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

**Part 1:
Requirements for the client**

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

Partie 1: Exigences pour le client



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Foreword

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

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular, the different approval criteria needed for the different types of ISO documents should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see www.iso.org/directives).

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see www.iso.org/patents).

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

For an explanation of the voluntary nature of standards, the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT) see www.iso.org/iso/foreword.html.

This document was prepared by Technical Committee ISO/TC 260, *Human resource management*.

This second edition cancels and replaces the first edition (ISO 10667-1:2011), which has been technically revised. The main changes to the previous edition are as follows:

- detail has been added to the explanation about purpose and means of assessment in the introduction;
- definition of the term “requirements analysis” has been added and the function of requirements analyses has been explained;
- the relevance of this document has been explained for methods that may be used for assessment and screening, whether or not they are marketed as such;
- clarification given concerning the use of new technology, such as machine learning, artificial intelligence and algorithmic analysis;
- additional details given regarding security of assessment materials and assessment participant results;
- additional details given regarding assessment participant privacy rights;
- emphasis on encouraging clients to adopt evidence-based approaches to assessment;
- the structure has been adapted to the updated ISO drafting rules.

A list of all parts in the ISO 10667 series can be found on the ISO website.

Any feedback or questions on this document should be directed to the user's national standards body. A complete listing of these bodies can be found at www.iso.org/members.html.

Introduction

0.1 General

The ISO 10667 series ensures that the benefits of using assessments are realized. This document focuses on aspects of the quality of assessment service delivery in work and organizational settings that occur across the employment life cycle, such as recruitment and selection; career or vocational guidance; learning and development; succession planning; and outplacement. This document establishes a framework for the assessment process. Its scope covers how all assessments in work and organizational settings are carried out (directly to assessment participants and indirectly to users of assessment data). It also identifies core concepts, related to assessment, such as use of evidence-based approaches, fairness and validity to enhance quality and utility in any assessment process.

The ISO 10667 series consists of two parts:

- Part 1 addresses the responsibilities of a client;
- Part 2 addresses the responsibilities of a service provider.

This document also provides a framework within which to position more specific national and international standards and qualifications related to assessments.

The ISO 10667 series presents an evidence-based perspective of the assessment service delivery process that has worldwide applicability. It enables an organization to become a more effective user of assessment, making better hiring decisions and enhancing the potential, well-being and employee-organization fit of all its employees. This document promotes the provision of standardized, appropriate and equitable delivery of assessment services. It also enables regulatory bodies, other authorities and society at large to have more confidence in assessment procedures.

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

- defining good practice for assessment procedures and methods;
- ensuring fairness in the application of assessment procedures;
- enabling appropriate evaluation of the quality of assessment service provision;
- exploring advantages and disadvantages resulting from and/or associated with implementation of assessment services and procedures.

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

0.2 Function of the ISO 10667 series

The ISO 10667 series relates to the delivery of assessments used at the individual, group and organizational levels. The ISO 10667 series aims to promote good practices and to encourage clear documentation of the working relationship between a client and its service provider(s) involved in the assessment delivery process.

The aim of the ISO 10667 series is not that organizations – especially small and medium-sized organizations – are necessarily forced to work with external providers to further improve the quality of their assessment processes. In fact, the ISO 10667 series is guidance for organizations to implement assessment processes with or without any external support.

It functions as practical guidance for both the client and the service provider(s) involved in the assessment delivery process. It describes their respective obligations and responsibilities before, during and after the assessment process. It also provides guidance on the rights and responsibilities of assessment participants and others involved in assessment procedures, including recipients of the assessment results.

Figure 1 provides an overview of the possible interactions and relationships between the different parties in the assessment process.

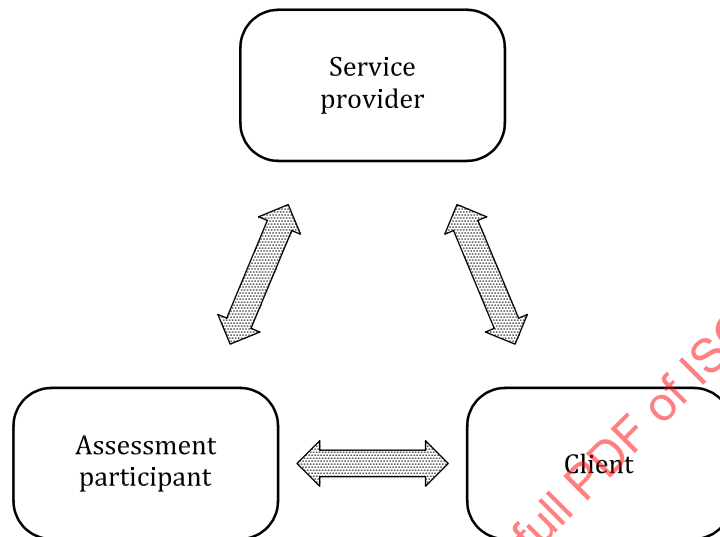


Figure 1 — Roles in the assessment process

NOTE Parties in the assessment process have different roles and interact with each other throughout the assessment process. In addition, a single party can serve multiple roles. For example, in a career counselling setting, a participant purchases the services and thus is also the client; an internal HR team provides services to the organization and at the same time uses assessment services provided by external vendors.

