
**Assessment service delivery —
Procedures and methods to assess
people in work and organizational
settings —**

Part 2:
Requirements for service providers

*Livraison d'un service d'évaluation — Modes opératoires et
méthodes d'évaluation des personnes au travail et des paramètres
organisationnels —*

Partie 2: Exigences pour les fournisseurs de service





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ISO copyright office
Case postale 56 • CH-1211 Geneva 20
Tel. + 41 22 749 01 11
Fax + 41 22 749 09 47
E-mail copyright@iso.org
Web www.iso.org

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Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

International Standards are drafted in accordance with the rules given in the ISO/IEC Directives, Part 2.

The main task of technical committees is to prepare International Standards. Draft International Standards adopted by the technical committees are circulated to the member bodies for voting. Publication as an International Standard requires approval by at least 75 % of the member bodies casting a vote.

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights.

ISO 10667-2 was prepared by Project Committee ISO/PC 230, *Psychological assessment*.

ISO 10667 consists of the following parts, under the general title *Assessment service delivery — Procedures and methods to assess people in work and organizational settings*:

- *Part 1: Requirements for the client*
- *Part 2: Requirements for service providers*

0 Introduction

0.1 General

ISO 10667 presents an evidence-based, measurable perspective of the assessment service delivery process that has world-wide applicability. It will enable organizations to become more effective users of assessment, making better hiring decisions and enhancing the potential, well-being and employee-organization fit of all their employees. This guidance will promote the provision of standardized, appropriate, and equitable delivery of assessment services to assessment participants. It will enable regulatory bodies, other authorities and society at large to have more confidence in assessment procedures.

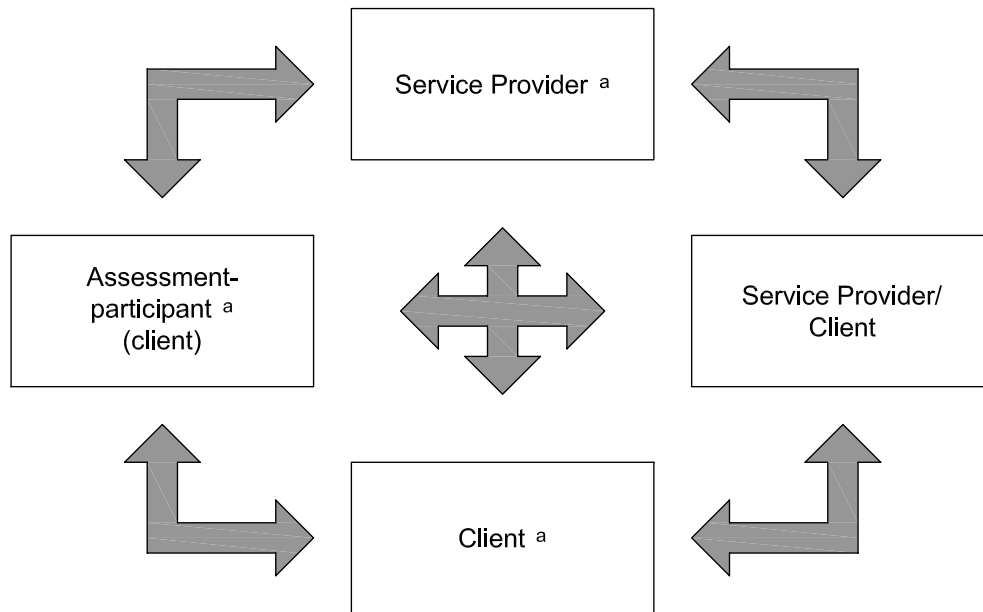
ISO 10667 provides clear and concise guidance for providers of assessment services and the clients of assessment service providers in order to enable all stakeholders to realize the potential benefits of good assessment practices. This is achieved by:

- defining good practice for assessment procedures and methods;
- ensuring equity in the application of assessment procedures;
- enabling appropriate evaluation of the quality of assessment service provision.

It is likely that users of ISO 10667 will possess very different levels of competence, understanding and familiarity with the concepts involved in the development of standardized procedures and methods to assess individuals, groups and organizations in the occupational arena. Accordingly, in order to facilitate its use by a variety of people and to provide guidance about the background of ISO 10667, this introduction presents key information about the intent and layout of ISO 10667.

0.2 Function of ISO 10667

ISO 10667 relates to the delivery of assessments used at the individual, group, and organizational levels. ISO 10667 aims to promote good practice and to encourage clear documentation of the working relationship between clients and service providers. It functions as practical guidance for both clients and service providers involved in the assessment delivery process. It describes their respective obligations and responsibilities before, during and after the assessment process. It also provides guidance on the rights and responsibilities of assessment participants and others involved in assessment procedures, including recipients of the assessment results. Figure 1 gives an overview of the possible interactions between the different parties in the assessment process.



NOTE Different parties in the assessment process have different roles and interact with each other throughout the assessment process. In addition, a single party can serve multiple roles. For example, a participant can also be a client, and a service provider can also be a client. In a career counselling setting, the participant may purchase the services and thus be the client also. Similarly, an internal HR team can provide services to the organization as well as use services provided by external vendors.

^a See Clause 2 for definitions of different roles.

Figure 1 — Roles in the assessment process

0.3 Intended users of ISO 10667

ISO 10667 is for clients and service providers who need to work both sequentially and collaboratively in order to ensure effective delivery of assessment services. ISO 10667-1 specifies requirements for the client. This part of ISO 10667 specifies requirements for the service provider. Clients should be aware of and adhere to ISO 10667-1 in initiating an appropriate request for assessment services, including fully disclosing its assessment needs and implementing the requirements of ISO 10667. However, if a service provider learns that a prospective client is not aware of, or is not using ISO 10667, it should inform the client of these best practices and encourage the client to act according to ISO 10667-1 with respect to the entire assessment process.

Service providers are those involved in the provision of assessment services in work and organizational settings, both as internal employees of a client or as external contractors. Clients are those people who seek assessment services for themselves or organizations who seek assessment services for individuals or groups within the organization, or for the organization itself.

