

TPECS Certification Requirements

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Introduction

Exemplar Global developed the [Training Provider and Examiner Certification Scheme \(TPECS\)](#) to ensure that those needing to demonstrate competency in a defined area of expertise (or job role) can find a provider capable of developing and offering fair, valid, and reliable exams in the elements defined by the Exemplar Global Competency Units.

The reasons why someone may need to demonstrate their competence are many, but whether it is to seek employment, promotion, demonstrate competence in the contents/theory of a training course, or apply for personnel certification with Exemplar Global, etc., they can be assured that selecting a Training Provider meeting these requirements means that they are engaging with an entity that has been independently evaluated and approved by Exemplar Global. This independent approval provides [consumer] confidence and generates a marketable point of difference for the Training Provider.

To achieve the TPECS Certification benchmark, the applicant Training Provider needs to undergo an assessment to verify that they meet these administrative processes and have developed examinations/assessments that meet defined criteria. The process by which administrative processes are verified is outlined on the following pages, along with the requirements needing to be met. The elements that are required to be included in exams/assessments undertaken by Candidates are defined by [Competency Units \(CUs\)](#), and TPECS Competency Units are available upon request from Exemplar Global.

This document comprises several sections, each relating to an aspect of the TPECS Certification Requirements for initial certification, maintenance of certification, or customization of the scope of certification based on the provider’s particular use case. The sections are as follows:

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Process Overview

Applicants are required to submit documentation to enable verification that their administrative processes and examination activities meet these requirements.

The administrative requirements are outlined in the pages of this document, whereas the elements to be covered by the examinations are defined in the various TPECS Competency Units, available as separate documents.

The steps for completing these verification activities are summarized in the Table below.

(Existing TPECS-certified training providers, please refer to Page 13 for information relating to Surveillance Activities)

Table 1 – TPECS Application Process Overview.

<p>1. Initiation</p>	<p>The Applicant, in conjunction with Exemplar Global, identifies the Competency Units to be included in the scope of TPECS certification depending on their needs.</p> <p>The TPECS Certification Proposal is reviewed by the Applicant.</p> <p>Once the Proposal is signed, an invoice will be generated for the Application Fee</p> <p>Payment of the invoice initiates the evaluation process</p>
<p>2. Remote Audit</p>	<p>The Applicant submits the required documentation to enable the Exemplar Global Evaluator to verify that the administrative processes conform to the requirements outlined in these Certification Requirements.</p> <p>The Applicant will continue to work with the Evaluator to address all Findings prior to proceeding to the Examination Review stage.</p>
<p>3. Examination Review</p>	<p>The Applicant reviews their examination materials to ensure that they meet the requirements as defined by each of the Competency Units covered under the scope of the application. The results of this self-assessment are to be recorded in the associated Examination Profile (Note: There is an Examination Profile associated with each Competency Unit).</p> <p>The Applicant sends the completed Examination Profile(s), along with all the examination activities (i.e., exams, quiz's, role play activities, exercises etc.) to the Evaluator for review.</p> <p>The Applicant will continue to work with the Evaluator to address all Findings prior to proceeding to the Certification stage.</p>
<p>4. Certification</p>	<p>Now that the Evaluation Process is finalized, Exemplar Global issue the Certification Agreement and the Final Invoice.</p> <p>Upon finalization of these items, Certification is awarded, and the Applicant is then known as a (TPECS) Training Provider.</p>

	12-months from this date is the Anniversary Date (relevant for Surveillance Activities and Annual Certification Fees).
5. Onboarding	<p>Exemplar Global will issue the TPECS Certification Mark (badge) and the Exemplar Global Logo for use on the Training Providers materials in compliance with the requirements outlined in the section titled: “Conditions for Use of the Exemplar Global Certification Mark and Logo” (below).</p> <p>The Exemplar Global Team will also arrange introductory meetings between Exemplar Global Operational Staff and nominated personnel within the Training Provider to facilitate the ongoing relationship and to ensure that the Training Provider is familiar with key reporting processes.</p>

Application For Certification

Administrative Audit Requirements

Introduction

The purpose of the remote audit is to evaluate the administrative procedures and processes the applicant intends to use against the specific requirements outlined in the following sections.

The result of the Remote Audit is a report that details the extent to which the applicant meets the certification requirements. This report is supplied to the applicant.

