<u>**Presentation to the Texas State Board of Pharmacy**</u>

November 18, 2008

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Chief Executive Officer
Institute for the Certification of Pharmacy Technicians (ICPT)

ICPT thanks the Texas State Board of Pharmacy for the opportunity to address questions of the Board in advance. We hope the following document addresses each question; we look forward to answering any questions of the Board at the November meeting.

Institute for the Certification of Pharmacy Technicians

1. When was ICPT established?

   ICPT was established in October 2005 in response to demand from pharmacy employers, pharmacy organizations and Boards of Pharmacy who wanted alternatives in the market.

2. Who are the members of the governing board, if any?

   The Certification Governing Committee has authority over essential certification and recertification decisions including establishing and ensuring effectiveness and fairness of certification policies, procedures and assessment instruments. Specifically, the Certification Governing Committee is responsible for:

   - Adopting certification program policies and procedures
   - Adopting its own rules of procedure
   - Approving the ExCPT® blueprint, scoring, scaling and equating methods
   - Appointing an advisory Expert Panel and to act on the Expert Panel's recommendations
   - Appointing an Appeals Committee
   - Electing successors on the Committee

   The Certification Governing Committee has autonomy and its decisions are not be subject to approval by or undue influence from pharmacy associations or any other body. Independent decision-making is a fundamental requirement for accreditation of a certification program.

Consequently, there are no seats designated for special interest groups such as pharmacy associations on this governing body.

The Certification Governing Committee is comprised of 9 members. At least five members are Certified Pharmacy Technicians in good standing. One is a public member who is a recipient of the services provided by Certified Pharmacy Technicians. Three members represent other stakeholders such as employers, educators or regulators. Members of the Certification Governing Committee are presented in the table below.

Name	Board position	Qualification	Stakeholder representation
Anita Benavidez	Chair	CPhT, BS Administration	Certificants, health insurance, compounding
Louis Chiodini	Member	BS Civil Enginer, PDD Engineering Mgt	Public
Judy Clark	Member	BS Pharmacy, MBA,	Hospital employers
Chirag Darji	Member	CPhT, BS Biology	Certificants, community
Kellina James	Member	CPhT BS Biology, AS Radiologic Tech	Certificants, community
Tim Koch	Member	BS Pharmacy, Board of Pharmacy Member	Board of Pharmacy, Community Employer
David Mankoff	Member	CPhT, PharmD Candidate	Certificants, community
Cindy Switzer	Member	BS Pharmacy, MBA	Pharmacy employers, Buying groups
Barbara Lacher	Member	CPhT	Certificants, Technician educator

3. What is the mission or purpose of ICPT?

The mission of the Institute for the Certification of Pharmacy Technicians is to recognize pharmacy technicians who are proficient in the knowledge and skills needed to assist pharmacists to safely, accurately and efficiently prepare and dispense prescriptions and to promote high standards of practice for pharmacy technicians.

In support of this mission, ICPT:

* Promotes high standards of practice for pharmacy technicians.

* Promotes safe and effective patient care by encouraging the use of

highly qualified pharmacy technicians in all pharmacy practice settings.

* Develops and conducts examinations that evaluate the knowledge and skills associated with the performance of tasks required for professional practice as a pharmacy technician.

* Provides a means for recognizing pharmacy technicians who continue to demonstrate their qualifications by complying with ICPT continuing education requirements and adhering to high professional standards.

Exam for the Certification of Pharmacy Technicians (ExCPT)

4. What was the first date the exam was administered?

    The exam was first administered in October 2005.

5-7 How many individuals have taken ((passed and failed) the exam?

2005	2006	2007	2008	Total
52	329	1049	3221	4651

To date, 3436 candidates (73.8%) have passed the ExCPT and earned the CPhT designation. Pass rate statistics are published on the ICPT website. It is expected that the number of candidates will continue to rise steadily as the advantage of ExCPT become more widely recognized, as the number of states approving the ExCPT continues to rise, and as additional states decide to require certification of all pharmacy technicians.

8. Do any states recognize the exam as a pre-requisite for registration/licensure/certification? If so, which states?

    State regulations vary with regard to requirements for registration, training/education and certification. The ExCPT has been reviewed and approved by 19 Boards of Pharmacy. In an additional 22 states/districts, the ExCPT is an option for pharmacy technicians. There are ten states remaining where approval before the Board is in process.

    State Boards that have approved ExCPT include: CT, FL, IN, IA, IL, KS, MA, MD, MN, MT, NH, NJ, NM, OR, RI, UT, NV, SC, WA.

    States/districts where the ExCPT is a voluntary option include: AR, DE, DC, HI, ID, MI, MS, MO, NE, NY, ND, OH, OK, PA, SD, VT, WI, TN, CO, GA, AK, ME.

9. How often is the exam given?

The ExCPT is administered on-demand over 300 days a year. Candidates must meet the eligibility criteria but are often able to sit for the ExCPT within days of registration at a proctored PSI/Lasergrade test facility.

10. Where is the exam given?

The ExCPT is administered at PSI/LaserGrade testing facilities. There are over 500 test facilities nation-wide. Approving the ExCPT in Texas would greatly increase convenience to candidates by offering candidates a choice from an additional 53 test sites in the state of Texas. Convenience is also enhanced by the fact that the test centers offer testing over 300 days a year and offer on-demand testing so candidates do not have to register weeks in advance or wait several weeks for results. A list of Texas test facilities is outlined in the table below. Test facilities in other states are available on request or through the ICPT website (**www.nationaltechexam.org**).

Test Center	Address	City	State/zip
Dallas School of Aeronautics	4511 Eddie Rickenbacker	Addison	TX 75001
AAA Testing Center Inc.	3306 W Walnut Suite 507	Garland	TX 75042
Compu Tech Consultants	Suite 107 - 2311 Texas Dr	Irving	TX 75062
Jet Test	5005 West Royal Lane Suite 291	Irving	TX 75063
Aviation Education International	LB 5 Hangar 1	Dallas	TX 75237
PSI Testing-Dallas	1140 Empire Central Dr-One Empire-Ste 610	Dallas	TX 75247
Texarkana College	2500 N Robison Rd-Bus.Comp. Tech Bldg	Texarkana	TX 75501
Northeast Texas Comm Coll	201 Craig St	Naples	TX 75568
PSI Testing-Tyler	3800 Paluxy Dr-Ste 310	Tyler	TX 75703
PSI Testing-Arlington	2008 E Randol Mill Rd-Ste 102	Arlington	TX 76011
Skymates Inc	5080 South Collins	Arlington	TX 76018
PRO TEST	4201 N. Main St, Ste 108	Fort Worth	TX 76106
PSI Testing-Fort Worth	6801 McCart Ave-Ste B-1	Fort Worth	TX 76133
Tarrant County College	4801 Marine Creek Pkwy	Fort Worth	TX 76179
Marcair Inc	11310 Cleveland Gibbs Road	Roanoke	TX 76262
Kickapoo Downtown Airport	4515 Jacksboro Hwy	Wichita Falls	TX 76302
Midwestern State University	3410 Taft Blvd-Hardin South RM 224	Wichita Falls	TX 76308
Aurora Aviation LLC	355 McGregor Airport Rd	McGregor	TX 76657
PSI Testing-Waco	345 Owen Lane-Ste 124	Waco	TX 76710
PSI Testing-Houston East	11811 I-10 Freeway-Atrium Bldg-Ste 260	Houston	TX 77029
PSI Testing-Houston Southwest	9000 W Bellfort Ave-Ste 545	Houston	TX 77031
Testing Zone Inc	7111 Harwin-Suite 100	Houston	TX 77036
Link Training and Testing Center	16850 Diana Lane Suite C	Houston	TX 77058
Flying Tigers	9000 Randolph	Houston	TX 77061
The H Company	18000 Groeschke Rd.	Houston	TX 77083
Advanced Testing Center	8319 Thora Road Hangar A1	Spring	TX 77379

Test Center	Address	City	State/zip
Harvey & Rihn Aviation Inc	101 Airport Blvd	La Porte	TX 77571
Success Aviation Inc	503 McKeever Rd-Hangar A10	Arcola	TX 77583
Magnum Aviation	2084 Joe Register Rd	Kountze	TX 77625
KUSA Aviation	4840 Parker Drive	Beaumont	TX 77705
Brazos Valley Flight Services	1680 George Bush Drive West Ste 2	College Station	TX 77845
Aviation Academy of America Inc	1764 Entrance Dr	New Braunfels	TX 78130
PSI Testing-San Antonio	6800 Park Ten Blvd-One Park Ten-Ste 174-W	San Antonio	TX 78213
Sky Safety	8603 Mission Road	San Antonio	TX 78214
Wright Flyers Aviation	1954 First Avenue	San Antonio	TX 78216
Coastal Bend Aviation	710 Buffalo Street Suite 306	Corpus Christi	TX 78401
PSI Testing-Corpus Christis	2820 S Padre Island Dr-Ste 105	Corpus Christi	TX 78415
PSI Testing-McAllen	800 Fern Ave-Unit B	McAllen	TX 78501
Texas State Technical College	1902 N Loop 499 Bldg B Room 103	Harlingen	TX 78550
PSI Testing-Harlingen	722 Morgan Blvd-Executive Central-Ste C	Harlingen	TX 78550
Wright Aviation Inc.	402 Wright Brothers Suite 201	Georgetown	TX 78626
PSI Testing-Austin	6448 Hwy 290 E-LaCosta Corp Pk-Ste F111	Austin	TX 78723
Testing Zone Inc.	7801 N Lamar Suite F5	Austin	TX 78752
SW Texas Junior College	2401 Garner Field Rd	Uvalde	TX 78801
PSI Testing-Amarillo	1616 S Kentucky-Bldg C-Ste C220	Amarillo	TX 79101
Amarillo College	2011 S Washington	Amarillo	TX 79109
South Plains College ACT Center	105 Davis Dr Bldg 4 Rm 452	Lubbock	TX 79416
PSI Testing-Lubbock	4413 82nd St-The Center-Ste 210	Lubbock	TX 79424
PSI Testing-Abilene	1290 S Willis-Ste 109 Commerce Plaza	Abilene	TX 79605
International Business School	3305 Andrews Hwy	Midland	TX 79703
PSI Testing-Midland	3404 W Illinois-Delwood Office Ctr-Ste 104	Midland	TX 79703
U.S. Flight Academy Int'l, Inc.	2000 Rickabaugh Dr, Bldg 1106	Big Spring	TX 79720
PSI Testing-El Paso	1155 Westmoreland-The Atrium-Ste 110	El Paso	TX 79925

a. What security measures are offered at the exam administration sites?

Test site security is addressed in two documents, the *ExCPT Policies and Procedure Manual* and the *LaserGrade Operations Manual*. Before candidates are allowed to test, candidates must re-affirm they are qualified to test and are warned of the consequences attempting to cheat or behave dishonestly. It is ICPT policy that candidates must attest that they have not obtained information about specific exam items, that they will keep test items confidential, and that they will not cheat on the exam or help others to do so. Candidates may not violate the ExCPT copyright by obtaining any test items.

All test proctors must be certified. Being certified means the test proctor has received formal training from the Test Center Supervisor and has demonstrated competency in administering test via computer. In addition, the proctor's name is entered on the test proctor list that the supervisor must keep current on file at the testing center. Proctors must be of good moral character, be at least 21 years of age, trained and certified by the Test Center Supervisor, successfully passed the Proctor Qualifying test and have signed the Test Administrator/Proctor agreement.

Test center proctors are expected to strictly follow security procedures to avoid test compromise. Each supervisor and proctor has a unique 9-digit password. Proctors are expected to maintain confidentially for scores and applicant data.

Proctors must positively identify candidates with a government issued photo ID and sign-in each candidate. Proctors confirm address and proof of age at that time. If there is not a positive identification, no test is administered. Proctors will also verify eligibility requirements.

Proctors must be able to view the candidates at all times. Proctors are trained to watch for misconduct. In the event of a security question, proctors are instructed to contact the LaserGrade central office for instruction.

Personal belongings are not allowed in the test location but can be stored securely at the test center in a locking closet or cabinet. All cell phones and pagers are also stored.

The exam form is randomly assigned and downloaded in an encrypted form from the LaserGrade central office. Items are decrypted one-at-a-time as the candidate accesses them. Upon candidate completion, the data is transmitted back to the LaserGrade central office in an encrypted format.

Additional detail on test site operations and security can be found specifically in the *LaserGrade Operations Manual* (Appendix 1):

- i. General security – page 2-7
- ii. Applicant identification, eligibility and sign-in – pages 2-7, 2-8, 4-1, 4-2 and 5-6
- iii. Visual and video surveillance of applicants – pages 2-8, 2-9, and 5-7
- iv. Password – page 2-9
- v. Proctor checklist – page 4-1
- vi. Applicant personal belongings – page 4-3
- vii. Cheating – page 5-7

11. What is the cost to take the exam?

The cost of the ExCPT is $95, payable at the time of registration. Group enrollment is available for schools or employers to facilitating testing and registration of candidates.

12. How many questions are on the exam?

There are 110 items on the exam. Ten items are pre-test items. Candidates are allowed two hours to complete the exam.

a. Are the exam questions pretested?

Yes, exam items are always pre-tested. As with all standardized tests, the ExCPT contains some items that are pretested for possible use on future exams. Pretesting new items before they are used as scored items on the ExCPT is necessary to assure that all items perform properly and that new versions of the exam can be created in the future. Specifically, the ExCPT consists of 110 items, of which ten are pretest items that are not scored. The pretest items are randomly interspersed throughout the exam and are not identified for the candidate in order to assure that test statistics are valid. All pretest items are analyzed carefully for difficulty, reliability, discrimination and validity and are approved by the Expert Panel before they are used as scored items on future versions of the ExCPT.

b. What is the exam blueprint, including the subject/practice areas covered and the percentage of questions in each subject/practice area?

The blueprint for the ExCPT is also posted on the ICPT website and contained in the *ExCPT Candidate's Guide* (Appendix 3). At a high level, exam items categorized into three general areas:

Regulation and Technician Duties (~25%),
Drugs and Drug Products (~23%), and
The Dispensing Process (~52%).

c. How do you determine the blueprint of the exam?

The results of the practice analysis and input from stakeholders are used to determine the content areas to be tested on the exam and the weight given to each of these content areas. The blueprint is used to select the appropriate proportion of items from among the various domains covered on the exam.