ISO 10667 aims to promote good practice and to encourage clear documentation of the working relationship between clients and service providers. In both parts of ISO 10667, Annex A informs the assessment participants on their rights and responsibilities in relation to an assessment.

0.4 Other stakeholders

In addition to service providers, clients and assessment participants, stakeholders might include the following:

- a) End users of assessment information within an organization who make strategic and/or operational decisions, e.g. hiring managers in the case of assessment for selection, human resources managers in the case of succession planning or organizational talent management, executive management in the case of mergers and acquisitions.

- b) External intermediaries or indirect users who include, but are not limited to:
- 1) developers and distributors of assessment procedures;
 - 2) recruiters, coaches, and outplacement counsellors;
 - 3) organizations that provide assessment for licensing or certification of people;
 - 4) assessors of training or vocational education programmes;
 - 5) policy-makers, e.g. human resources managers setting organizational assessment policy, trade unions engaged in assessment policy and procedure, external policy makers such as professional bodies, regulatory authorities and others who rely on the results of assessment.

0.5 Types of assessment covered by ISO 10667

ISO 10667 covers procedures and methods for the following types of assessment.

- a) Individual level assessment. Examples include interviews, career guidance, in-depth senior executive coaching, personal development, selection, succession planning.
- b) Group level assessment. Examples include improving team morale and performance assessment aimed at improving the performance of the team as a whole.
- c) Organizational level assessment. Examples include employee satisfaction (data reported at organizational level), culture change due to merger or acquisition, employee engagement levels of organizational business units.

ISO 10667 covers delivery of assessments that occur across the employment life cycle.

Aspects of the employment life cycle can be described in terms of:

- recruitment and selection;
- career/vocational guidance;
- mid-life career change or re-integration into the workforce;
- personal development and coaching;
- promotion and succession planning;
- outplacement and retirement planning.

0.6 Organization of ISO 10667

To build an efficient standard, useful to both the client and the service provider, the assessment process has been divided into four stages:

- agreement procedures;
- pre-assessment procedures;
- assessment delivery;
- post-assessment review.

ISO 10667-1 addresses the requirements applicable to a client who determines that it has a need for one or more assessments for use in the employment life cycle, and then seeks to obtain such assessment services from a service provider whom it selects. This part of ISO 10667 addresses the requirements of a service provider from whom a client seeks recommendations about what assessments might meet its needs, and then provides assessment services to a client once it is selected based on those recommendations.

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In both parts of ISO 10667, each stage is covered in a separate clause (Clauses 3, 4, 5 and 6) as follows.

- a) Agreement procedures (Clause 3) describes mutual responsibilities and obligations of the client and the service provider, as well as the format of their agreement and a description of what must be covered in the agreement.
- b) Pre-assessment procedures (Clause 4) covers:
 - 1) identifying what needs to be assessed and how, together with choosing the criteria for evaluating success and having a clear expectation of the utility of the process;
 - 2) determining whether there are conflicting interests that need to be balanced;
 - 3) providing a clear rationale for the assessment and documenting the agreement between the client and the service provider through a written statement of work, or contract, as appropriate.
- c) Assessment delivery (Clause 5) covers all phases of preparing for and carrying out the assessments.
- d) Post-assessment review (Clause 6) covers reviewing the assessment process to determine whether the outcomes, consequences and utility of the assessment are consistent with the assessment needs, whether the goals are met, and what changes in the assessment process should be adopted for future use by the client.

Assessment service delivery — Procedures and methods to assess people in work and organizational settings —

Part 2: Requirements for service providers

1 Scope

This part of ISO 10667 establishes requirements and guidance for the service provider in working with a client to carry out the assessment of an individual, group or organization for work-related purposes and to deliver quality assessment services.

This part of ISO 10667 addresses the requirements for the service provider with respect to, among other areas:

- a) the choice, integration, implementation and evaluation of assessment procedures and methods in making recommendations to a client who has an assessment need, in carrying out and delivering such assessments, and in assisting the client in communicating with assessment participants and others;
- b) the interpretation of assessment results and subsequent reports;
- c) the handling and storage of personal data of assessment participants and of assessment data;
- d) the required competence and professionalism of the service provider and others under its control who are taking part in the assessment process;
- e) organizational-related decisions, e.g. training, team building, ascertaining organizational culture or morale.

This part of ISO 10667 also contains guidance for the service provider in the delivery and use of assessment methods and procedures that can be carried out for one or more of the following work-related purposes made by or affecting individuals, groups or organizations, including, but not limited to:

- employment-related decisions, e.g. recruitment, selection, development, appraisal, promotion, outplacement, succession planning and reassignment;
- career-related decisions, e.g. recruiting, coaching, guidance, vocational rehabilitation, and outplacement counselling;
- group decisions, e.g. training initiatives, team building, etc.;
- organization decisions, e.g. restructuring, climate and culture initiatives, mergers and acquisitions, etc.

No technical professional standards form part of ISO 10667. However, the quality of assessment procedures and methods should be considered in relation to the purposes of the assessment, the relevance of the measures involved, their validity, reliability, equity, standardization and any issues relating to special needs of the assessment participant and other factors that affect the practicality, acceptability and utility of the assessment.

NOTE 1 Requirements for clients are specified in ISO 10667-1.

NOTE 2 See Bibliography for examples of various professional guidelines.

NOTE 3 See Annex B for further details of generally accepted technical quality guidelines.

This part of ISO 10667 does not detail the specific competences required for assessors as these are dependent upon the nature of the assessment.

NOTE 4 See Annex C for further information on assessor competence.

2 Terms and definitions

For the purposes of this document, the following terms and definitions apply.

2.1

agreement

specification of the terms and conditions of the engagement between the client and the service provider

NOTE Examples include, but are not limited to, details of the service or products to be delivered, duration, scope, ownership and appropriate use of intellectual property and costs.