Note: When non-conformances (NC) are found, the Applicant will be provided with an explanation of the issue within the Remote Audit Checklist. The Applicant shall address the NC within its processes, then re-submit the revised/new process(es) to the Evaluator for review.

All non-conformances identified during the Remote Audit must be addressed before the certification process can continue.

Once complete, Exemplar Global can be confident that the applicant can administer its various examination activities consistently, reliably, and fairly.

Learner Needs

TPECS applicants are required to have a defined process for receiving and processing requests for allowances from special needs Candidates (i.e., Candidates that are seeking, or should be offered, some form of dispensation because of language, culture, literacy, disability, etc.), and what that allowance may be.

Guidance Note: Exemplar Global acknowledges that developing a definitive list of allowances covering all special needs cases is impractical. The expectation here is that the Applicant has considered its likely use cases, and developed appropriate accommodations that enable the

individual with special needs to complete the examination activity without putting them in danger, or at a disadvantage. For instance, the use of a translation device/dictionary, or additional time to complete examination activities, etc., could be accommodations in certain circumstances.

Recognition of Prior Learning (RPL)

TPECS Applicants shall have defined processes for accepting and processing Recognition of Prior Learning (RPL) requests. RPL requests are received from Candidates who believe that they have acquired relevant knowledge and skills through any combination of formal, non-formal, or lived (i.e., on-the-job) experience, and they believe that this learning demonstrates their ability to successfully complete some or all the examination activities specified by the TPECS Competency Units.

The RPL processes developed by the Applicant shall require collecting and retaining sufficient verifiable evidence from the Candidate to substantiate the decision of equivalence against the TPECS Competency Units (see the section titled Candidate Records).

Guidance Note: Exemplar Global acknowledges that each RPL application will be unique, and a procedure covering each foreseeable scenario would be impractical to develop. The expectation is that the Applicant defines the process used to reach a decision. These processes shall include the need to record the specified information as a minimum. Each Applicant is free to develop their own pricing structures for this service to be paid by the Candidate.

Recognition of Current Competence (RCC)

TPECS Applicants shall have defined processes for the Recognition of Current Competence (RCC), that is, accepting a Candidate's Certificate of Attainment issued by another Exemplar Global certified TPECS Provider as meeting the associated examination components.

RCC Implementation Examples: A Candidate wishes to undertake examinations relating to Environmental Management Systems Lead Auditor (i.e., a combination of the AU, TL, and EM Competency Units) and wishes to apply for RCC. They:

Example a) Present a Certificate of Attainment issued by a TPECS-certified training provider listing the Competency Units of AU, TL, and 45001. The Training Provider considers this and determines that the Candidate is only required to complete the EM-related Competency Unit examinations.

Example b) present an Audit Log listing 56 audit days in the capacity as an Environmental Management Systems Lead Auditor (but against the previous version of the ISO 14001 Standard) and a letter of recommendation, recently signed by the Certification Manager of an Accredited Certification Body. However, the Candidate is unable to provide any evidence of training or examination, i.e., lost Certificate. After consideration, the Training Provider determines that the Candidate can be excused from the teaching component of the course and proceed directly through to the examination phase for the validation of competence.

Each Applicant is free to develop their own processes and associated pricing structures to be paid by the Candidate. However, these processes shall require the retention of sufficient information and evidence to substantiate the decision (see the section titled: Candidate Records).

Conditions for Use of the Exemplar Global Certification Symbols

Exemplar Global utilizes two distinct identifiers: the Exemplar Global brand logo and a TPECS Certification Mark (also known as a digital badge). These are collectively known as Certification Symbols.

Only Training Providers certified by Exemplar Global may use the Certification Symbols, and where they do, the use of these devices shall be in line with the requirements outlined in the bullet points below.

Guidance Note: TPECS Applicants are permitted limited use of the Certification Symbols for the express purpose of preparing documentation associated with its application and on the proviso that these materials shall be protected from being displayed publicly.