The blueprint is used to select the appropriate proportion of items from among the various domains covered on the exam. The ICPT Director of Education compiles and analyzes the results of the practice analysis. The data is reviewed with the Expert Panel to develop the first draft of the exam blueprint. The ICPT Director of Education shares the first draft of the exam blueprint with stakeholders representing an employer, a regulator and a pharmacy technician trainer to get additional input. Any suggestions received from these stakeholders are then provided to the Expert Panel for their consideration.

The Expert Panel then develops the exam blueprint that defines the domains to be tested and the relative weight given to each domain. The exam blueprint is sent to the Certification Governing Committee for final adoption. This blueprint is then used by the ICPT Director of Education to select items from the test bank to be included on the ExCPT.

The blueprint is made available to all candidates and stakeholders as a part of the *ExCPT Candidate's Guide* posted on the ICPT website and attached here as Appendix 3.

d. Is a practice analysis conducted? If so, when was the practice analysis conducted and how often is the analysis repeated?

It is ICPT policy that a comprehensive job/practice analysis be conducted periodically but no less than every five years to clearly delineate performance domains and tasks and the associated knowledge and skills sets for pharmacy technicians. The results of the practice analysis are used to help determine the domains covered by the ExCPT and the relative weight given to each.

The practice analysis for the ExCPT was completed in August 2005. The survey instrument was pilot tested, revised and mailed to a stratified random sample of pharmacy managers and pharmacy technicians. Respondents were given a list of job functions selected by an advisory panel of pharmacists, pharmacy technicians and technician trainers. The results of the practice analysis were reviewed by an Advisory Panel and shared with those stakeholders who were originally interviewed to help develop a list of the statements of technicians' knowledge and skills. The Expert Panel used these results, along with input from stakeholders, to design the exam blueprint. The Certification Governing Committee approved the final blueprint.

Our psychometric consultants, Applied Measurement Professionals, who will likely be involved in developing and administering our next practice analysis, reviewed this policy and accompanying procedures.

e. Are exam questions assigned 'difficulty levels' and is difficulty used as part of the blueprint or when assigning a pass level?

Items cover a wide range of *Bloom's Taxonomy of Learning Objectives* including:

- Knowledge (The recall of data or information, exhibit memory of previously-learned materials by recalling facts, terms, and basic concepts and answers.)
- Comprehension (demonstrate understanding of facts and ideas by organizing, comparing, translating, interpreting, giving descriptions and stating main ideas)
- Application (using knew knowledge, solve problems to new situations by applying acquired knowledge, facts, techniques and rules in a different way)
- Analysis (Examine and break information into parts by identifying motives or causes. Make inferences and find evidence to support generalizations.)

Difficulty levels are also assessed for the exam in a second way. The Expert Panel conducts a modified Angoff procedure when reviewing items that are candidates for the ExCPT. In this procedure, panelists independently estimate the percentage of minimally qualified candidates who would answer each item correctly. Individual scores are shared and discussed. All scores are collected and averaged to determine an average rating per item. The average, standard deviation, reliability estimate and standard error of measurement are used to calculate a cut score for each test form.

13. How many questions are in your question pool?

There are over 2200 active items in the item bank. Items are regularly rotated. Items are also retired and not counted as part of the active pool.

a. Who are your item writers and how are they selected and trained?

A panel of volunteer Item Writers from a wide range of pharmacy practice settings and a diverse geographic representation is used to submit exam items. These Item Writers include pharmacy college professors, pharmacists and certified pharmacy technicians who have strong expertise in a variety of pharmacy practice settings. Item Writers are selected from an open call to the profession published at meetings and on the ICPT website.

Item Writers are trained in test development and appropriate item writing. ICPT has developed an *Item Writing Guide* used in the training. Supplemental materials such as Chapter 3 from "*How to make achievement tests and assessments, Fifth edition*" by NE Gronlund are used as background reading for Item Writers. Training has occurred in group workshops and online webinars. Item Writers are submitted by the Director of Education and approved by the Certification Governing Committee for one-year appointments. Item Writers may be reappointed to additional terms as needed. Item Writers must sign a confidentiality agreement prior to training.

b. How often do the item writers review the questions?

The item process begins with the submission of items by Item Writers. The review process is quite extensive as outlined below.

First, items are submitted by highly qualified professional and well-trained Item Writers.

Second, items are reviewed by the Director of Education to make sure they are consistent with the exam blueprint, represent one or more of the ExCPT blueprint categories, and, meet accepted standards.

Third, items are reviewed by Expert Panel responsible for evaluating items individually prior to a review in a larger discussion. The Expert Panel members categorize items as follows:

- Accepted as written
- Accepted as edited
- Resubmitted for revision
- Discarded

Fourth, items that are accepted are rated for difficulty via the modified-Angoff method, which consists of another step in the review process. Items are pre-tested and analyzed through an item analysis that determines reliability, validity, difficulty and discrimination.

Fifth, items in the active test banks are rotated in and out of active test forms and are subjected to ongoing item analyses. After sufficient exposure, items are retired.

Items that successfully pass pre-test criteria are classified as active items in the test bank. Other items are discarded or resubmitted for re-writing.

It is the Expert Panel that is responsible for reviewing items submitted by the Item Writers. The Expert Panel is responsible for:

  i. Reviewing the item analysis
 ii. Developing the recommended exam blueprint
iii. Reviewing individual items
 iv. Developing cut scores
  v. Recommending the scaling and equating procedures

The Expert Panel is comprised of individuals from a diverse set of pharmacy practice settings who are skilled in writing and evaluating test items. The panel includes pharmacy professors, pharmacists and certified pharmacy technicians.

The Expert Panel meets to review all submitted items. Panel members are also trained in interpreting practice analyses, designing exam blueprints, reviewing test items, developing cut scores, equating exams and evaluating item analyses.

c. What measures do you use to assure the security of the question pool?

All ICPT test items are copyrighted and password protected. Access to the ICPT test bank is severely restricted and limited to the Director Education and specified individuals under his direct control.

All hard-copies of items provided to the Expert panel are carefully controlled, collected and destroyed after use. Expert Panel member must also sign a confidentiality and proprietary material agreement. The items on the ExCPT are regularly rotated.

PSI/Lasergrade also enforces security of the exams by maintaining item pools and test forms on an examination server separate from any communication server. Only key personnel at the corporate office have access to the examination server and communications room. Authorized LaserGrade test centers and their certified proctors are permitted password protected access to the LaserGrade communications server to upload and download candidate schedules, send test results data and receive scheduled examinations. Without LaserGrade software and passwords, the communication server will act as a firewall, blocking unauthorized access and alerting the IT staff to take action. Lasergrade tests can only be accessed internally by key corporate personnel or downloaded at the time of a test event, based on an approved candidate appointment and candidate identification by authorized LaserGrade test centers. Encrypted examinations are electronically delivered to the proctor's workstation from LaserGrade's central office.

When a candidate takes an examination, it is sent to the workstation, still in an encrypted format, one item at a time. Security functions encrypt all sensitive information, decrypting only one item at a time as it is displayed on the screen. All other items remain encrypted until they are delivered to the test station. The ability to print screens or copy files on portable media is also disabled so that an applicant may not take a copy of a item with them. At the end of the examination, or if the candidate is a no-show for an examination, the examination content is overwritten using a secure LaserGrade algorithm.

14. What steps are taken to assure that the ExCPT exam is legally defensible?

To be legally defensible, an exam sponsor must demonstrate that an exam is psychometrically sound. To defend that an exam is testing what it purports to test, standards should be followed in constructing the test. The National Organization for Competency Assurance's accrediting body, the National Commission for Certifying Agencies (NCCA) has developed a set of 21 standards that must be met before an organization is accredited (Appendix 4). NCCA accreditation is a means of demonstrating that certification program has been reviewed by a panel of impartial experts and determined that a program has met the stringent standards of NCCA. The ExCPT is accredited by the NCCA through 2013; a copy of the certification is attached as Appendix 5.

In addition, NABP has recognized the value of NCCA certification in their April and September 2008 memos to all Boards of Pharmacy by stating "…**accreditation by NCCA represents an audit by certification experts commissioned by the National Organization for Competency Assurance (NOCA) and ascertains that an accredited program adheres to accepted standards in the certification industry**."

To be psychometrically sound, ICPT follows an industry-accepted standard procedure for constructing the ExCPT that includes:
- Performing a practice analysis
- Designing an exam blueprint
- Using qualified individual and sound procedures to write items
- Providing review and oversight by a governing body comprised of qualified individual representing the profession and the certificants
- Pretesting items
- Conducting item analyses
- Properly scaling exam scores
- Equating multiple forms of the exam, and
- Maintaining a secure item bank that allows items to be rotated and retired as needed while maintaining proper records.

15. How can states verify certification by your organization?

>ICPT provides a login to the certified candidate's database for board staff needing access. There is no cost for this service. Appendix 6 describes the process for candidate verification.

>a. Could Texas send you en electronic file of applicants for registration and you return electronically each applicants certification status?

>ICPT is committed to the highest levels of customer service. ICPT will work closely with the Board staff to verify candidate certification status and satisfy any other needs the Board may have.

Appendix 1

LaserGrade Operations Manual

TABLE OF CONTENTS

SECTION 1 INTRODUCTION

Welcome to LaserGrade, LP! We are proud to have you as a member of our computer test delivery network and look forward to a long and productive relationship.

EASY TO USE

We have designed the LaserGrade testing system to be quick and easy to use. You do not need to know about computers to administer our tests. All the computer training the applicant needs is contained in the introductory lessons.

HOW IT WORKS

The proctor performs a current-day or end-of-day procedure to download the test site schedule and to download any prescheduled exams.   Walk-in applicants can be registered on the spot, if the sponsor allows, as test stations are available. Each exam is downloaded from the LaserGrade central computer and prepared for the applicant through simple menu selections and data entry. Each registration item has help guidelines printed on the screen guiding the proctor through every step of the registration process.

As a LaserGrade testing center, you must follow procedures designed to make your testing center operate smoothly and efficiently. By following the procedures outlined in this manual, you will always be in compliance with LaserGrade operational requirements and you will meet or exceed the test sponsors' requirements.

Please take some time to read this manual in order to familiarize yourself with our testing procedures. Our goal is to provide the applicant with a flawless testing experience and by reading this manual, you can help us achieve this goal.

If you have any questions, call us toll free at (800) 211-2753 between 6:00 A.M. and 5:00 P.M., Monday through Friday, and Saturday 6:00 A.M. and 2:00 P.M (Pacific).

SECTION 2 OVERVIEW

QUICK REFERENCE PHONE
NUMBERS, ADDRESSES AND
HOURS OF OPERATION

LASERGRADE CENTRAL OFFICE

Shipping Address:	16821 SE McGillivray Blvd. #201 Vancouver, WA 98683-0402
Mailing Address:	P. O. Box 87245 Vancouver, WA 98687-7245
Web Address:	www.lasergrade.com
Central Office Phone:	(800) 211-2753
Outside North America	(360) 896-9111
Central Office Fax:	(360) 891-0958
Emergency Number:	(360) 891-0865
Normal Business Hours:	Monday – Friday 6am - 5pm (Pacific)

LASERGRADE CENTRAL REGISTRATION

Central Registration Phone:	(800) 211-2754 (360) 896-9111 (outside of U.S.)
Registration Hours:	Monday – Friday 6am - 5pm (Pacific) Saturday 6am - 2pm (Pacific)

LASERGRADE ORGANIZATION

GENERAL OFFICE

The LaserGrade central office is the heart of the worldwide network. The central office is the home of our central computer operations, central registration, technical support, shipping and receiving, accounting and sales and marketing.

ACCOUNTING

Accounting is responsible for all of LaserGrade corporate and testing center accounting functions. Questions regarding payment for testing activity should be directed to this department during normal business hours. Bookkeeping ledgers for both the current month and the previous month are updated every time a test station or the proctor station connects to the central computer. More information on accounting can be found in Section 9 of this manual.

COMPUTER OPERATIONS

This is the core of the LaserGrade network. All data communications between LaserGrade and the testing centers occur at this location. In addition to managing all site traffic, this area troubleshoots, enhances and maintains the system software and provides hardware and software support to all testing centers during normal business hours.

TEST CENTER PROGRAM MANAGER

This position is responsible for site training and standards, conformance to policies and procedures, and overall management of the test sites. The TCPM works closely with the test sponsors and acts as a liaison between the testing centers, test sponsors, and LaserGrade. This person is your first line of contact with any questions regarding testing, training, and testing facility issues. The TCPM has authority over all testing centers and designated Testing Center Supervisors.

AFTER HOURS SUPPORT

1. If you encounter an emergency problem with hardware, software, or registration after normal business hours, call our emergency support number: **(360) 891-0865**.

    Valid Emergencies:

    Customer waiting - cannot register, download test or bring up test.

Test station is down during a test and cannot be brought back up.

Cannot print test report.

Note: If the test report contains errors, **CALL BEFORE THE APPLICANT LEAVES YOUR FACILITY.** Do not issue the test report. LaserGrade Central will provide a corrected version of the test report form in a manner as requested by the sponsor.

2. When reporting problems, please have the following information ready:

    a. Your LaserGrade site code (located in the lower right corner of the main menu screen on each test station).

    b. What you were doing at the time the problem occurred

    c. What messages (write down exactly) were shown on the screen

    d. On which test station did the problem occur (station #1, #2, #3, etc.)

    e. Any other information you think may assist in the resolution

Please Note:

We ask that you **do not** call the Registration number. This line is for registration use only.

ORDERING SUPPLIES

PRINTER CARTRIDGE

Remember to always have at least one extra printer cartridge. If you are not able to print, you cannot administer tests.

COMPUTER TEST SUPPLEMENT BOOKS

If test supplement books are required to administer an examination, they are to be free of writing and in good order. If your supplement books for any exam are not in good condition, please contact LaserGrade for replacements or instructions on where to buy new ones.

COMPUTER TEST REPORTS

All computer test reports are printed on blank white paper. Please have a sufficient amount of paper to print out all test report forms for your testing center's scheduled exams for the day.

THE TESTING CENTER

Each testing center is a business within your business. As such, it is extremely important that the business be run in a friendly and professional manner. Being a testing center, there is ample opportunity to sell more than just tests. Customers who have not been to your facility before will be exposed to your services and products. Be sure to take advantage of this great opportunity to enhance your business.

