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# Test Centre for Certification of Personnel

OCTOBER 2011

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## FOREWORD

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### **Standards for Certification**

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## CHANGES

### *General*

This standard is a conversion of the former Rules for the Service - Certification of Personnel that DNV SeaSkill used as a framework for developing Competence Standards and requirements for the test centres that DNV qualified to be part of this service. Since DNV abandoned this service in 2007, the requirements for retaining such test centres under a third party certification scheme is today even more in focus than ever.

### **The main changes in this document are consequently:**

- New Title: Standard for Certification of Test Centre for Certification of Personnel.
- The Committee of experts is deleted and the tasks are transferred to DNV and test centre.
- The Central Examination Committee is deleted and the tasks are transferred to DNV and test centre.
- Added measurement of level 1 and 2 competence.
- Revised measurement of level 2 and 3 competence to include use of Simulators.
- New Requirements for Qualification of Examiners.
- The Form of Certificate is included in Appendix D to this standard.

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## 1. Certification System

### 1.1 Introduction

#### 1.1.1 System

*1.1.1.1* DNV has developed a generic system for the certification of competence according to accepted Standards of Competence. This system ensures independence of certification in relation to education and examination has an open structure and aims to limit the risk factor for interested parties.

*1.1.1.2* The generic system consists of a framework which consists of expertise, regulations, procedures and instructions in accordance with the Standard of Competence which is the subject of the certification. Based on the generic system, a detailed competence scheme can be developed.

*1.1.1.3* This standard covers all activities taking place within this system, and is to be used by all involved parties. Before examinations the candidates shall be made aware of this standard, in particular Regulations for Examinations.

### 1.2 Area of Applicability

#### 1.2.1 General

*1.2.1.1* This standard applies to certification schemes of a non-compulsory nature. The certification of competence may be implemented at the request of interested parties according to ISO/IEC 17024:2003.

*1.2.1.2* A register of valid Standards of Competence may be found at: <http://www.dnv.com>

### 1.3 Objective

#### 1.3.1 General

*1.3.1.1* The objective of the certification system covered by this standard is the certification of competence within a specific target group, according to recognisable, well-regarded and consistent standards, rules, specifications and testing methods, with the aim of limiting the risk factor for interested parties and certificate holders.

*1.3.1.2* DNV is pursuing its vision to reach the goal it has set by operating in an open, independent, transparent and internationally recognized certification system. In doing this, DNV applies the following policy guidelines:

- independence and integrity
- worldwide availability
- use of constantly updated, transparent methods
- use of accepted procedures and instructions based on society or industry or authority approval
- use of highly-qualified and experienced experts
- use of nationally and internationally recognised standards, specifications etc.
- participation in industry fora with the aim of development, actualisation and harmonisation of standards, specifications, existing standards, examination methods, etc.

### 1.4 Definitions

#### 1.4.1 Terms

*1.4.1.1 Assessment.* An assessment is a process used for review of systems, documents and the competence of individuals. It is a generic term for testing, auditing and examining, including the conclusion.

*1.4.1.2 Certificate of Competence.* Document, awarded to individuals in compliance with the Standard of Competence that indicates justifiable trust in the named person's competence to fulfil a specific function.

*1.4.1.3 Certification personnel.* Employees of the *Test centre* with the responsibility to review the process of certification and authorised to decide whether a certificate shall be issued to a person or not.

*1.4.1.4 Certification system.* The complete system for certification of personnel covered by this standard .

*1.4.1.5 Certified persons.* Those whose competence is certified, or certificate holders.

*1.4.1.6 Competence.* Demonstrable fulfilment of actual requirements using measurement (examination method(s)). Such requirements relate to areas of competence in respect of knowledge, understanding, skills, attitude and or behaviour in a defined area of work.

*1.4.1.7 Competence requirements.* Competence requirements are described as the minimum requirements in the areas of knowledge, understanding, skills, attitude and or method which a candidate shall possess in view of his professional position. The competence requirements are open to public scrutiny.

*1.4.1.8 Examination.* A test or series of tests, with the aim to assess pre-defined competence requirements of persons.

*1.4.1.9 Examination agreement.* Detailed agreement between DNV and an approved test centre to which examination activities have been delegated by DNV in the context of certification of personnel.

