



American Road  
& Transportation  
Builders Association



Transportation  
Development  
Foundation

American Road & Transportation Builders Association

# POLICY MANUAL

**SAFETY CERTIFICATION  
FOR TRANSPORTATION  
PROJECT PROFESSIONALS™**

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# INTRODUCTION

The Safety Certification for Transportation Project Professionals™ (SCTPP) program (“certification program”) is governed by the Certification Commission (“Commission”), an independently appointed body with sole responsibility for the governance of the certification program and related certification decisions. As such, the Commission was established by the American Road & Transportation Builders Association’s Transportation Development Foundation (ARTBA-TDF) Board of Trustees to provide oversight to the certification program, outreach to the industry, and to clearly separate the functions and decisions of certification from other ARTBA programs, goals, and membership requirements. All certification decisions, therefore, must be made in accordance with the policies of the Commission. This Policy Manual sets forth the policies related to the development, maintenance and administration of the certification program.

The ARTBA-TDF Board of Trustees is dedicated to offering a certification program that is credible and based on best certification practices. It is a goal of the ARTBA-TDF Board of Trustees to seek accreditation of the certification program under the International Organization for Standardization and the International Electrotechnical Commission (ISO/IEC 17024) *Conformity Assessment—General Requirements for Bodies Operating Certification of Persons* administered by the American National Standards Institute (ANSI). Policies have been developed in accordance with accreditation requirements.

The certification defines the competency requirements of Transportation Project Professionals. Individuals who earn the SCTPP designation have demonstrated their knowledge and competency in the area of transportation construction safety. The job description is as follows:

The safety certified transportation project professional™ is a worksite leader who provides safety management by overseeing the health and safety of workers, subcontractors, and the public.

The Commission is dedicated to developing and administering a certification program that is credible and based on best certification practices. Therefore, the certification program is comprised of the following key components:

- An independent governing commission with policies and procedures guiding all decisions on certification;
- Eligibility requirements and application submission and review procedures;
- An examination testing the competency and knowledge requirements of transportation safety construction today;
- Recertification requirements to maintain the credential;
- A Code of Ethics all certified persons must abide by and uphold; and
- Complaints and disciplinary procedures, including due process.

Throughout the development of the certification program, best practices have been adhered to in order to assure the following important program outcomes:

- Validity of the certification examination;
- Fairness of the procedures associated with granting, maintaining, suspending and removing the certification;
- Establishment of requirements for qualifying to earn the certification;
- Establishment of the requirements for maintaining the certification;
- Assurances that the public trust is served through the certification program;
- Credibility in the administration and maintenance of the program; and
- Representation and inclusion of stakeholders affected by the credential.

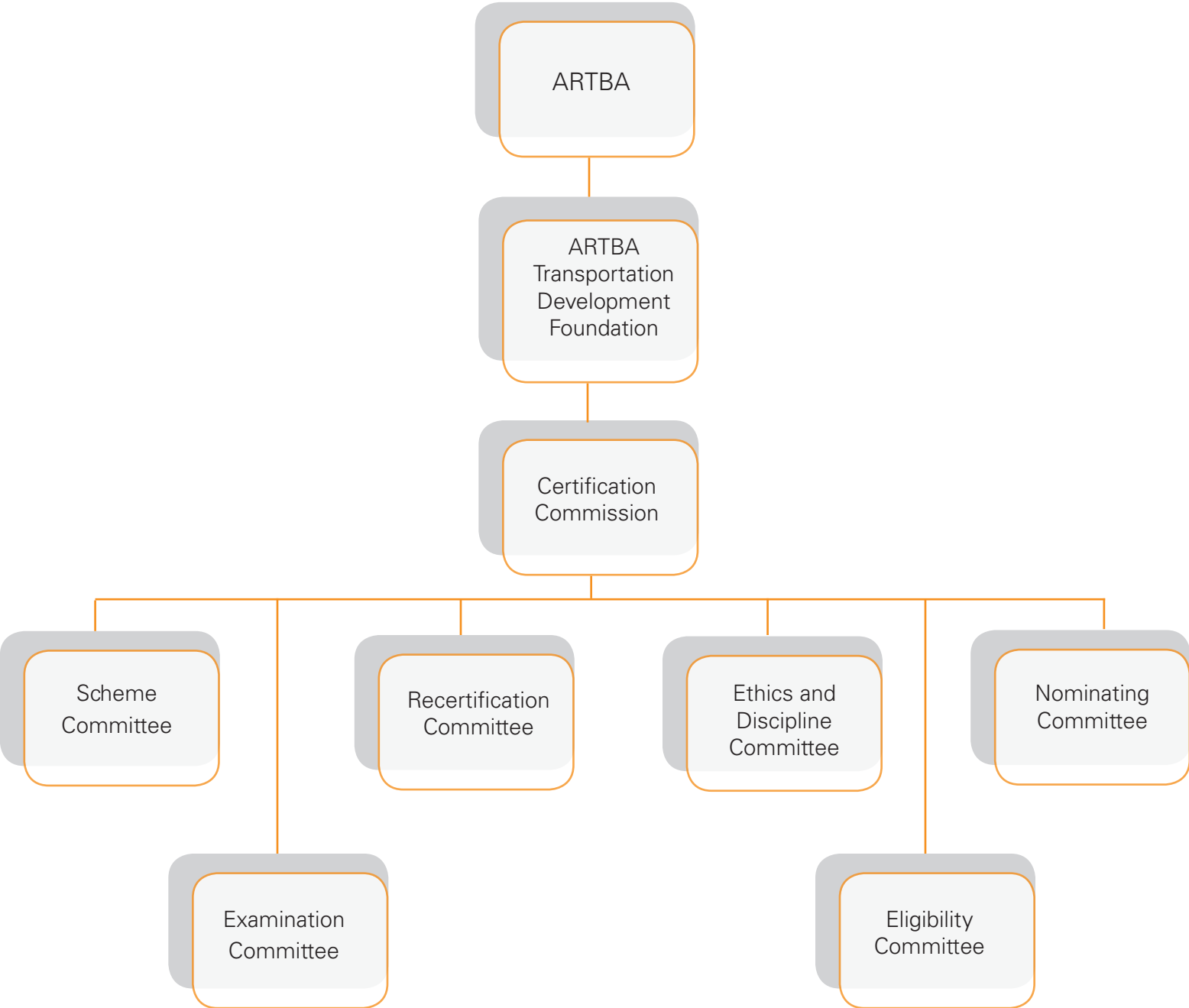
# RESPONSIBILITIES OF THE CERTIFICATION COMMISSION

The Commission provides oversight to the development and administration of a credible certification program and ensures that the certification program meets and maintains best industry practices in credentialing. The Commission shall address all matters related to the certification program and shall establish and implement policies related to granting, maintaining, renewing and suspending, withdrawing, and expanding and reducing the scope of the certification. All decisions of the Commission must relate specifically to the operation or administration of the program.

To discharge its responsibilities, the Commission shall:

1. Develop and implement policies and procedures to ensure that the program conforms with best certification practices, accreditation standards, and relevant legal requirements. Policies and procedures must address all components of the certification program.
2. Establish and oversee the work of the committees.
3. Recruit and maintain an active community of Subject Matter Experts (“SMEs”) to develop and maintain a valid, reliable and legally defensible certification examination.
4. Ensure the conduct, review and consideration of the psychometric reports provided for examination development and delivery, including item analysis reports, passing scores, job analysis reports and other psychometric services.
5. Cause the item bank to be adequately maintained.
6. Establish, implement, and oversee eligibility and recertification (renewal) requirements.
7. Establish and oversee the Code of Ethics required of certified persons, including administration of the disciplinary program.
8. Ensure that due process considerations are included in all program policies and decisions.
9. Develop the annual operating budget for the program in conjunction with the certification staff. To this end, the Commission shall make recommendations to ensure that all commitments of the program are served. Such commitments include funds to develop and administer all program components, including the examinations, eligibility, renewal, disciplinary and appeals programs. The Commission shall advise the ARTBA Foundation Board on funding required for any projects.
10. With the certification staff, monitor the provision of contracted services.
11. Meet by conference call or in-person at least two times a year. The Co-Chairs may call additional meetings as needed.
12. Cause program committees to meet by conference call or in-person at least twice a year.
13. Distribute an annual status report to the ARTBA Foundation Board.

# ORGANIZATIONAL STRUCTURE



# POLICIES

## 100.00 GOVERNING BODY

### 100.01 Conflict-of-Interest

No member of the Commission, or by extension its committees, shall use his or her position, or the knowledge gained there from, in such a manner that is a conflict-of-interest between the interests of the organization or any of its affiliates and his or her personal interests. Each member of the Commission, or by extension members of committees, shall place the interest of the organization foremost in any dealings with the organization and have a continuing responsibility to comply with the requirements of this policy. Commission and committee members are responsible for signing a Conflict-of-Interest Form at the time of service.

### 100.02 Fiduciary Responsibility

Members of the Commission shall understand and accept their fiduciary responsibility to the ARTBA-TDE, certified persons, stakeholders and all interested parties served by the credential. In accepting their responsibility in governing a credentialing entity, Commissioners shall understand that their fiduciary responsibility extends beyond protecting the assets entrusted to them. Fiduciary responsibility includes safeguarding the public's trust through the administration of a credible credential, by protecting the intellectual property and reputation of the credentialing entity, and in exercising due diligence to uphold the integrity of the certification program. This understanding is reflected in the Commissioner performing his or her duties in a manner that is trustworthy, reflective of good stewardship and respectful of the organization.