TCS - TESTING CENTER SUPERVISOR

Each testing center is required to have one person designated to supervise the testing activity. This person is the Testing Center Supervisor or TCS. The TCS is responsible for all testing activity, security of the testing center, testing materials, and equipment at the testing center. The TCS must be present during at least 50% of the posted test administration business hours. The TCS will be trained by the TCPM or a qualified LaserGrade staff member. The requirements for being a TCS are:

(1)   Good moral character

(2)   At least 21 years of age

(3)   Photo identification

(4)   Passing a criminal background check – FAA testing centers only

(4)   Trained and certified by the TCPM

(5)   Successfully pass the Proctor Qualifying Test

(6)   Sign and fax to LaserGrade the Test Administrator/Proctor Agreement

You must secure LaserGrade approval prior to acting in this capacity.

ATCS – ALTERNATE TESTING CENTER SUPERVISOR

This temporary position is created when the current TCS has left and another nomination for the TCS position has not yet been approved. This position is allowed to exist for a maximum of 90 days. All new TCS's must undergo training by a qualified LaserGrade staff member and meet the requirements of a TCS listed above. You must secure LaserGrade approval prior to acting in this capacity.

TEST PROCTORS

In addition to the TCS, the site may assign one or more persons to administer tests in the absence of the TCS. These persons are referred to as test proctors. All proctors must meet the following requirements:

(1)   Good moral character

(2)   At least 21 years of age

(3)   Trained and certified by the TCS

(3)   Successfully pass the Proctor Qualifying Test

(4)   Sign and fax to LaserGrade the Test Administrator/Proctor Agreement

The TCS is responsible for training and certifying the test proctor and supervises all testing activity.

Being certified means the test proctor has received formal training from the TCS and has demonstrated competency in administering tests via computer. In addition, the proctor's name is entered on the test proctor list that the TCS must keep current. This list must be on file at the testing center and may be asked for during a formal site inspection. Any additions, changes or deletions will be reflected on the TCS and Proctor(s) Test Authorization printout automatically sent to your computer each time your system connects to LaserGrade's central computer. This printout must be posted at the testing center for reference.

HOURS OF OPERATION

All LaserGrade public testing centers are open at least 15 hours per week. LaserGrade private testing centers determine and maintain their own schedules and are not required to advise LaserGrade Central of their hours.

The hours of operation must be on file with LaserGrade so that LaserGrade Central Registration knows when to schedule registrations with your testing center. Testing centers may extend their hours of operation at any time and may test at any time convenient to the test proctor and the test applicant (24 hours/day, 365 days/year). However, at least a 30-day notice in writing is required to change the testing center's regular hours of operation.

Note: If an applicant requests to take a test that would go beyond the normal hours of operation, the applicant must sign a waiver of the allotted time, or the site may elect to remain open to complete the test. This decision is up to the TCS or test proctor.

COMPLIANCE

Compliance is a very important topic that must be taken very seriously by each testing center. By following the compliance procedures listed below, you can be

assured that your testing center will be ready to administer exams in a professional and courteous manner.

LaserGrade's central office has compiled a report that closely monitors a testing center's compliance with the rules listed below. If your testing center is out of compliance in 5 or more areas at the end of each month, a $50 fine will be imposed on the testing center and added to your monthly ledger. Please note that the Questionnaire totals are not included in compliance fine calculation.

You can monitor your testing center compliance report by printing the report that is downloaded to your testing center computers when a current day is completed. It is important to note that this report is generated each night and will not reflect changes until it is downloaded the next day. To access the report, follow the quicksteps below:

QuickSteps:

1.   Go to testing station #1 or the proctor station.
2.   Select "Access Daily Reports & TCS Functions"
3.   Select "Print Mail, Schedule Accounting, Proctor and Applicant List"
4.   Select "Print / show latest compliance report"
5.   Select either "print" or "show" compliance report

Daily compliance (for each day the testing center is open):

1. All testing centers must do a current day procedure before the time their posted schedule indicates they are open for testing. Completing an end-of-day procedure the night before a scheduled open day is also acceptable.

2. Testing centers must print out and post their daily schedule for days the testing center has public hours.

3. Testing centers must return all tests to LaserGrade the same day the exam was completed. If the downloaded test was not taken, a current day must still be done so that we will know that the test was a cancelled test.

Monthly compliance:

1. To be in compliance, ALL of your testing center computers must be up to date and be able to administer tests. In order to accomplish this, ALL stand-alone computer testing stations or proctor stations must have an exam completed on each station AT LEAST once a month. We highly suggest that testing centers rotate the use of the testing computers to insure their operational status. Network testing centers should rotate the use of their testing stations so that each one is used at least once a month.

   You can check to see if your testing center is in compliance by printing your latest schedule and looking at the bottom of each testing station column. If you see the words "DO MONTHLY CALL", that station is not in compliance.

Complete a current day procedure on that computer. If you are unable to comply due to technical difficulties with one of your testing stations, it is your responsibility to contact the LaserGrade central office and get this issue resolved.

2. Each proctor listed on the testing center's proctor list must proctor at least one test per month. If this is not done, the proctor will be required to pass a 25 question Recency of Experience exam. If not completed, the proctor's password will automatically be removed from the password list.

3. Testing centers must respond to emails reminding them that there are graphic files that need to be downloaded from our central servers to their testing stations. Testing stations that do not have the appropriate graphics files will not work properly and will result in a poor testing experience for an applicant.

<u>Annual Compliance</u>

1. All TCS's and proctors must take and pass the proctor qualifying exam at least once a year to be eligible to administer examinations.

SECURITY

1. It is imperative that the TCS and test proctors strictly follow security procedures to avoid test compromise. This includes following proper procedures concerning use of passwords. Each TCS and proctor is issued a unique 9-digit password. Do not use anybody else's password or give your password to anybody else to use.

2. Access to your testing center by unauthorized persons is strictly prohibited and is the direct responsibility of the TCS.

3. ALL material related to computer testing must be secured when not in use.

4. Test proctors shall not express opinions regarding test questions prior to, during, or after a testing session.

5. All applicant data, including test scores, is strictly CONFIDENTIAL.

6. During testing, no other activities are allowed in the testing room.

IDENTIFICATION AND ELIGIBILITY OF APPLICANTS

1. The test proctor MUST positively identify and accurately sign-in each applicant on the daily log.

2. Applicant identification must contain the following:

    a. Current photograph.

    b. Applicant's signature.

      c.   Permanent residential address and mailing address if different from permanent address.

      d.   Proof of age.

3.   Acceptable forms of ID include one or more of the following:

      a.   Driver's license.

      b.   Government ID card.

      c.   Passport.

      d.   Alien residency card (green) card.

      e.   Military ID card.

      f.   Pilot's license

4.   If the applicant is under 21 and does not have proper ID, the applicant's parent or guardian must accompany the applicant and present an ID of themselves. The parent or guardian may then attest to the applicant's identity.

NOTE: NO IDENTIFICATION--NO TEST

5.   The test proctor SHALL NOT administer a test to an applicant who does not meet the eligibility requirements. The eligibility requirements are shown on the registration screens.   If uncertain of the applicant's eligibility, the test proctor should confer with the TCPM.

6.   The test proctor shall provide the testing center's daily log for applicant sign-in and sign-out.

7.   The test proctor is required to copy the applicant's proper identification on the back of the proctor checklist for the testing center's permanent file or attach a copy of the applicant's ID to the checklist.

VISUAL OR VIDEO SURVEILLANCE

1.   The test proctor must be able to view (visually or by video) the applicants AT ALL TIMES, be aware of all activities in the testing room, and be alert for misconduct. Visual or video surveillance does not preclude the performance of other tasks by the test proctor.

2.   Video systems are authorized. The following guidelines apply:

      a.   Must cover the entire testing area and permit the person administering the test to view the entire area on a TV monitor.

      b.   A sign must be visible to the applicants advising that the testing area is being video recorded.

THE LASERGRADE SOFTWARE

SPECIAL FEATURES

A unique feature offered by LaserGrade is the ability to display on screen all diagrams, charts, figures and graphics that are necessary to complete the question content.

Another feature is the on-screen, menu-driven calculator. The applicant selects the "Math" icon at the bottom of the screen and the calculator appears. The applicant selects the appropriate function and is then prompted for the necessary input. Immediately, the answer is displayed. When finished, the calculator can be removed from the screen.

SCREEN SAVER

The screen saver function is activated when the keyboard or mouse has been idle for more than two minutes. When any key is depressed or the mouse is clicked, the previous screen will display. This feature is de-activated during a test.

WELCOME SCREEN AND PASSWORD

The Welcome screen provides security for each test station by requiring a nine-digit password to be entered before any menu can be accessed. The test proctor has three tries to enter the correct password. If you type an incorrect password, press <ESC> to clear the entry and then type a correct password. After the third failed attempt, the system will not allow you to proceed until the test proctor calls LaserGrade Central to obtain an unlock code to unlock the test station. **All test stations should be turned off or left at the Welcome screen when not in use.**

ON-LINE HELP

There is a context-sensitive help message on the bottom line of every LaserGrade screen. This help message will tell you how to proceed. For example, it may tell you to use the up and down arrows to highlight a menu selection and press enter. Other times, the message may tell you to enter a date in <MM-DD-YYYY> format. If you get to a screen and don't know what to do, check the help message first. In some instances, the software will not allow you to proceed if you do not follow the instructions in the help message.

THE EQUIPMENT

LaserGrade test stations can be one of two configurations. They can be Windows stand-alone or Windows networked. Each configuration has a different set of hardware and software requirements.

This manual covers the operation of both the stand-alone and Network versions. Information pertaining to the Windows 98/2000/XP stand-alone configurations are labeled "stand-alone" whereas information pertaining to the Windows 98/2000/XP Network configurations are labeled "Network." This naming convention will be consistent throughout this manual.

WINDOWS STAND-ALONE CONFIGURATIONS

All test stations are connected to one telephone line for modem access to the LaserGrade central server or an Internet Service Provider (ISP) for Internet connection, and one printer via a printer junction box or network connection.

The Windows stand-alone LaserGrade software requires computer hardware that meets or exceeds the following minimum specifications:
- IBM compatible Pentium III (or comparable) computers (500 MHz minimum)
- 128 MB RAM
- 10 GB hard disk
- Broadband Internet connection
- 15" SVGA color monitor
- Video card (4MB, 1024x768x256 color)
- 6x CD-ROM Drive
- Keyboard
- Mouse
- Surge protector
- Inkjet or laser printer
- Network or Local printer connection
- Windows 98/2000/XP

WINDOWS NETWORKED CONFIGURATIONS

All test stations and the proctor station are connected to a network hub; the proctor station is connected to a telephone line for modem access or an Internet Service Provider (ISP) for Internet connection and a printer. All data files are stored on the proctor station and accessed by the test stations via the network.

The LaserGrade Windows network software requires computer hardware that meets or exceeds the following minimum specifications:

- IBM compatible Pentium III (or comparable) computers (500 MHz minimum)
- 128 MB RAM

- 10 GB hard disk
- Ethernet Network Interface Card (NIC)
- 15" SVGA color monitor
- Video card (4MB, 1024x768x256 color)
- 6x CD-ROM Drive
- Keyboard
- Mouse
- Surge protector
- Network or Local printer connection
- Windows 98/NT/2000/XP

Wireless networks are not allowed

SECTION 3 OPENING PROCEDURES

This section will cover the procedures that need to be accomplished each day before your testing center is scheduled to be open so that you can efficiently administer examinations. These procedures include preparing the testing room and testing stations for applicants, doing a current day procedure and printing and posting the testing schedule.

TESTING ROOM

1.   Open testing room/area, if locked.

2.   Turn on lights and open shades if closed. Avoid glare on the monitor.

3.   Ensure that the room temperature is comfortable.

COMPUTER EQUIPMENT

1.   Turn on computer equipment, including printer.

2.   Turn on and check video surveillance equipment operation, if so equipped.

Be sure to do the following:

1. **Check the schedule posted in your testing room to verify that it is today's schedule, and that an "End of Day" procedure was performed last night. This will alert you to be prepared for an applicant that is testing on that day very shortly after your testing center has opened.**

2. **Do a "Current Day" to see if any applicants have been scheduled for today by the central office after your "End of Day" was completed yesterday. Testing centers will be notified by phone if an applicant requests to test within 24 hours.**

What is the difference between the "Current Day" and "End of Day" procedure?

Current Day: Downloads the CURRENT day's test and updated schedule.

End of Day: Downloads the NEXT day's tests and NEXT day's updated schedule.

CURRENT DAY COMPUTER PROCEDURE

QuickSteps:

1.   Go to testing station #1 or the proctor station.
2.   Select "Access Daily Reports & TCS Functions"
3.   Select "Transfer Data to/from LaserGrade"
4.   Select "Current-Day Procedure – Load Today's Exams"
5.   Select "Yes" – Connect to LaserGrade

Replying "Yes" initiates a connection to the LaserGrade Central server to transfer data to/from your computer. Your computer downloads the most current testing schedule for ALL computers, mail from LaserGrade, any tests that are scheduled for the current day on test station #1 (or all scheduled tests if you have a network configuration), the next two week's schedule, the previous month's accounting ledger, and the current month's accounting ledger. The Proctor can tell how recently a current day was completed on a computer by looking at the date on the lower right hand corner of the screen. Please call LaserGrade's central office if you are having difficulty connecting to LaserGrade's Central servers.

Note: Any examinations that were downloaded to the test station will appear on the top of the screen.

PRINTING AND POSTING THE TESTING SCHEDULE

QuickSteps:

1.   Go to a testing station or the proctor station
2.   Select "Access Daily Reports & TCS Functions"
3.   Select "Print Mail, Schedule, Accounting, Proctor and Applicant List"
4.   Select "Print latest schedule"

Post the testing schedule. DO NOT forget to run "End of Day" when closing tonight!

On test stations #2, #3 etc. (for non-networked testing centers):

If your printed schedule requires you to do a download for tests on your remaining test stations, do so at this time. Use the same download procedure used on test station #1, except you do not need to print a schedule on test stations #2, #3 etc. **This procedure must be performed on each test station, one test station at a time.**

PAPERWORK AND TEST MATERIALS

1.	Using the printed test schedule, prepare test materials for any scheduled applicants. This includes supplemental testing material.

2.	Check supplemental testing materials for condition and quantity. Replace any item not in acceptable condition.

SECTION 4 APPLICANT PROCESSING

The first impression that an applicant will have of your testing facility will be during applicant processing. It is vitally important to be prepared when an applicant arrives so a test can be administered in an efficient and orderly fashion. This section will instruct you on proper check-in procedures, acceptable applicant identification, eligibility requirements and testing materials.

