

**SPECIAL PROCESSES AT RETAIL PROGRAM CERTIFICATE PROGRAM PLAN-
Revised August 2015**

1.0 BACKGROUND

1.1 *Background information should include organizational structure, mission and program purpose.*

Mission Statement:

The Center for Agriculture and Food Security and Preparedness: Protecting and enhancing the safety of agriculture and the food supply through investigation and research, and through the provision of high quality education and training programs.

About CAFSP

The Center for Agriculture and Food Security and Preparedness (CAFSP) is located at The University of Tennessee College of Veterinary Medicine in Knoxville, TN. The College of Veterinary Medicine is a college within the Institute of Agriculture. The Institute of Agriculture is a separate campus from the main University of Tennessee. The Institute has its own Chancellor, but is still operates under the authority of the President of the University of Tennessee. The Institute is comprised of 4 colleges: AgResearch, College of Agricultural Sciences and Natural Resources, UT Extension, and the College of Veterinary Medicine. The College of Veterinary Medicine is comprised of 3 academic departments: Biomedical Diagnostic Sciences (formally Comparative medicine and Pathobiology), Large Animal Clinical Sciences, and Small Animal Clinical Sciences. The Center is a part of the Biomedical Diagnostic Sciences Department.

Founded in October of 2006; the Center is dedicated to protecting and enhancing the safety of agriculture and the food supply through investigation and research, and through the provision of high quality educational and training programs. The Center, under the direction of Dr. Sharon Thompson, combines the expertise of University of Tennessee faculty with other institutions across the country to address current issues related to food defense, food safety, foreign animal diseases, emergency preparedness, and more. The Center serves as a focal point for several key national initiatives to protect agriculture and the food supply from terrorist threats, and to promote safer food production and processing practices.

Since 2005, the Center has administered over 15.9 million dollars in competitively awarded grant funding from the Department of Homeland Security (DHS) and the Food and Drug Administration (FDA) to support the development and delivery of high quality national training programs focused on adult learners in the work force from industry and from federal, state, local, territorial, and tribal agencies. CAFSP training programs are delivered nationwide to participants at the community level as well as online. The training programs incorporate all key adult learning principles, collect objective performance data, and have undergone a rigorous peer review process.

In 2011, CAFSP was awarded a \$6.6 million multi-year grant from the US Food and Drug Administration to support development of a national food safety and training curriculum. The trainings developed through this grant are utilizing both online and instructor-led

courses. CAFSP's grant, which is designed to address training needs for food and agriculture officials identified in the Food Safety and Modernization Act, is addressing Special Processes at retail, HACCP, and food issues associated with natural and technological disasters. Additional areas of concern to food regulatory officials will be addressed over the course of the five year grant. The trainings developed through this grant are utilizing both web-based and instructor-led courses.

The Center has developed several web-based courses for food regulators focusing on food processing safety. Our approach is to creatively integrate the subject matter content into an enhanced distance learning experience, rather than create a web-based training that simply provides the course content for the participants to read or listen to with little participatory interaction. These web-based courses use a wide variety of resources, such as multimedia, hyperlinks to pertinent reports, publications and websites that are geared to create an effective, efficient learning experience.

In 2012, CAFSP, partnering with the Tennessee Department of Health, University of Tennessee Department of Food Science and Technology and the University of Tennessee Department of Public Health, was named as one of only five national Centers of Excellence by the Centers for Disease Control and Prevention. These five Centers will focus on research, teaching and training to address issues associated with foodborne illnesses.

Special Processes at Retail Program

The Special Processes at Retail Program is comprised of 6 web based courses entitled *Curing, Smoking, Drying of Meat, Poultry and Fish and the Fermentation of Sausage, Fermentation, Juicing, Shellfish, Custom Processes and Reduced Oxygen Packaging*, and one capstone in person Instructor led course entitled *FD 312: Special Processes at Retail*. The purpose of the Special Processes at Retail Program Certificate is to prepare Food Safety Inspectors to inspect retail and food service establishments that utilize special processes to process food. Individual courses in this series address the processes identified in FDA's *Model Food Code* that require a variance and/or Hazard Analysis and Critical Control Plan (HACCP) system. In addition, validation and field verification of HACCP systems are explored. Special processes that are covered include: 1) Adding components or food additives as a method of preservation or to render the food non-PHF (non TCS); 2) Curing, smoking and drying of animal foods; 3) Fermentation of sausages; 4) Custom processing for personal use; 5) Packaging juices; 6) Sprouting; 7) Molluscan shellfish life support tanks; and 8) Reduced oxygen packaging. A key purpose of the Special Processes at Retail Program is to ensure that inspectors will be able to identify when special processes are being utilized when walking into a facility, and to know what questions they need to ask.

In order to earn a Special Processes at Retail Program Certificate, participants must complete the prerequisite web courses: 1) *Curing, Smoking, Drying of Meat, Poultry and Fish and the Fermentation of Sausages*; 2) *Fermentation*; 3) *Reduced Oxygen Packaging*; 4) *Custom Processing*; 5) *Shellfish*; and 6) *Juicing*, with a passing score on the post test, and attend and complete the Instructor led course *FD 312: Special Processes at Retail* with a passing score on the Centers Activity and post test. The Center's director has overall responsibility and authority to grant certificates. Upon completion of the prerequisite web courses with a passing score on the post test, and the Instructor led Special Processes at Retail course with a passing score; participants may apply for the Special Processes at Retail Program Certificate. The participants would contact the Program Manager to request the certificate.

Upon notification from the participant, the Program Manager will request CAFSP staff to verify that the participant has completed the prerequisite web courses with a passing score on the post tests, and the Instructor led Special Processes at Retail course with a passing score. Upon verification, CAFSP staff will notify the participant that they have or have not met the requirements, verify the address and correct name of the participant, create the certificate with the correct name and affix the signature of the Director onto the certificate, and then mail the certificate to the participant within 2 business days. If the participant does not qualify, CAFSP staff will explain the rationale behind the decision and the steps that the participant can take to fulfill the requirements.

2.0 GENERAL PROVISIONS

2.1 *Certificate Program Management Plan* should include plan scope, responsible parties, and personnel training in plan elements and explanation of modifications to plan.

In order to earn a Special Processes at Retail Program Certificate, participants must complete the prerequisite web courses *Curing, Smoking, Drying of Meat, Poultry and Fish and the Fermentation of Sausage, Fermentation, Reduced Oxygen Packaging, Custom Processing, Shellfish and Juicing* with a passing score in the post test, and attend and complete the Instructor led course *FD 312: Special Processes at Retail* with a passing score. The Center's director has overall responsibility and authority to grant certificates. Upon completion of the prerequisite web courses with a passing score in the post test, and the Instructor led Special Processes at Retail course with a passing score; participants may apply to the Special Processes at Retail Certificate. The participants would contact the Program Manager to request the certificate. Upon notification from the participant, the Program Manager will request CAFSP staff to verify that the participant has completed the prerequisite web courses with a passing score in the post test, and the Instructor led Special Processes at Retail course with a passing score. Upon verification, CAFSP staff will notify the participant that they have or have not met the requirements, verify the address and correct name of the participant, create the certificate with the correct name and affix the signature of the Director onto the certificate, and the mail the certificate to the participant within 2 business days. If the participant does not qualify, CAFSP staff will explain the rationale behind the decision and the steps that the participant can take to fulfill the requirements.

Process

The Center for Agriculture and Food Security and Preparedness (CAFSP) utilizes a three step process when creating a Certificate Program Plan (CPP). These steps can be broadly defined as Development, Maintenance, and Revision. Each step is below.

CCP Development

The development phase of a CPP follows the same process as an individual course development (either web-based or instructor-led). This includes: a needs analysis; curriculum development with input from Subject Matter Experts, stakeholders and sponsoring agency; pilot delivery(-ies); assessment development; and evaluation of CPP by participants, stakeholders and subject matter experts. Adjustments and changes to the CPP are incorporated following the final pilot delivery.

CPP Maintenance and Revision

Additional changes and updates to the information and curriculum in each of the individual courses within the CPP are also incorporated based on the release of updated guidelines from the sponsoring agency (in this case, FDA). This normally occurs at least once every 3-4 years. The evaluation of CPP is an on-going process with participant evaluations being reviewed following individual course completions (both web-based and instructor led). The CPP will be reviewed by the Oversight Committee twice a year in order to vote on whether revision will be needed.

Purpose

The Special Processes at Retail Program Special Processes at Retail Program Certificate will prepare Food Safety Inspectors to inspect retail and food service establishments that utilize special processes to process food. Individual courses in this series identify the processes identified in *FDA Model Food Code* that require a variance and/or Hazard Analysis and Critical Control Point Plan (HACCP) system. In addition, validation and field verification of HACCP systems are explored. It will provide guidance in recognizing and evaluating the safety of these special processes that are typically not addressed in the Model Food Code. Special processes that are covered include adding components or food additives as a method of preservation or to render the food non-PHF (non TCS) rather than as a method of flavor enhancement; curing, smoking and drying of animal foods; fermented sausages; custom processing for personal use; packaging juices; sprouting; operating molluscan shellfish life support system display tanks; and reduced oxygen packaging.

Scope

The Special Processes at Retail Program Special Processes at Retail Program Certificate courses describe the special processes used to prepare food in retail and foodservice establishments. The courses introduce special processes and related terminology. The special processes described relate to adding components or food additives as a method of preservation or to render the food non-PHF (non TCS) rather than as a method of flavor enhancement; curing, smoking and drying of animal foods; fermented sausages; custom processing for personal use; packaging juices; sprouting; operating molluscan shellfish life support system display tanks; and reduced oxygen packaging. Validation and field verification of HACCP and pre-requisite programs for retail and food service establishments are described in detail.

