



# Policies & Procedures Manual

## *CSPR-1 / CSPR-2*

**Certified Signal Person & Rigger Level I and/or II (CSPR-1 or CSPR-2)**

Version: 2.6 | Supersedes 2.5

Approved by: FW

Approved on: 06/18/2024

Effective Date: 06/20/2024

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## Management System Scope

The policies and procedures documented herein outline the Certified Signal Person & Rigger Level I and/or II (CSPR-1 or CSPR-2) management system carried out in conformance with ISO/IEC 17024 Conformity assessment-general requirements for bodies operating certification of personnel for the following program(s): Certified Signal Person & Rigger Level I and/or II (CSPR-1 or CSPR-2).

### Location

This Certification Policies and Procedures Manual and all documents supporting them shall be available for all certification Personnel in Adobe PDF format at <http://www.elevatorcspr.org>. An updated and current print version shall also be available from the Certification Director.

### Enforcement

The Certification Director shall be responsible for overall maintenance and updating of the Policies and Procedures Manual.

### Personnel Training and Documentation

Upon adoption of this Policies and Procedures Manual, all personnel (paid, contracted, or volunteer) with responsibilities specified shall be trained on the appropriate sections within 90 calendar days. New personnel shall be trained on the appropriate sections within 30 calendar days of employment.

All personnel training required by the Certification Policies and Procedures Manual shall be documented and records of such training shall be kept in the Certification Policies and Procedures Manual Modification and Training Log.

### Changes

Changes to the Certification Policies and Procedures Manual shall be submitted to the Certification Director in writing.

To initiate a change, certification personnel must send an email to the Certification Director at [certificationdirector@elevatorcspr.org](mailto:certificationdirector@elevatorcspr.org). In the body of the email, the individual must describe the requested change.

The Certification Director shall evaluate the request and take action on it within 30 days of submission. Possible actions include making the requested change, forwarding it with a recommendation to the RSAG, or sending a response to the person proposing the change.

If the change request has been forwarded to the RSAG, the RSAG shall act on it at its next meeting, and shall either accept the change, reject it, or postpone action awaiting further information. Once approved by RSAG and Scheme Committee, any changes are made to the document by the Certification Director.

The RSAG reserves the right to modify this Policies and Procedures Manual in full or in part. Modifications to the plan will be made in accordance with the policies established for document control.

When applicable, appropriate revisions shall be made to the Certification Policies and Procedures Manual and the changes shall be summarized on the Certification Policies and Procedures Manual Modification and Training Log to include:

- The section of the Certification Policies and Procedures Manual modified,
- The reason for modification,
- Personnel impacted by the proposed change, and the effective date

Employees whose responsibilities are impacted by changes adopted in the Certification Policies and Procedures Manual shall be trained on the appropriate sections within fourteen (14) calendar days of adoption of the change. This training shall be documented and records of such training shall be kept in the Certification Policies and Procedures Manual Modification and Training Log.

## Governance

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### Authority

The Certified Signal Person & Rigger Level I and/or II (CSPR-1 or CSPR-2) is a Certification Program of the National Elevator Industry Educational Program (NEIEP).

NEIEP is a legally incorporated Nonprofit Educational Trust governed by its Board of Trustees, which has granted authority to the Certification Scheme Committee AND the Rigging and Signaling Advisory Group (RSAG) to independently make essential certification decisions related to standards, policies and procedures of the certification. These decisions shall be made independently of and under no influence by any other individual or business entity within or outside of NEIEP.

Insofar as the Board of Trustees is legally responsible for governing NEIEP, it maintains the right to intervene if the Certification Scheme Committee or the Rigging and Signaling Advisory Group (RSAG) acts in such a way as to violate regulatory, statutory or contractual requirements, certification industry standards, or its stated policies or procedures or otherwise puts the organization at risk. Intervention shall occur in such a way that assures the integrity of the certification process, and assures fair and equitable treatment of all persons involved in certification.

### Composition

The Certification Scheme Committee is composed of representatives of the certification program stakeholders. This includes 3 representatives of the International Union of Elevator Constructors and 3 representatives from signatory companies (employers of IUEC elevator constructors).

The Scheme Committee has a Chair and Vice-Chair. The Chair shall preside at all meetings of the Scheme Committee, shall see that orders and resolutions of the Scheme Committee are carried out, shall represent the Scheme Committee, and have primary responsibility for carrying out the functions of the Scheme Committee. Appointments for Chair and Vice-Chair shall be for a two (2)-year term with a maximum of two (2) terms. The Vice-Chair will have the authority to perform all the duties of the Chair when the Chair is unavailable or unable to perform such duties and shall perform other tasks as requested by the Chair.

Members of the initial Scheme Committee shall be appointed by the NEIEP Board of Trustees. Upon certification program launch, the appointed members shall be gradually replaced by elected members. All new members of the Scheme Committee shall be elected by the Scheme Committee.

All members elected to the Scheme Committee shall serve a two (2) year term with a max of three (3) consecutive terms. After which, such persons shall be ineligible to serve as a member again for one (1) year. A member shall be eligible to serve again following the one (1) year period of ineligibility.

All members of the Certification Scheme Committee must have experience in rigging and signaling greater than or equivalent to that required by the certification.

### Responsibilities

The Certification Scheme Committee's responsibilities are to review and approve high level, policy- focused issues associated with the certification including but not limited to approval of any changes related to the scope or certification scheme, approve the job task analysis, approve the exam cutscore, approve the Psychometrician's validation report, and make the final decision on certification for all candidates.

The responsibilities of the Scheme Committee shall include:

- Attend meetings and serve on committees.
- As needed, monitor, revise, and approve the Certification Policies and Procedures Manual and related controlled documents.
- Approve the eligibility criteria, certification scheme, examinations, examination scaled cutpoints, exam and item performance standards, and other essential certification decisions based upon its own determination or upon recommendations from others including but not limited to the Exam Development Panel of the RSAG, the Certification Director, and/or the RSAG as a whole.

- Ensure the independence of the certification from other conflicting interests such as, but not limited to training, education, accreditation, and marketing functions.
- Ensure financial continuity of the certification.
- Ensure sufficient and qualified personnel to operate the certification program.
- Ensure notes of all Certification Scheme Committee meetings and decisions are maintained.
- The Certification Scheme Committee shall serve as the second level for appeals.

The Rigging and Signaling Advisory Group (RSAG) has the authority to make management-level decisions that affect the day-to-day operations of the Certification Program.

These decisions include but are not limited to:

- Working with contracted Psychometricians and/or exam development specialists to develop eligibility criteria, certification scheme, examinations, examination scaled cutpoints, exam and item performance standards. Once developed, forward information to the Certification Scheme Committee for approval.
- Screening, hiring, and training exam proctors/scorers;
- Serving as SMEs as needed;
- Serving as exam proctor/scorers;
- Handling first-level appeals and complaints; and
- Other duties as necessary.

## Officers and Recorder

The first Scheme Committee Chair and Vice Chair will be appointed by the NEIEP Board of Trustees. The subsequent Chair and Vice Chair shall be elected by the Scheme Committee at the last meeting of the year and shall serve a term of two (2) years (one as Vice Chair and one as Chair) beginning on the date of appointment. This two (2) year term shall be within, not in addition to the maximum of three (3) maximum committee member term.

The Chair shall preside at all meetings, shall see that approved actions are carried out, and shall represent the Certification Scheme Committee to the NEIEP Board of Trustees as needed. The Vice Chair shall have the authority to perform all of the duties of the Chair when the latter is unavailable or unable to perform them and shall perform other tasks as delegated by the Chair.

Notes of all Certification Scheme Committee meetings and decisions shall be maintained in accordance with the Certification records policy.

## Vacancy

If the Chair vacates the position, the Vice Chair shall assume the position and a new Vice Chair shall be elected by the Scheme Committee to complete the remainder of the vacated position's term. If a member of the Certification Scheme Committee vacates the position, the Chair shall appoint a new member to complete the remainder of the vacated position's term, keeping the required stakeholder balance.

## Volunteer Agreements

Scheme Committee members shall sign nondisclosure and conflicts of interest statements prior to accepting their positions.

## Meetings

The Certification Scheme Committee shall meet at least once annually, but may meet as often as necessary to accomplish its responsibilities. Meetings shall convene in person or by phone or electronic means. An agenda will be formulated for each meeting.



## Notice

The Certification Scheme Committee may schedule meetings at their discretion upon agreement of all members. All members shall receive 15-day notification of each meeting, unless such notification is waived by every member.

## Meeting by Conference Call

Members of the Certification Scheme Committee may participate in a meeting by means of conference telephone, email, video, or similar communications equipment through which all persons participating in the meeting can hear or communicate electronically with each other. Participation in a meeting in this manner shall constitute presence in person at the meeting.

## Quorum and Voting

For voting at a meeting, the participation of a simple majority of the current voting membership shall constitute a quorum and a simple majority of voters shall constitute an actionable decision. The voting results shall be recorded and kept on file according to records management procedures.

## Electronic Action by Consent

Any action required or permitted to be taken at any meeting of the Certification Scheme Committee may be taken through phone or electronic means if all members of the Certification Scheme Committee consent thereto in writing in advance of the action, and the writings are filed according to records management procedures.

## Records of Meetings

A summary of Certification Scheme Committee meeting outcomes shall be recorded and filed according to records management procedures.

## Removal of Certification Scheme Committee Members

After giving notice as it deems appropriate, the Certification Scheme Committee shall have the authority to remove any member who fails to perform the responsibilities assigned. Such action shall require a minimum two-thirds (2/3) vote of the full Certification Scheme Committee.

# Committees

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## Standing Committees

The following are standing committees of the Rigging and Signaling Advisory Group (RSAG):

- Exam Development Panel
- Appeals Board

## Ad Hoc Committees

The RSAG may assign ad hoc committees as needed to accomplish its purpose and responsibilities.

## Authority

Committees are authorized to take all action necessary or appropriate to carry out the purpose and responsibilities assigned.

## Volunteer Agreements

All committee members shall sign agreements covering confidentiality, security, and conflicts of interest prior to accepting their positions.

## Removal of Committee Members

After giving notice as it deems appropriate, the RSAG shall have the authority to remove any committee member who fails to perform the responsibilities assigned. Such action shall require a minimum two-thirds (2/3) vote of the full RSAG.

## Exam Development Panel

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There shall be an Exam Development Panel for each certification program. While members of the RSAG make up the Exam Development Panel for this certification, all recommendations made by the Exam Development Panel must be approved by the Certification Scheme Committee.

### Purpose and Responsibilities

The primary purpose of the panel is to develop scheme elements for the certification program and recommend them to the Certification Scheme Committee for approval.

Specific responsibilities of the Panel include:

- Establishing requirements for certification eligibility, examination and recertification
- Defining the scope of the exam
- Defining the topics to be included on a Job Task Analysis
- Defining the exam scheme
- Recruiting and approving subject matter experts (SMEs) for item writing
- Developing exam items
- Overseeing a Beta test of items
- Recommending the exam cutpoint to the Certification Scheme Committee
- Approving the equivalence of exam forms
- Annually reviewing exam performance
- Establishing the mechanisms for and frequency of surveillance activities
- Ensuring that changes to the scheme are communicated to program stakeholders

### Composition

Each Panel shall consist of a minimum of three voting members, including an appointed liaison to the Certification Scheme Committee. Membership of the Panels may include any of the various stakeholders of the industry segment being certified, but all must have experience greater than or equal to that required by the current credential represented by the Panel.

Notes of all Panel meetings and decisions shall be maintained in accordance with the Records Control Policy.

### Appointments to a Panel

Members of the Panels shall be appointed annually by the RSAG.

### Officers

Each Panel shall have a Chair and Vice Chair to be appointed by the Certification Director. The Chair shall preside at all meetings of the Panel, shall see that orders and resolutions of the Panel are carried out, shall represent the Panel, and have primary responsibility for carrying out the functions of the Panel.

Appointments for Chair and Vice Chair shall be for a one (1)-year term with a maximum of two (2) terms.

The Vice Chair will have the authority to perform all of the duties of the Chair when the Chair is unavailable or unable to perform such duties and shall perform other tasks as requested by the Chair.

## Vacancy

If a Panel Chair's position becomes vacant, the Vice Chair shall succeed to the office of Chair for the remainder of the term. A new Vice Chair shall then be appointed from the Panel members by the Advisory Group Chair for the remainder of the term. All other vacancies on Panels shall be filled by appointment by the Advisory Group Chair.

## Meetings

Each Panel shall meet at least once annually, but may meet as often as necessary to accomplish its responsibilities. Panel meetings shall convene in person or by electronic means. An agenda will be formulated for each meeting.

## Notice

Each Panel may schedule meetings at their discretion upon agreement of all members. All Panel members shall receive 15-day notification of each meeting, unless such notification is waived by every member of the Panel.

## Meeting by Conference Call or Video Chat

Members of the Panel may participate in a meeting by means of conference telephone, online video chat, or similar communications equipment through which all persons participating in the meeting can hear each other. Participation in a meeting in this manner shall constitute presence in person at the meeting.

## Quorum and Voting

For voting at a meeting, the participation of a simple majority of the current voting membership of the Panel shall constitute a quorum and a simple majority of voters shall constitute an actionable decision. The voting results shall be recorded and kept on file according to records management procedures.

## Electronic Action by Consent

Any action required or permitted to be taken at any meeting of the Panel may be taken through electronic means if all members of the Panel consent thereto in writing in advance of the action, and the writings are filed according to records management procedures.

## Records of Meetings

A summary of Panel meeting outcomes shall be recorded and filed according to records management procedures.

# Appeals Board

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## Purpose

The purpose of the Appeals Board is to hear and make determinations on appeals submitted by certification applicants, candidates or certificants.

Specific responsibilities include:

- Arranging for the acknowledgement of appeals
- Assuring disclosure and recusal of individuals from appeal consideration when partiality or conflict of interest is apparent or perceived
- Giving due consideration to appeals
- Arranging for notification of the results of appeals hearings
- Maintaining statistics on appeals and the results
- The chair shall preside at all meetings of the board, shall see that all decisions and resolutions of the board are carried out, shall represent the board and have primary responsibility for carrying out the functions of the board. The vice-chair will have the authority to perform all the duties of the chair when the chair is unavailable or unable to perform such duties and shall perform other tasks as requested by the chair.

The Appeals Board shall consist of a minimum of five (5) voting members and shall include all members of the Rigging and Signaling Advisory Group.

### **Appointments**

All members of the Rigging and Signaling Advisory Group (RSAG) Appeals Board shall serve as Appeals Board Members. Their term shall be concurrent with their term as a member of the RSAG. Only current RSAG members may serve as members of the Appeals Board.

### **Recusal**

A member of the Appeals Board shall recuse his-or-herself from the appeal consideration if he or she cannot be impartial or has a conflict of interest with the appeal.

### **Vacancy**

Vacancies shall be filled by new RSAG members at the time of their appointment to the RSAG.

### **Meetings**

Appeals Board shall meet as necessary to accomplish its responsibilities. Meetings shall convene in person or by telephone or electronic means.

### **Meeting by Conference Call or Video Chat**

Members of the Appeals Board may participate in a meeting by means of conference telephone, online video chat, or similar communications equipment through which all persons participating in the meeting can hear each other. Participation in a meeting in this manner shall constitute presence in person at the meeting.

### **Quorum and Voting**

For voting at a meeting, the participation of a simple majority of the current voting membership of the Appeals Board shall constitute a quorum and a simple majority of voters shall constitute an actionable decision. The voting results shall be recorded and kept on file according to records management procedures.

