



APPLICATION AND ASSESSMENT GUIDELINES

A Scheme for the recognition of IT
Professionals.

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PREFACE - CHARACTERISTICS OF THE IT PROFESSION AND IT PROFESSIONALS

The aims of the Professionalism in IT programme are to improve the ability to exploit the potential of information and communication technologies effectively and consistently in all fields of human endeavour and to develop a profession which is respected, trusted and valued.

The recognition of the importance of professionalism in IT necessitates a clear and concise understanding of the attributes and obligations that are required of IT professionals. In turn this demands a description of the profession of which its members are the professionals. This paper describes the criteria for the profession, the bodies which govern it and the professionals who belong to it. It serves to define the essence of professionalism upon which all the building blocks of the profession are constructed.

Profession

A profession is a vocation or pursuit, especially one which involves some branch of advanced learning, and the body of people engaged in it.

A profession must:

- be a community controlled by regulation or by a governing body/bodies (most usually professional institutions or associations) which directs the behaviour of members of the community in professional matters
- determine the knowledge, skills, attributes and experience required by professionals
- give leadership to the public it serves in its specific field of activity
- adhere to the general standards of professional communities and define those specific attributes and characteristics that distinguish a specific profession from others
- be valued for its contribution to society

Regulated Professional Community

A regulated professional community, e.g. a professional institution, must have a means to:

- ensure that members of the community obtain and maintain an acceptable standard of professional competence
- define the profession's core body of knowledge and competences
- set appropriate minimum codes of conduct and professional standards set and enforce rules and standards which recognise and protect the public interest
- take disciplinary action should the rules and standards not be observed or should a member be guilty of unprofessional work
- support members in their commitment to adhere to the rules and professional standards
- provide sufficient capacity to implement and manage the above conditions

Professional communities also undertake other activities (e.g. providing services to members, advising government) but the criteria listed above are the core requirements for a regulated professional community.

Professional

The definition adopted by the British Computer Society Professionalism in IT programme is:

A fully established professional is a practitioner who has specific skills rooted in a broad base and appropriate qualifications, belongs to a regulated body, undergoes continuous development, operates to a code of conduct and recognises personal accountability.

Justice Sandra Day O'Connor, US Supreme Court (ret'd) describes Professionalism as:

The essence of professionalism is a commitment to develop one's skills to the fullest and to apply them responsibly to the problems at hand. Professionalism requires adherence to the highest ethical standards of conduct and a willingness to subordinate narrow self-interest in pursuit of the more fundamental goal of public service.

Different professions use various grades of professionalism with varying requirements for technical and soft skills. However, a recognised IT professional such as a Chartered IT Professional (CITP) a Chartered Engineer (CEng) or an Information Systems Professional (ISP) must specifically:

- belong to a recognised regulated professional community for information and communications technology workers
- share with other professionals the understanding of a core body of knowledge (CBOK)
- demonstrate the capability to operate at the equivalent of SFIA Level 5 or above

And, as with professionals working in other professions, the IT professional must:

- conform to a published code of conduct
- know, and work within, the limits of their capabilities
- be accountable for and submit to peer review of their actions
- undertake continuous professional development
- have their competence to practice re-assessed on a regular basis
- explain the implications of their work to stakeholders
- recognise obligations to the profession as well as to their employer
- have regard to the public good
- contribute to the development of the profession
- support other professionals in maintaining professional standards and developing professional competence

National Variations

Implementations of professionalism vary from country to country and discipline to discipline. In some there are autonomous professional institutions while in others there are combinations of nationally approved qualifications and statutory regulation. This paper does not seek to advance any particular model but is concerned only that, whatever the model, the professional community meets the minimum standards identified.

Charles Hughes
IFIP Professional Practice Task Force, Chairman
19 February 2008

INTRODUCTION: AN INTERNATIONAL SYSTEM OF ASSESSING IT PROFESSIONAL CREDENTIALS

IFIP in March 2007 resolved that it should proceed with a programme to create and promote an international IT profession with the following goals:

- To initiate a vigorous programme of activity to promote professionalism worldwide to achieve the following outcomes:
 - By increasing professionalism, to improve the ability of business and the wider community to exploit the potential of information technology effectively and consistently
 - To build professionalism in IT to the level at which it exists in other areas of professional activity
 - To develop a profession that is respected and valued for the contribution it makes to the exploitation and application of IT for the benefit of all – government, business leaders, IT employers, IT users and customers
- To establish an international grouping to speak globally about issues relating to the IT profession
- To ensure that the voice of the IT practitioner is clearly and powerfully expressed alongside the voices of other competing groups
- To provide an opportunity for IFIP to raise its global profile substantially

What is IP3?

A global programme to promote professionalism in IT, define international standards and create a global infrastructure that will encourage and support the development of both practitioners and employer organisations and give recognition to those who meet and maintain the required standards for knowledge, experience, competence and integrity.

Basis of Accreditation and Audit

These guidelines are based on the following good practice standards of accreditation and audit:

- Transparency, consistency, fairness, maximisation of objectivity, and confidentiality
- Clear description of criteria for accreditation
- An audit process with the purpose of maintaining quality and continuous improvement of processes and standards
- The inclusion of relevant stakeholders in the accreditation/audit process
- See also the ***IP3 Policy Document – Requirements for accreditation/audit of a Scheme (APPENDIX 5)***

Why these guidelines are in this format

The guidelines have been developed in this format:

- To ensure that applicant Associations understand:
 - a. the requirements imposed on associations applying for a Scheme of accreditation
 - b. the requirements of the Accreditation Panel when considering an application for a Scheme and
 - c. the ongoing obligations of the association and the functions of the IP3 Board
- To ensure that associations provide the IP3 with the information to enable an Accreditation Panel to fulfil its obligations when considering whether to accredit a Scheme.
- To ensure that the information provided to the IP3 is presented in a clear and accessible format, which will enable the efficient processing of the application.

What must be provided to the IP3 when applying for assessment of a Scheme?

An application to the IP3 for approval or renewal of a Scheme must include:

1. A covering letter signed by a responsible officer of the association.
2. A cheque made out to IFIP for the prescribed amount.
3. A draft application in the prescribed format with relevant supporting documentation.
4. A two page summary of the Scheme submitted for accreditation.

What these guidelines require

1. **Draft applications:** The first submission of an application should be called 'Draft Application'. After comments have been made by the IP3 senior assessor assigned to your application, the association should submit a final copy. Only when the final draft has been approved will that document be called the Application.
2. **Compulsory Headings:** The guidelines include a list of headings/questions that associations must address in their application. If one or more headings is not applicable to your association, state why that is so. A standard set of headings will ensure that association and the IP3 have considered all relevant matters (even if they are not applicable in a particular case).
3. **IP3 Documents and standards:** The IP3 has adopted various standards and policy documents to assist associations. The Panel has limited discretion in approving Schemes, and may recommend approval of Schemes which do not fully comply with its standards. If an application is submitted in accordance with the standards and these guidelines, there is

a greater chance that the application will contain all the necessary information required for the IP3 and the appointed Assessment Panel to recommend approval of the Scheme.

The IP3's policy guidelines and criteria are currently being developed. The following guidelines are anticipated:

- Application Guidelines
 - Core Body of Knowledge Standard
 - IT Professional Competence Standard
 - Annual Reporting Standard (not yet available)
 - Model Code of Ethics Checklist
 - Corporate Governance Principles: A Guide for associations (not yet available)
 - Complaints and Discipline Standard
 - Policy document on Payment of Annual Fees for Assessment (not yet available)
 - Policy document on requirements for accreditation/audit of a Scheme
 - Policy document on the assessment process
4. **Supporting Documentation:** These application guidelines require an association to provide documents which support its application and a narrative for each heading in the guidelines.
- Supporting documentation must be contained in an **appendix** contained in folders accompanying the draft application
 - All **pages** in the appendix should be numbered in the bottom right hand corner
 - **Dividers** should separate each attached document and these should be numbered
 - An **index** to the appendices with the divider number and name of the document should be included at the front of the folder.
5. **Reference to supporting documentation:** Whenever a document is referred to in response to a particular section, reference should be made to the divider number and the page number in the appendix folder. For example (pX, Appendix Y) (Y will be the number on the divider).
6. **References to legislation:** Where legislation is referred to in the draft application
- Standard legal formatting should be used; name of the Act (or abbreviation), section number(s), and year in italics, jurisdiction in brackets. Abbreviations can be used.
 - A copy of relevant legislation should be included in the appendix. If only some sections of an Act are relevant, only those sections will be required.

The process from submission of a draft to the commencement of a Scheme

Applications will be dealt with as expeditiously as possible. Applications that provide all required information in a clear, readable format, and that are accompanied by all supporting documentation, will be processed more expeditiously. Processing speed depends in part on the cycle of IP3 meetings. Material to be included in the IP3 papers must be provided to the Secretariat at least three weeks before an IP3 meeting. Inclusion of material in the IP3 papers will depend on the commitments of the Secretariat and the complexity of the analysis required.