2.2

assessment

systematic method and procedure for ascertaining work-related knowledge, skills, abilities, or other characteristics of an individual or group of individuals, or the performance of an individual or group of individuals

NOTE Assessment has outcomes and consequences that can be appraised and used to evaluate its utility. Forms of assessment can include, but are not limited to, structured application forms; biographical data inventories; tests of general and specific abilities; self-report inventories and other instruments relating to competencies, personality, motivation, attitudes, values, beliefs, interests, etc.; structured interviews; individual problem-solving tasks; group exercises; simulations and work samples; group and organizational level measures; employee surveys; multi-rater feedback; and performance evaluations, e.g. assessor interpretations, supervisor performance ratings, etc.

2.3

assessment administrator

person or organization having operational responsibility for the administration of assessments

NOTE Tasks of the assessment administrator include, but are not limited to, face-to-face test administration; setting up online assessments; remote monitoring; management of activities within an assessment centre; and other administrative tasks. In some countries assessment administrators are referred to as “test proctors”, “test assistants” or “monitors”. Assessment administrators can be employees of the service provider or the client, or be third parties contracted for the purposes of the assessment.

2.4

assessment participant

individual being assessed, whether for himself/herself or for an organization, either individually or as part of a group

NOTE An assessment participant is an individual, including, but not limited to, a job applicant or candidate; an employee of the client who is a candidate for promotion or is being assessed for some other internal organizational purposes; any individual undergoing an assessment, providing information or being given career guidance for his or her own benefit.

2.5

assessor

person or organization responsible for evaluating and interpreting an assessment participant’s performance on the assessment tasks and providing appropriate reporting and feedback to assessment participants and the client

NOTE Assessors are competent to make decisions about the use and interpretation of assessment procedures. In relation to psychological testing, in some countries they are referred to as “test users” to distinguish them from “test proctors”, “test administrators” or “monitors”. Assessors can be employees of the service provider or the client, or third parties contracted for the purposes of the assessment.

2.6

client

individual or organization who arranges with a service provider to deliver the assessment and related components of the assessment service provision

NOTE 1 Clients can be:

- a) individuals, for the benefit of themselves (e.g. career-related decisions informed by assessment results including coaching, guidance, vocational rehabilitation and counselling), or others (e.g. licensure and certification bodies);

- b) organizations, for assessments of organizations themselves (e.g. engagement surveys, assessment of working conditions, work satisfaction surveys) or of individuals and/or groups within organizations (e.g. making employment-related decisions such as recruitment, selection, development, promotion, outplacement, succession planning and reassignment).

NOTE 2 Sometimes the assessment participant is also the client. In this part of ISO 10667, when the client is the individual being assessed, that person is referred to as the assessment participant.

2.7

competence

⟨in assessment⟩ possession of adequate knowledge and skills by education and/or training to use and interpret assessments specifically or generally, including in the areas of relevant theory, methodology and practice, and to deliver assessment services to a level of performance defined by a standard

NOTE 1 In ISO 10667, competence refers to the assessor as well as to all working under his supervision, where appropriate, and not to the assessment participant.

NOTE 2 Competence does not necessarily imply eligibility to practice in all countries.

2.8

credential

licence, registration, certification or diploma that indicates a level of competence for specific practice

2.9

criteria

work-related measures or outcomes that are used to judge the meaningfulness, predictive value or utility of the assessment results

2.10

data controller

person or organization who determines the purposes for which and the manner in which any personal data are to be processed, stored and used

2.11

data processor

person (other than an employee of the data controller) or organization that processes the data on behalf of the data controller

2.12

end user

person or organization that uses the assessment results to guide a decision or further action

NOTE This might be the client or intermediary persons in the assessment process, such as a line manager. In other instances, the end user might be the assessment participant.

2.13

equity

principle that every assessment participant should be assessed using procedures that are fair and, as far as possible, free from subjectivity that would make assessment results less accurate

2.14

evidence-based

attribute of an action or decision, meaning that it is based on inferences from information and data that are grounded in theory and support the quality and relevance of the outcome of the action or decision in a particular context for a particular use

2.15

feedback

information provided to the assessment participants about their assessment results

2.16

informed consent

process of providing information regarding the assessment itself, purpose and its possible consequences, and obtaining consent from the assessment participant to participate in the assessment process

NOTE 1 Consent is often implicit rather than explicit. For example, consent is implied in performance evaluations.

NOTE 2 Pursuant to applicable laws, regulations, or corporate policies, assessment participants may withdraw from an assessment after having provided consent, but doing so might result in consequences that should have been explained to the assessment participant at the time of first providing consent.

2.17

norm

information, based on the scores obtained from a sample (often referred to as a norm group) of some well-defined population of people (often referred to as the norm population), which enables raw scores, e.g. number of questions correct, sum of the ratings given to items on a scale, etc., to be converted into percentile or standard scores (i.e. scores which relate the scores to the distribution of scores in the norm population)

NOTE Typical percentile scores include Grades A to E, based on the top 10 % of a population, the next 20 %, the mid 40 %, the next 20 % and the bottom 10 %, respectively; or deciles, which represent 10 % bands of the reference population. Typical standard scores include: z-scores (with a mean of zero and standard deviation of one); STENS (mean 5,5, standard deviation 2) and T-scores (mean 50 and standard deviation 10).

2.18

personal data

data that are identifiable as relating to a particular assessment participant

NOTE Personal data does not include data obtained from the assessment participant that is anonymous or that has been subsequently rendered anonymous.

2.19

post-assessment review

procedure designed to evaluate whether and to what extent the assessment met its objectives, including the requirements set out in the written record between the client and the service provider, together with identification of opportunities for improving future assessments

2.20

professionalism

acting in a manner consistent with conduct and practices, including where applicable a code of ethics, adopted by or associated with the assessment profession, requiring systematic knowledge and proficiency, and being aware of one's limitations and not acting outside one's area of competence

2.21

reliability

degree to which scores are free from measurement error variance, i.e. a range of expected measurement error

NOTE Measurement error can be assessed by examining the consistency of measures produced by assessment participants or assessors within administrations of assessment methods, or over repeated administrations.

2.22

report

information provided to the client

2.23

security

limiting and controlling access to assessment materials, scores, reports and other confidential information to ensure that they are not made available inappropriately

NOTE Security includes, but is not limited to, preventing materials from becoming available in ways that would enable an assessment participant to gain an unfair advantage over other assessment participants or reducing the future value of the assessment materials, and protecting an assessment participant's assessment results from unauthorized use or release.