### **Electronic Action by Consent**

Any action required or permitted to be taken at any meeting of the Appeals Board may be taken through electronic means if all members of the Panel consent thereto in writing in advance of the action, and the writings are filed according to records management procedures.

### **Records of Meetings**

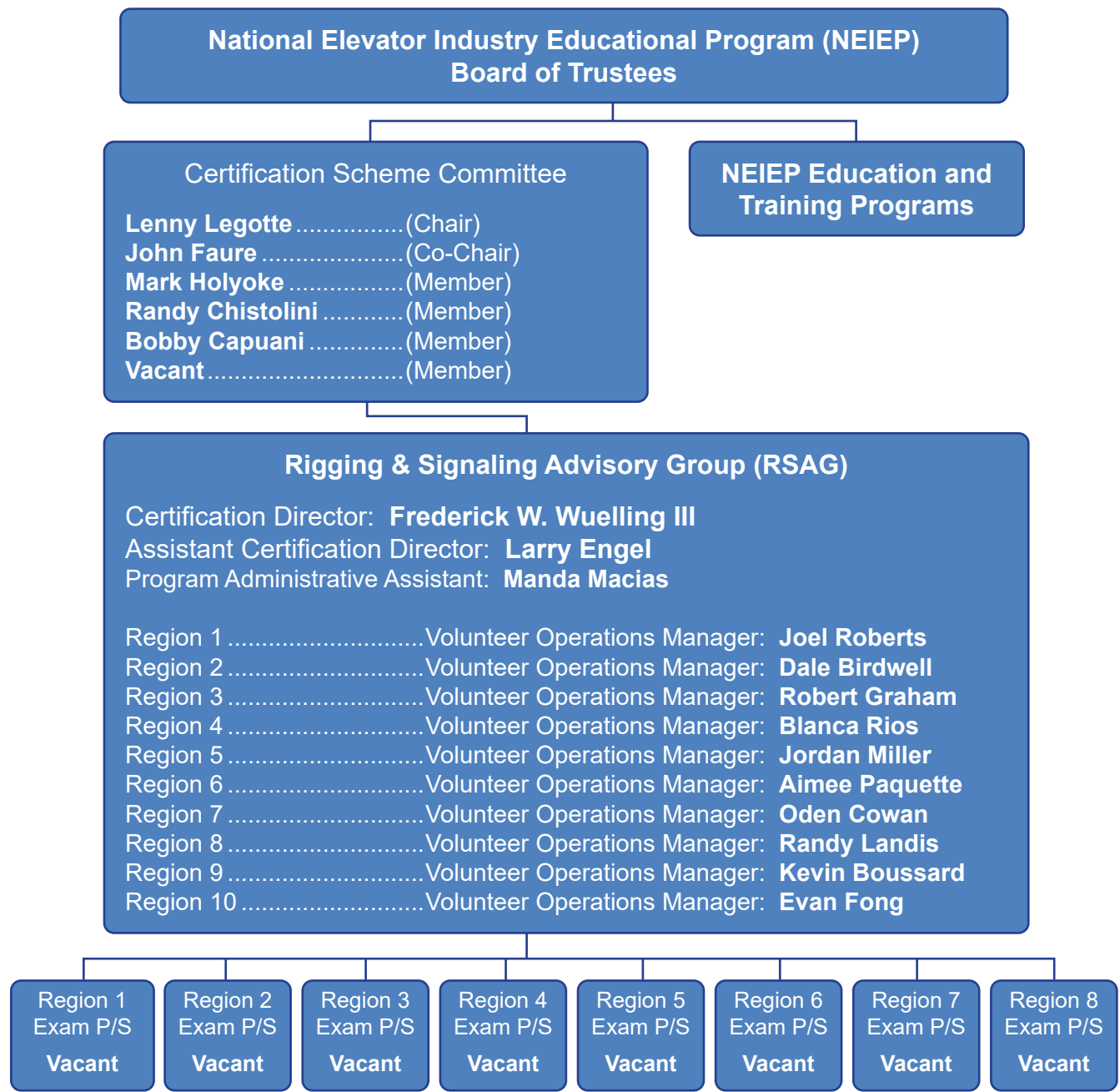
A summary of Board meeting outcomes shall be recorded and filed according to records management procedures.

# Personnel

## Organization Chart

The personnel (staff, contracted and volunteer) with responsibility for the certification programs are shown in the following organization chart. This chart does not include personnel who do not have a direct line of responsibility for the certification.

### Certified Signal Person and Rigger (1/2) Program



## Personnel Responsibility Overview

The responsibilities of the key certification personnel are summarized here:

## Staff

**Certification Director:** Responsible for the overall management of the certification program, including: sending applications to candidates; processing applications, appeals and complaints; scheduling exam administrations; approving and verifying credentials; reporting scores; and recommending candidates to the Certification Scheme Committee for certification. Responsible for taking notes at committee meetings; facilitating committee communications; arranging sites for committee and item author meetings; scheduling conference rooms; and other duties as needed to facilitate certification activities; also, appointing appeals board members.

**Assistant Certification Director:** Responsible for the overall management of the certification program. Chairman of RSAG meetings. Specific responsibilities include: Assisting with sending applications to candidates; Assisting with processing applications, appeals and complaints; Assisting with scheduling exam administrations; Assisting with approving and verifying credentials; Assisting with reporting examination scores; appointing an individual to take notes at committee meetings; facilitating committee communications; arranging sites for committee and item author meetings; scheduling conference rooms; grading/scoring practical examinations when necessary, participation in a monthly meeting with the Certification Director via phone, email, or in person to discuss any changes or updates to the management system; and other duties as needed to facilitate certification activities.

**Certification Program Administrative Assistant:** Assists the Certification Director with record keeping for the Certification Program and other duties as needed to facilitate certification activities.

**Exam Proctor/Scorers (when needed):** Responsible for on-site administration of exams, including but not limited to authenticating examinees at the testing site; assuring consistent quality of examination delivery; examination distribution; proctoring written exams; verifying that candidates accomplish their exam results independently; and other duties as assigned to facilitate certification activities.

## Contractors

**Psychometricians / Exam Development Specialists:** Responsible for overseeing the statistical evaluation of test and item characteristics.

**Printers (if/when needed):** Responsible for secure printing and delivery of all examination materials.

**Equipment Fabrication Specialists:** Responsible for fabricating physical equipment used during practical exams.

**Online Testing:** Host exams in password protected servers, maintain scoring exams in password protected servers, progress reports of each exam, workers having contact with the test must have a signed a non-discloser and secrecy notice, and keep copies of the test masters in either secure file cabinets or in password protected servers.

**Graphics:** Layout and design, illustration, 3D-modeling, interactive 3d-simulation, animation, video, and computer programming.

## Volunteers

**Volunteer Regional Operations Managers:** Responsible for site selection, exam administration, exam reporting and quality assurance. Responsible for on-site administration of exams, including but not limited to scheduling and leasing sites; assuring consistent quality of examination delivery; examination distribution; proctor and site administrator job descriptions, hiring, training, instructions and performance; monitoring site performance; data delivery from site to certification analysis; and monitoring site complaints. Responsible for authenticating examinees at the testing site and verifying that candidates accomplish their exam results independently, grading/scoring practical exams; and other duties as needed to facilitate certification activities.

The responsibilities of the volunteer Certification Scheme Committee members are outlined under previous sections of this document.

Occasionally, volunteer SMEs contribute to Exam Development as directed by the contracted Psychometricians/ Exam Development specialists.

## Staff Job Descriptions, Evaluations

Staff job descriptions shall be maintained in personnel files. Staff performance shall be evaluated annually. Training and development plans shall be developed and implemented, when necessary, and documented in personnel files.

## Confidentiality and Conflicts of Interest

Within 30 days of assuming their responsibilities, staff with responsibilities for the certification program shall sign agreements covering confidentiality, security, and conflicts of interest.

## Subcontractors

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### Decision to Issue a Certificate

The actual decision to issue a certificate shall be made by the Certification Director on behalf of the Scheme Committee.

### Agreements with Subcontractors

When subcontractors are used for any other activity substantively related to the certification program, written agreements shall be made with the subcontractors and shall include, at minimum, the following terms:

- Scope of work
- Payment terms
- Termination
- Conflicts of interest prevention
- Confidentiality and security
- Copyright transfer (if applicable)

### Subcontractor List

The Certification Director shall maintain a current list of all subcontractors with responsibilities substantively related to the certification program. Resumes will be requested at the discretion of the Certification Director for contractors/sub-contractors.

### Responsibility for Conformance to ISO/IEC 17024

When subcontractors are used, the responsibility for quality and conformance to the ISO/IEC 17024 standard and the Certification Policies and Procedures Manual shall be maintained by the RSAG.

Accordingly, the Certification Director shall check past experience and/or references to verify the subcontractor qualifications to carry out the responsibilities assigned and shall monitor the performance of subcontractors through regular audits of performance (which will vary in type and scope dependent upon the type of works subcontracted). These audits shall be performed at least annually and the results shall be documented and considered, at minimum, as part of the annual internal audit and management review.

Should any subcontractor conduct its own internal audit that covers the scope of work conducted, that audit may substitute for the independent Certification audit.

## Document Control

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### Scope of Document Control

A document control system is maintained to control the creation, approval, revision and re-approval, distribution, and prevention of use of obsolete material by any individual associated with the certification programs.

### Master List and Controlled Document Maintenance

The controlled documents and a master list of all controlled documents are maintained by the Certification Director. The master list shall identify authority for controlled document changes. The controlled documents and master list shall be maintained electronically.

Outdated electronic versions of controlled documents shall be moved to an “Obsolete” folder and shall be kept there in accordance with the record control policy.

All controlled master exam forms are kept by the psychometrician or organization contracted to oversee the exam development process will also be updated on the Record Control Schedule.

## Access

The following personal shall have access to controlled documents, the certification director, assistant certification director, and the program administrator.

## Records Control

### Scope of Records Control System

A certification records control system shall be maintained to demonstrate that certification program policies and procedures have been fulfilled effectively. The records shall be identified, managed, and disposed of in a manner designed to ensure integrity of the program and confidentiality of the information.

### Certification Record Control Schedule

Records shall be kept according to the following schedule. The Record Control Schedule applies to all general program records not covered here.

| Record Type   | Minimum Requirement   |
|---|---|
| RSAG, Scheme Committee, Appeals Board and Exam Development Panel agendas, actions, and meeting minutes/notes  | Five (5) years from date of meeting                                     |
| Research reports: general statistical reports, item analysis, equating, job analysis, and standard setting reports  | Three (3) years after compilation                                       |
| Quality reports: evaluation reports, internal audit reports   | Three (3) years after final submission                                  |
| Intellectual property records: copyright and trademark registrations, copies of protected works   | Permanent   |
| Test development materials: item and exam review meetings documents, exam forms and scoring keys, score records, pass/fail rosters, signed item writer waivers, testing company contracts, and related correspondence     | Permanent   |
| Files involving challenges to test administration and/or revocation, suspension, or challenge to certification (including answer sheets, cease and desist letters, supporting documentation, testimony transcripts, etc.) | Two (2) years after expiration of last possible date for filing appeals |
| Historical list of certificants   | Permanent   |
| Certificant information: name and certification number, effective date of expiry, scope of certification  | Five (5) years after last effective date of certification               |
| Exam items  | Two (2) years after discontinuation of use                              |
| Individual answer sheets  | Six (6) months after last appeal deadline for exam                      |
| Currently certified: certification and recertification applications and supporting documentation, exam scores   | Retain most recent versions two (2) years after last certification      |
| No longer certified: certification and recertification applications and supporting documentation , exam scores  | Three (3) years following expiration of certification                   |
| Applicant incomplete applications   | One (1) year from date of initial submission                            |



## No Retention Required

Documents and other materials (including originals and duplicates) that are not otherwise required to be retained, are not necessary to the functioning or continuity of the certification program and which have no legal significance are destroyed when no longer needed. Examples include draft documents, duplicate copies of records that are no longer needed, reminder messages, miscellaneous correspondence not requiring follow-up or action. No specific retention requirements are assigned to these types of documents.

## Confidentiality, Privacy, Security

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### Privacy and Security of Individual Information

The RSAG and the Certification Director shall safeguard the privacy of individuals, where applicable, and shall hold in confidence and in a secure manner the information obtained in the course of certification program activities at all levels of the organization, including the activities of all personnel (paid, subcontracted or volunteer) acting on its behalf.

Except as required in this Policies and Procedures Manual, information about a particular individual is considered confidential information and shall not be disclosed to a third party by the RSAG personnel (paid, volunteer or subcontractor) without prior written consent of the individual. Where the law requires information to be disclosed to a third party, the individual shall be notified beforehand of the information provided.

### Certificate Verification

Records of certificants shall be maintained electronically according to the record control policy.

Requests for verification of progress in attaining certification shall be responded to in writing and provided only to the applicant/candidate, unless permission is granted in writing by the participant for release to others.

Requests by any stakeholder for verification of an individual's certification status shall be responded to by phone or in writing. Only an indication of whether an individual is certified or not shall be provided (and if so, the certification term), ensuring that the status of in-progress or unsuccessful candidates is not disclosed.

### Security of Exam Instruments

The RSAG shall safeguard any applicable exam instruments and scoring key/rubrics during the course of certification program activities at all levels of the organization, including all personnel (paid, subcontracted, or volunteer) acting on its behalf. Personnel handling exam instruments and scoring key/rubrics shall be provided and attest to reading and understanding exam secure handling procedures prior to their handling of the materials.

### Security Breach

Should a security breach occur, the Certification Director must be notified immediately. Based on the severity of the breach, he or she will meet with the RSAG and/or Exam Development Committee including a test development specialist to determine the severity of the breach and formulate an appropriate response. The Scheme Committee shall be notified of the breach at their next scheduled meeting (or sooner if the Certification Director deems necessary) of the breach and the actions that will be taken to ameliorate the situation and preserve the validity and integrity of the exam and/or testing materials and processes.

## Fairness and Non-Discrimination

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### Adherence to Principles

In administering the certification program, we adhere to principles of fairness and due process and endorse the principles of equal opportunity. The RSAG shall not discriminate or deny opportunity to anyone on the grounds of gender or gender identity, age (40 or older), religion, national or ethnic origin, marital status, military/veteran status, sexual orientation, race, color, sex, arrest record, generic information, or any other legally protected status,

or status as an individual with a disability.

## Exam Preparation

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### Preparatory Courses

Candidates who wish to take the Certified Signal Person & Rigger Level I and/or II (CSPR-1 or CSPR-2) Exam may do so as long as they are current IUEC members and can provide documentation of having completed a Rigger and Signal Person preparation course (of their choice) within the last year. This may be any course of their choosing. Individuals who have failed the Exam twice must provide evidence of having taken an additional preparation course in Rigging and Signaling (of their choice) before they will be permitted to retake the Exam. This also may be any Rigging and Signaling course of their choosing, and they may re-take the same preparation course.

NEIEP offers a Rigger and Signal Person training course as part of its Continuing Education schedule. The course trains students in all aspects of Rigging and Signaling necessary to the elevator trade and may be used to satisfy the prerequisite for the Certified Signal Person & Rigger Level I and II (CSPR-1 or CSPR-2).

- Certification Exam. Many other organizations also offer Rigger and Signal Person training courses.

Individuals applying to take the Certified Signal Person & Rigger Level I and/or II (CSPR-1 or CSPR-2) Certification Exam may choose to attend the training course offered by NEIEP, or may instead provide documentation of completion of any other Rigger and Signal Person preparation course of their choosing.

## Program Fees

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All fees associated with the program are paid by IUEC members' education benefit. There are no additional fees associated with the Certification Program.