The steps involved from submission to commencement of a Scheme include:

- Association submits draft application
- Appointed Senior Assessor (as Chair) contacts association regarding the provision of additional material where necessary
- Association submits revised draft application (which addresses any requests for additional material)
- Chief Assessor writes submission for IP3 including Panel formation
- Chief Assessor discusses draft report with IP3 (if required)
- IP3 considers application via electronic forum on IP3 portal
- Other Panel members may request further information
- Association provides further information if requested to do so by the IP3
- (Optional) Application publicly announced in the appropriate press [An association should obtain legal advice as to whether or not this is required or recommended]
- (Optional) Public comments and submissions received
- (Optional) Panel considers comments and submissions
- (Optional) Panel may request further information arising from comments and submissions.
- Panel undertakes assessment visit(s) as required
- Panel reports to IP3 on outcome of assessment visit(s) with recommendations on accreditation and any conditions or recommendations on the path to full accreditation.
- IP3 considers recommendations of the Panel
- If a Scheme is accredited, the Scheme is published on the IP3 website
- Scheme commences
- Annual fees become due

See also the *IP3 Policy Document – the assessment process (APPENDIX 6)*

Legal advice

The IP3 **cannot** provide legal advice to associations as to whether a proposed Scheme complies with local law. The IP3 may seek advice for its own purposes and will not provide that advice to the association.

Associations are encouraged to seek their own legal advice when drafting a Scheme to ensure that the Scheme complies with the relevant laws and also achieves the intended purpose.

These guidelines do not constitute legal advice.

Development of these guidelines

A draft of these guidelines was first released for comment on 30 March 2007 to stakeholders who were invited to provide submissions. The guidelines were amended to over a twelve month period to take into account the submissions and comments that were submitted. The guidelines were adopted by IP3 at its Board meeting on April 9-11 2008.

Review of these guidelines

The IP3 will review and amend these guidelines from time to time. They will be subjected to a major review with stakeholder input at least every five years. Associations and other interested

stakeholders are invited on an ongoing basis to provide written comments and suggestions on the guidelines to the Secretariat.

Assistance using the guidelines

Associations who require assistance in using these guidelines are invited to contact the IP3 Secretariat.

Terms and definitions

For the purposes of all IP3 documents the following terms and definition apply:

accreditation

A summative assessment made against standards based criteria to determine whether an association's certified members qualify for IITP. The outcome is a recommendation for accreditation, conditional accreditation, or non-accreditation.

association

A self-regulating body (most usually a professional institution or association), which directs the behaviour of members in professional matters including the development and maintenance of a certification scheme for IT professionals.

assessment

Process by which IP3 determines whether the association meets standards (accreditation) and whether it is capable of managing the certification process.

Formatiert: Englisch
(Großbritannien)

appeal

Request by an applicant, candidate or certified person for reconsideration of any adverse decision made by the association related to her/his desired certification status.

audit

A formative assessment of an association's implicit or explicit claims about itself and its ability to certify IT professionals. The outcome is an evaluation of the extent to which these claims are correct; it may include recommendations for improvement.

body of knowledge

A collection of knowledge items or areas generally agreed to be essential to understanding a particular subject.

candidate

Applicant who has fulfilled specified prerequisites, allowing his/her participation in the certification process.

certification process

All activities by which an association establishes that a person fulfils specified competence requirements, including application, evaluation, decision on certification, surveillance and recertification, use of certificates and logos/marks.

certification system

Set of procedures and resources for carrying out the certification process defined in the Scheme, leading to the issue of a certificate of competence; the system shall include procedures for the maintenance of certification.

core body of knowledge

The collection of knowledge items or areas generally agreed to be essential to all IT professionals.

cognitive level

Qualitative assessment of an individual's familiarity with a given topic.

competence

Demonstrated ability to apply the knowledge and/or skills and, where relevant, demonstrated the personal attributes required by the scheme.

complaint

Request, other than an appeal, by any organization or individual to an association, for corrective action relating to the activities of that body or to those of any of its members.

evaluation

Process that assesses a person's fulfillment of the requirements of the scheme, leading to a decision on certification.

examination

Mechanism which measures a candidate's competence by one or more means such as written, oral, practical and observational; forms part of the evaluation.

examiner

Person with relevant technical and personal qualifications who is competent to conduct and/or score an examination.

qualification

Demonstration of personal attributes, education, training, and/or work experience.

qualification body

Entity issuing certificates of qualification used by an association to determine membership eligibility.

scheme

The standards, rules, and procedures by which an association seeks to have a particular sub-group of its members certified as attaining a status that is eligible for the IITP designation.

stakeholder

Individual or organization actively involved in an accreditation or whose interests may be positively or negatively affected as a result of a certification, scheme, or accreditation/audit.

standard

The level of requirement in a particular area that must be met by the association to have a Scheme accredited.

NOTE: It is not the intent of IP3 to restrict in any way the freedom of academics or associations to develop courses or certification schemes based on what they feel is appropriate. The use of the IP3 standards is included only to provide a common reference point for comparison.

THE APPLICATION

1 THE ASSOCIATION

1.1 Name of association and countries in which the application is made

State the name of the association and the country in which it is incorporated.

Give details of countries in which members reside and operate. Describe how the association manages any members located outside its home country.

1.2 The legal foundation of the association

Set out the means by which the association is legally constituted. This could be a constitution, a charter or legislation. The relevant constitution, charter or legislation should be included in the appendix. A reference to the relevant clauses or sections should be stated. Refer to the page in the relevant appendix.

1.3 History

Provide a brief history of the association, including:

- when it was formed/incorporated
- any changes to the name of the association
- any changes to the professional group represented by the association (for example, an association may have only represented software developers in the past, but may now represent business analysts and all programmers).

1.4 Objectives/mission of the association

Include a list of the objectives, missions or goals of the association. This will ordinarily be found in the Constitution of the association. The association should also supply a copy of its current strategic plan.

1.5 Persons to whom the Scheme applies

In this section of the application, associations provide information about types and classes of membership and (where relevant) the classes to whom the Scheme applies. This information will allow the IP3 to determine the context for the Scheme under consideration and its potential for improving professional standards.

1.6 Description of the class or classes of persons within the association

Some associations may have various classes of members, (e.g. fellows, honorary members, and student members). State the membership criteria for each class of membership (e.g.

academic qualifications, experience, certifications, and specialty fields). Include supporting documentation in the appendix, and refer to it in the narrative.

1.7 The class or classes within the association to whom the Scheme will apply

State the persons to whom the Scheme applies. State if the Scheme will apply to the whole association or to specific classes of membership.

State the reasons why the association is applying for a Scheme for only a limited class or classes of membership.

1.8 Table of members

For associations with more than one class of member, include a table in the following format:

| Class of Member | Number of members | Number of members to whom Scheme will apply |
|-----------------|-------------------|---|
| | | |
| | | |
| | | |
| Total | | |

1.9 Exemption

Specify the criteria by which members may be exempted from the Scheme.

State the reasons why the association is including an exemption.

1.10 Related, parent organisations

Some associations have legal, business or professional relationships with other organisations.

Related organisations may include:

- a technical society which is part of the association which is relevant to the Scheme proposed
- an international organisation with which the association is affiliated (such an organisation may establish a code of ethics which has been adopted by the association)
- organisations which have co-operated to create an association for the purposes of applying for a Scheme
- an organisation which administers a complaints and discipline system applicable to members of the association

Describe the relationship between the association and any other organisations.

1.11 Description of relationships with other organisations

For each related organisation, describe:

1. The objectives of the organisation
2. Any relevant overlaps in decision-making
3. Any relevant overlaps in regulation
4. Any relevant overlaps in data-sharing
5. Any other relevant issues

1.12 Pictorial chart of relationships with other organisations

Include a pictorial chart of the relationships between the association and other organisations.

1.13 Legislation applying to the association or members of the association

List any legislation regulating

- the association and/or
- members of the association and/or
- the work carried out by members of the professional group that may have an impact on the performance of members of the association.

Descriptions should be provided in general terms.

State the Acts (including year and jurisdiction) and the relevant Parts/Divisions/Sections. Briefly describe the nature of the regulation imposed by the legislation.

Associations should refer to all **relevant** legislation which regulates the association or its members in the performance of their occupations that is relevant to the issues raised in standards for professionals. This may include legislation which regulates professional standards and/or requires members of an association to purchase professional indemnity insurance, to be subject to a statutory complaints and discipline system, or to engage in continuing professional education, etc.

2 INFORMATION ABOUT STAKEHOLDERS

2.1 *The type of work done by members of the association to whom the Scheme applies*

Describe the generic types of work performed by the professional group (e.g. systems architects, advising on legal consequences, security audit etc). Some associations will have only generic IT Professionals included in the Scheme – in such a case – the response to this section is "not applicable".

2.2 *Those for whom professional work is done*

Describe the types of clients of the professional group under consideration. These may be individuals, corporations or government. Include the types of corporations in question (e.g. large financial institutions, small businesses, etc.). State if members of the association to whom the Scheme applies work predominantly for a particular type of client. Where possible, attempt to list the approximate percentage of each type of client for each category of limited liability in the Scheme. This may be in very approximate terms, for example for many professional associations the answer will be "universally employed".

2.3 *Other persons who could be affected by the professional work*

Describe other persons who could be affected by the work done by members of the association. (For example, a subsequent client of the client may suffer economic loss as a result of negligent applications development).

