

Category 3 Applications

Formal Requirements

Applications to be an Endorsed Provider under Category 3 must be submitted electronically to the GAPPS Secretariat. Applications must include:

- Cover letter from the CEO/General Manager/Chair of Board (template provide Appendix 1)
- completed Application Form (Appendix 2)
- provision of documentation which demonstrates the organisation's capability against the Portfolio of Evidence Requirements for Endorsement (set out below)

Endorsement Process & Timelines

Once applications are received in full by the Secretariat an invoice will be issued for the Endorsement component. This endorsement fee is non-refundable regardless of the outcome of your endorsement application.

Upon receipt of payment a receipt will be issued and the process of evaluation commences involving the assigned Endorsement Panel reviewing the application.

A standard evaluation is expected to take 9-10 weeks. If further information is required, the Secretariat will contact your organisation requesting details. This additional information will be further reviewed by the GAPPS Endorsement Panel members, which may result in extended timelines.

The designated panel members will each provide a detailed report back to the secretariat (these reports are not distributed). A summary report will be compiled and returned to your organisation notifying you of the outcome of your assessment. The levels of Endorsement outcomes are detailed below.

If your application is successful, a second invoice will be issued for your registration. Once payment is received you will be notified of your 3-year endorsement and registration.

Endorsement Outcomes

1. **Endorsed** – no further action required
2. **Conditionally Endorsed** – with recommendations/actions to be met within 30 days*
3. **Not Yet Endorsed** - Re-submit application with recommended amendments within 90 days**
4. **Not Endorsed** – New application required

* if documentation addressing the recommendations/actions is not submitted within the specified time frame then the applicant will lose their endorsed status (Level 2) and be required to re-submit their application in full. Any assessments conducted during this time with level 2 endorsement will be disqualified.

** if the revised application is not re-submitted within the specified time frame then the applicant will lose Level 3 status and be required to re-submit application in its entirety.

Appeals

There are no appeals. Each applicant will receive a high level of feedback on his or her submitted application except in the instance of Level 1, full endorsement.

Register of Assessments

Endorsed and registered Providers are to keep a record of candidates who have been assessed using the GAPPS Standards. Names are to be submitted in a template provided by GAPPS quarterly to the Secretariat.

Procedure for Category 3 Application

Formal Agreement

The applicant organisation must provide the signed formal agreement with their completed application form and evidence specifying that they agree to:

- collect information and provide feedback to GAPPS, as required, on application and use of the GAPPS Framework.
- recognise assessment findings against GAPPS framework made by other endorsed organisations in line with the Constitution and Membership Guidelines (Mutual Recognition)
- abide by the GAPPS Code of Conduct as set out in the By-Laws of the GAPPS constitution and the Endorsed Provider Application form
- provide register of certificates issued every 3 months to GAPPS secretariat (template to be provided by GAPPS Secretariat)

Note: template for the formal agreement is set out in Appendix 1

Application Form

- Applications must be submitted in ENGLISH, in full.
- Application fees must be received at the same time as lodgement of the application. Applications received will be returned within 30 days if the application fee is not paid.
- Endorsed Providers shall be free to withdraw from GAPPS at any time. No refunds of fees will be paid even in the instance where withdrawal occurs part way through the first financial year of endorsement.
- No personal financial liability shall exist in respect of the commitments of being a GAPPS Endorsed Provider.
- Admission of an organisation as a GAPPS Endorsed Provider is subject to Formal Approval by the GAPPS Executive.
- Applicants must provide formal documentation which demonstrates capability against the Portfolio of Evidence requirements (set out below)
- Organisations commit to recognising assessment findings against GAPPS framework made by other endorsed providers in line with the Constitution and Membership guidelines
- Agreement to abide by the GAPPS Code of Conduct as set out in the By-Laws of the GAPPS constitution (See separate file "GAPPS Constitution By-Laws and Code of Conduct

Portfolio of Evidence Requirements

The Portfolio of Evidence Requirements defines the minimum quality assurance requirements for endorsement under this category. The five criteria address broad QA arrangements for assessment as well as specific QA requirements relating to the GAPPS Framework. Organisations must supply documentary evidence relating to each criteria including the sub criteria, as defined. Examples of appropriate evidence for each criteria is provided in the template at Appendix 3: Document checklist for Portfolio of Evidence. A glossary of terms is provided at Appendix 4

In presenting their Portfolio of Evidence, organisations are required to submit an index or reference guide that sets out the specific reference in their documentation for each Criteria and sub-criteria.