The Exemplar Global Certification Symbols:

- ❖ are only to be used in conjunction with the logo of the Training Provider holding TPECS Certification and may not be reproduced in isolation.
- ❖ shall not exceed the size of the Training Provider's logo or occupy a dominant location on the article (i.e., Certificate of Attainment, website, document, etc.).
- ❖ shall only be used or displayed on materials and/or websites within the scope of TPECS Certification.
- ❖ the TPECS Certification Mark (Badge) may only be displayed by Training Providers holding TPECS Certification and only in relation to areas within the Scope of TPECS Certification.
- ❖ will be provided to the Training Provider upon achieving TPECS Certification. The Certification Symbols shall not be altered and shall be used as provided. The only exception is that the Certification Symbols may be resized, providing that the resizing process does not introduce distortion. If reduced, images shall remain sufficiently large to be clearly legible when viewed at 100% (when viewed on digital media).

The Training Provider shall exercise proper control to ensure that all published materials, including those provided and/or distributed by a contract organization, follow the required conditions and rules.

No reference shall be made in advertisements or other promotional or informational material to the Training Providers course being Certified or to Exemplar Global sponsoring or endorsed the Course in any way.

When referring to the status of the Training Provider and its relationship to Exemplar Global, the word 'Certified' shall be used', the word 'Accredited' shall not be used.

Example: "Exemplar Global Certified TPECS Provider for the [Competency Unit Descriptor/s] Competency Unit/s".

The Training Provider shall refrain from making statements in advertisements, catalogues, certificates, etc., that could undermine the reputation of the Exemplar Global programs. All violations shall be subject to suitable actions, including but not limited to corrective action, suspension, withdrawal of Exemplar Global certification, and, if necessary, legal action.

The Training Provider shall take suitable action to deal with incorrect references to its certification, certification status, or misleading use of the Exemplar Global certification symbols in advertisements, catalogues, etc.

Other requirements or clarifications will be developed in consultation with individual Training Providers if necessary.

Examination Guides

Training Providers shall develop, implement and maintain Examination Guides for all Examinations used to assess competencies as defined by the Competency Units.

The Examination Guide shall include:

- ❖ The objectives of the examination
- ❖ An outline of the conditions under which the Candidate demonstrates their competency against the requirements outlined in the Competency Unit, including any need for proctoring or the management of remote examinations.
- ❖ Any accommodations that may be made for disability, language, and other special needs (see Learner Needs above).
- ❖ The model answers/expected results that the Candidate must demonstrate/achieve (i.e., the Answer Key) during the examination.
- ❖ The Score/Benchmark that the Candidate needs to achieve to be marked as Competent and
- ❖ The method by which Candidates are re-examined if they are deemed 'Not Yet Competent'.

NOTE: If re-examination is necessary, the exam questions shall be sufficiently different from those on the original exam to prevent memorization. The examiner may employ an alternative method of re-examination, enabling the Candidate to demonstrate the required competency in another way. However, if an alternative mode of examination is used under these conditions, the method used and the resulting Candidate response shall be documented on the Candidate Record.

Examiner Competence

Examiners (i.e., Training Provider personnel marking the exams and determining the competency status of the Candidate) shall themselves be competent to examine the knowledge-based competencies for the Competency Unit(s) to which they have been assigned. The Applicant shall develop, implement, and maintain documented processes for the initial selection, approval, and ongoing evaluation of the Examiner's competence. The Applicant shall document and retain records of Examiner competence that meet the minimum requirements outlined in the bullets below.

The Examiner:

- ❖ can demonstrate a combination of knowledge, training, education, and experience in relation to the Competency Unit being assessed.
- ❖ is fluent in the language of examination, both in writing and orally.
- ❖ has an understanding of the use and application of Examination Guide(s).
- ❖ has an understanding of the application of the RPL and RCC processes if making these determinations/decisions.

The Applicant shall provide a list of Examiners, their qualifications, and experience to Exemplar Global for review.

To avoid potential conflict of interest, when examinations are administered as part of a course offering, the Examiner should not be the same person as the Instructor. However, when the same person fulfils both roles, the Training Provider shall record how this conflict of interest is managed effectively.

Where interpreters are used, the Applicant must have a defined process to ensure that:

- ❖ the same examination principles are followed.
- ❖ interpreters are selected in such a way as to ensure impartiality, knowledge and accurate translation.
- ❖ appropriate arrangements are in place to ensure the accurate translation of examination materials.
- ❖ evidence of the competence of translators is retained.