### 100.03 Commitment to Impartiality

The Commission shall act impartially in relation to its applicants, candidates and certified persons. Representatives of the Commission shall understand the importance of making decisions related to certification in accordance with its policies and procedures, and shall exercise due diligence in doing so. The Commission shall make public the policies and procedures affecting applicants, candidates and certified persons, and shall fairly and accurately convey information about the certification program to all stakeholders and interested parties. The Commission shall understand threats to impartiality, which include, but are not limited to: self-in-terest, activities from related bodies, relationships of personnel, financial interests, favoritism, conflict-of-inter-est, familiarity and intimidation. The Commission shall periodically conduct a threat analysis to determine the potential, both real and perceived, of an individual or an organization to influence the certification processes or benefit from them.

The certification staff maintains control of all decisions relating to certification. The commission and staff are committed to impartiality and objectivity in carrying out all certification activities and carefully manage decisions to limit conflicts of interest by the staff, commissioners or subject matter experts.

### 100.04 Composition

The Commission shall be comprised of no fewer than nine (9) industry professionals who represent the breadth and scope of the credential. Commissioners shall serve a term of three years, which may be renewed for a second three-year term of service. A third of the Commission shall consist of members who possess the certification the commission provides oversight to, and shall, collectively, through education and experience, represent all stakeholder interests served by the certification.

### 100.05 Qualifications

The qualifications of members of the Commission shall include, but not be limited to, the following: work experience, experience in transportation construction and safety, and geographic location. Members of the Commission who earn the Safety Certification for Transportation Project Professionals™ designation must be in good standing with the Commission. Members of the Commission must possess an understanding of conflict-of-interest, fiduciary responsibility and good stewardship. Members of the Commission must agree to uphold and abide by the policies and procedures of the Commission, and must comply with the Volunteer Code of Conduct. Members of the Commission must meet all documentation requirements for consideration of service.



Each Commissioner shall conduct his or her duties in a manner that is trustworthy and reflective of good stewardship. Commissioners understand and accept their fiduciary responsibility to act in good faith on behalf of the Commission and the certification program.

#### **100.06 Confidentiality**

Personnel associated with the certification program shall keep confidential all information obtained in the process of prosecuting the objectives of the certification program. Confidential information extends to information obtained about applicants, candidates and certified persons and the intellectual property associated with the administration of the certification program. All personnel associated with the certification program shall sign a Non-Disclosure Agreement as a condition of association with and employment in the certification program.

#### **100.07 Meeting Participation**

Commissioners are responsible for participating in meetings. Failure to participate regularly in meetings may result in termination of service.

#### **100.08 Volunteer Database**

Certification personnel shall maintain a database of volunteers. All volunteers must complete the Volunteer Code of Conduct and submit information as required.

#### **100.09 Election of Members of the Commission**

The Commission shall conduct elections as required, and in accordance with, the policies and procedures of the Nominating Committee.

## **200.00 AWARD CERTIFICATION**

#### **200.01 Candidate Certification Criteria**

The certification staff and officers will confine all decisions related to certification to those matters specifically defined by the scheme. All decisions regarding the qualifications of candidates to receive and maintain the credential will be made solely by the certification staff and officers based on information gathered during the certification process. Any certification staff who make determinations related to certification will not have participated in the examination or training of the candidate.

#### **200.02 Passing the Certification Examination**

Decisions for granting, maintaining, recertifying, extending, reducing, suspending or withdrawing certification will be made by the certification staff and officers and will not be outsourced to third-party entities. Only candidates who are successful in passing the written examination for the certification, meet all criteria for certification, and remain in good standing are considered certified. Certification is awarded for a period of three years.

#### **200.03 Issuing Certificates**

Certificates are issued by certification personnel to individuals who meet all requirements for earning certification. Certificates shall be issued within 30 days of receipt of examination results.

#### **200.04 Upholding the Code of Ethics**

Applicants must submit with their application a signed Code of Ethics in order to be considered eligible to earn certification. Copies of the signed Code are maintained in a secure file. The Commission has the sole responsibility for making all certification decisions.

#### **200.05 Position on Training and Education**

The Commission does not require applicants for certification to take prescribed training or education programs from any company or organization. The Commission does not recommend or endorse any training or education programs as preparation for the certification examination, nor does it accredit or endorse any source of education as a guarantee of success on the certification examination. Certification is awarded solely on the basis of an individual's ability to meet the certification requirements.

## 300.00 CANDIDATE APPLICATION PROCESS

### 300.01 Receiving Applications

Applications for the Safety Certification for Transportation Project Professionals™ program are received electronically. Payment must accompany the application. Applications must be signed in order to be accepted and processed. All data captured electronically is stored in a secure manner in the certification database with access restricted to authorized personnel.

### 300.02 Reviewing Applications

All applications must be reviewed by qualified certification personnel. Applications must be filled out entirely, with complete and accurate information prior to review. Payment must accompany the application. The agreement to uphold and abide by the Code of Ethics and the Policies of the Commission is verified. The applicant must be notified within fifteen business days (three weeks) of receipt of the application and approval status.

### 300.03 Non-Discrimination

The Commission does not discriminate among applicants, candidates and certified persons on any basis including race, sex, age, religion, national origin, sexual orientation, or disability.

### 300.04 Establishing and Maintaining Candidate Information

All data from applications must be entered by certification personnel who are authorized to do so and who have signed Non-Disclosure Agreements in compliance with the policies of the Commission. Each electronic file maintained on a candidate will include the following information: the applicant's name, address, email address, phone number, and prefix. Candidates will be assigned a unique identification number which they shall retain through the life of their certification.

### 300.05 Rejecting Applications

Applications that are incomplete, do not meet the eligibility requirements and are not accompanied by the correct payment of fee, will be rejected. Certification personnel must notify all applicants of rejection within 15 business days of receipt of the application. The certification staff will email the applicant with notification of why the application has been rejected. A record of the rejected or incomplete application shall be maintained by the Certification Department for a period of one year, or until a complete application is submitted.

### 300.06 Administrative Complaints

Any individual applying for certification or recertification may file a complaint of an administrative nature "Administrative Complaints". Administrative complaints include dissatisfaction with services including, but not limited to: not responding to inquiries with 48 business hours; not adhering to published deadlines; not providing information affecting applicants, candidates and certified persons such as fees, refunds, exam registration information, requirements for certification and recertification, Code of Ethics, etc., failure to administer the examination, or general dissatisfaction with services related to certification. Complaints related to examination content, examination administration irregularities, and alleged violations of the Code of Ethics are handled through separate complaints processes.

## 400.00 ELIGIBILITY

### 400.01 Eligibility Criteria

In order to be considered eligible to take the certification examination, applicants must demonstrate that they meet current eligibility requirements. The eligibility requirements shall be made available in all public documents.

### 400.02 Denial of Eligibility

Applicants not meeting the eligibility requirements must be notified that their certification application has been denied within 15 business days of review. The reason(s) for the denial shall be indicated.

### 400.03 Appeal of Denial of Eligibility

Applicants who are denied eligibility may request reconsideration of the decision of denial by making an Appeal to the Commission. Requests for an appeal must be made no later than 30 days after the applicant is denied. Within 60 days of the receipt of the written appeal, the Commission must conclude its deliberations. The decision of the Appeal is final.

## 500.00 EXAMINATION

### 500.01 Examination Development

The purpose of the certification examination is to establish standards of knowledge and competency requirements for the Safety Certification for Transportation Project Professionals™ program. The blueprint of the written examination shall be derived from accepted industry psychometric standards in examination development.

In its development and maintenance of the certification examination, the Commission shall work with experts in test development and measurement to ensure the development and administration of a valid and legally defensible examination. The certification examination shall be validated through a job-task analysis at an approximately five year interval, or as circumstances may warrant. Performance statistics shall be conducted at regular intervals and in an ongoing manner to ensure the consistent administration of fair, valid and reliable examination is occurring.

### 500.02 Examination Administration

The administration of the certification examination shall follow accepted industry standards in order to ensure fair and consistent administrations. The Commission may contract the administration of the examination to a testing vendor.

The certification examination is open for candidates to schedule based upon availability at Pearson VUE test centers. Once a candidate receives notification of eligibility to take the exam, the exam must be taken within 180 days, or the examination fee will be forfeited and the candidate will be required to reapply as a new applicant.

### 500.03 Language the Exam is Given In

The certification examination is initially given in English and all program materials are provided in English. Translation of the examination and program materials into other languages is allowable at the discretion of the Commission. Translation dictionaries and/or other translation aids are not permitted during test administration.

### 500.04 Registering for the SCTPP Examination

To register for the examination, candidates must first be authorized by certification personnel. Candidates are required to follow all registration requirements.

### 500.05 Rescheduling the SCTPP Examination and No Shows

Candidates may cancel a scheduled exam (by phone or online) without penalty up to 24 hours before their appointment. Candidates who do not give 24 hours' notice of cancellation or who do not show up for the exam appointment will be considered a no show. Candidates who show up late and are not admitted, fail to present adequate identification, or refuse to sign the Non-Disclosure Agreement will not be allowed to take the test and will be considered a no show. Candidates who are considered no shows will be required to pay an additional examination fee.

### 500.06 Canceling/Rescheduling the Exam Without Penalty

Circumstances which are considered grounds for an emergency cancellation or withdrawal of an examination without penalty include the following: 1) candidate illness; 2) family death; 3) jury duty; 4) military duty; or 5) state of emergency. Candidates who experience an acceptable emergency situation must request cancellation or withdrawal from the examination in writing via e-mail and shall include supporting documentation of the circumstances.

### 500.07 Authorization to Test

Only candidates who are authorized to test may take the certification examination. In order to be authorized, eligibility status must be granted. An eligibility acceptance e-mail is sent to candidates and shall contain proof of acceptance, a unique candidate ID number, contact information to schedule the exam, and additional information regarding the examination such as candidate identification requirements.