Criteria 1: Evidence of a Quality Management Framework for assessment including a Quality Assurance Plan for assessing against the GAPPS standards that includes:

- 1.1 Clearly defined assessment policies and procedures
- 1.2 Legal, organisational and ethical requirements

- 1.3 Records management system for reporting and results that at a minimum is capable of holding records securely for seven (7) years, including the following:
 - candidate name
 - date of assessment
 - assessor name
 - level of certification
- 1.4 Certification/ qualification procedures including use of the GAPPS Endorsed Provider Logo (samples and policies related to usage in accord with GAPPS logo usage guidelines to be provided)
- 1.5 Processes for ensuring assessment inter-rated reliability
- 1.6 Mechanisms for creating or validating assessment tools against the GAPPS (such tools to detail the evidence requirements to meet the GAPPS Standards including how this level and range of evidence meets sufficiency, validity and authenticity required for accurate and fair assessment).
- 1.7 Mechanisms for ensuring the currency of GAPPS standards in use by the provider and how alignment b/w the standards and evidence requirements is maintained
- 1.8 Evidence of how the organisation's assessors meet the GAPPS minimum assessor requirement of:
 - a university qualification or Professional Association Certification in Project Management at or above the level of project manager
 - 5 years project management experience
 - experience in interviewing or assessing project managers and
 - preference for a qualification or certification in standards based assessment.

Criteria 2: Evidence of a detailed assessment methodology that includes:

- 2.1 Identification and description of the assessment methods and associated activities used to assess against the GAPPS Standards
- 2.2 Definition of the evidence that candidates need to provide in meeting the GAPPS standards

Information on how the assessment process is:

- 2.3 clear and repeatable;
- 2.4 fair;
- 2.5 valid.

Criteria 3: Provision of two (2) examples of assessment tools. Each example must show that it is:

- 3.1 Valid and aligned to relevant GAPPS standard(s)
- 3.2 Clear and unambiguous (language, terminology, symbols etc)
- 3.3 Reliable

Criteria 4: Samples of a Candidate Information Guide (CIG), which demonstrate the following information to the candidates:

- 4.1 A clear and understandable description of the assessment process
- 4.2 What evidence the candidates need to provide including how:
 - much evidence is needed (sufficiency)
 - the evidence meets the standards (validity)
 - the candidate shows it is their own evidence (authenticity)
- 4.3 What are the costs of the GAPPS assessment to the candidate?
- 4.4 What are the appeals mechanisms for candidates of GAPPS assessments and generally (if different)

Criteria 5: Evidence of updating candidate information and communications mechanisms including:

- 5.1 Evidence of mechanisms for updating candidate guides
- 5.2 Evidence of how information is communicated to candidates
- 5.3 Evidence of how candidate information is communicated to assessors

Appendix 1: Template for Category 3 Endorsement Provider Agreement

To: GAPPS Secretariat
 From: CEO/Chairman of the BOD or Other suitably authorized individual
 Subject: Application for GAPPS Endorsement Under Category 3
 Date:

Dear Secretariat,

As required under the Category 3 application instructions, dated, I am formally submitting a request that the following organization be evaluated for endorsement by GAPPS as a Category 3 Endorsed Provider.

Company Name
 Company Street (Physical) Address
 Company Mail Address
 City, State Zip
 Authorized Point of Contact
 Email:
 Phone:
 Fax:

If accepted by GAPPS as an Endorsed Provider, Company Name agrees to:

- 1) Collect information and provide feedback to GAPPS, as required, on application and use of the GAPPS Framework.
- 2) Recognize assessment findings against GAPPS framework made by other endorsed organizations in line with the Constitution and Membership Guidelines (Mutual Recognition)
- 3) Abide by the GAPPS Code of Conduct as set out in the By-Laws of the GAPPS constitution and the Endorsed Provider Application form
- 4) Provide register of certificates issued every 3 months to GAPPS secretariat

In consideration of the endorsement fee and other good and valuable services, Company Name agrees to these terms and conditions, and agrees that GAPPS reserves the right to make modifications and amendments to the above terms and conditions from time to time but will not do so without prior communications with and involvement by Company Name in the decision making process.