*1.4.1.10 Examination regulations.* The standard DNV regulations to which the test centre(s) and candidates shall conform.

*1.4.1.11 Examiner.* A person approved by DNV and engaged to carry out examinations. Examiner is a generic term covering Invigilators, Assessors and other persons carrying out assessments of competence of individuals.

*1.4.1.12 Interested parties.* Natural persons, legal entities, companies, groups of companies, industry(ies), authority(ies), social partners, institutes, etc. who need specific services based on defined areas of competence executed by the certified person.

*1.4.1.13 Invigilator.* Someone who is supervising the persons taking an examination. An invigilator is appointed by the test centre and approved by DNV. An invigilator is in charge of the organisation of and invigilation during an examination when there is no qualification requirements set for an examiner.

*1.4.1.14 Observations.* Findings made by DNV following an assessment of systems or organisations which shall be discussed by the parties indicated by DNV and are to be reported on in writing by the same parties to DNV.

*1.4.1.15 Pilot.* The first sitting of a new examination (or version of an examination) in a series. If assessment of the pilot proves positive, a start can be made on the definitive execution of the examination.

*1.4.1.16 Risk factor.* The risk of damage to individuals, the environment, goods and markets that can arise from insufficiently-competent personnel, to the extent that this can be influenced and or measured.

*1.4.1.17 Role of DNV versus test centres.* DNV shall ensure that correct practice regarding examinations leading to the Certificate of Competence. The test centre is responsible for the assessment, appraisal and grading of examinations and takes decisions on issuing certificates and awards the Certificates of Competence. DNV representatives have the right to be present at examinations and inspect the relevant examination papers.

*1.4.1.18 Shortcomings.* Non-conformities issued by DNV following an assessment of systems or organisations which shall be resolved by the assessed party before DNV can award an approval certificate to the test centre.

*1.4.1.19 Standard of Competence.* A document reflecting the required competencies and assessment criteria for a specific task or function. The Standard of Competence is described in the certification scheme and specified by means of competence requirements. A Standard of Competence shall contain at least the following topics:

- title
- description of target group
- qualification or competence requirements with regard to knowledge, skills, experience and or attitude or any combination of these
- test matrix, including taxonomy, psychometrics, pass and fail mark, requirements with regard to examination facilities or location.

*1.4.1.20 Test centre.* A DNV approved test centre ensures that the correct procedures relating to the development, preparation, execution and processing of the examinations are followed. The test centre is responsible for the appraisal, assessment and grading of the examinations. The test centre does not provide courses to prepare for the examinations it organises and operates independently from any part of the organisation that provides training.

*1.4.1.21 Test matrix.* An overview of the division of questions on competence requirements and or test terms and which also indicates the pass or fail mark. It also includes practical assignments and reflects relative weight either through a factor or number of assignments / questions.

*1.4.1.22 Test protocol.* A Document filled in by the Examiner or Invigilator during an Examination containing a description of the examination process.

*1.4.1.23 Test specifications.* Test specifications are a further specification or subdivision of the competence requirements and describe in more detail both the subjects in which the candidate shall be examined and the nature of the test.

## **2. Test Requirements**

### **2.1 Introduction**

#### **2.1.1 General**

*2.1.1.1* A test centre shall:

- 1) determine the appropriate method of assessment based on the level of cognition and
- 2) at least be able to generate 3 unique assessments containing previously unused questions and exercises
- 3) Perform an annual review based on experience, new items, test/item analysis and or changing requirements.

Based on the number of examinations taken, DNV and the test centre may prescribe a larger scale of renewal and approve it.

### **2.2 Taxonomy**

#### **2.2.1 General**

*2.2.1.1* Taxonomy of the required professional behaviour specifies the level on which the person should be able to operate. Taxonomy of the required professional behaviour is a hierarchical arrangement, in four (4) levels, of what a person has to master from simple to complex requirements based on Bloom's taxonomy i.e. Bloom, B. S. et al., (1956) Taxonomy of Educational Objectives - The Cognitive Domain.

*2.2.1.2* For every next level it is a prerequisite that the preceding level is mastered.

*2.2.1.3* The required professional behaviour is expressed by means of a verb.

#### **2.2.2 Level 1: Knowledge (K)**

*2.2.2.1* To remember or to reproduce on basis of appropriate, previously learned information.