### 500.08 Candidate Identification

Candidates must check into the test center using one form of primary identification with a photo and signature, and a second form of identification. The name on the IDs must match exactly the name submitted on the application.

The following forms are accepted as primary ID:

- Government-issued driver's license
- State/national identification card
- Passport\*
- Military ID\*
- Alien registration card (green card, permanent resident visa)
- U.S. Passport card
- U.S. Dept. of State Driver's License

\*The primary ID must contain a photo and signature unless the signature is embedded in the identification. When this occurs the candidate must present another form of signature identification from the primary or secondary list.

The following forms are accepted as secondary ID:

- Any ID on the primary list
- Social Security card
- Credit/bank ATM card (signature required)

### 500.09 Granting Requests for Extensions

In certain limited circumstances, candidates may be provided extensions to examination scheduling deadlines. Such requests must be made via e-mail to certification personnel who shall consider such requests on a case by case basis and on the merits of the request.

### 500.10 Scoring the Certification Examination

The certification examination shall be criterion referenced. The Commission shall approve the minimum passing score for each examination based on an extensive psychometric profile of the examination. The final passing score for each examination form shall be established by a panel of subject-matter-experts using a criterion-referenced process to define the minimally acceptable level of competence. Results shall be reported as "pass" or "fail."

### 500.11 Issuing Score Reports

Score reports shall be issued on-site following completion of the examination. Candidates who fail the exam will receive diagnostic feedback regarding their performance on the exam.

### 500.12 Test Administration Monitoring

The administration of the examination shall be monitored for quality assurance purposes.

### 500.13 Cheating

The Commission shall maintain strict policies to safeguard the security of the examination. Any individual who removes, or attempts to remove, examination materials from the testing site, including memorizing examination questions, is subject to prosecution in addition to sanctions by the Commission. Sanctions may include removal of certification and restrictions on future access to the certification examination.

### 500.14 Passing the Written Examination

Only candidates who are successful on the written examination are eligible to be awarded certification.

### **500.15 Failing the Examination**

Candidates who fail the exam may retake it and must pay the retest fee each time. Candidates who fail may retake the exam an additional two times, but must do so within 180 days of the date of their failure notification. After a third failure, the candidate will be required to sit out 90 days and reapply as a new candidate and pay all applicable fees.

### **500.16 Challenging the Exam**

The Commission shall provide candidates with an opportunity to provide feedback on the examination content and procedures regarding:

- The technical accuracy of the examination.
- Fairness in the administration of the examination.

A candidate who has a concern about administrative procedures at a testing site or who has observed a breach of security or other improper conduct during a test should submit a report in writing to the certification personnel within five calendar days after taking the examination.

A candidate who has a question or a concern about the reliability, validity, and/or fairness of the test may submit the question or concern in writing to the certification personnel no later than five calendar days after taking the examination.

The Commission will not consider reports about improper test administration procedures or test content which exceeds the five day deadline for doing so, or are not submitted in writing.

### **500.17 Invalidating Scores**

The Commission is concerned with reporting only valid scores. On rare occasions, circumstances may invalidate exam scores. The Commission reserves the right to cancel or withhold exam scores if there is any reason to question their validity. The Commission may cancel or invalidate exam results if, upon investigation, violations of Commission policies have been committed.

Doubts may be raised about the validity of candidates' scores because of suspected misconduct; in such circumstances candidates will be notified of procedures to ensure fair treatment. Some scores may be rendered invalid due to circumstances beyond candidates' control, such as faulty exam materials or mistiming. In this event, retesting will be arranged at no additional cost to the candidate.

### **500.18 Special Accommodations**

The Commission complies with the Americans with Disabilities Act (ADA) and shall ensure no individual is deprived of the opportunity to take the certification examination solely by reason of a disability as defined under the ADA. Candidates must complete and submit the Request for Exam Special Accommodations Form and supporting documentation related to disability needs. The form and supporting documentation must be received with the application. Requests for special testing accommodations require documentation of a formally diagnosed and qualified disability by a qualified professional who has provided evaluation or treatment for the candidate.

### **500.19 Appeal of Denial of Request for Special Accommodations**

Candidates who are denied their request for Special Accommodations may file an appeal with the Appeals Committee in accordance with the policies of the Commission. The decision of the Appeals Committee is final.

### **500.20 Certification Employees Obtaining Certification**

SCTPP certification personnel who do not have exposure to the SCTPP Certification Examination (or related exam materials, content, etc.) are permitted to sit for the SCTPP Certification Examination and hold the SCTPP certification designation. SCTPP certification personnel must meet all SCTPP certification eligibility requirements and comply with Commission policies. Personnel who have access to any SCTPP Certification exam materials, content, etc., are excluded from sitting for the SCTPP Certification Examination for three years following exposure to examination content.

## 600.00 COMPLAINTS AND DISCIPLINE PROGRAM

### 600.01 Enforcement of the Code of Ethics

The Commission shall establish and enforce a Code of Ethics applicable to all certified individuals. All applicants, candidates and certified persons must agree to uphold and abide by the Code of Ethics as a condition of earning and maintaining certification.

### 600.02 Filing a Complaint

Any individual may file a complaint against a certified person. Only complaints that follow the published procedures of the Commission will be considered.

### 600.03 Disciplinary Procedures

In prosecuting its mission of establishing a credible certification program which ensures high standards of ethical and professional practice in transportation construction safety, the Commission shall establish and implement a Code of Ethics. The Commission requires certified persons to remain in good standing by complying with the tenets of the Code as a condition of earning and maintaining certification. As such, the Commission reserves the right to sanction certified persons found to be in violation of the Code, following the investigation of such complaints in accordance with its published procedures. The Commission shall make available upon request all decisions resulting in sanctions which shall include the name, certification, code violated and sanction imposed.

### 600.04 Due Process

The Commission respects and upholds the right of its certified persons to due process in circumstances in which a negative or adverse decision is made on the standing and status of the certified person. Due process shall apply in instances affecting an individual's ability to earn and maintain certification status.

## 700.00 RECERTIFICATION

### 700.01 Recertification Requirements

Certification is awarded for a period of three years. In order to remain certified, individuals must meet the recertification requirements. Certified persons must agree to continue to abide by and uphold the Code of Ethics and the policies of the Commission, which includes continued appropriate and authorized use of the certificate, logo, and marks. Certified persons must pay the current recertification fee. Recertification requirements are based upon the philosophy of continued competence, and as such, certified persons must meet the recertification requirements as determined and defined by the Commission. Credits applied toward meeting the recertification requirements must be completed during the certification cycle. Credits may not be carried over from one certification cycle to the next.

### 700.02 Reviewing Recertification Applications

All applications for recertification must be reviewed by qualified certification personnel. Applications must be filled out entirely, with complete and accurate information, prior to review. Payment must accompany the application. The agreement to uphold and abide by the Code of Ethics and the Policies of the Commission must be verified. The certified person must be notified within 15 business days of receipt of the application and approval of recertification status.

### 700.03 Denial of Recertification

Any applicant who does not meet the recertification requirements must be notified that their recertification has been denied within 15 business days of receipt of denial. The reasons for the denial shall be indicated.



#### **700.04 Appeal of Denial of Recertification**

Applicants who are denied recertification may request reconsideration of the decision of denial by making an Appeal to the Commission. Requests for an appeal must be made no later than 30 days after the applicant is denied. Within 60 days of the receipt of the written appeal, the Commission must conclude its deliberations. The decision of the Appeal is final.

#### **700.05 Auditing Recertification Applications**

Certification personnel shall audit 10% of recertification applications to verify attainment of reported recertification activities. Individuals whose application is subject to an audit will be notified by e-mail and will be required to submit supporting documentation. Failure to comply with an audit will stop the application process and the applicant will not be permitted to recertify. The certified person will not be permitted to appeal this decision and certification shall expire.

#### **700.06 Issuing Certificates**

A certificate with the dates of renewal is issued to certified persons upon successful completion of all recertification requirements. At a minimum, the certificate shall contain: the name of the certified person; a unique identification; the name of the certification body; the scope of the certification; and the effective date of certification and date of expiration.

#### **700.07 Extensions**

Certified persons may be granted an extension to meet all recertification requirements for a period not to exceed one year. Extensions are granted on a case-by-case basis and at the discretion of certification personnel. The certified person's original date of expiration will remain valid when the new certificate is issued. If the certified person does not recertify within the designated time period, certification will expire and the certified person's record shall be purged. If in the future the individual wishes to become certified, a new application will be required. All eligibility, examination and fee requirements shall apply.

#### **700.08 Recertification Fees**

Recertification fees are due at the time of submission of the recertification application and must be paid in full.

## **800.00 FEES AND REFUNDS**

#### **800.01 Other Fees**

The Commission reserves the right to assess additional fees for late applications, granting extensions, rescheduling an examination without a valid reason, incomplete applications and other circumstances it deems appropriate. All fees shall be published on the certification website.

#### **800.02 Issuing Additional Certificates**

The initial certificate is issued to certified persons free of charge. Certified persons requesting a duplicate certificate, or who request a new certificate due to name change, will be charged an administrative fee. The fee shall be published in the Candidate Handbook and on the website.

#### **800.03 Refunds**

Refunds are granted only for accepted circumstances for emergency cancellations or withdrawals from the certification process. Refunds are granted at the discretion of certification personnel. Refunds are not granted to candidates who forfeit or fail the examination.

## 900.00 PUBLICATION OF POLICIES

### 900.01 Publication of Policies

All policies affecting applicants, candidates and certified persons shall be published in the Candidate Handbook and on the website. It is the responsibility of each individual involved in the certification program to comply with the policies of the Commission.