## Certification Schemes

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### Scheme Committees

The Scheme Committee consists of a minimum of six (6) voting members. Membership may include any of the various stakeholders of the industry segment being certified, but all members must hold the current certification OR have equivalent experience in rigging and signaling in the elevator industry.

### Scheme Components

The certification scheme for the Certified Signal Person & Rigger Level I and/or II (CSPR-1 or CSPR-2) certification includes, but is not limited to, the following components:

- Eligibility requirements
- Examination based on the content outline
- Recertification requirements
- Surveillance

### Publication of Scheme

The scheme, including the examination content outline, shall be published in a forum accessible to applicants, candidates and certificants. The forum may be on the internet, in a professional bulletin or newsletter, in the application, or in all of these. The level of detail made public may be different from the level of detail used by the RSAG internally, but both shall be consistent.

## Notification of Scheme Change

If a scheme is changed, notification of the change shall be published in a forum accessible to all applicants and candidates. This notification shall occur a minimum of three months up to a maximum of twenty-four months before the change goes into effect, dependent upon the significance of the change. The forum may be on the internet, in a professional bulletin or newsletter, in the application, or in all of these.

## Certificant Compliance with Scheme Change

If a scheme is changed, the Examination Development Panel shall develop, document and implement a plan to bring all current certificants into compliance with the new scheme within a period of time reasonable to the nature of the change.

The scheme shall be published in a forum accessible to all candidates. The forum may be on the internet, in a professional bulletin or newsletter, in the application, or in all of these. The level of detail made public may be different from the level of detail used to actually develop the exam, but both shall be consistent.

Any changes to the scheme proposed by the Exam Development Panel must be approved by the Certification Scheme Committee.

## Review of Scheme

The Examination Development Panels shall review the certification schemes for currency and relevancy as needed, determined by significant changes in the industry or job. The review, findings and any actions taken shall be documented. Any changes to the scheme proposed by the Exam Development Panel as a result of the review must be approved by the Certification Scheme Committee.

# Examination Content Outline Development Process

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## Examination Content Outline Required Elements

**Derivation:** The source of information used to define the examination content outline shall be specified. The source may be a Job Task Analysis, a Logical Analysis by the Exam Development Panel, or a combination of both.

**Scope:** The examination content outline shall be reviewed to conform to the scope of the exam defined by the Exam Development Panel. The content of the examination content outline shall not exceed the scope. If there are topics specified by the scope that are not addressed by the content outline, there shall be an explanation, or the content outline shall be modified.

**Combination:** An item may contribute to evaluation of more than one topic in the content outline. Additional items may also evaluate these topics independently.

**Update:** The duration during which the examination content outline is valid shall be specified by the Exam Development Panel, along with a rationale for the duration. The rationale used shall be specifically related to the practices evaluated in the exam.

# Exam Development Process

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The Exam Development Process shall follow the steps below for the development of the exam. Additional steps are required for ongoing maintenance of the exam, and for the definition of additional qualifications which may be required for certification.

## Define Scope of the Exam

Define scope of the exam.

## Conduct a Job Analysis

Conduct a validation study to identify the content to be tested. A job task analysis study of the industry shall be performed no less than every five years. The study will identify the day-to-day responsibilities of riggers and signal persons in the elevator industry and the knowledge required to perform these responsibilities. The study findings will help define the scheme, the examination content outline and the test specifications. These specifications identify the linkages between the responsibility and knowledge areas and outline the following:

1. Topics to be covered on the examination;
2. Percent of questions devoted to each topic area to be included on each examination

## Develop a Scheme or Blueprint

Create a set of test specifications based on the job analysis and expert consensus. The specifications should include the content outline of the exam with the relative proportions of each content area and the cognitive levels of questions delineated.

## Develop Test Items

Have trained subject matter experts develop and review questions based on the test specifications and under the guidance of a testing specialist. Questions on the exam shall be written by subject matter experts working together with contracted Psychometricians or equivalents. Item writers shall be selected by the Certification Director. Subject Matter Experts shall have a minimum of five (5) years' experience in industry-specific rigging and signaling work.

All items shall be in conformance to the test specifications. Items written shall be sent to an item verification committee where questions are assessed for content, level of difficulty, accuracy, and correctness. Once approved, the items shall be edited for grammar, readability, graphics clarity, format consistency and cultural bias. Approved and edited items shall be incorporated into an uncalibrated item pool available to be included in the bank of examination questions as trial items.

## Conduct a Beta Test

Administer items to a pilot test sample to evaluate the quality of the questions. Each Beta test for a single Beta test form shall consist of a minimum of 50 candidates for a written exam and 5 candidates for a practical exam.

## Analyze Beta Test Data

Conduct psychometric analysis to evaluate the performance of questions included in the pilot test; place them in the calibrated item pool, and determine which are acceptable for use on the actual test.

## Add Trial Items

From the calibrated item pool, add between ten and twenty percent of scored items to each test form. Review and revise these items for inclusion as trial items on the form on an as-needed basis only.

## Set the Passing Score for the Test

In collaboration with contracted psychometricians, set the passing score for the test, using an industry standard methodology, or a methodology adapted as appropriate from an industry standard methodology.

## Determine Scaled Score Reporting

Determine how scores shall be reported to candidates. Determine how certification may be verified by authorized parties.

## Conduct Quality Assurance

Conduct in-house trials to assure that items are presented as anticipated; that items are scored as defined; and that score reporting is accurate.

## Monitor Initial Test Performance

After initial administration or after the administration of the exam to 100 candidates, review performance of the test and items to be sure that the exam forms in the field are performing within acceptable bounds.

At least annually after the initial review, monitor performance of the test and items to be sure that exam forms in the field are performing within acceptable bounds.

## Revise Test Items

If items appear to be performing incorrectly, revise or replace the item within the content and psychometric constraints of the test, conduct additional quality assurance, and replace the old exam form with an exam form incorporating as a scored item the new items in the exam.

## Exam Maintenance Process

The EDP shall follow the steps below for the revision of the exam. These steps assume that initial test development steps have been taken in accordance with the policy Test Development Steps.

These steps shall be conducted on an as-needed basis, at a minimum of each time a Job Task Analysis is conducted, to assure that the content of the test is current and doesn't suffer from overexposure.

## Evaluate and Add To Item Pool

Have trained subject matter experts develop and review questions based on the test specifications and under the guidance of a testing specialist. Add the items to the uncalibrated item pool.

## Determine Items to Retire From Exam Forms

Delete items from exam forms based on overexposure, inadequate item performance statistics, or other reasons.

## Add Calibrated Items to Exam Forms

Determine which items in the calibrated item pool are acceptable for use on the actual test.

## Add New Trial Items

From the calibrated item pool, add between ten and twenty percent of scored items to each test form. Review and revise these items for inclusion as trial items on the form on an as needed basis.

## Set the Passing Score for the Test

In collaboration with contracted psychometricians, set the passing score for the test, using an industry standard methodology, or a methodology adapted as appropriate from an industry standard methodology.

## Revise Scaled Score Reporting

Determine how the revised scores shall be reported to candidates.

## Conduct Quality Assurance

Conduct in-house trials to assure that items are presented as anticipated; that items are scored as defined; and that score reporting is accurate.

## Monitor Test Performance

After initial administration or after the administration of the exam to 100 candidates, whichever comes first, review performance of the test and items to be sure that the exam forms in the field are performing within acceptable bounds.

Monitor performance of the test and items to be sure that exam forms in the field are performing within acceptable bounds.

### Revise Test Questions

If items appear to be performing incorrectly, revise or replace the item within the content and psychometric constraints of the test, conduct additional quality assurance, and replace the old exam form with an exam form incorporating as a scored item the new item(s) on the exam.

The revised form of the exam shall be approved by the Exam Development Panel and recommended to the Certification Scheme Committee.

Any changes to the exam proposed by the Exam Development Panel must be approved by the Certification Scheme Committee.

## Psychometric Requirements

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The RSAG adopts the following requirements for creating and selecting optimal items for inclusion in examinations:

### Required Elements

**Beta Test:** An administration of a test to candidates prior to the determination of a cutpoint. **Exam Form:** The calibrated items available for administration on an exam form.

**Item Pool:** The calibrated items available for administration) on an exam form.

**Trial Items:** Items which have not been calibrated by administration as unscored items on an exam form.

### Item Calibration

Prior to inclusion in the active item pool, items shall be administered to a minimum of 50 candidates for written items and 5 candidates for practical items as trial items. For initial construction of an exam, items shall be administered as Beta items to a minimum of 50 candidates for written items and 5 candidates for practical items before being included on an exam.

### Item Selection Criteria

The general criteria for retaining/delete written test items was to delete items that:

- had low p values and near zero or negative item reliabilities,
- had a high p value and near zero or negative item reliabilities, and
- had near zero or negative item reliabilities.

While exceptions to these criteria were made due to special circumstances associated with the beta test sample (e.g., it was determined that some items covered necessary content, but happened to be aspects that test takers in the beta testing were not familiar with or had not learned about in their careers), the 3 criteria described above guided the decisions.

### Exam Criteria

The written exam was analyzed on the following classical psychometric properties:

- Item difficulty (p-value)
- Individual item reliabilities or item-total correlation
- Aggregate reliability of the items (Kuder Richardson index)
- Distribution properties of the test including mean (average), standard deviation, minimum, maximum, and frequency distribution mapped against normal curve

- Frequency counts on each item's answer options to see how many people chose each answer option (e.g., for Item 1, how many people chose the A option, B option, and C option).

The minimum standard for reliability of the test is .70. The aggregate reliability coefficient (Kuder Richardson index) of the test for the sixty seven beta test individuals was .78, which exceeds the minimum standard set and is a level that meets professional standards for reliability for job knowledge tests. The finding of .78 is likely an underestimate of the test's true reliability since this was the first administration of the test. This index will be carefully monitored over the next year and the consultants expect this index to approach .90. The distribution properties revealed desirable outcomes. Specifically, the distribution was skewed slightly with several "high scores," which is expected and desirable for a certification test. The analysis of how many people chose the A, B, and C answer options for each item revealed that some options needed to be changed (e.g., one picture was unclear) and that some items needed to be deleted because no one was choosing the distractors.

## Exam Administration Process

The primary steps in the exam administration process are the following:

### The Written Exam: Computer-based Exam Administration

Typically, all written exams will be computer-based. Testing computers will be provided and set up by exam proctor/scorers. The exam will be housed in an "https" secure web address hosted by an external computer programming and consulting company.

When administering the written test, exam proctor/scorers will log each candidate onto the secure website via unique user ID and password. This way, no candidate will ever learn how to access the testing site on their own. When candidates complete the written portion of the exam online, their responses are automatically recorded in the online database. Access to the data is stored in a separate section of the online testing site and is password and user ID protected with different codes, and is only available to the consultants.

Practical examinations are scored by hand on paper, and must be immediately entered into the computer system for scoring. The original paper document is maintained in accordance with our record keeping procedures.

### Archive

Typically, all written exams will be computer-based and automatically archived by the company that hosts the exam. Archived records are accessible by the Certification Director.

### The Practical Exams: Administration

#### Hand-Signaling Practical Exam

The signaling practical exam requires candidates to accurately demonstrate a representative sample of the ASME Crane Hand Signals that are used on the job. This test is individually administered by a trained examiner. After reading the instructions to the candidate, the examiner asks the candidate to demonstrate the first signal in the exam. The candidate is then judged on the accuracy of the signal that is demonstrated. This process is repeated until all 21 signals have been demonstrated.

The Hand-Signaling Practical Examination is scored by hand on paper. Then enter the answers for each exam answer sheet into the computer system for scoring. The original paper document is maintained in accordance with our record keeping procedures.

#### Rigging Practical Exam

The rigging practical exam requires candidates to demonstrate their skill at rigging loads. This test is individually administered by a trained examiner. For each scenario, the examiner reads the instructions to the candidate, who then follows the instructions and rigs the load. The candidate is judged against the criteria for that scenario. Examiner evaluate rigging skills such as choosing correct and non- damaged rigging material, using various types of rigging materials (e.g., web slings, chain hoists), correctly affixing rigging material to the load, making correct



decisions on rigging materials according to load type, transferring the load during the rigging process, ensuring that the load is not damaged during the rigging process, etc.

The Rigging Practical Examination is record by hand on paper, which is then immediately entered into the testing web site for scoring. The original paper document is maintained in accordance with our record keeping procedures.

## Post-Exam Procedures

- After the rigging practical portion of the exam is administered, the individual responsible for supervising the exam administration must fill out an Exam Conditions Reporting Form, which details exam conditions including information about the date, time, and location of the exam administration; conditions including but not limited to lighting, temperature, seating arrangements, candidate separation, noise, and safety; and send it to the Certification Director within 7 days of the exam administration.
- If the score for the written as well as both practical examinations is at or above the cutpoint for the test, the Volunteer Regional Operations Manager in charge of the exam administration will immediately award a temporary card to the candidate. Within 30 business days the certification director shall send to the candidate (via postal mail) a diagnostic report showing their score on each portion of the test.
- Candidates who do not pass a portion of the examination shall be notified that they passed/failed. Within 30 business days, the Certification Director shall send them (via postal mail) a diagnostic report showing their score on each scale of each portion of the test.
- Candidates who fail part or all of the exam will be allowed to re-test one more time upon completion of the provided request to re-test form. For a total of two times. If candidate fails the exam twice they must take a signal/rigging course of their choice and send a new certificate to the certification director and fill out a new application to re-test.

## Audit

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### Timing and Scope

The RSAG shall conduct an internal or second-party audit of its certification program at least annually. The audit scope shall be the certification management system through its documented policies, procedures and documents in support of ISO/IEC 17024 compliance.

### Personnel Conducting Audit

The personnel conducting the audit may be employees, volunteers, or consultants of the RSAG or NEIEP. If auditors have a direct connection to the certification process, they shall not audit work directly related to their own responsibilities.

### Audit Types and Purposes

Two types of internal audits shall be conducted: (1) exam audit and (2) operations audit.

The examination and evaluation processes are designed to ensure fairness, validity, reliability, and to ensure that each examination measures the intended outcomes.

The purpose of the exam audit shall be to verify that the certification examination and evaluation processes are conducted in accordance with the Certification Policies and Procedures Manual.

For the exam audit, the auditor shall, at minimum, evaluate the following for conformance to stated policies and procedures for:

- Representation and balance
- Review and validation of the scheme by the scheme committee
- Exam development
- General performance of examinations



The certification system is designed to be fair and equitable among all candidates and comply with all applicable regulations and statutory requirements. The purpose of the operations audit shall be to verify that the certification system is conducted in accordance with the Certification Policies and Procedures Manual.

For the operations audit, the auditor shall, at minimum, evaluate the following for conformance to stated policies and procedures for:

- Appeals
- Complaints
- Relationship of certification function to training function
- Subcontractor contracts, qualifications and performance monitoring
- Records management
- Controlled documents
- Confidentiality of information
- Security of examination and related items
- Evaluation of candidates to stated requirements and standards
- Personnel documented duties and responsibilities and understanding of them
- Certificate issuance
- Management of the rights for use of logos or marks
- Surveillance
- Recertification

Random sampling shall be sufficient.