*2.2.2.2* Suggested professional behaviour verbs on this level are for example: Define, describe, find, identify, label, list, match, mention, name, outline, recognize, record, repeat, reproduce and state.

#### **2.2.3 Level 2: Understanding (U)**

*2.2.3.1* To give meaning to new situations and or new material by recollection and using necessary present information. To give evidence of insight in certain activities. Called *comprehension* by Bloom.

*2.2.3.2* Suggested professional behaviour verbs on this level are for example: Classify, cite, comprehend, convert, discuss, distinguish, estimate, explain, extend, generalize, give examples, interpret, make sense out of, paraphrase, predict, restate (in own words), summarize, trace and translate.

#### **2.2.4 Level 3: Application (A)**

*2.2.4.1* To use previously acquired information in new and concrete situations to solve problems that have single or best answers.

*2.2.4.2* Suggested professional behaviour verbs on this level are for example: Act, administer, apply, articulate, arrange, assess, calculate, chart, collect, compute, construct, contribute, control, demonstrate, determine, develop, discover, establish, extend, implement, include, inform, instruct, manipulate, operate, participate, predict, prepare, preserve, produce, project, provide, report, review, show, solve, teach, transfer, use and utilize.

#### **2.2.5 Level 4: Integration (I)**

*2.2.5.1* To separate information into their component parts, to examine such information to develop divergent conclusions by identifying motives or causes, making inferences, and/or finding evidence to support generalizations. To creatively apply prior knowledge and skills to produce a new or original whole. To judge the value of material based on personal values or opinions, resulting in an end product, with a given purpose, without real right or wrong answers. Called *analysis*, *synthesis* and *evaluation* by Bloom.

2.2.5.2 Suggested professional behaviour verbs on this level are for example: Analyse, appraise, categorize, combine, communicate, compare, compile, compose, conclude, contrast, correlate, create, criticize, decide, defend, design, develop, devise, differentiate, discriminate, express, facilitate, formulate, generate, hypothesise, illustrate, incorporate, integrate, interpret, invent, judge, justify, model, modify, negotiate, organize, outline, plan, point out, prioritize, rearrange, recommend, reconstruct, reinforce, relate, reorganize, revise, select, separate, solve, structure, subdivide, substitute, support and validate.

### **2.2.6 Professional behaviour verbs**

2.2.6.1 The lists of verbs in 2.2.1 to 2.2.4 are not exhaustive and should be used as guidance only.

### **2.2.7 Measurement of Level 1 and 2 competence**

2.2.7.1 Knowledge (K) and Understanding (U) are normally measured by theoretical test or practical assignments. Practical assignments may be of a “theoretical nature”, depending on the competences to be measured. They may include the use of multiple choice questions, open ended questions, case studies, etc. when measuring competences such as calculations, planning, reporting etc.

### **2.2.8 Measurement of Level 3 and 4 competence**

2.2.8.1 Application (A) and Integration (I) are normally measured by practical assignments. Practical assignments shall, where appropriate, be conducted on a representative simulator approved in accordance with DNV Standard for Certification of Maritime Simulation Systems (Standard 2.14). Each simulator exercise normally covers several competence requirements.

## **2.3 Grading and Pass Mark**

### **2.3.1 Minimum requirement**

2.3.1.1 A candidate shall have passed the examination if he scores at least 70% of the total in the theory test and pass the practical test.

2.3.1.2 Specific competence standards may contain their own grading criteria. If nothing is defined in the standard or if the defined pass/fail criteria are less than 70% the criteria mentioned under 2.3.1.1 will prevail.

## **2.4 Requirements for Qualification of Examiners**

### **2.4.1 General**

2.4.1.1 For the multiple choice examinations, no specific requirements are defined.

2.4.1.2 For the open ended question examinations, the requirements depend on the nature and level of the questions. For practical examinations if relevant, the requirements depend on the knowledge of and experience with the area of the Standard of Competence used for examination. However, the examiners approved by DNV shall:

- have an appropriate level of knowledge and understanding of the competence subject of the examinations
- be qualified in the task for which the examination is being made
- have received appropriate guidance in examination methods and practice
- have gained practical examination experience.

