

# Persons' Certification

## General Regulation

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## 2. Purpose and scope

This General Regulation defines the principles and the requirements of TÜV AUSTRIA HELLAS (including the requirements of the Quality Manual, of which this Regulation is an integral part) in the field of "Persons Certification". The overall management of the certification schemes for persons and finally the award of the Certificate to the professional, after the successful assessment of his abilities, knowledge and skills for every scheme, satisfies the requirements of:

- ✓ ISO/IEC 17024
- ✓ Valid standards, technical specifications, internal procedures, legislation and regulations, applied to each certification scheme
- ✓ Directives ISO/EC 28 και 53
- ✓ Guidance documents of EA and IAF
- ✓ Other documents and forms relative to each certification scheme

Moreover, this Regulation applies to every interested professional candidate, who wishes to be assessed and certified according to valid certification schemes, and also to all Organization's staff involved in persons certification and in each scheme.

TÜV AUSTRIA HELLAS's policy for each scheme is:

1. To ensure the disclosure of the scope and the prerequisites of the scheme, as well as a brief description of the certification process.
2. To ensure that any prerequisite training is totally independent from the Organizations' persons' certification processes.
3. To ensure a fair, valid, objective and reliable function of every scheme.
4. To not certify professionals who belong to its staff or are in any way related to it.
5. To inform every candidate professional/ individual about his rights, obligations and the code of conduct of the certified person, as well as about the processes of the examination mechanism.
6. To ensure the complete impartiality, independence and freedom of judgment of the staff or/and the collaborators of the Organization, who are involved in every candidate professional's/ individual's assessment, examination and certification activities.

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The Specific Regulations that particularize the content of the present General Regulation for every certification scheme and the related documents/ forms constitute an integral part of the present General Regulation.

### **3. Certification Scheme's Development**

#### **3.1. Development Inputs of the Scheme**

The decision to develop a certification scheme is taken after considering the market need, such as requests from professionals, associations, chambers, unions, interested parties, final users etc, taking also in mind the existing specific professional outlines of EOPPEP (National Organization for the Certification of Qualifications and Vocational Training). The decision is taken from the Persons' Certification Division in cooperation with TÜV AUSTRIA HELLAS's Management, after considering its feasibility and after ensuring that the certification and the recognition of the particular profession will create confidence in national, European and/or international market, will give added value to offered services and provide the expected benefits to all interested parties.

The Manager of the Persons' Certification Division identifies the applicable national, European and/or international legislation, as well as the related national, European and/or international standards that apply to the specific professionals' category. All required data for the development of a new scheme are identified and specified with the aid of experts specialized in the specific field. When the manager of the Persons' Certification Division decides that all required data have been collected, then he presents them during the bimonthly Managers' Meeting. The General Manager and the participants review all information and take the final decisions. This meeting's minutes are kept by Persons' Certification Division, which undertakes the preparation of the Study, which will be submitted to ESYD (National Accreditation System) to decide if the scheme is able to proceed for recognition.

For the certification schemes which TÜV AUSTRIA HELLAS decides to develop, after the positive decision of ESYD, it ensures that there are no relevant training services offered by it, in order to ensure the confidentiality, the impartiality, the objectivity and the independency of persons' certification activities.

If, for any reason, the Management of TÜV AUSTRIA HELLAS decides to provide training services relative to an existing certification scheme, then it ensures that the function structure of the training services' provision is completely independent from that of the persons' certification services, while, at the same time, it ensures that the advertising material of this training service does not mislead

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the professionals to think that they will have a favorable and/or less expensive treatment during the examination and certification. Moreover, in this case, TÜV AUSTRIA HELLAS ensures that all possible threats and risks for impartiality are identified, in order to minimize or eliminate them, updating also the Main Instruction on Risk Assessment for the element of Impartiality.

The persons involved and the stages of the development and implementation of each certification scheme are described in the following paragraphs.

### **3.2. Development outputs of the Scheme**

After ESYD's positive decision for the ability of the initial recognition of a Scheme, the Technical Committee (see paragraph 3.3), aided by the Persons' Certification Division, based on what applies in national and/or international market, in respective national and/or European legislation, in existing regulations, good practices, national and/or European specifications, in existing experience and especially in defined professional outlines of EOPPEP (National Organization for the Certification of Qualifications and Vocational Training), decides and defines the following: the scope of the certification, the description of the profession and the job, the required knowledge, abilities and skills of the candidate to be assessed, the required prerequisites for the participation in the certification processes, the examination system, as well as the respective code of conduct, if required.

Moreover, the Technical Committee, aided by the Persons' Certification Division, considering the requirements for the assessment of the competence of the candidate (technical standards, legal requirements, etc.), defined the criteria and the methods of examination for the initial certification, the surveillance (if required) and the recertification, the criteria for the suspension and the withdrawal of the certification, as well as the criteria for the amendment of the scope and the level of certification. The Examination Scheduling Manager supports the Committee with information and data relative to the design of the scheme's examination system, such as the examination program, the availability and/or the quest for proper examiners, invigilators, examination centers, facilities and required resources for the examination in general.