Applicant processing should be performed in an area outside the testing room so that those taking tests will not be disturbed. In order to prevent disturbing applicants already testing, it is strongly recommended that the proctor obtain all the information needed for the registration and then go to the test station to register the applicant.

TEST PROCTOR CHECKLIST

LaserGrade has provided the "LaserGrade Proctor Checklist" for use by the TCS and test proctors when processing applicants. This checklist complies with all requirements for administering computer tests and is part of the applicant's permanent record, which includes photocopies of the applicant's ID and test eligibility. A sample checklist is located in Appendix 2. **This checklist must be used for each applicant who tests at your site and kept at site on file for 2 years.**

APPLICANT SIGN-IN LOG

Each applicant **MUST** sign-in on the "Daily Sign-in Log". Make sure the applicant fills out each block of the sign-in portion of the form. The applicant must print his/her name on one line and sign on the other. A sample form is located in Appendix 2. **This log must be kept at sites for two years.**

APPLICANT PAPERWORK HANDLING

LaserGrade recommends that the testing center make a folder labeled "Today's Tests". This folder should be used to hold all paperwork of applicants who are testing on a given day. We also suggest that the testing center make 12 folders that are labeled for each month of the year. This will allow for quick reference if information needs to be retrieved for an applicant.

APPLICANT IDENTIFICATION

Applicants **MUST** provide positive proof of identification. More than one form of ID may be used if all items are not contained on one form of ID.

No ID - NO TEST!

Applicant identification must contain each of the following:

1.   Current photograph

2.   Permanent residential address and mailing address if different

3.   Proof of age

4.   Applicant's signature

Acceptable forms of ID include, but are not limited to:
- Driver's license
- Government ID card
- Military ID card
- Passport
- Alien residency (green) card
- Pilot's license

Make a photocopy of the applicant's ID either on the back of the Proctor Checklist or attach a copy of the ID to the checklist, then return ID to the applicant. This information will be filed in the applicant's file at the end of the day.

APPLICANT ELIGIBILITY

1.   Applicants must provide **proper** eligibility for the test to be taken. No eligibility, no test!

2.   The most up-to-date version of the eligibility requirements are available on each test station corresponding to each type of test administered.

       If uncertain about the eligibility of an applicant, please confer with LaserGrade **before** administering the test.

3.   Make a photocopy of the applicant's eligibility and identification and attach them to the back of the "Proctor Checklist".

4.   You must ensure that the appropriate test is administered to each applicant. If this cannot be determined, the applicant must confirm with his/her sponsoring agency BEFORE a test can be administered. Ultimately, the applicant is responsible for knowing which test to take.

5.   The applicant's eligibility document should state the test to be taken, and should be used to verify that the correct test has been downloaded.

TEST SPONSOR INFORMATION

All sponsor information related to the testing of applicants can now be accessed through the LaserGrade software. You will find valuable information on the type of tests offered by all of our sponsors here, as well as pertinent information on

individual examinations. Please see the following quicksteps to access this information and review the contents of these pages.

Quicksteps:

1. Go to a testing station or the proctor station
2. Select "Access Daily Reports & TCS Functions"
3. Select "Print Mail, Schedule Accounting, Proctor and Applicant List"
4. Select "Print / show explanation file for a sponsor"
4. Select a sponsor from the list provided
5. Select "Print" or "Show" the file to see the information

APPLICANT PERSONAL BELONGINGS

1. The testing center must have a secure location to store an applicant's personal belongings during testing. A locking closet or cabinet are acceptable storage areas.

2. Please make sure that **ALL** cellular phones and pagers are stored. These devices are not allowed into the testing room. **NO EXCEPTIONS.**

INSPECTION OF APPLICANT MATERIALS

1. If authorized by a sponsor, the applicant may use his/her own calculator, plotter or other device during the test but it must be inspected for unauthorized markings, information or directions.

2. An applicant's electronic calculator must be switched ON and OFF prior to entering the testing room. The purpose is to erase memory so nothing will be carried in or out of the test on the applicant's calculator. This can be easy to forget, so use the "Test Proctor Checklist".

ISSUE APPLICANT TEST MATERIALS

1. Each applicant must be issued the following materials, if applicable, prior to the test:
    *   Two sheets of 8 1/2" X 11" scratch paper.
    *   Two sharpened #2 pencils.
    *   Supplemental book or materials, if required, for the test being taken. You will be instructed on what supplemental materials to give the applicant on the registration screens.

NOISE REDUCING EARPLUGS

1.   Please offer the applicant noise reducing earplugs that have been supplied by LaserGrade. If you are running low on earplugs, please contact LaserGrade for replacements.

SECTION 5 TEST ADMINISTRATION

After the applicant has signed in and has been issued the testing materials, they are ready to begin the testing process. Applicants may pre-register with the central office or "walk-in" at the testing center, depending on the type of exam. Both procedures are covered here. Tests may be conducted on all test stations at one time.

LOCATOR NUMBERS

Locator numbers are assigned by the LaserGrade Central Office. They are eight-character codes containing four letters followed by four numbers, such as: SCMA0013 or SASM0010. They specifically identify and link a specific person with a specific test and also help to clarify the applicant's number of attempts.

The first 2 letters correlate to the first 2 letters of the applicant's last name; the second 2 letters identify the test to be taken. The numbers are simply a counter beginning at 0001. These numbers are important, especially when a pre-registered and pre-paid but unscheduled applicant shows up to take a test.

REGISTRATION

All applicants must be registered before taking an examination. This can be accomplished either through the LaserGrade central office or at the testing center. The following are the three types of registrations and a brief description of each:

- **Pre-registered, scheduled:** This applicant has called the LaserGrade central office to register and was assigned a specific time and location to test. Payment was collected by LaserGrade at the time of registration. See "PRE-REGISTERED AND PRE-SCHEDULED APPLICANTS" section on page 5-2.

- **Pre-registered, non-scheduled:** This applicant has called the LaserGrade central office to register and was given a locator number **BUT** was not assigned a specific time and location to test. Payment was collected by LaserGrade at the time of registration. See "PRE-REGISTERED NON - SCHEDULED APPLICANTS" section on page 5-2.

- **On-site registration:** This applicant goes directly to a LaserGrade Testing center and is registered on-site. The testing center is responsible for collecting payment from the applicant. See "REGISTER APPLICANT-INPUT NEW DATA" section on page 5-3.

An applicant may pre-register for an exam by calling the LaserGrade central office. If a testing center wishes to have an applicant come in to take a test at a specific time in the future, the test proctor may call LaserGrade Central and block the scheduled time on the testing center's computer. When the applicant arrives

to take the test, the testing center handles the applicant as a "walk-in" registration. Any pre-registered exams for a given day are printed on that day's schedule.

If the applicant has pre-registered and was scheduled for a specific time, the testing center proctor need only perform a current day to receive all the exams pre-registered and scheduled for that day. If the applicant has pre-registered but was NOT scheduled for a specific time, the testing center proctor must download the exam using a locator number. If the applicant has not pre-registered, the testing center proctor must register the applicant and perform a current day to download the exam. These processes are outlined in this section.

NOTE: All unused registrations and downloaded tests, whether created by your testing center or downloaded from LaserGrade, will automatically be deleted from your computer after <u>two</u> calendar days (not 48 hours). For example, if you created five registrations or download a test on Monday, these registrations or tests will be listed on your computer for Monday and Tuesday only. They will have been deleted by the software when the system is activated on Wednesday. Please note that cancelled tests will not be deleted from your computer and must be sent back to LaserGrade.

PRE-REGISTERED AND PRE-SCHEDULED APPLICANTS

The applicant has pre-registered with LaserGrade and the test was transmitted to your site during the "End of Day" procedure you performed the night before, or the "Current Day" procedure you did today. The name and locator number of the applicant will appear on the printed schedule.

Proceed with "VERIFY ELIGIBILITY AND START EXAM" located on page 5-6.

PRE-REGISTERED NON-SCHEDULED APPLICANTS

These applicants registered and pre-paid through the LaserGrade central office but were not scheduled for a specific date or time. These applicants will not appear on your testing schedule so their **test must be downloaded by using their assigned locator number.** This locator number will be located on the confirmation letter that the applicant has received from LaserGrade.

This procedure can also be used to move an applicant from one computer to another on stand-alone systems.

QuickSteps:

1.   From the main menu select "Register applicant – use shortcuts"
2.   Select "Download applicant – use current locator number"
3.   Enter the applicant's last name and locator number
4.   Select "Yes" – this is the correct test

5.   Select "Yes" –Connect to LaserGrade
6.   Proceed with "VERIFY ELIGIBILITY AND START EXAM" (Page 5-6)

REGISTER APPLICANT – INPUT NEW DATA

Use this procedure when an applicant walks in to your testing center to take an exam and has not previously registered or paid for an exam. Be sure to collect the test fee before administering the exam. Please note that most applicants will need to be pre-registered through LaserGrade's Central office.

Note: Make sure you are registering the applicant for the correct test. If you are not sure, refer to the eligibility form from the applicant's sponsor or the eligibility screens in the LaserGrade software. Ultimately, the applicant makes the final decision. You will be charged for all examinations that have been downloaded and started.

QuickSteps:

1.   From the main menu select "Register applicant – input new data"
2.   Select sponsor
3.   Select license (if applicable)
4.   Select exam
5.   Select eligibility
6.   Complete the registration screens
7.   Select "Yes" Connect to LaserGrade
8.   Proceed with "VERIFY ELIGIBILITY AND START EXAM" (Page 5-6)

A few helpful hints on the registration screens:

1. These screens will vary for different test sponsors.

2. The information to be entered on each line is described at the bottom of the screen as you highlight each choice.

3. Pressing the <ESC> key will clear the field, including menu fields. Be accurate!

4. To correct an earlier entry, you must complete the line you are on and then use the UP/DOWN arrow keys to move to the line you need to fix.

5. If an applicant does not want to use his/her Social Security number, you may substitute his/her birth date using the format BMMDDYYYY. Always start with the letter "B" and then replace "M" for month, "D" for day and "Y" for year.

REGISTER APPLICANT – USE PREVIOUS LOCATOR NUMBER

Use this procedure when an applicant walks in to your testing center to take an exam and has not previously registered or paid, but has taken a LaserGrade test

in the past and wishes to use the same registration information. Be sure to collect the test fee before administering the exam. You may also use this procedure to move an applicant to another computer with stand-alone systems.

QuickSteps:

1.   From the main menu, select "Register applicant – using shortcuts"
2.   Select "Register applicant for new exam – use previous locator number"
3.   Select sponsor
4.   Select license, if applicable
5.   Select exam
6.   Select eligibility
7.   Enter applicant's last name and locator number
8.   Select "Yes" –Connect to LaserGrade
9.   Proceed with "VERIFY ELIGIBILITY AND START EXAM" (Page 5-6)

REGISTER APPLICANT – USE APPLICANT FILE ON THIS COMPUTER

Use this procedure when an applicant has a registration for a LaserGrade exam on one of your test stations and wants to use the same information for a different exam. It does not matter if the registration was done by the central office or by the site, as long as it has already been downloaded to the test station. It also does not matter whether or not the test was taken. If you are using stand-alone stations, you must be on the same test station as the existing applicant file. Be sure to collect the test fee before administering the exam.

Please note that this procedure will not work if an applicant has completed a test and you have done a current day procedure to send the results back to the LaserGrade central office. The current day procedure removes the applicant's data from the computer and will no longer be accessible to the testing station.

QuickSteps:

1.   From the main menu, select "Register applicant – using shortcuts"
2.   Select "Register applicant for new exam – use applicant file on this computer"
3.   Select sponsor
4.   Select license, if applicable
5.   Select exam
6.   Select eligibility
7.   Enter the applicant's last name
8.   Confirm you have chosen the correct exam
9.   Select record
10.   Select "Yes" – this is the correct record
11.   Select "Yes" – Connect to LaserGrade
12.   Proceed with "VERIFY ELIGIBILITY AND START EXAM"(Page 5-6)

PRE-REGISTER APPLICANT FOR FUTURE TEST

You can use this procedure to input applicant information for a test to be taken in the future. This procedure differs from "Register applicant – input new data" because a test is not downloaded to your system immediately after completing a connection with LaserGrade. The applicant's data is stored on our central server indefinitely and his/her test can be downloaded at any time.

When this function is utilized, you will receive an e-mail message after connecting with LaserGrade containing the applicant's name, type of test and locator number. You can then follow the instructions located in the section titled "PRE-REGISTERED NON-SCHEDULED APPLICANT" starting on page 5-2 to download the applicant's exam on a future date.

This registration feature is useful when you have a large number of applicants to register and you will not be administering the exams before they would automatically be deleted from your system after two days (see note on 5-2).

QuickSteps:

1. From main menu, select "Register applicant – using shortcuts"
2. Select "Pre-register applicant for future test & get locator number for download"
3. Select sponsor
4. Select license, if applicable
5. Select exam
6. Select eligibility
7. Complete the registration screens
8. Select "Yes" – Connect to LaserGrade
9. Print email containing applicant information after connection is complete.

MAKING A CONNECTION TO LASERGRADE

Once you have completed entering all of your registrations, you are now ready to connect to LaserGrade. Please follow the instructions below to complete a connection to LaserGrade.

1. Ready for connection, "Connect to LaserGrade?" If you reply "Yes", the communications software will initiate. A box will appear on your monitor allowing you to watch the progress of your connection with LaserGrade. If you reply "No", you will be sent back to the main menu. Your previously entered registrations will not be lost if you select "No".

2. When the system has completed the transmission, the "Welcome" screen will appear.

Note: If your connection is not successful, you do not have to input the applicant's information another time. Please attempt the connection again.

STARTING AN EXAMINATION

VERIFY ELIGIBILITY AND START EXAM

Once a connection to LaserGrade has been completed, you are now able to administer an examination. Follow the instructions below to select an applicant.