## Audit Results

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The results of the audit shall be documented by the auditor(s). The audit findings shall be reviewed by the Certification Director, and one of the following courses of action shall be taken for deficiencies noted in the audit:

1. Where corrective and/or preventive action is within the authority of staff, the relevant persons shall take the corrective and/or prevention action within sixty (60) days of being directed to do so by the Certification Director. The findings and outcomes shall be documented and recorded in accordance with record retention policies.
2. Where corrective and/or preventive action requires RSAG approval, recommendations for corrective or prevention action shall be presented to the RSAG within ninety (90) calendar days of receipt of audit findings. The RSAG shall act on the report and recommendations and within sixty (60) calendar days of receipt, approve recommended corrective and/or preventive action or make other determinations as appropriate. RSAG-directed corrective and/or preventive action shall be taken by relevant personnel within sixty (60) days. The findings and outcomes shall be documented and recorded in accordance with record retention policies.

## Communication to Stakeholders

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### Published Information

The following information shall be published in the Candidate Handbook and/or on the Certification Program website a minimum of 30 days before each scheduled certification administration:

- Target audience
- Certification scope
- Requirements to earn the certification
- Special requirements for participation, if applicable
- Testing dates and locations

- How to request special accommodations

## Notification or Program Changes

Should any changes be made to the program purpose, scope, and/or requirements, the changes and the effective date of changes shall be published on the Certification Program website a minimum of 30 days before the next scheduled program administration and provided to all current certificants.

## Identity and Test Security

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Individuals taking the certification exams shall acknowledge that they understand the following through their signature on the application.

- Individuals verify that they have successfully met the program requirements. If at any time it is confirmed an individual has not met all the requirements, individuals will no longer be eligible for the certification, or will have their current certification revoked.
- The examinations and the questions contained therein are the exclusive property of the RSAG and are protected by federal copyright law. No part of the examination(s) may be copied, reproduced in part or whole by any means whatsoever, including memorization.
- Individual participation in any irregularity occurring during the examination, such as giving or obtaining unauthorized information or aid, as evidenced by an observation or subsequent statistical analysis, may be sufficient cause to invalidate the results of the examination or the certificate issued, or other appropriate remedy.
- Individuals verify that they solely are responsible for the answers provided on the test(s) and that they were not provided assistance by other individuals.

## Requests for Special Medical Accommodations

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Reasonable accommodations for testing shall be provided at no cost to candidates with special medical needs covered under the Americans with Disabilities Act who submit the Special Accommodations Request Form, along with the Documentation of Disability-related Needs. The Certification Director and/or the RSAG may submit information regarding the stated disability and requested accommodation to its own expert advisers and reserves the right to provide only those reasonable accommodations as required by law.

## Appeals

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### Definitions

An appeal is a formal request for reconsideration of an adverse decision related to an individual's achievement of a certification.

### Appeal Submission

An appeal must be made in writing to the Appeals Board within 30 days of receiving the determination. The written appeal must include the stated appeal, the reason for the appeal (including relevant supporting materials), and appellant's day phone number.

### Appeal Review and Determination

The appeal shall be considered at the next regularly scheduled meeting of the Appeals Board or within 90 days, whichever comes first. The function of the Appeals Board in a given case is to review the decision being appealed based on the record that was before the RSAG or its representative at the time of the determination. Members of the Appeals Board shall recuse themselves from the appeal consideration if there is any reason for which impartiality might reasonably be questioned or there is actual or apparent conflict of interest.

The Appeals Board or its representative shall notify the appellant of the decision within 10 business days from the

Appeals Board determination.

### Appeal Determination Impacting Others

Should the Appeals Board grant an appeal on an issue that impacts the eligibility status or examination scores of other candidates, a review or rescoring of all those potentially impacted shall automatically be conducted. The Certification Director shall notify the individuals of the review or rescoring and final decision within 60 days of the decision.

### Second Level Appeal

The appellant has 30 days from receipt of the Appeals Board determination to file a written appeal with the Scheme Committee. The written appeal must include the stated appeal, the reason for the appeal (including relevant supporting materials), and appellant's day phone number.

### Second Level Appeal Review and Determination

The appeal shall be considered by the Scheme Committee at its next regularly scheduled meeting. Members of the Scheme Committee shall recuse themselves from the appeal consideration if there is any reason for which impartiality might reasonably be questioned or there is actual or apparent conflict of interest.

The Scheme Committee shall only review whether the determination of the Appeals Board was inappropriate because of 1) material errors of fact or 2) failure of the Appeals Board to conform to the published criteria, policies or procedures. Only facts leading up to and including the time of the Appeals Board determination shall be considered during an appeal. The appeal shall not include a hearing or any similar trial-type proceeding. The Scheme Committee's determination shall be final.

The Scheme Committee shall notify the appellant of the decision within 14 days of the determination.

## Program Disputes and Complaints

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### Definitions

The following terms shall apply.

**Dispute:** An informal request for resolution of an issue related to the certification program. A verbal program dispute constitutes any critical comment made by a non-anonymous candidate or certificant who does not wish to file a complaint.

**Complaint:** A formal request, other than an appeal, for resolution of an issue related to the certification program.

### Program Disputes

Individuals with disputes regarding the assessments, personnel, certificants or other elements of the certification program are encouraged to discuss these with the individuals involved to try to resolve the matter informally. In some cases, however, informal resolution is not possible, and individuals may wish to file a formal complaint.

### Submission of Program Complaints

A complaint shall be submitted in writing using the Complaint Submission Form to the Certification Director within 90 days of the incident's occurrence. The submission may be mailed, e-mailed or faxed. The submission shall include sufficient objective evidence to substantiate the claims and allow for a decision to be made and the appropriate action to be taken. Dissatisfaction based on hearsay shall not be considered as a complaint.

### Determination of Involvement

A complaint shall be reviewed by the Certification Director to determine if it can be addressed by staff or if it warrants the involvement of the RSAG.

## Staff Review

If a complaint is found to be addressable by staff, the Certification Director refers the complaint to a suitable staff member considering matters of confidentiality, conflict of interest and impartiality. The responsible staff member shall take action to resolve the issue and communicate the resolution to the complainant within a period of no longer than 30 days. Should the resolution not be deemed satisfactory by the complainant, he or she may request that the complaint be reviewed by the RSAG

## RSAG Review

If a complaint is found to warrant escalation, the RSAG Chair is notified and the complaint shall be reviewed by the RSAG and a decision shall be communicated to the complainant within a period of no longer than 30 days. All decisions by the RSAG are final.

## Program Complaints Tracking

All complaints and dispositions shall be recorded in the Complaints Register, which shall be maintained by the Certification Director. The Complaints Register shall be reviewed periodically, at a minimum as part of the annual audit, to identify the need for corrective or preventive action.

# Complaints Against Candidates or Certified Persons

## Submission of a Complaint

Individuals may file a complaint against a certification candidate or certified individual. The written complaint must include the stated complaint, relevant supporting materials, and the complainant's day phone number, and email address. The complaint should be addressed to the Certification Director.

## Complaints Policy

A complaint shall be submitted in writing using the Complaint Submission Form to the Certification Director within 90 days of the incident's occurrence. The submission may be mailed or e-mailed. The submission must include sufficient objective evidence to substantiate the claims and allow for a decision to be made and the appropriate action to be taken. Dissatisfaction based on hearsay shall not be considered as a complaint.

The complaints process and the Complaint Submission Form can be obtained by contacting the Certification Director at [certificationdirector@elevatordspr.org](mailto:certificationdirector@elevatordspr.org) with the word "Program Complaints" in the subject line.

You may also send a request to:

|   |             |
|---|-------------|
| <div><div><div></div><div></div><div></div></div><div><div><div></div><div></div><div></div></div></div></div>              | <div></div> |
| <p><b>Program Complaints</b><br/><b>CSPR</b><br/><b>16024 Manchester Road Suite 103</b><br/><b>Ellisville, MO 63011</b></p> |             |

## Acceptance as a Complaint

The complaint shall be reviewed by the Certification Director to ascertain if the criteria for acceptance of a complaint are met. The acceptance criteria are as follows:

1. Complainant must have personal knowledge of the alleged violation or misbehavior or must be in a position

to supply relevant and reliable documentation.

2. Complainant must demonstrate by documentation and factual evidence that the complaint involves an issue or issues directly related to the certification standards and code of conduct. Matters of a personal nature or matters not related to the criteria set forth will not be considered.
3. The complaint will not be processed if records show the named person is no longer certified by the RSAG or is not a certification applicant, unless the complaint is related to such person representing him or herself as having a current certification.

Accepted complaints will be first processed by the Certification Director for the purpose of attempting to resolve the complaint informally. If resolution by the staff is not possible, a Disciplinary Review Panel will be appointed by the RSAG Chair to review and, if warranted, investigate the complainant's statements in accordance with established policies and procedures.

## **Review Panel Members**

The Review Panel shall be constituted of at least one current RSAG member, one former RSAG member (when possible), and one certificant not currently serving in a leadership capacity for the RSAG. No Review Panel member shall be appointed to serve for a case in which he or she has a conflict of interest or under any circumstances in which the member cannot render impartial and unbiased judgment.

## **Meeting of the Review Panel**

The Review Panel shall meet within 90 days of the date on which the complaint is received or on a date mutually acceptable to the individual and the Review Panel. The individual may appear before the Panel to make an oral and/or written presentation and to respond to questions from the Panel. Either party may be represented by counsel; however, the proceeding is conducted on an informal basis. The Review Panel may request the assistance of counsel to provide guidance in the interpretation and resolution of legal or procedural problems that may arise in the context of a complaint.

## **Documents to Be Considered by the Review Panel**

The issues addressed by the Review Panel shall be limited to those included in the complaint. The Panel, the certificant/applicant, and legal counsel (if applicable) shall be furnished with all of the documents reviewed by the Review Panel.

## **Panel Recommendation**

A written report of the Review Panel, including the recommendation and reasons for such, is prepared within 30 days and is provided to the Advisory Certification RSAG.

## **RSAG Review, Determination, and Communication**

At its next regularly scheduled meeting, the RSAG reviews the recommendation from the Review Panel, and may accept, reject, or modify the recommendation with respect to the determination of violation or the recommended disciplinary action to be imposed.

The final determination will be communicated by written notice within 30 days of the determination to the candidate/certificant and the complainant. If by determination of the RSAG, the nature of the situation warrants, the final determination may also be communicated by written notice to the candidate/certificant employer or licensing agency.

## **Appealing a Disciplinary Determination**

If the determination is unsatisfactory to the complainant, applicant or certificant, the individual may file an appeal in accordance with established appeals policies and procedures.

## Code of Professional Conduct

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All certificants must agree to comply with the Certificant Code of Professional Conduct as outlined below:

- I will conduct my business and/or professional activities with honesty and integrity.
- I will represent my certifications and qualifications honestly and provide only those services for which I am qualified to perform.
- I will notify the Certification Director immediately if matters arise that affect my capability to continue to fulfill the certification requirements.
- I will strive to maintain and improve my professional knowledge and competence through regular self-assessments and continuing education or training.
- I will act in a manner free of bias and discrimination against clients or customers.
- I will maintain the privacy of individuals and confidentiality of information obtained in the course of my duties unless disclosure is required by legal authority.
- I will follow all certification policies, procedures, guidelines and requirements.
- I will not use the certification in such a manner as to bring the certification body into disrepute, and not to make any statement regarding the certification which the certification body considers misleading or unauthorized.
- Upon suspension or withdrawal of certification, I will immediately discontinue the use of all claims to certification that contain any reference to the certification body.
- I will not use the certificate in a misleading manner.

## Disciplinary Action

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### Authority

The RSAG is the only entity authorized to take disciplinary actions, subject to complaints brought to the Appeals Board in accordance with established policies and procedures.

### Activities Warranting Disciplinary Action

The RSAG may take disciplinary action against any certificant who is found guilty of one or more of the following:

- Obtaining certification or a renewing certification through the use of fraud or deceit or assisting another person to do so; or
- Violation of one or more of the provisions in the Certificant Code of Professional Conduct; or
- A criminal conviction of a felony for acts done in connection with activities for which the certification was issued; or
- Unauthorized possession, distribution, or use of any RSAG examination-related materials or assisting another person to do so; or
- Unauthorized use of any registered certification mark or logo owned by the RSAG; or
- Failure to cooperate reasonably with an RSAG disciplinary investigation.

### Disciplinary Actions

If the RSAG determines that grounds exist to take disciplinary action against a candidate or a certificant, it may take one or more of the following actions or such other action(s) as it may deem appropriate:

- Deny a candidate's application for examination or certification, or a certificant's application for recertification;
- Require a candidate to retake one or more examinations at a time and place to be determined by the RSAG;
- Invalidate the examination score(s) of a candidate; require a candidate to wait a specified period of time before reapplying to take the examination(s); and/or revoke a candidate's eligibility to sit for future examinations;
- Issue the individual a reprimand;
- Require the individual to engage in remedial education and/or training;

- Suspend a certificant's certification for a period of time or until a specific condition has been met;
- Revoke a certificant's certification;
- Publish findings and sanctions on the NEIEP or CSPR website or other communication vehicles;
- Notify other legitimately interested parties of the RSAG's findings and disciplinary action.

### Reinstatement after Revocation

If permitted by the individual's sanction, a request for reinstatements of certification revoked on account of disciplinary actions may be submitted after a minimum of one year after the revocation determination. The request must be in writing and shall be reviewed on a case-by-case basis by the RSAG.

Should it be determined that an individual whose certification has been revoked may reinstate, that individual must reapply as a new applicant and fulfill all certification requirements.

### Reinstatement After Voluntary Lapse

An individual who has voluntarily let certification lapse is not certified and may not use any certification designation or associated initial designation.

As the continued competence of the certificant is determined through the recertification process, if a certificant chooses not to complete the renewal process, their certificate will expire on the posted date and the certificant will lose their certification.

The individual will have a 'grace period' of 6 months after the expiration date to complete the recertification process. If more than 6 months have passed since the certificate's expiration date, the individual will have to re-apply and re-take the full written and practical examinations. Except in cases of documented emergency, no extensions will be given and no exceptions will be made.

## Results

### Communication of Results

Test-takers are notified by the examiners on-site if they have passed or failed the exam, because individuals who pass the exam receive a temporary card on-site.

Examiners also notify individuals who failed the examination (on-site) that they failed. However, examiners do not give test-takers details about why they failed the exam. For security reasons, examiners do not have access to scoring information detailing which items on the exams a specific individual answered correctly or incorrectly.

The Certification Director contacts all test-takers within 2 weeks of the date they took the exam. Individuals who passed the exam receive a letter along with their Certification Card from the Certification Director congratulating them for passing the exam, a Detailed Exam Report is also included. Individuals who failed the exam receive a Detailed Exam Report detailing the portions of the exam they had trouble with, and suggesting areas for further study, along with information about an individual's eligibility to retake the exam.

The final assessment results and certification issuance status shall be communicated to candidates within 30 days of testing. The examination score reports shall reflect overall scaled score(s) and pass or fail status. Failing candidates shall be given diagnostic, non-numerical information indicating their overall performance for each section of the exam.

## Certificates

### Certificate Issuance Criteria

A non-transferable certificate (card) shall be issued only to individuals found to meet all certification requirements. No other factors shall be used to determine an individual's qualification to earn the certificate.



## Certificate

A certificate shall be issued to all certificants, and shall include the following:

- Certificant's name
- Certificant's identification number
- Certification title
- Scheme Committee as the certification issuer
- Signature of the Certification Director
- Certification effective date and expiration date

## Use of the Certification Marks and Logos

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### Ownership of the Mark and Logo

The certification mark and logo are the property of the RSAG. Permission to use the certification mark and logo is granted to certified persons at the discretion of the RSAG, for permissible uses only.

### Persons Authorized to Use the Mark and Logo

Use of the certification marks and logo is limited to those persons who have been granted the certification by the Certification Scheme Committee and who satisfy all maintenance and recertification requirements established by the RSAG and the Certification Scheme Committee.

