ANSI-Certification Providers Workgroup
Process and Recommendations for Resolving
Concerns with Food Protection Manager Exam Security

The following summary is based on the Webinar presentation to the FPMCC on March 22, 2011, identifying the process that the ASNI-Certifification Providers Workgroup completed, and the recommendations they presented to the FPMCC for the April 2011 Committee meeting. The FPMCC accepted the workgroup recommendations and developed draft Standard Revisions to address all of the recommendations.

ANSI/Certified Provider Workgroup Members
- John Marcello - Facilitator
- ANSI – Roy Swift
- ANSI-CFP Liaison – Lee Cornman
- CFP FPMCC – Jeff Hawley (Workgroup Chair), Joyce Jensen
- National Registry FSP – Larry Lynch
- NRA Solutions – Kate Piche
- Prometric – Ken Walters

Workgroup Meeting Structure
- ANSI/Certification Providers identified primary spokesperson for their organization
- Consensus building voting process used (thumbs up; sideways; down)
- Issue introduced for discussion must be:
  - Specific and Clear,
  - Contain Rationale, and
  - Focus is on one Issue at a Time
- Commitment to complete all sub group assignments within agreed upon time frames

Problem Solving Process
STEP 1 – Develop a Clear Problem Statement
STEP 2 – Analyze the Problem
STEP 3 – Generating Potential Solutions
STEP 4 – Selecting the Solution
STEP 5 – Implementing the Solution
STEP 6 – Evaluating the Solution

STEP 1 –Develop a Clear Problem Statement
- Each workgroup member developed a problem statement and provided specific examples
- Workgroup members ranked and prioritized the problem statements
- Certification Provider were then assigned the task of providing "Actual" documented complaints pertaining to the administration of their exams
- Most Common Incident Reported for Each of the "Problematic Areas"

- Documented complaints were them collated and organized into one comprehensive matrix
    - 6   Credibility / Training of Proctors: Suspected Cheating
    - 59   Handling / Shipping of Exam Packages: Missing exams / incomplete exam returns / past due exams / retired exams
    - 52   Location / Site Irregularities: Lost exams by carrier / inventory errors by test administrators
    - 6   Breach of Provider's T.A. Requirements: All candidates given same form of the exam

- After reviewing the complaint incident matrix, the workgroup added a 5th "problematic area" – Certification Provider's Quality Assurance Controls for Test Administration / Test Administrators:
    - ► Document Control
    - ► Internal Audits
    - ► Management Review

STEP 2 – Analyzing the Problem
- Workgroup conducted an assessment of how existing CFP Standards currently addressed the documented "problematic areas" and complaint incidents.
- Specific CFP Section numbers and provisions associated with each "problematic area" and complaint incident were added to the problem-solving matrix.
- Certification Providers identified quality assurance controls they had in place to address "problematic areas" and complaint incidences that are *in addition to* what is required in the CFP Standards.
- Provider's QA controls were added to the Problem-Solving Matrix.
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STEP 3 – Generating Potential Solutions
ANSI / Certification Providers reviewed the problem solving matrix and generated potential solutions / options for minimizing incidents related to document test administration and exam security.
- For each potential solution, ANSI / Certification Providers included rationale as to how the recommendation / option would enhance the test administration process for Food Protection Manager Certification.
- 52 Potential Solutions / Options were generated for the five "Problematic Areas"
    - ► Credibility & Training of TA's/Proctors   (15 Solutions / Options)
    - ► Handing / Shipping of Exam Packages   (10 Solutions / Options)
    - ► Location / Site Irregularities   (10 Solutions / Options)
    - ► Breach of Provider's T.A. Requirements   (9 Solutions / Options)
    - ► Providers QA Process / Management System(8 Solutions / Options)

STEP 4 – Selecting the Solution (Completed at the Orlando Face-to-Face meeting)
- Workgroup reviewed, combined, and ranked potential solutions.
- Every potential option or solution was considered.
- Potential Solutions were roughly assessed using one or more of the criteria included in Step 4.