When conducting examination involving the use of simulators, have gained practical examination experience on the particular type of simulator under the supervision based on knowledge of relevant standards, rules and legislation.

2.4.1.3 The examiner shall be (self-) employed in the relevant field of work.

2.4.1.4 Furthermore, the examiner shall have knowledge and experience as examiner which enables him or her to make a sound assessment of the examination results.

2.4.1.5 In any circumstance the examiner shall be independent from the examination candidate(s) and from the training cycles of the examination candidate.

## **2.5 Test Protocols and Examination Criteria to be used by Examiners**

### **2.5.1 Test protocols**

2.5.1.1 For each examination a test protocol shall be developed by the Test Centre for the purpose of registration and marking of results.

2.5.1.2 The examiners shall use the protocol for registration and marking of the results. The examiners shall sign the protocols.

2.5.1.3 The certification personnel shall use the signed protocols for assessing the results and reviewing the markings of the examiners. Their findings shall be the basis for the certification decision.

2.5.1.4 For practical assessments an acceptable examiner/participant ratio shall be determined by the test centre, considering the complexity and nature of the assessment span of control of the assessor, safety considerations and the availability of resources. The acceptability of the ratio will have to be approved by DNV.

## **2.5.2 Examination criteria for practical examinations**

2.5.2.1 Each competence requirement has pre-set points or penalty points. Test matrices in the relevant Standards of Competence shall apply to the examinations.

## **2.6 Certificates and Validity Conditions**

### **2.6.1 Certificate format**

2.6.1.1 The Form of Certificate to be used is shown in Appendix D to this Standard . The text in the certificate may be translated into another language than English and other logos than the DNV logo may be added as appropriate. The “General Terms and Conditions of Det Norske Veritas” and the validity conditions are printed on the reverse of the certificate.

### **2.6.2 Validity period of Certificates of Competence**

2.6.2.1 The validity period of the certificates is five (5) years, unless otherwise specified in the Standard of Competence.

### **2.6.3 Validity conditions of Certificates of Competence**

2.6.3.1 The certificate holder shall:

- accept the validity conditions of the certificate prior to the test taking place carry out tasks as specified in the Standard of Competence on a regular basis at least two times per calendar year

## **2.7 Suspension and Withdrawal of Certificates of Competence**

### **2.7.1 General**

2.7.1.1 If the test centre decides to suspend or withdraw a Certificate of Competence, the test centre shall inform the certificate holder in writing, stating the measures which shall be taken in order to rescind the suspension or withdrawal.

2.7.1.2 The manager of the test centre, or an individual appointed to perform the function, is authorised to suspend a Certificate of Competence. The “Suspension or withdrawal file” is open for inspection by DNV. Withdrawn certificates shall be removed from the test centres’ register of valid certificates.

### **2.7.2 Suspension**

2.7.2.1 A Certificate of Competence awarded may be suspended by the test centre for the following reasons:

- 1) The failure to resolve or insufficient resolution of shortcomings.
- 2) Incorrect use of the certificate, such as misleading publication or usage.
- 3) Failure to inform or to insufficiently inform the test centre of matters which have a bearing on the certification process.
- 4) Non-compliance by the certificate holder in relation to the relevant validity conditions.

### **2.7.3 Withdrawal**

2.7.3.1 A Certificate of Competence awarded may be withdrawn by the test centre for the following reasons:

- 1) Misuse of a certificate, such as falsification.
- 2) Serious shortcomings that are not corrected by the certificate holder within a time limit set by the test centre.
- 3) Inadequate measures taken by the certificate holder in remedying shortcomings ascertained by the test centre.

2.7.3.2 In addition, a Certificate of Competence shall be withdrawn by the test centre when:

- three (3) complaints are filed regarding unsafe performance by the certificate holder within any period of six (6) consecutive months
- the certificate holder has deceased
- the certificate-holder can be held accountable for an incident or accident, as a result of a competence or attitude issue directly related to the scope of the certificate.

## **2.8 Recertification Requirements**

### **2.8.1 General**

2.8.1.1 A certificate can be re-issued on basis of passing an examination in accordance with the relevant Standard of Competence. This procedure is similar to the procedure for initial examination and certification.

