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SEI Individual Performance Certification (IPC) Policies and Procedures Manual

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1. Introduction/Program Objectives

To support the demand for quality in the performance of standards across a wide domain of industry areas and competencies, SEI established the Individual Performance Certification (IPC) Program. Individuals who earn an SEI IPC have demonstrated the requisite knowledge and abilities to perform and record the results of ASTM or other standards.

This Policies Manual for the IPC is maintained by the SEI Committee on Certification Programs (CCP), a standing committee of the SEI Board, and provides the requirements for obtaining certifications. This Policies Manual undergoes periodic review and revision.

2. Definitions

1. **Certificant:** A person who has successfully satisfied all requirements of a certification program and has been awarded a certification.
2. **CCP:** Committee on Certification Programs
3. **Examinee:** A person taking either the written or performance examination, or both.
4. **Examiner:** A person authorized by SEI to be in responsible charge of an examination session.
5. **Performance Exam Checklist:** A list of criteria used by the supplemental examiner to judge the competence of the examinee with the provisions of the performance examination.
6. **Proctor:** A person authorized to assist the Examiner in conducting the written examination.
7. **Supplemental Examiner:** A person who assists the Examiner by administering the performance examination.
8. **Witness/Site Auditor:** a person who watches the examinee take the performance examination

3. Nondiscrimination Statement

SEI adheres to principles of fairness and due process and endorses the principles of equal opportunity. In administering the certification programs, SEI shall not discriminate or deny opportunity to anyone on the grounds of gender, age, religion, national or ethnic origin, marital status, veteran status, sexual orientation, or disability.

4. Impartiality

SEI and its management adhere to principles of impartiality to ensure that its certification activities are undertaken fairly and objectively. SEI is intentionally structured to segregate responsibilities within the organization in order to facilitate this commitment and to continually monitor processes to that end. Any complaint or indication of concern over impartiality is taken seriously and acted on for immediate resolution.



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5. Code of Conduct

The Code is designed to provide both appropriate ethical practice guidelines and enforceable standards of conduct for all SEI applicants and certificants. The Code also serves as a professional resource for practitioners, as well as for those served by SEI certificants in the case of a possible ethical violation.

All SEI applicants and certificants must agree to comply with the SEI Code of Conduct as outlined below:

1. I will conduct my professional activities with honesty and integrity.
2. I will uphold my professional conduct to the highest ethical standards.
3. I will represent my certifications honestly and provide only those services for which I am qualified to perform.
4. I will maintain and improve my professional knowledge and competence through regular self-assessments, continuing practice, continuing education or training.
5. I will act in a manner free of bias and discrimination against clients, colleagues, or customers.
6. I will maintain the privacy of individuals and confidentiality of information obtained in the course of my duties unless disclosure is required by legal authority.
7. I will obey all applicable laws, regulations, and codes.
8. I will follow all certification policies, procedures, guidelines, and requirements of SEI.
9. I will not use the certificate in a misleading manner.
10. I will discontinue use of the certificate and certification marks upon suspension, revocation, or withdrawal of certification.

6. Types of Certification

SEI Certification maintains the certification programs for the following:

- 1.1 Petroleum Lab Professional
- 1.2 Asphalt Aggregates Laboratory Technician Level I (AGG)
- 1.3 Asphalt Aggregates Laboratory Technician Level II (AGG2)
- 1.4 Asphalt Field Technician (AFIELD)
- 1.5 Asphalt Laboratory Technician (ALAB)
- 1.6 Soil Laboratory Technician (SOIL)

Each certification requires a separate application and examination(s).

7. Scope of Certification

The certification programs recognize professionals whose practice reflects a high degree of knowledge and performance competence of specific standards. Achieving SEI certification



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indicates that certificants have demonstrated a broad knowledge and skill set in the specific certification area.

Petroleum Lab Professional Certification (PLP): Petroleum lab professionals perform a variety of test methods in their daily work and may be employed by third-party testing labs, production companies, pipeline companies and other businesses that routinely sample and test petroleum products for quality and assurance.

PLP candidates typically perform some of the following duties on a daily basis:

- Receives, examines and records through a login process, inbound samples for testing.
- Prepares samples and quality control specimens, prepares and standardizes reagents and solutions.
- Calibrates equipment needed for the testing processes.
- Performs testing of samples and quality control specimens using specified methodology.
- Verifies and communicates results obtained.
- Maintains documentation, equipment, and work areas

Asphalt Aggregates Laboratory Technician Level I (AGG); Asphalt Aggregates Laboratory Technician Level II (AGG2); Asphalt Field Technician (AFIELD); Asphalt Laboratory Technician (ALAB); Soil Laboratory Technician (SOIL): Construction Materials professionals perform a variety of test methods in their daily work and may be employed by third-party testing labs, manufacturers, government facilities, consulting engineering firms and other organizations that routinely sample and test construction materials for quality and assurance.

