


 Council on Licensure, Enforcement and Regulation


2009 Annual Conference
September 10 - 12

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


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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


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Assessing Your Program Through Psychometric Standards


Presenters: Steve Nettles
Applied Measurement Professionals, Inc.

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Psychometric Standards

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

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- 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

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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

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Presenters: **Cynthia D. Woodley**
Professional Testing Inc.

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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

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 **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

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 **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

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 **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

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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

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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

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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**

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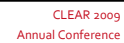

Presenters: **Della Croteau, Deputy Registrar**
Ontario College of Pharmacists

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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

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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**

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Presenters: **Steve Nettles**
**Applied Measurement Professionals,
Inc.**

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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*

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Standards - Part I: Test Construction, Evaluation, and Documentation

- 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*

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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.*

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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*

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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*

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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*

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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


• Used with permission from Chuck Friedman "An Overview of the National Commission for Certifying Agencies" CLEAR 2002

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NCCA

- NCCA accredits certification programs not organizations, agencies, or testing service providers.
- Certification programs may be sponsored by non-profit or for-profit organizations or sponsors.
- Accreditation is awarded for five years.
- NCCA standards (21) are consistent with Standards for Educational and Psychological Testing and other national standards and guidelines.
- Requires
 - Application
 - Supporting Documents and Exhibits
 - NCCA Required Specific Forms
- Evaluation of process description and products.


• Used with permission from Chuck Friedman "An Overview of the National Commission for Certifying Agencies" CLEAR 2002

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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

• Modified from "An Overview of the National Commission for Certifying Agencies" by Chuck Friedman, CLEAR 2002

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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.

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NCCA Exhibit Documentation List

<ul style="list-style-type: none"> • 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 	<ul style="list-style-type: none"> • 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 • Equating or Other Procedures • Security Procedures • Sample Score Reports – Pass and Fail • Examiner's/Proctor's Materials • Disciplinary Policy • Appeals Policy • Organization/Program's annual report to stakeholders • Recertification Policies and Procedures • Confidentiality Policy Records • Retention Policy
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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?

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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

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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

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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



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General Requirements for 17024


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



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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

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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

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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



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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"

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Management System Requirements

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




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Management System Requirements


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




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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



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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)

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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



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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



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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

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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


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Ontario College of Pharmacists

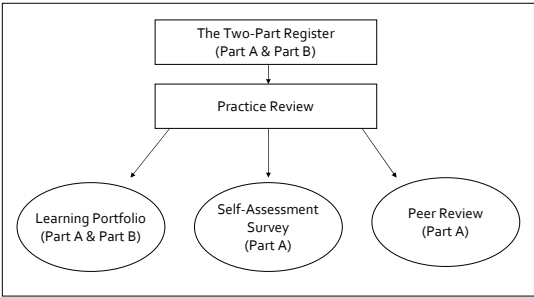
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Evaluation of the Quality Assurance Program of the Ontario College of Pharmacists

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Quality Assurance Program




```
graph TD; A[The Two-Part Register (Part A & Part B)] --> B[Practice Review]; B --> C([Learning Portfolio (Part A & Part B)]); B --> D([Self-Assessment Survey (Part A)]); B --> E([Peer Review (Part A)])
```

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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

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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)

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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

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Formative Evaluation

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

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Formative Evaluation (cont'd)

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

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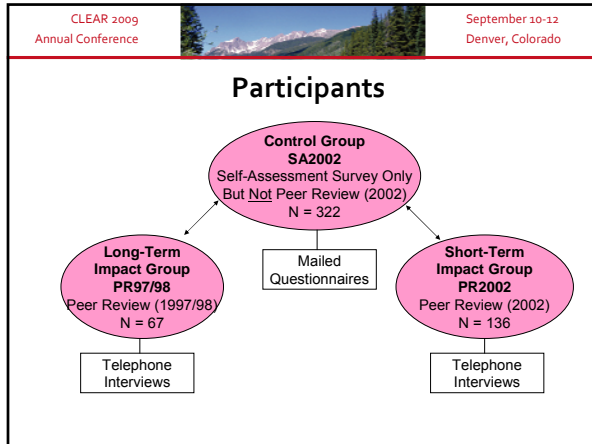
External Evaluation (1)


- 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


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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




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- 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

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- ### 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

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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

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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


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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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- Acknowledgement
 - Harry Cummings & Associates Inc. (<http://www.hcaconsulting.ca>)
- Further Information
 - Della Croteau (dcroteau@ocpinfo.com)

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And now . . .

- **Your questions and discussion**

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