2.4 *Members of the profession who are not members of the association to whom the Scheme applies*

In this section, discuss whether members of the professional group who are not members of the association to whom the Scheme applies may be affected by the Scheme. Consider whether the Scheme may cause members to be less competitive or whether the Scheme may provide an unfair advantage to members to the detriment of non-members or the reverse.

When completing this section, it is recommended that associations seek legal advice as to whether their proposed Scheme breaches any competition, fair-trading and consumer protection laws and any requirements for advertising and consultation.

2.5 *Nominate at least five major stakeholders and their contact details*

IP3 will appoint two external independent members to the Assessment Panel. Associations are asked to nominate at least five (5) stakeholders and provide their contact and organisation details to allow IP3 to select these members. The association is also asked to nominate one stakeholder to the Panel. The rules as they apply to independent Panel members are included in ***IP3 Policy Document – The Assessment Process (APPENDIX 6)***

3 MEMBERSHIP QUALIFICATIONS

This section relates to **certified members** only – that is, those members the association is seeking to have internationally accredited as an **IITP**.

Entry requirements that include educational or other qualifications or number of years of practice in a particular occupation may ensure that only persons with sufficient knowledge and/or experience to practice the occupation are admitted as certified members of the association.

IP3 will also require that you provide details of any core body of knowledge that exists when a number of different IT professionals (i.e., different specialisations) are covered within the certification Scheme as well to show how the association determines both technical and professional competence.

Entry requirements may also include an undertaking to engage in risk management strategies, such as holding a particular level of professional indemnity insurance, or requiring certified members to engage in a certain number of hours of continuing professional development each year.

Before completing this section you should familiarise yourself with Sections 2 and 3 of the **IP3 Policy Document – requirements for assessment of a Scheme (APPENDIX 5)**

3.1 Educational and other qualifications

State the educational or other qualifications required for certified membership of the association. Include the relevant policy in the Appendix and refer to relevant pages in the description.

Where accreditation of academic courses is utilised as part of the process, provide details of the criteria and process. The Panel may choose to observe an actual academic accreditation during the process of accreditation of the Scheme.

Where the association allows an applicant to demonstrate equivalence to the educational qualifications through experience, the association should describe the process by which this is determined.

Describe the method for assessing overseas qualifications. Include relevant documents in the Appendix, and refer to relevant pages in the description.

3.2 Core Body of Knowledge (CBOK)

Describe the core body of knowledge adopted by the association.

IP3 has provided a checklist of knowledge areas. The association is requested to map its CBOK to that list.

Include any relevant documents in the Appendix and refer to relevant pages in the description.

Refer to IP3 Standards Document – core body of knowledge (APPENDIX 3)

3.3 Technical Competence/Qualification

It is expected that an IT professional will have an area in which he or she is technically competent or qualified – that is that the professional has a depth of knowledge or a specialisation within an area or field of the broader IT domain. It is expected that an IT professional will have at least one skill set at SFIA Level 5 – *ensure and enable*.

Describe how technical competence or specialisation is determined by the association. Include any relevant documents in the Appendix and refer to relevant pages in the description.

3.4 Professional Competence/Qualification

IP3 has established a minimum professional standard of autonomy and responsibility at SFIA 3 level 5.

Describe the level of autonomy and responsibility required for certified members.

Include relevant documents in the appendix and refer to relevant pages in the description.

Show a comparison of autonomy and responsibility requirements against the **IP3 Standard – IT professional – levels of competence (APPENDIX 4)**

3.6 Other entry requirements

Describe any other entry requirements. Include relevant documents in the appendix, and refer to relevant pages in the description.

3.7 Verification of entry requirements

Describe the method used to verify membership requirements. Include relevant documents in the Appendix, and refer to relevant pages in the description.

3.8 Legislative Requirements

State any legislative requirements which must be satisfied before a person can practice in the occupation.

Include a statement in the following terms: [(association)] is not aware of any inconsistencies between its membership requirements and any other statutory requirements otherwise than as follows:].

4 CONTINUING PROFESSIONAL DEVELOPMENT

4.1 Power to require CPD

Describe the source of the association's power to require CPD. Include relevant documents in the appendix, and refer to relevant pages in the narrative.

4.2 Required strands of CPD and number of hours

Explain the structure of the CPD programme in terms of the risks that the programmes are seeking to address.

State the strands of CPD and the number of hours required in each strand. A 'strand' is a course or group of courses. Strands in CPD programmes may relate to the generic areas of risk such as:

- Ethics and the regulation of the professional
- Technical professional knowledge
- Technical professional skills
- Practice management
- Any CPD that may be required as part of a risk management process

Include relevant documents in the appendix, and refer to relevant pages in the narrative.

4.3 Providers of CPD

List the main providers of CPD to members. Include relevant documents in the appendix, and refer to relevant pages in the narrative.

4.4 Monitoring CPD compliance with requirements

Describe how compliance is monitored or audited. Include relevant documents in the appendix, and refer to relevant pages in the narrative. Associations should also provide details of compliance monitoring of members operating offshore.

4.5 Sanctions for non-compliance

State the sanctions for non-compliance with compulsory CPD requirements or providing misleading information. Include relevant documents in the Appendix, and refer to relevant pages in the description.

4.6 Data collection and analysis

State if the association collects data on the CPD of its members. State how such data is used. (For example, there may be a high-risk area on which CPD courses are offered, but the association may collect data indicating few members attend courses on that high-risk area. The

association may consider making courses on that high-risk area a compulsory strand of its CPD program to minimise the risk.)

4.7 Legislative Requirements

State the legislation (if any), which requires members of the association to engage in CPD, including those operating offshore.

Include a statement in the following terms: [[association] is not aware of any inconsistencies between its continuing professional education requirements and any other statutory requirements otherwise than as follows:].

4.8 Review of CPD system

State the method and time-cycle for review of the association's continuing professional education system.

5 CODE OF ETHICS AND CODE OF PRACTICE

The IP3 requires associations to have codes of ethics and practice (conduct).

A code of ethics refers to moral principles and ideals held by a good practitioner.

A code of practice provides a model of practical moral reasoning that facilitates the application of the code of ethics. It is expected that the code of practice will be the basis for determination of disciplinary action. It should include concrete examples of ethical problems and solutions.

Associations should read the *IP3 Standard Document - checklist of ethics principles (APPENDIX 1)* before this section is completed.

5.1 Body responsible for developing the code of ethics and code of practice

An association may adopt a Code of Ethics and/or Code of Practice developed by another organisation. State the name of the organisation that was responsible for developing the Code of Ethics and/or Code of Practice. State the reasons why the association has adopted the Code of Ethics and/or Code of Practice of another organisation.

5.2 Acceptance of the codes by members

State the way members ratify or otherwise indicate their acceptance of the Code of Ethics and/or Code of Practice.

5.3 Review of codes

State the time cycle and method for reviewing the Code of Ethics and/or Code of Practice (or the continued adoption of the Code of Ethics and/or Code of Practice of another organisation).

5.4 Comparison between association's code of ethics and the IP3 Standard Document – Checklist of ethics principles

The *IP3 Standards Document - Checklist of ethics principles* sets out the generic content of a good code of ethics. The IP3 will consider the association's Code of Ethics in light of this standard.

Include a table in the appendix that uses the format of Table 1 outlining the extent to which the association's code of ethics contains principles consistent with the IP3 standard.

5.5 Consequences for non-compliance

State the consequences for breaching the code of ethics and/or code of practice.

5.6 Legislative Requirements

State the legislation (if any), which includes a code of ethics or code of practices to which members of the association must adhere.

Include a statement in the following terms: [[association] is not aware of any inconsistencies between its code of ethics and code of practice requirements and any other statutory requirements otherwise than as follows:].

6 COMPLAINTS AND DISCIPLINE SYSTEMS

6.1 Complaints handling bodies

Name all bodies (including the association, where relevant), which handle complaints about members of the association.

For each body, include a copy of any relevant manuals or policies on discipline and/or complaints in the appendix.

6.1.1 The authority of the body to handle complaints

State the authority pursuant to which the body operates (constitution, legislation etc). Refer to relevant sections/articles.

6.1.2 Investigators

State the titles/positions of investigators and whether they are internal or external to the association. Refer to relevant documents and page numbers in the appendix.

6.1.3 Decision Makers

State the title/position of the decision makers and whether they are internal or external to the association. Refer to relevant documents and page numbers in the appendix.

6.1.4 Appeal Panel

State the title/position of the appeal panel and whether they are internal or external to the association. Refer to relevant documents and page numbers in the appendix.

Note: It is good practice for the ultimate decision making body for dispute resolution to be sufficiently independent of the industry or association.

6.1.5 Reporting complaints information

State the entity to which the complaints handling body reports. Refer to relevant documents and page numbers in the appendix.

6.2 Actions forming the subject of a complaint

State the actions of a member which may be the subject of a complaint. Note any exclusions (for example disputes about fees). Refer to relevant documents and page numbers in the appendix.

6.3 Persons who can make a complaint/Public availability

State who can make a complaint. Provide information on the ease of access by the public to the complaint system. Refer to relevant documents and page numbers in the appendix.

6.4 Methods for determining complaints

6.4.1 Method for lodging a complaint

State the method for lodging a complaint (for example writing, telephone). Refer to relevant documents and page numbers in the appendix.