2.8.1.2 A certificate can be re-issued when documented evidence is provided that the critical performance criteria as specified in the Standard of Competence have been correctly demonstrated on a regular basis, at least two times per calendar year. The documented evidence must be signed by the employer(s).

## **3. Examination and Certification Process**

### **3.1 Examination Process**

#### **3.1.1 General**

3.1.1.1 The candidate shall register with the test centre for an examination in accordance with the relevant Standard of Competence. At the time of the examination, the candidate's identity shall be verified at the test centre as described in Appendix A.3.2.1. The test shall be carried out in accordance with the Regulations for Examinations given in Appendix A. The certification agreement shall not be started until the candidate has accepted the agreement, the validity conditions and the test requirements of the relevant Standard of Competence.

3.1.1.2 In principle, the test centre shall make a favourable decision on the certification of a candidate if the candidate's results conform to the requirements and the test centre shall then award a Certificate of Competence to the candidate.

3.1.1.3 A Certificate of Competence shall have a fixed period of validity and validity conditions. The manager of the test centre or an individual duly authorised may sign the Certificate of Competence.

3.1.1.4 In the case of changes in the competence requirements, the certificates issued shall clearly state which Standard of Competence for which the Certificate of Competence was issued.

### **3.2 Procedure for Recertification**

#### **3.2.1 General**

3.2.1.1 At the end of the validity period of a Certificate of Competence, it is up to the certificate holder to notify the test centre if recertification is desired.

3.2.1.2 If recertification is selected, the certificate holder shall be re-tested or evaluated to determine whether the candidate is still sufficiently competent in the relevant discipline.

### **3.3 Register of Standards of Competence**

#### **3.3.1 Publication**

3.3.1.1 DNV shall publish a Register of Standards of Competence which are operational and or in development and make the Standards of Competence available for downloading. The Register shall state:

- the Standards of Competence and latest version
- the test centres that operate under the DNV certification system
- the applicability of specific legislation, if any.

3.3.1.2 The footnote to the Register gives the date on which the Register was last updated. Hard copies of the Register are, by definition, not monitored.

### **3.4 Register of valid Certificates of Competence**

#### **3.4.1 Register**

*3.4.1.1 The register is the responsibility of the test centre.* The test centre shall provide a register enabling verification of validity of certificates. By entering combinations of the following information concerning the holders of certificates, etc. the register shall respond with information regarding whether the certificate is valid or not:

- certificate number
- name, date of birth
- standard of Competence
- date of examination
- name of test centre.

*3.4.1.2* Certificate holders may lodge a written objection against inclusion in this register.

#### **3.4.2 Confidentiality**

*3.4.2.1* Each and every person bound by this standard and thus coming into possession of data of a confidential nature, or which could reasonably be deemed to be of a confidential nature is obliged to observe the confidentiality thereof.

*3.4.2.2* The item above shall not apply if a person covered by the terms thereof is obliged to divulge data by legal regulation.

*3.4.2.3* Each person bound by this standard who has access to data of a confidential nature or to data which is deemed to be of a confidential nature is obliged to observe the confidentiality thereof.

### **3.5 Records**

#### **3.5.1 Period of retention**

*3.5.1.1* The test centre shall keep examination results and certification data on file throughout the validity period of the Certificate of Competence. Records related to attempts which have not resulted in a Certificate of Competence are to be retained for a minimum of six months. If the complaints-procedure allows for a longer period to file a complaint, records are to be retained throughout that period.

### **3.6 Amendments to the Certification System**

#### **3.6.1 General**

*3.6.1.1* Amendments to the certification system are available for verification at DNV.

## **4. Test Centres and Examinations**

### **4.1 Test Centres**

#### **4.1.1 General**

*4.1.1.1* Examination is the 'audit' in the certification scheme. The development and execution of examination are the responsibilities of the test centre, that DNV has a separate Examination Agreement with and that is approved by DNV. For the sake of independence, the test centre shall function separately from the educational part of any organisation. In developing, preparing, executing and or processing of examinations, the test centre shall comply with the provisions of this standard, use procedures, instructions and personnel approved by DNV.

*4.1.1.2* The test centre shall be assessed by DNV in terms of its capacities, working procedures and the effort put in by personnel approved by DNV. To this end, at least one pilot examination shall be organised. If the test centre conforms to the requirements, DNV shall conclude an Agreement with it for the development, preparation, execution and or processing of the examinations. The pilot shall be counted as certification services from DNV to the test centre.