2.24**service provider**

(in assessment) person or organization that provides assessment services to the client, whether that person or organization is internal or external to the client

NOTE The service provider might also employ or contract with others for assessment design and development or for assessor training.

2.25**standardized**

(in assessment) extent to which assessment procedures are based upon detailed rules and specifications, including all administrative guidance from the assessment developer, in order to maintain a uniform, constant assessment administration environment, and scoring and interpreting results of assessments so that the testing conditions or environments are comparable for all assessment participants taking the same assessment

2.26**utility**

value to the client of an assessment, taking into account the costs associated with delivery of the assessment

NOTE This takes into account factors such as cost per administration, time required per administration, scoring, profiling, report writing, skills required of the assessor and ease of providing assessment participant feedback.

2.27**validity**

degree to which the interpretation and use of assessment scores are consistent with the proposed purposes of the assessment and are supported by accumulated evidence and theory

NOTE The strategy for accumulating evidence of validity is aligned with the type of assessment and the purpose for which it is being used.

3 Agreement procedure**3.1 Agreement**

There shall be an agreement between the service provider and the client, whether the service provider is internal or external to the client. The agreement shall identify relevant information regarding the service and specify all of the respective obligations and responsibilities of each party. The service provider shall ensure that the agreement is appropriately documented.

NOTE Such documentation can be a formal written contract or an informal agreement with a written acknowledgement by the client accepting the service provider's proposals, terms and conditions.

3.2 Service provider responsibilities

The service provider shall:

- a) participate collaboratively with the client to agree on a document, identifying relevant information, e.g. scope, details of the service or products to be delivered, duration, ownership and appropriate use of intellectual property and costs, regarding the service and specify all of the respective obligations and responsibilities of each party;
- b) provide information to the client about any applicable professional, legal and regulatory requirements surrounding the use of the assessment procedures and methods in carrying out its responsibilities under the agreement;
- c) conform to any professional, legal and regulatory requirements surrounding the use of assessment;
- d) develop a plan to protect all confidential information in its possession throughout the assessment process;
- e) provide full and accurate documentation of the assessment process consistent with the agreement between the client and service provider.

NOTE The requirements for the client's responsibilities are given in ISO 10667-1.

3.3 Relationship between the service provider and client

The service provider shall inform the client that the client is responsible for its own compliance with ISO 10667-1.

3.4 Assurance of service provider competence

3.4.1 General

The service provider shall ensure that it, and anyone whose work it controls, is competent to carry out the assessment services for which it is responsible under the agreement.

EXAMPLE The service provider might contract for the training of client assessors for an assessment centre whereas the client might be responsible for assessment administration. The client might be responsible for raters involved in a 360° feedback procedure.

3.4.2 Competence and training

The service provider shall:

- a) conduct its work using appropriate professionally accepted technical quality guidelines to select or develop effective assessments;
- b) have sufficient knowledge of theories, methodology, and measurement practice relating to assessment in work and organizational settings;
- c) have sufficient knowledge of the available assessment methods used in work and organizational settings;
- d) keep up to date with developments and advances in relevant areas;
- e) know the competence of each person providing services and ensure that those people are not required to work outside the limits of their competence;
- f) require people providing services under its control to work within the boundaries of their professional ethics.

3.5 Anticipating outcomes and consequences

The service provider shall encourage the client to collaborate in the identification of the possible significant outcomes and consequences of the assessment process, together with the risks and utilities associated with it. When appropriate and feasible, the service provider shall collaborate with the client in determining how best to respond to such outcomes and consequences.

3.6 Supplementary research activities

The service provider shall encourage the client to contribute to norm updating, reliability studies, validation studies, instrument revision, assessment design improvements or other research activities aimed at quality enhancement. The service provider shall discuss with the client the options, costs and benefits of these activities. Any agreement on the conduct of supplementary activities shall be documented.

4 Pre-assessment procedures

4.1 Identification of assessment needs

Potential service providers shall review the assessment needs communicated by the client and determine appropriate assessment procedures and methods to meet those needs.

Any service provider discussing a potential service shall work with the client to clarify and document the client's assessment needs.

Identification of assessment needs shall include, but not be limited to:

- a) the purposes(s) of the assessment;
- b) who is to be assessed;
- c) relevant demographics such as educational levels, languages and other appropriate biographical information on those to be assessed.

When assessment needs are complex or lack clarity, the service provider shall inform the client that a separate process to define them might be needed. These complexities can be identified by needs analysis, a job analysis or competency modelling.

NOTE 1 This process of determining assessment needs might require several cycles of analysis and clarification.

NOTE 2 When it is necessary to develop new, or customize existing, assessment procedures to address the requirements, the client might need to develop a separate agreement for this work with the service provider or another entity with the expertise to perform that work (see ISO 10667-1).

When the assessment or parts thereof no longer seem appropriate to the service provider to meet the client's needs, the service provider shall inform the client and agree on how to proceed.

The final specification of the assessment needs, including the purposes of any assessment and any criteria for evaluation as determined through the process described in this clause, shall be documented by the service provider. The service provider shall document the details of the agreement for the benefit of all parties.

4.2 Assessment services recommendations

The service provider shall make a recommendation as to the assessment service which best meets the requirements set out in the client's final assessment needs specification. Such recommendation shall be based on an analysis of available information to ensure that each assessment method is appropriate for the identified assessment needs.

The service provider shall ensure that the recommended assessment methods are appropriate for the purposes of the assessment and appropriate for the range of people who will be assessed.

The assessment services recommendation shall contain, as appropriate:

- a) justification, including appropriate supporting documentation of the technical quality and utility, for the use of each assessment method (see Annex B). Such documentation shall include information about the choice of methods, evidence of the use and interpretation of the methods, administration and administration modes including the requirement to supervise the assessment or not, and appropriate accommodations for assessing persons with special needs;
- b) explanation of how the assessment results will be used to address the final assessment needs specification;
- c) risk assessment of relevant issues including, but not limited to, legal and regulatory issues, together with security and the protection of intellectual property rights.