0.3 Intended users of the ISO 10667 series

The ISO 10667 series is intended for clients and service providers who need to work both sequentially and collaboratively in order to ensure effective delivery of assessment services. This document provides requirements and guidance for the client. ISO 10667-2 provides requirements and guidance for the service provider. A client should be aware of and adhere to this document in initiating an appropriate request for assessment services, including fully disclosing its assessment needs and implementing the requirements of this document. However, if a service provider learns that a prospective client is not aware of or using this document, it should inform the client of these best practices and encourage the client to act in accordance with this document with respect to the entire assessment process.

A service provider is involved in the provision of assessment services in work and organizational settings, either as an internal employee of a client or as an external contractor. A client is the person seeking assessment services for himself or herself, or an organization seeking assessment services for individuals or groups within the organization or for the organization itself.

In both parts of the ISO 10667 series, Annex A outlines the rights and responsibilities of the assessment participant.

0.4 Other stakeholders

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

- a) End users of assessment information within an organization who make strategic decisions, operational decisions (e.g. hiring managers in the case of assessment for selection, human resources

managers in the case of succession planning or organizational talent management, executive management in the case of mergers and acquisitions) or both.

NOTE In some countries work councils or employee representatives also have access to the assessment information.

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

0.5 Assessment level categories

The ISO 10667 series covers procedures and methods for the following levels of assessment:

- a) individual level assessment;
- b) group level assessment;
- c) organizational level assessment.

0.6 Purpose of assessment

The ISO 10667 series covers all assessments that occur within an employment or occupational context. Aspects of the employment life cycle where assessment is commonly used include, but are not limited to:

- a) internship and trainee programs;
- b) recruitment and selection;
- c) career or vocational guidance;
- d) job rotation, career change or reintegration into the workforce;
- e) development, coaching and mentoring;
- f) promotion and succession planning;
- g) outplacement and job separation;
- h) retirement planning;
- i) performance management;
- j) employee satisfaction, culture change due to merger or acquisition, employee engagement levels of organizational business units;
- k) determination of eligibility, qualifications or both in certain job categories, including for health and safety or regulatory compliance.

0.7 Means of assessment

The ISO 10667 series covers procedures and methods that are used for the purposes specified in 0.6 and targeting the levels specified in 0.5. Such methods include, but are not limited to, interviews; behaviour observations and simulations; document analysis; questionnaires; CV parsing; voice and video analysis; algorithm-based screening and selection; surveillance methods; and other assessment procedures and

approaches used to collect assessment data regardless of how they are developed and marketed (e.g. artificial intelligence).

0.8 Organization of the ISO 10667 series

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

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

This document addresses the requirements applicable to a client who determines that they have a need for one or more assessments for use in the employment life cycle, and then seeks to obtain such assessment services from a service provider it selects. ISO 10667-2 addresses the requirements applicable to a service provider from whom a client seeks recommendations about what assessments might meet its needs, and then provides assessment services to a client once it is selected based on those recommendations.

In both parts of the ISO 10667 series, each assessment stage is covered in a separate clause (see [Clauses 4, 5, 6 and 7](#)) as follows.

- a) Agreement procedures ([Clause 4](#)) describe mutual responsibilities and obligations of the client and the service provider, as well as the format of their agreement and a description of what must be covered in the agreement; documenting the agreement between the client and the service provider through a written statement of work, or contract, as appropriate.
- b) Pre-assessment procedures ([Clause 5](#)) covers:
 - 1) identifying what needs to be assessed and how, together with choosing the criteria for evaluating success and having a clear expectation of the utility of the process;
 - 2) determining whether there are conflicting interests that need to be balanced;
 - 3) providing a clear rationale for the assessment.
- c) Assessment delivery ([Clause 6](#)) covers all phases of preparing for and carrying out the assessments.
- d) Post-assessment review ([Clause 7](#)) evaluates the assessment process and the assessment results to determine whether the outcomes, consequences and utility of the assessment are consistent with the assessment needs, whether the goals are met and what changes in the assessment process should be adopted for future use by the client.

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

Part 1: Requirements for the client

1 Scope

This document establishes requirements and guidance for clients working with one or more service provider(s) to carry out the assessment of an individual, a group or an organization for work-related purposes. This document enables the client to base its decisions on sound assessment results.