6.4.2 Methods and process of hearing complaints

Describe the method for processing a complaint. Refer to relevant documents and page numbers in the appendix. Include a flow diagram of the process.

6.4.3 Tests for upholding or dismissing complaints

State the tests for upholding or dismissing a complaint. Refer to relevant documents and page numbers in the appendix.

6.4.4 Review/appeals process for the complainant and practitioner/member

Describe the method of processing a review/appeal. Refer to relevant documents and page numbers in the appendix. Include a flow diagram of the process.

6.4.5 Mediation (if applicable) in the process.

Describe any mediation processes provided by or on behalf of the association. State who has access to such services.

6.5 Discipline and sanctions

6.5.1 Disciplinary rules and procedures

Include a copy of the association's disciplinary rules and sanctions in the Appendix.

6.5.2 Grounds for disciplining members

State the grounds on which a member may be disciplined. Refer to relevant documents and page numbers in the appendix.

6.5.3 The disciplinary process

Describe the disciplinary process. Refer to relevant documents and page numbers in the appendix.

6.5.4 Forms of discipline and sanctions

State the forms of discipline and sanctions, which may be administered. Refer to relevant documents and page numbers in the appendix.

6.5.5 Monitoring sanctions

State how the implementation of disciplinary sanctions is monitored. Refer to relevant documents and page numbers in the appendix.

6.6 Notices of Decisions

State how parties/members/public are notified of complaints and disciplinary decisions. Refer to relevant documents and page numbers in the appendix.

6.7 Rights of representation of parties to a complaint

State the circumstances in which parties to a complaint may be legally represented. Refer to relevant documents and page numbers in the appendix.

6.8 Complaints and discipline data

Complaints and discipline data provide valuable feedback to service providers and associations about their service delivery and client satisfaction. Complaints data can be used to structure educative programs to improve professional standards and consumer protection. Where information is available, please provide it here.

6.8.1 Collection

State the method for collecting complaints and discipline data.

6.8.2 Analysis

State the method for analysing complaints and discipline data.

6.8.3 Using complaints and discipline data to inform other management strategies

State the method of feeding complaints data into other management areas, especially professional development strategies.

6.9 Deviations from Model Code

Fill in Table 2 to show the way the association's complaints and discipline system differs from the **IP3 Standards Document – the complaints and disciplinary process (APPENDIX 4)**.

6.10 Legislative requirements

Give any legislation which deals with complaints, discipline or voluntary mediation of members of the association.

Include a statement in the following terms: **[[association] is not aware of any inconsistencies between its complaints and discipline and voluntary mediation service requirements and any other statutory requirements otherwise than as follows:].**

6.11 Review of complaints and discipline system

State the time cycle and method for reviewing the effectiveness of the complaints and discipline system.

7 QUALITY ASSURANCE AND AUDIT

NOTE: this section is not required if the association is currently certified under ISO 17024:2003

Set out how the association maintains and monitors compliance with its membership requirements and rules, and with the requirements of the IP3, particularly in relation to the subheadings below.

Monitoring compliance may usefully occur at the time of annual renewal of membership. Renewal could require the provision of a declaration by members that they have complied with continuing professional education requirements, the association's membership standards, disclosure requirements, etc.

7.1 Compliance with membership standards and policies

State the method by which the association monitors the decisions and processes in this area against policies and guidelines.

7.2 Compliance with continuing professional development

State the method by which the association monitors members' compliance with the association's continuing professional development requirements.

7.3 Compliance with any "directed" professional development

In some cases, an association may direct all or some of its members to undertake "directed" professional development. State the method by which the association ensures that member complete any directed CPD.

7.4 Compliance with reference requirements

The association may have a requirement to provide referees' reports on continuing professional activity. State the method by which the association ensures that reports (or other referee requirements) are met.

7.5 Compliance with directions of disciplinary requirements

State the method by which the association monitors that a member meets any conditions imposed from a disciplinary hearing on any member.

7.6 Legislative requirements

Give any legislation that deals with quality assurance for members of the association.

Include a statement in the following terms: **[[association]** is not aware of any inconsistencies between its quality assurance requirements and any other statutory requirements otherwise than as follows:].

8 ADMINISTRATION OF THE SCHEME

NOTE: this section is not required if the association is currently certified under ISO 17024:2003

The IP3 must be satisfied the association is capable of properly administering the Scheme.

8.1 Organisational structure

Include a diagram of the organisational structure of the association.

8.2 Corporate governance of the association

The IP3 has not yet developed **Corporate Governance Guidelines**. When developed, these Guidelines will assist an association to consider the most appropriate corporate governance model to suit its needs. The better the corporate governance of an association, the more able it will be to engage in effective self-regulation.

IP3 will be especially interested in how the association maintains its independence from education/training activities and the evaluation/certification processes to ensure that impartiality is not compromised.

Describe the association's corporate governance structures and processes.

8.3 The administration of the Scheme

An association must have adequate resources and systems in place to properly administer the Scheme and give confidence to interested parties in its competence, impartiality and integrity, especially in relation to certification processes. This will include systems in place to:

- ensure appropriate decision making in regards to qualifications, competences, skills assessment and education qualifications
- to ensure compliance with membership requirements and compliance with standards
- Policy and procedures systems
- Financial management
- Records management
- comply with any IP3 annual reporting requirements

8.3.1 Systems in place to administer the Scheme

Describe the systems in place to administer the Scheme.

8.3.2 Persons responsible for administering the Scheme

Include a list of the names, positions, and email address of all persons involved in administering the Scheme. Contact details should be provided for:

- Scheme administrator
- Person to be contacted regarding payment of annual fees

- Persons to whom correspondence relating to updates on the IP3's work should be sent

9 TABLES

Table 1: Code of Ethics Comparative Table

| IP3 Code Number | PSC Code Summary (from the Model Code of Ethics) | Association Code Number (including page number in application annexure) | Association Code Summary |
|-----------------|--|---|--------------------------|
| 1 | Describe minimum standards and professional ideals; guiding principles and virtues. | | |
| 2 | Statement about minimum standards that ought not be compromised. | | |
| 3 | Statement that members should obey the just and reasonable laws of community. | | |
| 4 | Commitment to the principle of individual autonomy (comprising freedom of action, speech, work etc) | | |
| 5 | Commitment to non-discrimination on the basis of gender, race etc. | | |
| 6 | Members ought obey the just and reasonable regulations governing members of the association | | |
| 7 | An integrity statement that members ought avoid telling lies and do what they say they will do. | | |
| 8 | Set out fundamental goals or ends of the occupation. | | |
| 9 | Statement committing members to respect the relevant rights of consumers and clients. | | |
| 10 | Complaints and disciplinary processes ought to conform to principles of independence, reasonableness and fairness. | | |
| 11 | Members ought only undertake work they are competent to perform. | | |
| 12 | Members ought to undertake their work conscientiously, with efficiency and effectiveness. | | |

| | | | |
|----|---|--|--|
| 13 | Contain a statement regarding adequate initial and ongoing education. | | |
| 14 | Contain a statement committing members to compete fairly in the market. | | |
| 15 | One should build one's professional or professional reputation based on merit. | | |
| 16 | Address the issue of professional or organisational culture. | | |
| 17 | Address problematic ethical issues that arise in the profession. | | |
| 18 | Statement in relation to the collective responsibility of members to report on any failure to meet minimum standards. | | |
| 19 | Statement in relation to the need for loyalty and cooperation among members of an occupation. | | |

Table 2: Comparative table: complaints and discipline system

| No | Model Code | Model Code Text | Provision of association | Difference between association and Model Code |
|----|--|--|--------------------------|---|
| 1 | Actions subject of complaint | A complaint may be made that a member of the association has acted (or has failed to act) in such a way as to justify the taking of disciplinary action against the member. A complaint may be made and dealt with even though the person about whom it is made has ceased to be a member. | | |
| 2 | Who may make a complaint | Any person may make a complaint (including the association and the IP3). | | |
| 3 | How a complaint is made | A complaint may be made to the association. The complaint must be in writing and contain the particulars of the allegations on which it is founded. | | |
| 4 | What happens after a complaint is made | The association must consider a complaint as soon as practicable after the complaint is made to it. The association may then do any one or more of the following: a. it may require the complainant to provide further | | |

| | | | | |
|---|------------------------|---|--|--|
| | | <p>particulars of the complaint,</p> <p>b. it may carry out an investigation into the complaint,</p> <p>c. it may attempt to resolve the complaint by conciliation,</p> <p>d. it may decline to entertain the complaint (because, for example, the complaint is frivolous, vexatious, misconceived or lacking in substance),</p> <p>e. it may conduct a hearing into the complaint.</p> | | |
| 5 | Action after a hearing | <p>After an association has conducted a hearing into a complaint against a person, it may, if it finds the complaint substantiated, do any one or more of the following:</p> <p>a. caution or reprimand the person,</p> <p>b. impose conditions as to the carrying out of the person's occupation,</p> <p>c. require the person to complete specified courses of training or instruction,</p> | | |

| | | | | |
|---|----------------------|---|--|--|
| | | <p>d. require the person to report as to the carrying out of the person's occupation at the times, in the manner and to the persons specified by the association,</p> <p>e. order the person to obtain advice as to the carrying out of the person's occupation, from such persons as are specified by the association,</p> <p>f. expel the person from membership of the association.</p> <p>If the association does not find the complaint substantiated, it must dismiss the complaint.</p> <p>The association is not entitled to make an award of compensation.</p> | | |
| 6 | Notices of decisions | <p>Within 30 days after a decision is made by an association concerning a complaint, the complainant and the person against whom the complaint is made must be given a written statement of the decision. The statement must include the reasons for the decision.</p> | | |

| | | | | |
|---|--------------------------------------|--|--|--|
| 7 | Rights of representation | The complainant and the person about whom the complaint is made are not entitled to legal representation during attempts to resolve the complaint by conciliation but are entitled to legal representation during a hearing into the complaint. | | |
| 8 | Exercise of functions under the Code | A function of an association under this Code may, in accordance with a resolution of the association, be exercised by the executive body of the association or by a person or persons appointed for the purpose. | | |
| 9 | Protection from liability | No matter or thing done or omitted by the association or a person acting in accordance with a resolution of the association subjects a member of the executive body of the association or the person so acting personally to any liability if the matter or thing was done or omitted in good faith for the purpose of implementing this Code. | | |