Subsequently, the Technical Committee, aided by the Persons' Certification Division, defines and specifies the examination system for the specific professionals/ individuals. Basically, the Committee defines the type of examination (written and/or oral and/or observation and/or use of any other reliable and objective mean), develops the examination subjects' bank (theoretical and/or practical and/or other) which contains specific number of subjects for every category of difficulty (easy, medium and difficult), defines the mechanism and the methodology for the selection of the

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examination subjects, in order to ensure the repeatability of the content and the difficulty of each examination, specifies the duration and the evidence of examination, defines the way of marking and ensures the repeatability of the result (regardless of place, time, examination subjects and examiners) and the one-way relationship of the evidence marking and the examination result, etc.

In addition, the Technical Committee defines the conditions and the time periods for the rotation and/or the enrichment of the examination subjects' bank, in order to ensure their objectivity and confidentiality. If there are no specific requirements for a more often update of the examination subjects' bank, arising from the scheme, the update is conducted at least once a year during the review- assessment of the scheme.

According to what the Technical Committee has defined about the requirements in resources and technical infrastructure for the specific examination system, the Persons' Certification Division, aided by the Examination Scheduling Manager, defines the prerequisites and the criteria for the selection of examination centers and/or special facilities, the required competence of the examiners/ invigilators regarding their experience, knowledge and skills, as well as the required technical infrastructure and equipment for the valid, objective and fair assessment of the professionals.

When the Manager of the Persons' Certification Division decides that all required information for the development of the scheme has been gathered and all required resources are available, he meets with the members of the Technical Committee and the involved Divisions in order to review the design result and define the next actions for the confirmation and verification of the scheme. The minutes of meetings are kept in Persons' Certification Divisions' archives.

### **3.3. Scheme's Technical Committee**

For every certification scheme and as long as it is active, a Technical Committee is formed, which consists of appropriate experts and collaborators of the Organization, who are specialized in the specific field and have knowledge, abilities and skills of a higher level than those of the examined specialty.

The Technical Committee is responsible to support, decide on and coordinate all matters and actions that concern the development, the implementation and the verification of the examination mechanism of the scheme, while the Persons' Certification Division is responsible for its proper

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implementation and application, its continuous monitoring, its control and review, its smooth operation and maintenance.

### **3.4. Verification and Validation of the Scheme**

For all Certification Schemes, the Technical Committee, is responsible for the development of the examination mechanism, according to specific criteria set by the Persons Certification Division about only its structure and its content, and not its technical part. During the finalization of the examination mechanism and before submitting it to the Persons Certification Division, the members of the Technical Committee shall review carefully its content, for any typos, misspelling or expression mistakes, not clear questions or/and answers. A responsible person of the Persons Certification Department shall conduct a similar review, in order to assure the best possible qualitative and correct

After the review and the finalization of the examination mechanism of the scheme, in order to ensure its appropriateness for the realization of the certification of the professionals/ individuals, the Persons Certification Division ensures that the scheme is affirmed and verified. Either through the members of the Technical Committee, or through the social partners, interested candidates are found, who accept to participate in the pilot implementation of the scheme's examinations, in order to check their validity, reliability and objectivity.

All relative evidences and documentation of this specific examination are being checked by the involved examiners (see paragraph 4.1). The results of their grading, any finding and any note, as well as any necessary corrective action, are being forwarded to the Technical Committee, in order to be assessed and make the final decisions to finalize the examination system. If the Technical Committee consents with the results and the decisions of the examiners, the examination mechanism is being verified and finalized. If the Technical Committee decides that more actions are required that bring changes to the examination system, then the participants in the pilot implementation, take an additional examination, according to modifications, in order to get certified. The Technical Committee defines what is required and enriches respectively the examination subjects' bank. All examination documents, their results and their editing as well the Committee's decisions are kept in Persons' Certification Divisions' archives.

### **3.5. Review – assessment and modifications of the Scheme**

At the beginning of each year or whenever it is necessary, the Persons' Certification Division meets with the Technical Committee to review the examination system and update the examination



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subjects' bank. Moreover, during the meeting, the manager presents a statistical analysis of facts and data of implemented examinations during the last year, like complaints and candidates' assessments, any special conditions for disabled persons, examiners' assessments, invigilators' assessments if required, resources' appropriateness, appeals over examination results, any subjects' leaks, results regarding the cooperation with examination centers, etc.

Specifically, during the meeting, the Manager of the Persons' Certification Division presents to the Committee's members and points out data that, according to his/her judgment, are important and have derived from the statistics' analysis of examinations and/or complaints and/or evaluations of examinees / examiners / invigilators, etc. of the previous year. The Committee evaluates the information provided and, if the majority of members agree with his/her judgement then they focus on actions needed in order to improve the certification scheme. Indicative decisions for action are: modification and / or updating of the examination mechanism, training of the involved people in the certification examination processes and / or equipment and / or tools used, improvement of technical resources and infrastructure, where and if needed, etc. If the majority of Committee's members have doubts or disagree with the conclusions of this specific data analysis, then the Manager of the Persons' Certification Division undertakes to monitor this information for a longer period of time and until the next Committee's meeting, before the members take any decision.

In cases where the certification schemes are not active and no examinations have been conducted during the previous year and as a result there is no data to be presented, then the Committee's members are simply informed about the current situation and decide on possible actions, as the retention or the modification of examination mechanism or scheme's modification etc.