This document specifies the requirements of the client with respect to:

- a) the needs and rationale for using assessments;
- b) the conditions under which the assessment will be used;
- c) the decisions about the assessment approach together with the implementation and evaluation of assessment procedures and methods;
- d) the required competence and professionalism of any person working under its control with a role in the assessment process;
- e) the decisions about the access, use and storage of assessment results and subsequent reports;
- f) organizational decisions related to the delivery of assessment services.

This document also specifies assessment approaches and procedures that can be carried out for one or more work-related purposes made by or affecting individuals, groups or organizations, including, but not limited to:

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

No detailed technical or professional specifications are included within this document; however, an explanation of some of the more common professional quality principles used in assessment (e.g. validity, reliability, fairness, standardization) are included in [Annex B](#). Despite the informative nature of this annex, the quality of assessment procedures and methods is important to the client in relation to the purposes of the assessment, the relevance of the measures involved, their validity, reliability, fairness, standardization and any issues relating to special needs of the assessment participant and other factors that affect the practicality, acceptability and utility of the assessment.

NOTE 1 Requirements for the service provider are specified in ISO 10667-2.

NOTE 2 See Bibliography for examples of various professional guidelines and national standards.

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

NOTE 3 See [Annex C](#) for further information on assessor competence.

2 Normative references

The following documents are referred to in the text in such a way that some or all of their content constitutes requirements of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO 30400, *Human resource management — Vocabulary*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO 30400 and the following apply.

ISO and IEC maintain terminological databases for use in standardization at the following addresses:

- ISO Online browsing platform: available at <https://www.iso.org/obp>
- IEC Electropedia: available at <http://www.electropedia.org/>

3.1 agreement

specification of the terms and conditions of the engagement between the *client* (3.6) and the *service provider* (3.25)

EXAMPLE Details of the service or products to be delivered, duration, scope, ownership and appropriate use of intellectual property and costs.

3.2 assessment

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

Note 1 to entry: An assessment has outcomes and consequences that can be appraised and used to evaluate its utility. Forms of assessment can include, but are not limited to, structured application forms; biographical data inventories; tests of general and specific abilities; self-report inventories and other instruments relating to competencies, personality, motivation, attitudes, values, beliefs and interests; structured interviews; individual problem-solving tasks; group exercises; simulations and work samples; group and organizational level measures; employee surveys; multi-rater feedback; and performance evaluations (e.g. assessor interpretations, supervisor performance ratings).

Note 2 to entry: Assessment tools, approaches and solutions are promoted and marketed under other labels when in fact they are assessments that relate to people decisions such as screening, pre-screening, search and evaluation of personal/social media data, resume parsing, natural language processing, voice and video analysis, algorithm-based decisions or artificial intelligence technology. In order to provide clients with suitable information on any type of instrument, regardless of the traditional definitions or the marketing label, any tool that is used, marketed or promoted for direct or indirect assessment purposes is covered by the ISO 10667 series.

3.3 assessment administrator

person or organization having operational responsibility for the administration of *assessments* (3.2)

Note 1 to entry: Tasks of the assessment administrator include, but are not limited to, face-to-face test administration; setting up online assessments; remote monitoring; management of activities within an assessment centre; and other administrative tasks. In some countries, assessment administrators are referred to as “test proctors”, “test assistants” or “monitors”. An assessment administrator can be an employee of the service provider or the client, or a third party contracted for the purposes of the assessment.

3.4

assessment participant

individual being assessed, whether for personal purposes or for an organization, either individually or as part of a group

Note 1 to entry: Assessment participants include, but are not limited to:

- job applicants or candidates;
- employees being assessed for promotion or other internal organizational purposes;
- members of a team being assessed as a group;
- members of an organization being assessed as a system;
- individuals seeking counselling or career guidance.

3.5

assessor

person or organization responsible for evaluating and interpreting an *assessment participant's* (3.4) performance on the *assessment* (3.2) tasks and providing appropriate reporting and *feedback* (3.15) to assessment participants and the *client* (3.6)

Note 1 to entry: An assessor is competent to make decisions about the use and interpretation of assessment procedures. In relation to psychological testing, in some countries they are referred to as “test users” to distinguish them from “test proctors”, “test administrators” or “monitors”. An assessor can be an employee of the service provider or the client, or a third party contracted by either for the purposes of the assessment.

3.6

client

individual or organization who arranges with a *service provider* (3.25) to deliver the *assessment* (3.2) and related components of the assessment service provision

EXAMPLE A client can be:

- a) an individual, for personal benefit (e.g. career-related decisions informed by assessment results including coaching, guidance, vocational rehabilitation and counselling) or for others (e.g. licensure and certification bodies);
- b) an organization, for assessments of the organization itself (e.g. engagement surveys, assessment of working conditions, work satisfaction surveys) or of individuals, groups or both within the organization (e.g. making employment-related decisions such as recruitment, selection, development, promotion, outplacement, succession planning and reassignment).