Signed By Company: _____ Date: _____

Name and Title: _____

Disposition by GAPPS:

- Endorsed
- Conditionally Endorsed
- Not Endorsed Pending Reconciliation of Deficiencies
- Not Endorsed

Name and Title: _____ Date: _____

Name and Title: _____

APPENDIX 2: GAPPS Category 3 Endorsement Application Form

NAME OF ORGANISATION				ADDRESS DETAILS			
				Organisation Address			
MAIN CONTACT NAME							
Title (Mr, Mrs, Dr, etc)				City			
First Names				State		Postcode	
Surname				Country			
Current Position				Phone		Fax	
OTHER CONTACT				Endorsement Category			
Title (Mr, Mrs, Dr, etc)				Select one of the following categories			
First Names				Category One <input type="checkbox"/>	Category Two <input type="checkbox"/>	Category Three <input type="checkbox"/>	
Surname				Is your Organisation a Current Member of GAPPS?			
Current Position				Select which of the following you are applying for			
Phone		Fax		Initial Endorsement	<input type="checkbox"/>	Re- Endorsement	<input type="checkbox"/>
Email Address:				GAPPS Membership	<input type="checkbox"/>		
Project Management Memberships or Affiliations				Please refer to the table of Fees to determine your total cost		TOTAL:	

DECLARATION

I hereby submit this endorsement application to be considered for approval by GAPPS, and by submitting this application I agree to the payment of a non-refundable endorsement fee.

Full Name:

Current Position:

SIGNATURE:

INVOICE DETAILS ABN 49 121 349 746

ORGANISATION

CONTACT
NAME

ADDRESS

EMAIL

**Please send this form via email
secretariat@globalpmstandards.org**

Endorsement and Registration Fees

FEES for existing members of GAPPS

Or if you join and pay the membership fee at the time of application

Service	Applicable To	Frequency	Fee	Check
Endorsement Fees (AUD):				
Initial Endorsement	Category One	Once	\$ 0.00	
	Category Two	Once	\$ 5,000.00	
	Category Three	Once	\$ 3,300.00	
Re-Endorsement	Category One	As required		
	Category Two	Every 3 Years	\$ 2,500.00	
	Category Three	Every 3 Years	\$ 1,250.00	
Registration Fees (AUD):				
Initial Registration	All Categories	Once	\$ 1,000.00	
Re-Registration	All Categories	Every 3 years	\$ 500.00	

Note: All prices are subject to change at anytime at the discretion of GAPPS. Prices do not include GST.

FEES for Non-existing members of GAPPS

Service	Applicable To	Frequency	Fee	Check
Membership Fees (AUD):				
Membership	Optional	Once Only	\$ 3,000.00	
Endorsement Fees (AUD):				
Initial Endorsement	Category One	Once	\$0.00	
	Category Two	Once	\$10,000.00	
	Category Three	Once	\$ 3,500.00	
Re-Endorsement	Category One	As required	\$0.00	
	Category Two	Every 3 Years	\$ 5,000.00	
	Category Three	Every 3 Years	\$ 1,750.00	
Registration Fees (AUD):				
Initial Registration	All Categories	Once	\$ 1,000.00	
Re-Registration	All Categories	Every 3 years	\$ 500.00	

Note: All prices are subject to change at anytime at the discretion of GAPPS. Prices do not include GST.