APPENDIX 1 - IP3 STANDARDS DOCUMENT - CODE OF ETHICS CHECKLIST

Introduction

For the purposes of IP3 a standards document specifies the level of requirement that should be met by the association to be accredited, Assessment Panels have some freedom in interpretation of an association's adherence to IP3 standards. The Panel would not unreasonably expect full adherence and will make judgements about the level of adherence within context of the association and the environment in which it operates. The Panel may recommend changes or may require that changes are made within a period of time as a condition of accreditation.

NOTE It is not the intent of IP3 to restrict in any way the freedom of academics or associations to develop courses or certification schemes based on what they feel is appropriate. The use of the IP3 standards is included only to provide a common reference point for comparison.

Ethical problems and the solutions to them undergo change. Hence there is a need for ongoing revision of the code of ethics, ongoing education in relation to changes in the code of ethics and especially ongoing education in relation to the application of the principles and ideals expressed in the code.

The process of continuous improvement of both the code and members ought not to only involve discussion and consultation in regard to the basic principles and ideals but should also include research into ethical problems confronted by members, and have some attempt to have members ratify or otherwise indicate acceptance of the changes.

A code of ethics should not exist in isolation. If it does it is unlikely to fulfil its educative, regulatory and integrative functions. A code needs to be supplemented by explanatory material, a model of practical ethical reasoning, by concrete examples of ethical problems and solutions and if possible a code (codes) of practice.

Content

A code of ethics should ideally:

1. Describe not only minimum standards, but also ideals: in so doing they should include not only guiding principles, but also virtues and desirable attitudes
2. Contain a statement that minimum standards ought not to be compromised, even in the face of internal pressure from the organisation (s) to which one belongs or external pressure from outside the organisation
3. Contain a statement to the effect that members ought to obey the just and reasonable laws of the community
4. Contain a statement expressing a commitment to the principle of individual autonomy (comprising freedom of action, speech, to work etc)

5. Contain a statement expressing commitment to non-discrimination on the basis of gender, religion, race, sexual preference, etc
6. Contain a statement that members ought to obey the just and reasonable rules and regulations of the association
7. Contain a statement that members ought to avoid telling lies (tell the truth) and do what they say they will do (keep their promises)
8. Set out the fundamental goals or ends of the IT profession, as well as the constraints on the pursuit of those ends, for example, systems should be secure and individual privacy is assured)
9. Contain a statement or statements committing members to respect the relevant rights of customers and clients (for example informed consent in relation to the work being undertaken, fees and charges to be charges, privacy and confidentiality)
10. Contain a statement that complaints and disciplinary processes ought to conform to natural justice principles of independence, reasonableness and fairness
11. Contain a statement that members ought only to undertake work that they are competent to perform
12. Contain a statement that members ought to undertake their work conscientiously, and with efficiency and effectiveness
13. Contain a statement regarding adequate initial and ongoing professional competence
14. Contain a statement committing members to compete fairly in the market
15. Contain a statement expressing the principle that one should build one's professional reputation on the basis of merit
16. Address issues of inappropriate organisational culture (for example, secrecy and closing ranks in relation to wrongdoing or incompetence)
17. Address problematical issues that members are likely to confront (for example, conflicts of interest, vapourware, privacy, piracy and intellectual property)
18. Contain a statement in relation to the collective responsibility of members to report any failure of their peers to meet minimum standards and
19. Contain a statement that members will do that is necessary and appropriate to advance the goals and ideals profession and do it no harm.

APPENDIX 2 - IP3 STANDARDS DOCUMENT - COMPLAINTS AND DISCIPLINE PROCESSES

Introduction

For the purposes of IP3 a standards document specifies the level of requirement that should be met by the association to be accredited. Assessment Panels have some freedom in interpretation of an association's adherence to IP3 standards. The Panel would not unreasonably expect full adherence and will make judgements about the level of adherence within context of the association and the environment in which it operates. The Panel may recommend changes or may require that changes are made within a period of time as a condition of accreditation.

NOTE It is not the intent of IP3 to restrict in any way the freedom of academics or associations to develop courses or certification schemes based on what they feel is appropriate. The use of the IP3 standards is included only to provide a common reference point for comparison.

Model Code

| | | |
|---|---|--|
| 1 | Actions subject of complaint | A complaint may be made that a member of the association has acted (or has failed to act) in such a way as to justify the taking of disciplinary action against the member. A complaint may be made and dealt with even though the person about whom it is made has ceased to be a member. |
| 2 | Who may make a complaint? | Any person may make a complaint (including the association and the IP3). |
| 3 | How a complaint is made? | A complaint may be made to the association. The complaint must be in writing and contain the particulars of the allegations on which it is founded. The association must notify the IP3 of each complaint made to it (other than a complaint made by the IP3) in an annual report. |
| 4 | What happens after a complaint is made? | The association must consider a complaint as soon as practicable after the complaint is made to it. The association may then do any one or more of the following: <ul style="list-style-type: none"> • it may require the complainant to provide further particulars of the complaint, • it may carry out an investigation into the complaint, |

| | | |
|---|--------------------------|--|
| | | <ul style="list-style-type: none"> • it may attempt to resolve the complaint by conciliation, • it may decline to entertain the complaint (because, for example, the complaint is frivolous, vexatious, misconceived or lacking in substance), • it may conduct a hearing into the complaint. |
| 5 | Action after a hearing | <p>After the association has conducted a hearing into a complaint against a person, it may, if it finds the complaint substantiated, do any one or more of the following:</p> <ul style="list-style-type: none"> • caution or reprimand the person, • impose conditions as to the carrying out of the person's occupation, • require the person to complete specified courses of training or instruction, • require the person to report as to the carrying out of the person's occupation at the times, in the manner and to the persons specified by the association, • order the person to obtain advice as to the carrying out of the person's occupation, from such persons as are specified by the association, • expel the person from membership of the association. <p>If the association does not find the complaint substantiated, it must dismiss the complaint. The association is not entitled to make an award of compensation.</p> <p>If a member is expelled the association must notify IP3 to ensure that all member associations are notified.</p> |
| 6 | Notices of decisions | <p>Within 30 days after a decision is made by an association concerning a complaint, the complainant and the person against whom the complaint is made must be given a written statement of the decision. The statement must include the reasons for the decision.</p> |
| 7 | Rights of representation | <p>The complainant and the person about whom the complaint is made are not entitled to legal representation during attempts to resolve the complaint by conciliation but are entitled to legal representation during a hearing into the complaint.</p> |

| | | |
|---|--------------------------------------|--|
| 8 | Exercise of functions under the Code | A function of the association may, in accordance with a resolution of the association, be exercised by the executive body of the association or by a person or persons appointed for the purpose. |
| 9 | Protection from liability | No matter or thing done or omitted by the association or a person acting in accordance with a resolution of the association subjects a member of the executive body of the association or the person so acting personally to any liability if the matter or thing was done or omitted in good faith. |

APPENDIX 3 - IP3 STANDARDS DOCUMENT – CORE BODY OF KNOWLEDGE

Introduction

For the purposes of IP3 a standards document specifies the level of requirement that should be met by the association to be accredited, Assessment Panels have some freedom in interpretation of an association's adherence to IP3 standards. The Panel would not unreasonably expect full adherence and will make judgements about the level of adherence within context of the association and the environment in which it operates. The Panel may recommend changes or may require that changes are made within a period of time as a condition of accreditation.

NOTE It is not the intent of IP3 to restrict in any way the freedom of academics or associations to develop courses or certification schemes based on what they feel is appropriate. The use of the IP3 standards is included only to provide a common reference point for comparison.

What is a core body of knowledge (CBOK)?

The CBOK is the collection of knowledge items or areas generally agreed to be essential to **all** IT professionals regardless of specialisation or field of activity. IP3 provides a checklist of headings of knowledge requirements that would be expected in the certification. These headings are provided below.

Where an association certifies one type (or limited subset) of IT professional only it would be expected that the CBOK would be subsumed within the total body of knowledge. In such cases the association should still show that the knowledge areas are included.