4.3 Assessment services agreement

The service provider shall reach agreement with the client regarding the specifications of the assessment service. These specifications shall include:

- a) scope of the assessment service;
- b) duration of the assessment service and the assessment (where there is no service end date, this shall be made explicit);

- c) details of the assessment procedures and methods used;
- d) analysis procedures applied to the assessment measures;
- e) appropriate reporting of assessment results for each end user;
- f) how the data from the various assessment procedures will be combined;
- g) respective roles, obligations, and responsibilities of the client and the service provider;
- h) information on data privacy, ownership of intellectual property and assessment data, data storage, and data deletion;
- i) statement of compliance with relevant regulation and legislation;
- j) nature and frequency of monitoring and periodic review procedures necessary to ensure the quality of the assessment and to ensure that it meets necessary professional, legal and regulatory requirements;
- k) nature of the feedback, if any is to be provided, and the way in which it will be provided;
- l) identification of costs.

Where applicable, the service provider shall encourage the client to collaborate in a post-assessment review (see Clause 6). The specifications of this review shall include:

- statement of the competences required for the people carrying out the review;
- specification of what will be reviewed and when it will be reviewed;
- who will be involved in the review;
- specification of criteria for the review;
- specification of the nature and form of the output from the review.

5 Assessment delivery

5.1 Steps

Assessment delivery includes seven identifiable steps:

- a) planning the assessment;
- b) informing relevant stakeholders;
- c) conducting the assessment;
- d) interpreting the results;
- e) preparing and providing reports;
- f) providing feedback;
- g) continuous evaluation of the assessment process.

5.2 Assessment delivery — Planning the assessment

5.2.1 Assessment plan

The service provider shall develop a plan for the assessment delivery, including, but not limited to, identification of:

- a) individual, group or organization to be assessed;
- b) people, materials and facilities needed to carry out and monitor the assessment;
- c) people's respective responsibilities and competence of the people carrying out and monitoring the assessment;
- d) process for managing people, information, assessment materials, and other resources;
- e) equity of treatment of all relevant sub-groups;
- f) assessment procedures and methods (single or multiple);
- g) other factors that might affect or influence decisions about the assessment, e.g. the setting of pass marks or cut-scores, the utility of the assessment (i.e. cost-benefit analysis) and the availability and appropriateness of alternative assessment methods;
- h) whether assessment participant feedback is provided, the nature of that feedback, and how and where it is to be provided.

5.2.2 Security

The service provider shall keep secure all assessment materials and data that are within its control.

Materials, data collection, data and documentation related to the assessments shall be handled in a way that is consistent with the assessment service agreement and professional best practice.

Where the service provider has responsibility for the materials, data or documentation, it shall ensure that:

- a) intellectual property rights that exist for the assessment are respected;
- b) access to assessment materials are safeguarded to control access to them prior to and following their administration;
- c) assessment participants are not given inappropriate access to assessment materials or information regarding assessment materials that might invalidate the assessment;
- d) data collection activities are secure, e.g. secure websites, protection of personal data, etc.;
- e) all stakeholders involved in the assessment are informed of what constitutes appropriate and inappropriate use of the assessment materials and their responsibilities in maintaining the security of the assessment materials;
- f) assessment techniques, e.g. scoring keys, scaling, confidential rules and data related to the assessment, are not described publicly or placed in the public domain in ways that could potentially compromise their validity, integrity, and value.

5.2.3 Assessment participants' rights

Where the service provider is responsible, the service provider shall ensure that:

- a) assessment participants' rights are recognized and respected, and that the procedures and timelines to initiate and resolve complaints and formal appeals are documented;
- b) assessment participants are treated in a consistent manner;

NOTE See Annex A for more information regarding assessment participants' rights and responsibilities.

- c) assessment results and personal data are treated according to applicable requirements regarding data privacy.

5.2.4 Assessment participants' data protection

5.2.4.1 The service provider, when acting as data processor, shall:

- a) comply with the data controller's instructions in connection with the agreed purpose of the assessment;
- b) enable the data controller to fulfil its obligations and responsibilities with regard to the data;
- c) maintain the necessary level of security for personal data.

The service provider shall ensure that, if it is acting in the role of data controller, it can fulfil all professional, legal and regulatory requirements associated with the role of data controller.

If the role of data controller is associated with the client or another third party, the service provider shall inform the client or other third party of all the professional, legal and regulatory requirements associated with the role of data controller.

5.2.4.2 The service provider, when acting as data controller, shall:

- a) establish clear guidelines as to how long identifiable personal data are to be kept on file by the data processor;
- b) explain levels of confidentiality and keep access to assessment participant data limited to those with a right to know (including protecting data kept on file systems, so that only those who have a right to access can obtain it);
- c) obtain the relevant consents before releasing data;
- d) communicate to the data processor if and when it has to remove names and other personal identifiers from the assessment results (e.g. test data, individual reports, notes made by interviewers, assessment centre assessor comments and ratings) to make them anonymous for research purposes, development of norms or other statistical purposes.

NOTE Data protection involves both a data controller and a data processor and relates to personally identifiable data. Data that have been rendered anonymous or aggregated across people are not subject to these considerations. The client normally acts as the data controller, with the service provider acting as the data processor, either alone or with third parties, e.g. online test vendors, applicant tracking system providers. However, these roles can be assigned differently in the agreement between the parties.

5.2.5 Specifying feedback

The agreement between the service provider and the client shall specify whether assessment participant feedback is provided, the nature of that feedback, and how and where it is to be provided.

Feedback shall be defined within the context of law, national professional guidelines and of cultural and organizational customs.

5.3 Assessment delivery — Informing assessment participants

5.3.1 Provision of information

The service provider shall provide information to the relevant parties that was agreed upon.