APPENDIX 3: Document Checklist for the Portfolio of Evidence

Criteria to be met	Specific aspects of criteria to be met	Suggested examples include:	Checklist (tick docs/ evidence you can provide)
<p>Criteria 1: Evidence of a Quality Management Framework for assessment including a Quality Assurance Plan for assessing against the GAPPS standards that includes:</p>	<p>1.1 Clearly defined assessment policies and procedures</p>	<ul style="list-style-type: none"> • OHS/HSSE policies for assessment context • Assessor requirements/qualifications • Client Appeals & Complaints policy/procedure • Assessment Code of Practice • Recognition of Prior Learning Policies / Recognition of current competency policy • Assessor training policies • Risk management strategy for assessments • Moderation policy • Assessment validation policy 	

	<p>1.2 Legal, organisational and ethical requirements</p>	<p>Policy and procedures documents that address:</p> <ul style="list-style-type: none"> • Internal audits • External audit requirements • Risk management • Continuous improvement • Identification of relevant legislation & acceptance of responsibility for ensuring relevant legislation is complied with by the director • Business licence • Privacy Act • OHS policies • Harassment & discrimination policies • Ethical marketing practices • ISO or other QA certifications 	
	<p>1.3 Records management system for reporting and results that at a minimum is capable of holding records securely for seven (7) years, including the following</p> <ul style="list-style-type: none"> • candidate name • date of assessment • assessor name • level of certification 	<ul style="list-style-type: none"> • Details of electronic or paper based records management system • Assessor reporting formats • Assessment record data collection tool • Data entry, access and retrieval procedures for assessment records, • Secure storage policy & procedures • Access & client privacy/confidentiality policy • Participant training/assessment records policy 	

	<p>1.4 Certification/ qualification procedures including use of the GAPPS Endorsed Provider Logo (samples & policies related to usage in accord with GAPPS logo usage guidelines to be provided)</p>	<ul style="list-style-type: none"> • Certificate template/s • Record of certificates issued • Requirements for issuing qualifications • Logo usage guidelines • Samples of certificates • Guide to applicants about certification 	
	<p>1.5 Processes for ensuring assessment inter-rater reliability</p>	<ul style="list-style-type: none"> • Assessor training & or professional development policy/ies • Assessor guidelines • Moderation policies and procedures • Validation policies and procedures • Continuous improvement policies/procedures following moderation/validation • Internal/external audit/evaluations of assessment processes • Risk management plan relating to inter-rater reliability 	

	<p>1.6 Mechanisms for creating or validating assessment tools against the GAPPS (such tools to detail the evidence requirements to meet the GAPPS Standards including how this level and range of evidence meets sufficiency, validity and authenticity required for accurate and fair assessment).</p>	<ul style="list-style-type: none"> • Analysis reports of GAPPS standards to identify types of evidence • Assessment tool design policy • Templates for different assessment methods • Process for trials of assessment tools • Moderation process for assessment tools • Validation process for assessment tools • Internal/external audit reports on assessment tools • Review/modification of assessment tools 	
	<p>1.7 Mechanisms for ensuring the currency of GAPPS standards in use by the provider and how alignment b/w the standards and evidence requirements is maintained</p>	<ul style="list-style-type: none"> • Updates to assessment tools • Regular review cycle • Subscribe to GAPPS updates • Continuous improvement policy • Document version control 	
	<p>1.8 Evidence of how the organisation's assessors meet the GAPPS minimum assessor requirement of:</p> <ul style="list-style-type: none"> • A university qualification or Professional Association Certification in Project Management at or above the level of project manager • 5 years project management experience • Experience in interviewing or assessing project managers • And the preference for qualification or certification in assessment 	<ul style="list-style-type: none"> • Assessor CVs • Organisational Assessor requirements/qualifications • Assessor supplementary training and development programs • Assessor recruitment policy • Copies of assessor qualifications 	

Criteria to be met	Specific aspects of criteria to be met	Suggested examples include:	Checklist (tick docs/ evidence you can provide)
Criteria 2: Evidence of a detailed assessment methodology that includes:	2.1 Identification and description of the assessment methods and associated activities used to assess against the GAPPS Standards	<ul style="list-style-type: none"> • Documentation outlining the overall assessment methodology • Information about particular methods & activities to be used such as: <ul style="list-style-type: none"> • Observation methods/checklists • Portfolio guidelines • Self assessment • Written Questionnaire • Verbal questioning/interview • Direct observation • Third party reports • Simulated projects • Mechanisms for identifying and evaluating Evidence from the Workplace 	
	2.2 Definition of the evidence that candidates need to provide in meeting the GAPPS standards	<ul style="list-style-type: none"> • Identified documentary evidence • Evidence plans • Evidence checklists • Examples of appropriate evidence • Portfolio of evidence requirements • Evidence templates 	