Moreover, the Persons Certification Division presents to the members of the Committee any finding or note made by the Certification – Impartiality Committee that may affect the reliability, validity and objectivity of the scheme.

During the meeting specific decisions and actions are being taken that may modify and improve the scheme and/or the relevant examination mechanism. In some cases, the decisions might include additional actions for already certified professionals, such as additional examination, so the Persons Certification Division ensures that they are properly informed through specific instructions, publicly available the Organization's website. Those instructions include the additional requirements of the scheme, the updates examination mechanism and the additional actions to keep the certification valid.

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In case any member of the Technical Committee is at the same time examiner and has an active role in the examinations, then this person participates in the general evaluation of the scheme, but he is fully excluded from his own evaluation as an examiner. In this case, all relevant decisions are being made by the rest members of the Committee.

All meetings' minutes and Committee's decisions are documented and recorded by the Persons Certification Division.

### **3.6. Records of Development / Examination Subjects' bank**

All information, documents and records of the scheme's development, including the examination subjects' bank, as well as the decisions of the Technical Committee, like facts, results, affirmation and verification, reviews – assessments, amendments, improvement actions etc., are kept as electronic archives by Persons' Certification Division.

The secured maintenance and the protection of the electronic archives is a responsibility of IT. Those are being kept in the Organizations' servers, while back ups are being taken in daily base. At the same time the servers of the Organization are placed in a controlled room with access control by IT.

### **3.7. Certification – Impartiality Committee**

The data of the development and the review of each Certification Scheme are being presented to the members of the Certification – Impartiality Committee, in order to decide whether there is a(n):

- balanced representation of the main interested parties' interests and participation of experts in the processes of the development, the validation and the review of the Certification Scheme
- alignment of the prerequisites (if there are any) and the assessment mechanisms with the professional competence's requirements

Moreover, the obligations of the Committee include the assessment of the implementation processes of the Certification Schemes, which have been developed according to the requirements of ISO/IEC 17024 and the relative guidelines by the Hellenic Accreditation System (ESYD), and also their validation.

## 4. Implementation of the Certification Scheme

### 4.1. Examiners

Depending on every certification scheme's requirements, a team of examiners is formed, which consists of one or more executives and/or collaborators and/or experts of the Organization as examiners. The examiners hold a university degree in a relevant to the examination subject sector and/or a higher level/ specialty that the scheme's candidates. Moreover, they already have a six month experience in the specific specialty/ level or in examination implementation. If it is necessary, especially when they are written candidates' complaints or complaints from interested parties or crucial modifications and/or technological evolutions on the examination mechanism that might have to be applied before the exams conductance then the examiners are trained and educated accordingly.

The examiners are responsible for the preparation, the organizing, the implementation, the coordination and the supervision of the examinations. More specifically, they are responsible to ensure the smooth and secure conduct of the examination procedure and the integrity of the examination result, to select the examination subjects depending on the scheme and the examination mechanism, to invigilate the candidates during the examination (if required), to assess and decide on the examination result (positive or negative), to complete the required documents of the scheme for the completion of the examination procedure, to publicize the examination results, to suggest the award or the maintenance or the change of the certificate to the Persons' Certification Division, etc.

For every scheme and before every examination (except for the schemes for which the candidates are being only theoretically examined, with multiple choice questions with one correct answer, using the platform <https://peoplecertification.tuvaustriahellas.gr> ), the Persons' Certification Division informs the examiners, by e-mail, for the names of the participants. In case there is any relation between an examiner and a participant, the examiner shall request in written his immediate exception from this specific examination, so a possible risk for impartiality and objectivity is eliminated. In case no written request is received, the Persons Certification Division considers that the examination may be conducted with the specific members.

The Examiners are being monitored and evaluated by the Persons' Certification Division for their performance and their reliable judgment regarding the examination result. The monitoring is being conducted either with onsite observation of their activities, or with the review of their reports, or

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through candidates' feedback or with a combination of the above. In case any problems arise, the manager of the Persons' Certification Division takes the required corrective actions.

### 4.2. Invigilators

Depending on the requirements of each scheme, there may be a need for a use of invigilators. In these cases, the Persons' Certification Division maintains a list of authorized invigilators. In most cases there are no special qualifications required, unless the scheme sets more requirements which are defined and depicted in the relevant Specific Regulation. In these cases, the Persons' Certification Division together with the Technical Committee, defines the competence criteria, the assessment mechanism and reviews their performance in the annual scheme's assessment.

In case there is no special requirement by the scheme, then the invigilators might be administrative staff of the Persons' Certification Division or of the cooperating examination center, granted that there has been no valid complain or appeal for their activity. In case there is a valid complaint or appeal, the Persons' Certification Division together with the examination center responsible person, exclude this person from the list of authorized invigilators and replace them.

In general, the invigilators are responsible to conduct the examination according to the defined terms and conditions. More specifically, the invigilators check the candidates' identity according relative legal documents and invigilate the candidates for applying the terms and conditions of the examination mechanism. Furthermore, the invigilators in physical class cooperate with the Examination Center Manager to any problems during the examination, prevent any candidates' fraudulent behaviors and actions during the examination, prepare the defined forms of the scheme in case there is a deviation from the terms and conditions of the examination mechanism, gather all evidence of the examination, complete all required documents and forms according to the scheme directions, etc.