Use of the mark or logo by individuals who have not been granted and maintained the certification is expressly prohibited.

### Non-Assignability and Non-Transferability

Permission to use the certification mark and logo is limited to the certified person, and shall not be transferred to, assigned to, or otherwise used by any other individual, organization, or entity.

### Mark and Logo Use

Those persons who have been granted permission to use the certification mark and logo shall do so pursuant to the rules and guidelines established by the RSAG. Persons granted permission to use the certification mark must familiarize themselves with the established rules and guidelines for use and must execute approved agreements setting forth such rules and guidelines for use.

The mark or logo may not be revised or altered in any way. They must be displayed in the same form as produced by the RSAG/ Certification Scheme Committee and cannot be reproduced unless such reproduction is identical to the mark provided.

The mark and logo may be used only on business cards, stationary, letterhead and similar documents on which the name of the individual certified is prominently displayed.

The mark and logo may not be used in any manner which could bring the RSAG or the Certification Scheme Committee into disrepute or in any way considered misleading or unauthorized. The mark or logo may not be used in any manner which would tend to imply a connection between the RSAG and the certification which, in fact, may not exist. This includes any use of the mark or logo that the public might construe as an endorsement, approval or sponsorship by the RSAG of a certificant's business or any product or service thereof.

### Suspension or Revocation of Permission to Use Mark or Logo

The RSAG retains the right, at its sole discretion, to suspend or revoke any person's permission to use its certification mark or logo. In most circumstances, when the RSAG is informed that a person is misusing the certification mark or logo, the RSAG will provide the person notice of the misuse and a reasonable opportunity to comply with the RSAG's rules and guidelines. However, the RSAG retains the right to suspend or revoke privileges without notice



and an opportunity to correct, particularly when the violation is of a gross nature and more immediate action is necessary to stop misuse.

Actions by the RSAG to suspend or revoke use of the certification mark or logo shall be communicated in writing to the person whose privileges are being suspended or revoked and to all other persons affected by the decision. The RSAG may also publicize its actions on its website and/or any other of its publications. Should any person continue use of the certification mark or logo after notice of suspension or revocation, the RSAG shall seek full equitable and/or legal remedies through a court of competent jurisdiction.

## Equal Opportunity Policy

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The Rigging and Signaling Advisory Group (RSAG) is sponsored and administered by the Board of Trustees of the National Elevator Industry Educational program and does not discriminate against any eligible individual because of race, creed, color, age (40 or older), disability, religion, gender identity or expression, sexual orientation, military/veteran status, sex, arrest record, genetic information, or any legally protected status.

Equal Opportunity means eliminating barriers to ensure that all candidates are considered based on eligibility. It means promoting an environment free of unlawful discrimination and sexual harassment, is accessible to individuals with disabilities, ensures fair and equitable treatment for all candidates, values diversity throughout the industry, and fosters mutual respect to achieve the mission of the RSAG.

## Granting of Certification Policy

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### A) Prerequisites

1. Candidate will have provided evidence of benefit eligibility. Verification of benefit eligibility is part of the application process.

JUSTIFICATION: As all costs associated with the certification are paid for by the Educational Trust, applicants are required to be benefit eligible members of the IUEC.

2. Candidate will have completed a Rigger and Signaler Training course (of their choice) within one year of the application date. Individuals who have completed a preparation course within one year of the application date BUT have subsequently failed the Exam twice must provide evidence of having taken an additional Rigging and Signaling preparation course (of their choice) before they will be permitted to retake the exam. This may be any Rigging and Signaling course of their choosing, and they may re-take the same preparation course.

JUSTIFICATION: Applicants are required to have taken a Rigging and Signaling preparation course (of their choice) within one year of their date of application for the Rigging and Signaling exam; this is to ensure examinees are thoroughly familiar with the subject material before attempting the exam.

Because there are no additional out of pocket costs for IUEC members to attempt the exam, the education requirement safeguards against exam administrators and proctor/scorers expending resources to administer the exam to applicants who are thoroughly unfamiliar with the material but are taking the exam for practice or "just in case" they might pass without preparing.

### B) Examination

The Certified Signal Person and Rigger Levels 1 & 2 (CSPR-1/CSPR-2) examination consists of a written (computer-based) test of multiple-choice type questions and 2 practical examinations which require candidates to demonstrate physical rigging and signaling tasks. In order to receive the certification, candidates must pass the written and the practical exams.

To receive a Level 1 certification (CSPR-1), the following must be passed:

- Level 1 cut score on written (computer-based) exam
- Signaling practical exam

- Level 1 practical rigging scenarios

To receive a Level 2 certification (CSPR-2), the following must be passed:

- Level 1 & Level 2 cut score on written (computer-based) exam
- Signaling practical exam
- Level 1 & Level 2 practical rigging scenarios

The maximum time for the written (computer-based) portion of the exam is 150 minutes. For the Level I portion of the written (computer-based) exam, a candidate must receive a minimum passing score of 72% correct to achieve CSPR-1 status.

For the Level II portion of the written (computer-based) exam, a candidate must receive a minimum passing score of 85% correct to achieve CSPR-2 status.

The time limit for demonstrating each signal person task is 30 seconds; the minimum passing score for the signaling practical is 19 out of 21 correct signals.

The time limit for demonstrating each rigging task is between 10 and 25 minutes. For the Level I portion of the practical rigging exam, a candidate must receive a minimum passing score of 85% correct to achieve CSPR-1 status.

For the Level 2 portion of the practical rigging exam, a candidate must receive a minimum passing score of 84% correct to achieve CSPR-2 status.

### C) Communication of Results and Granting of Temporary Cards

If a candidate scores at or above the cutpoint for the test, the individual responsible for directing the testing event (this may be the Volunteer Regional Operations Manager OR the Exam Proctor/Scorer) will award a temporary card to the candidate on behalf of the Certification Scheme Committee. Temporary cards will be valid for a maximum of 90 days.

Test-takers are notified by the examiners on-site if they have passed or failed the exam. Because individuals who pass the exam receive a temporary card on-site, examiners need access to information about whether an individual passed or failed each portion of the exam so that they may immediately issue a temporary card.

Examiners also notify individuals who failed the examination (on-site) that they failed. However, examiners do not give test-takers details about why they failed the exam. For security reasons, examiners do not have access to scoring information detailing which items on the exams a specific individual answered correctly or incorrectly.

Candidates who do not pass all or any portions of the examination on their first attempt shall be given one opportunity to re-take the portions of the exam that they failed. In order to re- take the exam, candidates must complete a provided request to re-test form.

The Certification Director contacts all test-takers within 2 weeks of the date they took the exam. Individuals who passed the exam receive a letter along with their Certification Card from the Certification Director congratulating them for passing the exam, a Detailed Exam Report is also included. Individuals who failed the exam receive a Detailed Exam Report detailing the portions of the exam they had trouble with, and suggesting areas for further study, along with information about an individual's eligibility to retake the exam.

Should there have been any mistake or error in the issuance of a temporary card, the Certification Director shall contact the temporary card holder immediately to notify them of the error and inform them that they must cease and desist any use of the card, and destroy the card immediately. As with any others who did not pass the exam, the individual will then receive an Exam Score Report detailing the portions of the exam they had trouble with, and suggesting areas for further study.

## Maintaining Certification Policy

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The Certified Signal Person & Rigger Level I and/or II (CSPR-1 or CSPR-2) qualification term is 5 years. In order to maintain the certification during that time, the certificant must EITHER

1. Complete a minimum 10 on-the-job work hours in Rigging and Signaling within each calendar year. A documentation form is included in the candidate handbook; OR
2. Complete a refresher course within 18 months of receiving their certification.

Documentation forms must be received by the certification director by the one-year, two-year, three-year, and fourth-year anniversary of an individual's certification date. Should the forms not be received on time, the Certification Director will send a letter via postal mail to the certificant informing them that they must submit the required documentation OR provide documentation of having attended a refresher course in Rigging and Signaling (of their choice) within six months.

If the certificant does not provide the documentation of either hours worked OR a certificate of completion from a refresher course by the deadline, their certification will be revoked one month after the warning letter is sent.

## Code of Professional Conduct Policy

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All Certificants are required to abide by the Code of Professional Conduct, which states:

- I will conduct my business and/or professional activities with honesty and integrity.
- I will represent my certifications and qualifications honestly and provide only those services for which I am qualified to perform.
- I will strive to maintain and improve my professional knowledge and competence through regular self-assessments and continuing education or training.
- I will act in a manner free of bias and discrimination against clients or customers.
- I will maintain the privacy of individuals and confidentiality of information obtained in the course of my duties unless disclosure is required by legal authority.
- I will follow all certification policies, procedures, guidelines and requirements of the certification.
- I will notify the Certification Director immediately if matters arise that affect my capability to continue to fulfill the certification requirements.
- I will not use the certification in such a manner as to bring the certification body into disrepute, and not to make any statement regarding the certification which the certification body considers misleading or unauthorized.
- Upon suspension or withdrawal of certification, I will immediately discontinue the use of all claims to certification that contain any reference to the certification body or certification, and return any certificates issued by the certification body.
- I will not use the certificate in a misleading manner.

Certification candidates are required to sign a statement agreeing to abide by the Code of Professional Conduct Policy, and return it to the Certification Director as part of their completed application.

## Complaint Policy

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Complaints involving violation of the Guidelines, Conflicts of Interest, or other Certification Policies and Procedures may be submitted online to: [certificationdirector@elevatorcspir.org](mailto:certificationdirector@elevatorcspir.org).

Or may be mailed to:

***Program Complaints***  
***CSPR***  
***16024 Manchester Road Suite 103***  
***Ellisville, MO 63011***

Complaints should include as much of the following information as possible:

- Certificant's Name
- Date of the complaint
- Date(s) on which the violation occurred
- Description of the complaint
- Name of the person making the complaint
- Contact information of person making the complaint, including:
  - Name
  - Email address
  - Phone numbers (home, office and cell)
  - Postal address

The Certification Director shall review complaints and shall dismiss groundless or frivolous complaints, and shall notify the complainant of the dismissal.

The Certification Director shall forward all legitimate complaints to the RSAG, which shall consider complaints at least once every three months, if complaints are pending. The RSAG shall consider the complaint, and may request further information of either the complainant or the professional against whom the complaint is lodged; after which they will make one of the three following determinations:

- Dismiss the complaint.
- Uphold the complaint and determine appropriate consequences.
- Delay hearing pending further investigation. In no case shall a case remain pending for more than six months. During the hearing delay, the RSAG may suspend the certification of the defendant.

## Suspension or Withdrawal Policy

Should a certificant fail to comply with certificate maintenance policies by the required date, his or her certificate shall be suspended until the issue is resolved.

Should a complaint be determined to be valid, the Disciplinary Review Panel may at its discretion levy a suspension of certification or withdraw the certification of the practitioner against whom the complaint was lodged.

Suspension may be for a period of up to two years, with suspension terminating either at a specified date or upon the satisfaction of specific conditions.

Withdrawal of certification is for life, with the possibility of an appeal for reinstatement occurring no sooner than five years from the date of withdrawal. Appeals for reinstatement should be addressed to the Complaint Board using the contact information included in the complaint policy.

See also section 4.2.6 for sample complaints policies.

## Scope Revision Policy

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### A) Scope Revision

The scope of the certification shall be reviewed up to every five years within three months of the completion of the Job Task Analysis. The review shall be conducted by the Exam Development Panel, and shall consider modifications to the appropriate scope of the exam necessitated by:

- Changes in technology available to practitioners
- Developments in other fields with implications for professional practice
- Revisions to standard practice
- Changes in government regulations or compliance demands

The decision on scope revision shall be completed within six months of the completion of the Job Task Analysis. Scope revisions must be approved by the RSAG.

### B) Publication and Notification

Should the scope of the certification be modified by the Exam Development Panel and approved by the RSAG, modifications to the scope must be forwarded in writing to all members of the Scheme Committee within ten days of adoption.

In addition, changes in scope must be reflected by changes to the scheme published by the Scheme Committee within three months of adoption of the revised scope.

## Requirements Confined to Scope Policy

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The decision on certification shall be based solely on the policies and procedures for requirements and evaluation of candidates as deemed in the *Certification Policies and Procedures*.

## Certification Body Independence Policy

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The RSAG shall be independent of external influences regarding the decision on certification, formulation of the scheme, examination content, standard setting, choice of testing methodologies, and evaluation of the reliability and validity of its testing methods.

**Delegated and Reserved Authorities:** The RSAG cannot:

- Alter its charter. Recommended changes must be forwarded to the certification scheme committee for approval.
- Operate outside its approved annual budget. Unbudgeted expenditures must be coordinated with the certification scheme committee for approval, if required.
- Fill its own vacancies without approval from the certification scheme committee.
- Create or populate task forces.
- Legally bind the association/institute without approval from the certification scheme committee.

## Requirements Confined to Scope Policy

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The decision on certification shall be based solely on the policies and procedures for requirements and evaluation of candidates as deemed in the *Certification Policies and Procedures*.

## Organizational Structure Policy

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The Certification Scheme Committee, which approves all policy-level decisions associated with the RSAG, is composed of representatives of the certification program stakeholders. This includes 3 representatives from the International Union of Elevator Constructors and 3 representatives from signatory companies (employers of IUEC elevator constructors).

The Certification Scheme Committee shall be structured such that no interest predominates in the election or appointment of people to committees, or in the selection of personnel to perform tasks within the certification enterprise.

## Scheme Committee Policy

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The Scheme Committee's primary responsibility shall be determining the scheme - the qualifications of those competent for certification. The scheme may include but is not limited to educational background, work experience, testing, and other components.

The Scheme Committee consists of a minimum of six (6) voting members. Membership may include any of the various stakeholders of the industry segment being certified, but all members must hold the current certification OR have equivalent experience in rigging and signaling in the elevator industry.

The Scheme Committee shall be consulted when the RSAG deems the industry has changed sufficiently to review and/or revise the requirements for certification.

The Scheme Committee monitors development and changes in the Rigging and Signaling field by periodically reviewing any news releases or other major developments in Rigging and Signaling regulations and/or practices from organizations including ASME, NCCCO, and OSHA.

Should any changes arise in Rigging and Signaling regulations and/or practices that could have an impact on the Certification program or processes, they shall be reviewed and assessed by the scheme committee meeting or sooner if necessary.

The Scheme Committee shall have a Chair and Vice-Chair. The Chair shall preside at all meetings of the Scheme Committee, shall see that orders and resolutions of the Scheme Committee are carried out, shall represent the Scheme Committee, and have primary responsibility for carrying out the functions of the Scheme Committee. Appointments for Chair and Vice-Chair shall be for a one (2)-year term with a maximum of two (2) terms.

The Vice-Chair will have the authority to perform all of the duties of the Chair when the Chair is unavailable or unable to perform such duties and shall perform other tasks as requested by the Chair.

Members of the Scheme Committee shall execute a Nondisclosure Agreement and a Conflict of Interest prior to assuming their duties as Scheme Committee members.

## Financial Resources Policy

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### A) Budget

The NEIEP National Director shall present annually to the NEIEP Board of Trustees a budget which demonstrates that anticipated resources are adequate to fund the functioning of all NEIEP activities including those related to the certification (test administration, test reporting, and test development conducted by the RSAG and contracted parties).

### B) Reserves

NEIEP shall have available to it financial reserves to ensure that it will be able to verify certification scores at a minimum of five years from the date of the last administration of an exam.

The Scheme Committee shall review NEIEP's Audited Financial statements within three months of publication. NEIEP, the Scheme Committee, and the RSAG shall not undertake development of an exam unless it has available

to it resources sufficient to administer the exam for a minimum period of two years.