The Special Processes at Retail Program Certificate will prepare the target audience with the knowledge and skills to inspect retail and food service establishments that utilize special processes as identified by the FDA Food Code. The FDA Food Code identifies Special Processes as: food additives as a method of food preservation; curing, smoking, drying and fermentation of meat, poultry and fish; custom processing of meats; packaging of juices; sprouting; operating molluscan shellfish life support tanks; reduced oxygen packaging; fermentation as a method of food preservation; and validation and verification of Hazard Analysis and Critical Control Point Plans (HACCP).

Outcome

Food Inspectors who successfully complete the Special Processes at Retail Program Special Processes at Retail Program Certificate will have a deeper understanding of potential food safety issues associated with the various special processes identified and discussed in the series.

2.2 Governance should include authority and composition of advisory group, responsibilities of advisory group, appointment, term of service and replacement of advisory group members, conflicts of interest and confidentiality, meeting schedule, quorum and voting procedures.

Certificate Oversight Members

Certificate oversight members are selected from Subject Matter Experts, CAFSP staff, FDA representatives, and learners. SME's are drawn from nationally recognized individuals with expertise in subject matter that will be covered by a certificate or training program. CAFSP strives to include individuals who comprise a balance of stakeholder's interests in order to ensure that all stakeholder groups are represented in the Oversight Committee (OC).

The OC has the responsibility to develop, maintain, and revise the CPP. Members of the OC are appointed and approved by the Director for a term of service for the lifetime of the Certificate Program. If members wish to step down, CAFSP will endeavor to replace that member with an individual with similar credentials and experience. The members of the OC will sign a statement which includes information on their responsibilities regarding conflicts of interest, confidentiality regarding developing test questions, and attendance at meetings. CAFSP will strive to schedule meetings in order to accommodate as many schedules as possible, but members of the OC are expected to attend scheduled meetings if they have indicated in advance they are available. If a member misses more than 2 consecutive meetings, they will be asked to step down.

The OC will convene at least twice per year in order to review the curriculum, evaluate the program and to revise the curriculum or program if needed. In order to meet, the OC must have a majority of members present. If, for example, there are 10 members of the OC, then at least 6 members must be present for the meeting in order to vote on any changes to the curriculum or program.

2.3 Personnel should include description of organizational chart, job descriptions, personnel training and conflicts of interest and confidentiality.

Sharon Thompson-Director

Ray Burden-Associate Director

Meredith York, Program Manager

Administrative Specialist III-Vacant

Sheri Pugh- Curriculum Team Leader

Keith Bailey-Curriculum Coordinator

Shannon Sharp-Instructional Design and Training Coordinator

Babbet Harbison-Videographer

IT Specialist III-Vacant

Noreen Gadzekpo-Business Manager

Lisa Thomas-Accounting Specialist III

Job Descriptions

- The **Program Manager** position exists to manage the programmatic and financial activities of the Center for Agriculture and Food Security and Preparedness. The Center has an overall budget of 11.7 million and multiple federal grants from the Department of Homeland Security and the Food and Drug Administration. With the addition of 6.5 million from the FDA and possible other opportunities for federal funding, the Center requires a position that manages the programmatic and financial duties, as well supervise the accounting and administrative staff and will report directly to the Director of the Center. This position oversees the structure and organization of all programs implemented by the Center, supervises the program activities for the Center and the administrative staff, prepares semi-annual and quarterly reports to the federal agencies that sponsor the Center's grants, attends meetings and conferences to represent the Center, organizes DHS and FDA development meetings and pilot training courses, communicates with course instructors, subject matter experts, and collaborators with other agencies and universities concerning each training course. The Program Manager will conduct periodic reviews of all policies and procedures to ensure that the standards are met under ANSI/IACET 1-2013.
- The **Curriculum Coordinator Team Leader** assists the Center's Director and subject matter experts in the development, implementation, and maintenance of instructor led courses and web based courses materials for the newly acquired grant through FDA. This position will act as the team leader and will coordinate the work with the other Curriculum Coordinators and Web Course Designers. Responsibilities include supervising the developing, writing, editing of materials used in both instructor led and web-based trainings. The position will provide direction in order to support the Curriculum Coordinator and the Web Course Designer in the development of all projects. The position will act as a liaison between the Center and its University and federal partners in the development of both types of course materials and other training items such as videos, brochures and web sites. This position will also provide support to the Director in the pursuit of new grants.
- The **Curriculum Coordinator** position will plan, develop, and maintain all courses for the Center's grants from the Department of Homeland Security and the Food and Drug Administration. Responsibilities will include developing, writing, and or editing of materials used on training courses, seminars and other presentations developed through the CAFSP. This position will work closely with the Director of the Center and other Curriculum Coordinators in the development of materials used in training adult learners in communities across the United States. This position will collaborate with the other Curriculum Coordinators and the Director on the instructional design of all courses. This position will also assist in updating and maintaining the CAFSP website. The Center has an overall budget of 11.7 million and

multiple federal grants from the Department of Homeland Security and the Food and Drug Administration.

- The **Business Manager** exists to manage the business, financial and operational activities of the Center for Agriculture and Food Security and Preparedness. The Center has an overall budget of 11.7 million and multiple federal grants from the Department of Homeland Security and the Food and Drug Administration. With the addition of 6.5 million from the FDA and possible other opportunities for federal funding, the Center requires a position that manages business and financial duties, as well supervise the accounting staff, monitor the operational flow of the Center and will report directly to the Director of the Center. This position oversees the business, financial, budgeting and operational activities of all programs implemented by the Center, supervises the budgeting activities for the Center and the accounting staff, helps to prepare the financial data on the semi-annual and quarterly reports to the federal agencies that sponsor the Center's grants, attends meetings and conferences to represent the Center, plan budget strategies and forecast budget projections, manage expenditures and financial obligations of financial resources of the unit including post award oversight of sponsored programs, following federal and state guidelines for grant administration, communicates with course instructors, subject matter experts, and collaborators with other agencies and universities concerning contracts, reconcile and audit ledgers each month, directs administrative implementation of fiscal and personnel policies and procedures, oversees Human Resource functions (hiring, payroll and leave data entry), prepares and monitor non-research contracts, subcontracts for instructors, subject matter experts and collaborators, and prepare budgets for grant proposals.
- **The Accounting Specialist III** will process payment of procurement card, invoices, travel and payroll entry, instructor and contract payments, coordinate hotels, air and ground transportations, enter effort certification, handles the receiving of monies, prepares deposits, monitor expenditures as an IRIS reviewer according to University regulations as well as other duties in the financial support area as required.
- **The IT Specialist III** exists to plan, develop, coordinate, promote, administer, maintain and facilitate a full range of complex large scale online courses and web based services for the Center for Agriculture Food Security and Preparedness training grants. This position serves as the primary lead on developing, maintaining, updating and distributing interactive complex large scale online training programs, as well as the primary point of contact with regard to online course registration and marketing. The position will be responsible for selecting, maintaining, and developing media for use in online courses in accordance to the Department of Homeland Security, the Food and Drug Administration, and FEMA regulations as well as complying with all DHS, FEMA and FDA's required submissions. This will include developing, writing and/or editing of materials used in training courses, seminars and other presentations developed through the CAFSP.

This position will work closely with the Director of the Center and the Curriculum Coordinator Team Leader in the development of materials used in training individuals in the community and across with United States. This position will also collaborate and act as a liaison between the Center, its subject matter experts, and Federal partners in the development of material. The participants in this training are located throughout the United States, and these programs will be delivered via the internet at no charge to the participants. This position will manage and maintain large scale projects with a significant degree of independence. This position will perform advanced level analysis and extensive problem solving when ensuring that the participants across the county can access the web courses on CAFSP's Moodle Learning Management System.

- The **Administrative Specialist III** position coordinates with all the points of contact for the delivery of one of the 5 training courses that the Center teaches (soon to be 8). This position handles all the scheduling of courses and logistics as well as ensuring that proper course materials and equipment are included for course logistical needs in course shipments and creates all the appropriate forms for any given course. Additionally, this position will also be responsible for event planning (conferences, workshops, etc.) both locally and out of state. This position handles complex administrative tasks in order plan the logistics for the training courses that CAFSP delivers. In addition, this position will oversee the tasks of the Administrative Assistant to ensure that the course materials and packaged and shipped to the appropriate destination. This position is responsible for the delivery of courses (including materials, equipment, supplies) as well as following up on requests for information to schedule new courses, correspondence with the Points of contacts before and after a course delivery.
- The **Videographer** has the responsibility to manage all areas of video production for the Center for Agriculture and Food Security and Preparedness. The Center for Agriculture and Food Security and Preparedness specializes in creating adult learning courses that utilize high quality videos in Instructor Led courses as well as videos for the purposes of online web courses. This position will work with CAFSP Staff, subject matter experts, and the Project Development Team to create and produce videos and other instructional resources for web based and instructor led courses. In addition, the position will coordinate with the Director, the curriculum coordinators, and the IT Specialist to meet goals and timelines of the training programs. The videographer will assist with public relations and marketing plan for Center by creating videos to highlight the Center for its website and to support the program at conferences. In addition, the position will work with other departments to solicit workers to help meet deadlines from FDA and manage the workers to ensure quality and timely work to guarantee delivery of finished videos. This position will coordinate, plan and travel to external locations around country to shoot footage required to create videos and other instructional materials for all courses. The videographer will oversee and approve all video content about the Center that is viewed by the public. In addition, the videographer will manage

external contractors to ensure quality and timely work to guarantee timely delivery of finished videos for FDA. This position will be responsible for a budget of up to \$100,000 per year to spend to hire and utilize contract workers to help keep up with the demand from the FDA for high quality videos.