*4.1.1.3* Once an Agreement has been signed between DNV and the test centre, the process of Certification of Competence may begin.

*4.1.1.4* Examinations are carried out by the contracted test centre and invigilated by DNV, based on the following assumptions:

- 1) Examiners shall carry out the examinations leading to a certificate.
- 2) In principle, a DNV auditor shall be present during examinations leading to a certificate.
  - a) Based on the availability of an ISO 9001:2008 compliant management system and its own findings during previous examination assessment, DNV may decide to reduce the frequency of its presence at examinations. During 'regular audits', the functioning of the examiners shall also be assessed.
  - b) For such a DNV audit to be deemed successful, any shortcomings revealed at previous audits shall have been resolved within three weeks.

4.1.1.5 The test centres shall carry out the following tasks:

- developing questions and assessments for examination purposes
- carrying out pilots
- executing examinations

4.1.1.6 Test centres shall be approved by DNV for each examination and Standard of Competence.

## **4.2 Examinations**

### **4.2.1 General**

4.2.1.1 The regulations for examinations are included in the Agreement between DNV and approved test centres and established procedures with regard to the development, actualisation, preparation, execution and evaluation of examinations. The regulations are shown in Appendix A.

4.2.1.2 The examination regulations are endorsed by DNV. These regulations apply to all examinations according to DNV Standards of Competence. The examination can only be validated if the examination regulations are met. The examination regulations undergo an annual review by the DNV to ensure that its content is up-to-date and still relevant.

4.2.1.3 Invigilation relates to the following activities:

- proof of identity of the candidates
- examination location
- examination resources
- maintaining order during examinations
- ensuring candidates give proof of their own competence.

## **Appendix A**

### **Regulations for Examinations**

#### **A.1 Conditions for Admission of Candidates**

##### **A.1.1 Registration and identification**

*A.1.1.1* Candidates shall enrol by filling in an online registration based application form established by the test centre. In the application form, the candidate is required to fill in their name, initials, date of birth and place of birth as well as a current address. A candidate who has applied and registered in a correct and valid manner shall receive notification prior to the examination about the conditions and time and place where the examination shall be held.

##### **A.1.2 Attendance**

*A.1.2.1* The candidate has to be present well before commencement of the examination, in accordance with the instructions provided by the test centre.

##### **A.1.3 Procedures on absence**

*A.1.3.1* A candidate, who cannot attend an examination because of extenuating circumstances, shall be granted the opportunity to sit an examination at another point in time. Under extenuating circumstances is understood:

- a) The candidate falls ill.
- b) The illness of a close family member.
- c) Other circumstances as determined by the test centre.

*A.1.3.2* The candidate is required to lodge an appeal in writing with regard to these regulations and submit this to the test centre, together with a doctor's certificate and or other supporting documents. On notification of a candidate's absence, the test centre is required to inform the candidate of this requirement.

##### **A.1.4 Announcement of the examination result**

*A.1.4.1* The achieved examination result shall be confirmed on screen ready for print out if possible. If the candidate is successful, the test centre shall proceed to issue the Certificate of Competence.

##### **A.1.5 Re-examination**

*A.1.5.1* If candidates are rejected they can apply to retake an examination.

#### **A.2 Examinations and Test Centres**

##### **A.2.1 Examination composition**

*A.2.1.1* Examinations are composed of questions and or assignments approved by DNV . DNV shall, in due time and on a monthly basis, be informed by the supervisory official of the test centre when an examination shall be held and it may inspect the admissions register.

##### **A.2.2 Language**

*A.2.2.1* Examinations are taken in English. At request, examinations may be sat in other languages under the following conditions:

- examinations which need to be translated into another language than in which they were initially developed must be translated by a certified translator and in strict confidentiality. The translation is to be accompanied by a written statement from the translator attesting to the confidentiality and the identification of the translated document
- only fully compiled examinations may be submitted for translation.