In specific Schemes and if it is mentioned in the relevant Specific Regulation, the surveillance of the candidates who are being examined via the electronic examination platform <https://peoplecertification.tuvaustriahellas.gr> can be conducted using a web-based proctoring system. This may be done only if the requirements of the Scheme allow it and if the terms and conditions for the web-based proctoring examination system mentioned in Annex I are fulfilled.

### 4.5. Scheme's Public Information

TÜV AUSTRIA HELLAS ensures all interested parties are fully informed, publicizing in the Organization's website all information about the certification scheme, like: brief description of it, scope, prerequisites, terms for certification award, suspension, withdrawal and recertification, complaints' and appeals' management, etc. If necessary, the Organization might publicize any violation of the use of logos and/or certificates by certified professionals.

Moreover, TÜV AUSTRIA HELLAS ensures the on time information of all candidates about the dates of the examination, the examination centers as well as any other information required.

Depending on the requirements and the particularities of each scheme, and if there is a proper consent by the certified professionals, the Organization publishes an updated list of the certified professionals in its website, including a brief description of the scope of the certification as well as the issue and validity dates.

### 4.4. Planning and Right to Participate to the Examination mechanism - Supporting Documents

Depending on the certification scheme and the examination mechanism, the examinations are being conducted either according to a defined program and in a defined frequency, or occasionally, after a request by an interested party or a final user. In any case the interested candidates are being on time informed for the dates of the examinations either in written or with an announcement in the Organization's website.

All candidates who satisfy the required prerequisites of the specific scheme have to right to participate in its examination system. In order to participate, all candidates shall submit a valid application to the Organization, accompanied by the required supporting documents as evidence for the satisfaction of the scheme's prerequisites.

In case the examination is conducted via the electronic examination platform <https://peoplecertification.tuvaustriahellas.gr> and using the web-based proctoring system, the candidate is being informed for the exact date and time of his/her examination by e-mail.

### 4.5. Candidates' Application and Supporting Documents

For every certification scheme and according to its requirements, there is a general form of application which includes the following information and data of each candidate:

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- ✓ Name and surname, father's name, date of birth, address, phone no., e-mail, tax ID no. and tax office
- ✓ Any special requirements of disabled persons, if the prerequisite permit it
- ✓ Requested specialty/ scope of certification
- ✓ Education and/or license and/or professional experience and/or training, where required, according to the certification scheme
- ✓ Candidate's commitment and obligations of the certified individual
- ✓ Candidate's statement for the compliance with the requirements of the scheme
- ✓ Date of submitting the application and applicant's signature, etc.

The candidates who wish to participate in the examination mechanism of a certification scheme are informed about the cost of participation in the examination mechanism, the General Regulation for Persons Certification, its Specific Regulation which describes the specified requirements of the scheme and the application. The filled application and the supporting documents of each candidate are being reviewed for their accuracy and their completeness by the Persons' Certification Division. In case there is any problem, e.g. the submitted documents do not satisfy the prerequisites of the scheme or there is a relation (work or family) with someone of the Organization's staff involved in examination or there are missing documents, etc., then the candidate is informed properly, prior to the examination. If the candidate wishes to prevent his rejection from the examination mechanism and to participate in the exams, then he has the ability to resubmit the right documents, before the exams conductance.

In case the application is accepted, depending on the certification scheme, the data of the candidate are registered in the Organization's records and he is informed in detail about the date and the time of the exams as well as the location of the examination center. Then, after the payment of the required certification fees, a sample of the examination subjects' bank is being sent to the candidate, depending on the certification scheme.

If the examination is conducted remotely through the electronic examination platform <https://peoplecertification.tuvaustriahellas.gr> using web-based proctoring system then the candidate is informed about his/her examination scheduling by electronic mail.

#### **4.6. Preparation of Certification Examinations**

Depending on the scheme, the examination might be written and/or oral (i.e. interview of the candidate and oral answers relative to the assessed knowledge, capabilities and skills of the specialty) and/or practical and/or observation and/or any other objective and reliable mean, while it

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might be conducted in the Organization's examination center and/or other collaborating examination centers/ facilities and/or via the e-platform <https://peoplecertification.tuvaustriahellas.gr>

In case the examination is conducted in a collaborating examination center, this has been evaluated by the Persons' Certification Division for its competence and appropriateness of resources (invigilators, examiners/ markers, administrative staff, technical infrastructure, equipment, etc), whereas in case the examination is conducted in special facilities like laboratories/ machinery facilities etc., those have been evaluated by the examiners together with the Persons' Certification Division. If there is no prior evaluation of the examination center and the full compliance of the infrastructure and the resources with the requirements of the examination system and the applicable law, about health and safety measures, has not been ensured, then the examination center is not considered to be approved and it is not allowed to be used by the Organization for examinations.

Any examination centers that have been certified by EOPPEP, for their infrastructure and resources, are immediately added to approved examination centers' list, without any further evaluation.

The Persons' Certification Division ensures the creations and maintenance of final list of approved examination centers and/or facilities for realization of the examination system of each scheme, of examiners and/ or invigilators.