QuickSteps: Stand-alone systems

1. Select "Select applicant then start exam"
2. Select the record
3. Verify record selection
4. Verify registration information (make changes if necessary)
5. Verify for final time that applicant information and exam is correct
6. Give applicant the required supplement material, if necessary
7. You may be requested to verify the proctor's ID again.
8. Stay with applicant through the first few introductory screens
9. After applicant finishes exam, applicant will be prompted to summon you
10. Proceed with "POST TEST PROCESSING" in Section 6

QuickSteps: Network Systems:

1. From the main menu, select "Access Proctor Station Functions"
2. Select "Select applicant then start exam"
3. Select test station
4. Select the record
5. Verify record selection
6. Verify registration information (make changes if necessary)
7. Verify for final time that applicant information and exam is correct
8. Give applicant the required supplement material, if necessary
9. You may be requested to verify the proctor's ID again.
10. Stay with applicant through the first few introductory screens
11. After applicant finishes exam, applicant will be prompted to summon you
12. Proceed with "POST TEST PROCESSING" in Section 6

Please note that if you pick the wrong applicant, you can simply arrow up out of the record and select the correct applicant. Also, some sponsors require that the applicants verify their information a second time before the exam is started. This will occur at the end of the introduction.

PROCTORED INTERNET EXAMS

LaserGrade has recently launched a new form of testing that allows our software to launch an Internet website to administer an examination. Once you have verified the applicant's data as you normally would, a screen will appear

providing you information about the exam. Please be sure to pay special attention to this screen, as it will normally indicate that the proctor must write down a user name and/or a password to be used later. The applicant may also supply one or both of these codes. These codes will be used to log on to the test sponsors website that is launched immediately after the information screen is reviewed.

Once the test is concluded, the applicant must close the browser window and summon the proctor. The proctor must re-start the LaserGrade software to finish this examination. Once re-started, a test report form will be printed stating that the applicant has completed the exam but a grade WILL NOT be printed on the test report form.

TEST SURVEILLANCE

1. The test proctor must be able to observe the applicants testing at all times during the test. The proctor must be aware of all activities in the testing room and be alert for any misconduct.

2. Video surveillance systems are allowed. The system must be able to monitor the entire testing area and permit the person who is administering the test to view that area on a video-monitor.

3. If video monitoring is used, a sign must be visible to the applicants advising that the testing area is being video-monitored.

4. The proctor must not leave the premises unless relieved by another certified test proctor.

5. The test proctor is allowed to perform other duties while at the proctor station.

6. Use of the restroom by the applicant during the test is permitted. The proctor must know the applicant's whereabouts at all times.

CHEATING

If applicant appears to be cheating, follow these procedures:

1. Do not be accusatory or hostile with the applicant.

2. Immediately call LaserGrade's central office and you will be instructed on how to handle the situation.

3. You may be instructed to collect all test materials and advise the applicant that further testing may continue only after an investigation is completed.

4. All information gathered on an applicant suspected of cheating must be stored in a file in a locked security area. You may be asked to fax some of this information to LaserGrade's central office.

TEST TIMING

1. The test will automatically end when the applicant has reached the end of the test and responds "yes" to the two prompts asking to end the test and grade it whether all questions were answered or not.

2. If the time expires before the applicant has finished the test, the system will indicate that the allowed time has elapsed and ask the applicant to answer the questionnaire.

QUESTIONNAIRE AND PERSONAL COMMENTS

1. After the applicant has ended the test, the system will prompt the applicant to respond to a survey regarding their testing experience. Answering these questions is optional but please encourage all applicants to finish the survey, as this allows LaserGrade to analyze the data and make changes that are necessary to improve our services.

2. Some of the questions allow for comments. If the applicant wishes to enter comments, instruct them to hold the <CTRL> key down and press the <S> key or click in the box labeled "Click Here".

3. When the applicant has completed the last question of the questionnaire or if at any time during the questionnaire they choose to quit, they will be asked twice if they wish to quit the questionnaire.

FINISHING THE EXAM

1. The applicant may quit the examination by pressing "F8" at any time.

2. After the questionnaire and comments have been completed, the applicant will be prompted to either finish or return to the questionnaire.

3. If the applicant chooses to finish the exam, the applicant will be prompted again to be sure this is what is intended.

4. If the applicant answers "yes" again, the questionnaire ends and the applicant is asked to summon the proctor.

COMPUTER CRASHES

In the event that a computer has crashed, locked up or experienced a power failure during an examination, the first thing the Proctor must do is try and re-boot the computer. All applicant answers are saved after every question has been answered so the applicant will not lose any data.

REPORTING COMPUTER CRASHES

We have added a function to the software that allows the proctor to provide to LaserGrade a detailed description of the event. **Please be as specific as possible when describing the incident**. We will use these reports to evaluate the nature of the crash and make improvements to our software or procedures. There are two new screens that will appear after the applicant is asked to summon the proctor upon conclusion of his/her exam.

1. The first screen is a message box that appears to inform the proctor of the crash. This screen also instructs the proctor on the information LaserGrade would like to receive about the crash.

2. The next screen is used by the proctor to type in information relating to the crash. Please be as detailed as possible so LaserGrade's technical department can analyze the crash information and make improvements to the software to prevent future software issues.

Once the information has been typed in and Ctrl-S has been pressed, the results screen will appear and the applicant's test report form will be printed.

SECTION 6 POST TEST PROCESSING

PRINTING THE TEST REPORT

QuickSteps: Stand-alone Systems:

1.   The applicant will be prompted to "Summon the test proctor"
2.   The grade screen will appear
3.   Check printer – be sure paper is loaded correctly and press any key
4.   If test report printed correctly, press Y, otherwise, press N and repeat step number 3
5.   Confirm test report printed
6.   Check entire test report for accuracy

QuickSteps: Network Systems:

1.   The test station will prompt the user to go to the proctor station
2.   On the proctor station, select Access Proctor Station Functions
3.   Select "Grade applicant exam and print test report"
4.   Select applicant test you wish to grade.
5.   The grade screen will appear
6.   Check printer – be sure paper is loaded correctly and press any key
7.   If test report printed correctly, press Y, otherwise, press N and repeat step number 3
8.   Confirm test report printed
9.   Check entire test report for accuracy

Please be aware that some sponsors do not wish to give the applicant their grade on their exam until they have reviewed the results. In this circumstance, the grade screen and the test report will not show a score or pass/fail results.

Note: Once completing the above steps, the graded exams will still need to be sent back to LaserGrade. It is imperative that completed exams be returned to LaserGrade the same day as the tests were administered. Be sure to review Section 7 to be instructed on how to send the graded exams back to LaserGrade.

ISSUING THE TEST REPORT FORM

1.   Before issuing and validating the test report, it must be checked for accuracy! This is your final chance to catch errors. Check dates, spelling, SSN and test name. If you find information that is incorrect, you must contact LaserGrade's central office. We will have to correct the information and print the applicant's test report form in the central office and send the report to the applicant by mail.

2.   Give the test report to the applicant and remind them not to lose the test report.

IMPORTANT- do not issue an incorrect test report form. Please call LaserGrade if you cannot print a test report form. We will try to fix the problem over the phone and, if unable, will print the test report form at the central office and send the applicant's test report form to him/her by mail. If we are not in the office to do so, we will print out the report the next business day to the applicant.

FINAL APPLICANT PROCESSING

1.   Collect all testing materials that were issued to the applicant. All scratch paper shall be destroyed.

2.   Collect and inspect the test supplement book for marks.

3.   Cycle the applicant's electronic calculator ON/OFF switch, if one was used.

4.   Make a final check of the "Test Proctor Checklist" to ensure all items have been completed.

5.   Applicant must sign-out on the Daily Sign-in Log".

APPLICANT PAPERWORK

1.   After the applicant has left, place his or her "Test Proctor Checklist" with the photocopies of the applicant's ID and test eligibility on the back, in a folder labeled "Today's Tests". This folder should be kept in the LaserGrade file cabinet or other secure but accessible location.

2.   Check the supplement books thoroughly for marks, and store in your filing cabinet.

3.   When another applicant arrives for a test, repeat the process beginning with "Applicant Processing" located in Section 4, page1.

4.   If this is the last applicant of the day, proceed to the "End of Day" procedure located at the beginning of Section 7.

RETURNING COMPLETED TESTS TO LASERGRADE

It is very important to return all completed examinations **on the same day that they were administered**. Both the applicant and the sponsor count on LaserGrade and our testing centers to process their scores in a timely manner. Many times applicants take their examination in order to secure employment. Any delay when returning completed exams could delay an applicant's employment eligibility. Please be sure to complete an end-of-day procedure to send back all examinations completed at your testing center the same day that they were administered.   If you are having trouble connecting to LaserGrade to return examination results, contact LaserGrade's technical department immediately. They are available 24 hours a day, 7 days a week. Do not wait until the next day to report a problem.

SECTION 7 END OF DAY PROCEDURES

The TCS or test proctor must close out the day's work and send the graded exams back to LaserGrade for each test station used that day. This must be done on Station #1 and all other computers that were used for exams that day if you have stand-alone computers. On a networked system, only the proctor station must complete the steps below. In turn, LaserGrade will send any new tests, mail, and the next day's test schedule. The following procedures ensure accurate and well-organized applicant records and are in compliance with LaserGrade's policies. **This procedure is mandatory.**

Please note that any station that connects will receive the next day's schedule, not just station #1.

END OF DAY COMPUTER PROCEDURE

QuickSteps:

On test station #1 and any other computers with graded exams or the Proctor station:

1.   Select "Access Daily Reports & TCS functions"
2.   Select "Transfer Data to/from LaserGrade"
3.   Select "End of Day Procedure"
4.   Select "Yes" Connect to LaserGrade

Replying "yes" initiates a connection to the LaserGrade Central computer to transfer data to/from the test station or the Proctor station. When a connection is completed with any stand-alone testing station or the Proctor station, tomorrow's testing schedule for all testing computers, possible mail from LaserGrade and any tests that are scheduled for the next day will be downloaded. Please keep in mind the following:

For stand-alone systems:

1. Only exams completed on Station #1 will be returned (uploaded). To send back exams completed on other computers, do an end-of-day procedure on each station that administered exams that day.

2. Only tomorrow's tests for the station that connected will have been downloaded during this connection. If the schedule indicates that tests are scheduled for another testing station, an end-of-day procedure will need to be done on that testing station to download the next day's exams.

For networked systems:

1. If your testing center has a network configuration, the proctor station will download all exams for all testing computers.

PRINTING AND POSTING THE TESTING SCHEDULE FOR THE NEXT DAY

The schedule was downloaded in the "End-of-Day Procedure" and it now needs to be printed. This is done to insure that the testing center is ready for applicants arriving the following day.

QuickSteps:

On test station #1 or the proctor station:

1.   Select "Access Daily Reports & TCS functions"
2.   Select "Print Mail, Schedule, Accounting, Proctor and Applicant list"
3.   Select "Print latest schedule"
4.   Return to the Welcome screen to secure the system
5.   Post the Testing Schedule for the next day

Post the Testing Schedule for the next day. This will also signal the morning proctor that the End of Day procedure has been done.

ON TEST TERMINALS #2, #3 ETC.(STAND-ALONE SYSTEMS ONLY)

1.   If the printed schedule indicates to do so, perform the End-of-Day procedure on test stations #2, #3 etc.

    NOTE: This procedure must be performed on **one station at a time**.

2.   Turn off all computers and printer. If computers are left on all the time, remember to return to the "Welcome" screen to secure the program from access.

END OF DAY PAPERWORK

1.   Remove applicant information from the folder labeled "TODAY'S TESTS".

2.   Place the "Daily Sign-in Log" on top of these documents and staple neatly together.

3.   Place the package in the applicant file for the appropriate month (Jan - Feb - Mar etc.) **Always put the most recent date in front.**

4.   Secure testing materials and equipment in locking file cabinet.

    NOTE: YOU ARE REQUIRED TO KEEP SIGN-IN LOGS ON SITE FOR 24 MONTHS. ALSO, THE PROCTOR CHECKLISTS ARE TO BE KEPT FOR 24 MONTHS.

CLOSING TESTING CENTER

1.   Straighten up testing center and dispose of any litter.

2.   Check all testing stations for debris or papers.

3.   Insure all supplemental materials are secured and lock the testing center door.

SECTION 8 UTILITY FUNCTIONS, SYSTEM SETUP AND HANDSHAKE PROCEDURES

UTILITY FUNCTIONS

This section covers utility functions found in the "Access daily reports & TCS functions" menu and information on how to setup your computers and configure them to communicate with LaserGrade's servers. We will provide an overview of the following utility functions: (a) creating, sending and printing mail (b) printing your schedule and accounting data (c) adjusting communication parameters (d) viewing figures and eligibility screens and (e) viewing and printing exam information. The network system proctor menu will also be discussed. This menu allows the proctor to monitor the status of test stations and move an applicant to another testing station.

MENU ITEMS

The menu items covered here are:

1.   Create Mail to send to LaserGrade

2.   Print Mail, Schedule &/or Accounting Data

3.   Temporarily Adjust Modem Parameters

4.   View Figures

5.   View Eligibility Screens

6.   View Demonstration Test

NOTE: The menu item "Transfer Data to/from LaserGrade" was discussed earlier in Section 5 and will not be included in this section.

CREATE MAIL TO SEND TO LASERGRADE

Selecting this option will create an electronic mail message to be sent to LaserGrade Central. After selecting this option, a blank screen will appear. Treat this as a blank piece of paper to type your mail message to LaserGrade. After writing your message hit the "ctrl" and "s" keys at the same time to submit your message. You may also hit the "ctrl" and "c" keys at the same time to cancel your message at any time.

Note: Mail will be sent any time you perform a "Current Day" or "End of Day" procedure.

PRINT MAIL, SCHEDULE AND/OR ACCOUNTING DATA

If mail has been received, a gray message box will display on the lower right hand corner of the WELCOME and MAIN MENU screens.

The Print Mail, Schedule and/or Accounting data option will print mail, schedule and/or accounting information downloaded to any computer during a current day.

To print any of the items listed above, simply click on Print Mail, Schedule &/or Accounting Data and then select your document from the menu.

TEMPORARILY ADJUST COMMUNICATION PARAMETERS

This option will allow you to change the modem speed, the phone numbers used to connect to LaserGrade, or to allow our technical department to access your system, should we need to troubleshoot connection parameters. The computer's current communication configuration information is displayed on the bottom of this menu for your convenience.   Please note that ALL adjustments made from this menu are temporary and will be reset to original settings after a call has been completed.

This selection should be your first option when you have trouble connecting to LaserGrade. Should you have trouble connecting to LaserGrade by modem, the FIRST thing you should try is to set the baud rate to 2400 and try connecting again. Keep in mind that this is a temporary change and will only apply until a successful connection has been achieved.

