Assessing Your Program Through Standards

Presenters:
Della Croteau—Ontario College of Pharmacists
Steve Nettles—Applied Measurement Professionals, Inc.
Cynthia Woodley—Professional Testing, Inc.
(Moderated by) Sandra Greenberg—Professional Examination Service

Promoting Regulatory Excellence

Format for Today’s Session

• Quick review of selected psychometric and regulatory standards
• Impact of these standards on implementation of ongoing credentialing programs
• Your questions and discussion

Assessing Your Program Through Psychometric Standards

Presenters: Steve Nettles
Applied Measurement Professionals, Inc.

Promoting Regulatory Excellence
Psychometric Standards

- Standards for Educational and Psychological Testing (AERA, APA, NCME)
- National Commission for Certification Agencies (NCCA)
- American National Standards Institute (ANSI) ISO 17024

Part I: Test Construction, Evaluation, and Documentation
  - validity, reliability, scoring, etc.

Part II: Fairness in Testing and Test Use
  - Rights of test-takers, those with diverse linguistic backgrounds or disabilities

Part III: Testing Applications: The Responsibilities of Test Users
  - Psychological, educational, employment, credentialing

NCCA Standards

- Accredits certification organizations
- Help ensure the health, welfare, and safety of the public
- Identifies certification programs that serve the public's competency needs
- Significant documentation requirements
  - Up to 32 supporting documents
- Uses peer review process
  - Administrative and psychometric
Presenters:  
Cynthia D. Woodley  
Professional Testing Inc.

What is ISO?

- International Organization for Standards (ISO)
- World’s largest developer and publisher of International Standards
- Made up of Member Bodies (ANSI, BSI, etc.) 157 countries
- Non-governmental bridge between public and private sectors
- Voluntary, open/public, consensus driven process
- Developed more than 16,500 International Standards

What is ISO17024?

- International Standard for Accreditation of Personnel Certification Bodies
- Official Title – General requirements for bodies operating certification of persons
- Standard passed 2003 and currently undergoing revision (ISO – every 5 years)
- ANSI accredits certification bodies as being in compliance (conformity assessment) with ISO 17024
ANSI?

- American National Standards Institute (ANSI)
- Formed in 1918 by voluntary standards bodies
- Mission – Enhance both global competitiveness of U.S. businesses and the U.S. quality of life by promoting and facilitating voluntary consensus standards and conformity assessment systems

ANSI?

- Accreditation Activities and Standards Development Activities
- Clear separation between two activities
- Official United States Representative to ISO (unlike some countries where the government is the representative)
- Member of International Accreditation Forum (IAF)
- Standard adopted as American National Standard and then proposed as International Standard

WHY ISO17024?

- Services" outpacing “products” in the national and global economy
- Lack of standardization of a “certified person”
- Need for a mechanism to ensure legitimacy of certification agencies
- To create a National and International System for recognition of "credentials" to deliver services
- To facilitate the mobility of people from one jurisdiction to another
Relationship to Licensure?

- Accredited certification programs being used for licensure or in lieu of licensure (food industry, solar industry)
- In other countries, standards and personnel qualifications are governmental responsibility (licensure)
- Reciprocity of US certified individuals to licensed professions in other countries

Uniqueness of ISO17024

- Emphasis on Management System
- Focus on Organizational Structure
- Surveillance
  - Proactive process to monitor certificants
- Emphasis on Integrity, Impartiality and Fairness
  - Substantiated by governance and policy
  - Woven throughout requirements
- International Endorsement & Input

Standards for Quality Assurance Programs for Ontario Health Professionals

Presenters: Della Croteau, Deputy Registrar
Ontario College of Pharmacists

Promoting Regulatory Excellence
Regulatory Standards

- Regulated Health Profession Act (RHPA)
- Self-regulation of all health professions to enhance accountability and public protection
- Quality Assurance (QA)
  - Mandatory component of self-regulation

Minimum Requirements for QA Program

a) Continuing professional development to address CQI, changes in practice, SOP, advances in technology, and changes made to entry to practice requirements
b) Self, peer and practice assessments
c) A mechanism for the College to monitor members’ participation in, and compliance with, the quality assurance program

Implementation—
The Standards and NCCA

Presenters: Steve Nettles
Applied Measurement Professionals, Inc.
Standards - Part I: Test Construction, Evaluation, and Documentation