- The **Administrative Support Assistant III** exists to Inform Director of scheduled courses a minimum of 6 weeks in advance in order to schedule instructors, Send reminders as needed, invite by email selected instructors, Pack shipments in neat and orderly fashion; Shipments should be shipped a minimum of 5 business days in advance of course date to correct shipping address; After course delivery, empty pelican cases of materials; Check all equipment to ensure it has been returned by comparing it to the shipping checklist; If all equipment has not been returned, contact instructor to follow up and make arrangements for return of missing equipment; Test all equipment to make sure that it is in proper working order; Put away all materials in appropriate space; Disburse paperwork to appropriate individuals; Store equipment and pelican cases in neat and organized manner in order to be able to create next shipment easily; Mail certificates within one day of receiving them; Maintain equipment to ensure that it is working properly; Work with IT if problems do exist; Inventory equipment monthly to ensure all equipment is on hand. Work with appropriate CAFSP staff to order supplies that need to be replenished; Maintain storage area in an organized fashion; Print and assemble manuals or work with the Print Shop to order them if there's time; Assist other staff with appropriate support duties as needed.
- The **Instructional Design and Training Coordinator** will plan, develop and maintain web based and instructor led training courses for the Center's grants from the Department of Homeland Security, the Food and Drug Administration, and the Centers for Disease Control. The individual filling this position will serve as a member of the Curriculum team under the direction of the Curriculum Team Leader. Responsibilities will include researching, developing and editing the content of web based and instructor led course materials used in training courses, seminars and other presentations developed through the CAFSP. This position will work closely with the Curriculum Team Leader and the other Curriculum Coordinators with the development of web based and instructor led course materials used in training individuals in communities across the United States. This position will also update and maintain the CAFSP website along with updating and creating the PowerPoint presentations for instructor led and web based courses. In addition, this position will: coordinate the shipments of course materials to and from designated course sites; liaise with scheduled Instructors concerning acceptance of duties and required responsibilities for maximum performance; be responsible for printing and assembling manuals and/or work with the print shop to ensure that the manuals are correct; and design training props for courses.

Staff are encouraged and sometimes required to obtain training for deficiencies for skills, and to bolster and grow new skills. Staff can take classes internally through

the University of Tennessee, read books, and attend workshops or conferences outside of the University of Tennessee with permission from the director.

All CAFSP staff members are required by the University of Tennessee to complete conflict of interest forms and submit them to Human Resources. Currently, no CAFSP or other University employees are required to sign a privacy, confidentiality or security policy.

2.4 *Subcontractors should include explanation of decision to issue certificate, scope of subcontractor agreements, responsibility for conformance to standard and qualifications statement.*

- All subcontractors must complete a contract with the University of Tennessee which outlines the nature of the work, the rate of pay, and the terms and conditions of working as a contractor for the University of Tennessee
- SMEs provide their expertise in a subject in order to assist CAFSP create high quality adult learner educational trainings. SMEs attend development meetings and create content for a course. SMEs attend a walk through to present the material to the development team, and they attend pilots of the course to teach the course to participants. And finally, SMEs become certified instructors of the course that they have helped developed.
- **General Instructor Qualifications:**
 - Because of the technical material contained in this program, instructors must have background that relates directly to the specific course content. **Individual course qualifications** will be detailed and will relate to the overall expertise needed as outlined in the specific course design document. Certification to teach one course in the program does not automatically qualify an individual to teach other courses in the program. Instructors' backgrounds will be reviewed per course and the certification process must be followed and repeated for each course for which an instructor is seeking certification.
 - Prospective instructors should submit a complete resume (or curriculum vitae) to Meredith York at mcody@utk.edu. Resumes should document experience in teaching and highlight any relevant agriculture or food related experience. References from current CAFSP instructors or subject matter experts are also strongly encouraged. In general, a minimum of 7 years of teaching experience working with adult learners will be required. In exceptional cases, specialized experience may be accepted to meet this minimum requirement.
- **Instructor Selection and Certification:**
 1. All potential instructors must submit a complete resume as described above to Meredith York, Business Manager. After a review by the Center Director or Associate Director to identify whether required instructor qualifications have

been met, the Business Manager will ordinarily contact the individual for follow-up information or to verify details contained in the resume. This contact will usually be made by phone.

2. CAFSP reserves the right to conduct background checks on all qualified applicants before including them in the instructional pool.
 3. All potential instructors must attend a delivery of the course. Attendance at only part of the course will not count towards this requirement. They must successfully complete the course post-test **with a score of 80% or higher** and receive a course certificate.
 4. Complete a ½ day instructor training program which consists of three components:
 - i. An instructor training module which emphasizes techniques for enhancing adult learning. **An instructor who has completed an existing Instructor Certification course through DHS or IFPTI may be exempt from this requirement provided a certificate of successful completion is provided to CAFSP.**
 - ii. An overview of CAFSP administrative policies which cover travel policies and necessary paperwork to be submitted for reimbursements.
 - iii. A 15 minute teach back of program materials. A satisfactory evaluation of instructional effectiveness must be received.
 5. Upon successful completion of these requirements, an instructor will be entered into the instructional pool with provisional certification. In order to receive full certification, an instructor must co-teach with an experienced instructor in a future class and receive a satisfactory evaluation by the experienced instructor.
 6. All instructors will be evaluated by course participants at each course delivery. The Director of the CAFSP will evaluate all data collected and if a problem develops with a particular instructor's effectiveness, CAFSP reserves the right to **revoke** the instructor's certification in the program. In most instances, **CAFSP will** work with an individual instructor to identify additional training needed or other methods to correct the deficiencies.
 7. In addition, the **CAFSP will have a third-party instructor evaluator** audit a course delivery **at least once every two years** to assess continued instructor effectiveness.
 8. All certified instructors will be expected to teach a minimum of 5 classes a year.
- Special Processes at Retail Instructor Qualifications:
 - Each individual selected to serve as an instructor for the Special Processes at Retail course must meet the following criteria:
 - **Content Expertise:**

- Document 5 years or more of retail food safety regulatory experience or equivalent;
- Document subject matter expertise and practical experience in a minimum of 3 of the Special Processes at Retail as defined by the *FDA Model Food Code*:
 1. Smoking food as a method of preservation
 2. Curing food
 3. Using food additives/ adding components to preserve food or render it shelf-stable
 4. Packaging using a reduced oxygen packaging (ROP) method
 5. Operating a Molluscan shellfish life-support system display tank
 6. Custom processing animals
 7. Sprouting seeds or beans
 8. Packaging juice at retail
 9. Fermentation (sausages, kimchi, yogurt, sourdough, etc.)
 10. Using performance standards
 11. Drying food to render it shelf-stable
- Provide evidence of a working knowledge and practical regulatory application of:
 1. Current *FDA Model Food Code* requirements for special processes in retail environments
 2. Definitions and concepts for TCS (Time/Temperature Control for Safety) foods
 3. Hazard Analysis and Critical Control Point (HACCP) principles
 4. Food safety hazards associated with foods prepared and served/sold in retail and foodservice establishments
 5. Active Managerial Control (AMC) to manage retail food safety
- Documentation of subject matter expertise and experience to address the criteria listed above, should include a written narrative (not to exceed two pages total). Certificates for completion of courses that address one or more of the special processes may also be included as additional evidence and documentation.
- Regulatory experience should be documented using a work history and brief explanation of job responsibilities and tasks.
- Equivalent food regulatory experience may include acting as a private consultant, a subject matter expert developing food regulatory codes, and academic and/ or laboratory expertise. Equivalent experience should be documented using a work history and brief explanation of job responsibilities and tasks specifically relating to food safety regulations.
- **Categories for Instructor Evaluation:**
 - Content Knowledge
 - Comprehensive knowledge of a minimum of 3 special processes at retail defined in the current *Model FDA Food Code* based on at least 15 regulatory inspections (or professional consultations) specifically related to these special processes

- Accurate responses to questions about content or application posed during course lecture, discussions, or exercises based on 5 years or more of retail food safety regulatory experience
- Support for FD312 Course Terminal Learning Objectives
 - Recognize special processes at retail that require a variance and/or mandatory HACCP plan per the *2013 FDA Food Code*
 - Identify possible hazards associated with the foods made using these special processes
 - Identify the control measures that must be implemented to prevent, reduce, or eliminate the hazards
 - Identify key tasks that are performed when conducting validations and field verifications of HACCP plans for reduced oxygen packaging (ROP)

2.5 Nondiscrimination statement of explanation.

The full University of Tennessee Knoxville, Non-Discrimination Statement EEO/AA statement reads as follows:

All qualified applicants will receive equal consideration for employment and admissions without regard to race, color, national origin, religion, sex, pregnancy, marital status, sexual orientation, gender identity, age, physical or mental disability, or covered veteran status.

Eligibility and other terms and conditions of employment benefits at The University of Tennessee are governed by laws and regulations of the State of Tennessee, and this non-discrimination statement is intended to be consistent with those laws and regulations.

In accordance with the requirements of Title VI of the Civil Rights Act of 1964, Title IX of the Education Amendments of 1972, Section 504 of the Rehabilitation Act of 1973, and the Americans with Disabilities Act of 1990, The University of Tennessee affirmatively states that it does not discriminate on the basis of race, sex, or disability in its education programs and activities, and this policy extends to employment by the University.

Inquiries and charges of violation of Title VI (race, color, and national origin), Title IX (sex), Section 504 (disability), ADA (disability), Age Discrimination in Employment Act (age), sexual orientation, or veteran status should be directed to the Office of Equity and Diversity (OED), 1840 Melrose Avenue, Knoxville, TN 37996-3560, telephone (865) 974-2498. Requests for accommodation of a disability should be directed to the ADA Coordinator at the Office of Equity and Diversity.

Inclusion of this statement is required in the following:

- Position announcements (which are not paid advertisements) sent to potential referral sources and other institutions of higher education to solicit applications or nominations.
- Catalogs, application forms, posters and other material used in conjunction with the referral and/or recruitment of students, faculty or staff.

- Publications which contain general information and are made available to alumni/ae, faculty, staff, students or other participants in or beneficiaries of University programs.