Select non-800 telephone number

If 800 services are interrupted, select a non-800 modem telephone number from the menu that will allow you to connect to LaserGrade. When you choose this option, the number will be automatically changed until you reselect the toll-free telephone number.

Select AT&T (most expensive and most reliable) telephone

The modem telephone numbers that begin with "0102881" are the ATT access numbers. When you choose this option, the non-800 number is dialed using the AT&T access code. This puts your call on the AT&T network (considered the most reliable, but also the most expensive call).

Access computer diagnostics

This option will allow our technical support department to service any files in your LaserGrade software that may be in need of repair.

VIEW FIGURES

This option allows the TCS or test proctor to view selected test figures for all tests offered by LaserGrade. This would be necessary if a figure was reported as being defective. If the figure file is corrupted, call LaserGrade for correction.

Once "View Figures" is selected, a prompt will appear below the Daily Reports & TCS Functions screen. Enter the appropriate test category and figure number as "PRI12" for example. It should be noted that you will very rarely use this function and you will usually be asked by a LaserGrade technician to view a figure if a problem has been reported.

VIEW ELIGIBILITY SCREENS

This selection allows the TCS or test proctor to view the different eligibility types for each specific test.

1.   Select the appropriate sponsor from the menu labeled "Choose which sponsor" and press <enter>.

2.   Select the appropriate license from the menu labeled "Choose which license" and press <enter>.

3.   From the next menu, select the exam that the applicant is to take. The eligibility for the exam you are inquiring about will now be displayed

Select <Q>uit to exit back to the "Daily Reports & TCS functions" screen.

VIEW DEMONSTRATION TEST

This option allows you to access the LaserGrade Demonstration test. This is a test we developed for you to use as a sales and practice tool.

It allows you to pull up a simulated test, which uses actual test screens and figures, without going through the process of inputting an applicant's registration information, or making a connection to LaserGrade.

Using this feature, an applicant who is nervous about testing on a computer can become familiar with the system without using the testing time.

Clicking on "Main Menu" returns you to the main menu of the program.

FIX APPLICANT REGISTRATION THEN START EXAM

This utility allows the proctor to fix an applicant's registration information if the applicant has answered "no" to any of the applicant information confirmation screens at the end of the introduction.

1. If a "no" answer is given, the applicant will be instructed to "summon the proctor to fix error" .

2.	After the proctor has entered his/her password, a box appears telling the proctor which items need to be corrected. Pressing any key or clicking the mouse will take the proctor to the applicant registration information screen, where the necessary corrections can me made. Once corrections have been completed, the test will start at the introduction screens.

ADDITIONAL UTILITIES FOR NETWORK SYSTEMS

PROCTOR MENU ITEMS

This section covers additional utility functions for networked systems. These utilities can be found on the main menu. From the main menu, select "Access proctor station functions". The following are the five menu items offered:

Monitor status of test stations
Select applicant and start exam
Fix applicant registration then start exam
Move applicant to different testing station
Grade applicant exam and print test report

Please note that the second, third and fifth menu items from this list were discussed in previous sections. Information on "Select applicant then start exam" can be found in Section 5, page 6. Information on "Fix applicant record then start exam" can be found earlier in this section on page 3. Information on "Grade applicant exam and print test report" can be found in Section 6, page 1.

MONITOR STATUS OF TEST STATIONS

This utility is offered so that the proctor may see the status of all applicants currently testing. The proctor will be able to view the test station number, type of test, locator number, exam status, minutes used by applicant, total minutes allowed for the test, question the applicant is currently viewing, total questions on the test and the applicant's name.

1.	From the "Access proctor station functions" menu select " Monitor status of test stations". The status of each applicant will be displayed.

MOVE APPLICANT TO DIFFERENT TEST STATION

This utility offers the proctor the ability to move an applicant from one test station to another during an examination. This normally would be used if a testing station computer has failed or the proctor assigned a candidate to an incorrect testing station.

1.   From the "Access proctor station functions" menu select " Move applicant to different test station".

2.   You will prompted to select the applicant that you wish to move. Select the applicant and press <enter>.

3.   Notice that a small menu will appear in the lower right corner. Please select the test station where you would like to move the applicant.

4.   A warning will appear to remind you that you must stop the test at the previous station before moving the applicant to the new testing station. Press <enter> to complete the transfer.

SYSTEM SOFTWARE AND HARDWARE INSTALLATION ALL SYSTEMS

It is highly recommended that you contact LaserGrade's technical support desk prior to any software installation. We will be happy to assist you in order to properly install our testing software.

PREPARATION

1.   You will need access to a phone line installed and operational or an Internet connection to the proctor station or ALL stand-alone testing stations.

2.   If you are using a network configuration, all computers must be on the network and viewable by the proctor station. **Wireless networks are not allowed**.

3.   Testing area must be ready and functional (furnished, power available etc.)

HANDSHAKE PROCEDURES

Before calling LaserGrade, please familiarize yourself with the following instructions and have your testing center id number available.

Once you are ready, please call the central office at 1-800-211-2753

We will need to verify your station's configuration and then we will step you through your initial connection to the Central Server.

WINDOWS STAND-ALONE SYSTEMS.

Follow these procedures to perform the electronic "handshake." When <u>successfully</u> completed on all computers, call LaserGrade to schedule your training session.

1. From the Welcome screen, enter the password: "123456789" on computer #1. Windows systems will first need to click on the LaserGrade icon located on the desktop to get to the welcome screen.

2. Select "Register applicant - input new data".

3. Select "LGP" LaserGrade Proctor Tests.

4. Select "SMP" Sample Proctor Exam.

5. Hit right arrow key once to select eligibility and then press <enter> to accept no eligibility requirements.

6. Input registration items. Appropriate response is indicated at the bottom of the screen.

    Press <Esc> to clear a field. Fields will not let you move up or down the list until a response has been entered. Please note that in some fields the data must be entered in a specific format. The desired format appears on the red line at the bottom of your registration box.

7. Once registration information is input, the screen will change to show that you have 1 registration to send. At the bottom of the screen you will be asked if you want to connect to LaserGrade. Select "yes".

8. The system now connects to LaserGrade central and downloads the exam.

    Note: Your registration can take up to 2 minutes to download, depending on your connection. Stay with it through the connection. If the computer is unable to connect you will be prompted to try connecting again.

9. When the system properly downloads your request, it will then return to the Password security screen. Type "123456789" in the password box and press <enter> to continue.

10. Notice at the top of the screen there is "1 untaken exams" with the applicant name. From the Main Menu select "Select applicant then start exam."

11. Select the name of the person you just registered.

12. You will then be asked if this is the correct record, select "yes"

13. You will be presented with your registration information to review at this point. Input any missing information or correct any errors made here. Once again, the appropriate response is indicated at the bottom of the screen.

14. You will then be asked: "Are you sure all information is correct?" reply "yes".

15. Read introduction screens and perform all requested tasks.

16. At the end of the introduction, you will be asked: "Do you wish to start exam?" At this point, select "yes."

17. Are you sure? Select "yes."

    (Note: This is the last chance to back out before the exam begins.)

18. Take the test. Do not be concerned about correct answers for now.

19. At the end of question 20, press "F8" to quit.

20. "Do you wish to quit the exam?" Select "Yes."

21. "Are you sure?" Select "yes." If there are any unanswered questions, you will have a chance to go back.

22. Complete the questionnaire.

23. At the end of the questionnaire, you are given the opportunity to enter comments. If you have any comments enter them and press <Ctrl - S> to save.

24. Select "yes," finished with comments.

25. "Did you wish to quit the questionnaire?" reply "yes".

26. "Are you sure?" Select "yes."

27. Enter: 123456789 at the "Summon the test proctor" screen.

28. The program will then tell you if you passed or failed. Press any key and a test report will be printed by the printer. (Make sure printer is ON, the ON-LINE light is on and there is paper in the printer before attempting to print a report).

29. If the report did not print, check that the POWER light is on, the ON-LINE light is on, check the paper supply in the printer and check that the printer cables are properly secured at the back of the printer.

30. "Did you receive test report?" Reply "yes." <u>DO NOT</u> answer this question until the test report completely prints. You must receive a print out from this station.

31. "Are you sure?" Reply "yes" and you will be returned to the main menu. The top of the screen will display that you have 1 graded exam to send back.

32. To send exam back to LaserGrade, Select "Access daily reports & TCS functions."

33. Select "Transfer data to/from LaserGrade".

34. Select "Current-Day Procedure – Load today's exams."

35. You will be asked "Proceed with Connect to LaserGrade?" Reply "yes."

36. The computer will now connect to LaserGrade and send back the completed exam.

37. If successful, you will be returned to the Welcome screen and then enter the password "123456789" to get back to the Main Menu. If connection with LaserGrade was unsuccessful, repeat from step 32.

38. Once you are back at the Main Menu, there should be no tests displayed at the top of the screen.

39. Select "Secure the system." This will bring you back to the welcome screen and not allow others to access the system.

40. At this point, you have completed the "handshake" for computer #1. Repeat steps 1 through 39 for computers #2, #3 etc.

41. Once all computers have successfully completed the "handshake" procedure, contact the LaserGrade Technical Support staff and they will confirm the handshake and schedule you for your training session.

WIN/98/2000/XP NETWORK SYSTEMS

Follow these procedures to perform the electronic "handshake." When <u>successfully</u> completed on all computers, call LaserGrade to schedule your training session.

1. Click on the LaserGrade icon on the Windows desktop of the proctor station.

2. From the Welcome screen, enter the password: "123456789" on computer #1.

3. Select "Register applicant - input new data".

4. Select "LGP" LaserGrade Proctor Tests.

5. Select "SMP" Sample Proctor Exam.

6. Hit right arrow key once to select eligibility and then press <enter> to accept no eligibility requirements.

7. Input registration items. Appropriate response is indicated at the bottom of the screen.

    Press <Esc> to clear a field. Fields will not let you move up or down the list until a response has been entered. Please note that in some fields the data must be entered in a specific format. The desired format appears on the red line at the bottom of your registration box.

8. Once registration information is input, the screen will change to show that you have 1 registration to send. At the bottom of the screen you will be asked if you want to proceed to connect to LaserGrade. Select "No". This will bring you back to the main menu. You will need to do as many registrations as you have testing stations so that you will be able to send each testing station a sample test. Repeat steps 3 through 7 for each of your testing stations and then continue on to step 9, once registrations are completed.

9. Once you have completed the correct number of registrations, select "Yes" when asked if you want to proceed to connect to LaserGrade.

10. The system now connects with LaserGrade central and downloads the exam.

    Note: Your Registration will only take about 2 minutes to download. Stay with it through the connection. If the computer was unable to connect, you will be prompted to try to connect to LaserGrade again.

11. When the system properly downloads your request, it will then return to the Password security screen. Type "123456789" in the password box and press <enter> to continue.

12.   Notice at the top of the screen there is "# untaken exams" with the "#" representing the number of exams you registered and a list of applicant names.

13.   From the main menu select "Access proctor station functions."

14.   Select "Select applicant then start exam."

15.   Select station number 1 for first test.

16.   You will be then asked if this is correct record, select "yes"

17.   You will then be presented with your Registration information to review at this point. Input any information that is missing or correct any errors made here. Once again, the appropriate response is indicated at the bottom of the screen

18.   It will then ask: "Are you sure all information is correct?".   Reply "yes".

19.   At this point the test will be sent to the station you selected.

20.   Repeat steps 13 – 19, sending a test to each testing station.

21.   Go to testing station #1 and read introduction screens and perform all requested tasks.

22.   At the end of the introduction, you will be asked: "Do you wish to start exam?" At this point, select "yes."

23.   Are you sure? Select "yes."

       (Note: This is the last chance to back out before the exam begins.)

24.   Take the test. Do not be concerned about correct answers for now.

25.   At the end of question 20, press "F8" to quit.

26.   "Do you wish to quit the exam?" Select "Yes."

27.   "Are you sure?" Select "yes." If there are any unanswered questions, you will have a chance to go back.

28.   Complete the questionnaire.

29.   At the end of the questionnaire, you are given the opportunity to enter comments. If you have any comments enter them and press <Ctrl - S> to save.

30.   Select "yes," finished with comments.

31.   "Did you wish to quit the questionnaire?" reply "yes".

32.   "Are you sure?" Select "yes."

33.   You will now be prompted to go to the proctor station. (Don't go there just yet.)

34.   Repeat steps 21- 33 for each test on each testing station.

35.   After completing the examination on all testing stations, go to the Proctor Station.

36.   From proctor station select "Access proctor station functions".

37.   Select "Grade applicant exam & print test report."

38.   Select the test you wish to grade. The proctor station now will score the test and prompt you for a key press or a mouse click to print the test report.

39.   "Did you receive test report?". Reply "yes." <u>DO NOT</u> answer this question until the test report completely prints. You must receive a print out from this station.

40.   If the test report did not print, check that the printer POWER light is on, the ON-LINE light is on, check the paper supply in the printer and check that the printer cables are properly secured at the back of the printer.

41.   You will be prompted again "Are you sure?". Reply "yes" and you will be returned to the main menu. The top of the screen will display that you have 1 graded exam to send back.

42.   Repeat steps 36 - 41 until all exams have been graded.

43.   To send exams back to LaserGrade, select from the Main Menu "Access daily reports & TCS functions."

44.   Select "Transfer data to/from LaserGrade".

45.   Select "Current-Day Procedure – Load today's exams."

46.   You will be asked "Connect to LaserGrade?" Reply "yes."

47.   A connection will now be established with LaserGrade and the completed exams will be sent.

48.   If successful, you will be returned to the Welcome screen and then enter the password "123456789" to get back to the Main Menu. If connection was unsuccessful, repeat from step 43.

49.   Once you are back at the Main Menu, there should be no tests displayed at the top of the screen.

50.   Select "Secure the system." This will bring you back to the welcome screen and not allow others to access the system.

51.   At this point, you have completed the "handshake" for your network system. Please contact the LaserGrade Technical Support staff and they will confirm the handshake and schedule you for your training session.

SECTION 9 FEE RECONCILIATION

This section will explain LaserGrade's accounting system and guidelines for payment to and from the testing center.

GIVEN:

1. The testing center must have a valid credit card on file with LaserGrade or approve LaserGrade to withdraw funds directly from a valid checking or savings account to settle account balances.

2. LaserGrade will not provide a separate invoice for billing unless you are a government agency, College or University who has been pre-approved to receive separate billing.

3. You are responsible for providing updated credit or debit account information to the accounting department as changes occur.