1. Validity – evidence in support of score interpretations
2. Reliability and Errors of Measurement – the consistency of test scores
3. Test Development and Revision – producing an assessment of an individual’s knowledge, skill, or ability by combining items according to a specified plan

4. Scales, Norms, and Score Comparability – devising a scoring system that enhances interpretation and comparability of scores
5. Test Administration, Scoring, and Reporting – standardizing directions to examinees, testing conditions, and scoring procedures
6. Supporting Documentation for Tests – nature of the test, intended use, how developed, scoring and scaling information, validity and reliability evidence, administration guidelines

Standards - Part II: Fairness in Testing

7. Fairness in Testing and Test Use – lack of bias, equitable treatment, equality in outcomes of testing, opportunity to learn
8. The Rights and Responsibilities of Test Takers – right to professionally developed and administered tests; responsibility for test preparation, following directions, honestly representing themselves, not interfering with performance of other test takers.
Standards - Part II: Fairness in Testing

- 9. Testing Individuals of Diverse Linguistic Backgrounds – consider language background in developing, selecting, and administering tests and interpreting test performance
- 10. Testing Individuals with Disabilities – providing appropriate accommodations, modifications, or adaptations, that minimize the test-taker attributes that are not relevant to the focus of the assessment
  - Test presentation and response format, timing and setting

Standards – Part III: Testing Applications

The Responsibilities of Test Users

- 11. Responsibilities of Test Users – test users should have a clear understanding of the testing and its probable consequences
- 12. Psychological Testing and Assessment – the interaction between a testing professional and a client – with individuals and in employment testing
- 13. Educational Testing and Assessment – routine system-wide testing, testing for selection in higher education, individualized and special needs testing

Standards – Part III: Testing Applications The Responsibilities of Test Users

- 14. Testing in Employment and Credentialing
  - Employment: selection, placement, and promotion
  - Credentialing: competence in a specified domain
- 15. Testing in Program Evaluation and Public Policy
  - Program Evaluation: studies to evaluate the need for the program, its implementation, and its value
  - Public Policy: studies that contribute to judgments about plans, principles, or procedures used to achieve broad public goals
NCCA
- Separately governed accreditation body of the National Organization of Competency Assurance (NOCA), soon to be Institute for Credentialing Excellence (ICE)
- Formally created in 1989
- Commission Structure
  - Program representation
  - Psychometric consultants
  - Public Member
- NCCA Standards first established in late 1970s

Components of Standards
- Standard Statement - An accreditation requirement that must be met.
- Essential Element - Specifies what must be done to fulfill the requirements of a standard.
- Commentary - Clarifies terms, provides examples that explain a standard, or offers suggestions regarding evidence needed to demonstrate compliance
Sample Standard

• **Standard 7**
  – The certification program must publish a description of the assessment instruments used to make certification decisions as well as the research methods used to ensure that the assessment instruments are valid.

• **Essential Element:**
  – A. Procedures related to assessment instruments must address development and validation, eligibility requirements, and administration (e.g., availability and location, fees, reporting of results).

• **Commentary**
  – Suggested evidence to document that the Standard has been met may include a candidate handbook, brochures about the certification program, and other public documents.

NCCA Exhibit Documentation List

- Mission Statement/Purpose
- Bylaws
- Articles of Incorporation
- Policies and Procedures Document
- Candidate Brochure/Handbook/Information/Application
- Strategic/Business Plan
- Advisory Committee Chart/Description
- Organizational Chart
- Financial Statement
- Resumes of Key Staff/Resumes of Consultants
- Procedures for ADA Compliance
- Directory of Certified Individuals
- Other Public Documents
- Renewal/Recertification Publication
- Job/Practice Analysis Report
- Assessment Instrument Specifications
- Assessment Training Manuals: examiners, proctors, raters
- Procedures for Test Construction
- Technical Report with Statistics
- Item Development Report/Procedures
- Cut Score Study Report
- Quality Control Procedures
- Scoring or Other Procedures
- Security Procedures
- Sample Score Reports – Pass and Fail
- Examination/Instructor's Materials
- Disciplinary Policy
- Appeals Policy
- Organization/Program's annual report to stakeholders
- Recertification Policies and Procedures
- Confidentiality Policy/Records
- Retention Policy