The service provider shall check with the client that information is provided to the relevant party, or parties. This information shall include at least the following:

- a) reasons why the assessment participant is being assessed and the intended use of the information obtained, including how the results will be used and how data will be managed;
- b) process by which the assessment participant is required to provide informed consent for the assessment;
- c) how personal data will be stored, who is responsible for the data, how long it will be stored, and who will have access to it;
- d) how the assessment participant can obtain help dealing with queries, difficulties or problems that might arise during the assessment;
- e) what steps to follow if the assessment participant has language problems, special needs, or requires re-assessment;
- f) what procedures are in place in order for an assessment participant, group or organization to file a grievance and to appeal the results of an assessment;
- g) any other rights and responsibilities that the assessment participant has in the assessment process.

5.3.2 Enabling assessment participants to prepare for the assessment

The service provider shall work with the client to make appropriate preparations for administration of the assessment procedures and methods. The service provider shall:

- a) provide the assessment participant with information clearly and in a timely manner;
- b) where appropriate, provide guidance on ways in which the assessment participant might prepare for the assessment, including access to approved or recommended sample and practice materials;
- c) explain to the assessment participant his or her rights and responsibilities;
- d) explain the consequences of participating, withdrawing from, or not participating in the assessment so that the assessment participants can make an informed choice.

5.3.3 Informed consent

In relation to the use of personal identifiable data, the service provider shall participate in the development of an informed consent document and procedure. These shall be appropriate for the kind of assessment being used and the type of data being collected and shall specify who is responsible for obtaining informed consent from the assessment participants.

If the service provider is the responsible party, the service provider, before or at the start of the assessment, shall obtain the informed consent of the assessment participant regarding any personal data that are to be collected from or relating to the assessment participant.

As part of the informed consent process, the following actions shall be taken.

- a) The service provider shall ask the client to designate who is to receive the assessment results.
- b) When an assessment participant is the client, he or she has a right to designate others, e.g. licensing or certification bodies, to receive the assessment results.
- c) The assessment participant shall be informed as to who is to receive the assessment results, whether that is the assessment participant alone and/or other third parties, e.g. line manager or third-party licensing/certification bodies, whether or not the assessment participant is given access to reports in order to consent to their use.

NOTE In addition, the service provider should consider whether or not the assessment participants should be presented with the terms and conditions of access for any supplemental use of their results, e.g. re-use of data for a validation study.

5.3.4 Confidentiality and anonymity

If directed by the client, or if the client is an assessment participant, the service provider shall inform the assessment participant and other parties providing data about the assessment participant, e.g. raters in a multi-rater feedback assessment, about the confidentiality of the data they are asked to provide and the conditions of anonymity relating to the reporting of the results.

5.4 Assessment delivery — Conducting the assessment

Where the service provider is responsible, it shall ensure that assessment administrators have the necessary competence based on verifiable experience, training, education or credentials. It shall also ensure that, when administering an assessment to one or more individuals, assessment administrators follow the standardized procedures for the delivery of the assessment and document any deviations from those procedures.

The service provider shall provide documentation detailing the procedures and practices to be followed by assessment administrators during the assessment process, e.g. structured interview procedures, web-cam testing, assessment centre procedures, remote assessment administrations. This includes at least procedures for each particular method, whether administered in an individual, group, or organizational setting, e.g. following standardized procedures for the administration of a test and any pre-approved accommodations or alternative procedures, following pre-defined structures and guides for interviewing.

The service provider shall ensure that appropriate conditions are arranged for assessment administration, whether it be through face-to face or remote, paper-based or computer-based assessments. Appropriate provision for assessment participant support shall be provided and relevant guidance issued to encourage the use of settings that are conducive to a fair and reliable assessment.

Where relevant, the service provider shall document the procedures for assessment administrators to verify the identity of all assessment participants and deal appropriately with any questions, technical or personal problems, or issues arising during the assessment session, e.g. unforeseen interruptions in the assessment or assessment procedures. The service provider shall ensure the security of assessment materials and ensure that all materials are accounted for at the end of each assessment session.

If the client and service provider have joint or shared responsibilities, they shall agree on the procedures and practices for the assessment and communicate them to assessment administrators.

5.5 Assessment delivery — Interpreting and using results

The service provider shall ensure that any assessors responsible for analysing data and providing interpretations and/or classifications relating to the assessment are competent to do so. They shall also have the ability to act in accordance with the documented procedures associated with the relevant assessment methods. When the client is responsible for providing assessors, the service provider shall recommend the required competence and qualifications of the assessors.

If conclusions are being drawn from multiple assessment methods, the service provider shall provide a rationale for results based on the integration of data and the evidence that supports these conclusions.

The service provider shall provide the rationale for any recommendations on the use of assessment results.

NOTE Depending upon the nature of the assessment, different assessors might be involved in the capture of assessment data, the scoring of data, the combination of scores and the interpretation of scores. Some of these people might be employees of the service provider and others might be employees of the client or some other third party. See Annex C for supplemental information for assessors.

5.6 Assessment delivery — Preparing and providing reports

5.6.1 Preparing reports

The service provider shall ensure that reports (whether presented orally or in writing) are prepared in forms that consistently and appropriately detail the scores, interpretations, and results of the assessment. Reports shall be presented in forms that are understandable by each category of end user. Reports shall be independently

verifiable, in that there shall be evidence that relates the conclusions in the report to the assessment data and the qualities of the assessment measures.

NOTE See Annex D for supplemental information on reporting.

The service provider shall ensure that computer-generated reports are used appropriately with due regard for the technical qualities and limitations of those reports.

5.6.2 Providing reports

The service provider shall provide access to the reports to each end user, as designated by the client or the assessment participant, as appropriate. The assessment participants shall have been notified about who will have access to reports of their results, what future uses might be made of the results and when, how and for how long their data will be stored, notwithstanding any additional requirements relating to national data privacy legislation.

The service provider shall, when appropriate, provide the client with guidance on how results might be used, as stated in their agreement. The service provider shall ensure that the client is provided with the reports specified in the agreement.

NOTE All business decisions based on outcomes of assessment methods are the responsibility of the client.

5.7 Assessment delivery — Providing feedback

The assessment participant shall have been notified prior to the assessment process of whether or not feedback will be provided, the nature of the feedback, if any, and how it will be provided. Feedback shall include accurate and relevant information that enables the assessment participant or group or organization to understand the assessment results and how these results are to be used.