The Manager of the Persons' Certification Division and examiners' team of the scheme, with the support of each Examination Scheduling Manager, program the implementation of the examinations, taking into consideration the total number of candidates and the availability of existing infrastructure and resources. Then, they form the final lists of participants and respective invigilators (if required), allocating the candidates to the appropriate examination centers/ facilities, according to scheme's requirements.

In case the examination is going to be conducted via the electronic examination platform <https://peoplecertification.tuvaustriahellas.gr> using the web-based proctoring system, the candidates shall read and accept the terms and conditions mentioned in Annex I.

### 4.7. Implementation of Certification Examinations

In any case, the examination mechanism aims to evaluate if the candidate is aware of and is able to apply in specific cases, the knowledge, abilities and skills required for his profession.

In case the examination is conducted in an examination center, depending on the certification scheme and the type of examination (written and/or oral and or practical and or any other objective and reliable mean), the Persons' Certification Division communicates timely with the Manager of the Examination Center reaffirms the appropriateness and competence of required equipment, resources and infrastructure, as well as the application of necessary health and safety measures. In case any problem arises, the Manager of the Examination Center/ Facility records it and reports it to the examiners and the Persons' Certification Division. The cause is sought in order to correct it fully and if this is not able to be corrected, then the Persons' Certification Division seeks for another examination center/ facility.

Simultaneously, the examiners' team, in cooperation with the Persons' Certification Division, selects the examination subjects. The required security degree of the examination material is differentiated, depending on the certification scheme. At any case, in order to define the security degree the following are taken into consideration: the dispersion and the number of examination centers, the transportation mean and the nature of the examination subjects' bank/ examination material (e.g. electronic files, documents, equipment), the steps of the examination mechanism ( e.g. the selection of the subjects, the administrative managements and the distribution of the subjects, the marking/ examination type and the results of the examination), the frequency of the enrichment and the amendment of the examination subjects' bank etc.

Depending on the scheme and according to the examination procedure's security requirements, the invigilators in cooperation with the examination centers' managers and the examiners (if required) ensure the following:

The allocation of the candidate in the examination centers/ facilities

- ✓ The control of identification of each candidate
- ✓ The registration of any absences
- ✓ The application and compliance with the terms and conditions of the examination mechanism
- ✓ The distribution of forms and documents of the examination mechanism
- ✓ The reproduction and the distribution of the examination subjects in the safest and most appropriate way, depending on the certification scheme and the examiners.
- ✓ The onsite observation/ invigilation of the candidates examined



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- ✓ The application of the scheme's procedures for the prevention of any candidates' fraudulent behaviors and actions during the examination
- ✓ The application of any disciplinary actions, if required, described in the terms and conditions of the examination mechanism
- ✓ The collection of the examination evidence and the completed documents and forms of the scheme

After the completion of the examination procedure, the examination evidences are collected by the Managers of the Examination Centers and the invigilators and are forwarded to the examiners. Its members evaluate objectively and fairly the evidence, depending on each certification schemes criteria, as specified in the Specific Regulation, and decide on the examination result (positive or negative) for each candidate.

In case the examination is conducted via the electronic examination platform <https://peoplecertification.tuvaustriahellas.gr>, either in an examination center or using web-based proctoring system, the candidates are informed about the appropriate access codes, the defined examination date and time and the examination duration according to the certification scheme. Especially in case of an examination using web-based proctoring system, the candidates are informed on time, at the latest one week before the examination date, about the instructions for the cloud application usage, the web-based proctoring, the conducting methodology, as well as about the actions that are considered as fraudulent during the examination.

Lists of successful and unsuccessful candidate are formed, accompanied by the respective examination results, which are forwarded to the Persons' Certification Division for the completion of the certification procedure.

Moreover, depending on the certification scheme, the Persons' Certification Division, gather data and information about the examination mechanism, like complaints and evaluations by the candidates, any special conditions for disabled persons, examiners' and invigilators' evaluations, suitability of equipment, infrastructure, resources, any problems identified during the examination mechanism and the action taken, appeals on the examination's/ assessment's results, any examination subjects' leaks, results from collaborating examination centers, etc.

These data and information are being processed and analyzed by the persons' Certification Division and are forwarded for discussion in the annual scheme's Technical Committee review/ evaluation.

### 4.8. Decision for Certification

The examination evidence and the forms/ documents/ records of the examination mechanism gathered after each examination procedure, ensure the traceability and the correlation of each examined candidate with the result of his examination/ assessment, so the investigation and the management of a complaint or an appeal is possible. Moreover, those aid the Persons' Certification Division with specific decisions on awarding a certification or not.

The decisions on award, maintenance, recertification, extension, reduction, suspension or withdrawal of the professional's certificate are taken by the Persons' Certification Division and/or by a competent in the certification process person that has not been involved in training or in examination/ assessment of the professional. In addition, depending on the certification scheme, the decisions are taken according to the terms and conditions described in the respective Specific Regulation.

## 5. Award, Suspension and Withdrawal of Certification

### 5.1. Initial certification

All certification scheme's requirements must be satisfied in order to issue and award a certificate to a professional. After the examiners' suggestion, the control of the examination evidence and the decision that all criteria for initial certification of the professional are met, the Persons' Certification Division issues a certificate of conformity which has a unique registration number, the property of which remains with TÜV AUSTRIA HELLAS for the whole time of validity and until it is, in any way, suspended or withdrawn. The first digit of the registration number, declares the country in which the certification examination took place, for example (1) is for Greece.