The minimum standard

IP3 requires that the association has a CBOK – although it may differ significantly from the knowledge areas defined below. The knowledge area headings are provided for comparison purposes only.

The core knowledge areas

- ❖ IT Infrastructure and platforms
- ❖ Data and information management
- ❖ Networking/communications
- ❖ Programming
- ❖ Software and system engineering lifecycle
- ❖ Systems architecture
- ❖ Human/computer interaction
- ❖ Software, system and services procurement
- ❖ Security
- ❖ IT Governance
- ❖ Change management
- ❖ IT programme and project management
- ❖ Quality assurance

- ❖ Risk management
- ❖ Social, legal and ethical implications of IT

APPENDIX 4 - IP3 STANDARDS DOCUMENT – LEVEL OF PROFESSIONAL COMPETENCE

Introduction

For the purposes of IP3 a standards document specifies the level of requirement that should be met by the association to be accredited, Assessment Panels have some freedom in interpretation of an association's adherence to IP3 standards. The Panel would not unreasonably expect full adherence and will make judgements about the level of adherence within context of the association and the environment in which it operates. The Panel may recommend changes or may require that changes are made within a period of time as a condition of accreditation.

NOTE It is not the intent of IP3 to restrict in any way the freedom of academics or associations to develop courses or certification schemes based on what they feel is appropriate. The use of the IP3 standards is included only to provide a common reference point for comparison.

Skills Framework for the Information Age (SFIA)

IP3 has determined to use SFIA Framework Reference version 3 as the reference document for establishing the minimum standard of competence for an IT professional.

Associations can access the document at www.sfia.org.au.

This does not require associations to use the SFIA Framework reference, but associations who do so are encouraged to contact the SFIA organisation.

The minimum standard

IP3 has set the standard of professional competence as:

- Level of Responsibility 5 (ensure, advise) or equivalent
- Possesses at least one skill set at Level 5. These sets may or may not be included in the SFIA Framework reference – if not included, the association should seek to match its required skills sets to that level.

APPENDIX 5 – IP3 POLICY DOCUMENT – REQUIREMENTS FOR ACCREDITATION/AUDIT OF A SCHEME

1. Requirements for a Certification Scheme

The association shall produce a certification scheme (**the Scheme**) that contains a description of the IT professionals to be certified. The Scheme should include the following:

- a list of the tasks, jobs, and positions that the certified IT professional would be expected to undertake (**the Scope**)
- a description of the level of accountability, responsibility, autonomy, authority and complexity of the work expected that is easily understood (Professional Competences) and that is compared with the relevant IP3 standard;
- a description of the appropriate Technical Competences, expressed in terms of the body of knowledge, cognitive levels, skills, and performance levels
- a description of the core body of knowledge that includes a comparison with the relevant part of the IP3 standard
- any minimum educational qualification or experience required by the Scheme
- a description of how competences are evaluated
- details of any delegations to a third party qualification body (including university program accreditation)
- a description of the codes of ethics and professional practices required, including a comparison with the relevant IP3 standards
- a description of how the certification is maintained and renewed
- a description of the complaint and disciplinary processes relating to certified members, including a comparison with the relevant IP3 standards
- any other information that is used in certifying the IT professionals to whom the certification applies.

2 Knowledge and skills

2.1 Body of knowledge

The assessment used by the Scheme should be based on a body of knowledge. For each component of this body of knowledge, the Scheme should state the cognitive level expected of a successful candidate for certification.

NOTE The Scheme should describe processes for maintaining currency and relevance of the body of knowledge.

2.1.1 Core body of knowledge

The association shall define a core body of IT knowledge that all certified members would be expected to have including the cognitive level required. This must be mapped to the core body of knowledge in the IP3 standard.

NOTE It is not the intent of IP3 to restrict in any way the freedom of academics or associations to develop courses or certification schemes based on what they feel is appropriate. The use of the IP3 standard is included only to provide a common reference point for comparison.

2.1.2 Other technical knowledge requirements

If the association has determined that the certification of IT professionals warrants the inclusion of technical knowledge requirements not included in the core body of knowledge, the Scheme shall also identify those requirements.

2.1.3 Domain knowledge

If the certified IT professional is to operate in a particular industry or product domain, the Scheme shall identify any appropriate knowledge requirements.

2.1.4 Cognitive levels

For each knowledge component described the breadth and depth of the knowledge required should be expressed in terms of a taxonomy of cognitive and knowledge processing levels.

2.2 Skills

2.2.1 IT specific skills

The assessment component of the Scheme should include the skills required by the accredited IT professional.

IP3 has determined that all certified IT professionals must have a skill set that supplements the core body of knowledge and identifies the type of IT professional.

2.2.2 Generic professional skills

The Scheme shall identify those generic professional skills expected of a professional in the environment in which the candidate will operate.

IP3 has determined that the standard of entry to the professional level is at least at SFIA level 5. The association skill set requirement should be sufficient to allow the certified IT professional to demonstrate competence at SFIA Level 5 in the areas of responsibility and autonomy.

2.2.3 Performance levels

The Scheme should identify appropriate performance levels for the required skills described.

3 Competences

The association is required to consolidate any knowledge and skills required into a set of competences that are required for the certified IT professional.

3.1 The Scheme should explain how each competence can be attained or mastered. Competences are often attained through training, education, and/or experience, but there are some competences that can only be attained through experience.

3.2 The Scheme should define which competences are to be treated and how each treated competence is to be demonstrated and evaluated. Possible modes of evaluation include examination, referee reports, interview and employer assessment.

3.3 The Scheme should include procedures for handling candidates in the context of changing competence requirements.

4 Delegation

Where an organisation relies on an external organisation to determine qualifications, it shall document its accreditation and/or quality control processes within the Scheme. This includes university college program accreditations.

5 Codes of ethics and professional practice

5.1 The Scheme shall include a code of professional behavior including a code of ethics and accepted standards and practices for the IT professional. The code of ethics should outline the moral principles and ideals of a good IT professional, and the commitment requirement for each professional covered by the Scheme.

5.2 Although ethics is always potentially subject to dispute, and varies between cultures, IP3 provides a specific set of matters that should be included in any code of ethics for IT professionals. These include descriptions of the minimum standards of conduct and occupational ideals that guide the actions of IT professionals, the goals of the IT profession, and the rights and duties of IT professionals with respect to the public, employers, peers, and clients.

5.3 The Scheme shall include a statement outlining the extent to which the code of ethics contains principles consistent with those provided in the IP3 standard by mapping to that standard.

5.4 IP3 has determined that an accredited association must have a complaints and disciplinary process. The Scheme shall include a statement on how complaints against members are handled and a description of the Scheme's disciplinary procedures. These should be mapped to the relevant IP3 standards.

5.5 The Scheme should include a statement on how compliance with the codes is or is not monitored.

6 Maintenance of certification

The Scheme shall include requirements for maintaining and renewing certification.

6.1 *Renewal of certification*

6.1.1 The Scheme shall state the period of the certification and requirements for renewal.

6.1.2 The renewal process should include a declaration by the IT professional that they have complied with all requirements of certification.

6.2 *Continuing professional development*

The Scheme should include:

6.2.1 A requirement for continuing professional development appropriate to the members that are certified, including the quantity of development required.

6.2.2 A justification for the continuing professional development requirement.

6.2.3 A description of how changes to the requirements for certification are applied to persons already certified under the Scheme.

6.2.4 A description of how compliance with the continuing professional development requirement is monitored.

6.2.5 Sanctions for non-compliance with the continuing professional development requirement.

7 Organisation and Governance

NOTE: this section is not required if the association is currently certified under ISO 17024:2003

7.1 The policies and procedures of the association and their administration should be related to the criteria in which certification is sought, should be fair and equitable among all candidates, and should comply with all applicable regulations and statutory requirements. The association shall not use procedures to unfairly impede or inhibit access by applicants and candidates.

7.2 The association shall define policies and procedures for granting, maintaining, renewing, expanding and reducing the scope of the subject certification, and suspending or withdrawing the certification.

7.3 The association should confine its requirements, evaluation, and decision on certification to those matters specifically related to the scope of the desired certification.

8 Organisational structure

NOTE: this section is not required if the association is currently certified under ISO 17024:2003

8.1 The association should be structured so as to give confidence to interested parties in its competence, impartiality, and integrity. In particular, the association:

a) shall be independent and impartial in relation to its applicants, candidates and certified persons, including their employers and their customers, and shall take all possible steps to assure ethical operations

b) shall be responsible for its decisions relating to the granting, maintaining, renewing, expanding and reducing the scope, or suspending and withdrawing the certification

c) shall identify the management [group(s) or person(s)] which shall have overall responsibility for:

- 1) evaluation, certification, and surveillance as defined in the Scheme, the applicable competence standards and other relevant documents²⁾
the formulation of policies relating to the operation of the association, with regard to certification of persons
- 3) decisions on certification
- 4) the implementation of its policies and procedures
- 5) the finances of the association and
- 6) the delegation of authority to any committees or individuals to undertake defined activities on its behalf

d) shall have documents establishing it as a legal entity or part of a legal entity.

8.2 The association should have a documented structure which safeguards impartiality, including provisions to assure the impartiality of the operations of the body. This structure shall enable the participation of all parties significantly concerned in the development of policies and principles regarding the content and functioning of the certification system, without any particular interest predominating.