Candidates typically perform some of the following duties on a daily basis:

- Receives, examines and records through a login process, inbound samples for testing.
- Prepares samples and quality control specimens, prepares and standardizes reagents and solutions.
- Calibrates equipment needed for the testing processes.
- Performs testing of samples and quality control specimens using specified methodology.
- Verifies and communicates results obtained.
- Maintains documentation, equipment, and work areas

8. Candidate Eligibility

There are no eligibility requirements for the personnel certification programs. In addition, membership in any society is not a prerequisite for certification.



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9. Application Process

The applicant must submit the completed application or registration form using the certification management platform.

Applications or registration forms are reviewed to verify information and will be kept confidential. Applicants will not be discriminated against based on race, religion, creed, age, gender or national origin or ancestry.

If the application or registration form is incomplete, the applicant will be requested to respond. The application or registration form may be deemed incomplete for reasons such as:

- Application/registration form is not completely filled out
- Application/registration form is not signed
- Proper documentation is not submitted

If the application/registration form is denied, the applicant will receive a letter or email stating the reason for the denial. The application may be denied for reasons such as:

- Falsification of any information on the exam application

Accommodations

SEI complies with the provisions of the Americans with Disabilities Act and Title VII of the Civil Rights Act, as amended (42 U.S.C. 2000e. et. seq.) in accommodating disabled candidates who need special arrangements. The request must be submitted in writing with supporting documentation from a physician or other qualified professional reflecting a diagnosis of the candidate's condition and explanation of exam aids or modifications needed a minimum of 60 days before the testing window. Please contact the SEI, at credentialing@astm.org, if the candidate has any questions concerning ADA arrangements.

10. Exam Process

All certification programs are self-study. Education courses are not required to sit for any of SEI's certification exams.

Scoring and Results

Exams are scored making every effort to ensure that the score is reported within a reasonable time period and that the score accurately reflects the points received by the candidate.

Results will be reported as "pass" or "fail". Applicants who pass a written and performance exam and achieve certification will be notified of their passing status within 30 days. They will receive an official certificate.



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Appeal of Exam Results

Applicants may request a verification of their score which may involve hand scoring and/or a review by the SEI Committee on Certification (CCP). Any scoring alteration found as a consequence of an appeal of exam results will be applied to all applicants whose pass-fail status was affected; not just the applicant requesting the appeal. All requests should be made in writing within 30 days of receiving exam results and can be emailed to credentialing@astm.org.

Retaking the Exam

No retake exam may be scheduled by anyone in the exam process until the applicant has been officially notified of the results of his/her previously taken exam. There is no refund for failed exams.

Change of Contact Information

It is the certificant's responsibility to ensure that SEI has their most current contact information including: mailing address, phone number and email address.

Use of Certification Marks and Designations

After receiving notification of earning a designation, the certification(s) granted may be used only as long as the individual's certification remains valid and in good standing. Individuals may not use the certification(s) until they have received specific written notification that they have successfully completed all requirements, including passing the required exam(s). Certificants must comply with all recertification requirements to maintain use of the certification(s).

The use and/or display of the official acronyms or designation names, except as permitted by this policy, is prohibited. Individuals who fail to maintain certification / recertify or whose certification is suspended or terminated must immediately discontinue use of the certification mark(s) and must return any certificates. In addition, they are prohibited from stating or implying that they hold the certification.

Acceptable Use

Individuals who have earned the certification(s) may identify themselves as a "Certified Professional." The name and official acronym may be used only as long as the individual's certification is valid and in good standing. SEI certification is a non-transferable, revocable, limited, non-exclusive license to use the certification designation and is subject to compliance with the policies and procedures of the SEI Committee on Certification. Certified individuals may not make misleading, deceptive, or confusing statements regarding their SEI certification status.

Guidelines for Use of a Certification Certificate:

- The certificate may not be revised or altered in any way.



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- The certificate shall be displayed in the same form as produced and cannot be reproduced unless such reproduction is identical to the certificate provided.
- The certificate is meant to identify a person as opposed to a business entity.
- The certificate may not be used in any manner that detracts from the high ideals of SEI.
- Any reference in promotional materials shall be complete and accurate.
- The certificate may not be used in any manner that would tend to imply a connection between the certificate holder and SEI that, in fact, may not exist. This includes use of the certificate that the public might construe as an endorsement, approval, or sponsorship by SEI of a certificate holder or a certificate holder's business or might be taken to support or encourage the holder's sale of products, processes, or installations.
- SEI acts to challenge those who use the certificate without authority from SEI. Penalties, in addition to legal remedies available, may include being barred from pursuing certifications and publishing the names of violators.
- *Unauthorized Claims to SEI Certification:* Unauthorized claims to an SEI certification should be reported to SEI. Any unauthorized personnel claiming an SEI certification will be required to cease use of the SEI certification certificate immediately and remove claims of certification from all product literature. Failure to do so may result in legal action.