	<p>2.3 Information on how the assessment process is clear and repeatable – the same process will be followed each time</p>	<ul style="list-style-type: none"> • Assessor guidelines • Candidate guidelines • Candidate information booklets • Specific instructions to assessors on the use of the assessment tools • Specific instructions to candidates on the use of the assessment tools • Assessor training • Assessor review 	
	<p>2.4 Information on how the assessment process is fair</p>	<ul style="list-style-type: none"> • Code of conduct for assessors • Assessor guidelines • Candidate guidelines • Strategies for identifying special needs • Examples of reasonable adjustments/accommodations to meet special needs • Appeals policies and procedures 	

	<p>2.5 information on how the assessment process is valid</p>	<ul style="list-style-type: none"> • Moderation processes moderator notes/records • Evidence plans/checklists etc • Specific instructions to assessors on the use of the assessment tools • Specific instructions to candidates on the use of the assessment tool • Demonstration by applicant that more than one method will be used for GAPPS assessment 	
--	---	---	--

Criteria to be met	Specific aspects of criteria to be met	Suggested examples include:	Checklist (tick docs/ evidence you can provide)
Criteria 3 Provision of two (2) examples of assessment tools. Each example must show that it is:	3.1 Valid and aligned to relevant GAPPS standard(s)	Evidence would be direct reference to GAPPS units, elements, and performance criteria. Direct reference to CIFTER. Reflects GAPPS assessment guidelines.	
	3.2 Clear and unambiguous (re language, terminology, symbols etc)	<ul style="list-style-type: none"> • Instructions for each tool that reflects the applicants' culture, context etc • Glossary provided • Definitions in text • Plain and simple language (free of jargon, short sentences, no convoluted language, no academic speak) • Acronyms explained • Explanations of methods/activities provided 	
	3.3 Reliable	<ul style="list-style-type: none"> • Instructions to assessors on using the assessment tools • Monitoring of assessment practice when using the assessment tools • Trialling of assessment tools • Validation of assessment tools 	

Criteria to be met	Specific aspects of criteria to be met	Suggested examples include:	Checklist (tick docs/ evidence you can provide)
<p>Criteria 4.</p> <p>Samples of a Candidate Information Guide (CIG) which demonstrate the following information to the candidates:</p>	<p>4.1 A clear and understandable description of the assessment process</p>	<p>Evidence would be expected to include a step by step outline of the process in both written and diagrammatic format This should also provide guidance on selection of projects as evidence and the application of the CIFTER</p>	
	<p>4.2 What evidence the candidates need to provide including:</p> <ul style="list-style-type: none"> • How much evidence is needed (sufficiency) • How the evidence meets the standards (validity) • How the candidate shows it is their own evidence (authenticity) 	<p>Evidence should include a documentation checklist that includes information on how much evidence is needed i.e. how many different documents or other evidence is to be supplied.</p> <p>Document checklists should also demonstrate how each item of evidence relates directly back to the standards.</p> <p>Candidate information guide should advise the candidate on how they are expected to prove that the evidence is their own. This might include candidate declaration and signature, assessor verification of evidence at interview or verification by third party.</p>	
	<p>4.3 What are the costs of the GAPPS assessment to the candidate</p>	<ul style="list-style-type: none"> • Fee schedule/Fee information 	
	<p>4.4 What are the appeals mechanisms for candidates of GAPPS assessments and generally (if different)</p>	<ul style="list-style-type: none"> • General appeals policy and procedures • Any Specific GAPPS appeals policy and procedures 	