Candidate Certificate

At the conclusion of the assessment activities, each Candidate will be issued a Certificate commensurate with the Competent/Not Yet Competent result achieved.

The graphical design of the Candidate Certificate is within the control of the TPECS Applicant (TPECS Training Provider); however, the information recorded on certificates must conform to the specifications outlined below. The Applicant shall submit a draft of each type of certificate during the application phase for review and approval before use (please see the 'Guidance Note' associated with using Certification Symbols during the Application process on page 5 of this document).

Certificate of Attainment

- ❖ A **Certificate of Attainment** is awarded to Candidates who achieve the competency or Examination Benchmarks (score) specified in the Examination Guide (see Page 6 of this document).
Certificates of Attainment are submitted to Exemplar Global when the Candidate applies for Personnel Certification or to other interested parties as needed.

The Certificate of Attainment shall be a single page and include:

- ❖ The Training Provider's mark or logo
- ❖ Training Provider's name as certified by Exemplar Global
- ❖ Exemplar Global Certification Symbols (i.e., BOTH the Exemplar Global brand logo and TPECS Certification Mark (also known as a digital badge)
- ❖ Full name of the Candidate
- ❖ Competency unit(s) attained by the Candidate
- ❖ The following statement (or similar wording approved by Exemplar Global):
"[Name of Training Provider] is an Exemplar Global Certified TPECS Provider for the Competency Units listed on this certificate."
- ❖ Date Certificate of Attainment was awarded.
- ❖ Name and signature of the authorized representative(s) of the Training Provider
- ❖ A unique Certificate/Serial Number for each certificate.

The Certificate of Attainment shall not:

- ❖ Imply or state the successful completion of a course.
- ❖ Refer to the training course as being TPECS Certified
- ❖ Refer to or contain a blend of TPECS Competency Units and any courses offered under the scope of RTP Certification.

Guidance Note: However, the Certificate of Attainment, awarded by a TPECS Certified Provider, may contain wording such as:

Option a:

"[Name of Candidate] has completed a [name of course] course, during which competence in the following Exemplar Global Competency Units was demonstrated:

[Competency Unit Descriptor 1]

[Competency Unit Descriptor 2]

Etc."

Option b:

"[Name of Candidate] has attained the following Exemplar Global Certified Knowledge Competency Units:

[Competency Unit Descriptor 1]

[Competency Unit Descriptor 2]

Etc."

Certificate of Attendance

- ❖ In instances when a Training Provider offers a course in conjunction with the TPECS examinations, but the Candidate does not achieve the Examination Benchmarks, i.e., were deemed “Not Yet Competent”, a **Certificate of Attendance** will be issued. Individuals shall be informed that "Certificates of Attendance" will not be accepted for Personnel Certification by Exemplar Global.

The Certificate of Attendance shall be a single page and include:

- ❖ The Training Provider’s mark or logo
- ❖ Training Provider’s name as certified by Exemplar Global
- ❖ Full name of the Candidate
- ❖ Title of the course attended
- ❖ Date Certificate of Attendance was issued
- ❖ Name and signature of the authorized representative(s) of the Training Provider
- ❖ A unique Certificate/Serial Number for each certificate.

The Certificate of Attendance shall not:

- ❖ Imply or state the successful completion of the TPECS Examination
- ❖ Display the Exemplar Global Certification Symbols
- ❖ Refer to the training course as being TPECS Certified
- ❖ Refer to the Competency Unit Descriptor(s) associated with the course.

Notification of Candidates to Exemplar Global

Applicants are required to develop processes that will require it (once Certification is achieved) to submit specific information to Exemplar Global relating to each Candidate by 30 days past Certificate issuance. The information required to be provided to Exemplar Global includes:

- ❖ Candidate Name
- ❖ Email address
- ❖ Competency Units attempted.
- ❖ Assessment Start Date

The Applicant will be shown how to share this data with Exemplar Global via their Training Provider Portal upon achieving TPECS Certification (i.e., during the Onboarding Session).

Note: Training Providers are required to seek permission from Candidates to submit this information to Exemplar Global (see Confidentiality and Security on Page 8 of this document for additional information).