8.3 The association should appoint a Scheme committee (or equivalent), which shall be responsible for the development and maintenance of the certification Scheme for each type of certification being considered. The Scheme committee should fairly and equitably represent the interests of all parties significantly concerned with the Scheme, without any particular interest predominating. Where a Scheme is developed by organisations other than the association, the respective developer of the Scheme shall adhere to the same principles.

8.4 The association:

- a) shall have the financial resources necessary for the operation of a certification system and to cover associated liabilities
- b) shall have policies and procedures that distinguish between the certification of persons and any other activities and
- c) shall assure that the activities of bodies related to it do not compromise the confidentiality and impartiality of its certification.

8.5 The association shall define policies and procedures (e.g. code of conduct) for the resolution of appeals and complaints received from applicants, candidates, certified persons and their employers, and other parties about the certification process and criteria, as well as policies and procedures for the performance of certified persons. These policies and procedures shall ensure that appeals and complaints are resolved independently, in an unbiased manner.

8.6 The association should employ or contract enough people with the necessary education, training, technical knowledge and experience to perform certification functions relating to the type, range and volume of work performed, under a responsible management.

9 Management system

9.1 The association shall operate a management system which is documented and covers all the requirements of the Scheme, and ensures the effective application of these requirements.

NOTE A documented quality management system based on ISO 9001 which addresses the Scheme would be one means of satisfying this requirement.

9.2 The association should ensure that

- a) a management system is established and maintained in accordance with the Scheme and
- b) its management system is understood and implemented at all levels of the organisation.

9.3 The association should have document control and internal audit and management review systems in place, including provisions for continual improvement, corrective and preventive actions.

10 Records

10.1 The association shall maintain a record system appropriate to its particular circumstances, including a means to confirm the status of a certified person. The records should demonstrate that the certification process has been effectively fulfilled, particularly with respect to application forms, evaluation reports, other assessment activities, and other documents relating to granting, maintaining, renewing, expanding and reducing the scope, and suspending or withdrawing certification.

10.2 The records shall be identified, managed and disposed of in such a way as to ensure the integrity of the process and the confidentiality of the information. The records shall be kept for an appropriate period of time to demonstrate continued confidence for at least one full certification cycle, or as required by recognition arrangements, contractual, legal or other obligations.

11 Confidentiality

The association shall, through legally enforceable commitments, keep confidential all information obtained in the process of its activities. These commitments shall cover all individuals working within the body, including committee members, and external bodies or individuals acting on its behalf. Such information shall not be disclosed to an unauthorised party without the written consent of the organisation or individual from whom the information was obtained, except where the law requires such information to be disclosed. When the association is required by law to release such information, the organisation or individual concerned shall be informed beforehand of what information will be provided.

12 Security

All examinations and related items shall be maintained in a secure environment by the association, or its subcontractors, to protect the confidentiality of these items throughout their useful life.

APPENDIX 6 - IP3 POLICY DOCUMENT - ASSESSMENT OF A SCHEME

1. Application for assessment of a Scheme

IP3 will only undertake an assessment of a Scheme at the express invitation of an association. The application to the IP3 for approval or renewal of a Scheme must include:

- A covering letter inviting the IP3 to assess a Scheme signed by a responsible officer of the association
- A cheque made out to IFIP for the prescribed amount.
- A draft application in the prescribed format with relevant supporting documentation (see policy document and guidelines).
- A summary of the Scheme (maximum two pages)

NOTE: The summary of the Scheme will be posted on the IP3 portal and made available to the public. Consequentially it should not contain confidential material.

2. The assessment process

Applications will be dealt with as expeditiously as possible. Applications will be processed more expeditiously if they provide all required information in a clear, readable format and include all supporting documentation.

When a draft application has been submitted:

- The Secretariat advises the Chief Assessor, who will appoint a Senior Assessor and seek approval of the appointment from the IP3 Board.
- The Senior Assessor communicates with the association regarding the provision of additional material or changes to the application where necessary.
- The association submits the final application, which addresses any requests for additional material.
- Senior Assessor, now serving as Panel Chair, selects a panel of assessors, including two independent assessors and makes a report to the IP3 Board.
- The IP3 Board considers the application and Senior Assessor report via electronic forum.
- The IP3 Board gives the Accreditation approval to proceed and appoints the Panel, on the recommendation of the Chair.
- The Panel commences consideration of the application via electronic forum.
- If required by law or requested by the association, the application for the Scheme is advertised in appropriate press and the summary of the Scheme provided is posted to the IP3 web site for public access.
- Public comments and submissions must be received within 14 days.
- The Panel considers public comments and submissions (if any).
- After reading the comments and submissions, the Panel may request further information.
- The Panel undertakes the Accreditation visit(s), as required.
- The Panel reports to the IP3 Board on the outcome of the Accreditation visit(s) and makes a recommendation on Accreditation, possibly including conditions associated with Accreditation or recommendations on the pathway to full Accreditation.
- The IP3 Board considers the recommendations of the Panel and determines the result of the assessment.

- If a Scheme is accredited:
 - The Scheme is published on web site.
 - The Scheme commences.
 - Annual fees are due.

3. Time scales

The draft application can be submitted at any time. The IP3 Secretariat will acknowledge receipt of the application and appoint a Senior Assessor within 15 working days of receipt.

The Panel will be appointed within 15 working days of receipt of the application.

The Scheme will be advertised (if required) within 15 working days of receipt and comments received for a further 14 days.

The Panel will visit the association within three months of receipt of the application unless the Senior Assessor or the association advise the Chief Assessor that such a timeline is unsuitable. The Chief Assessor can extend the time between application and the visit.

The Panel will provide an informal assessment to the association at the end of the visit. It will be emphasised that this will constitute the recommendations of the Panel and that the final assessment is made by the IP3 Board.

The report will be forwarded to the Board for approval within one month of the visit.

4. Confidentiality and disclosure

All information provided to IP3 by the association, stakeholders and the public will be treated in the strictest confidence by IP3 and all Panel members. All assessors and observers will be required to sign confidentiality and non-disclosure agreements.

The association should advise, if procedures are not already in place to do so, that the assessment is being undertaken and that information about individual members may be disclosed to the Panel. Members should be given a reasonable time to object to their information being disclosed.

IP3 will retain one copy of the final application and supporting documents. All other materials will be returned by Panel members and observers to the association at the end of the visit.

The content of the final report may only be made public by the association. IP3 will publish the summary of the Scheme on its portal.

5. Legal advice

The IP3 cannot provide legal advice to associations as to whether a proposed Scheme complies with local law. The IP3 may seek advice for its own purposes and will not provide that advice to the association.

Associations are encouraged to seek their own legal advice when drafting a Scheme to ensure that the Scheme complies with the relevant laws and also achieves the intended purpose.

6. Assessors

IP3 shall appoint, for a period of three years, a Chief Assessor from its panel of senior assessors. The Chief Assessor shall be responsible to the IP3 Board for the assessment of associations for accreditation purposes. A Chief Assessor can serve up to two terms.

The Chief Assessor shall determine the qualifications required for Senior Assessors, and with the approval of the IP3 Board, appoint a number of Senior Assessors. The number of Senior Assessors should be sufficient to allow IP3 to meet its obligations and timelines for the assessment process. Except in the first two years of IP3 operation, Senior Assessors will be expected to have participated in at least three assessments in the past three years.

The Chief Assessor and Senior Assessors will recruit candidates for training as Assessors. Associations with accredited schemes may nominate candidates for training from their membership.

The Chief Assessor and Senior Assessors are responsible for the training and assessment of assessor candidates. After the completion of training, assessor candidates are eligible for appointment as Provisional Assessors. Such candidates are nominated by the Chief Assessor will nominate them for approval by the IP3 Board. After the accreditation visit, the Chief Assessor will consult with the Accreditation Panel Chair to assess the Provisional Assessor and determine the path of progression to Senior Assessor.

7. Panel membership

The Chief Assessor will appoint a Panel Chair. The Chair must be a Senior Assessor. The Chief Assessor as a Senior Assessor is eligible for appointment as a Panel Chair. If the Chief Assessor is Chair he/she will appoint another Senior Assessor for the review process.

The Chief Assessor and Panel Chair will appoint two Assessors to serve on the Panel. The Chief Assessor and Panel Chair will appoint two independent local members of the Panel, using information provided in the application.

The Chief Assessor may appoint one observer to the Panel. An observer must be nominated by a registered association expecting to seek accreditation within the next two years.

Should a Panel member become unavailable during the assessment process, the Chief Assessor will determine whether or not to appoint a replacement member.

8. Conflict of interest and assessor standards

The panel members will participate in an IP3 assessment on a volunteer basis. IP3 will pay for the assessors' reasonable travel, accommodation and travel-related costs.

IP3 assessors may provide consultation services with associations on assessment matters, either on a cost recovery or paid basis. All such consultation services, whether paid or not, must be reported to the Chief Assessor, and such services will disqualify the assessor from involvement in the assessment of that association.

If an IP3 assessor has any membership or other relationship (current or past) with an association or one of its affiliated organisations, that assessor cannot participate as a member of the assessment Panel.