The form used for the certificates is designed in a way that there is minimum possibility for falsification and/or copying.

Depending on the certification scheme, apart from the certificate, the Persons' Certification Division might award the professional a card, letter, special tag or other mean.

The form of the certificate includes the following information:

- ✓ Name and surname of the certified professional
- ✓ Unique code
- ✓ Name and logo of the Organization

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- ✓ The specialty of the certification scheme
- ✓ The scope of the certification
- ✓ Date of issue and date of end of validity of the certification

### **5.2. Suspension, Withdrawal or Reduction of Certification Scope**

The Specific Regulation of each scheme includes an analysis of the directions and actions for the suspension or withdrawal or reduction of the scope of the certification. Indicative cases that might lead to the suspension and then to the withdrawal of a certificate are: receiving of a complaint or an appeal by a consumer about a specific professional, certificate's use in a way that harms the Organization's reliability, certificate's use in a misleading or fraudulent manner and for other levels/categories from those that the professional has been certified for, inability of the certified professional to apply the terms and conditions for the maintenance of the certification, inability of the certified professional to fulfill the financial obligations towards the organization, etc.

If the problems which lead to the suspension of the certificate are not solved within a reasonable time, then depending on the scheme, the Organization proceeds to the withdrawal of the certificate or to the reduction of the scope of the certification.

In addition, for every certification scheme, the application for certification includes a term about the applicant's commitment to stop any misleading use of the certification and/or the certificate, in case it is suspended or withdrawn.

It is pointed out that the Persons' Certification Division reserves the right to suspend the certificates awarded to professionals of a certification scheme, if it detects critical changes which have been occurred and affect drastically their sector (legislative, technological developments or other cases), the certification scheme as well as the examination mechanism used for professionals' qualifications assessment. In this case, the Peoples' Certification Division must inform in writing the specific professionals about the suspension of their certificates as well as the actions needed to revoke this suspension or withdraw the certificate and replace it with an updated one.

### **5.3. Recertification**

Through the recertification, the continuous competence of certified individuals and their compliance to the valid scheme's requirements is confirmed.

The Specific Regulation of each scheme includes an analysis of the activities for recertification as well as its frequency. For each certification scheme, the recertification activities are appropriate and

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ensure the impartial assessment of the knowledge, abilities and skills of the professional, as they ensure his continuous competence.

Depending on the Certification Scheme, the recertification of the professionals is implemented with one of the following ways or a combination of them:

- ✓ Full reexamination with the valid examination mechanism
- ✓ Partial reexamination (e.g. participation in a practical exam only)
- ✓ Provision of evidence for the professional occupation in the assessed specialty, during the last certification cycle
- ✓ Provision of evidence for the professional training in the assessed specialty, during the last certification cycle

The duration of the validity of the Certificate for each assessed specialty, and consequently the recertification frequency, is decided by the Technical Committee of the Certification Scheme, in the stage of its development. In any case, the Committee's members are responsible to decide on the amendment of the Certification period, taking into consideration any changes in the legislative or regulative context of each profession, the technology developments in each field, as well as the requirements of the interested parties (employers, employees and consumers) for the specific professional specialty.

## 6. Use of Certificates, Logos and Marks and Candidates' Commitment

Generally, for all certification schemes the certified professional has not the license to use marks, cards, etiquettes and logos of TÜV AUSTRIA HELLAS. Any reference from the professional to his or hers certification should always be done in conjunction with his or hers certificate, if the latter is active and valid. In case that the certificate is posted on the internet, it should be visible and legible.

For every certification scheme, the Organization ensures the candidate commits, through his application, to the following:

- ✓ Compliance with the respective prerequisites of the certification scheme
- ✓ Reference to the valid certification with respect to its scope only
- ✓ Proper use of certification, in order not to harm the Organization credibility
- ✓ Reference to the certification in a way that is not misleading or arbitrary

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- ✓ Suspension of the use of any certificate or reference to the Organization and/or the certification, in case of certificate's suspension or withdrawal, as well as certificate's return to the Organization
- ✓ Proper use of the certificate, so the interested parties and the final users are not deceived
- ✓ Immediate and without any delay informing of the Organization, by the certified individual, for any subject that might affect his ability to satisfy the certification requirements
- ✓ Protection from examination material's leaks and no participation in fraudulent examination practices

In case of any improper, misleading or fraudulent use of a certificate/ logo/ mark, the Organization implements the necessary corrective actions and informs all persons involved. Further to that, the Organization reserves the right to withdraw the certification

## 7. Records and Information

The Person's Certification Division is responsible for keeping all records that are created during the implementation of a certification scheme as well as its completion, like: applications and applicant's supporting documents, list of examination centers/ facilities, list of participants, list of invigilators, (if required), evidence of the assessment and the examination of the candidates, results from assessments and examinations, appeals or complaints during the examination mechanism, any assessments of examiners/ invigilators, feedback from candidates, copies of certificates and other documents of the scheme that affirm the compliance to the certification, maintenance, recertification, extension or reduction of certification scope, certification suspension or withdrawal requirements.