2.6 Finances should include funding sources, fees, cancellations and financial controls statement.

Funding Sources

- The Center for Agriculture and Food Security and Preparedness is a grant funded center at the University of Tennessee which is a non-profit entity.

Financial Controls

- The Center for Agriculture and Food Security and Preparedness as a part of the University of Tennessee must abide by and comply with all the fiscal and human resource policies and procedures of the University of Tennessee.

Fees, and cancellations

- Deadlines are handled by the local POCs. There is usually a limit on class size and most classes fill up. CAFSP does not provide specific policies as this is handled locally according to their provisions. However, local points of contact are given recommended guidelines for deadlines for registration. CAFSP prefers that all participants register for the course at least a week prior to the course in order to be able to fulfill the prerequisite web courses.
- Participants who are local, state, federal, tribal and territorial employees or officials can take the Special Processes at Retail Program at no cost. They are not obligated to pay for cancellation fees and thus would have no basis for refunds.
- For all other participants who are not local, state, federal, tribal and territorial employees or officials, they must pay for the web courses only. The cost of the web course is \$75.00 US each or they can choose three (3) courses for \$150.00 US. Instructor led courses fees vary due to cost of materials and course production.
- CAFSP does not accommodate requests for refunds. Under extreme circumstances cancellations by the registered participant for the web courses may be accommodated if requested prior to logging into the LMS to take a web course.
- At this time, there are no fees associated with the Instructor led course because the Instructor led course is only offered to local, state, federal, tribal and territorial employees or officials. If local Points of Contact wish to open seats in their course to participants who are not local, state, federal, tribal and territorial employees or officials, they may do so however this will take away from the number of seats for the target audience.
- Participants are not reimbursed by CAFSP for their travel to the instructor-led course. Participant expenses are the responsibility of their agency.

2.7 Commercial Support statement of explanation.

- Because CAFSP's program has no commercial support, there is nothing to disclose to any stakeholders. Thus no Commercial Support statement of explanation is required.

2.8 Audits statement of explanation.

CAFSP will review and verify documentation of courses and certificates awarded to ensure compliance with existing policies in addition to ensuring that all current ANSI/IACET 1-2013 Standards are met. 1/3 of all program policies and procedures will be audited per year by a first party reviewer who has no interest in the outcome of the results. The policies and procedures to be audited will be randomly chosen. After each audit has been completed, the auditor will provide the Program Manager with a written report of their findings. The Program Manager will investigate any reported deficiencies and recommend changes directly to the Director and Associate Director. The Director and Associate Director will review the deficiencies and recommended changes and either approve the recommended changes or provide alternative changes to address the deficiencies.

The University of Tennessee provides audit services through its Audit and Consulting Services. This service is designed to provide a third-party audit for all programs within the University of Tennessee System. Specifically, the UTA&CS will provide audit services to ensure compliance with university, state, and federal policies and regulations. Included in their services is auditing of compliance with policies and procedures. The UTA&CS will be utilized to conduct yearly third party audits.

Auditing of financial policies and procedures will be handled centrally by the Audit and Consulting Services.

2.9 Document Control should include scope, maintenance of controlled documents and changes to controlled documents.

Document Control Procedure

The Document Control Procedure assures that the electronic and hard copy versions of the documents produced by the Center for Agriculture and Food Security and Preparedness (CAFSP) are accessible to authorized employees and contractors of CAFSP, traceable in an efficient manner, protected from unauthorized edits, and stored in a secure manner.

Responsibility of Document Control

The Curriculum Team Leader, assisted by Curriculum Coordinator(s) and under the supervision of the Center Director is responsible for Document Control and developing systems for document control that are communicated to CAFSP staff, CAFSP contractors, and Grantors.

Document Storage

Accessibility

Electronic and hardcopy documents will be accessible only by CAFSP staff, CAFSP contractors, and Grantor staff. Documents also can be accessed by University of Tennessee staff for monitoring and copy editing purposes, with approval by the Center Director, Project Manager, or Curriculum Team Leader.

Electronic Document Storage

Electronic documents will be stored on the hard drives of CAFSP computers, on compact discs, flash drives, and web-based, secure storage sites (e.g., SkyDrive).

Web-based Storage

Web-based storage of documents can be in editable PowerPoint and Word documents and PDF formats for printing.

Hardcopy Document Storage

Final versions of hardcopy documents will be stored at the CAFSP facilities for 7 years.

Document Edits

In order to efficiently track the edits made to documents as well as the versions of documents, the following requirements will be met: Documents that are exchanged as attachments of electronic mail require the title of the document, author's initials and date of last revision, e.g., Safety abc mm/dd/yy.

Hard copy exchanges will require the author's initials and date of last revision printed on the document or in handwritten form, e.g., abc mm/dd/yy.

Web based documents can be tracked using the properties tab for each document, which indicates the date and time when the document was added and the date and time when the document was last modified.

Document Versions

To indicate the date of production or revision of a document, including full curricula manuals and supporting documents, the date of production/revision will be listed on the front cover of the curriculum manuals and at the bottom of the final page for supporting documents, e.g., revised dd/mm/yy. Approval for final versions of the documents is the responsibility of the Curriculum Team Leader and/or the Center Director. Final documents for presentation will be in read-only format to avoid the possibility of individual edits by instructors in the field. Edits after the final version has been approved will be the responsibility of the grantor OR the grantor, in conjunction with the UT-CAFSP.

Document possession and/or use at Termination of Employment

Upon termination of employment, documents will remain the property of the University of Tennessee, CAFSP and the Grantor and shall not be removed, copied, or deleted by employees of the University of Tennessee CAFSP or their contractors. Use of these documents or any content of these documents by former employees or former contractors is prohibited OR must have the written approval of UT-CAFSP and its grantor.

2.10 *Records Control* should include scope, schedule and storage.

Records Management Policy

Objective:

To provide policies and guidelines on the storage, retention and disposal of Center for Agriculture and Food Security and Preparedness (CAFSP) records. CAFSP is a part of the University of Tennessee.

General Policies: The term "records" includes any unit of information, regardless of form, made or received by any administrative staff while transacting official business of CAFSP. Examples of records include books, papers, letters, memoranda, forms, charts, reports, maps, photographs, scanned images, facsimiles, electronic files and data processing output in any media, and sound recording. Storing of records effectively can reduce costs, reduce litigation exposure, improve services and meet accountability commitments (e.g., audit).

All records created, received, or maintained by CAFSP must be retained and disposed of in accordance with this policy. No CAFSP record may be disposed of until the minimum retention period has elapsed. Retention periods could include time maintained at the CAFSP combined with retention at the CAFSP storage facility. Records must be retained as long as they pertain to a pending legal claim or action or any pending federal or state audit.

Maintenance of CAFSP Records

- All records must be maintained in a manner that provides:
- Access for staff to carry out their normal job responsibilities
- Reasonable protection against misplacement, loss, destruction, or theft.
- All records should be stored in a secure location accessible by authorized personnel
- Unless authorized by the CAFSP Business Manager, records must be stored in secure CAFSP facilities at all times. If records are loaned out, documentation should be made. Information regarding the loan should include: description of records, dates and the borrowing organization, requestor and expected date of return.
- Records should be maintained in an environment that is free from vermin, flooding, fire hazards, and unusual amounts of moisture, heat and dust.

Course Information Records

For each course that is presented by CAFSP, the following records are constructed and saved for Course Information Records:

- Batch Header Form – If applicable
- Registration Forms
- Completed by participants either in person or online
- Course Evaluation
- After each course is completed, participants are asked to complete an anonymous evaluation of the course. This is done in person for instructor led courses and online as part of each web course.

Course Evaluations Summary

The evaluations are calculated and participant responses are recorded. Sign-in sheet for instructor led courses record the attendance for each day of the course

The sign-in sheet will include a method to identify those who have provided a governmental photo ID in order to verify the participant's identity.

- Pre-Test
- Post-Tests
- Any other Tests required for a given course
- Web (online) Courses offered by CAFSP require registration through a secure online website (<http://cafsp-courses.vet.utk.edu/>) for the participant to take courses.

Some Instructor led courses require online Pre-requisite courses to be completed prior to attending the instructor led course.

Definitions

Defining records management terminology:

- Active Records - Records that are undergoing processing, referred to frequently, and accessible to the department

- Confidential (Sensitive) Records - Records indicating the level of sensitive data contained in them; records are designated confidential (sensitive) based on their type and status. Records designated confidential by statute and includes information or matters or records considered to be privileged and any aspect of which access by the general public has generally been denied. - Critical (Essential) (Vital) Records - Records whose loss could result in significant material damage to CAFSP and would be difficult to reconstruct if lost, stolen, or destroyed. This includes records essential to document the CAFSP's legal and/or financial position and to preserve the CAFSP's ongoing operation, commitments and rights. If critical records are identified, copies of such records must be stored in a separate location from the originals to minimize the potential for loss.

Destruction - Methods of destroying or discarding obsolete records which are no longer needed by CAFSP.

Disposal - Transfer of records in their final state, either for destruction or transfer to archives.

Disposition - Actions taken regarding records no longer needed for current CAFSP business. Actions include transfer to CAFSP storage facility, transfer to archives and disposal of records. Electronic Records - A CAFSP record kept in a non-tangible electronic format. Electronic records include but not limited to: word processor documents, spreadsheets, databases, PDF, HTML documents, scanned or imaged documents and any other type of file warehoused online, on a mainframe, on a computer hard drive, or on any external storage medium (including disks and flash drives). The same retention standards that apply to tangible CAFSP records also apply to Electronic Records, and retention periods outlined in the Record Retention Table apply equally to CAFSP Records in all formats.

Inactive Records - Records no longer needed to conduct current business or consulted infrequently (less than once per month), but are not eligible to be destroyed based on the retention period listed in this policy.