Sample NCCA FAQs (www.noca.org)

- When is an organization eligible to apply for accreditation for one or more of its programs?
- How can my organization receive a copy of the application?
- How are NCCA accreditation applications reviewed?
- How often should our certification program conduct a job analysis?
- How many individuals are required to serve on a job analysis committee?
What they have in-common

- Purpose of the test; Instructions to Candidates
  - Candidate Brochure or Handbook, Application
- Job/Practice Analysis
- Assessment Instrument Specifications
- Item Development Procedures
  - Types of items; response format
- Procedures for Test Construction

What they have in-common

- Passing score determination/ standard setting
- Scaling and Equating Procedures
- Security/Standardization Procedures
  - Examiner’s/Proctor’s Materials
  - Quality Control Procedures
- Score Reporting – Individual (Pass/Fail); Group Data
- Technical report with lots of statistics
- Procedures for keeping test content current

Implementation—ISO and ANSI

Presenters: Cynthia D. Woodley
Professional Testing Inc.
General Requirements for 17024

- 4 Requirements for certification bodies
  - 4.1 Certification body
  - 4.2 Organizational structure
  - 4.3 Development and maintenance of a certification scheme
  - 4.4 Management system
  - 4.5 Subcontracting
  - 4.6 Records
  - 4.7 Confidentiality
  - 4.8 Security

General Requirements for 17024

- 5 Requirements for certification body personnel
  - 5.1 Employed or contracted persons
  - 5.2 Examiners

General Requirements for 17024

- 6 Certification process
  - 6.1 Application and requirements for certification
  - 6.2 Evaluation—eligibility and exam
  - 6.3 Certification decision
  - 6.4 Surveillance and recertification
  - 6.5 Recertification
  - 6.6 Use of certification logos and marks
Organizational Structure Requirements

- Structure—assure impartiality and independence; no undue influence or perception of bias or conflict of interest
- Appoints a scheme (exam) committee
- Separates certification from training
- Process for resolving complaints

Policies and Procedures Requirements

- Ensure Fairness and Equity
- Ensure Consistency
- Serves as guideposts for staff decisions
- Serves to document clear expectations for the person applying for certification and to the public
- Legal documents to fall back on when issues arise

Scheme Development Requirements

- Provide evidence of validity of the Assessment Tool
- Ensure that Competencies of the certification reflects the actual “work”
- Include “experts” in the development process
- Include all aspects of the scope of “certification”
- Provide mechanisms to continually collect data to ensure the competencies are relevant and “up-to-date”
Management System Requirements

- The "Central Focus" of Quality
- System must be documented
- Internal audits
- Document/record control
- Data analysis (inputs and outputs)
- Continuous Improvement

Management System Requirements

- Systematic Continuous Quality Improvement
  - Policies
  - Structure
  - Examination/Assessment Tool
  - Sub-contracting
  - Records
  - Confidentiality and Security
  - Certification Body Personnel
  - Certification Process

Outsourcing or Subcontracting Requirements

- Creation of a proper agreement
- Clarity of Responsibilities
- Monitoring of "services"
  - Quality of Services
  - Timeliness of Services
  - Competency of personnel
  - Confidentiality and Security
Record Keeping Requirements

- Initial Certification Records for Candidate (Profile of certificant, Examination Records)
- Re-certification Records (History, Documentation of Continuing Education/Exams, Accurate up-to-date history)
- Discipline Records (Complaints, Actions Taken)

Confidentiality and Security Requirements

- Confidentiality and Security Policy and Procedures
- Documented with evidence that system is in place
- Orientation of personnel as to importance of confidentiality
- Security of the Examination
  - Storage
  - Databases
  - Transporting
  - Proctoring
  - Test Items

Personnel/Staff Requirements

- Roles & Responsibilities defined (job descriptions, etc.)
- Competency measured (qualifications defined, resumes meet qualifications)
- On-going learning and training (evidence of monitoring of performance, corrective actions)
- Personnel Records Maintained
- Examiners
  - Qualifications
  - Inter-rater Reliability
Program Requirements (non psycho)

- Quality and Efficiency of the Application
- A process for monitoring certificants exists (surveillance – not just recertification)
- Re-certification facilitates "continued competency"
- Logos and/or Marks are properly protected
- Ability to remove credential