Note 1 to entry: Sometimes the assessment participant is also the client. In this document, when the client is the individual being assessed, that person is referred to as the assessment participant.

3.7

competence

<assessment> possession of adequate knowledge and skills by education or training to use, interpret and deliver *assessments* (3.2) to a level of performance defined by professional guidelines

Note 1 to entry: In the ISO 10667 series, competence refers to the assessor as well as to all those working under the assessor's supervision, where appropriate, and not to the assessment participant.

Note 2 to entry: Competence does not necessarily imply eligibility to practice in all countries.

3.8

credential

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

3.9
criteria

work-related measures or outcomes that are used to judge the meaningfulness, predictive value or *utility* (3.27) of the *assessment* (3.2) results

3.10
data controller

person or organization who determines the purposes for which and the manner in which any *personal data* (3.18) are to be collected, processed and stored

3.11
data processor

person [other than an employee of the *data controller* (3.10)] or organization that collects, processes and stores *personal data* (3.18) on behalf of the data controller

3.12
end user

person or organization that uses the *assessment* (3.2) results to guide a decision or further action

Note 1 to entry: This might be the client or an intermediary person in the assessment process, such as a line manager. In other instances, the end user might be the assessment participant.

3.13
fairness

principle that every *assessment participant* (3.4) should be assessed using procedures that are equitable and as far as possible free from systematic bias

3.14
evidence-based

based on a systematic review of available research, data, theory and other evidence which supports the quality and relevance of the outcome of the action or decision in a particular context for a particular use

Note 1 to entry: See [Annex B](#) for notes on principles of evidence-based approach to assessment.

3.15
feedback

information provided to the *assessment participant* (3.4) about his or her *assessment* (3.2) results

Note 1 to entry: Feedback may be provided in different forms, formats and channels, including, but not limited to, oral or written.

3.16
informed consent

process of providing information regarding the *assessment* (3.2) itself, its purpose and its possible consequences for each intended use and in order to obtain *agreement* (3.1) from the *assessment participant* (3.4) to participate in the assessment process and to collect, process and use the participant's *personal data* (3.18)

Note 1 to entry: Pursuant to applicable laws, regulations or corporate policies, assessment participants may withdraw from an assessment after having provided consent, but doing so might result in consequences that should have been explained to the assessment participant at the time of first soliciting consent.

Note 2 to entry: In some circumstances consent is implicit rather than explicit. For example, consent is implied in compliance with the process, or where an alternative basis has been identified and noted for collecting, processing and using the participant's personal data (e.g. a contract between the client and the participant or the processor and the participant).

3.17**norm**

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

Note 1 to entry: Typical percentile scores include grades based on the top 10 % of a population, the next 20 %, the mid 40 %, the next 20 % and the bottom 10 %, respectively; or deciles, which represent 10 % bands of the reference population. Typical standard scores include z-scores (with a mean of zero and standard deviation of one); STENS (mean 5,5, standard deviation 2); and T scores (mean 50 and standard deviation 10).

3.18**personal data**

data, including personal information, that are identifiable as relating to a particular *assessment participant* (3.4)

Note 1 to entry: Personal data does not include data obtained from the assessment participant that are anonymous or that have been subsequently rendered anonymous. Jurisdictions may specify criteria for anonymization.

Note 2 to entry: Jurisdictions specify criteria for which assessment data are classified as personal data.

3.19**post-assessment review**

procedure designed to evaluate whether and to what extent the *assessment* (3.2) met its objectives, including the requirements set out in the written record between the *client* (3.6) and the *service provider* (3.25), together with identification of opportunities for improving future assessments

3.20**professionalism**

acting in a manner consistent with conduct and practices, including, where applicable, a code of ethics, adopted by or associated with the *assessment* (3.2) profession, requiring systematic knowledge and proficiency, and being aware of one's limitations and not acting outside one's area of *competence* (3.7)

3.21**reliability**

amount of systematic variance free from measurement error within the test scores, ratings or both

Note 1 to entry: Based on the reliability a band of error within which an assessment result should be interpreted can be specified.

Note 2 to entry: Different reliability coefficients (e.g. test-retest reliability, Cronbach alpha, McDonald's omega) can be used to estimate reliability. Such coefficients can be obtained by examining the consistency of measures produced by assessment participants or assessors within administrations of assessment methods, or over repeated administrations.

3.22**report**

written document that describes an interpretation of the *assessment* (3.2) result for an individual or group for each intended use

3.23**requirements analysis**

systematic process to understand in sufficient detail the *assessment* (3.2) need and the organisational context fit in order to specify appropriate *assessment* (3.2) methods

Note 1 to entry: A job analysis or a job task analysis may be part of the requirements analysis.

Note 2 to entry: For an individual assessment for selection purposes such a process would provide information on the relevance and appropriate level of requirements, such as knowledge, skills, abilities, interests, personality traits, behavioural styles and motives.