##### **A.2.3 Examiner**

*A.2.3.1* The tasks and responsibilities of the examiner are to:

- retrieve and check examination papers and the examination resources of the test centre
- take the examination in case of oral- and practical examinations and assessments
- supervise the examination and related organisational working activities
- positively identify the examination candidates, and enter type of identification and number in the IT system
- safeguard confidentiality with regard to the examination material
- evaluate the set up of the examination location
- issue and collect the examination papers, resources and results

- ensure good conduct during the examination and other matters as laid down in these examination regulations
- draft the test protocol
- report the examination result to the test centre or in the IT system.

A.2.3.2 The examiner determines what procedures shall be taken in the event of a calamity or irregularities, where necessary in consultation with representatives of DNV.

#### **A.2.4 Collecting the examination papers**

A.2.4.1 The examiner collects the examination papers, if any, and ensures unequivocal identification and confidentiality of those papers.

#### **A.2.5 Period of retention**

A.2.5.1 The completed examination work is retained throughout the validity period of the Certificate of Competence with a minimum of six months.

#### **A.2.6 Examination resources**

A.2.6.1 In addition to the examination location requirements, each examination sitting has to provide sufficient resources for the candidate and examiner so that the examination may proceed in the correct manner.

##### *A.2.6.2 Minimum requirements:*

- table and chair
- instructions, based on the relevant Standard of Competence
- a copy of this standard
- sufficient examination papers and answer-sheets or a PC with Internet access for online tests
- test protocols
- attendance list
- clock or wrist watch
- headphones as applicable.

### **A.3 Requirements for Executing Examinations**

#### **A.3.1 General**

A.3.1.1 The minimum requirements that have to be met when executing an examination are given in A.3.2 to A.3.6. With the approval of DNV, a test centre can introduce additional requirements, procedures and instructions into its quality system.

#### **A.3.2 Identification before the examination**

A.3.2.1 Before the examination, the candidate is required to present a valid and original proof of identity (passport, European identity card or driving licence with a photograph and English text). Other forms of proof such as credit cards or company passes and similar shall not be accepted. Candidates who can not identify themselves in the manner prescribed shall not gain access to an examination.

#### **A.3.3 Location of examinations**

##### *A.3.3.1 Written examinations*

The examination is taken at a location that meets the following minimum criteria:

- a) Each candidate is to be seated at a table having a minimum of 50 cm by 70 cm free working space.
- b) Candidates are to be seated at a minimum of 80 cm from the nearest other candidate.
- c) The location is required to be free from disruptive influences (noise, draught, high or low temperatures and unauthorised access).
- d) The location is required to have sufficient lighting and to comply with statutory safety regulations.
- e) The location has to meet those requirements as laid down in the work instructions for the examiner.
- f) For computer based tests it shall not be possible for the candidates to see each other's screens or use email or web based communication with other persons.

##### *A.3.3.2 Practical examinations*

The requirements are set by the relevant function area in the Standard for Certification of Maritime Simulator Systems, standard 2.14 and or the relevant Standard of Competence.

### **A.3.4 Conduct during examinations**

*A.3.4.1* To the extent it does not concern organisational information or practical- or oral examinations or assessments; contact is not permitted either mutually between candidates or between the candidate and the examiner during an examination.

*A.3.4.2* Smoking is forbidden in the examination hall. While the candidate remains in the examination hall, communication equipment (portable telephones, beepers, pagers, buzzers and such like) shall be turned off.

*A.3.4.3* The candidate may not leave the examination hall during the examination unless the examiner has given consent.

*A.3.4.4* When a candidate has completed the examination before the official closing time, the candidates may leave the examination hall no earlier than 20 minutes after the examination has commenced.

*A.3.4.5* Latecomers shall not be admitted 20 minutes after commencement of the examination.

### **A.3.5 Measures to prevent fraud or irregularities**

*A.3.5.1* A candidate who wrongfully participates in an examination or is involved in fraudulent actions either foregoing, during, or after the examination and which relate to the examination, may be sanctioned according to the judgement of the examiner. The sanctions are:

- a) The candidate is excluded from further participation in the examination.
- b) The candidate shall be considered as not having taken part in the examination. The examination work shall not be assessed and no result shall be published.
- c) The candidate's result shall be revoked and any certificates issued shall be declared null and void.

*A.3.5.2* The examination fee for the examination in question shall not be refunded. The candidate does, however, have the opportunity to apply again to sit a new examination. An examination fee likewise has to be paid for the new examination. On the discovery of fraud or attempted fraud or irregularities, the examiner shall make a written statement in record of evidence and submit this to DNV.