## 1000.00 DEVELOPMENT AND MAINTENANCE OF CERTIFICATION EXAM

### 1000.01 Examination Committee

The Examination Committee shall have primary responsibility for the development and maintenance of the certification examination. The Examination Committee shall work in conjunction with psychometric experts to ensure the development and administration of a valid and reliable examination. The Examination Committee shall report at least annually the status of the certification examination to the Commission. The Examination Committee shall recommend changes to the certification examination and shall conduct all changes in accordance with psychometric industry standards for reliable and valid examinations.

### 1000.02 Qualifications of Subject Matter Experts

Examination Committee members, item writers, item reviewers and participants in the passing score and job analysis studies shall be selected based on their ability to make contributions in the areas of expertise they represent and the needs of the Commission. All Subject Matter Experts shall possess the ability to work within the guidelines set by the Commission and shall uphold the requirements of confidentiality, assignment and conflict-of-interest.

### 1000.03 Contracting for Psychometric Services

The Commission shall contract the services of qualified psychometricians and test developers to assure the development of a valid and legally defensible certification examination. Certification personnel shall monitor the delivery of all contracted services.

### 1000.04 Contracting for Test Administration Services

The Commission may retain the services of a testing vendor to assure the delivery of the certification examination. Certification personnel shall monitor the delivery of all contracted services.

### 1000.05 Conducting Validation Studies

The Commission shall validate the examination as necessary, as circumstances may warrant, and no less than every five years. Validation studies shall follow acceptable industry standards.

### 1000.06 Item Analysis and Examination Performance Reports

The Commission shall maintain a valid and reliable certification examination substantiated by reports of examination and item performance.

### 1000.07 Confidentiality of Examination Data

Official statistics regarding the certification examination, including all performance data, individual and demographic group data will be considered confidential unless officially released by the Commission.

Archives of statistics shall be maintained by the test development company in a secure manner. Members of the Examination Committee and other authorized personnel will be provided with copies of statistics for performance review purposes only. Under no circumstances shall a member of the Examination Committee or



other authorized personnel retain copies of statistics not officially released by the Commission.

Statistics will be maintained by the test development company for the duration of its contract with the Commission. Statistical information is considered proprietary information and the property of the Commission.

### **1000.08 Establishing the Passing Score**

The passing score for the certification examination shall be determined utilizing an acceptable methodology. A passing score study shall be conducted following the validation study of the certification examination, or if item review or performance data warrant such a study. Scores shall be reported as pass or fail status. The raw score shall not be disclosed to the candidate.

## **1100.00 DEVELOPMENT OF DOCUMENTS**

### **1100.01 Development of Documents**

The Commission shall develop and revise its documents in order to ensure ongoing conformity with best practices. Documents that are developed and revised shall include the policies and procedures required to efficiently and effectively administer and operate the certification program. It is the responsibility of certification personnel to ensure that appropriate and necessary documents are developed, revised, implemented and adhered to.

### **1100.02 Maintenance of Documents**

Certification personnel shall maintain an accurate and current record of all certification documents including, but not limited to: policies and procedures; information available to candidates; information related to the development and maintenance of the examination; information related to the administration of the examination; committee responsibilities; Subject Matter Experts; and staff related documents. Certification personnel shall maintain a record of all current and relevant documents of the certification program. The Policy Manual shall be updated as changes occur and reviewed periodically for currency and relevance. Certification personnel shall maintain a tracking system for document maintenance which includes the date a document was most recently revised. Minimally all master documents shall be maintained electronically in the restricted database of the certification office. Publicly available documents are maintained on the certification website.

### **1100.03 Implementation of Policies and Procedures**

The Commission shall assure the policies and procedures related to the operation and administration of the certification program are implemented. Certification personnel shall have the primary responsibility for assuring policies are adhered to, and updated as necessary. Certification personnel shall report to the Chair of the Commission any required revisions to existing policies or the need to develop new policies, and shall provide supporting documentation for such actions. Certification personnel shall have authority over the implementation of the procedures required to implement the policies of the certification program.

### **1100.04 Internal Audit**

At least annually, an internal audit of the certification program shall be conducted by an individual not involved in the administration of the certification program. The internal audit shall address all aspects of International Standard ISO/IEC 17024 and the management system, and shall include corrective and preventive actions, as well as review and sign-off by top management.

### **1100.05 Management System Review**

Annually, certification personnel shall conduct a review of the management system to assure that the stated policies and procedures relate to the fulfillment of accreditation requirements. Management review shall include documents and procedures associated with review input, as well as decisions and outcomes in the form of review output. Findings from the Management Review shall be reported to Top Management. Following each management review, the results will be communicated to all certification personnel.

### **1100.06 Accuracy of Materials**

The certification staff and commissioners will ensure all materials and information created by them—including advertising—are accurate.

## 1200.00 RECORDS

### 1200.01 Record Retention

The records of the Certification Program and the Commission shall be maintained according to the following record retention policy.

#### Retention—Corporate Records

Annual Reports	Permanently
Contracts (generally)	10 Years
Minutes (Committees with Authority)	Permanently
Reorganization Records	Permanently

#### Retention—Miscellaneous Legal

Claims and Litigation Files	Permanently
Copyright and Trademark Registrations	Permanently

#### Retention—General

Correspondence (routine) with Certified persons, Vendors, etc. (generally)	4 Years
Correspondence, Internal (generally)	2 Years
Correspondence (legal and important matters only)	Permanently
Meetings-Related Documents (generally)	3 Years
Applications and Related Documents	2 Years or 1 cycle
Re-certification Applications and Related Documents	2 years or 1 cycle
Disciplinary Proceedings	Permanently
Newsletters and Similar Publications (generally)	1 Year
Score Reports—Test scores for all candidates are maintained permanently in a secure electronic format indefinitely, in physical files for five (5) years.	5 years (physical documents) Permanently (electronic files)
Studies/Reports/Research Results (generally)	3 Years
Supporting Correspondence and Notes, re: Copyrights, Trademarks, Licenses, Agreements, Bills of Sale, Permits, etc.	Greater of “Life of Principal Document which It Supports” or 3 Years

### 1200.02 Document Security

The architecture and information technology infrastructure for storing electronic data must prevent against unauthorized access. All paper certification documents must remain in locked cabinets, shelving, or restricted storage facilities when not in use by authorized personnel. All certification staff must sign and abide by Non-Disclosure Agreements. All electronic files shall be password protected.

### 1200.03 Document destruction

All paper documents that are destroyed must be shredded. When maintenance of a record is no longer required, records shall be destroyed in a confidential manner.

### 1200.04 Access to Records

All access to certification documents are restricted to certification personnel who have agreed to the terms of confidentiality and non-disclosure. If certification documents are required by an unauthorized individual, approval will be required by the certification personnel. Hard copies of certification documents may not be removed from the certification office without prior authorization by the authorized personnel. New employees to the certification program must be trained in matters of confidentiality and proper handling of certification information. Electronic records must be stored in a secure file with access restricted to authorized personnel.

**1200.05 Record Storage**

All certification records shall remain in secure storage areas unless prior authorization is granted for their removal.

## 1300.00 CONFIDENTIALITY

**1300.01 Confidentiality**

Information regarding the status of an applicant or candidate will only be discussed with the applicant or candidate or their legal representative. Certification personnel may release information regarding a candidate's performance on the certification examination to an employer or entity only with written permission from the candidate. Certification personnel shall release upon request the name and certification status of certified persons.

## 1400.00 SECURITY

**1400.01 Security**

The Commission and its agents shall ensure the security of the operations of the certification program and its intellectual property. All certification personnel shall abide by the security policies and procedures. At a minimum, the policies shall address the following administrative and operational functions of the certification program:

- All physical facilities shall be maintained in a secure fashion, including restricted access, security monitoring, identification and limited access to specific areas.
- All electronic and information systems shall be maintained and stored in a secure manner, including the storing and transmitting of program testing information on servers, disks, contractor hardware, testing sites or other sites. Transmission of examination information must ensure protection and access to such information shall be restricted to authorized personnel.
- All employed and volunteer personnel shall uphold the security and confidentiality requirements of the certification program. Failure to do so may result in termination of employment or service. Non-Disclosure Agreements must be signed as a condition of employment and service.
- Security procedures must be implemented for all test administration activities and shall include candidate intake, physical security of test sites, administration of examination, and reporting any security breaches or failure to comply with security requirements.
- Security procedures must be implemented to ensure test scores and other results are protected during electronic or other transmission.
- All test development and maintenance activities shall be conducted in a secure environment and shall ensure the security of information during electronic or other transit. Access to item pools, examination forms, cut score and performance statistics shall be limited to authorized personnel.
- All examinations shall be stored in a secure environment with access restricted to authorized personnel.
- Examinations shall be designed to limit item exposure, discourage memorization and sharing of test content to reduce opportunities for cheating as much as possible.
- The Commission shall review and update its security plan at least annually or as needed.

### **1400.02 Security Requirements for Certification Office**

The certification program shall be administered from a secure office at all times. The following items shall be secure at all times:

- Certification staff offices when unoccupied by authorized certification personnel.
- Certification electronic records which shall have access restricted to authorized personnel only, with password protection. Computer screens, monitors and other electronic equipment such as dedicated printers shall be secure when unoccupied.
- Certification hard copy files shall remain locked in a secure cabinet and stored in a secure location with restricted access. Off-site storage shall be secure at all times.