Notification of Changes to Exemplar Global

The Applicant shall have defined processes that require it to notify Exemplar Global of any change to the following after achieving TPECS Certification:

- ❖ Change of trading or legal name
- ❖ Change of address or other contact details
- ❖ Change in ownership or other material changes that may be relevant to Exemplar Global
- ❖ Significant changes to the administrative procedures such that the organization is unsure if they continue to meet these requirements.
- ❖ Significant changes to the examination activities (i.e., materially changing the structure of the exams. For example,, moving from examinations based on mock audit and case studies to rely instead on multiple-choice questions)

Confidentiality and Security

The Applicant shall develop and maintain processes that ensure adequate arrangements are in place, consistent with applicable laws, to safeguard the confidentiality of all information provided by Candidates, including the results of the TPECS examinations.

The processes must include:

- ❖ Arrangements that collect each Candidate's permission to submit their TPECS examination result to Exemplar Global, so that Exemplar Global may contact the Candidate with information on applying for personnel certification.
- ❖ Arrangements that ensure information about a Candidate shall not be disclosed to a third party (including the Candidate's employer) without the written consent of the Candidate, except where required by law.
- ❖ Arrangements that ensure information about the Candidate's sponsor shall not be disclosed without written consent of the sponsor (sponsors of private venue courses and examinations are considered third parties)
- ❖ General arrangements for ensuring the continued confidentiality and security of information are maintained
- ❖ How these arrangements will be extended to include Satellite Sites and Marketing Partners, or organizations or individuals acting on behalf of the TPECS Applicant.

All TPECS materials, examinations, and related items shall be maintained in a secure environment by the Applicant, Examiners, and its Subcontractors, to protect the confidentiality of these items throughout their useful life.

Complaints and Appeals

Applicants shall develop and maintain documented processes for managing complaints and appeals against their decisions. The processes shall include provision for corrective and preventive action, identified through root cause analysis, to be taken if required because of any complaint or appeal.

The procedures are required to include the potential for the involvement of Exemplar Global in unresolved complaints or appeals.

Applicants are required to develop processes in line with the following requirements:

- ❖ To inform all Candidates of the right to make a complaint or an appeal against the outcomes of the course or examination and provide written details of the process for doing so on request.
- ❖ To notify each complainant or appellant in writing of the result of any complaint or appeal submitted and of the right to appeal against the result to Exemplar Global.
- ❖ Training Providers shall make available to Exemplar Global a record of all complaints regarding either the delivery of a course or the examination of the Competency Units covered under their scope of certification, as well as the resolution of any such complaints within 30 days of the complaint being lodged. The resolution of the complaints record shall note any corrective action relative to the Training Provider's practices.

Candidate Records

Applicants are required to develop and maintain examination records for each Candidate. Records may be maintained electronically or in hard copy and shall include:

- ❖ The full name of the Candidate
- ❖ A record that the Candidate has agreed not to disclose/share examination materials or participate in fraudulent test-taking practices, including falsifying their identity.
- ❖ That the exam activities have been administered as per the examination guide (or guides)
- ❖ Date(s) of the examination(s)
- ❖ Competencies examined.
- ❖ Assessed examinations for each Candidate, identifying whether the Candidate was deemed 'Competent' or 'Not Yet Competent' against the Training Provider's examination guide for each competency being examined.
- ❖ A score report or detailed results for Candidates deemed NYC (if applicable)
- ❖ Agreed process of re-examination for Candidates deemed NYC (if applicable)
- ❖ Details of re-examination (if applicable)
- ❖ Final C/NYC outcome for the Competency Unit under examination
- ❖ Name(s) of Examiner(s)
- ❖ Certificates issued, including the Certificate (or Serial) Number.
- ❖ Examination records shall include evidence of Recognition of Current Competency (RCC) and/or Recognition of Prior Learning (RPL), where applicable.

Records shall be retained for a minimum of three (3) years and be readily accessible and made available to Exemplar Global on request. If Records are stored electronically, appropriate backup systems shall be in place to ensure the safeguarding of information.

Record of Review and Improvement

The Applicant is required to develop their process of review and improvement. At least once per year, the administrative management of the Training Provider shall review the following, at a

minimum, for effectiveness, improvement, and conformity to Exemplar Global requirements. Records of review shall include:

- ❖ A review of the processes and administrative procedures developed in line with these TPECS Requirements
- ❖ Results of a review of training and examination methodology/materials
- ❖ Performance of examiners and their future training/continuing professional development needs
- ❖ A review of resources associated with the delivery of training and examination.
- ❖ A review of any complaints and/or appeals received.
- ❖ A review of Candidate feedback received.
- ❖ A review of the ratio of competent to not yet competent at the following timing intervals shall be retained and acted upon by the Training Provider where necessary as a means of validating the examination “Passing” Score:
 - ❖ Initial attempt
 - ❖ Re-examination or subsequent attempts.

