **Checkpoint 20: Quantitative aspects**

?	How many AC participants have been ass	essed over the past t	hree calendar years?
! 	Minimum requirements:  100 candidates have been assessed over Verification:	the past three years.	
$\checkmark$	List of the AC and the participants over the	ne past three years.	
	Documents to be submitted:  Overview with details of location, date an of the AC of the past three years.	nd clients as well as th	ne list of candidates
⇨	Evaluation: Have the minimum requirements been met?	☐ Yes	□ No
	Remarks:		



## 10 Internal focus

#### **Checkpoint 21: Share of turnover**

Does the share of turnover generated from AC services show that AC is a primary activity of the provider?
Minimum requirements: For external AC providers, the turnover generated from AC amounts to either 50% of the overall turnover or to CHF 1 Mio. <sup>9</sup>
Verification: Annual report and accounting data
Documents to be submitted: Annual report, sales figures based on annual reports <sup>10</sup> ; if necessary, information from an independent trustee.
Evaluation: Have the minimum requirements been
Remarks:

<sup>&</sup>lt;sup>9</sup> Internal AC providers are not included in this criterion, since they are by definition a specialist unit for AC services.

 $<sup>^{10}</sup>$  This method enables to estimate the average price of an AC specifically for the AC provider being audited. The turnover generated through AC is divided by this average price to obtain the number of AC performed over the past three years. The estimate is based on the average price of the last 10 AC carried out by the AC provider being audited.



## **10** Internal focus

#### **Checkpoint 22: Consistency and loyalty of clients**

Is the AC provider able to show long-term collaborations with clients?							
Minimum requirements: External AC providers have years of cooperation with at least two clients. 11							
Verification: Reference of the relevant clients.							
Documents to be submitted: List of clients of the past two financial years who have commissioned more than five AC per year.							
Evaluation: Have the minimum requirements been							
Remarks:							

 $<sup>^{11}</sup>$  Anyone ordering more than five AC a year and agreeing to be a point of reference is considered a key client.



## Overview of the documents to be made available

Documents	Checkpoints
To be submitted by all <b>in advance</b> :	
Brief report on the specific measures taken based on the feedback from the previous certification.	according to feedback from previous certifi- cation
A list showing where changes have been made to the checkpoints in question. A comprehensible documentation of the changes made, arranged by checkpoints.	1 – 8, 12 – 17
Contract with the client	1
Organisation chart or exemplary mandate	2
Description of the AC design	3
A requirement profile at the basis of the exercises and assessment dimensions, as well as a description of the method used for the survey of the profile.	4
Exercise files and written instructions for assessors	5, 6
Structured assessment templates	7
A detailed schedule and allocation plan, as well as a list of assessors of a representative AC	8, 9, 14
List of assessors detailing their highest level of education completed and number of AC in which they participated.	9, 10
Attendance list of observer training delivered for these AC	9
Attendance list of assessors in AC delivered by the provider over the past three years	11
Career models and criteria for the nomination of participants for the AC <sup>12</sup>	12
A comprehensible documentation about where, how and when the participants were informed about the AC.	13
Room overview of a representative AC, including representative images of the rooms	14
Example of a feedback report (AC final reports), as well as documentation of the procedure followed to provide feedback	15
Documentation of how the AC provider and the assessors commit to confidentiality.	16

 $<sup>^{12}</sup>$  External AC providers submit the relevant documents for the companies for which they carried out their last five AC.



A written statement on data protection and information on where, how and for how long the individual AC documents are filed (exercise documents, final reports, etc.).	17
Two different types of evidence from the following activities over the past three years: participation in a Swiss Assessment event, participation in a Swiss Assessment working group, participation in academic conferences (e.g. EAWOP, SGP, etc.), copy of an article from a specialist journal, support/supervision of a student project (copy of the project, confirmation from the university), teaching assignment (contract with training institution, curriculum extract)	18
An evaluation report not older than three years illustrating relevant key figures, OR a publication regarding the AC in question, which contains information on the validity of the procedure. An overview must be submitted along the evaluation report, showing which particular iteration the certificate represents and what type of evaluation report was submitted for previous certifications (social validity or criterion validity). 13	19
An overview with details of location, date and client as well as the list of candidates of AC over the past three years	20
In addition, the following need to be submitted by external providers in advance:	
An annual report, sales figure based on annual reports <sup>14</sup> ; if necessary, information from an independent trustee	21
List of clients from the past two financial years who have commissioned more than five AC per year.	22

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<sup>&</sup>lt;sup>13</sup> By the second certification at the latest, the evaluation report must contain information on the prognostic or criteria validity of the AC. The relevant requirements are set out in a separate document ("Requirements for evaluation").