### **1400.03 Examination Security Protocols**

- Examinations shall be administered in a secure environment.
- Scoring information is limited electronically to certification personnel and support staff as minimally required, covered with Non-Disclosure Agreements for each.
- Sensitive documents are shredded for periodic purging in a secure manner.
- Confidential information such as test questions and examination forms will remain in a secure location with restricted access.
- Testing is limited to two retests. Candidates who fail after three attempts must wait a period of two test windows and reapply as a new candidate.
- Any readers or interpreters that may be needed are arranged by authorized personnel and will be from a reputable company, certified and bonded.
- During test administration, no personal items are allowed in the testing area itself.
- During test administration, test proctors will monitor individuals for body-language or other signs of “cheating” during the exam and follow up as policies indicate.
- Washroom breaks will be monitored during testing.
- Monthly, certification personnel monitor the internet and popular chat rooms to determine if there is inappropriate information regarding exams and/or possible security breaches. A report will be submitted to the Chair of the Commission regarding the extent of the search and any findings. At the same time potential violations of trademarks and copyrights will be reported to the Chair of the Commission and certification personnel.

## 1500.00 USE OF CERTIFICATES, LOGOS/TRADEMARKS

### 1500.01 Trademarks and Copyrights

The certification marks will be submitted to the U.S. Patent and Trade Office for registration. All examination materials and publications relating to certification are copyrighted. The trademarks and copyrights are protected under U.S. and international law and unauthorized uses of these marks or copyrights are prohibited.

The Commission shall support the registration and trademark of additional certification designations and related materials.

### 1500.02 Authorized and Appropriate use of the SCTPP Designation

The Commission encourages the authorized use of the certification marks. Certified persons who wish to use the designation may do so in the following manner:

John Doe, SCTPP  
John Doe, Safety Certified Transportation Project Professional™

Certified persons are permitted to use the designation in the above manner, on business cards, letterhead, and within written guidelines. Authorized use requirements of the designation shall be sent to newly certified individuals with the certificate.

### 1500.03 Monitoring and Enforcing Appropriate Use

As a matter of policy, the Commission shall take a proactive approach to the protection of the certification logo and marks. The Commission shall have by resolution from the Foundation Board specific authority over the credentials.

# APPENDIX A

## COMPLAINTS & DISCIPLINARY PROCEDURES

### I. OVERVIEW

Individuals awarded the Safety Certification for Transportation Project Professionals™ (SCTPP) are expected to act in an ethical manner in accordance with the SCTPP Code of Ethics. The Certification Commission (“Commission”) recognizes its responsibility to maintain the integrity of the credential(s) which it administers. The Commission accepts that, from time to time, the good of the profession may require it to take action against a SCTPP certified person, upon receipt, investigation, and finding of a violation(s) of the Code of Ethics.

This procedure describes the steps to be taken when complaints are presented. By publishing this procedure, the Commission does not expect, invite, solicit or encourage such complaints. The use of these procedures is for the sole purpose of protecting the reputation of the certification program, the industry and stakeholders it serves, and the individuals awarded certification.

The Commission will consider only complaints that specify the part(s) of the Code of Ethics that has allegedly been violated.

#### Complaint

1. All complaints must be in writing and signed by the complainant(s) and only information submitted in writing and signed will be considered.
2. At a minimum, the complaint should specify the alleged inappropriate behavior referencing the specific section of the Code of Ethics allegedly violated, the nature of the complaint and any corroborating evidence.

#### Actions

1. The Chair of the Commission shall appoint the Chair of the Ethics and Discipline Committee.
2. All complaints shall be reviewed by the certification administrator, who will determine if the complaint is valid and actionable. Valid and actionable complaints will be forwarded to the Chair of the Ethics and Discipline Committee.
3. Complaints not deemed valid and actionable will be returned to the complainant with written notice stating the deficiencies of the complaint.
4. Complaints deemed valid and actionable will be investigated.

### II. PURPOSE, RESPONSIBILITIES AND OBJECTIVES OF THE ETHICS AND DISCIPLINE COMMITTEE

The purpose of the Ethics and Discipline Committee is to assure that issues regarding the practice and conduct of certified persons is fairly and reasonably investigated and determined, and to protect the public against unprofessional and unethical conduct by certified person. The Committee’s primary objective is to enforce the Code of Ethics of the Commission in accordance with its policies and procedures. It is the Committee’s responsibility to follow the procedures for investigating and disposing of complaints as set forth below.

### Enforce Code of Ethics

The Ethics and Discipline Committee shall receive and review complaints of ethical violations and report findings and recommendations for action, including sanctions and dismissal of complaint, to the Commission.

### Scope of Authority

The Ethics and Discipline Committee shall investigate complaints filed against a certified person who is certified at the time the complaint is filed and decide the complaint.

### Composition

The Ethics and Discipline Committee Chair shall be appointed by the Chair of the Commission and shall not vote on the disposition of the complaint except in circumstances in which there is a tie. The Ethics and Discipline Committee Chair shall be authorized to participate in the discussion and deliberation of the complaint. The Chair shall convene required meetings, follow the progress of the investigation, and report findings to the Commission.

The Ethics and Discipline Committee Chair shall appoint to the Ethics and Discipline Committee a minimum of three (3) certified persons in good standing or other qualified individuals who are not members of the Commission.

## III. PROCEDURES: ETHICS AND DISCIPLINE COMMITTEE

The Ethics and Discipline Committee shall have the power to investigate all alleged violations of the Code of Ethics. The Committee is obligated to investigate only complaints which are valid and actionable. If, during the investigation, the Committee determines that there may be additional violations, the Committee may investigate and reach appropriate findings regarding such additional violations. The reporting of a criminal conviction resulting in a misdemeanor or felony will automatically trigger the conduct of an investigation.

All information disclosed to the Ethics and Discipline Committee shall remain confidential except during circumstances in which the Committee is required to disclose such information when compelled by a validly issued subpoena required by law or to parties essential to the investigation. A file of materials related to the investigation shall be maintained by the Certification staff in a secure location and accessible only to authorized individuals. Upon the closing of each investigation, the Committee shall return to the certification administrator all materials reviewed for disposition of the complaint. The Certification Department shall maintain a file consisting of one copy of all documents related to the investigation. Additional copies of documents shall be disposed of in a confidential manner.

### Timeline

The timelines set forth below shall be guidelines and as such may be shortened or extended at the Ethics and Discipline Committee's discretion, depending on the circumstances of each proceeding. Commission.

### Disciplinary Procedures

**Initial Consideration:** Within 45 days after receiving a complaint, the certification administrator shall determine whether sufficient information exists to proceed with a formal investigation. The investigation shall not proceed without first having received the complainant's acknowledgement and consent that all information disclosed in the complaint will be disclosed to the certified person and others pursuant to the investigation. If the complainant does not consent to the disclosure of all information, the complaint shall be dismissed.

**Notification of Formal Investigation:** If it is determined that a formal investigation is warranted, the Ethics and Discipline Committee Chair shall be notified to begin the investigation. Within 30 days of notification of a formal investigation, the Ethics and Discipline Committee Chair shall send written notification to the



complainant and the certified person regarding the conduct of the investigation. Such notification shall include the complaint and a description of the alleged behaviors involved in the complaint, including the specific sections of the Code of Ethics that are alleged to have been violated. The Chair's notification shall include a request that the certified person respond to the allegations within 30 days from the date of notification. The Chair's notification shall include the name of the complainant, unless the committee has proceeded on its own initiative. The Chair's notification shall be sent by certified mail, return receipt requested.

**Response to Complaint:** The certified person's response to the complaint shall be in writing and shall contain complete information concerning the complaint. The certified person's failure to respond to the complaint or lack of cooperation shall not prevent the continuation of the investigation as the Committee deems appropriate.

**Investigation:** The Ethics and Discipline Committee shall conduct its investigation by collecting information, conducting phone inquiries or any other appropriate means of inquiry. If after receipt of the certified person's response the Committee determines that additional information is warranted by either or both parties, or from any third parties, the parties shall be notified and shall submit the additional information within 30 days from the date of the Committee's request for additional information. The Ethics and Discipline Committee may, at its discretion, convene individuals with expertise in the matter of the complaint to participate in the investigation.

**Disposition of Complaint:** If the Ethics and Discipline Committee concludes that some type of action is warranted, it shall adopt any one or more of the following sanctions or take any other appropriate action:

1. Notify all parties, in writing, that based on the investigation, no action is warranted against the certified person and dismiss the complaint;
2. Require that the certified person cease and desist the alleged conduct;
3. Reprimand the certified person in writing;
4. Require corrective actions be taken;
5. Refer the matter to a national, regional, state or local professional association;
6. Suspend the certified person's certification status for an appropriate period of time, including permanently;
7. Revoke the certified person's credential(s);
8. Prohibit approval of application for addition credentials; and
9. Take any other action that is warranted under the circumstances.

Any action taken against a certified person shall become part of the certified person's record, which record shall be considered during any future consideration regarding the certified person's certification status.

**Report to the Certification Commission:** The Ethics and Discipline Committee Chair shall provide written notification to the Commission within 30 days of determination of the complaint. The Commission shall review the findings of the investigation within 30 days of its receipt of the findings and shall uphold the determination of the Ethics and Discipline Committee, unless evidence warrants further investigation, in which case the investigation shall continue, or unless the Commission has evidence that the Ethics and Discipline Committee has acted erroneously, or in an arbitrary or capricious manner.

**Notification and Publication of Sanction:** The Ethics and Discipline Committee Chair shall notify the complainant and the certified person of the committee's findings and determination within 30 days from the date of the decision of the Commission. The Chair shall report the name(s) of the sanctioned person and the violation of the Code of Ethics as determined by the Ethics and Discipline Committee. Pending request of an appeal, such information shall be published on the certification program website, and any other appropriate locations as reasonably determined by the Ethics and Discipline Committee. Upon request, the Certification Commission Chair shall provide such report to any interested person or public agency deemed necessary to protect the public.

**Appeal:** The certified person shall have 30 days from the date of the Chair's notification to request an appeal of the Committee's findings. In such an event, the Director of Certification shall notify the Commission that an appeal has been filed.