Non-Current - A record no longer required for the day-to-day conduct of an active business, also known as inactive.

Non-Record - A document such as a draft, worksheet, routine memo, or copy created for convenience or distribution that has no retention value and no filing need. Any record information which is original and unique is a record – if these qualities are absent, it is probably a non-record.

Official Records - A document processing public record status, created or received by a CAFSP employee, while conducting CAFSP business and serving CAFSP in an official capacity. This document type may be referred to as an Original Record, Primary Copy or Matter-of-Record Copy.

Official Repository - The area of the CAFSP designated as having responsibility for records.

Permanent Records - Records identified as permanent to CAFSP's ongoing and future operations and must be kept indefinitely. Include: (1) Participant records, (2) Personnel and Payroll records, (3) certain contracts, legal documents and other records with legal value, and (4) records of financial value.

Records - Records shall mean all documents, papers, letters, maps, books, photographs, microfilms, electronic data processing files and output, sound recording, or other material regardless of physical form or characteristics made or received pursuant to law or ordinance or in connection with the transaction of official business by CAFSP.

Electronic Recordkeeping

Electronic recordkeeping is the storage and retrieval of information in digital form. This means of recordkeeping includes, but is not limited to, the use of tapes, disks and optical disks and applies to all electronic records systems, such as emails, IRIS, and Taleo.

Electronic or optical media, both fixed and removable, should be classified with retention, and disposition policies created. Each employee, with the assistance of his or her supervisor as needed, is responsible for ascertaining and complying with the retention requirements for those electronic records in his or her custody, including but not limited to emails.

Filing Records

Official records should be stored in a consistent fashion within CAFSP; in a manner that provide protection against the misplacement, destruction, or theft; and in a way that allows quick identification and retrieval. Some records will be maintained by other areas of the university; such as payroll and human resources.

Central Storage of Records

A central location for records storage and maintenance should be established. Such facilities provide economical and efficient means for storing and retrieving permanent records and inactive records that must be retained for more than one year.

Disposal of records

CAFSP records (regardless of the storage medium) may be disposed of, provided the minimum retention period stated in the Minimum Retention Period (Section 20) has elapsed and the records are not needed for future administrative, legal, research/historical, or fiscal purpose. Records have administrative value if they contain information applicable to current or future CAFSP operations; legal value if they contain evidence of legally enforceable rights or obligations of CAFSP or they are subject to a litigation hold; research or historical value if they document the overall purpose, growth, history, services, programs and character of CAFSP, and fiscal value if they are required for budget development, financial reporting, or audit purposes. Notwithstanding anything to the contrary in this policy, no document should be destroyed during the pendency of active litigation or when such documents are being retained pursuant to a litigation hold.

The head (or designee) is responsible for performing, at least annually, a review to determine the value of usefulness of the department's records. During this review, the head or designee should identify all records that have their relevant retention period (time in office plus time in storage) and no longer needed for any purpose identified in this policy. He/she must designate each record as either an historical document to be transferred to archives or a document ready for destruction.

The head is responsible for authorizing the disposal of records. When the disposition is authorized, records containing sensitive and or confidential information should be destroyed (i.e., shredded and not recycled). A list of the records destroyed should be signed by the head or designee and be maintained in the files. Records that do not have to be destroyed may be recycled if services are available.

At least annually, the head or designee should also identify and dispose of all non-records. Non-record document no official activities and include: extra copies of documents kept for convenience or reference; stock supplies of publications and extra copies of circulated materials where original materials are filed; reading files; follow-up correspondence copies;

drafts or work copies of finalized documents; letters of transmittal that do not alter the transmitted information; and tapes of transcribed documents. In accordance with the PRC (Public Records Commission) all records destruction requests should be reviewed within 60 days receipt. After the 60 day review period has expired all records that have met their retention schedule should be destroyed.

Minimum Retention Period

The minimum retention periods for most records are specified below. Note: The official repository responsible for the records mentioned in this policy should be aware of all applicable laws and external agency regulations that may supersede these minimum retention periods and must ensure that these laws and regulations are followed in the retention and disposition of CAFSP records. In the following retention schedule, the Official Repository must hold the official record or series of records for the stated time period. These records, which can include paper copies and/or electronic data, are categorized below.

2.11 Confidentiality, Privacy and Security should include statement on participants, exams and scoring keys.

Privacy, Confidentiality, and Security

The Center for Agriculture and Food Security and Preparedness will safeguard the privacy of participants, where applicable, and will hold in confidence and in a secure manner the information obtained in the course of certificate program activities at all levels of the organization. Information about a particular candidate will not be disclosed to a third party by CAFSP personnel without the written consent of the candidate, except when mandated by law or by the agency of which funds the trainings such as FDA, DHS, CDC or USDA. Where the law requires the information to be disclosed to a third party in instances where the third party is not the funding agency, the candidate will be notified of the information provided.

The Center for Agriculture and Food Security and Preparedness as a part of the University of Tennessee must comply with the privacy policies of the University.

Confidential material is held under lock and key or under password protection and only those that work at the Center or University may access it for business purposes

The Center will abide by the policies and procedures regarding confidential information as found in the University of Tennessee's Board of Trustees' Identity Theft Prevention Program

Specifically, the Center considers the following items confidential:

- Credit Card information including the card number, card holder name, and address
- Tax identification numbers including, social security numbers, business identification numbers, and employer identification number
- Payroll information including, paychecks, paystubs, flexible benefits associated paperwork
- Medical information including, doctor names and claims, insurance claims, prescriptions, or any related personal medical information
- Other personal information belonging to participants including, date of birth, address, phone numbers, maiden name, names, customer number or unique identifier

- In addition to all the above-mentioned items, the Center also considers participants assessment materials which would include the answer sheets (Scantrons), and the participants scores as confidential documents which are held under lock and key or under password protection and only those that work in the Center or University may access that information for business reasons.

CAFSP will verify whether an individual holds a certificate

Should individuals other than the learners, the learner's employer, or the federal agency that funds the training request confirmation of a participant's scores, CAFSP will contact the participant, and obtain their permission.

Scores will not be released to anyone other than the participant, the participants' employer or the federal agency that funds the training unless permission is granted.

Paper records with learner and participant information are kept in sealed envelopes during the training in the locked shipping cases. The sealed envelopes are shipped back to CAFSP with the other materials in the cases.

3.0 PROGRAM ANALYSIS, DESIGN AND DEVELOPMENT

3.1 *Needs Analysis* statement of explanation.

In January 2012, CAFSP sent two Subject Matter Experts (SMEs) to audit the FDA Special Processes course to evaluate whether the class should be re-designed. It was determined that the existing course was not effective and a new course should be developed.

In February 2012, the first development meeting was held. Attendees included representatives from the FDA (contractor), SMEs and CAFSP staff. At the meeting, it was decided that the FDA instructor led course had too much content to be presented in two days. In order to shorten the instructor led course and make it more performance based, the group agreed that the development of the following web based prerequisite courses would be necessary:

- Reduced Oxygen Packaging
- Fermentation
- Curing, Smoking, Drying of Meat, Poultry and Fish, and the Processing of Fermented Sausages

During the first development meeting, the group discussed the overall course design including the course goals, learning objectives, instructional strategies, assessment strategies and content for both the instructor led and prerequisite web courses. The group prioritized the web courses and decided that the above web courses were to be developed first. It was agreed that the other 3 courses: Juicing, Shellfish, and Custom Processing would be developed at a later date because of lack of resources.

3.2 *Program Scope, Purpose, Target Audience, Intended Learning Outcomes and Term of Validity* should include explanations of each of the above and an explanation of challenge exams and ongoing requirements.

Purpose

The Special Processes at Retail Program Special Processes at Retail Program Certificate will prepare Food Safety Inspectors to inspect retail and food service establishments that utilize special processes to process food. Individual courses in this series identify the processes identified in *FDA Model Food Code* that require a variance and/or Hazard Analysis and Critical Control Point Plan (HACCP) system. In addition, validation and field verification of HACCP systems are explored. It will provide guidance in recognizing and evaluating the safety of these special processes that are typically not addressed in the Model Food Code. Special processes that are covered include adding components or food additives as a method of preservation or to render the food non-PHF (non TCS) rather than as a method of flavor enhancement; curing, smoking and drying of animal foods; fermented sausages; custom processing for personal use; packaging juices; sprouting; operating molluscan shellfish life support system display tanks; and reduced oxygen packaging.

Scope

The Special Processes at Retail Program Certificate courses describe the special processes used to prepare food in retail and foodservice establishments. The courses introduce special processes and related terminology. The special processes described relate to adding components or food additives as a method of preservation or to render the food non-PHF (non TCS) rather than as a method of flavor enhancement; curing, smoking and drying of animal foods; fermented sausages; custom processing for personal use; packaging juices; sprouting; operating molluscan shellfish life support system display tanks; and reduced oxygen packaging. Validation and field verification of HACCP and pre-requisite programs for retail and food service establishments are described in detail.

The Special Processes at Retail Program Certificate will prepare the target audience with the knowledge and skills to inspect retail and food service establishments that utilize special processes as identified by the FDA Food Code. The FDA Food Code identifies Special Processes as: food additives as a method of food preservation; curing, smoking, drying and fermentation of meat, poultry and fish; custom processing of meats; packaging of juices; sprouting; operating molluscan shellfish life support tanks; reduced oxygen packaging; fermentation as a method of food preservation; and validation and verification of Hazard Analysis and Critical Control Point Plans (HACCP).

Outcome

Food Inspectors who successfully complete the Program Special Processes at Retail Program Certificate will have a deeper understanding of potential food safety issues associated with the various special processes identified and discussed in the series.