<sup>&</sup>lt;sup>14</sup> This method enables to estimate the average price of an AC specifically for the AC provider being audited. The turnover generated through AC is divided by this average price to obtain the number of AC performed over the past three years. The estimate is based on the average price of the last 10 AC carried out by the AC provider being audited.



To be submitted by everyone during the audit:	
Additional AC files will be randomly reviewed during the audit. At the start of the audit, it will be clarified for which period the actual AC will be reviewed.	
The files should therefore be archived so that the following are clearly visible:	
- exercises - assessment dimensions	
<ul><li>- assessment forms</li><li>- instructions for assessors</li><li>- schedule</li></ul>	
- final report/feedback.	



# Overview of any changes made

Checkpoint	Change		Documentation
1 Clarified contractual basis	No	Yes	•
2 Independence of AC providers (internal or external)	No	Yes	•
<b>3</b> Basic academic models	No	Yes	•
<b>4</b> Analysis of the specific requirements	No	Yes	•
<b>5</b> Variety of methods and multiple coverage of the requirement dimensions	No	Yes	•
<b>6</b> Systematic behavioural observation	No	Yes	•
<b>7</b> Structured assessment templates	No	Yes	•
8 Relationship observers – participants	No	Yes	•
12 Pre-selection of participants	No	Yes	•
13 Information to participants	No	Yes	•
14 Schedule and premises	No	Yes	•
15 Feedback	No	Yes	•
16 Confidentiality	No	Yes	•
17 Data protection	No	Yes	•



## **Decision on certification**

1. Order clarification a	and integration						
Checkpoint 1:	Have the minimum requirements been met?	☐ Yes	☐ No				
Checkpoint 2:	Have the minimum requirements been met?	☐ Yes	☐ No				
Checkpoint 3a/b:	Have the minimum requirements been met?	☐ Yes	☐ No				
2. Work and requirem	ents analysis						
Checkpoint 4:	Have the minimum requirements been met?	☐ Yes	☐ No				
3. Variety of exercises							
Checkpoint 5:	Have the minimum requirements been met?	☐ Yes	☐ No				
4. Observation and evaluation							
Checkpoint 6:	Have the minimum requirements been met?	☐ Yes	☐ No				
Checkpoint 7:	Have the minimum requirements been met?	☐ Yes	☐ No				
Checkpoint 8:	Have the minimum requirements been met?	☐ Yes	□ No				
5. Selection and traini	ng of observers						
Checkpoint 9:	Have the minimum requirements been met?	☐ Yes	☐ No				
Checkpoint 10:	Have the minimum requirements been met?	☐ Yes	☐ No				
Checkpoint 11:	Have the minimum requirements been met?	☐ Yes	□ No				
6. Pre-selection and in	formation to participants						
Checkpoint 12:	Have the minimum requirements been met?	☐ Yes	☐ No				
Checkpoint 13:	Have the minimum requirements been met?	☐ Yes	☐ No				
7. Preparation and im	plementation						
Checkpoint 14:	Have the minimum requirements been met?	☐ Yes	☐ No				
8. Feedback and follow	w-up						
Checkpoint 15:	Have the minimum requirements been met?	☐ Yes	□ No				
Checkpoint 16:	Have the minimum requirements been met?	☐ Yes	☐ No				
Checkpoint 17:	Have the minimum requirements been met?	☐ Yes	☐ No				
9. Evaluation							
Checkpoint 18:	Have the minimum requirements been met?	☐ Yes	☐ No				
Checkpoint 19:	Have the minimum requirements been met?	☐ Yes	☐ No				



10. Internal focus			
Checkpoint 20:	Have the minimum requirements been met?	☐ Yes	□ No
Checkpoint 21:	Have the minimum requirements been met?	☐ Yes	□ No
Checkpoint 22:	Have the minimum requirements been met?	☐ Yes	□ No
Have all mandatory ch	☐ Yes	□ No	
Have three additional	☐ Yes	□ No	
Have both requiremen	Quality	label	