**Information Included in Appeal:** The certified person's appeal of the decision must be made in writing and must be mailed by certified mail, return receipt requested, to the certification administrator. The certified person shall state the specific grounds why the appeal should be considered. The certified person may not present, include, or rely on facts that were not presented in the proceedings.

**Appeals Hearing:** In the event that the certified person timely and properly appeals the decision, the Commission shall appoint an Appeals Panel that shall consist of individuals who were not a part of the decision, and who are qualified to serve on the panel. The certification administrator shall notify the certified person of the date and location of the appeal hearing. The appeal hearing must be scheduled as soon as possible after the Commission's receipt of notification of appeal. The appeal shall be heard and conducted at ARTBA headquarters or another mutually agreed upon location. The certified person shall pay for his or her expenses. The certified person shall have the right to bring his or her own attorney to the hearing, but in no event shall counsel be allowed to provide testimony in lieu of, or on behalf of the certified person. The hearing shall be closed to third parties with the exception of any witnesses, experts, consultants and legal counsel. The Appeals Panel may exclude any individual(s) from the hearing at any time at its discretion, with the exception of the certified person and his/her legal counsel, if any, who shall be entitled to be present at all times. The Appeals Panel shall consider all available evidence presented to the Ethics and Discipline Committee, which formed the basis for the Committee's determination, and such other evidence as it may, in its discretion, deem appropriate. The appeal hearing shall be recorded by a court recorder and a formal record of the proceeding shall be filed by the certification staff.

**Appeals Panel's Decision:** The Appeals Panel shall only overrule the Ethics and Discipline Committee's recommendations and conclusions in the event of the following:

1. The Code of Ethics were incorrectly applied;
2. The findings of facts by the Committee were clearly erroneous, arbitrary or capricious; and/or
3. The disciplinary sanctions recommend by the Committee were grossly disproportionate to the facts surrounding the violation.

The Appeals Panel's decision shall be final.

**Notification Publication of Sanction:** Within 30 days from the appeal hearing, the certification administrator shall notify the complainant and the certified person in writing of the decision. The certification administrator shall report the name(s) of the sanctioned person and the violation of the Code of Ethics as determined by the Committee and upheld by the Appeals Panel. Such information shall be included on the certification website, and any other appropriate locations as reasonably determined by the Ethics and Discipline Committee. Upon request, the Commission shall provide such report to any interested person or public agency deemed necessary to protect the public.

**Close of Case:** Once the final decision has been made, the matter shall be closed and the files shall be retained in the certification office. Committee members and other individuals involved in the investigation shall return all information received during the investigation to the certification administrator, where one set of records shall be maintained and the remainder destroyed.

# ELIGIBILITY REQUIREMENTS

Candidates for the Safety Certification for Transportation Project Professionals™ must meet one of the following eligibility requirements:

## Option 1

1. Three years' full-time or equivalent experience\* in transportation construction industry. Transportation construction is occupational experience that includes but is not limited to construction of highways, roads, bridges, airports, rail systems, tunnels, utilities and ports.
2. Completion of an OSHA-10, OSHA-30, OSHA-500 OR OSHA-510 course or equivalent†. Candidates who hold the designations of Construction Health and Safety Technician (CHST); Certified Safety Professional (CSP); or Associate Safety Professional (ASP) as awarded by the Board of Certified Safety Professionals, may substitute any of these credentials in lieu of the listed OSHA courses.

## Option 2

1. Bachelor's degree in engineering or construction management with two years' experience\* in transportation construction industry. Experience must be within five years of applying for certification.
2. Completion of an OSHA-10, OSHA-30, OSHA-500 or OSHA-510 course.

## Option 3

1. Associate or technical degree in safety with two years' experience in transportation construction industry\*. Experience must be within five years of applying for certification.

\* Experience is defined as a job classification including, but not limited to, laborer, skilled labor, operator, foreperson, superintendent, project manager, construction manager, engineer, safety professional, risk manager, inspector, surveyor, or estimator. Internships qualify as experience.

† Candidates who hold the designations of Construction Health and Safety Technician (CHST); Certified Safety Professional (CSP); or Associate Safety Professional (ASP) as awarded by the Board of Certified Safety Professionals, may substitute any of these credentials in lieu of the listed OSHA courses.

For a course to be equated to OSHA courses, it must meet the following criteria:

1. At least 10 hours of classroom instructional time;
2. Instruction must include a minimum number of hours on the following topics:
  - a. Falls – 1.5 hours
  - b. Electrocution – 1 hour
  - c. Struck-by – 1.5 hours
  - d. Caught-In – 1 hour.
  - e. Topics for the remaining five (5) hours must align with items designated on the Exam Blueprint.
3. Courses must be developed and taught by a government entity, accredited college or university, national trade association or labor union.
4. Evidence of course completion must be submitted. Acceptable forms of evidence include training sign-in sheets, certificates of completion and employment records. All evidential documentation must be signed and certified by the training provider, employer or other person other than the candidate.

# RECERTIFICATION REQUIREMENTS

Thirty points (30) must be earned within the recertification cycle, with 1 point = 1 hour of activity. Certification is awarded for a period of three years; transportation project professionals must recertify every three years.

The following are recertification requirements:

1. Mandatory work experience\*: work at least two years total within the certification cycle

AND

2. Complete 30 points from training in safety and in the following categories related to the competency requirements of the transportation project professional:

At least 5 points in each of the following areas:

Management skills

Maintenance of traffic/temporary traffic control and roadway users

Transportation construction safety and health

At least 5 points (combined) in the following areas:

Incident investigation and corrective measures

Emergency preparedness and management

OR

3. Take the certification exam: awarded 30 points for passing.

AND

4. Agree to abide by and uphold the Code of Ethics.

\*Experience is defined as a job classification including, but not limited to, laborer, skilled labor, operator, forepersons, superintendent, project manager, construction manager, engineer, safety professional, risk manager, inspector, surveyor, or estimator. Internships qualify as experience.

# CODE OF ETHICS

The Code of Ethics of the Certification Commission requires certified persons to uphold the rules and requirements for Safety Certification for Transportation Project Professionals™ (SCTPP). The Code of Ethics allows for the proper discharge of the responsibilities of those they serve, and for the protection and integrity of the credential. Agreement to uphold and abide by the Code of Ethics is a requirement for earning and maintaining SCTPP certification. Implicit in this agreement is an obligation not only to comply with the mandates and requirements of all applicable laws and regulations, but to act in an ethical manner in all professional services and activities. Certified persons who fail to comply with the Code of Ethics are subject to disciplinary procedures which may result in sanctions, including but not limited to revocation of certification status. The Code of Ethics is not set forth to determine behaviors resulting in criminal or civil liability, nor are they intended to resolve matters of market competition.

As a safety certified transportation project professional™, I agree to uphold and abide by the following tenets:

1. Perform duties in a safe, ethical and competent manner.
2. Provide complete and accurate information when applying for certification and recertification.
3. Represent qualifications with honesty and integrity.
4. Abide by and uphold the policies of the Certification Commission.
5. Use the logo and certification marks only in an authorized and approved manner.
6. Pay all fees and provide information required by the Certification Commission.

The following sanctions may be imposed for failure to abide by the code of ethics. The sanction shall be based on the severity of the violation, and shall include, but not be limited to:

- Cease and Desist
- Written reprimand
- Written reprimand with remediation
- Censure
- Suspension
- Revocation
- Permanent revocation

In addition to imposing sanctions, ARTBA Foundation shall have the authority to report sanctions to legal and regulatory authorities, and other credentialing organizations as appropriate.

## APPENDIX B

# NOMINATING COMMITTEE AND PROCEDURES

### I. PURPOSE AND RESPONSIBILITIES OF THE NOMINATING COMMITTEE

The purpose of the Nominating Committee is to assure the nomination process and election of candidates to the Certification Commission (“Commission”) is conducted. A minimum of three individuals shall serve on the Nominating Committee. One individual shall be appointed as Chair.

The Nominating Committee shall have the following duties and responsibilities:

1. Ensure the nominating and election process is followed according to the policies and procedures, including conflict of interest, of the Commission;
2. Determine the category of Commissioner for service;
3. Determine the qualification requirements;
4. Establish a timeline of activities;
5. Issue a call for candidates;
6. Review candidate information;
7. Establish a slate of candidates;
8. Interview candidates;
9. Develop the official ballot;
10. Disseminate the official ballot with candidate profiles;
11. Prepare the election packet;
12. Supervise the ballot counting; and
13. Prepare and deliver the election results.

Members of the Nominating Committee shall meet the following qualifications:

- Must not currently be serving as a Director on the ARTBA Board or on any other standing committee of the Board;
- Must possess an understanding of the role and responsibilities of the Commission and the responsibilities of individual committee members;
- Must understand the leadership requirements of the Commission as well as industry knowledge required;
- Must understand the democratic process of identifying and electing leadership and be familiar with the policies and procedures of the Commission;
- Must understand the mission and purpose of the certification program;
- Must possess a broad understanding of the stakeholder groups represented by the credential in the field;
- Must be fair, unbiased and free of influence at every stage of the nomination process;
- Must be judicious and prudent in the exercise of all decisions and in conducting the nominations process; and
- Must follow the written procedures for soliciting nominations and conducting an election.

## II. SELECTION OF CANDIDATES

The Nominating Committee shall issue a “Call for Candidates,” which shall include the following information:

1. A description of the duties and responsibilities of the Commission and the category of Commissioner open for service;
2. The term of service;
3. Meeting attendance requirements;
4. Requirements for executing fiduciary responsibilities;
5. Requirements for avoiding conflicts of interest;
6. Requirements to uphold the policies and procedures of the certification program; and
7. Published deadlines for the nominations and election process.