Terms of Validity

The Term of Validity for certificates is based on the most current industry accepted guidelines and/or regulations. In the case of certificates provided through FDA funding, the Term of Validity is based on the most current FDA Food Code. Certificate requirements and assessments are reviewed by SME's and sponsoring agency when new guidelines are published to insure compliance. The certificate will be valid for life. The Oversight

Committee will review this decision at the release of every new Food Code to ensure that the information in previous versions is not so outdated as to make it necessary for certificate holders to retake the courses. Should the OC decide that the certificate is still valid for life, no changes to the program will be needed. Should the OC decide that all the certificate holders need to have the updated information in order for the certificate to remain valid, the OC will develop a plan to alert the certificate holders and how to implement the updates to the certificate program.

- Process to confirm certificate validity for individual certificate holders
 - Should employers or other agencies wish to verify that an individual has obtained a certificate, they should contact the Program Manager
 - The Program Manager will confirm or deny that the individual holds a certificate. Scores will not be released without written permission from the individual

Intended Learning Outcomes

Terminal Learning Objective

The Special Processes at Retail Program Certificate will prepare participants to inspect retail and food service establishments that utilize special processes as identified in the *FDA Food Code* that require a variance and/or Hazard Analysis and Critical Control Plan (HACCP) system.

3.3 *Curriculum Design and Development* statement of explanation.

Design

Following the initial meeting, CAFSP staff developed the Course Design Documents which outlined the course goals, terminal learning objectives, enabling learning objectives, instructional strategies, content and assessment strategies for both the instructor led and web based courses. The SMEs provided input via emails and telephone conferences. The final Course Design Document (CDD) was approved by the FDA.

Develop

After obtaining final approval of the CDD from the FDA, the SMEs provided the content identified in the design phase. The Curriculum Development Team, under the guidance of the Director, compiled and edited the materials for the instructor led modules.

In April 2012, a walk-through occurred in Knoxville, TN. At the walk-through, SMEs “trained” the instructor led modules to CAFSP staff and FDA representatives. The instructors presented the modules in the same manner required for a classroom setting. Following the two day walk-through, a two day development meeting was held for the purpose of completing an in depth review of the instructor led content and training activities. During this meeting edits to align the FD312 web courses with the instructor led course were discussed as well.

Following the April 2012 walk through, the course materials for the web based prerequisite courses were developed by the SMEs and Curriculum Development Team. The draft version was submitted to the FDA for approval.

In addition, all changes discussed at the development meeting were made to the instructor led course.

In June 2012, nine SMEs and the CAFSP Director and Curriculum Coordinator sat through the original FDA Special Processes course in Little Rock, AR.

In July 2012, a second walk-through occurred at the FDA in Rockville, MD. The instructors presented the modules in the same manner required for a classroom setting. Following the two day walk-through, a two day development meeting was held for the purpose of completing a second in depth review of the instructor led content and training activities.

Implement

The instructor led courses have a minimum of two pilot trainings to assess the engagement of the learners, the content and the training activities. Feedback is obtained from participants via course comment forms and end of course evaluations.

Two pilots were conducted for the FD312 course: Miami, FL (October 2012) and St. Paul, MN (December 2012). Prior to attending the pilots, participants completed the pre-requisite web based courses.

3.4 *Assessment Design and Development* statement of explanation.

Course Testing Assessment Process

Assessment Question Development

During the course development process, CAFSP and Subject Matter Experts develop course assessment questions. Assessment questions must address identified course Learning Objectives. Course development team will agree on the questions and will be multiple choice or true/false with the majority of questions being multiple choice. Questions are worded to avoid vagueness.

Score of Assessment

CAFSP utilizes the Nedelsky's Method as the basis for determining the passing score for each course assessment tool. After all questions for the course have been reviewed by the development team to ensure they address the course Learning Objectives, each question is reviewed to determine the likelihood of the borderline participant selecting the correct answer. This process provides a percentage for each question. All percentages are averaged for the final passing percentage for the course assessment.

To ensure that all SME's understand this process, CAFSP will review the steps with the development team for each course assessment. All development team members are provided with a written document describing Nedelsky's Method. Examples are used to ensure that development members understand the process prior to assigning scores to the actual assessment tool.

Participant Critique

Participants have the opportunity to critique the test in the evaluation given at the end of the course. There is a section of the evaluation where the participant can give feedback about any topic. In addition, during the pilot process, participants are given additional evaluations and are asked to give feedback about any part of the course including assessments.

Initial Scoring

Instructor Led Course

The initial scoring of the assessment takes place onsite of the ILT at the completion of the test. Instructors hand grade the post tests to ensure that the participants passed. If they did pass, they may receive their certificate for the ILT training. If the participant did not pass, the participant is given the opportunity to review the course materials and retake the assessment.

Web Based Courses

Web courses are scored by the Learning Management system Moodle at the completion of the post test. If the participant passes the assessment, they may go on to be granted their certificate for the particular course. If they did not, the participant may go back and review the course materials and retake the assessment. The system is set up so the participant cannot receive a certificate unless a passing score is earned.

Official Scoring

Official scoring of the ILT training occurs in the CAFSP office. The tests are looked over to ensure that the participants filled out the Scantrons correctly, and put into numerical order based on the unique identifier. After this process is complete, the tests are run through the scanning software to receive the scores and data. CAFSP looks over the score data to ensure the participants who received certificates did actually pass the assessment. If there was a mistake in the initial grading at the course site, the participant is contacted to see if they would like to retake the test. CAFSP asks the local point of contact to re-administer the assessment to the participant to ensure that the assessment policies are followed. The local Point of Contact will mail the test back to CAFSP where the test will be officially graded.

3.5 *Passing Scores* statement of explanation of development.

Determining Passing Score

CAFSP utilizes the Nedelsky's Method as the basis for determining the passing score for each course assessment tool. After all questions for the course have been reviewed by the development team to ensure they address the course Learning Objectives, each question is reviewed to determine the likelihood of the borderline participant selecting the correct answer. This process provides a percentage for each question. All percentages are averaged for the final passing percentage for the course assessment.

To ensure that all SME's understand this process, CAFSP will review the steps with the development team for each course assessment. All development team members are provided with a written document describing Nedelsky's Method. Examples are used to ensure that development members understand the process prior to assigning scores to the actual assessment tool.

Answer Keys

Keys of the post-test are sent to every learning event with the shipment of course materials. The initial scoring of the assessment takes place onsite of the ILT at the completion of the test. Instructors hand grade the post tests to ensure that the participants passed. In the office, CAFSP using Scantron scanning software, grades the assessments to get official results.

Learner Feedback

Learners can leave feedback about the testing process through the evaluations given to them at the end of each course.

Communication of Results

Instructor Led Course

For ILT, instructors communicate the informal results to the participants individually about whether they pass or fail the class immediately after the test. Only if there is a discrepancy between the informal score and the formal score, will the participants be notified by CAFSP staff, and this communication would take place within 2 weeks of the class taking place.

Web Based Course

For web courses, the Learning Management System communicates the results immediately to the participant after submission of the answers to the test questions. The participant submits all the answers and receives the post test score.

Storage of Learner's Scoring Information

Instructor Led Course

For ILT, all assessments are kept in the course folder for each delivery of the course. In addition, each learner's scoring information is entered in the CAFSP database which is accessible only to Center personnel.

Web Based Course

For web courses, all assessment data is stored in the Learning Management system. CAFSP staff can access that information through reporting mechanisms in the software. In addition, each learner's scoring information is entered in the CAFSP database which is accessible only to Center personnel.

4.0 PROGRAM IMPLEMENTATION

4.1 *Communication to Stakeholders* should include a listing of types of published information and statement on notification of program changes. The following items will be published on the website:

Organizational Structure and Overview

- Mission Statement
- About CAFSP
- Our Course Development Process
- Food and Drug Administration Trainings

Special Processes at Retail Program Certificate

- Special Processes at Retail Overview

- Certificate Program Plan
- CPP Development
 - Process
 - Purpose
 - Scope
 - Outcome
- Course Development
 - Certificate Oversight Members
 - Terminal Learning Objective
-
- Special Processes at Retail, Instructor Led Overview
 - Scope
 - Target Audience
- Special Processes-Curing, Smoking, Drying and Fermentation of Meat, Poultry and Fish
 - Overview
 - Scope
 - Target Audience
- Special Processes-Fermentation
 - Overview
 - Scope
 - Target Audience
- Reduced Oxygen Packaging (ROP)
 - Overview
 - Scope
 - Target Audience
- Shellfish
 - Overview
 - Scope
 - Target Audience
- Custom Processes
 - Overview
 - Scope
 - Target Audience
- Juicing
 - Overview
 - Scope
 - Target Audience
- Course Progression for all Web Courses
 - Course Requirements
 - Technical Requirements

Certificate Issuance and Use

- Information on how to request a certificate

- Invalidating a Certificate
- Fees, Cancellations and Refunds
-
- Terms of Validity
- Learner Identity

Policies and Procedures

- Compliance with the Americans with Disabilities Act
- Nondiscrimination
- Privacy, Confidentiality and Security
- Complaints and Appeals
 -
 -
- Course Testing Assessment Process
 - Assessment Question Development
 - Score of Assessment
 - Participant Critique
 - Initial Scoring
 - Instructor Led
 - Web-Based
 - Official Scoring
 -
 - Answer Keys
 - Learner Feedback
 - Communication of Results
 - Instructor Led Course
 - Web Based Course
 - Storage of Learner's Scoring Information
 - Instructor Led
 - Web Based Course
- Course Requisites
 - Web courses
 - Length of time for completing web courses
 - Instructor led course
- Instructor and Developer Bios
 - Instructors for FD 312 Special Processes at Retail
 - Developers for web courses in Special Processes at Retail Program Certificate

Evaluation of Certificate Program

- Pilot Process of Course
 - Evaluation of Course
 - Development Meeting

Statement on Notification of Program Changes

- Should any changes take place to the Special Processes at Retail Program Certificate, CAFSP will do the following to ensure that all prior and future certificate holders are aware of the change
 - A notice will be published on CAFSP's home page that there has been a change, and where to find information on the change
 - A notice will be published on CAFSP's Moodle main page that there has been a change, and where to find information on the change
 - The change will be detailed on the Special Processes at Retail section of the CAFSP website
 - The details of the change will also be emailed to all certificate holders

4.2 *Identity and Test Security* statement of explanation.