Certificate

Each certificant will receive a certificate for each certification granted. Each certificate will include, at a minimum, the following information:

- Name of the certification
- Name of the certified individual
- Unique certification number
- Signature of a representative
- Reference to the scope and limitations of the certification, including that the individual has met all of the requirements of the designated certification program
- Effective date
- Expiration date

11. Comments and Complaints, Violations, Suspension, or Termination of Certification

Registering Comments and Complaints—Comments and complaints regarding the operation of a profession-specific SEI certification program are to be submitted, in writing, to staff at credentialing@astm.org. This may include claims such as: non-impartiality, discriminatory conditions, and violations of confidentiality. The sender will receive a written or verbal response regarding SEI's intended action.



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Response to Complaints—Complaints received about a certificate holder will be forwarded in writing to the certificant. The certificant shall respond in writing to staff at credentialing@astm.org within 15 calendar days and fully address all issues in the complaint.

Program Violation—When a certificant breaches a term(s) of the governing documents, they will receive a program violation letter. The violation letter will outline what program term(s) has been breached, request for and provisions of corrective action, and instructions for appeal.

Corrective Action—The certificant shall respond within 30 calendar days of receipt of letter, in writing, detailing what action is being taken to correct the violation. All corrective action is subject to review and approval by program staff.

Program Violation Corrected—If the certificant has corrected the violation, the individual who submitted the complaint will receive acknowledgement from staff.

Program Violation Not Corrected—If the certificant has not satisfactorily corrected the violation, the certificant will receive a second program violation letter. From the date of the letter, the certificant shall have 15 calendar days to make corrections or file an appeal.

Appealing a Program Violation—The certificant has 15 calendar days from the date of the violation letter to appeal the violation. The appeals process is documented in Section 12 of this manual. Failure to file an appeal within 15 calendar days from the date of the violation letter forfeits the certificant's opportunity to appeal the violation at a later date.

Suspension of Certificate—A certificant who has filed an appeal may be suspended from the program until the appeal is held. If the appeal is upheld, the suspension will be lifted. If the appeal is denied, the certificant's certificate will be terminated.

Termination of Certificate—A certificant is subject to termination from a certification program for having a program violation or failing to fulfill program obligations set forth in the governing documents. Termination cancels the certificant's right to claim certification. Upon termination, the certificant's listing is immediately deleted from the Directory of Certification Holders. The certificant shall also discontinue claiming a certification immediately.

Notification of Program Suspension or Termination of a Certification—The certificant will promptly receive a notification confirming its suspension or termination.

12. Appeals Process

Appealing a Program Violation—Appeals of a program violation will be conducted at the request of the certificant. To be considered, a written request for an appeal shall be sent to the program staff, who will coordinate and schedule the appeal hearing with the SEI CCP. The written appeal shall be specific in stating the reason(s) the violation is unwarranted and, if



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available, include supporting evidence indicating that a program violation was not committed. Such information shall be received by staff within 30 calendar days of when the appeal was filed. If appeal documentation is not received within the time frame allotted, the violation will be upheld. As appropriate a representative of the program staff shall have the opportunity to respond, in writing.

Conducting an Appeal—Appeals are conducted by a hearing in which the CCP votes to uphold, modify, or overturn the subject program violation. The certificant and, as appropriate, a representative of the certification program staff shall be invited to attend. The certificant shall participate in the appeal hearing or else forfeit the appeal. In such a case, the program violation stands and no further appeal can be made.

Format of an Appeal Hearing—The hearing will provide an opportunity for the certificant to present their objection orally, the certification program representative to provide orally a response, and members of the CCP to question the representatives on the issues raised in the appeal.

Quorum and Voting Requirements—A quorum of at least two thirds of the members of the CCP shall be available to hold the appeal hearing. A two-thirds majority vote of the CCP members present is required to uphold, modify, or overturn a violation. In the case of a tie, the program violation will stand.

Notification—The CCP will inform the certificant of its decision as soon as possible after the hearing and follow up with written confirmation. The certificant has 15 calendar days from the date of the CCP notice to take any required corrective action and notify the program staff. If the violation is not corrected within the time frame allotted, the certificant's certification will be terminated and the listing(s) will be removed from the Directory of Certified Personnel. If corrective action is taken and completed by the certificant within 15 calendar days, the certificant will be permitted to maintain certification. Information provided to the CCP by the certificant will be kept confidential.



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13. Certification and Exam Pricing

Program	Individual Fee
Petroleum Lab Professional	\$500
Asphalt Mixture Field Technician	\$250
Asphalt Mixture Laboratory Technician	\$250
Soil Laboratory Technician	\$250
Asphalt Aggregates Laboratory Technician Level I	\$250
Asphalt Aggregates Laboratory Technician Level II	\$250

14. List of Standards in Certification Programs

Refer to the web page for the most up-to-date list of standards included in each program.