4. You will receive a fax or phone call reminder if you card has expired or we are unable to process payment on your card or account.

5. LaserGrade reviews the previous month's bookkeeping during the first week of the following month. A LaserGrade system email will be sent to your testing center on the 5th of every month reminding you to review your accounting ledger. From the 5th of the month to the 8th, you are asked to review your ledger, and report any discrepancies to us. Formal billing begins on the 9th for the prior months tests.

    Date Review:

    1st to 5th LaserGrade reviews testing center's ledger.

    5th Reminder emails to testing centers to review ledger.

    5th to 8th   Testing centers review ledgers.

    9th and 10th Settlement of accounts by LaserGrade

RECONCILIATION REPORT

You may ask for your bookkeeping for the current month and for the prior month automatically through the LaserGrade system. You must contact the Central Office Accounting Department for any other months you may have not received.

Each time a test is taken and returned to LaserGrade, the test will show in your billing Ledger.   Based on where the registration was made, the amount due LaserGrade or the testing center will be calculated for each test.   If you notice an error or notice a test is not in your ledger, please call the LaserGrade Central office with your questions or concerns.

You can print a copy of the current month's ledger report for your records at any time. Please see Section 8, page 2 for information on printing accounting data.

```
02-19   98602B01.01 Vancouver, WA – Airplane Instruction Inc.
## Date  Locator# Zip    Name              TOT SPO ELG ETC PLG PTC DLG DTC
01 0102  SASM0303 50265 SAMPLE, ALAN     |070 00L 030 040 000 070 030
02 0104  SASM0013 50273 SAMPLE, JUDY     |070 00L 030 040 000 070 030
03 0105  SASM0021 50125 SAMPLE, HARVEY   |070 00C 030 040 070 000 000 040
04 0105  SASM0003 50014 SAMPLE, GERTRUDE |045 00C 025 020 045 000 000 020
05 0106  SASM0100 50265 SAMPLE, GORDON   |070 00L 030 040 000 070 030
06 0106  Overnight for test report forms |                          013
             Totals For All Tests        $325
             Second Sponsor Fee          $     00
             Registration to Testing Center  $
             Earned by LaserGrade        $....    145
             Earned by Testing Center    $........    180
             Paid to LaserGrade          $............    115
             Paid to Testing Center      $................    210
             Due to LaserGrade           $....................    105
             Due to Testing Center       $.......................    060
  LEDGER BALANCE – Testing Center owes LaserGrade  $ 043
```

As the bookkeeping report above shows in the column labeled "DLG" (Due to LaserGrade), the testing center registered 3 applicants which earned LaserGrade $30 each for a total of $90 (3x$30=$90). Added to that is a $13 shipping fee payable to LaserGrade, shown on line 6, for a total of $103 ($90+$13=$103).

The central office registered 2 applicants (on lines 3 & 4), therefore, that $60 in fees earned by the Testing Center need to be subtracted from what the Testing Center owes LaserGrade, for a total balance of $43 owed to LaserGrade ($103-$90= $43).

OTHER CHARGES

Late Fee. All accounts that have not been settled with LaserGrade by the end of each month will be assessed a $25.00 late fee. This fee will be added to the testing centers next month's billing.

Any account that has not been settled by the next billing date will automatically be de-activated. The testing center will need to settle all outstanding balances before re-activation will occur. A $50 re-activation fee will apply and be charged to the following month's billing.

Out-of-Compliance Fee: The guidelines for out-of-compliance issues can be found in Section 2, page 5.

Activity Fees: A minimum activity fee of $50 will be charged to any testing center that does not administer at least 5 exams per month.

Advertising Cost Share is a program set up to allow LaserGrade and our testing centers to share advertising expenses to maximize our exposure in multiple Aviation Industry periodicals. This expense is monthly and will not be in the ledger until the 5th of the month. If you print your ledger before that date, you

may <u>not</u> have a complete billing ledger. Only FAA testing sites participate in the cost share advertising program with LaserGrade. An FAA testing center's cost share amount is based on the number of exams given per month. The cost share amount is normally $40. However, exceptions are made and cost may be reduced to $25 should the site administer less than 20 exams per month.

Private sites or Non-FAA sites are exempt from the Advertising Cost Share Program.

NON-FAA EXAM FEES

Most Non-FAA exams are registered through the central office.   Any public site is able to deliver all LaserGrade exams.   Most of these Non-FAA Exams can only be registered through the central office. Your testing center normally receives $10 per test hour for the delivery of these exams. The test fee split will appear in your monthly ledger.

NO-SHOW APPLICANTS

1. If an applicant fails to show up for an exam scheduled by LaserGrade, you must call LaserGrade the same day to receive credit.

2. Should an applicant arrive late (30 minutes or more) for an exam without calling, you have the option of administering the exam or have the applicant call the central office to reschedule.

3. You should advise the applicant that when they call LaserGrade to reschedule, there will be a second charge on their credit card.

4. The "no show" will appear in your ledger as a No-Show and you will receive payment on the exam.

PROCTOR NO-SHOW POLICY

1. Applicants who have registered through the Central Office and cannot test due to a Proctor no-show will be eligible for a free test.

2. You will be charged the full amount on the exam should a Proctor fail to show for an exam. The charge will be included your ledger.

SECTION 10 LASERGRADE TRAINING

FORMAL TRAINING SESSION
(INITIAL)

WHO NEEDS TRAINING?

Formal training is mandatory for the designated Testing Center Supervisor (TCS) and is provided by LaserGrade. Please remember that to be a TCS, you must be present during at least 50% of test administration business hours.

Once qualified, the TCS is responsible for initial training of the test proctors, however, during the initial TCS training by LaserGrade, include all individuals you intend on certifying as test proctors.

Initial training for test proctors is the same as for the TCS and must include the same subject material. Additional requirements for test proctors are:

(1) At least 21 years of age

(2) U.S. citizen, or resident alien, if within the USA

(3) Proof of identification

(4) TCS passing a background check by a third-party, hired by LaserGrade.

(5) Of good moral character

(6) 80% or better on Qualifying Proctor Test (Test code ID: SMF or SMQ for non-FAA testing centers).

NOTE: The Test Proctor Qualifying Test is open book, and taken until passed, by the TCS and by all test proctors. Please see training references starting on page Section 10, page 8, for additional test question information.

WHAT'S COVERED IN THE TRAINING SESSION?

The training session will occur via telephone and cover various sections of the LaserGrade Operations Manual. You should plan on approximately one hour to complete the training session. Please try to set aside a time to avoid any interruptions during the entire time of the training session. The TCS **must** be present for the training session. It is a good idea to include as many test proctors as possible in the initial training session. It will be the TCS's responsibility to train any additional proctors.

WHEN SHOULD TRAINING TAKE PLACE?

When your computer systems have passed the handshake procedures and all requested paperwork and funds have been received, you are ready to schedule your training session with LaserGrade.

WHERE AND HOW?

Training sessions will be conducted over the phone by a qualified LaserGrade trainer. Please have available the LaserGrade Operations Manual for this training session. You will <u>not</u> need to be at a testing computer but having one available would be helpful. Call LaserGrade, 1-800-211-2753 to schedule your training date.

ADDING PROCTORS

There are five required steps to become a test proctor. All five steps <u>must</u> be completed before a person can become a certified proctor. The steps are:

1. Complete a training session with the TCS following the "Training Checklist" located in Section 10, page 5.

2. Pass the LaserGrade "Qualifying Proctor Exam" available on the testing center's computers. Please note that you must pass the "SMF" exam (100 questions) if your testing center has been approved to conduct FAA exams and you wish to proctor FAA exams. If your testing center is not administering FAA exams, you may take the "SMQ" exam (75 questions). The results of this test will be returned to LaserGrade once a current day or end of day procedure is completed. There is no need to fax your test report form when completing step number five.

3. Complete the "Test Administrator/Proctor Agreement" form located in Appendix 2 of this manual.

4. The TCS must complete and sign a new "Test Proctor List" form located in Appendix 2 of this manual. Please be sure to list <u>**ALL**</u> current approved proctors, not just the new proctor being added.

5. Fax the "Test Administrator/Proctor Agreement" and the "Test Proctor List" to the LaserGrade central office.

The new proctor's name and password will be added to the testing center's list of approved proctors once all requested paperwork is received. Once a proctor is added, their name will appear on the proctor list that can be printed from the TCS functions menu. Please allow 2 business days for the processing of this paperwork.

REMOVING PROCTORS

If the TCS wishes to remove a proctor from the Test Proctor List, they must notify LaserGrade central and complete and sign a new "Test Proctor List" form located in Appendix 2 of this manual. Please be sure to list **ALL** current approved proctors.

RECURRENT TRAINING

WHAT IS IT?

Every 12 months, each TCS and test proctor must receive recurrent training. This training is required by LaserGrade and per FAA Order 8080.6E. Additionally, if a proctor has not administered an exam within the last 30 days, he/she will be required to take the proctor requalifing exam (SMR) before he/she can administer a test.

HOW IS IT ACCOMPLISHED?

TCS Recurrent Training

LaserGrade is responsible for recurrent training of all Testing Center Supervisors (TCS's). At least 30 days prior to the required recurrent training date, LaserGrade will notify the TCS via email that recurrent training is due. Recurrent training dates are also listed on the test proctor list printout.

Training must be completed before the recurrent training date. If training is not completed by that date, the TCS cannot administer exams until training has been completed. The format used will be via a computer test. Testing will be based on the information contained in the LaserGrade Operations Manual and FAA Order 8080.6E (if applicable).

Test proctor Recurrent Training

The Testing Center Supervisor (TCS) is responsible for providing recurrent and initial training to new test proctors, so a review of the test proctor list on file at the testing center needs to be performed on a regular basis. Recurrent training information is recorded on the Test Proctor List and LaserGrade will also notify the TCS via email that recurrent training is due. Recurrent training will be accomplished by completing a LaserGrade Proctor exam.

The TCS is required to provide LaserGrade with an up-to-date copy of the Proctor List whenever any changes occur. This information is also a required inspection item for FAA testing centers (if applicable). Remember, only current and qualified test proctors and TCS's may administer tests!

CHANGING TESTING CENTER SUPERVISORS (TCS)

TCS CHANGES- NOTICE REQUIRED

When a testing center must change the designated TCS, the outgoing TCS must inform LaserGrade of the estimated date of departure and the name of the new TCS, at least 30 days in advance of that date. This will allow a smooth transition without a suspension in testing activity at the testing center.

ALTERNATE TESTING CENTER SUPERVISOR (ATCS) – FAA ONLY

In the event of a sudden or unexpected TCS change, an alternate TCS must be immediately selected by the testing center. This information must then be forwarded to LaserGrade. If you are conducting FAA examinations, LaserGrade will report this change to the FAA and start the process of certifying the ATCS to become the TCS. An ATCS situation may last for 90 days. If an ATCS has not been approved by the FAA to become the TCS in the 90-day period, all FAA testing must be suspended until a TCS has been approved.

FAA APPROVAL REQUIRED FOR FAA SITES – FAA ONLY

The FAA must approve the new TCS and training must be completed before the new TCS can function in this position.

Please allow sufficient time to make this transition.

TRAINING CHECKLIST

This checklist should be used when training a new TCS or proctor, or as a later review for the TCS or proctors.

TCS AND PROCTOR INFORMATION

_____ What is the Password and who has access to the password?	Ref. 2-8
_____ What is the process for adding a new proctor?	Ref. 11-2
_____ What is the Alternate TCS?	Ref. 2-5
_____ What to do if screen freezes during test?	Ref. 10-3
_____ Surveillance requirements?	Ref. 2-8

OPENING DAY

_____ Proper procedure for preparing testing room each day	Ref. 3-1
_____ Proper procedure for checking computer equipment each day	Ref. 3-1
_____ Was schedule posted for today's activities?	Ref. 3-1

CURRENT DAY VS END-OF-DAY

_____ When is Current-Day used?	Ref. 3-2
_____ When is End-of-Day used?	Ref. 3-2
_____ What are the compliance issues related to daily calls?	Ref. 2-6

TEST SELECTION

_____ FAA Matrix	Appx 1

APPLICANT PROCESSING

_____ Use of Test Proctor Checklist	Ref. 4-1
_____ Use of Applicant Sign-log	Ref. 4-2
_____ Applicant proper eligibility	Ref. 4-3
_____ Inspection of Applicant materials	Ref. 4-4

_____ What materials are issued to applicant prior to test?   Ref. 4-4

REGISTRATION

_____ How to register applicant with Locator number   Ref. 5-2

_____ Moving applicant from one computer to another   Ref. 8-11

_____ How to register Walk-in applicant   Ref. 5-5

POST TEST PROCESSING

_____ Printing Test Report   Ref. 6-1

_____ When should Test Report be checked for accuracy?   Ref. 6-5

_____ Final Applicant processing   Ref. 6-6

_____ How to handle incorrect name or SS# on test report   Ref. 6-5

END-OF-DAY PROCEDURE

_____ Printing & Posting Next Day's Schedule   Ref. 7-4

_____ Printing Mail   Ref. 8-3

MISCELLANEOUS FUNCTION

_____ Creating Mail   Ref. 8-2

_____ Printing Accounting Data   Ref. 8-3

FEE RECONCILIATION

_____ How the testing fee is reconciled   Ref. 9-1

TRAINING

_____ Initial TCS & Proctor training – Formal training   Ref. 11-1

_____ Who is responsible for TCS recurrent training?   Ref. 11-3

_____ Who is responsible for proctor recurrent training?   Ref. 11-3

FAA SITE INSPECTION

_____ General Inspection Items   Appx 4-9

COMPROMISING OF TEST

_____ If applicant appears to be cheating   Ref. 5-7

SECURITY

_____ TCS and Proctors   Ref. 2-8

_____ Testing Center   Ref. 2-8

_____ Testing Materials   Ref. 2-8

SUPPLIES

_____ Supplemental Books   Ref. 2-4

CLOSING DAY PROCEDURES

_____ Do End-of-Day   Ref. 7-1

_____ Securing and closing testing room   Ref. 7-7

GENERAL ITEMS

_____ Who is responsible for site operations?   Ref. 2-4

_____ Who is ultimately responsible for test selection?   Ref. 5-5

_____ What to do if applicant questions validity of test Appx. 4-5

_____ What to do if applicant loses test report   Appx. 4-7

_____ What is a Locator Number?   Ref. 5-1

COMPLIANCE

_____ How often must I do a current day?   Ref. 2-6

_____ When do I need to do recurrent training?   Ref. 2-7

PROCTOR QUALIFYING EXAM
QUESTION REFERENCES

Revised 12/15/05

QUESTION SUBJECT MATTER CODES – REFERENCES

Note: Questions 1-75 test the proctor's knowledge with regards to the LaserGrade software and procedures for all available exams. These questions comprise the entire "SMQ" Proctor Qualifying exam and the first 75 questions of the "SMF" Proctor Qualifying exam. Questions 76-100 are only asked on the "SMF" exam and test the proctor's knowledge of FAA testing procedures.