Note 3 to entry: Existing competency models can be used as a source of information for the requirements analysis as long as they were developed in a systematic approach.

3.24

security

limiting and controlling access to *assessment* (3.2) materials, scores, *reports* (3.22) and other confidential or *personal data* (3.18) to ensure that they are not made available inappropriately

Note 1 to entry: Security includes, but is not limited to, preventing materials from becoming available in ways that would enable an assessment participant to gain an unfair advantage over other assessment participants or would reduce the future value of the assessment materials, and protecting an assessment participant's assessment results from unauthorized use or release.

3.25

service provider

<assessment> person or organization that provides *assessment* (3.2) services to the *client* (3.6), whether that person or organization is internal or external to the client

Note 1 to entry: The service provider might also employ or contract with others for assessment design and development, for assessor training or for assessment delivery and administration.

3.26

standardized

<assessment> extent to which *assessment* (3.2) procedures are based upon the application of rules and specifications, including all administrative guidance from the assessment developer, in order to maintain a uniform, constant assessment administration environment, and scoring and interpreting results of assessments so that the assessment conditions or environments are comparable for all *assessment participants* (3.4) taking the same assessment

3.27

utility

value to the *client* (3.6) of an *assessment* (3.2), taking into account the costs and benefits associated with the assessment

Note 1 to entry: This takes into account factors such as cost per administration, time required per administration, scoring, profiling, report writing, skills required of the assessor and ease of providing assessment participant feedback.

Note 2 to entry: Non-monetary factors can also be important in determining the value of the assessment to the client.

3.28

validity

degree to which the interpretation and use of *assessment* (3.2) scores are consistent with the proposed purposes of the assessment and are supported by accumulated evidence and theory

Note 1 to entry: The strategy for accumulating evidence of validity is aligned with the type of assessment and the purpose for which it is being used.

4 Agreement procedure

4.1 Agreement

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

4.2 Client responsibilities

The client shall engage in the assessment process and shall:

- a) communicate its assessment needs to the service provider(s) being considered for a service and, if necessary, cooperate with the service provider to clarify the assessment need;
- b) choose a service provider with the competence to deliver the assessment;
- c) request information from the service provider confirming the evidence that supports the inferences made from the assessment results or explaining how such information will be collected;
- d) comply with all requirements in the agreement with the service provider, including those related to informed consent or other basis for collection and processing of personal data, security and protection of copyright materials;
- e) accept responsibility for meeting legal and regulatory requirements regarding assessments;
- f) execute its responsibilities in a manner that is consistent with best practice and relevant professional standards;
- g) ensure that assessment participants have given appropriate informed consent or there is another basis for collection and processing personal data, based on a clear understanding of what is expected of them and what will occur;
- h) protect the security and confidentiality of assessment information, including assessment participants' personal data, within the client's control.

NOTE The requirements for the service provider's responsibilities are provided in ISO 10667-2.

4.3 Competence and training

The client shall seek to ensure that any person working under its control who has a role in the assessment process has the necessary competence or receives sufficient training to be competent.

NOTE Assessment participants are not under the control of the client, nor do they have a role in the assessment delivery process for the purposes of this subclause.

4.4 Anticipating outcomes and consequences

The client shall work together with a service provider to identify the likely significant outcomes and consequences of the assessment process, together with the risks and utilities associated with it. When appropriate and feasible, the client, together with the service provider, shall decide how best to respond to such outcomes and consequences.

4.5 Supplementary research activities

The client shall consider whether to participate in appropriate supplemental activities, such as norm updating, reliability studies, validation studies, equity research, instrument revision, assessment design improvements or other research activities aimed at quality enhancement, taking into account the options (e.g. anonymized data and information on its assessment participants), costs and benefits of these activities provided by the service provider. Any agreement on the conduct of supplementary activities shall be documented.

5 Pre-assessment procedures

5.1 Identification of assessment needs

The client shall provide potential service providers with its assessment needs and relevant documentation that is available.

The client shall identify a preliminary list of assessment needs which shall include, but not be limited to:

- a) the purpose(s) of the assessment (including a requirements analysis, if one exists);
- b) who or what is to be assessed;
- c) relevant demographics such as educational levels, languages and other appropriate biographical information on those to be assessed.

If that information is not sufficient to determine appropriate assessment procedures and methods, the client and the service provider may need to agree on an additional process to define them (see 4.2). A requirements analysis is the most appropriate way to determine assessment needs.

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

5.2 Assessment services recommendation

The client shall review assessment service recommendations and decide which recommendation best meets its requirements and needs. In such consideration, they shall take into account evidence presented by each potential service provider, including appropriateness of the recommended assessments in meeting its needs, the analyses, explanations and risks associated with each assessment option, and all relevant evidence of validity and reliability. The client shall seek to choose assessment methods which meet the principles of validity, reliability and fairness.