Guidance Note: Reviewing the pool of Candidate data from time to time provides input for the validation of the Competency Benchmarks and if these continue to be appropriate into the future, i.e.:

- ❖ Are they set too high or too low?
- ❖ Do the questions need to be modified or clarified?
- ❖ Do responses indicate that Candidates are consistently weak in specific areas of the examinations? If so, this may indicate that areas of any preceding coursework may need to be amended to improve Student understanding
- ❖ etc.

Examination Review

Exemplar Global undertakes an Examination Review to ensure that the TPECS Applicants’ examination materials adequately assess the Candidate’s ability to perform the activity documented within the Evidence Guide column of the Examination Profile.

Prior to submitting the examination materials to the Exemplar Global Evaluator for review, the TPECS Applicant is required to perform a self-assessment to verify that they address each of the individual Competency Elements specified in the Competency Unit. The results of this self-assessment are recorded by the Applicant in the Examination Profile.

A list of available Exemplar Global Competency Units can be found at:

<https://exemplarglobal.org/certifications-for-training-providers/>

Guidance Note: The Competency Unit defines a set of skills and knowledge areas related to a particular task and/or activities needing to be performed by the Candidate to demonstrate their competence in that area. The Competency Units are designed in a modular format and can be used in various combinations to collectively define the Examinations relating to a job task. For instance, Exemplar Global have developed the Competency Unit “AU” to define many of the key knowledge and skill elements that a Management System Auditor would need to demonstrate

when performing that role. Similarly, for the task of leading a team, the knowledge and skills are defined within the “TL” Competency Unit. These two Units, can then be used individually, or combined with other Units to specify a greater scope of examinations, like:

- ❖ Exams relating to the task of Quality Management Systems Lead Auditor would be defined by using the AU, TL, and QM Competency Units (with QM defining the competencies relating to the ISO 9001 Standard).
- ❖ Or, Exams related to the task of Environmental Management Systems Lead Auditor would be defined using the AU, TL, and EM Competency Units (with EM defining the competencies related to the ISO 14001 Standard).

Guidance Note: When developing or reviewing examination materials, it is important to recognize that TPECS Competency Units define the elements of competency that need to be examined/demonstrated. The TPECS Applicant is required to develop the exams that provide the opportunity for the Candidate to demonstrate the required competencies.

These exams may take any form (e.g., case study, role play, group activity, quiz, exam, mock audit, etc.) and, if presented during a training course, may be undertaken at any time.

When you read the requirements outlined in the Competency Unit, you will note that in some cases, the Candidate is required to provide an answer based on their recollection of the theory, while for other elements, the Candidate is required to demonstrate that they can use the knowledge gained and apply it to a certain situation to arrive at a conclusion or to perform some activity as a demonstration of their competence.

Guidance Note: The following information provides guidance for completing Examination Profiles. An examination profile is associated with each of the Competency Units included in the scope of TPECS Certification.

Examination Profile: This is the name reference for the Examination Profile

Competency: <i>This is a description of the competency to be demonstrated by the Candidate. Use this heading to provide context to the items outlined in the Performance Criteria/Evidence Guide columns</i>					
Performance Criteria	Evidence Guide	Examination Method	Location in Examiners' Guide	Examination Day and Time	Exemplar Global Use Only
					Verification/remarks
<i>This column is pre-filled by Exemplar Global. It outlines what the Candidate needs to demonstrate during some type of examination activity.</i>	<i>This column is pre-filled by Exemplar Global, and it outlines what the Candidate needs to do to demonstrate the Performance Criteria outlined in Column 1 of this table.</i>	<i>This column is where the Applicant specifies the <u>type of assessment activity used</u>. For instance:</i> <ul style="list-style-type: none"> • Role Play Activity • Multiple Choice • Short Written Response • Group Activity • etc. 	<i>This column is where you specify the <u>location of the examination activity</u> (also include the name of the document itself)</i>	<i>This column is where you specify the <u>time and day</u> that the assessment activity is completed by the Candidate.</i>	<i>Please leave this column blank</i>