Criteria used to Assess Solutions:
- **Control** – The extent to which the solution is within the control of the FPMCC and CFP
- **Appropriateness** - The degree to which the solution resolves the problem
- **Resource Requirements** - The extent which resources ($; people, etc.) are required for implement the solution
- **Return on Investment** - Cost-Benefit Analysis
- **Time** - Length of time it will take to resolve problem
- **Acceptability** - Degree to which people involved will accept the changes

Refined and Clarified Problem Statement/Charge:
"Examine all options for resolving the exam security and independence issues as they pertain to trainers serving as test administrators"

Refined and Clarified Overarching Workgroup Objective:
"Enhance the integrity of the entire testing process which included identification and analysis of root causes of security violations and recommended solutions"

Outline a Strategic Direction:
Identified Short-Term Objectives for improvement of the entire testing process based on logistics, acceptability, cost, technology, and complexity to:
- ► Enhance procedures & accountability of:
  a. Test Administrators,
  b. Proctors, and
  c. Certification Organizations.
- ► Formalize a management system that creates systematic, continuous improvement process through:
  a. Document Control,
  b. Internal Audits, and
  c. Management Review.

Identified Long-Term Objectives:
- ► Eliminate the inherent conflict of interest within the testing process.
- ► Meet all applicable nationally accepted personnel certification standards.

STEP 5 – Implementing the Solution
The FPMCC accepted the recommendations the ANSI-Certification Providers Workgroup presented. The workgroup provided a rough draft of proposed revisions to the Standards. The FPMCC felt it was important to make the Standard revisions clear and organized. The Standards Workgroup then worked on the details of fine tuning and

reorganizing the proposed revisions to Standard 5 and provided their recommendations to the FPMCC members in July. The draft recommendations will be submitted to the Executive Board in August 2011, for their review.

STEP 6 – Evaluating the Solution

Criteria and Protocol will be established to assess the effectiveness of the short-term solutions:

- Identify and standardize the assessment criteria
- Establish time frames for implementation and evaluation of short term objectives
- Determine who will conduct the effectiveness assessment
- Ensure short term objectives are providing the level of control consistent with the work group's long-term objectives

Workgroup Recommendations for Changes to Standards

Exam Development - **O**n a quarterly basis have a minimum of 2 exam forms based on 1000 item bank (increased from 600).

Test Administrator/Proctor's Roles and Responsibilities - Standards must clearly delineate all Test Administrator/Proctor's roles and responsibilities.

Training of Test Administrators/Proctors - Require the certification organization to provide a training program for Test Administrator/Proctors based on learning objectives that reflect their roles/responsibilities.

Verification of Test Administrators - Require certification organization to notify ANSI when Test Administrator/Proctor has been removed.

Exam Item Exposure - Require the certification organization to have a system to track all examinations (exam books and/or answer sheets).

Exam Shipping and Handling - Restructure Standards to include provisions that ensure security for all shipping & handling of exams by the certification organization and Test Administrator/Proctors.

Test Sites - Require a private room accessible only to Test Administrator/Proctor and Examinees during test administration.

Certificates - Require the certification organization to have a system to provide verification to the current validation of individual certificates.

Advertising Standards – Test Administrator/Proctor cannot make statements or claims, or cannot have affiliation with any organization making statements or claims, such as guarantees of passing the exam.

Management Systems - Include a new section to the Standards that contains requirements for the implementation of management systems that include the following three components: Document Control; Internal Audits; and Management Review.

1. Document Control to include:
   - ► Lists of all documents pertaining to the certification program
   - ► Dates for documents approved for implementation by the certification organization
   - ► Who within the certification organization is responsible for the documents
   - ► Listing of individuals who have access to the documents

2. Internal Audits to include:
   - ► Identification of critical activities
   - ► Data to be collected and how often it is evaluated
   - ► How an audit should be conducted
   - ► Who can perform audits
   - ► How evaluation of critical activities is determined during the audits
   - ► Determine if any deficiencies have been found

3. Management review to include:
   - ► At a minimum, an annual review of the results from internal audits
   - ► A select management staff should comprise the committee that conducts the review
   - ► Committee reviews the results of audits to determine:
     - √ if corrective actions are needed
     - √ if preventive actions are needed
   - ► Determine effectiveness of corrective actions and preventive actions

In addition to the proposed changes to the Standards, the workgroup has requested the certification providers to collectively review their best practices / procedures and develop uniform, consistent test administration protocols for:
   - ► Examination site conformity,
   - ► Verbal instructions given to examinee at test site, and
   - ► Classification of security breaches and/or infractions

Certification providers are assessing how they will deliver training programs to test administrators.