### C) Audit

As a nonprofit Educational Trust, NEIEP undergoes an independent audit every year by an accounting firm employing CPAs licensed to practice in the jurisdiction of the organization. The audited statement will include Notes as required by FASB. NEIEP's Audited Financial Statements are published in Elevator Constructor magazine each year.

## Certification Independent of Training Policy

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All applicants are required to have completed a preparation course in Rigging and Signaling before attempting the certification exam.

They are free to take any preparation course of their choosing.

The RSAG does not make statements endorsing any training provider.

## Appeals and Complaints Policy

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### A) Complaints Policy

A complaint shall be submitted in writing using the Complaint Submission Form to the Certification Director within 90 days of the incident's occurrence. The submission may be mailed or e-mailed. The submission must include sufficient objective evidence to substantiate the claims and allow for a decision to be made and the appropriate action to be taken. Dissatisfaction based on hearsay shall not be considered as a complaint.

The complaints process and the Complaint Submission Form can be obtained by contacting the Certification Director at [certificationdirector@elevatorcspr.org](mailto:certificationdirector@elevatorcspr.org) with the word "Program Complaints" in the subject line.

You may also send a request to:

|   |
|---|
| <div><div></div><div></div><div></div></div> <div><div></div></div> <div><b>Program Complaints</b><br/><b>CSPR</b><br/><b>16024 Manchester Road Suite 103</b><br/><b>Ellisville, MO 63011</b></div> |
|---|

## B) Submission

Appeals shall be submitted in writing via postal mail or email to the Certification Director within 30 days of receiving the certification determination by the RSAG. Written appeals may be mailed to:

**Appeals  
CSPR  
16024 Manchester Road Suite 103  
Ellisville, MO 63011**

Written appeals may also be submitted via email to: [certificationdirector@elevatordcspr.org](mailto:certificationdirector@elevatordcspr.org) with “Request for Appeal” in the subject line.

## C) Appeals Information

Appeals shall include:

- Name of appellant
- Postal address of appellant
- Email address of appellant
- Telephone contact number(s) of appellant (if available)
- Exam Taken (or to be taken)
- Exam Location
- Exam Date
- Reason for Appeal. If appeal regards a specific item, appellant shall include as much information about the item as can be recalled.
- Outcome Desired

## D) Initial Acknowledgement

Receipt of an appeal will be acknowledged within 14 business days. The acknowledgement will include at a minimum:

- Copy of the appeal
- The appeals process
- A deadline for initial response by the RSAG to the appeal.

## E) Initial Review

Appeals received shall be reviewed by the Certification Director within 10 business days of receipt, and a response sent to appellant both by postal mail and via email.

## F) Initial Response

The response will be one of:

- Appeal Forwarded to the Appeals Board, with information to the appellant about how he/she will be contacted to present the appeal.



## G) Appeals Board Composition

The appeals board shall be composed of members from the RSAG.

Appeals Board hearings are not public and will be conducted under Roberts Rules of Order.

## H) Formal Acknowledgement

The Appeals Board shall acknowledge receipt of candidate appeals within 10 business days. Such acknowledgement shall echo the complaint and notify the appellant of the hearing date, time and location. The hearing shall be scheduled within 90 days of receipt of the appeal.

## I) Hearing

The Appeals Board will hear the appeal as scheduled. The appeals board may allow the appellant to call witnesses and may schedule witnesses of its own.

## J) Decision

Within 7 calendar days of the hearing the Appeals Board shall do one of the following:

- Grant the appeal and remedy sought;
- Grant the appeal and give remedy it deems appropriate; or
- Deny the appeal.

The Appeals Board will notify appellant of the decision by mail and/or email within 10 business days of the Appeals Board Hearing.

## K) Escalation

The appellant has 30 days from receipt of the Appeals Board determination to file a written appeal with the Scheme Committee. The written appeal must include the stated appeal, the reason for the appeal (including relevant supporting materials), and appellant's day phone number.

The appeal shall be considered at the next regularly scheduled meeting of the Scheme Committee. Members of the Scheme Committee shall recuse themselves from the appeal consideration if there is any reason for which impartiality might reasonably be questioned or there is actual or apparent conflict of interest.

The Scheme Committee shall only review whether the determination of the Appeals Board was inappropriate because of 1) material errors of fact or 2) failure of the Appeals Board to conform to the published criteria, policies or procedures. Only facts leading up to and including the time of the Appeals Board determination shall be considered during an appeal. The appeal shall not include a hearing or any similar trial-type proceeding. The Scheme Committee's determination shall be final.

The Scheme Committee shall notify the appellant of the decision by mail and/or email within 14 days of the determination.

Should the appellant be dissatisfied with the Scheme Committee's resolution, appellant may seek further remedy in a court of appropriate jurisdiction.

## Competent Personnel Policy

NEIEP shall employ, either as volunteers, full-time employees or contractors, personnel and vendors of demonstrated competence to fulfill the functions required to produce a quality certification.

The Certification Director shall maintain current resumes of volunteers, employees and contractors sufficient to demonstrate that they have the competence and experience required to produce quality certifications.

# Examination Development Policy

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## A) Essential Terminology

**Job Task Analysis:** Process used to collect information about the duties, responsibilities, necessary knowledge or skill needed for a job or role.

**Exam Content Outline:** The knowledge or skills covered by a certification examination usually arranged by domains (or content categories) with an identification of the percentage or percentage range of the exam devoted to each domain.

**Item:** The minimum scoreable unit on a certification examination. As an example, on a multiple-choice examination each question is an item.

**Calibration/recalibration:** Conducting analysis on the performance of items within a given test form in relation to each other. Changing even one item produces a new form, and the item statistics for that form have to be recalculated—that is, the items are recalibrated. Because of this, the decision to change items should not be made lightly, and every effort should be made to make sure that an item is good before it is included on a form.

**Calibrated Items:** Items that have been used with examinees and for which statistics have been computed. For example, a calibrated item might have 63% of the candidates passing the item. A calibrated item might have a probability of 22% that candidates will guess the answer. Item calibrations are computed through formulas incorporated into computerized item analysis programs.

**Trial Items:** Items included on a certification examination for the sole purpose of data collection on the performance of the items. Trial items are not scored.

**Test Form:** A specific set of items used to evaluate candidate competence.

**Beta Test:** (Also called pilot test.) A form of the test administered for the sole purpose of evaluating how the items perform. All the items in the Beta test are trial items since they have not been calibrated.

**Beta Test Candidates:** Individuals that take the Beta test version of a test form. The Beta candidate population characteristics must accurately reflect the population of candidates.

**Cutscore:** The established score at or above which candidates pass the exam and below which candidates fail the exam.

**Criterion-referenced Methodology:** A methodology for establishing the cutscore which compares test-takers to a predetermined standard. This is in contrast to a norm-referenced methodology in which a cutscore is established by comparing test-taker performance to each other.

## B) Job Task Analysis

A job task analysis study of the industry shall be performed as often as necessary, no less than every five years. The study will identify the day-to-day responsibilities of riggers and signal persons in the elevator industry and the knowledge required to perform these responsibilities. The study findings will help define the scheme, the examination content outline and the test specifications. These specifications identify the linkages between the responsibility and knowledge areas and outline the following:

1. Topics to be covered on the examination;
2. Percent of questions devoted to each topic area to be included on each examination

## C) Item Writing

Questions on the exam shall be written by subject matter experts working together with contracted Psychometricians or equivalents. Item writers shall be selected by the Certification Director. Subject Matter Experts shall have a minimum of five (5) years' experience in industry-specific rigging and signaling work.

## D) Specifications

Items shall be in conformance to the test specifications.

## **E) Item References**

Items shall include citations for the authorities that assure that both the content of the item and the correct answer are consistent with industry practice. These citations may be from books, periodicals, internet URLs, government guidelines, union practices, professional standards, or other authoritative sources.

## **F) Item Review**

Items written shall be sent to an item verification committee where questions are assessed for content, level of difficulty, accuracy, and correctness.

## **G) Item Editing**

Once approved, the items shall be edited for grammar, readability, graphics clarity, and format consistency.

## **H) Uncalibrated Item Pool**

Approved and edited items shall be incorporated into an uncalibrated item pool available to be included in the bank of examination questions as trial items.

## **I) Beta Test:**

Each Beta test for a single Beta test form shall consist of a minimum of 50 candidates for a written exam and 5 candidates for a practical exam.

## **J) Beta Test Candidates**

The Beta test population characteristics shall accurately reflect the population of candidates.

## **K) Calibrated Item Pool**

Only items that have been calibrated, either through Beta testing or as trial items, shall be included in the calibrated item pool

## **L) Forms Assembly**

Test forms shall be constructed from items in the calibrated pool. Only items that meet psychometric standards and that fit the test content outline shall be included on the test in the proportions established by the content outline. In addition, trial items may also be added to the form.

## **M) Forms Equating**

If forms are constructed or revised during the form assembly process, the process shall include equating to assure that, as much as is feasible with the items available, forms are of equal difficulty.

## **N) Cutscore**

When the test forms have been finalized, the Exam Development Panel shall identify the passing score for recommendation to the Certification Scheme Committee for final approval. The passing standard shall be set using a criterion-referenced methodology.

## **O) Trial Items**

Trial items will be included on the exams on an as needed basis. Trial items shall not be incorporated in the candidate scores. Trial items shall not be identified during test administration, and candidates will not know which items are trial items. Psychometric parameters of trial items shall be assessed during the forms revision process.

## P) Quality Assurance

Once exam forms have been assembled but prior to administration, quality assurance shall be performed.

## Q) Examination

Test items shall be administered by an item administration rule that assures all examinees are given the same chance to pass the test. A time limit for the test overall or for item administration shall be established.

## R) Scoring the Examination

After the examination has been administered, the contracted Psychometricians shall conduct a detailed statistical analysis of the performance of each item. The data from the analysis, along with candidate comments, shall be reviewed question-by-question by subject matter experts and measurement specialists to determine if any question might be flawed (e.g. no clear correct answer, more than one correct answer). Flawed questions, if any, shall be adjusted.

## S) Score Reporting

Scores shall be reported in accordance with the process defined in the Certified Signal Person & Rigger Level I and/or II (CSPR-1 or CSPR-2) program Policies and Procedures.

## T) Initial Monitoring

Performance of written exams (quantitative) shall be monitored after administration to a minimum of 100 candidates, and performance of practical exams (qualitative) shall be monitored after administration to a minimum of 7 candidates. This initial monitoring shall evaluate item statistics to be sure that items are not scored incorrectly, to be sure that the items are functioning as expected, and to make sure that generally the exam is performing satisfactorily. If the exam is not performing satisfactorily, the contracted Psychometricians will review the problem and revisit/redesign the exam development process as needed.

## U) Revision

Examination specifications and certification requirements can be reviewed and adjusted by the Certification Scheme Committee as necessary, to reflect current professional practice, government regulations, etc. All examination forms shall be assembled in accordance with the examination specifications.

## V) Grandfathering

Subject matter experts who participate in the development of certification examination items shall not be grandfathered in as certificants. In addition, they shall defer application for the examination for a specified period from the date of their last content development involvement, and will only be allowed to test using materials they had no part in developing.

# Scheme Development and Maintenance Policy

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## A) Scheme Components

All certification schemes shall include, but are not limited to, the following components:

1. Application requirements
2. Examination based on a content outline
3. Recertification requirements
4. Surveillance

## B) Scheme Review and Validation

The RSAG or Certification Scheme Committee shall review and validate the schemes before approval and implementation. The RSAG or Certification Scheme Committee shall document the review and validation of the scheme.

## C) Review and Maintenance of Scheme

The RSAG or Certification Scheme Committee shall review the certification schemes for currency and relevancy as often as necessary at intervals determined by significant changes in the industry or job. A job task analysis shall be conducted prior to the scheme review. The job task analysis shall inform the certification scheme in general, and the examination content outline in specific.

Upon completion of the job task analysis, contracted psychometricians will conduct a thorough review and assessment of the methods and mechanisms used to evaluate the competence of candidates. Based on the recommendations of this review, the RSAG will implement an update of the scheme as needed.

The RSAG or Certification Scheme Committee shall document the review, findings, and any recommended changes to the scheme.

The Certification Scheme Committee must approve any and all changes to or updates of the scheme.

## Certification Scheme Change Policy

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1. **Notice and Consideration:** Should the RSAG wish to modify the certification scheme, it shall:
  - Provide the Scheme Committee with sufficient notice before the intended date of implementation (at a minimum, 9 days), and
  - Obtain approval by the Scheme Committee before any change is made.
2. **Committee Response:** The Scheme Committee shall respond in writing within 60 days (or sooner if immediate action is necessary) of receipt of a proposal for scheme change.
3. **Publication:** The revised scheme shall be published and the RSAG shall notify stakeholders of the change. The stakeholders include existing certificants, candidates, employers, and regulators.
4. **Verification of Compliance:** After determination of the date and form of the changes to the scheme, the Certification Director shall verify that each certified person complies with the new scheme within a specified period. Certificants will be required to document their compliance with the change and provide that documentation to the Certification Director within the specified period of time. The period shall be determined in consultation with the Scheme Committee.

## Standards Policy

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The RSAG has adopted the following standards. All certification policies, procedures, candidate criteria, and the methods and mechanisms to evaluate candidate conformance to criteria shall be in compliance with these standards:

- ISO/IEC 17024 Conformity Assessment - General requirements for bodies operating certification of persons (2003) International Organization for Standardization, Geneva, Switzerland.
- Standard for Educational and Psychological Testing (1999), American Educational Research Association, American Psychological Association and the National Council on Measurement in Education).
- Uniform Guidelines for Employee Selection Procedures (Federal Register, Vol. 43, No. 166, Friday, August 25, 1978)
- The current edition of ASME B30
- The current edition of ANSI/ASSE A10.42

The RSAG shall utilize several industry-approved instructional documents when writing test questions and formulating answer keys and criteria. For each test question that utilizes a source, the exact specifications of the

source will be identified (e.g., source name, chapter, page number, appendix, etc.).

A sample listing of sources includes, but not limited to:

- OSHA 1926.1407
- OSHA 1926.1048
- Crosby Group, Users Guide
- Crosby Group Heavy Lift Chart
- ASME B30

Where interpretation of these standards is needed for use by the Certified Signal Person & Rigger Level I and/or II (CSPR-1 or CSPR-2) program, such interpretation shall be made by persons with expertise in the particular standard or standards, the interpretation shall be approved by the scheme committee and published by the RSAG.

## Undue Restrictions Policy

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Application for the Certified Signal Person & Rigger Level I and/or II (CSPR-1 or CSPR-2) Program is open to all IUEC members. The RSAG does not restrict candidacy based on conditions not germane to the scope of the certification.

## Training Policy

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The recognition or approval of training programs is associated with application prerequisites. Applicants are required to provide documentation of having completed a training course in Rigging and Signaling (of their choice) within one year of their application to be eligible to take the certification exam.

HOWEVER, the Certification Program does not evaluate or approve training programs. Applicants may take any Rigging and Signaling preparation course they wish.

Once these prerequisites have been satisfied, the recognition or approval of training programs has no effect on how certification decisions are made.

## Job Task Analysis Policy

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Prior to initial exam construction, and as often as necessary, determined by significant changes in the industry or job, the Certification Board shall conduct a job task analysis sufficient to evaluate current practices and determine whether the overall scheme or the test content outline should be modified to incorporate changes in the Elevator Constructor's Rigger and Signal Person role.

The results of the job task analysis shall be reported to the RSAG and the scheme committee, and the scheme committee shall recommend revising the scheme and content outline, if necessary. The scheme committee must approve the Job Task analysis in order for it to be accepted.