5.3 Assessment services agreement

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

- a) scope of the assessment service;
- b) duration of the assessment service and the assessment (where there is no service end date, this shall be made explicit);
- c) details of the assessment procedures and methods used;
- d) analysis procedures applied to the assessment measures;
- e) appropriate reporting of assessment results for each end user;
- f) whether and how the data from the various assessment procedures will be combined;
- g) respective roles, obligations and responsibilities of the client and the service provider;
- h) information on data privacy and security, ownership of intellectual property and assessment data, data storage and data deletion;
- i) statement of compliance with relevant laws and regulation;
- j) nature and frequency of monitoring and periodic review procedures necessary to ensure the quality of the assessment and to ensure that it meets necessary professional requirements, and takes legal and regulatory requirements into account;

- k) nature of the feedback and, if any is to be provided, the way in which it will be provided and under whose responsibility it falls;
- l) identification of costs;
- m) identification of accessibility needs, what accommodations are available and required, and how such accessibility determinations are to be implemented by either the client or the service provider, or both.

Where applicable, the client and the service provider shall include in their agreement provisions for a post-assessment review (see [Clause 7](#)). The specifications of this review shall include:

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

NOTE The two sets of requirements in this subclause are also included in ISO 10667-2 to ensure consistency of the requirements on the agreement between the client and the service provider.

6 Assessment delivery

6.1 Steps

Assessment delivery includes seven identifiable steps:

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

6.2 Planning the assessment

6.2.1 Assessment plan

The client shall reach agreement with the service provider on a plan for the assessment delivery, specifying, but not limited to:

- a) individual, group(s) or organization to be assessed;
- b) people, materials, equipment and facilities needed to carry out and monitor the assessment;
- c) a process for providing information about the assessment methods and procedures to enable the participants to prepare where appropriate;
- d) people's respective responsibilities and competence for carrying out and monitoring the assessment;

- e) process for managing people, information, assessment materials and other resources;
- f) fairness of treatment of all relevant sub-groups;
- g) assessment procedures and methods (single or multiple);
- h) other factors that might affect or influence decisions about the assessment, such as the setting of pass marks or cut-scores, its utility (i.e. cost-benefit analysis) and the availability and appropriateness of alternative assessment methods;
- i) whether assessment participant feedback is to be provided, the nature of the feedback and how and where it is to be made available to assessment participants.

NOTE These components are also included in ISO 10667-2 to ensure consistency of the requirements on the agreement between the client and the service provider.

6.2.2 Security

The client shall ensure that assessment materials and data, as well as participants' personal data that are within its control, are kept secure.

The client shall identify, analyse, evaluate and, where appropriate, mitigate risks to confidentiality, integrity and availability of assessment data and personal data of participants during the assessment process and ensure that the security risk analysis is documented.

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

Where the client has responsibility for the materials, data, personal data or documentation, they shall ensure that:

- a) all stakeholders involved in the assessment are informed of what constitutes appropriate and inappropriate use of the assessment materials, participants' personal data and their responsibilities in maintaining the security of the assessment materials;
- b) access to assessment materials and participants' personal data is safeguarded to control access to them prior to and following assessment administration;
- c) assessment participants are not given inappropriate access to assessment materials or information regarding assessment materials that might invalidate the assessment;
- d) data collection activities are secure (e.g. secure websites, protection of personal data);
- e) intellectual property rights that exist for the assessment are taken into consideration;
- f) assessment techniques (e.g. scoring keys, scaling, confidential rules, technical reports and manuals and data related to the assessment) are not described publicly or placed in the public domain in ways that could potentially compromise their validity, integrity and value;
- g) analysis, evaluation and, where appropriate, mitigation of risks to confidentiality, integrity and availability of data during the assessment process are performed and documented.

NOTE In some instances the security analyses and documentation are provided as part of an existing overall security plan covering the entire organization, or parts of it, not limited to assessment-related security.

6.2.3 Assessment participants' rights

The client shall ensure that:

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

- b) assessment participants are treated in a consistent manner, with appropriate accommodations given for any special needs;

NOTE See [Annex A](#) for more information regarding assessment participants' rights and responsibilities.

- c) assessment results and personal data are treated according to applicable requirements regarding data privacy;
- d) the rights of assessment participants are communicated to them.

6.2.4 Assessment participants' data protection

The client, when acting as data controller, shall:

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

NOTE 1 The requirements for the data processor are provided in ISO 10667-2.

- e) identify information to be provided to the assessment participant;
- f) set up procedures to respond to requests from assessment participants.

NOTE 2 In different countries, different laws apply for data protection and privacy.

NOTE 3 Data protection involves both a data controller (see [3.10](#)) and a data processor (see [3.11](#)) and relates to personally identifiable data. Data that have been rendered properly anonymous or aggregated across people are usually not subject to these considerations. The client normally acts as the data controller, with the service provider acting as the data processor, either alone or with third parties (e.g. online test vendors, applicant tracking system providers). However, in some circumstances, the parties could assign functions differently in the agreement between the parties.