### **A.3.6 Recertification**

*A.3.6.1* If candidates are eligible for recertification they can apply again to sit an examination. An examination fee likewise has to be paid for the new examination.

## **A.4 Appraisal of Examination Results**

### **A.4.1 Compilation and pass and fail mark of examinations**

*A.4.1.1* The compilation of the examinations as well as the pass and fail mark of the examinations is specified in the respective Standard of Competence. After processing, the examiner enters the results of the examination work in the test centre's IT system. Certification personnel will make the certification decision.

## **A.5 Complaints**

### **A.5.1 General**

*A.5.1.1* See Appendix B and C.

## **Appendix B**

### **Complaints, objections and appeals**

#### **B.1 General**

##### **B.1.1 Procedures**

*B.1.1.1* The test centre shall have procedures to handle complaints, objections and appeals relating to the behaviour of the test centre and or certificate holders or the rules for certification as given in this standard.

##### **B.1.2 Complaints**

*B.1.2.1* The certificate holder is obliged to register complaints relating to Certificates of Competence issued by the test centre. This file shall be open for inspection by DNV (this clause may cease to be applicable under the terms of ISO 17024).

*B.1.2.2* Complaints may be made orally or in writing to the test centre. If made orally, they shall be made to a test centre employee. If made in writing, they shall be addressed to the test centre, for the attention of the Director or Manager.

*B.1.2.3* The complaint shall be signed by the complainant and comprise at least:

- the name and address of the complainant
- the date and a description of the behaviour to which the complaint is addressed.

##### **B.1.2.4 The test centre**

shall acknowledge receipt of the petition within 14 days and the complaint shall be dealt with in writing within 30 days. This period may be extended once by the same period. The applicant shall be notified of the extension of this period in writing prior to the expiry of the initial period.

## **Appendix C**

### **Complaints, objections and appeals concerning examinations**

#### **C.1 Application**

##### **C.1.1 General**

*C.1.1.1* This appendix applies explicitly to examinations leading to a certificate. Only candidates (or their representatives) may invoke this article. A candidate can *complain* about the *organisation* of the examination. The *result* of an examination can only be *objected* to.

*C.1.1.2* Complaints about matters other than examinations leading to a certificate or complaints made by those other than candidates may be addressed solely to the test centre and will be treated in compliance with its complaints, objections and appeals procedures given in Appendix B.

##### **C.1.2 Complaints procedure**

*C.1.2.1* A candidate may submit a written complaint regarding the organisation and proceedings of the examination to the test centre no later than two weeks after sitting an examination. If a complaint is made to the test centre, the test centre will notify DNV of the complaint. The petition must contain supporting arguments and be dated, named and signed by the candidate.

*C.1.2.2* Receipt of the complaint will be confirmed in writing by the test centre within one week and subsequently dealt with in consultation and with the approval of DNV. Decisions based on the complaint will be conferred in writing by the test centre within four weeks of receipt to the candidate.

##### **C.1.3 Objections procedure**

*C.1.3.1* Objection may be raised by a candidate against *the result* of an examination within 14 days of publication of said result. Objection must be raised in writing with supporting arguments by the candidate and submitted to the test centre. The application must be dated, named and signed by the candidate.

*C.1.3.2* The test centre will acknowledge receipt within two weeks in writing. Decisions taken test centre, based on the application will be conferred in writing to the candidate, within one month of receipt of the application. This period may once be extended by one month. If that is the case, the candidate will be informed prior to the passing of the original deadline in writing.

## Appendix D Sample Certificate of Competence

DNV Logo

Test Centre Logo

# Certificate of Competence

This is to certify that:

**(Name of certificate holder)**

Date of birth: yyyy-mm-dd                      Nationality: .....

has passed the examination in accordance with:

DNV Standard for Certification No. x.xxx  
Competence of (Name of Competence Standard)

The candidate has successfully demonstrated competence in (Name of Competence) in accordance with these standards.

Date of examination: “.....”

Place of examination: “.....”

Examination organisation: “.....”

Date of issue:            yyyy-mm-dd

Certificate number:

Expiry date:            yyyy-mm-dd

Signature