The revised content outline shall be used as the basis for test form construction at the next revision cycle, but in no case shall the revised exam become available later than one year after completion of the job task analysis.

## Test Construction Policy

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### A) Beta Testing

When a test form is constructed, items shall be evaluated in a Beta testing procedure that involves administration of all items on the written exam to a minimum of 50 candidates and all items on the practical exam to a minimum of 5 candidates. Beta candidates shall be recruited to be representative of the candidate population as a whole.

Using the results of the Beta procedure, items shall be selected based on their psychometric properties.

## B) Trial Items

Trial items will be included on the exams on an as needed basis.

## C) Test Revisions

On an as-needed basis, determined by significant changes in the industry or job, the RSAG shall revise the exams. Any revisions must be approved by the Certification Scheme Committee.

## D) Replacement Items

As needed, exam items will be replaced with new items that have been calibrated through a trial item procedure.

## E) Psychometric Standards

Item Selection Criteria

The general criteria for retaining/delete written test items is to delete items that:

- have low p values and near zero or negative item reliabilities,
- have a high p value and near zero or negative item reliabilities, and
- have near zero or negative item reliabilities.

While exceptions to these criteria may be made due to special circumstances associated with the beta test sample, the 3 criteria described above will guide the decisions.

## F) Exam Criteria

The written exam will be analyzed on the following classical psychometric properties:

- Item difficulty (p-value)
- Individual item reliabilities or item-total correlation
- Aggregate reliability of the items (Kuder Richardson index)
- Distribution properties of the test including mean (average), standard deviation, minimum, maximum, and frequency distribution mapped against normal curve
- Frequency counts on each item's answer options to see how many people chose each answer option (e.g., for Item 1, how many people chose the A option, B option, and C option).

The minimum standard for reliability of the test will be .70.

## Management System Policy

The Rigging and Signaling Certification Program, under the direction of its Certification Scheme Committee, shall adopt a management system with the following requirements.

### A) Scope

The scope of the RSAG's management system shall be all of its policies and procedures in support of the ISO/IEC 17024 standard.

### B) Elements

The Certified Signal Person & Rigger Level I and/or II (CSPR-1 or CSPR-2) Program management system shall contain the essential elements of documentation, document control, internal audits and management review.



### C) Enforcement

The Certification Director shall be responsible for the enforcement of all policies and procedures defined under the management system.

### D) Documentation

the RSAG shall document its management system. All documents directing the implementation of certification shall be controlled.

### E) Identification

All controlled documents shall be identified with a unique document identifier, along with the date and source of approvals, the effective date, and the document it supersedes if it is not an original document.

### F) Access

Controlled documents shall be indexed and made available from a central repository. The central repository shall be the authoritative source for the latest version of any controlled document.

### G) Audit Trail

The modifications to any document shall be able to be traced to an appropriate originator, approval process, date of acceptance, and effective date.

### H) Modifications

Modifications to the policies and procedures implemented by the management system shall be made by a documented Change Action Request Procedure, which is initiated by anyone through a Change Action Request.

### I) Internal Audit

An internal audit shall be conducted on an annual basis. The internal audit shall review all policies and procedures for compliance with the Certification Policies and Procedures, and shall make recommendations to remedy procedures not found to be in compliance with the Certification Policies and Procedures. Internal audit shall include, at a minimum, the following components:

1. *Scope* - What is the scope of the audit?
2. *Plan* - What is the plan for conducting the audit?
3. *Responsibility* - Who is responsible, both for conducting the audit and for the communication of its results to the appropriate parties?
4. *Standard* - What is the standard being used to conduct the audit?
5. *Conduct* - Describe the actual conduct of the audit: what was audited, when and by whom.
6. *Findings* - Findings of deficiencies only are typically documented.
7. *Root Cause Analysis* - What is the root cause of the deficiencies documented?
8. *Solution Plan* - What is the plan for remedying, not only the symptom, but also the root cause?
9. *Implementation* - Who is assigned to implement the plan for solving the problem and its root cause? What is the deadline?
10. *Verification* - Who will verify that the plan for solving the problem was indeed implemented?

### J) Internal Audit Recommendations

Recommendations made as a result of the internal audit shall be reviewed by the RSAG and approved recommendations shall be assigned to parties responsible for implementation of the recommended changes.

## K) Internal Audit Verification

Within 90 days of assignment, the RSAG shall verify that the recommended changes were indeed implemented.

Any recommended changes that have not been implemented shall be documented and a timetable for implementation presented to the Certification Scheme Committee.

Recommended changes must be implemented within six months of approval by the Certification Scheme Committee and maintain quality control over such documentation.

## Management Review Policy

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CSPR will review its management system regularly in order to ensure its continuing suitability, adequacy and effectiveness, including the stated policies and objectives related to the fulfillment of the International Standard. These reviews shall be conducted at least once every 12 months and shall be documented.

The input to the management review shall include information related to the following:

1. Results of internal and external (ANSI) audits.
2. Feedback from applicants, candidates, certified persons and interested parties related to the fulfillment of this International Standard.
3. Safeguarding impartiality
4. The status of preventive and corrective actions
5. Follow-up actions from previous management reviews
6. The fulfillment of objectives
7. Changes that could affect the management system
8. Appeals and complaints

The output from the management review shall include as a minimum decisions and actions related to the following:

1. Improvement of the effectiveness of the management system and its processes
2. Improvement of the certification services related to the fulfillment of this International Standard
3. Resource needs

The RSAG will meet annually to review the results of the annual management review and provide feedback regarding improvement of the effectiveness of the management system and its processes, improvement of the certification services related to the fulfillment of this International Standard and resource needs.

Evidence of compliance with this policy will be established at the annual meeting.

## Management System Training Policy

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### A) Establishment

The Certification Director, under the direction of the Certification Scheme Committee, shall establish and maintain a documented management system that governs all policies and procedures of the certification enterprise.

### B) Training

The RSAG shall require that personnel at all levels of the Certified Signal Person & Rigger Level I and/or II (CSPR-1 or CSPR-2) Program be trained in the management system.

The Certification Director, under the direction of the RSAG, shall assure that personnel receive adequate training for components of the management system that govern their job responsibilities within fourteen (14) calendar days of their agreement to participate in the Certified Signal Person & Rigger Level I and/or II (CSPR-1 or CSPR-2) Program.

### C) Training Documentation

The Certification Director shall assure the training of personnel in support of the management system is documented.

### D) Documentation of Management System Implementation

The Certification Director shall ensure that the activities performed in carrying out the management system are documented.

## Document Control Policy

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### A) Controlled Documents

All documents that are enduring and integral to implementing the Certified Signal Person & Rigger Level I and/or II (CSPR-1 or CSPR-2) Program management system shall be controlled. These include but are not limited to: policies and procedures, applications, exam forms, standards, forms, and guidance documents.

### B) Identification

All controlled documents shall be identified with a unique document identifier, along with the date and source of approvals, the effective date, and the document it supersedes if it is not an original document.

### C) Access

Controlled documents shall be indexed and made available from a central repository. The central repository shall be the authoritative source for the latest version of any controlled document. The exception to this will be "All controlled exam forms are kept by the psychometrician or organization contracted to oversee the exam development process."

### D) Audit Trail

The modifications to any document shall be able to be traced to an appropriate originator, approval process, date of acceptance, and effective date.

### E) Modifications

Modifications to controlled documents shall be made by the person in charge of approving the document.

## Internal Audit Policy

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### A) Scope and Frequency

An internal audit shall be conducted on an annual basis. The internal audit shall review a random sampling of policies and procedures for compliance with the adopted Policies and Procedures, and shall make recommendations to remedy procedures not found to be in compliance with the Policies and Procedures.

### B) Internal Audit Recommendations

Recommendations made as a result of the internal audit shall be reviewed by the Certification Scheme Committee, and approved recommendations shall be assigned to parties responsible for implementation of the recommended changes.

### C) Internal Audit Verification

Within 90 days of assignment, the Certification Director shall verify that the recommended changes were indeed implemented.

Any recommended changes that have not been implemented shall be documented and a timetable for implementation presented to the Certification Scheme Committee.

Recommended changes shall be implemented within 6 months of approval by the Certification Scheme Committee.

## Subcontracting Agreements Policy

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### Subcontracting Agreements

Subcontracting agreements entered into by the RSAG shall be incorporated into a legally binding document.

The document shall contain provisions assuring that the subcontractor maintain the confidentiality of intellectual property. The document shall also contain provisions assuring that the contracting party avoids conflicts of interest.

The decision on certification shall not be subcontracted.

## Monitoring Subcontractors Policy

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### A) Responsibility for Certification

The RSAG, working under the guidance and oversight of the Certification Scheme Committee, assumes full responsibility for all aspects of the certification process, including but not limited to defining the scheme, exam development and administration, evaluation of the examination, reporting to candidates, and score verification. Ultimately, all recommendation by the RSAG or associated subcontractors must be approved by the Certification Scheme Committee.

### B) Subcontracting Agreements

The subcontracting agreement shall contain provisions assuring that each subcontractor complies with the confidentiality of intellectual property. The document shall also contain provisions assuring the contracting party avoids conflicts of interest.

### C) Subcontractor Monitoring

The Certification Director shall maintain a list of all subcontractors engaged in the certification process, and shall regularly monitor all subcontractor work.

The RSAG shall include monitoring of all subcontractors as part of the annual Certification Internal Audit.

## Records Control Policy

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### Scope of Records Control System

A certification records control system shall be maintained to demonstrate that certification program policies and procedures have been fulfilled comprehensively and in a timely manner. The records shall be identified, managed, and disposed of in a manner designed to ensure integrity of the program and confidentiality of the information. Details on the CSPR records control system are as follows:

### Certification Records Control Schedule

Records shall be kept according to the following schedule. The Record Control Schedule applies to all general program records not covered here.

| Record Type   | Minimum Requirement   |
|---|---|
| Advisory Committee, Scheme Committee, Appeals Board and Exam Development Panel agendas, actions, and meeting minutes/notes  | Five (5) years from date of meeting                                     |
| Research reports: general statistical reports, item analysis, equating, job analysis, and standard setting reports  | Three (3) years after compilation                                       |
| Quality reports: evaluation reports, internal audit reports   | Three (3) years after final submission                                  |
| Intellectual property records: copyright and trademark registrations, copies of protected works   | Permanent   |
| Test development materials: item and exam review meetings documents, exam forms and scoring keys, score records, pass/fail rosters, signed item writer waivers, testing company contracts, and related correspondence     | Permanent   |
| Files involving challenges to test administration and/or revocation, suspension, or challenge to certification (including answer sheets, cease and desist letters, supporting documentation, testimony transcripts, etc.) | Two (2) years after expiration of last possible date for filing appeals |
| Historical list of certificants   | Permanent   |
| Certificant information: name and certification number, effective date of expiry, scope of certification  | Five (5) years after last effective date of certification               |
| Exam items  | Two (2) years after discontinuation of use                              |
| Individual answer sheets  | Six (6) months after last appeal deadline for exam                      |
| Currently certified: certification and recertification applications and supporting documentation, exam scores   | Retain most recent versions two (2) years after last certification      |
| No longer certified: certification and recertification applications and supporting documentation , exam scores  | Three (3) years following expiration of certification                   |
| Applicant incomplete applications   | One (1) year from date of initial submission                            |

### No Retention Required

Documents and other materials (including originals and duplicates) that are not otherwise required to be retained, are not necessary to the functioning or continuity of the CSPR program and which have no legal significance shall be destroyed when no longer needed. Examples include draft documents, duplicate copies of records that are no longer needed, reminder messages, miscellaneous correspondence not requiring follow-up or action. No specific retention requirements are assigned to these types of documents.

### Disaster Recovery Plan

All records detailed in the above chart are stored on the Certification Director's computer and backed up to a cloud-based FTP server a minimum of once a week.

In addition, computer-based application and examination records and scores are backed up to a secure and confidential server by Performance Associates.

## Security Policy

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### Scope of Records Control System

The Certification Director has implemented a certification records control system which complies with certification program records policies and procedures. The records are identified, managed, and disposed of in a manner designed to ensure integrity of the program and confidentiality of the information. All records detailed in the records control system are stored on the Certification Director's computer and backed up to a cloud-based FTP server a minimum of once a week. In addition, computer-based application and examination records and scores are backed up to a secure and confidential server by Performance Associates.

### Internet Surveillance

At a minimum of quarterly, the Administrative Assistant shall conduct or cause to be conducted a search of the internet for items included on the certification. The search shall include:

- Foreign and domestic URLs
- Known test cheating sites
- Test preparation sites for the certification
- Auction sites where items are for sale
- Other sites with suspicious indicators

### Records Disposal

Documents and other materials (including originals and duplicates) that are not otherwise required to be retained, are not necessary to the functioning or continuity of the RSAG and which have no legal significance may be destroyed when no longer needed. Examples include draft documents, duplicate copies of records that are no longer needed, reminder messages, miscellaneous correspondence not requiring follow-up or action. No specific retention requirements are assigned to these types of documents.

### Security Breach

Should a security breach occur, the Certification Director must be notified immediately. Based on the severity of the breach, he or she will meet with the RSAG and/or Exam Development Committee including a test development specialist to determine the severity of the breach and formulate an appropriate response. The Scheme Committee shall be notified of the breach at their next scheduled meeting (or sooner if the Certification Director deems necessary) of the breach and the actions that will be taken to ameliorate the situation and preserve the validity and integrity of the exam and/or testing materials and processes.

## Competence Requirements Policy

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The RSAG shall provide each contractor or employee a job description prior to employment working on the certification. The job description shall include the immediate supervisor, the appropriate personnel contact, and all significant aspects of the job. If there are direct reports, the job description will include direct and indirect reports.

It is the contractor or employee's responsibility to make sure that the job description is up to date and includes all significant aspects of the job. Changes to the job description must be added to the job description and submitted to the immediate supervisor for approval within 7 calendar days of assignment to the employee or contractor.

Current copies of each employee's signed job description shall be kept by the Certification Director.

Current copies of each contractor's signed job description shall be kept on file by the Certification Director.

## Employee Duties & Competence Policy

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### A) Process Documentation

The Certification Director shall maintain current documentation of each procedure which significantly contributes to the certification process via current job descriptions for all certification personnel and subcontracting agreements for all contractors.

### B) Competence

The Certification Director will maintain current resumes of all employees, contractors and volunteers who are engaged in the certification process.

### C) Training

The Certification Director shall maintain a Certification Personnel Training Log which records the training provided each person engaged in certification. Entries in the log shall include the name of the person trained, the dates of training, and the course title or content. Conference title and overall offerings are acceptable as training. Online courses must list the contact hours specified. CEUs must be documented. College or university curricula must include the course title and the units awarded, either in semester or quarter units.

## Personnel Information Required Policy

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Employees, volunteers, and contractors engaged in the certification process shall maintain the following updated information in their files:

- Name of individual
- Postal address of individual
- Email address of individual
- Telephone contact number(s) of individual
- Organization affiliation and title
- Education
- Professional status
- Relevant training
- Relevant experience

Records for all certification personnel are maintained by the Certification Director.

A separate Certification Personnel Training Log is maintained by the Certification Director. Contractor Files shall be maintained by the Certification Director.

The Certification Director shall maintain the above records in files which shall be updated regularly, but at a minimum at least annually.

## Examiner Qualifications Policy

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### A) Examiner Qualifications

Employees, volunteers, and contractors engaged in the examination of certification candidates shall demonstrate that they:

- Have competence as defined by the scope of the certification.
- Are familiar with the certification scheme.
- Are familiar with the methods involved in conducting the examination.