6.2.5 Specifying feedback

When feedback is to be provided it shall be defined within the context of law, national professional guidelines and cultural and organizational customs.

6.3 Informing assessment participants

6.3.1 Provision of information

The client shall provide to the relevant parties any information that has been agreed upon. This information should include:

- a) reasons why the assessment participant is being assessed and the intended use of the information obtained, including how the results will be used and how data will be managed;
- b) the consequences of participating, withdrawing from or not participating in the assessment so that the assessment participants can make an informed choice;

- c) how personal data will be stored, who is responsible for the data, how long it will be stored and who will have access to it;
- d) how the assessment participant can obtain help in preparation for an assessment where appropriate (e.g. practice questions) and dealing with queries, difficulties or problems that might arise during the assessment;
- e) what steps to follow if the assessment participant has language problems or special needs, needs or requests reassessment;
- f) what procedures are in place for an assessment participant, a group or an organization to file a complaint or grievance and to appeal the results of an assessment;
- g) any other rights and responsibilities that the assessment participant has in the assessment process.

6.3.2 Use of personal data

In relation to the use of personal data of the assessment participant, the client shall participate in the development of a communication document describing the basis for collection (e.g. informed consent, legitimate interest) for the kind of assessment being used, the type of data being collected and the procedures being used. In addition, the client shall specify what is communicated to the participant about the basis and use of personal data and who is responsible for such communications.

The client shall communicate with the assessment participant, before or at the start of the assessment, regarding what personal data are to be collected from or relating to the assessment participant and how it will be used by the client. Unless the service provider is acting as data controller, the client shall instruct the service provider(s) on their use of personal data and any communication they should make to assessment participants. This includes:

- a) The client shall designate who is to receive the assessment results and reports. When an assessment participant is the client, he or she has a right to designate others (e.g. licensing or certification bodies) to receive the assessment results.
- b) When the assessment participant is not the client, as part of the communications the client shall inform the assessment participant of who is to receive the assessment results, whether that is the assessment participant, other third parties (e.g. employer, line manager, certification body) or both.
- c) As part of the communications, unless the service provider is acting as data controller, the client shall inform the assessment participant about supplemental uses of the assessment results or personal data (e.g. reuse of data for a validation study, re-norming).

NOTE See [Annex A](#) for information on assessment participants' rights and responsibilities.

6.3.3 Confidentiality and anonymity

The client shall inform, either directly or through the service provider, the assessment participant and other parties providing data about the assessment participant (e.g. raters in a multi-rater feedback assessment), about the confidentiality of the data they are asked to provide and the conditions of anonymity relating to the reporting of the results.

6.4 Conducting the assessment

If assessment administrators are employed by the client, the client shall ensure that the assessment administrators have the necessary competence based on verifiable experience, training, education or credentials and that, when administering an assessment to one or more individuals, assessment administrators follow the standardized procedures for the delivery of the assessment and document any deviations from those procedures.

The client, either directly or through the service provider, shall ensure that appropriate conditions are arranged for assessment administration, whether it be through face-to-face or remote procedures, or

for paper-based or computer-based assessments. Appropriate provision for assessment participant support shall be provided and relevant guidance issued to encourage the use of settings that are conducive to a fair and reliable assessment.

The client shall ensure that its employees who have a role in the assessment process follow the procedures and practices provided by the service provider, including provision of accommodations for special needs where appropriate and necessary.

If assessors are employed by the client, the client shall follow the service provider's recommendations regarding the competence and qualifications of the assessors and relevant standards for good practice.

NOTE Depending upon the nature of the assessment, different persons can be involved in the collection of assessment data, the scoring of data, the interpretation of scores and the combination of scores.

Appropriate measures shall be taken to ensure robust, tamper-proof and accurate recording of the assessment data to ensure that the results can be trusted.

6.5 Interpreting and using results

When needed, the client should seek guidance from the service provider on how results are to be interpreted and used, including the preparation of reports shared with assessment participants and other stakeholders (see [Annex D](#)).

NOTE All decisions based on the assessment results are the responsibility of the client.

6.6 Providing feedback

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

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

6.7 Evaluating the assessment

The client shall carry out its responsibilities for monitoring the quality of the assessment data and the assessment process by ensuring that it:

- a) reviews information indicating that errors or problems (e.g. security, privacy, resources) might have occurred, or the need for changes or other adjustments in the assessment process and, when errors are identified, takes steps to minimize any adverse consequences;
- b) uses and maintains evaluation criteria that remain relevant;
- c) uses good practice relative to the assessment;
- d) maintains the legal defensibility appropriate to the country in which the client and service provider work and the country in which the assessment is taking place;
- e) maintains the validity and reliability of the assessment, particularly if the purpose of the assessment has changed (see [B.3](#) and [B.4](#));
- f) maintains fair treatment of all relevant sub-groups (see [B.5](#)) and results in a good candidate experience.