If detailed feedback is to be provided, the service provider shall work with the client to ensure that a competent person is made available to discuss results with the assessment participant or a group or an organization in a constructive and supportive manner.

5.8 Assessment delivery — Evaluating the assessment

5.8.1 Ongoing monitoring of the assessment

The service provider shall monitor those aspects of the assessment process under its control for information that indicates errors or problems that might have occurred, or the need for other changes or adjustments in the assessment process.

When errors or issues are identified, steps shall be taken to minimize any adverse consequences.

5.8.2 Periodically reviewing the assessment

The service provider shall review periodically the following aspects of the assessment process where they are under its control:

- a) that the evaluation criteria remain relevant;
- b) that good practice relative to the assessment is being used;
- c) that the legal defensibility appropriate to the country in which the client and service provider work and the country in which the assessment is taking place is maintained;
- d) the extent to which the assessment method remains valid, particularly where the purpose of the assessment has changed;
- e) the appropriateness of the continued use of an assessment method, if changes are made to its form, content, or mode of administration;

- f) that appropriate measures are taken to promote equity of treatment of all relevant sub-groups.

6 Post-assessment review

The service provider shall carry out a review that should include, but not be limited to:

- a) those parts of the assessment that went as planned and those that did not, e.g. in relation to administration, reports, use of data, use of procedures and methods;
- b) collection, integration, storage and destruction of data and results during all assessment stages (especially with regard to issues of confidentiality, security and storage medium);
- c) opportunities to improve the efficiency and/or effectiveness of the assessment;
- d) procedures used for integration of assessment data, e.g. for use in a decision process, to re-evaluate the appropriateness of weight given to data sources.

In addition, if the client agreed to a post-assessment review (see 4.3), the service provider shall work with the client to carry out the review that should include, but not be limited to:

- objectives of the assessment and the extent to which they were met;
- consequences, both intended and unintended, together with the impacts of the assessment for the organization and the assessment participants;
- the level of understanding of reports by end users and implications for improving the quality of reports;
- the manner in which reports were used by end users, e.g. in the production of development action plans or the making of hiring decisions.

Annex A (informative)

Rights and responsibilities of assessment participants: Guidelines and expectations

A.1 General

An assessment participant is a broadly inclusive term for someone who is taking standardized measures, completing a survey or participating in other organizational measures of effectiveness. An assessment participant can provide information for individual, group or organizational goals or might undergo an assessment for his or her own benefit. Assessments include 360° evaluations, organizational surveys, tests and exams.

A.2 Assessment participants' rights

The assessment participant has the right to:

- a) be informed of his or her rights and responsibilities as an assessment participant;
- b) be treated with courtesy, respect, consistency, and impartiality, regardless of age, disability, ethnicity, gender, national origin and language, religion, sexual orientation or other personal characteristics;
- c) be assessed with measures that meet professional guidelines and that are appropriate, given the manner in which the assessment results will be used;
- d) receive a brief oral or written explanation prior to the assessment about its purpose(s), the kind(s) of assessments to be used, if the results will be reported to the assessment participant and/or to others, and the planned use(s) of the results;

NOTE 1 If the assessment participant has a disability, he or she has the right to inquire and receive information about accommodations. If the assessment participant has difficulty in comprehending the language of the assessment, he or she has a right to know in advance of the assessment whether any accommodations will be available to him or her.

- e) know in advance of the assessment when the assessment will be administered, if and when results will be available, and if there is a fee for the assessment that the assessment participant is expected to pay;
- f) have the assessment administered and the results interpreted by appropriately trained individuals who follow professional codes of ethics or by systems set up appropriately by such individuals;
- g) know if an assessment is optional and learn of the consequences of taking or not taking the assessment, fully completing the assessment, or cancelling the results (it might be necessary for the assessment participant to ask questions to learn these consequences);
- h) know in advance if and when he or she will receive an explanation of the results and, if so, receive a written or oral explanation of the results within a reasonable time after the assessment and in commonly understood terms;
- i) know that his or her individual responses and assessment results shall be kept confidential by the service provider and shared only with those appropriate to receive them;

NOTE 2 When an assessment participant is the client, he or she has a right to designate others, e.g. licensing or certification bodies, to receive the assessment results.

- j) present concerns about the assessment process or assessment results and receive information about procedures that will be used to address such concerns, e.g. procedures and timelines to initiate and resolve complaints, documenting of formal appeals.

A.3 Assessment participants' responsibilities

The assessment participant should:

- a) read and/or listen to his or her rights and responsibilities as an assessment participant;
- b) treat others with courtesy and respect during the assessment process;
- c) ask questions prior to the assessment if uncertain about why the assessment is being given, how it will be given, what he or she will be asked to do, and what will be done with the results;
- d) read or listen to descriptive information in advance of the assessment and pay close attention to all instructions;

NOTE 1 The assessment participant should inform an assessment administrator in advance of the assessment if he or she is seeking an accommodation for a disability or if he or she has a physical condition or illness that might interfere with his or her performance on the assessment. If the assessment participant has difficulty comprehending the instructions, it is his or her responsibility to inform an assessment administrator.

- e) know when and where the assessment will be given, meet all requirements for the assessment, appear on time with any required materials, and be ready for the assessment (it might be necessary for the assessment participant to ask questions to find out this information);
- f) follow the assessment instructions he or she is given and represent himself/herself honestly during the assessment (if responding to a request for his or her views, attitudes or perceptions about his or her organization, group or another individual, the assessment participant should answer accurately);
- g) ask about and accept the consequences of choosing not to take or not to continue the assessment;
- h) inform appropriate person(s) if he or she believes that environmental or technical conditions affected the results;
- i) ask about the confidentiality of the assessment responses and results, if this aspect concerns the assessment participant, and designate any relevant party to whom results should go, if appropriate;
- j) present any concerns the assessment participant might have about the assessment process or results in a timely, respectful way;
- k) give informed consent.

NOTE 2 These rights and responsibilities were adapted from Reference [13].