Criteria to be met	Specific aspects of criteria to be met	Suggested examples include:	Checklist (tick docs/ evidence you can provide)
Criteria 5 Evidence of updating candidate information & communications mechanisms including:	5.1 Evidence of mechanisms for updating candidate guides	<ul style="list-style-type: none"> • Continuous improvement policy • Document version control 	
	5.2 Evidence of how information is communicated to candidates	<ul style="list-style-type: none"> • Communication policy and procedures • Specified communications for GAPPS processes • Communication mediums e.g. telephone, face to face, verbal, web-based. • Privacy policy 	
	5.3 Evidence of how candidate information is communicated to assessors	<ul style="list-style-type: none"> • Communication policy and procedures • Specified communications for GAPPS processes • Communication mediums e.g. telephone, face to face, verbal, web-based. • Privacy/confidentiality policy 	
<p>The applicant organisation must also specify in writing, in a formal letter accompanying their application, that they agree to:</p> <ul style="list-style-type: none"> • collect information and provide feedback to GAPPS, as required, on application and use of the GAPPS Framework. • recognize assessment findings against GAPPS framework made by other endorsed organizations in line with the Constitution and Membership guidelines (Mutual Recognition) • abide by the GAPPS Code of Conduct as set out in the By-Laws of the GAPPS constitution and the Endorsed Provider Application form • provide register of certificates issued every 3 months to GAPPS secretariat (template to be provided by GAPPS Secretariat) 			

Appendix 2 GLOSSARY OF TERMS

alignment of assessment tools to standards – relates to ensuring that the tools used to collect evidence reflect the performance requirements set out in the GAPPS standards.

assessment activities – are the specific approaches/activities for a particular assessment method & may include, as examples:

- written questionnaires
- simulation activities
- role plays
- projects
- presentations

assessment methods – are the particular techniques used to gather evidence and may include, as examples:

- questioning
- evaluating evidence from the workplace
- observation
- portfolios

assessment system policies & procedures - cover the range of policies & procedures needed for an effective assessment system within a quality management framework. These might include records management, RPL arrangements, assessment reporting requirements, appeals & grievances, audit mechanisms, validation/inter-rater reliability, assessor qualifications/requirements etc

assessment tools – these are the specific instruments used by assessors to gather evidence of performance and also contain information to guide the candidates on what is going to happen in the assessment process. They might include templates, checklist, Question lists, self-assessment questionnaires, and specific assessment activities

authenticity of evidence – is one of the rules of evidence and refers to evidence that is clearly the work of the candidate as a project manager

candidate - the person who is being assessed

certification/qualification procedures – covers the procedures for ensuring that specific requirements relating to an industry or organisational certification scheme or licensing system and/or the specific regulatory requirements governing the issuing of qualifications are followed

evidence – is the material collected by the assessor to demonstrate the candidate meets the performance criteria of the performance standard

fair assessment – is assessment that: addresses any particular needs of the candidate; takes into account individual differences such as disability; provides for reasonable adjustment to the process and the availability of specialist supports, if needed

inter-rater reliability – is a process of ensuring that different assessors using the same assessment tools, presented with the same evidence will come to the same outcomes in judging a candidate’s performance. Activities such as moderation between assessors, peer review can be used to establish inter-rater reliability

legal organisational & ethical requirements relating to assessment - include a range of possible aspects including the organisation’s policies & procedures for assessment, other policies & procedures for work, any regulatory requirements, relevant industry codes of practice, OHS considerations

mutual recognition is a process in which GAPPS and another organisation agree to recognise one another’s relevant standards based on:

- any mapping documentation addressing the content alignment between the GAPPS Standards and the relevant existing government approved competency/performance standards or other practice standards in project management to confirm the level of equivalency of content
- documentation addressing assessment system requirements for standards based assessment to confirm the quality of assessment systems
- documentation addressing the quality assurance system for provider approval to confirm the quality of the QA arrangements

records management system for reporting & results – covers the specific system in place governing how the outcomes of the assessment are recorded by the assessor and transferred to into the organisation’s records management system, how the records are maintained and stored securely, & how the results can be retrieved to report to the candidate and any other relevant authority

repeatable/reliable/consistent assessment – means that if a candidate is assessed again by a different assessor the outcome would be the same and that the assessor making the judgement of performance against the GAPPS standards would be confident the candidate could repeat his/her performance on other projects

sufficiency of evidence - is one of the rules of evidence and refers to ensuring that enough evidence has been gathered through the assessment process to ensure confidence in the assessment decision and that the evidence provided covers all performance criteria of the GAPPS Standards and the CIFTER

validity of evidence – is one of the rules of evidence and refers to evidence being related directly to the current version of the GAPPS performance standards