AN EXAMPLE:

Examination Profile: Exemplar Global–AU

Competency: <i>Understand the application of the principles, procedures, and methods of auditing.</i>					
Performance Criteria	Evidence Guide	Examination Method	Location in Examiners' Guide	Examination Day and Time	Exemplar Global Use Only Verification/remarks
1.3 Understand the different types of management system audits.	E1.3 The difference between 1st party, 2nd party, and 3rd party audit is understood. The concept of combined or integrated audit are understood.	Exam, short written response	Exam Booklet, Question 2	Day 1 morning	

Information provided by Applicant/TPECS Provider

The completed Examination Profile(s) and all associated Examination materials are submitted to the Exemplar Global Evaluator for review.

The result of the Examination Review is an Examination Review Report detailing the extent to which the Applicant Examinations meet the requirements defined by the Competency Unit(s). The Report will document one of the following outcomes. Either:

- ❖ A recommendation to move forward in the TPECS certification process or
- ❖ Outline the Findings that must be addressed before the certification process may continue.

Note: When non-conformances (NC) are found, the Applicant will be provided with an explanation of the issue within the Examination Profile. The Applicant shall address the NC within its examination materials, then re-submit to the Evaluator for review.

When both the Remote Audit and the Examination Review activities have been completed, and any associated non-conformances have been closed, the TPECS application process is considered finalized.

Maintaining Certification

Surveillance Activities

Procedures and processes developed in line with the requirements outlined on the preceding pages shall be maintained, reviewed, and improved by the Training Provider over time. Exemplar Global will conduct Surveillance Activities as defined within the Training Certification Surveillance Activities document (TCD87) to ensure continued conformance with these Administrative Requirements and the Training Providers' own requirements.

These Surveillance Activities will be conducted by Exemplar Global in a 3-year revolving cycle, with different activities to be undertaken in each of the three years.

Note: Exemplar Global will amend the Surveillance Activities from time to time as necessary to address identified "issues" to ensure that the TPECS Certification program continues to provide market confidence.

Certified Training Providers will have 3 months from their Anniversary Date to finalize the nominated Surveillance Activities.

Note: The Anniversary Date is defined as 12 months after TPECS Certification was first awarded and then every 12 month interval after that.

Annual Fees

Annual fees will be billed in the same month as the Anniversary Date unless other arrangements have been made with and agreed to (in writing) by Exemplar Global.

The Annual Fee amount is based on the number of Competency Units held by the Training Provider and is independent of the Surveillance Activity undertaken within that year.

TPECS Customizations

The use of Satellite Offices and/or Marketing Partners

Exemplar Global provides a framework by which Training Providers may offer (training and) TPECS Certified examinations at multiple locations and/or engage with external parties to conduct this on their behalf. For the purposes of this framework, Exemplar Global has defined the following entities:

- ❖ **Critical Location** – This is the ‘Head Office’ of the Training Provider that holds the TPECS Certification and is therefore responsible for coordinating all TPECS activities, including the assessment of ongoing conformance by all parties under its control.
- ❖ **Satellite Offices** – A remote site (office, branch, or similar) offering (training and) TPECS Certified examinations, physically separated from, but under the direct control of the Critical Location’s TPECS Management System. The Satellite Office may be a different legal entity, but it shares the trading name and logo used by the Critical Location. The TPECS Certification Agreement is required to record details of each Satellite Office that offers TPECS examinations.

Note: The TPECS Certification Certificate issued by Exemplar Global will display the address of each approved site.

- ❖ **Marketing Partner** – A separate organization offering (training and) TPECS Certified examinations on behalf of the Critical Location under a contractual arrangement. The Critical Location shall apply to Exemplar Global for recognition of Marketing Partners using the ‘Marketing Partner Application Checklist (TCF03)’. If approved, the Marketing Partners’ name will be added to the TPECS Certification Agreement.

Note: However, the Marketing Partner’s name will not be listed on the TPECS Certification Certificate issued by Exemplar Global.

Requirements for the recognition of a Marketing Partner relationship.

If the Critical Location wishes to enter relationships with Marketing Partners, it shall apply to Exemplar Global to have this relationship and the necessary control process(es) recognized.