Learner Identity

CAFSP relies on the local Point of Contact to ensure that the participants who attend and sign-in on site for the Instructor led courses are people who pre-registered for the courses. For the web courses participants register using their email addresses. CAFSP emails the link to the web courses to the email address provided in the registration. We ask participants to keep their username and passwords private and not to share them with others.

Upon sign in, we ask participants to attest to their identities, and that the participants are the ones who completed the web courses by signing a statement that indicates that they completed the web courses not another individual.

Before the beginning of an Instructor led course, an instructor will ask to see a governmental issued ID for each person signing into the course.

Test Security

The Center considers participants assessment materials which would include the answer sheets (scantrons), and the participants scores as a confidential documents which are held under lock and key or under password protection and only those that work in the Center or University may access it for business reasons.

Instructor led test security

Paper records with learner and participant information are kept in sealed envelopes during the training in the locked pelican cases. The sealed envelopes are shipped back to CAFSP with the other materials in pelican cases.

Pretests, posttest, and center's activities will be kept in sealed envelopes in the locked pelican cases until the instructors are ready to pass them out. Also, there will be 2 versions of each of the tests in order to ensure the security of the assessments.

Web course test security

Each learner has a unique username and password and does not have access to other learners tests. Moodle scrambles the questions for each pre and posttest to ensure that participants cannot share answers to the assessments.

4.3 *Consistency of Course and Exam Delivery* statement of explanation.

Consistency of Course Delivery

Instructor Led Course

Before instructors can deliver the Special Processes at Retail course, they are provided information in person or through a webinar on how to deliver the course. In addition, they must observe the Special Processes at Retail course being delivered at least one time. Instructor candidates are then assigned one section of the Special Processes at Retail course content and must participate in a teach back session where they are evaluated by either the CAFSP Director or Associate Director. Upon successful completion of the teach back requirement, instructor candidates are granted provisional status and are assigned to a teaching team to help delivery one module at another delivery. They are evaluated on their performance by the other instructors before they are fully certified to teach the course. This helps ensure consistency.

To ensure consistency of delivery, the Special Processes at Retail Instructor's Guide, includes Instructor Notes in each module of the course that provide detailed instructions on how the various sections of the modules are to be delivered. Instructors are expected to follow the instructions in the Instructor Notes. In addition, a time schedule is provided for each module including the timing for the delivery of the module exercises to help ensure consistency.

Below are examples of Instructor's Notes from Module 4: Operating Molluscan Shellfish Life Support System Display Tanks at Retail and Food Service Establishments (p. 4-10 and p.4-20, respectively)



Instructor Note

Explain this is a picture of a retail establishment that operates a molluscan shellfish life support system display tank.



Ask: What red flags in this picture would be clues to an inspector that live shellfish are being stored and displayed in this establishment?

- Shellfish tank and sign stating "live local shellfish"

Other things an inspector might observe include:

- A "fish tank" with molluscan shellfish
- Molluscan shellfish in wet storage of any kind
- Seasonal display or storage of molluscan shellfish in water

Remind participants that if they encounter "red flags" such as these when conducting inspections, they should ask questions to determine whether a special process is being conducted at the retail facility.



Activity – Assemble a Live Molluscan Shellfish Tank

When completing inspections, it is important to understand how the main components of live shellfish storage tank systems work together to control contamination. In this activity, participants will practice assembling a live storage

tank system.

- Divide class into groups of 4-5 people.
- Distribute one Shellfish Tank Activity Kit to each group.
- Have groups refer to the Shellfish Tank Diagram Example on page 4-8 in the participant guide.
- After assembling the shellfish tanks, participants should match the control measure (laminated yellow card) with the appropriate tank component.
- Provide a hint: Insert the long plastic influent line tube in first.
- Allow groups 15 minutes to practice assembling a properly designed shellfish storage tank.
- Instructors should walk around to the different groups to answer questions or clarify information as needed.

Continue the discussion of the process for receiving and storing molluscan shellfish.

Web Course

The Special Processes at Retail web courses are delivered as computer based training via the Moodle Learning Management System. All course content must be completed prior to the course being completed.

Consistency of Exam Delivery

Instructor Led Course

Detailed instructions for administering pre-and post-tests are included in the course delivery instructions and training given to instructors. As part of the preparation to be an instructor they observe at least one class in order to understand the flow and protocols of the course delivery. Finally, the instructors who administer pre- and post-tests follow the written instructions for the respective tests. These instructions are included in the Instructor's Guide. Examples of the Instructor Notes are included below.



PRETEST Instructor Note (Module 1, page 1-10)

1. Handout a pre-test scantron to each participant.
2. Participants must use a **PENCIL** to complete the scantron.
3. Point out the "ID Number" line and example. Ask participants to bubble in their date of birth.
4. Point out the "Name" line and ask participants to bubble in the same name they provided when they registered for the class.
5. Point out the "Test Form" line. Ask participants to bubble in test code **A**.
6. Handout the pre-test and encourage participants to complete the pre-test on their own. Since the pre-test assesses the participants' baseline knowledge, they should be encouraged to leave questions blank when they are unsure of the answer. Answering questions by guessing can have a negative effect on the pre/post-test data.
7. Allow 15 minutes for participants to complete the pre-test.



POST-TEST Instructor Note (Module 14, page 14-6)

1. Remind participants to write their name on the answer sheet.
2. Each participant must achieve a minimum score of 74.6% to pass the course and receive the course certificate.
3. The test should take approximately 15–20 minutes to complete. Participants should complete the post-test and turn the post-test and answer sheet in to the instructors to be graded.
4. Instructors should grade the test and provide any participant who did not achieve 74.6% the opportunity to retake the test after the conclusion of the class day.
5. While participants wait for the post-test to be graded, they should complete the course evaluation.

Web Course

The pre- and post-tests for each of the Special Processes at Retail web courses are delivered via the Moodle Learning Management System. The same questions that are used in the pre-test are also used in the post-test. However, the order in which the questions are presented is scrambled in the post-test. All pre- and post-test questions are entered into a question bank by CAFSP staff. The questions and answers for the respective tests for each course are delivered in the same order each time a user takes the pre- and post-tests. To obtain a score, users must complete every question.

4.4 *Test Feedback* statement of explanation on methods of feedback.

Participant Critique

Participants will have the opportunity to provide feedback on the assessment methodologies in the evaluation given at the end of the course in a specific section on assessment tools. In addition, during the pilot process, participants are asked to give feedback about any part of the course including the assessment tools.

4.5 *Scoring* should include assessment scoring, requirement verification and feedback consideration.

Score of Assessment

CAFSP utilizes the Nedelsky's Method as the basis for determining the passing score for each course assessment tool. After all questions for the course have been reviewed by the development team to ensure they address the course Learning Objectives, each question is reviewed to determine the likelihood of the borderline participant selecting the correct answer. This process provides a percentage for each question. All percentages are averaged for the final passing percentage for the course assessment.

Initial Scoring

Instructor Led Course

The initial scoring of the assessment takes place onsite of the ILT at the completion of the test. Instructors hand grade the post tests to ensure that the participants passed. If they did pass, they may receive their certificate for the ILT training. If the participant did not pass, the participant is given the opportunity to review the course materials and retake the assessment once. If the participant does not pass after the second attempt at taking the

assessment, the participant is not allowed to retake the test more than twice. The participant will be required to take the course again in order to receive a certificate.

Web Based Courses

Web courses are scored by the Learning Management system Moodle at the completion of the post test. If the participant passes the assessment, they may go on to be granted their certificate for the particular course. If they did not, the participant may go back and review the course materials and retake the assessment. The system is set up so the participant cannot receive a certificate unless a passing score is earned.

Official Scoring

Official scoring of the ILT training occurs in the CAFSP office. The tests are looked over to ensure that the participants filled out the Scantrons correctly, and put into numerical order based on the unique identifier. After this process is complete, the tests are run through the scanning software to receive the scores and data. CAFSP looks over the score data to ensure the participants who received certificates did actually pass the assessment. If there was a mistake in the initial grading at the course site, the participant is contacted to see if they would like to retake the test. CAFSP asks the local point of contact to re-administer the assessment to the participant to ensure that the assessment policies are followed. The local Point of Contact will mail the test back to CAFSP where the test will be officially graded.

Answer Keys

Keys of the post-test are sent to every learning event with the shipment of course materials. The initial scoring of the assessment takes place onsite of the ILT at the completion of the test. Instructors hand grade the post tests to ensure that the participants passed. In the office, CAFSP using Scantron scanning software, grades the assessments to get official results.

Learner Feedback

Learners can leave feedback about the testing process through the evaluations given to them at the end of each course.

Requirement verification

Upon completion of the prerequisite web courses with a passing score in the post test, and the Instructor led Special Processes at Retail course with a passing score; participants may apply to the Special Processes at Retail Certificate. The participants would contact the Program Manager to request the certificate. Upon notification from the participant, the Program Manager will request CAFSP staff to verify that the participant has completed the prerequisite web courses with a passing score in the post test, and the Instructor led Special Processes at Retail course with a passing score. Upon verification, CAFSP staff will notify the participant that they have or have not met the requirements, verify the address and correct name of the participant, create the certificate with the correct name and affix the signature of the Director onto the certificate, and the mail the certificate to the participant within 2 business days. If the participant does not qualify, CAFSP staff will explain the rationale behind the decision and the steps that the participant can take to fulfill the requirements.