Where an IP3 assessor believes there may be any conflict of interest in participating in an IP3 assessment, that conflict must be reported to the Chief Assessor. The Chief Assessor will determine whether a conflict exists.

At any stage in the assessment process, an association may make representations to the Chief Assessor that it will be adversely affected by the participation of a particular IP3 assessor. After discussions with the association, the Chief Assessor will determine if the assessor should continue on the Panel, and advise the association of the finding and the reasons for the finding. If the Chief Assessor determines that the association may be adversely affected, then the assessor will be removed from the Panel and advised of the reason. The Chief Assessor will determine if the assessor should be replaced.

At any stage in the assessment process, the Panel Chair may make representations to the Chief Assessor that an association may be adversely affected by the participation of a particular IP3 assessor or that an assessor has not behaved appropriately in the process or has not declared a conflict of interest. After discussions with the Panel Chair, the Chief Assessor will determine if the assessor should continue on the Panel and advise the Panel Chair of the finding and the reasons for the finding. If the Chief Assessor determines that the association may indeed be adversely affected, the assessor has behaved inappropriately or has a conflict of interest, the assessor will be removed from the Panel and advised of the reason. The Chief Assessor will determine if the assessor should be replaced.

The Chief Assessor will advise the IP3 Board of all matters relating to undeclared conflict of interest or inappropriate behaviour of assessors, including a recommendation on the retention of the assessor in question on the IP3 panel of assessors. The IP3 Board will make a decision on the recommendation.

9. Payment for assessment

There is no fee for the assessment process, although IP3 may request an application fee to offset deposits required for travel and accommodation bookings.

IP3 will pay all reasonable travel expenses of IP3 assessors. Observers must meet their own expenses. The association being assessed will make all arrangements for travel and accommodation for independent Panel members, but may not make any other payment.

IP3 will seek reimbursement for all direct expenses from the association seeking accreditation. Accreditation is not granted until all expenses have been reimbursed.

IP3 reserves the right to ask for payment of the fee at the time of lodgement of the draft application.

10. Best practice database

The Chief Assessor will maintain a database of best practices in relation to certification of IT professionals.

Where a Panel observes a policy, practice or any other artefact that it considers of high standard and transferable to other associations, it should report it to the Chief Assessor through the Panel Chair.

The Chief Assessor will contact the association to seek a brief description, appropriate contact, and permission to enter the information in the database of IP3 best practices. The report and contact will be made available to IFIP members on the IP3 portal.

Any negotiations for adoption of a best practice are to be conducted between the two associations in question. The owner association may wish to change the description to indicate its adoption by another association.

11. Visit Schedule

The assessment process will require a visit by the Panel to the association. The visit will include:

- ❖ A meeting with the senior managers and executive (President, CEO, Treasurer, and any elected officials with accountability for professional standards and development). The association may make a presentation supporting the application to the Panel of not longer than 20 minutes. The association may choose to have some association representatives included in the meeting through electronic means.
- ❖ A meeting with representatives of any association bodies involved with professional standards, professional development and certification.
- ❖ A meeting with those people (or a representative group) who assess applicants for membership.
- ❖ Meetings with managers and staff involved in the application of policies in regards to professional standards and certification, including access to records of members.
- ❖ A meeting with 5-6 association members who have been recently received the level of membership for which accreditation has been sought.
- ❖ A meeting with stakeholders from industry, the professional community, and government – this can take the form of a cocktail party or the like to allow Panel members to talk informally. There should be at least twenty such representatives.
- ❖ A meeting with any members or other stakeholders who have made contact with IP3 based on the advertisement as the Panel sees fit. This will depend upon whether or not the assessment has been advertised.

A function allowing the Panel to meet with appropriate people (e.g. Council, congress, board of trustees, etc.) may be held during the visit at the discretion of the association.

The Panel will need access to a room that is large enough to allow it to work as a group (with after-hours access) and to allow meetings with each of the groups outlined above. The room should also allow wireless access to the internet and the ability to access any membership databases and internal intranet containing policies, minutes etc. Projection capabilities to a large screen will also be appreciated.

The association should also make available a visit coordinator to assist the panel during the visit. This is not expected to be a full time position.

The association should allow for five working days for the visit, but the final agenda will be determined by the panel and may be reduced to not less than three days. The final schedule will be determined between the Chair and the association contact after the application has been lodged.

Rules for Observers

- Observers may be asked at any time to leave the room by the Chair at the request of the applicant association, for a particular item.
- Observers may not become involved in the formal discussions with members of the association without the invitation of the Chair
- Observers are subject to strict confidentiality and will be required to sign non-disclosure agreements if requested by the association.
- Observers must leave all materials provided for the assessment with the association at the end of proceedings unless removal is approved by the association.
- Observers must decline to comment on the outcome of the assessment, even within their own association, until it is approved by the IP3 Board..

APPENDIX 7- IP3 POLICY DOCUMENT – TERMS AND CONDITIONS OF ACCREDITATION

1. Introduction

International IT Professional status (IITP), sponsored and maintained by the *International Professional practice Partnership* (IP3), is the premier international IT professional certification. IITP certification is available only through professional membership bodies that have been accredited by IP3 following a detailed assessment to establish that they meet the standards specified in the *Application and Assessment Guidelines* (www.IPThree.org). Those guidelines are supported by a rigorous assessment process and are designed to ensure that those holding the IITP certification consistently meet the very highest standards of professionalism.

This document sets out the general terms and conditions attaching to accreditations granted by IP3.

1. Period of Accreditation

- Following an application and the appropriate assessment, IP3 accreditation may grant accreditation as **Full, Conditional or Provisional**.
- **Full** accreditations are made for a 5 year period and may, subject to satisfactory review, then be extended for a further period. Full accreditations may be made subject to conditions but these will not have been regarded as sufficiently serious to justify a lower level of accreditation.
- **Conditional** accreditations are made where the conditions attaching to the grant are regarded as more serious. In this case the accreditation does not take effect until IP3 is satisfied that the conditions have been met.
- **Provisional** accreditations are made where IP3 is satisfied that, although there are significant conditions attaching to the grant, these are not sufficiently serious to justify a Conditional accreditation. Provisional accreditations will usually be granted for a period of less than the full 5 year term and may also involve a limitation on the full rights and privileges. The provisional status will be reviewed at an agreed point and may be converted to a Full accreditation if IP3 is satisfied that all conditions have been met.
- Assessment reports may also contain a number of recommendations designed to guide and assist the applicant organisation. Such recommendations are not to be regarded as conditions and their adoption is entirely at the discretion of the applicant organisation

2. Rights and Privileges

Full accreditation carries the following rights and privileges:

i. In relation to the accredited body

An accredited body may use the description 'IP3 accredited' or 'accredited by IP3' and may use the IP3 logo on notepaper and printed material, subject to the published style guide.

ii. In relation to members of the accredited body

An accredited body may permit members in the categories covered by the accreditation to use the title 'International IT Professional' and to use the post nominal letters 'IITP', provided that:

- a. The member permits his/her name to be shown on the IP3 IITP register.
- b. The post nominal letters are used only in conjunction with the relevant post nominal letters of the accredited body (e.g. John Smith MACS PCP IITP).
- c. The appropriate membership status in the accredited body is maintained; a member who resigns or allows membership to lapse or who has membership suspended or revoked is not entitled to use either the title or the post nominal letters.

3. Restrictions applying to rights and privileges

i. Provisional accreditations.

The rights and privileges set out at 3 above may be restricted by specific conditions in the case of Provisional accreditations

ii. Delegation

The award of IP3 accreditation relates only to the certification activity of the body named on the certificate of accreditation. Delegation either to a third party or to a subsidiary of the accredited body is not permitted. Should such delegation take place, neither the third party organisation nor the members affected will be entitled to the rights and privileges shown above and the original accreditation itself may be subject to suspension or termination.

4. General conditions attaching to the award

All accreditations are subject to:

- i. The maintenance of relevant standards - it is a requirement that standards, policies and processes should be maintained at or above the level set out in

- documentation supporting the application and described during the assessment visit (including any planned improvements) throughout the term of accreditation.
- ii. Prompt payment of all relevant fees and charges due to IP3 including the appropriate annual registration fees
 - iii. The maintenance of the accredited organisation's membership status within both IP3 and IFIP.
 - iv. An undertaking by the accredited body to support the purpose and activity of IP3 and to refrain from any action likely to undermine the position or reputation of IP3

5. Suspension and Termination of Accreditation

- i. The rights and privileges attaching to accredited status may be suspended at any time during the period of accreditation where the IP3 Board is satisfied that any specific conditions attached to the award have not been met or that there has been a serious breach of any of the general conditions (see 5 above).
- ii. Where IP3 membership is suspended for any reason the rights and privileges attaching to accreditation will also be suspended.
- iii. The rights and privileges attaching to accredited status may be terminated where any of the above circumstances in 6.i apply and no action has been taken to rectify the breach following an appropriate period of notice by the Board.

6. Requirement to notify changes

Accredited bodies must notify the IP3 Board of any significant changes which could impact their accredited status – i.e. any changes which might have been regarded as both relevant and significant had they taken place prior to the last IP3 assessment visit. This will include in particular changes to standards, policies and processes along with significant changes to governance arrangements and strategic relationships with other organisations.