Notes:

- ❖ This option is only available to currently Certified TPECS Providers. Qualification/Waiting Periods may apply.
- ❖ This process involves the completion of the “TPECS Marketing Partner Application Checklist (TCF03)”, available upon request from Exemplar Global.
- ❖ There are costs associated with the recognition of each Marketing Partner relationship.

- ❖ The Critical Location shall:
 - ❖ Develop and implement processes to ensure that Marketing Partners conform to these TPECS Certification Requirements (TCD02) and their own additional requirements as appropriate.
 - ❖ Develop and implement processes for the initial and ongoing evaluation of the Marketing Partner's conformance against these requirements (e.g., by performing a second-party audit or similar activity).

Note: The Critical Location shall retain appropriate documentation (e.g., an audit report or similar) as evidence of conformance.

 - ❖ Make an application to Exemplar Global for each Marketing Partner it wishes to have recognized (by completing TCF03).
 - ❖ Be responsible for the Marketing Partner's conduct, performance, and conformance to process for all services offered under this relationship.

- ❖ The Marketing Partner shall:
 - ❖ Follow the administrative processes developed by the Critical Location to control this outsourcing relationship.
 - ❖ Deliver the [training and] examination activities as developed by the Critical Location.
 - ❖ Willingly participate in Surveillance Activities initiated by Exemplar Global when/if required.

- ❖ The Marketing Partner shall not:
 - ❖ Modify or update the processes developed by the Critical Location.
 - ❖ Modify or update the Examinations, Examination Profiles, or the supporting Marking Guides for ANY Competency Unit(s) offered under these arrangements.
 - ❖ Hold/retain examination records or Candidate personal information (except for enabling it to substantiate/reconcile any financial arrangements with the Critical Location).
 - ❖ Display its company logo on the **Certificate of Attainment** or **Certificate of Attendance** (the logo of the Training Provider holding TPECS Certification shall be displayed).

Note: The following statement, or similar, may be included on the Certificates issued to Candidates with respect to the Marketing Partner:

"These exams were offered by [name of Marketing Partner] under Contract to [name of the TPECS Provider], a TPECS-certified training Provider.

If such a statement is displayed on the Candidate Certificate, the draft certificate will be provided to the Exemplar Global Evaluator before use for review and approval.

The use of Online Examinations

Presenting a training course and associated examinations online is an excellent way for Training Providers to extend their market opportunity, but doing so introduces risks that need to be addressed to ensure that the integrity of the Examination is maintained.

What follows are the requirements that will be applied to those Training Providers seeking the certification of TPECS Exams that are wholly or partially offered via an online platform such as an LMS (Learning Management System) or similar platform. These requirements are supplemental to the core TPECS Certification Requirements outlined on the preceding pages of this document.

Requirements

If the Training Provider wishes to include its online examinations in the scope of its TPECS Certification, it shall ensure that it can demonstrate the following requirements:

- ❖ The requirement to ensure that each Candidate is provided with instructions for operating and navigating through the [course and] examination platform.
- ❖ The requirement to ensure that Candidate questions can be answered by a qualified Instructor/Examiner (for course content) or Technical Support Representative (for operation and navigation of the courseware) in a reasonable time frame.
- ❖ The use of technology does not compromise the Candidate's ability to demonstrate the specified competencies or the Training Providers' ability to collect sufficient evidence of this demonstration.

Note: This applies particularly to situations requiring the Candidate to demonstrate a learned skill, such as their ability to conduct an audit Opening Meeting or collect audit evidence via interview, for instance.

- ❖ The examination platform must include a practice testing facility so that Candidates can familiarize themselves with the required examination controls before assessment.

Note: It is important that the Candidate is examined on the intended competencies rather than on their ability (or inability) to use the examination platform itself.

- ❖ If the Exam Answers are marked by the platform automatically, the Training Provider is required to advise the measures taken/processes used to validate the marking process (thereby ensuring that each exam question is marked accurately).
- ❖ The Training Provider must have adequate backup systems in place to ensure that they can restore to the version of exam content as approved by Exemplar Global if needed.
- ❖ The Training Provider must have adequate security arrangements in place to ensure that the assessment/exam is the Candidate's own work.

End of Certification Requirements document.