4.6 *Results should include communication and record of results.*
Communication of Results

Instructor Led Course

For ILT, instructors communicate the informal results to the participants individually about whether they pass or fail the class immediately after the test. Only if there is a discrepancy between the informal score and the formal score, will the participants be notified by CAFSP staff, and this communication would take place within 2 weeks of the class taking place.

Web Based Course

For web courses, the Learning Management System communicates the results immediately to the participant after submission of the answers to the test questions. The participant submits all the answers and receives the post test score.

Storage of Learner's Scoring Information

Instructor Led Course

For ILT, all assessments are kept in the course folder for each delivery of the course. In addition, each learner's scoring information is entered in the CAFSP database which is accessible only to Center personnel.

Web Based Course

For web courses, all assessment data is stored in the Learning Management system. CAFSP staff can access that information through reporting mechanisms in the software. In addition, each learner's scoring information is entered in the CAFSP database which is accessible only to Center personnel.

4.7 *Special Medical Requests* statement of explanation.

Compliance with ADA

Reasonable accommodations for the course and assessment will be provided at no cost to a candidate with disabilities covered by the Americans with Disabilities Act. Contact CAFSP to request accommodation upon registration of a course or at least 3 weeks prior to the Instructor led training.

4.8 *Disputes and Complaints* should include definitions, submission procedure, and determination of level of review, review responsibility of staff and advisory group and tracking.

Complaints process:

Participants with concerns regarding the course, assessment, personnel, or other elements of the certificate program are encouraged to discuss these concerns with instructors or Center personnel to try to resolve the matter informally. If informal resolution is not possible, and a candidate wishes to file a formal complaint, it should be submitted in writing to CAFSP within 90 days of the incident's occurrence. In the case of complaints related to a course or assessment administration, those must be submitted in writing within two weeks after the course or assessment administration. Anonymous complaints will not be considered. All types of complaints should be reported to the program manager for review. Should the nature of the complaint necessitate another office at the University to handle it, the program manager will inform the complainant. Examples of complaints that would be referred to other offices at the University would be complaints related to ADA compliance, Title VI, Title IX, Nondiscrimination, and sexual harassment.

Internal Complaints Process:

Upon receipt of a complaint, the program manager and the associate director will review the complaint. If the complaint is related to the programmatic aspect of the Center, the program manager and the associate director will investigate the complaint, and render a judgment which will be communicated to the complainant within 30 days. If the complaint is related to ADA compliance, Title VI, Title IX, Nondiscrimination, the complaint will be referred to the University of Tennessee's Office of Equity and Diversity. The complainant will be informed that they will be contacted by a staff member of that office. For complaints related to the University of Tennessee's Equal Employment Opportunity Affirmative Action and Diversity Policy, the complaint will be referred to the University of Tennessee's Human Resources office. The complainant will be informed that they will be contacted by a staff member of that office.

The program manager, the associate director, and director are not directly involved with scheduling, instruction, grading the assessments for any of the program's trainings. The majority of complaints and appeals that would be submitted will most likely fall into these categories. If there are complaints or appeals that do directly involve any of the management team, that person or persons will step aside from the complaint or appeals process. If the entire management team is directly involved with the complaint, CAFSP will ask FDA to mediate the situation.

- 4.9 *Appeals* should include definition, submission procedure, appeal process and appeals panel responsibility.

Appeals:

An appeal is a formal request for reconsideration of an adverse decision made by Center personnel, or its Instructors related to a candidate's achievement of a certificate of completion. The appeal must be made in writing to CAFSP within 30 days of receiving the determination being appealed.

Internal Appeals Process:

Upon receipt of an appeal, the director will review the appeal, meet with the program manager and the associate director to discuss the appeal and investigate the nature of the appeal. After investigation, the director will render a judgment which will be communicated to the complainant within 30 days.

The program manager, the associate director, and director are not directly involved with scheduling, instruction, grading the assessments for any of the program's trainings. The majority of complaints and appeals that would be submitted will most likely fall into these categories. If there are complaints or appeals that do directly involve any of the management team, that person or persons will step aside from the complaint or appeals process. If the entire management team is directly involved with the complaint, CAFSP will ask FDA to mediate the situation .

- 4.10 *Certificates* should include issuance criteria, qualifications determination, certificate composition, certificate verification request process, certificate invalidation conditions and procedure and certificate use.

Certificate Issuance and Use

Requirements

CAFSP Special Processes at Retail Program Certificates show that the participant has completed a prescribed course of study designed specifically to meet predefined industry requirements. The Certificate is not an attestation of qualification, competence or authority on a subject. There are no acronyms or other marks associated with the Certificate.

Participants can receive the certificate once they successfully complete the 6 web courses, *Curing, Smoking, Drying of Meat, Poultry and Fish and the Fermentation of Sausage, Fermentation, Reduced Oxygen Packaging, Shellfish, Custom Processes and Juicing*, and the Instructor led course *FD 312: Special Processes at Retail*.

Verification

Participants only receive the certificate once CAFSP staff verifies all the requirements of the certificate are met.

The certificate is issued to participants individually and is not transferable.

The certificate is signed by the director of CAFSP, Dr. Sharon Thompson and includes the following information:

- The name of the certificate holder
- The title of the program *Special Processes at Retail Program Certificate*
- The name of the issuer The Center for Agriculture and Food Security and Preparedness
- The Certificate issue date
- A number that is unique to the certificate holder. This is to prevent certificate fraud.

The learners must complete the pre-requisite web courses prior to being admitted into the instructor led course. All prerequisite web courses are stand alone and can be completed in any order. Learners do not have a time limit on when they should complete the pre-requisite web courses prior to being admitted into the instructor led course.

Prior to 2014, the learners were required to complete the following web courses:

- Reduced Oxygen Packaging
- Fermentation
- Curing, Smoking, Drying of Meat, Poultry and Fish, and the Processing of Fermented Sausages

In the future, they will be required to complete all six courses.

- Reduced Oxygen Packaging
- Fermentation
- Curing, Smoking, Drying and Fermentation of Meat, Poultry and Fish Reduced Oxygen Packaging
- Shellfish
- Juicing
- Custom Processing of Meat, Poultry and Fish for Personal Use

Certificate request verification process

Upon completion of the prerequisite web courses with a passing score in the post test, and the Instructor led Special Processes at Retail course with a passing score; participants may apply to the Special Processes at Retail Certificate. The participants would contact the

Program Manager to request the certificate. Upon notification from the participant, the Program Manager will request CAFSP staff to verify that the participant has completed the prerequisite web courses with a passing score in the post test, and the Instructor led Special Processes at Retail course with a passing score. Upon verification, CAFSP staff will notify the participant that they have or have not met the requirements, verify the address and correct name of the participant, create the certificate with the correct name and affix the signature of the Director onto the certificate, and the mail the certificate to the participant within 2 business days. If the participant does not qualify, CAFSP staff will explain the rationale behind the decision and the steps that the participant can take to fulfill the requirements.

Participants who have received the Special Processes at Retail Program Certificate can request that CAFSP reissue the certificate should their certificate be lost. To request that a certificate be reissued, the participant should contact the program manager. The program manager will check CAFSP records to ensure that the participant is on record as holding a certificate. Upon verification, the program manager will reissue the certificate.

Invalidation of Certificate

Certificates can be invalidated (certificates are not revoked) for the following reasons:

- If Participants are not present for the majority of the Instructor led course (75%)
- If Participants assist others during the testing or solicit assistance from other participants during the testing
- If Participants misrepresent or falsify their identity information or other information given to CAFSP

- If an instructor observes any participants engaging in any of these behaviors, they must inform the local Point of Contact of the policy that was violated, and remove the individual from the course. The individual must be informed about why they were removed and that they will not be issued a certificate unless they retake the course at a later time.

5.0 PROGRAM EVALUATION

5.1 *Evaluation Scope* statement of explanation.

Evaluation of Certificate Program

Pilot Process of Course

Evaluation of Course

During the pilot process of the course, each delivery of an ILT is evaluated by the CAFSP staff, the funding agency, the subject matter experts, the oversight committee and the participants.

Development Meeting

CAFSP staff, the funding agency, and the subject matter experts observe the delivery of a pilot, and after the pilot, hold a development meeting where the course is discussed, the student evaluations are read, and a discussion of what went well, what went poorly, and what needs to be changed. After the pilot, a tabulation of the student evaluations and a summary of all written portions of the student evaluations are reported to the CAFSP staff, the instructors, and the Oversight Committee.

At the completion of the training courses, CAFSP staff tabulates the average response for each quantitative question and types a summary of qualitative questions. These summary reports are sent to the CAFSP directors, instructors in order for them to measure program effectiveness.

In addition, after every delivery of the FD 312: Special Processes at Retail course, CAFSP has received feedback on what the funding agency would like to be changed.

For web courses, participants are asked to complete a quantitative evaluation. Moodle automatically tabulates the survey data, and the web course evaluations are reported to CAFSP directors, the funding agency, and the Oversight Committee on a quarterly basis.

Surveys

CAFSP will send out periodic surveys to the participants after completion of the course in order to gauge long term effects of the courses. This data is analyzed in order to ensure that the courses support long time learning.

Semi-Annual Report

The funding agency receives semi-annual reports with all the performance data from the courses.

5.2 *Evaluation Report and Recommendations* statement of explanation.

Twice a year an evaluation report that includes all the performance data from the courses will be generated. The data of the report will comprised of summaries per class of the average response for each quantitative question and summaries of the qualitative questions of the student evaluations; and the pretest, posttest, and the Center's activity average scores for each class. In addition, the summary data including the pretest and posttests and the evaluations from each web course will be included in the evaluation report. This report will be sent prior to a meeting of the Oversight Committee.

During each meeting, the OC will discuss the results of the evaluation report and vote on recommendations to change the program's purpose, scope, learning outcomes, design, content, method of delivery or assessment methods if any are deemed to be needed. In addition, if a survey has been administered during the time period that is being evaluated, the results will be shared with the OC.