ISO17024 Successes

- International Prominence (US and Canada) (ANSI, Standards Council of Canada)
- Certification Programs obtaining both NCCA and ISO17024 accreditation (ARDMS, BCSP)
- MLA and MRA being developed between accrediting bodies (endorsed scheme)
- Transportability of workers/professionals holding credible credentials is the goal (flat world)

Implementation—
Quality Assurance Programs for Ontario Health Professionals

Presenters: Della Croteau, Deputy Registrar
Ontario College of Pharmacists

Promoting Regulatory Excellence
Evaluation of the Quality Assurance Program of the Ontario College of Pharmacists

Quality Assurance Program

- The Two-Part Register (Part A & Part B)
- Practice Review
- Learning Portfolio (Part A & Part B)
- Self-Assessment Survey (Part A)
- Peer Review (Part A)

Peer Review

- Random Selection (Part A)
- Learning Portfolio sharing
- Clinical Knowledge Assessment *
- Standardized Patient Interviews
  - Gathering Information *
  - Patient Management and Follow Up *
  - Communication Skills *

* Peer Review Assessment Components
Peer Review

- Based on competencies and standards of practices
- Grounded in professional practice
- Complements pharmacy inspections
- Peer-driven process
- Assessment directs continuous professional development (CPD)

12-Year Review

- 1997-2009
- 2229 pharmacists self-directed
- 283 pharmacists in need of peer-guided professional development
  - Education Action Plan
  - Peer Support Group
  - Pharmacy Skills Professional Enhancement Workshop

Formative Evaluation

- At each sitting:
  - Participants evaluate relevancy to practice on each case (both MCQ and OSCE)
  - Feedback session with all participants
Formative Evaluation (cont’d)

- Data is used to assist in determining validity of cases
- Feedback used to improve processes (i.e. example case)

External Evaluation (1)

- By Health Professions Regulatory Advisory Council to Minister of Health and Long-Term Care – October 2000
  - Comprehensive self-evaluation based on initial QA model
  - "College’s Practice Assessment could be used as a model or best practice for QA because it is objective, fair and carefully developed.”
  - Recommended further evaluation

External Evaluation (2)

- A 5-year review (1997-2002) performed in 2003
- To discover the impact of OCP Quality Assurance Program on pharmacy practice since its implementation in 1996
**Participants**

- **Control Group** (SA2002)
  - Self-Assessment Survey Only But Not Peer Review (2002)
  - N = 322

- **Long-Term Impact Group** (PR97/98)
  - Peer Review (1997/98)
  - N = 67
  - Mailed Questionnaires
  - Telephone Interviews

- **Short-Term Impact Group** (PR2002)
  - Peer Review (2002)
  - N = 136
  - Telephone Interviews

**CLEAR 2009 Annual Conference**

**September 10-12 Denver, Colorado**

- To examine the impact of Peer Review with respect to pharmacists’:
  - Continuous professional development (CPD) activities
  - Attitude towards patients
  - Professional practice
  - Perspectives on quality assurance

**Control Group (SA2002)**

- Participated in Self-Assessment Survey only (2002)
- Did not participate in Peer Review
- 82% → update Learning Portfolios
- 79% → ↑ professional reading
- 78% → ↑ attendance to CE
- 70% → identified knowledge gaps
Short-Term Impact Group (PR2002)

- Participated in Self-Assessment Survey & Peer Review (2002)
- Overall positive experience
- International pharmacy graduates & community pharmacists experienced a greater impact

Long-Term Impact Group (PR97/98)

- Participated in Self-Assessment Survey & Peer Review (1997/98)
- Overall positive influence
- Importance of CPD in the profession
- ↑ age more likely to identify gaps in knowledge & skills
- International pharmacy graduates & community pharmacists experienced a greater impact

Impact of QA Program on Pharmacists’ Practice

- PR97/98 > PR2002
- 94% → Positive for the profession
- 88% → More responsive to patients
- 83% → ↑ Communication skills
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  ➢ Harry Cummings & Associates Inc.
    (http://www.hcaconsulting.ca)
• Further Information
  ➢ Della Croteau (dcroteau@ocpinfo.com)

And now . . .

• Your questions and discussion

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