The Call for Candidates will include a Candidate Statement of Interest to Serve. All interested parties are required to include, at a minimum, the following information in their statements:

- Name and contact information;
- Expiration date of certificate (once enough individuals become certified and those positions are sought);
- A statement declaring good-standing status, or a pledge to bring his/her status up to good standing (once enough individuals become certified and those positions are sought);
- Areas of expertise;
- Demographic information, including employment setting, experience in transportation construction and transportation construction safety, education/training, number of years working in transportation construction and other safety and related experience;
- A description of leadership and volunteer experience with ARTBA or other entities;
- Expertise in any specific areas the Commission may deem necessary and desirable; the Commission from time to time may need to fill positions with a director(s) possessing specific skills or expertise, for example, in the event a new credential or program is being developed and no resident experience exists;
- A statement that no sanctions have been imposed and no investigation is pending on the individual, if certified; and
- Complete the Candidate Biography and Statement of Interest to Serve per published requirements.

Once enough individuals have become certified, the following will apply: Candidates may be nominated by any certificate holder in good standing with the ARTBA certification program. In addition to the nomination by certificate holders in good standing, any certificate holder in good standing may nominate him or herself. All nominees must complete the Candidate Information Requirements and meet all published deadlines. All candidate information must be submitted to the Chair of the Nominating Committee, addressed to the certification administrator.

(See also V. Requirements for Nominees, below.)

### III. ELECTION PACKET

The Election Packet shall contain the following (assumes electronic voting):

1. An explanation of how to vote; and
2. Candidate information provided for voters:
  - Candidates listed in alphabetical order;
  - Biographical information provided by the Candidate per requirements; and
  - Candidate Interest to Serve Statement.

### IV. NOMINATIONS, BALLOT AND ELECTION PROCEDURES

For each election, the following procedures are administered. The certification administrator supports the duties of the Nominating Committee by implementing the following procedures in accordance with the predetermined schedule:

1. At the direction of the Nominating Committee, send out instructions and solicitation for nominations.
2. Certification administrator collects materials.
3. Materials forwarded to Nominating Committee for review.
4. Conference call for Nominating Committee to review materials for compliance with published requirements.
5. Develop Candidate biography, with approval of candidates.
6. Draft ballot sent out to Nominating Committee for approval.
7. Ballots with cover letter from Nominating Committee, and Candidate information e-mailed to Commissioners. Due date specified.
8. The Nominating Committee Chair shall serve as the Supervisor of Elections who will review all ballots for conformance with deadlines, information requirements, and number of candidates voted for. Improperly completed ballots are disqualified. The Supervisor shall count and record the vote tally against the candidate's name. Disqualified ballots are reported, but not counted in the results. The results are tabulated showing the total votes cast, the candidate's name and the number of votes received.
9. The Supervisor sends the finalized Election Results report via email to the Commission Chair and members of the Nominating Committee.
10. The Commission Chair announces the election results to the Commission and ARTBA Board of Directors.
11. Nominating Committee sends congratulations letters to elected individuals.
12. Nominating Committee sends thank you letters to candidates not elected.
13. General announcement of elected Commissioners is published to the certificant population via electronic medium.

#### **Election Report**

The Election Report shall include the following:

- Total number of ballots cast;
- Number of invalid ballots; and
- A list of all candidates showing the number of votes each received and which candidates are elected.

### Appeal of Election

Candidates may appeal the result of the election by writing to the Nominating Chair Committee within 30 days of the official count of the ballots. Grounds for requesting an appeal must be based on matters of process, and must, therefore, provide evidence that the published nominations process was not followed. Appeals may not be based on personal opinion about individual candidates.

### Destruction of Ballots

Following the period of time required for an Appeal of Election, all ballots will be destroyed.

## V. REQUIREMENTS FOR NOMINEES

### a) Candidate Information

In an effort to provide information to assist the Nominating Committee in selecting candidates and presenting information to Commissioners for voting, nominees are required to provide biographical and demographic information. The Nominating Committee will publish candidate biographical and demographic information and the candidate Statement of Interest to serve with the official ballot. Candidates will be required to review this information prior to it being published as part of the election ballot.

The biography should include experience, education, employment history, and other relevant background information. The biography must conform to the following rules:

1. Submitted in typewritten form via e-mail.
2. Must not exceed 250 words. Only the first 250 words will be published.
3. Must be signed by the nominee, attesting to the accuracy of the information provided.

### b) Statement of Interest

Nominees must provide a written statement which should indicate the purpose of their candidacy, a description of their qualifications, and list of relevant accomplishments. The statement shall conform to the following rules:

1. Must be submitted in typewritten form via e-mail.
2. Must not exceed 200 words. Only the first 200 words will be published.
3. Must be signed by the nominee, attesting to the accuracy of the information provided.

The certification administrator will distribute this information along with the Official Ballot to Commissioners once the ballot has been approved by the Nominating Committee.



## VI. TYPICAL DUTIES OF THE CERTIFICATION COMMISSION

- Attend all meetings and perform all assignments and other duties as required.
- Understand the mission and purpose of the certification program.
- Reading, understanding and complying with the certification program policies and procedures and governance documents.
- Act in a professional manner, adhering to the Certification Code of Ethics if certified, and the Volunteer Code of Conduct.
- Respect the confidentiality of written and verbal communications, and shall maintain the confidentiality of documents and information they receive in the course of their service.
- Sign a Non-Disclosure Agreement and Conflict-of-Interest Statement as a condition of service.
- Avoid personal and professional conflicts of interest; if at some point a conflict of interest arises, the individual shall inform the Commission Chair.
- Understand and accept their fiduciary responsibility.
- Not speak or act for the Certification Commission without proper authorization.
- Publicly support all final decisions once made by the Commission.
- Act fairly and be impartial in their role on behalf of and in service to the certification program and the public it serves.

# ELIGIBILITY COMMITTEE

## I. RESPONSIBILITIES

The Eligibility Committee is responsible for reviewing denials or unusual circumstances associated with interpreting eligibility requirements for the Safety Certification for Transportation Project Professionals™ (SCTPP) examination and earning certification, and for making recommendations to the Certification Commission regarding the relevance and purposes of the eligibility criteria. The certification staff shall manage the day-to-day activities of conducting eligibility reviews and shall assist the Eligibility Committee in performing its functions. The Committee shall have the following duties and responsibilities:

1. Review applications for the SCTPP credential that require special consideration as related to an applicant documenting compliance with the eligibility criteria.
2. Report any trends or common areas of non-compliance with the eligibility criteria to the Certification Commission.
3. Make recommendations for revisions to the eligibility criteria and/or policies and procedures.
4. As additional credentials are developed, or as the SCTPP credential is revalidated, assure the eligibility criteria are current, relevant and reflective of any changes to the credential's requirements.
5. Complete all duties as assigned.

## II. POLICIES

The Committee shall be responsible for implementing the following policies of the Certification Commission:

1. Establishing the eligibility requirements;
2. When to review the eligibility requirements for currency and relevance to the certification exam and application requirements;
3. Denial of eligibility;
4. Confidentiality of applicant information;
5. Meeting attendance and participation; and
6. Length of term of service.

## III. STATEMENT OF QUALIFICATIONS AND AREAS OF EXPERTISE REQUIRED FOR SERVICE

Members of the Committee shall:

1. Collectively represent the stakeholders utilizing the credential, shall have a wide range of experiences in the transportation construction field, transportation construction safety, and shall be familiar with the requirements of the certification program.
2. Represent the range of years of professional experience typical of the applicant population.
3. Represent the geographic and employment demographics reflective of the certificant/stakeholder population.
4. Have an understanding of the competency requirements of the examination and the relationship of the eligibility requirements to the examination.
5. Articulate and provide evidence to support denials of eligibility.
6. Commit the time and resources required to perform their functions.

# ETHICS AND DISCIPLINE COMMITTEE

## I. RESPONSIBILITIES

The Ethics and Discipline Committee is designed to assure that issues regarding a certified person's practice and conduct are fairly and reasonably investigated and determined and to protect the public against unprofessional and unethical conduct by certified persons. The Committee's primary objective is to enforce the Code of Ethics in accordance with the certification program's policies and procedures. It is the Committee's responsibility to follow the procedures for investigating and disposing of complaints as set forth by the Certification Commission.

The Committee shall have the following duties:

1. Receive and review complaints of ethical violations;
2. Conduct investigations in accordance with established procedures;
3. Make recommendations for action, including sanctions and dismissal of complaint, to the Certification Commission;
4. Recommend revisions to the Code of Ethics;
5. Recommend changes in policies or procedures as required; and
6. Complete all duties as assigned.

## II. POLICIES

The Committee shall be responsible for implementing the following policies of the certification program:

1. Appointment to the Committee;
2. Conducting investigations;
3. Confidentiality such as the requirements for handling property associated with the investigation and other confidential information;
4. Conflict of Interest; and
5. Meeting attendance and participation.

## III. STATEMENT OF QUALIFICATIONS AND AREAS OF EXPERTISE REQUIRED FOR SERVICE

Members of the Committee shall:

1. Collectively represent the stakeholders utilizing the credential, shall have a wide range of experiences in the industry/field, and shall be familiar with the requirements of the certification program.
2. Have an understanding of the Code of Ethics and its application.
3. Attend and complete training programs/orientation offered to assure thorough investigations are conducted.
4. Be in good standing with any certifications or licenses held.

# EXAMINATION COMMITTEE

## I. RESPONSIBILITIES

The Examination Committee is responsible for the examination contents, development, maintenance and delivery, and the processes associated with these activities. The certification staff shall manage the day-to-day activities of the contracted professional services for examination development and delivery.