For every scheme, all records are identified, are secured with IT's responsibility, according to the scheme's requirements, and ensure the traceability and the connection of each examined candidate with the examination/ assessment result, in order to enable the investigation and management of a complaint or an appeal. For every certification scheme, the duration of maintaining the record is a full certification cycle or as required by recognition agreements, conventional, legislative or other obligations.

## 8. Objections, complaints, appeals

At any stage of the persons certification process, an interested party, (candidate, examinee, certified professional, employer, third party etc), may wish to question its results. In this case, the interested party has the option to submit his / her / its request either through TÜV AUSTRIA

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HELLAS' procedures or website <https://tuvaustriahellas.gr/epikinonia/>, in which is posted the Main Instruction MCD\_009 of Organization, concerning the management of Complaints - Appeals.

## 9. Declaration of Confidentiality and Impartiality

All staff, collaborators and experts of the Organization, who are involved directly or indirectly with the scheme's assessment mechanism, like Technical Committees' members, examiners, managers of examination centers, invigilators (if any), are committed in written (through the Declaration of Confidentiality – Impartiality), that they will provide warranty for the maintenance of the integrity, the reliability and the objectivity of the examination mechanism.

## 10. History

The following table provides a brief description of the modifications that were made in this document.

Revision	Date	Modification	Author
00	23.10.2014	Initial application	Iakovina Vardalachou
01	30.04.2015	Change in Examination Committee members criteria	Iakovina Vardalachou
02	25.09.2015	Change of paragraph 4.1 for the ensuring of the independence between examiners and candidates	Iakovina Vardalachou
03	21.01.2016	Text's wording improvement.	Iakovina Vardalachou
04	21.03.2016	Clarifications and explanations in the content of paragraphs 3.1, 4.1, 4.5 and 4.8	Iakovina Vardalachou
05	06.04.2016	Clarifications and minor corrections in the content of paragraphs 4.3, 4.5 and 4.7 as well as modifications concerning the use of logo and marks from the paragraph 6. Furthermore, the paragraph 8 was included.	Iakovina Vardalachou
06	16.12.2016	Modification of the context of paragraph 3.5 for the insurance of	Iakovina Vardalachou

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		impartiality in the scheme's assessment and in case a member of the Technical Committee is also an examiner of the scheme.	
07	31.01.2017	Modification of the context of paragraph 3.5 about the evaluation of the examiners who are members of the Technical Committee.	lakovina Vardalachou
08	22.03.2017	Modification of the context of paragraph 3.5 about the evaluation of invigilators and of paragraph 4.2 about the required qualifications of the invigilators	lakovina Vardalachou
09	02.10.2017	Clarification in paragraph 4.8, about the person who makes the certification decision.	lakovina Vardalachou
10	31.01.2018	Clarification in paragraph 5.1, about the registration number of the certificate.	lakovina Vardalachou
11	01.03.2018	Clarification in paragraph 4.1, about the Examination Committee/ Examiners	lakovina Vardalachou
12	11.10.2019	Change of logo.	lakovina Vardalachou
13	20.03.2020	Addition of requirements for the use of the web-based proctoring system.	lakovina Vardalachou
14	06.04.2020	Modification of the requirements for the use of the web-based proctoring system	lakovina Vardalachou
15	23.03.2021	Modifications of the context of paragraphs 4.6, 4.7 and 5.3, addition of paragraph 3.7 for the Certification-Impartiality Committee and additions in Annex I	lakovina Vardalachou

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16	27.08.2021	Addition in paragraph 3.4 regarding the verification and the validation of the scheme, for the review of the examination mechanism of any scheme, before its finalization	Iakovina Vardalachou
17	15.03.2022	Improvements in the contents of paragraphs 3.4, 4.1 and 5.2 regarding the verification and the validation of the scheme, examiners and the suspension, withdrawal or reduction of Certification Scope, accordingly, as well as addition of an extra text in the content of paragraph 3.5 regarding review – assessment and modifications of the scheme	Iakovina Vardalachou



## 11. Annex I

**Description, terms & conditions of the examination via the electronic platform <https://peoplecertification.tuvaustriahellas.gr> and the use of the web-based proctoring system.**

### **Description of the web-based proctoring system**

For the examination using a web-based proctoring system, TÜV AUSTRIA HELLAS uses a web-meeting application for the distant surveillance of the candidate, by an invigilator as well as a proper software for remote proctoring, which is based on a specific algorithm for the automated identification of the face characteristics and the overall identification of the candidate and traces unacceptable behaviors during the whole examination procedure.

This software runs simultaneously with the web-browser the candidate uses for the examination, takes, via the candidate's webcam, random photo-snapshots for the confirmation of the candidate's identity and receives data about the candidate's activity in the computer used, in order to ensure the compliance with the examination regulations. All the above material is then assessed by the system and if needed also by the responsible staff of TÜV AUSTRIA HELLAS, in order to ensure its integrity.

All photo-snapshots taken, the video of the webmeeting and all relevant documentation received is used solely for the purpose of ensuring safety during the examination, according to relevant requirements of the International Standard ISO/IEC 17024 for the prevention of fraudulent examination practices (par. 7.4). TÜV AUSTRIA HELLAS maintains all relative material in the way and for the duration required by ISO/IEC 17024 Standard as well as by the Personal Data Privacy Policy applied horizontally by the Organization.