7 Post-assessment review

If the client agreed to a post-assessment review (see 5.3) the client shall work with the service provider to carry out the review that should include, but not be limited to, the following items:

- a) objectives of the assessment and the extent to which they were met;
- b) those parts of the assessment that went as planned and those that did not (e.g. in relation to administration, reports, use of data, use of procedures and methods);
- c) collection, integration, storage and destruction of data and results during all assessment stages (especially with regard to issues of confidentiality, security and storage medium);
- d) opportunities to improve the efficiency or effectiveness, or both, of the assessment;
- e) opportunities to improve the standardization, reliability, validity and fairness of the assessment;
- f) consequences, both intended and unintended, as well as the impacts of the assessment for the organization and the assessment participants;
- g) procedures used for integration of assessment data (e.g. for use in a decision process, to re-evaluate the appropriateness of weight given to data sources);
- h) the level of understanding of reports by end users and implications for improving the quality of reports;
- i) the manner in which reports were used by end users (e.g. in the production of development action plans or the making of hiring decisions);
- j) those parts of the assessment that resulted in a positive candidate experience and those that did not, to identify measures for improvements.

Annex A (informative)

Rights and responsibilities of assessment participants: guidelines and expectations

A.1 General

An assessment participant is a broadly inclusive term for someone who is taking standardized measures, completing a survey or participating in other organizational measures of effectiveness. An assessment participant can provide information for individual, group or organizational goals or might undergo an assessment for his or her own benefit. Assessments include 360° evaluations, organizational surveys, tests and exams, as well as other tools promoted and marketed as assessments or tests (see 3.2) and all other approaches (e.g. CV parsing, biometrics, voice analysis, artificial intelligence) used for assessment purposes regardless of how they are marketed.

A.2 Assessment participants' rights

The assessment participant has the right to:

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

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

- e) know in advance of the assessment when the assessment will be administered, if and when results will be available, and if there is a fee for the assessment that the assessment participant is expected to pay;
- f) have the assessment administered and the results interpreted by competent individuals, who follow professional standards and codes of ethics or by systems set up appropriately by the relevant professional organization;
- g) request and receive information about whether or not the assessment is optional and to determine what the consequences are of taking or not taking the assessment or cancelling the results;
- h) know in advance if and when he or she will receive an explanation of the results or other feedback and, if so, receive a written or oral explanation of the results within a reasonable time of the assessment and in commonly understood terms;

- i) know the extent to which his or her individual responses and assessment results shall be kept confidential by the client and service provider(s) and how results will be shared with those appropriate to receive them;

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

- j) present concerns about the assessment process or assessment results and receive information about how they will be addressed, when appropriate (e.g. procedures and timelines to initiate and resolve complaints, documenting of formal appeals).

A.3 Assessment participants' responsibilities

The responsibilities of the assessment participant include, but are not limited to, the following:

- a) read and/or listen to his or her rights and responsibilities as an assessment participant;
- b) agree to follow all requirements and instructions regarding protection of intellectual property related to the assessment;
- c) treat others with courtesy and respect, regardless of age, ethnicity, gender, national origin and language, religion, sexual orientation and other personal characteristics;
- d) ask questions prior to the assessment if uncertain about why the assessment is being given, how it will be given, what he or she will be asked to do and what will be done with the results;
- e) inform an assessment administrator in advance of the assessment about any special needs (e.g. accommodation for a disability or physical condition) or illness that might interfere with his or her performance on the assessment);
- f) read or listen to descriptive information in advance of the assessment and pay close attention to all instructions;
- g) inform an assessment administrator if he or she has difficulty comprehending the instructions;
- h) know when and where the assessment will be given, meet all requirements for the assessment, appear on time with any required materials and be ready for the assessment;
- i) follow the assessment instructions he or she is given and represent himself or herself honestly during the assessment (if responding to a request for his or her views, attitudes or perceptions about his or her organization, group or another individual, the assessment participant should answer accurately);
- j) ask about and indicate acceptance of the consequences of choosing not to take or not to continue the assessment;
- k) inform appropriate person(s) if he or she believes that environmental or technical conditions surrounding the assessment administration affected the results;
- l) ask about the confidentiality of the assessment responses and results if this aspect concerns the assessment participant, and designate any relevant person or organization to whom results should be sent by client, if appropriate;
- m) present any concerns he or she may have about the assessment process or results in a timely, respectful way;
- n) be aware of the basis and use of his or her personal data required in the assessment process.

Annex B (informative)

Supplemental information on technical documentation of assessment methods and procedures

B.1 Documentation of assessment methods and procedures

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

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

NOTE Technical documentation does not always include test items, item content or scoring keys or algorithms that are protected by intellectual property rights of the test owner or developer.