- Are fluent in English.
- Have no external interests that would impinge on their judgment of candidates.

Examiners' responsibilities are to:

- Proctor the written portion of the exam
- Assess the practical portion of the exam
- Record the results (pass/fail and score where appropriate) of the exam, and to
- Report the results for each student to the Certification Director.

## Examiner Conflicts of Interest Policy

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### A) Examiner Conflicts of interest

If an examiner engaged in the evaluation of certification candidates has a commercial, professional or personal interest in a candidate, the examiner shall document that interest, and request from the Certification Director instructions on how to mitigate that interest in conducting the examination.

The mitigation instructions shall be documented by the examiner and submitted to the RSAG for inclusion with the recommendation for decision on certification of the candidate, which is submitted to the Certification Scheme Committee.

### B) Maintaining Separation Between NEIEP Training and CSPR Testing / Certification

Once an individual becomes engaged in testing for the CSPR program, they are prohibited from assisting with NEIEP training activities related to rigging and signaling.

Individuals who serve as instructors for NEIEP's Rigging and Signaling preparation course are not eligible to evaluate, proctor, or have any involvement with the scoring or assessment of the examination or certification process.

## Application Review Policy

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### A) Application Review

The Certification Director shall evaluate each application received to see whether the time and date requested for the examination is available, and shall respond to the candidate as appropriate within 10 business days.

The Certification Director shall evaluate each application received to verify that the candidate has documented the completion of the education, training and experience required by the scheme, and has provided the required verification evidence. If the documentation is adequate, the Certification Director shall so note in the response to the application. If the documentation is inadequate, the Certification Director shall detail the aspects which are inadequate in the response to the application.

If the application contains a Request for Accommodation, the Certification Director shall evaluate whether the request is reasonable, and whether it is documented as required. Reasonable and documented requests shall be accommodated, and the examination site shall be notified at least one week prior to the examination requiring accommodation. The notification shall include:

- Candidate's name and contact information
- Time and date of the scheduled examination
- Nature of the accommodation requested.
- Documentation of the accommodation to be provided.

Upon completion of the exam, the Volunteer Regional Operations Manager shall provide to the Certification

Director:

- Documentation of the accommodation provided
- Comments regarding any issues that arose during the examination with regard to the candidate who received accommodations.

## Examinee Competence Policy

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### A) Examinee Competence

The RSAG shall construct and revise a certification examination which evaluates all the requirements of the certification scheme. The examination and any changes to the examination must be approved by the certification scheme committee.

## Exam Administration Policy

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### The Written Exam: Computer-based

Testing computers will be provided and set up by the individual assigned to supervise the test site. The exam will be housed in an “https” secure web address hosted by an external computer programming and consulting company.

When administering the written test, the supervisor will log each candidate onto the secure website via unique user ID and password. When candidates complete the written portion of the exam online, their responses are automatically recorded in the online database. Access to the data is stored in a separate section of the online testing site and is password and user ID protected with different codes, and is only available to the consultants. The exam is scored automatically online.

### Archive

Typically, all written exams will be computer-based and automatically archived by the company that hosts the exam. Archived records are accessible by the Certification Director.

### The Practical Exams: Administration

If the Candidate has completed the written portion of the exam, they are then eligible to attempt the Hand Signaling Practical and Rigging Practical portions of the exam.

### Hand-Signaling Practical Exam

The signaling practical exam requires candidates to accurately demonstrate a representative sample of the ASME Crane Hand Signals that are used on the job. This test is individually administered by a trained examiner. After reading the instructions to the candidate, the examiner asks the candidate to demonstrate the first signal in the exam. The candidate is then judged on the accuracy of the signal that is demonstrated. This process is repeated until all 21 signals have been demonstrated.

The Hand-Signaling Practical Examination is scored by hand on paper, which is immediately entered into the computer system for scoring. The original paper document is maintained in accordance with our record keeping procedures.

### Rigging Practical Exam

The rigging practical exam requires candidates to demonstrate their skill at rigging loads. This test is individually administered by a trained examiner. For each scenario, the examiner reads the instructions to the candidate, who then follows the instructions and rigs the load. The candidate is judged against the criteria for that scenario. Scenarios evaluate rigging skills such as choosing correct and non-damaged rigging material, using various types of rigging materials (e.g., web slings, chain hoists), correctly affixing rigging material to the load, making correct decisions on rigging materials according to load type, transferring the load during the rigging process, ensuring that

the load is not damaged during the rigging process, etc.

The Rigging Practical Examination is scored by hand on paper, which is immediately entered into the computer system for scoring. The original paper document is maintained in accordance with our record keeping procedures.

## Post-Exam

If the score for the written as well as both practical examinations is at or above the cutpoint for the test, the Volunteer Regional Operations Manager in charge of the exam administration will immediately award a temporary card to the candidate. The Granting of Certification Policy covers this in detail.

After the rigging practical portion of the exam is administered, the individual responsible for supervising the exam administration must fill out an Exam Conditions Reporting Form, which details exam conditions including information about the date, time, and location of the exam administration; conditions including but not limited to lighting, temperature, seating arrangements, candidate separation, noise, and safety; and send it to the Certification Director within 7 days of the exam administration.

## Verify Scheme Requirements Policy

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### A) Examinee Competence

The RSAG shall construct and revise a certification examination which evaluates all the requirements of the certification scheme, and documents the basis on which the evaluation is made. Evaluation and revision shall take place at least every five years or sooner should the certification scheme change.

All revisions and evaluations must be approved by the Certification Scheme Committee.

## Examination Documentation Policy

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### A) Examination Documentation

The Certification Director shall document certification examination results in a way which allows reconstruction of the final state of each item when the candidate terminated the item.

The Certification Director shall report passing examination results solely as passing.

The Certification Director shall report failed examination results in a diagnostic manner which allows the candidate to determine which topics require additional study, and which topics were satisfactorily completed.

## Certification Award Policy

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When an individual has submitted a complete application, had the application verified by the Certification Director, and received a passing score on the written and practical exams, the Certification Director will grant certification to that individual on behalf of the Scheme Committee.

Certification shall be awarded solely on the criteria established in this Certification Policies and Procedures, and shall not be influenced by behavior outside of the scope of the requirements and certification test.

The certification decision shall be made solely by the Certification Director on behalf of the Scheme Committee, who shall not participate in the training or on-site evaluation of the candidate.

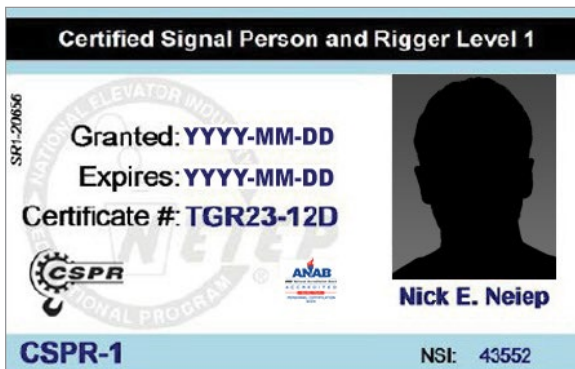
## Certificate Policy

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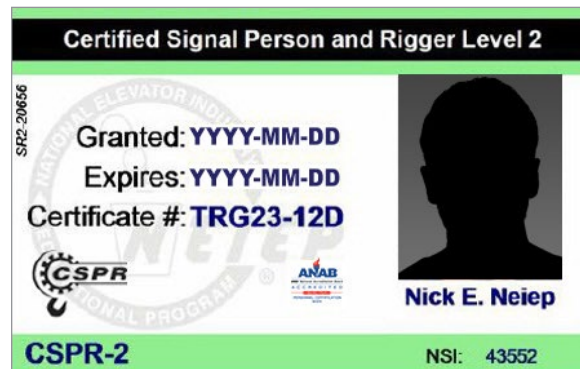
Candidates awarded certification shall be presented with a certificate which remains the sole property of the Certification Body.

## Certificate Contents Policy

Candidates who successfully complete the examination and whose credentials and application entitle them to certification will be notified by letter and awarded a Certified Signal Person & Rigger Level I and/or II (CSPR-1 or CSPR-2) card, a sample of which is displayed below.



CSPR-1 Certification Card Front



CSPR-2 Certification Card Front



CSPR-1 Certification Card Back



CSPR-2 Certification Card Back

This certification card remains the property of the Certification Scheme Committee, which may withdraw, cancel, revoke or otherwise annul the certification for cause.

## Surveillance Requirements Policy

The RSAG shall design and implement a pro-active surveillance process which evaluates certificants' compliance with relevant portions of the certification scheme.

At a minimum of yearly, the Administrative Assistant shall conduct or cause to be conducted a search of the internet for misuse of the certification mark or logo or misrepresentation of credentials by certificants. The search shall include:

- Business web pages of certificants
- Business web pages of companies who employ certificants
- Personal web pages of certificants
- Other sites with suspicious indicators

Certificate holders will be determined to be compliant with current certification requirements as long as the yearly surveillance does not indicate that they are misusing the certification mark or logo or misrepresenting the certification credential.

## Surveillance Review Policy

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The RSAG shall review its surveillance process, which evaluates certificants' compliance with relevant portions of the certification scheme, every five years within three months of the completion of the Job Task Analysis. The review shall consider modifications to the Surveillance Review Policy necessitated by:

- Changes in technology available to practitioners
- Developments in other fields with implications for professional practice
- Revisions to standard practice
- Changes in government regulations or compliance demands

The decision on surveillance review policy revision shall be completed within six months of the completion of the Job Task Analysis. Any revisions must be approved by the Scheme Committee.

## Renewal/Recertification Requirements Policy

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The RSAG shall design, implement, and monitor compliance with recertification requirements which assure that at a minimum of once every fifth year, certificants comply with current certification scheme requirements.

6, 3-, and 1-months prior to certification expiration, certificants will receive a letter informing them that their certification will expire soon and outlining the renewal process. If the certificant does not respond within one month, another letter is sent.

If a certificant chooses not to complete the renewal process before their certification expired, their certificate will expire on the posted date and the certificant will lose their certification. The individual will have a 'grace period' of one month after the expiration date to complete the recertification process. If more than one month has passed since the certificate's expiration date, the individual will have to re-apply and re-take the full written and practical examinations. Except in cases of documented emergency, no extensions will be given and no exceptions will be made.

When the recertification process is complete, the certificant shall receive a new certification card in the mail. The new certification will become active on the same day the old certification expires.

To ensure impartial evaluation, all evaluators and examiners for initial certification as well as recertification must agree to abide by our Examiner Conflicts of Interest Policy.

## Recertification Conditions Policy

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The RSAG shall design, implement, and monitor compliance with recertification requirements which assure that certificants comply with current certification scheme requirements.

The requirements shall ensure that the recertification process assures impartial evaluation of the continued competence of the certificant.

In order to recertify, a certificant must:

- Hold a certificate granted by the Scheme Committee that is less than one month past the expiration date.
- Show evidence of benefit eligibility. The certificant will need to provide a signed statement of current benefit eligibility, which the Certification Director will confirm with the individual's Local OR the National Elevator Industry Benefits Office during the recertification process.
- Complete either an online course offered by NEIEP, which will include information required by the policy, or any course of their choosing as long as the candidate can provide documentation that this alternative course includes the required information. The certification Director will work with the NEIEP development staff to ensure a new recertification course including this information is available. The course, which will include any updates or changes to the scheme in the last five years and changes in rules and/or regulations related to Rigging & Signaling for Elevator Constructors. The course will also remind certificates of the expectations of certificate holders, including but not limited to appropriate use of terminology, certification mark, and certification logo.

This process, which is outlined in the Candidate Handbook that all applicants receive prior to taking the Certification exam, applies to ALL certificants. To ensure impartial evaluation, all evaluators and examiners for initial certification as well as recertification must agree to abide by our Examiner Conflicts of Interest Policy.

## Logo & Mark Restrictions of Use Policy

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The Certification Mark is the adopted acronym, CSPR-1 or CSPR-2, which stands for “Certified Signal Person and Rigger Level 1” OR “Certified Signal Person and Rigger Level 2.” It may be used only by active certificants.

The copyrighted logo that is being used to represent the Certification is displayed below:



Guidelines for the appropriate use of both the certification logo and marks shall be included in the Candidate Handbook.

Candidates who have registered for the certification exam shall be asked to read and sign the Logo and Mark Use Agreement prior to receiving their authorization to test letter.

The RSAG will pursue infractions to its Fair Use Guidelines, and will rigorously defend its logo and marks against people or institutions which violate appropriate use of either.

## Certification Use Agreement Policy

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No aspect of this Certification Policies and Procedures document shall be construed as to require membership in any organization by the candidate or certificant, with the exception of the International Union of Elevator Constructors (IUEC), which is a prerequisite for obtaining the certification.

The Requirements for Certification shall not restrict candidacy on the grounds of undue financial conditions, or on other conditions not germane to the scope of the certification.

Completion of any specific training course or curriculum shall not entitle the candidate to any variations in experience requirements, examination content, or examination scoring.

## Ethics Policy

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It is the policy of the Certified Signal Person & Rigger Level I and/or II (CSPR-1 or CSPR-2) program that its Certification Scheme Committee members, RSAG members, staff, volunteers, contractors, and certificants uphold the highest standards of ethical, professional behavior. To that end, these individuals shall dedicate themselves to carrying out the mission of this program and shall:

1. Hold paramount the safety, health and welfare of the public in the performance of professional duties.
2. Act in such a manner as to uphold and enhance personal and professional honor, integrity and the dignity of the profession.
3. Treat with respect and consideration all persons, regardless of race, religion, gender or gender expression, sexual orientation, maternity, marital or family status, disability, age or national origin.



4. Engage in carrying out the missions of the National Elevator Industry Educational Program (NEIEP) and the Certified Signal Person & Rigger Level I and/or II (CSPR-1 or CSPR-2) program in a professional manner.
5. Collaborate with and support other professionals in carrying out the mission.
6. Build professional reputations on the merit of services, and refrain from competing unfairly with others.
7. Recognize that the chief function of NEIEP and the RSAG at all times is to serve the best interests of its constituency.
8. Accept as a personal duty the responsibility to keep up to date on emerging issues and to conduct themselves with professional competence, fairness, impartiality, efficiency, and effectiveness.
9. Respect the structure and responsibilities of the Certification Program, provide them with facts and advice as a basis for their making policy decisions, and uphold and implement policies adopted by the RSAG and Certification Scheme Committee.
10. Conduct organizational and operational duties with positive leadership exemplified by open communication, creativity, dedication, and compassion.
11. Exercise whatever discretionary authority they have under the law to carry out the mission of the organization.
12. Serve with respect, concern, courtesy, and responsiveness in carrying out the organization's mission.
13. Demonstrate the highest standards of personal integrity, truthfulness, honesty, and fortitude in all activities in order to inspire confidence and trust in such activities.
14. Avoid any interest or activity that is in conflict with the conduct of their official duties.
15. Respect and protect privileged information to which they have access in the course of their official duties.
16. Strive for personal and professional excellence and encourage the professional developments of others.

## Accurate Information Policy

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All public and private information provided by the Certified Signal Person and Rigger Levels 1 and 2 (CSPR-1/2) Program regarding the certification, including advertising, shall be accurate and not misleading.

To ensure accuracy of information, any advertising or other public information released by the program must be reviewed for accuracy and approved by the Certification Director prior to publication.

## Fair Testing Policy

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Current CSPR personnel may not seek certification through the CSPR program.

Any individual involved with the item writing or exam development process at any time is prohibited from testing using any materials they had a part in developing.