Before the examination, the candidate follows the identification procedure, as it is described in the "Instruction for the use of the examination e-platform using web based teleproctoring". For the identification of the candidate, the system takes photos of the candidate via his webcam, in order to create a biometric model of his face characteristics and his identification during the examination.

The candidate is being proctored during the whole examination, without any interruptions in completing the examination. The duration of the examination is not affected by the web-based proctoring system and is clearly specified in the Specific Regulation of the Certification Scheme.

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The result of the examination is considered successful only if there is a confirmation for the compliance with the examination by the web-based proctoring system. Otherwise, the examination is considered unsuccessful,

### **Terms & Conditions for the examination using the web-based proctoring system**

1. The candidate who participates in an examination using the web-based proctoring system accepts and consents in taking a video and photos of his face and of the place where the examination is conducted, during the whole examination, in order to allow the Organization to ensure the integrity, the safety and the reliability of the examination procedure, and also in maintaining and processing those data, according to the requirements of the International Standard ISO/IEC 17024 and the Personal Data Privacy Policy of TÜV AUSTRIA HELLAS.
2. The candidate who participates in an examination using the web-based proctoring system accepts and consents in the monitoring of his activity in the computer used for the examination, during the whole examination, in order to allow the Organization to ensure the integrity, the safety and the reliability of the examination procedure, and also in maintaining and processing those data, according to the requirements of the International Standard ISO/IEC 17024 and the Personal Data Privacy Policy of TÜV AUSTRIA HELLAS.
3. The candidate who participates in an examination using the web-based proctoring system accepts and consents in the monitoring of the peripheral equipment (monitors, keyboards, mouse, mouse pads, etc.), during the whole examination, in order to allow the Organization to ensure the integrity, the safety and the reliability of the examination procedure, and also in maintaining and processing those data, according to the requirements of the International Standard ISO/IEC 17024 and the Personal Data Privacy Policy of TÜV AUSTRIA HELLAS.
4. An examination using the web-based proctoring system may be conducted only if the technical prerequisites mentioned in the "Instruction for the use of the examination e-platform using web based teleproctoring" are fulfilled and the candidate has accepted the "Terms for conduction of an examination using web based teleproctoring. Otherwise, the examination shall be conducted in an examination center with the presence of an invigilator.
5. For the implementation of the examination, the candidate follows fully the "Instruction for the use of the examination e-platform using web based teleproctoring".
6. The examination must be conducted in the same place and with the same equipment (computer, webcam) that has been used for the registration and the identification procedure of the candidate.

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7. The presence of other persons in the same place where the examination is conducted, during the whole examination, is not allowed. The detection of other person's presence is considered as a violation for the web based teleproctoring system.
8. The place where the examination is conducted shall have adequate lighting, natural or artificial. In the case of artificial lighting, its source must not reduce the webcam's visibility.
9. The computer which is used for the examination shall be based on a clear surface/ desk.
10. No other communication device (telephone device - mobile or not, other computer, second monitor/ screen, etc.) is allowed in the place where the examination is being conducted.
11. No books, papers, stationery, calculators, telephone devices or tablets are allowed on the surface/ desk on which the computer used for the examination is based.
12. The computer used for the examination shall have only one monitor/ screen connected (e.g. in case of a laptop with an extra monitor, the examination shall be conducted using only the laptop monitor).
13. Before the beginning of the examination, all programs/ windows in the computer used for the examination shall be deactivated. The parallel function of other programs/ websites except the web-browser used for the examination is considered as a violation for the web based teleproctoring system.
14. During the whole examination, no other program shall be used, no other website shall be visited, other than the one in which the examination is being conducted. The parallel function of other programs/ websites except the web- browser used for the examination is considered as a violation for the web based teleproctoring system.
15. During the whole examination, the actions copy-paste, cut-paste are not allowed. The use of the above mentioned actions is considered as a violation for the web based teleproctoring system.
16. During the whole examination, the action of taking a snapshot of the screen (PrintScreen), the photoshooting or the video recording of the examination is not allowed. The use of the above mentioned actions is considered as a violation for the web based teleproctoring system.
17. During the whole examination, the use of headphones/ earphones or other audio equipment is not allowed.
18. During the whole examination, the communication with another person in any way is not allowed.
19. During the whole examination, the absence of the candidate from the visual field of the webcam used for the examination is not allowed. the absence of the candidate is considered as a violation for the web based teleproctoring system.

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20. During the whole examination the system takes photo snapshots via the webcam used. The candidate's behavior shall be the same as if he was in a public place.
21. In any case, the candidate is obliged to ensure the continuous function of all required systems (computer, webcam, internet connection, power supply) for the implementation of the examination. In case there of an unexpected incident (power failure, internet disconnection, computer or webcam malfunction), the examination may be repeated, without any additional cost for the candidate, only if there is adequate documentation and proof of the specific incident. The acceptance and approval of the submitted documentation and evidence and the decision for the repetition of the examination without any additional cost for the candidate, because of a justified incident, is left entirely to the discretion of TÜV AUSTRIA HELLAS's Persons Certification Division.
22. In case of a violation of the terms of the examination using web based teleproctoring, the result of the examination is considered as unsuccessful, even if the grading of the examination is within the acceptable limits.