Annex B (informative)

Supplemental information on technical documentation of assessment methods and procedures

B.1 Documentation of assessment methods and procedures

The following criteria should be considered for the documentation of assessment methods and procedures.

- a) Technical documentation should exist for each implemented assessment method and procedure. The documentation should include evidence-based research that supports the assessment qualities of the methods and procedures.
- b) The documentation should be produced by the designer or developer of the method or procedure and made available through the distributor or publisher of the method or procedure.
- c) The technical documentation should be available to the service provider, client and to other parties.
- d) All sources cited in the technical documentation should be publicly accessible or, in the case of commercially sensitive information, available for review under nondisclosure agreement.
- e) All supporting evidence should be described in sufficient detail and should include:
 - 1) a description of the model, theory or logic on which the assessment method or procedure is based, e.g. a theory of organizational culture, a model of job satisfaction, a theory of individual differences in intelligence, or a model for profiling job competency requirements;
 - 2) when and where the evidence was obtained and last updated;
 - 3) information about the type of data collected, e.g. test scores, assessment exercise ratings, interview ratings, peer nominations;
 - 4) information relating to the characteristics of the assessment participants and whether they are sufficiently representative and of sufficient number to support any inferences drawn from their results;
 - 5) information relating to the setting of pass marks or cut-scores;
 - 6) implications of the findings for use of the method or procedure in assessment, including limitations on use.
- f) Documentation of the evidence should meet the generally accepted criteria for scientific publications. These criteria are described in B.2 to B.6.

NOTE Technical documentation does not always include test items, item content or scoring keys/algorithms.

B.2 Objectivity of assessment methods and procedures during implementation

The descriptions of how the assessment methods and procedures should be administered, scored and interpreted need to be stated so that they can be implemented in a consistent manner. Requirements relating to equipment (e.g. computers), training (e.g. of assessors, interviewers or administrators) or other specific facilities (e.g. suitable accommodation for group exercises) should be clearly described and documented.

B.3 Validity

The results of the assessment should be valid. Technical documentation should provide evidence to support the inferences that can be made from the assessment results and describe limitations on their use.

- a) Technical documentation should contain information about the evidence supporting the validity of the procedure.
- b) Methods used for collecting such evidence should be described in the technical documentation. The description of the method should include the characteristics of the assessment participants, the way they were recruited and their demographic characteristics, the way the study was designed, e.g. collecting all information at the same point in time or with a time lag, etc., and the sample sizes.

B.4 Reliability

The results of the assessment should be reliable. The methods or procedures used should provide scores for individual assessment participants, teams, groups, or organizations that are as free as possible from sources of random measurement error.

- a) Technical documentation should contain information about the reliability of the method or procedure and how the reliability was determined, e.g. repeatability of scores across raters or informants (through agreement between rater and informant), temporal stability of findings over varying time intervals, and consistency of multiple measures intended to measure the same construct.
- b) When using multiple measures, e.g. multiple raters, multiple moments in time, the individual scores should be combined into an overall result and information provided on the reliability of the overall result.

B.5 Fairness

Assessment methods and procedures should be fair. The degree to which they might be subject to systematic biases should be documented.

EXAMPLES Examples include the susceptibility of rater judgments to halo effects, biases introduced by requirements on some assessment participants to respond to assessment in a foreign language, and ways in which the content of the method or procedure might influence performance in ways not related to the purpose of the assessment.

B.6 Periodic checks for adequacy

Any departures from the standard methods and procedures, e.g. accommodations for use with individuals who have special needs or who need to be assessed in a different language, should be appropriate and should be documented.

- a) The adequacy of the evidence to support the current use of the method or procedure should be checked periodically, especially with regard to the scientific literature and the service provider's data analyses. The frequency of checks should be determined by the nature of the measures and the inferences they are used to support, evidence of their stability over time and evidence relating to changes in the populations (individuals, teams, organizations) being measured.
- b) The procedures defined for use, administration, scoring and information gathering should be re-evaluated periodically, especially in relation to professional standards and the dangers of possible misinterpretations.

Annex C

(informative)

Supplemental information on analysis and interpretation of results

Those responsible for the analysis and interpretation of results should:

- a) be able to provide evidence of their competence based on verifiable experience, training, education or credentials;
- b) specify the nature of the methods to combine the data and provide a clear rationale for any conclusions and decisions regarding the combination of and interpretation of data, and the evidence that supports them;
- c) take appropriate steps so that assessment reports reflect the data obtained from the assessment method;
- d) use procedures to screen assessment results to recognize improbable or unreasonable interpretations, classification or scores, e.g. data forensics; recognition of improbable scores;
- e) provide interpretations that are consistent with the information available about the assessment method as documented in technical and user manuals and other scientific literature;
- f) ensure that the analysis addresses each of the provisions contained in the agreement between the parties;
- g) produce an interpretation of the assessment results that takes account of available information about the assessment participant with due regard to the assessment context, conditions, methods and modes, the technical qualities of the methods used, and the need for assessment;
- h) analyze and interpret output and results with due regard for equity issues;
- i) give due consideration to the available evidence of the technical properties of the assessment method for members of the assessment participant's relevant demographic group(s);
- j) take into account any individual or group variations from standard procedures in assessment administration, where appropriate;
- k) take into account the possible impact of prior experience of the assessment participant on the assessment methods used:
 - 1) avoid over-generalizing the results of one assessment method;
 - 2) consider reasonable alternative interpretations;
 - 3) ensure that all conclusions are supported by the data collected;
 - 4) document the results and interpretations of the assessment, e.g. assessment centre exercises or interviews.

Annex D (informative)

Supplemental information on reporting

Those responsible for reporting should:

- a) produce evidence-based reports;
- b) produce reports that are suitable for each category of end user;
- c) use a form and structure for a report that is appropriate to the context of the assessment, e.g. selection versus development;
- d) include a clear summary and, when relevant, specific recommendations;
- e) ensure that the technical and linguistic levels of any reports are appropriate for the level of understanding of the end user;
- f) make clear the limitations of the assessment data in the report;
- g) explain how the assessment results should be weighted in relation to other information about the individual, group or organization, whichever is the object of the assessment.

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