The Committee shall have the following duties and responsibilities:

1. Assure the ongoing validity, reliability and fairness of the certification examination.
2. Review the results of routine item analysis reports and make adjustments as required, including recommendations for substantial changes to the examination.
3. Work with the certification staff to determine activities required for budgeting in order to assure a valid and reliable examination is administered (validation study, passing score study, item review/writing workshops, etc.).
4. Determine areas in which additional participation by Subject Matter Experts is required.
5. Review candidate complaints regarding content or the administration of the examination.
6. Recommend to the Certification Commission changes in policies or procedures as required.
7. Complete all duties as assigned.

## II. POLICIES

The Examination Committee shall be responsible for implementing the following policies of the Certification Commission:

- Setting the passing score;
- When to conduct analysis of items and examination performance;
- Number of items in the item bank;
- Timing of the validation studies;
- Security such as the committee's Non-Disclosure Agreement and requirements for handling intellectual property and confidential information;
- Meeting attendance and participation;
- Length of term of service on Examination Committee; and
- Confidentiality of intellectual property.

## III. STATEMENT OF QUALIFICATIONS AND AREAS OF EXPERTISE REQUIRED FOR SERVICE

Members of the Committee shall:

- Collectively represent the stakeholders utilizing the credential, shall have a wide range of experiences in the transportation construction field, transportation construction safety, and shall be familiar with the requirements of the certification program.
- Represent the range of years of professional experience typical of the certificant population and the expectations of competence.
- Represent the geographic and employment demographics reflective of the certificant/stakeholder population.
- Have an understanding of content requirements of the examination and shall collectively represent the expertise of each content domain.
- Attend and complete all training programs as required to assure the validity and reliability of the examination, including item writing and item editing workshops, analysis of item performance, and cut score studies.

# RECERTIFICATION COMMITTEE

## I. RESPONSIBILITIES

The Recertification Committee is responsible for reviewing denials or unusual circumstances associated with interpreting the Safety Certification for Transportation Project Professionals™ (SCTPP) recertification requirements. The certification staff shall manage the day-to-day activities of reviewing recertification applications and shall assist the Recertification Committee in performing its functions. The Recertification Committee shall have the following duties and responsibilities:

1. Review applications for recertification that require special consideration as it relates to a certified person documenting compliance with the recertification criteria for maintaining the SCTPP designation.
2. Report any trends or common areas of non-compliance with the recertification requirements to the Certification Commission.
3. Make recommendations for revisions to the recertification requirements.
4. As additional credentials are developed, or as the SCTPP credential is revalidated, assure recertification requirements are current, relevant and reflective of any changes to the credential's competency requirements.
5. Recommend to the Certification Commission changes in policies or procedures as required
6. Complete all duties as assigned.

## II. POLICIES

The Recertification Committee shall be responsible for implementing the following policies of the Certification Commission:

1. Establishing the recertification requirements;
2. When to review the recertification requirements for currency and relevance to maintaining continued competence in the field;
3. Denial of recertification;
4. Confidentiality of applicant information;
5. Meeting attendance and participation; and
6. Length of term of service on Recertification Committee.

## III. STATEMENT OF QUALIFICATIONS AND AREAS OF EXPERTISE REQUIRED FOR SERVICE

Members of the Committee shall:

1. Collectively represent the stakeholders utilizing the credential, shall have a wide range of experiences in the transportation construction field, transportation construction safety, and shall be familiar with the requirements of the certification program.
2. Represent the range of years of professional experience typical of the certified population and the expectations of maintaining competency requirements.
3. Represent the geographic and employment demographics reflective of the certified and stakeholder population.
4. Have an understanding of content requirements of the examination as they relate to the expectation of maintaining continued competence in the field.
5. Commit the time and resources required to perform their functions.

## APPENDIX C

# CERTIFICATION COMMISSION VOLUNTEER QUALIFICATION FORMS

Name  
Address  
E-mail  
Phone

### Education

Begin with highest degree earned  
Include most recent continuing education

### Work Experience

Begin with current work responsibilities  
Include title and position  
Employment setting(s)  
Number of years in the industry  
Segments of the industry represented

### Professional Certifications

Begin with most recently earned and include expiration dates (could include licenses, other related industry credentials)

### Description of Current Volunteer Responsibilities and Activities

Begin with most recent position held  
Include unique qualifications such as course instructor, trainer, current/previous service in a voluntary capacity with ARTBA or other entities, etc.  
Number of years as a volunteer with entities

### Other Relevant Experiences

Include any other experiences that highlight your qualifications and experiences.

### Commitment to Serve

I, \_\_\_\_\_, understand that significant time will be required to serve as a volunteer and agree to fulfill my assigned responsibilities to the best of my abilities and within the specified timelines. I further understand and agree to comply with the confidentiality and conflict-of-interest requirements, and the Volunteer Code of Conduct.

Attach Non-Disclosure Agreement and Conflict of Interest forms and the Volunteer Code of Conduct to this form.

# CONFLICT-OF-INTEREST AGREEMENT

In order to avoid conflicts-of-interest, or the appearance thereof, the following agreement with all certification personnel—voluntary and paid—is a requirement for involvement in the Safety Certification for Transportation Project Professionals™ (SCTPP) program.

I, \_\_\_\_\_, understand and agree to uphold and abide by the conflict-of interest policy of the Certification Commission of the SCTPP program. I understand that a conflict-of-interest exists when conditions or circumstances preclude or interfere with my ability to participate without influence in the certification program.

I have reviewed and agree to the following conditions and/or circumstances that may create a conflict-of-interest:

1. I participate in the delivery of training or education programs that prospective certified persons may attend to gain the knowledge they need to prepare for a certification examination.
2. I possess knowledge about the examination content and use that knowledge outside the development and administration of the certification program.
3. I serve on the ARTBA Board of Directors.
4. I participate on another committee that encourages, requires or permits me to disclose knowledge about the development and administration of the certification program.
5. I have a monetary or personal interest in the determination of examination content or requirements of the certification program.
6. I have a monetary or personal interest in the outcome of a certification decision.
7. I am aware of information that may prevent a fair and unbiased decision regarding matters of certification.

I understand and agree to disclose any conflicts-of-interest or potential conflicts-of-interest with the certification program. I understand that failure to abide by the conflict-of-interest policy will result in removal from activity in the certification program.

Print Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

# NON-DISCLOSURE AGREEMENT FORM

I, \_\_\_\_\_, acknowledge that, in the course of employment and/or service with the Safety Certification for Transportation Project Professionals™ program, I will have access to materials of a confidential and/or proprietary nature. “Confidential” and “proprietary” materials include, but are not limited to:

- information regarding applicants’, candidates’, and certified persons’ personal and financial data;
- information submitted for investigations of alleged violations of the Code of Ethics;
- item content, characteristics, development or other aspects of a test;
- examinations and forms;
- corporate and certification documents; and
- financial data.

Therefore, I agree to the following conditions of employment:

- I will abide by all certification policies and procedures regarding proper handling and security of confidential and proprietary materials.
- I will not disclose any confidential or proprietary materials to any unauthorized individual or organization unless expressly authorized by authorized personnel.
- I will not remove any confidential or proprietary materials from the office premises unless directed to by authorized personnel and I will safeguard such materials, as directed, until they are delivered or returned.
- I will hold examination content in confidence indefinitely and will not disclose, publish, reproduce, summarize, paraphrase, or transmit exam content, in whole or in part, in any form or by any means, verbal or written, electronic or mechanical, for any purpose.

I understand and agree that the unauthorized disclosure of confidential or proprietary material could cause harm and irreparable injury to the certification program which may be difficult to ascertain. Accordingly, I agree that ARTBA shall have the right to seek and obtain immediate injunctive relief resulting from material breaches of this Agreement, in addition to any other remedies at law available therefore without bond.

I understand that my employment may be terminated immediately upon any material breach of the terms and conditions contained herein. The obligations under this agreement shall continue perpetually and survive the termination or expiration of my employment or service.

I agree that this agreement shall be construed and controlled by the laws of the District of Columbia, and further consent to jurisdiction by the state and federal courts sitting in the District of Columbia.

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Signed

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Date



# VOLUNTEER CODE OF CONDUCT

## Purpose

The purpose of the Volunteer Code of Conduct “Code” is to provide a benchmark for all volunteers serving the Safety Certification for Transportation Project Professionals™ program, including members of the Certification Commission and members of specific committees and task forces. The Code also serves as an agreement between Certification Commission and individuals who support the certification program, and as such states the expectations and responsibilities of volunteer service, requires an acceptance of fiduciary responsibility, facilitates mutual trust, establishes measures of accountability, and requires behavior that reflects positively on the organization and the credibility of the certification program.

I, \_\_\_\_\_, accept Volunteer Service appointment  
to (commission, committee or function.)

beginning on (date): \_\_\_\_\_, and agree to the following conditions:

- Volunteers shall abide by all policies and procedures of the Commission.
- Volunteers shall understand and accept their fiduciary responsibility to perform all of their duties in a manner reflective of good stewardship.
- Volunteers shall avoid personal and professional conflicts of interest in all matters pertaining to the business of the certification program. If a conflict of interest arises, the Volunteer shall immediately notify the certification staff.
- Volunteers shall respect and protect sensitive and/or confidential information, and shall return all confidential materials to the Chair of the Commission, committee or task force, or to the certification staff, as soon official need for them has ended.
- Volunteers shall act fairly and be impartial and unbiased in their service to the certification program.
- Volunteers shall conduct themselves in a professional manner during the conduct of certification business and shall treat all stakeholders with courtesy and respect.
- Volunteers shall devote sufficient time and effort to fulfill their appointed duties.
- Volunteers shall be advocates for the certification program and shall support its mission.
- Volunteers shall support the decisions made, and shall not speak or act for the Certification Commission without proper authorization.

I acknowledge that failure to uphold and abide by the Volunteer Code of Conduct may result in my removal from participation in this Volunteer Service.

\_\_\_\_\_  
Signature of Volunteer

\_\_\_\_\_  
Date