Please see Section 5, page 3 of this manual for information on how to register and download the Proctor Qualifying exams. The time allowed for these exams is 2 hours.

Question Number	Location of Answer	Subject Matter Code
1	Sec. 2-7	S01
2	Try it	S02
3	Sec. 5-8	S03
4	Try it	S04
5	Try it	S05
6	Sec. 5-2	S06
7	Sec 2-9	S07
8	Try it	S08
9	Sec. 4-1	S09
10	Sec. 2-5	S10
11	Sec 2-9	S11
12	Sec 8-2	S12
13	Sec. 7-1	S13
14	Sec. 5-2	S14
15	Sec. 5-6	S15
16	Sec. 5-3	S16
17	Sec. 5-3	S17
18	Sec. 5-1	S18
19	Sec. 7-1	S19

20	Sec. 4-2	S20
21	Sec. 4-1	S21
22	Sec. 2-3	S22
23	Sec. 2-9	S23
24	Sec. 5-8	S24
25	Sec. 2-5	S25
26	Sec. 2-7	S26
27	Sec. 5-7	S27
28	Sec. 3-2	S28
29	Sec. 3-2	S29
30	Sec. 7-2, 7-3	S30
31	Sec 5-2	S31
32	Sec 6-2	S32
33	Sec. 5-1	S33
34	Sec. 5-1	S34
35	Sec. 5-7	S35
36	Sec. 2-7	S36
37	Sec. 5-8	S37
38	Sec. 2-8	S38
39	Sec. 4-3	S39
40	Sec. 5-8	S40
41	Sec 5-9	S41
42	Sec. 8-2	S42
43	Sec. 5-1	S43
44	Sec. 3-2	S44
45	Sec. 8-3	S45
46	Sec. 4-3	S46
47	Sec. 2-5	S47
48	Sec. 4-3	S48
49	Sec. 2-6	S49
50	Sec. 10-3	S50
51	Sec. 4-1	S51
52	Sec. 2-7	S52
53	Sec. 5-8	S53
54	Sec. 3-2	S54

55	App. 2-7	S55
56	Sec. 5-8	S56
57	Sec. 5-9	S57
58	Sec. 6-2	S58
59	Sec. 5-4	S59
60	Sec. 5-7	S60
61	Sec. 2-5	S61
62	Sec. 2-5	S62
63	Sec. 4-3	S63
64	Sec. 2-9	S64
65	Sec. 5-6	S65
66	Sec. 3-2	S66
67	Sec. 2-7	S67
68	Sec. 2-6	S68
69	Sec. 5-3	S69
70	Sec. 2-7	S70
71	Sec. 5-2	S71
72	Sec. 5-5	S72
73	Sec. 9-1	S73
74	Sec. 6-3	S74
75	Sec. 2-7	S75
76	App 1-7	F01
77	80806.D	F02
78	App 1-10	F03
79	8080.6D	F04
80	8080.6D	F05
81	App. 3	F06
82	App 1-4	F07
83	App. 1 –14	F08
84	8080.6D	F09
85	8080.6D	F10
86	Sec. 4-2	F11
87	App. 1-4	F12
88	App. 1-3	F13
89	8080.6D	F14

90	App. 1-10	F15
91	App. 1/Matrix	F16
92	App. 1/Matrix	F17
93	Sec. 5-6	F18
94	App. 1-3	F19
95	App. 1	F20
96	App. 1-8	F21
97	App. 1-21	F22
98	App. 1-2	F23
99	App. 3	F24
100	App. 1	F25

SECTION 11 INDEX

NOTES

APPENDIX 1

Federal Aviation Administration Testing Information

(Omitted)

APPENDIX 2

LaserGrade Forms

APPENDIX 2 LaserGrade Forms

Keep these forms with the manual at all times. Make copies as needed. **DO NOT MARK ON THE ORIGINALS.**

If you need a replacement for any of these forms, call LaserGrade at 800.211.2753.

LASERGRADE PROCTOR CHECKLIST

Photocopy applicant ID and eligibility on the back of this form or attach a photocopy to the back of this form.

Applicant:_____   Test Code:_____

BEFORE THE TEST (At the front desk, or away from the testing stations)

Collect test fee (if not preregistered)

Applicant signs in on the "Sign-in" log

Verify applicant's ID (photo, mailing address, proof of age, signature)

Verify test eligibility   **(Photocopy ID and Eligibility on back of this form)**

Inspect and approve items applicant brings to the test (Calculator, plotter, etc).

Cycle applicants calculator ON/OFF (if applicable)

Issue testing materials (Supplement, scratch paper, pencils, plastic overlay)
        REMEMBER TO INSPECT SUPPLEMENT BOOK FOR MARKS

TEST REGISTRATION AND ADMINISTRATION (At computer testing terminal)

IF WALK-IN, register applicant on available terminal, verify information. . .or

IF PREREGISTERED/NOT SCHEDULED, enter locator # and last name. . .or

IF PREREGISTERED/SCHEDULED, select from list of downloaded exams

Bring up applicants test - verify correct test before starting

Guide applicant through a few pages of **LaserGrade Introduction**

Remind applicant of: **(1)** Time allowed for the test, **(2)** Questionnaire, **(3)** System will ask applicant to "Summon the test proctor" to print test report. **(4)** Verbally remind candidate of surveillance method.

AFTER THE TEST (At the front desk, or away from testing stations)

Print Test Report and check for accuracy (if errors exist call LaserGrade)

Apply LaserGrade Seal on the words, "CTD'S Embossed Seal". (FAA and FCC tests only)

Collect and inspect test materials (supplement, pencils, scratch paper, overlay)
        REMEMBER TO RE- INSPECT SUPPLEMENT BOOKS FOR MARKS

Cycle applicant's calculator ON/OFF switch (if applicable)

Applicant signs out in "Sign-out" log

Place this document in the "TODAY'S TESTS" folder

Proctor Name:_____ Date:_____

LaserGrade

FAA DAILY SIGN-IN LOG

IMPORTANT NOTICE FOR AIRMAN APPLICANTS

By signing below, you are certifying that you do not already hold a valid, current certificate or rating in the area which you are testing. Furthermore, you are certifying that you are in compliance with the appropriate FAA eligibility requirements; and, if this is a retest, your are also in compliance with the re-testing requirements. Failure to meet these requirements may be grounds for enforcement action, which could result in suspension or revocation of any airman certificate or rating. The applicant must sign on one line and print on the other line.

Date _____ Testing Center Name _____

	First Name, Full Middle Name, Last Name	SSN or Date of Birth	Time	Proctor	Test Type
SIGN IN					
SIGN OUT					
SIGN IN					
SIGN OUT					
SIGN IN					
SIGN OUT					
SIGN IN					
SIGN OUT					
SIGN IN					
SIGN OUT					
SIGN IN					
SIGN OUT					

NOTICE: Keep this document on file for 24 months, as required by the FAA. Applicants must sign on one line, and print on the other.

DAILY SIGN-IN LOG

IMPORTANT NOTICE FOR APPLICANTS

By signing below you are certifying that you meet the requirements for your exam(s). And, if this is a retest, you are also in compliance with the retesting requirements. Failure to meet these requirements may be grounds for enforcement action.

The applicant must SIGN on one line and PRINT on the other line.

Date _____ Testing Center Name _____

	First Name, Full Middle Name, Last Name	SSN or Date of Birth	Time	Proctor	Test Type
SIGN IN					
SIGN OUT					
SIGN IN					
SIGN OUT					
SIGN IN					
SIGN OUT					
SIGN IN					
SIGN OUT					
SIGN IN					
SIGN OUT					

LaserGrade

TESTING CENTER AND TESTING CENTER SUPERVISOR INFORMATION

The Testing Center Supervisor (TCS) is the person responsible for the day-to-day operations of the Testing Center. The TCS must be present during at least 50% of test administration business hours. Complete this form and return to LaserGrade.

Please print or type except for signatures

TESTING CENTER

1. Business Name _____

2. Street Address _____

3. City _____ State _____ Zip _____

4. Business Phone _____ FAX _____

TCS INFORMATION

5. TCS name _____

6. Home Phone _____

7. SSN _____ - _____ - _____

8. DOB (at least 21) _____ Citizenship _____

I CERTIFY THAT THE ABOVE INFORMATION IS TRUE AND CORRECT

TCS Signature_____ Date _____

Type or print name _____

Note: If you are a FAA testing center, this form is a FAA inspection item. Current copies of this form must be on file with LaserGrade and the Testing Center.

LaserGrade

TEST CENTER AND *ALTERNATE TESTING CENTER SUPERVISOR* INFORMATION

If a Testing Center Supervisor (TCS) resigns or is terminated and a testing center has a pre-approved Alternate Testing Center Supervisor (ATCS), the ATCS may act as TCS for a period of 90 days. Complete this form and return to LaserGrade.

Please print or type except for signatures

TESTING CENTER

1.	Business Name _____

2.	Street Address _____

3.	City _____ State _____ Zip _____

4.	Business Phone _____ FAX _____

ATCS INFORMATION

5.	ATCS name _____

6.	Home Phone _____

7.	SSN _____ - _____ - _____

8.	DOB (at least 21) _____ Citizenship _____

I CERTIFY THAT THE ABOVE INFORMATION IS TRUE AND CORRECT.

TCS Signature_____ Date _____

Type or print name _____

Note: If you are a FAA testing center, this form is a FAA inspection item. Current copies of this form must be on file with LaserGrade and the Testing Center.

LaserGrade

TEST PROCTOR LIST

Please complete this form and make two copies, send one to LaserGrade and put one in your site files. Please print or type, except for signature. Proctors must be at least 21 years of age, a U.S. citizen, and receive formal proctor training.

Site Name: _____Date:_____

PROCTORS

Name: _____ DOB: _____

SSN#:_____ Training Date: _____

Name: _____ DOB: _____

SSN#:_____ Training Date: _____

Name: _____ DOB: _____

SSN#:_____ Training Date: _____

Name: _____ DOB: _____

SSN#:_____ Training Date: _____

I certify the information contained on this form is true and correct, and that each test proctor has received formal training and is competent to administer all LaserGrade exams.

TCS Signature: _____

Note: If you are a FAA testing center, this document is a FAA inspection item. TCS must insure that current copies are on file with LaserGrade and the Testing Center.

LaserGrade

TEST ADMINISTRATOR/PROCTOR AGREEMENT

This agreement is to be read and signed by any person(s) authorized to administer a test at a LaserGrade Testing center.

Test Site information:

Site Name: _____LAS #_____

Address: _____ City: _____ St.: _____

Test proctor information:

Name: _____ DOB: _____

SSN#: _____ Initial Training Date: _____

Address: _____ City: _____ St.: _____ Zip: _____

Hm. Phone: (_____)-_____-_____ Wk. Phone: (_____)-_____-_____

Email: _____

Please read and complete the information below:

1. I have agreed to serve as a Test Administrator (proctor) for LaserGrade Computer Testing.

2. I have read the LaserGrade Operations Manual, specifically sections 2 and 11, which outline the rules and regulations of administering tests as a test proctor for LaserGrade Computer Testing. I will adhere to all standards of administration and confidentiality and to all procedures and instructions as specified in the LaserGrade Operations Manual.

3. I will not sit for a test at the facility for which I am a test proctor or any other LaserGrade testing center.

4. I agree to maintain the security of the test computer before, after, and during test administration.

5. I agree to comply with the procedures for handling any breech of security.

6. I will accurately check candidate's photo identification in addition to other eligibility requirements as specified for each individual test.

7. I will not offer any hints, suggestions, definitions, or clues to the answer of a test item.

8. I will ensure no talking or communication of any form between candidates occurs during the test.

9. I will ensure to the best of my ability that the test candidate does not cheat on his/her test.

I, _____, hereby swear and affirm that I understand that my

  (print name)

responsibilities as a Test Administrator are critical to LaserGrade Computer Testing. I am aware that I may be afforded access to confidential and/or proprietary information, and I hereby agree that I shall not disclose or provide to any person or entity, directly or indirectly, any information in any form pertaining to the preparation, testing, and/or grading services provide by LaserGrade or its affiliates.

It is understood that all documents, test questions, or confidential information received from LaserGrade Computer Testing shall remain the exclusive property of LaserGrade Computer Testing and shall be returned immediately upon request to LaserGrade Computer Testing. I will not divulge to anyone, and I will keep secure my unique test station password, which allows me access to the test station. Furthermore, I understand per FAA regulations that I must be a US citizen or resident alien to administer FAA exams.

Finally, I understand that breach of this agreement, intentional or unintentional, shall be grounds for civil proceedings should LaserGrade Computer Testing pursue legal remedies to said breech. Minimally, I understand that should I fail to follow the standards set forth by the LaserGrade Computer Testing Operations Manual my privilege as a Test Administrator will be revoked.

By my signature below, I acknowledge that I have read this agreement and understand the information contained herein and will abide by provisions as stated.

_____ _____ _____

Signature   Print Name   Date

LaserGrade

Site # LAS_____ State _____

Site Name _____ **Preferred Effective Date _____**

TESTING CENTER DECLARATION AND HOURS OF OPERATION

LaserGrade policy requires that each public testing center be open a minimum of 15 hours per week. **30-day advance notice** is required for any reduction or change to this schedule. Please indicate below the days and hours the Testing Center will be open for testing with a test proctor available to administer tests.

HOURS AVAILABLE FOR TESTING

(On the hour only, no half hour open or close times)

DAY	OPEN	CLOSE
Monday		
Tuesday		
Wednesday		
Thursday		
Friday		
Saturday		
Sunday		

HOLIDAYS

HOLIDAY	OPEN	CLOSED	ADDITIONAL DAYS CLOSED
New Year's Day			
Martin Luther King Day			
President's Day			
Good Friday			
Easter			
Memorial Day			
Independence Day			
Labor Day			
Thanksgiving			
Christmas			

TCS Signature: _____   Date: _____

LaserGrade®

BACKGROUND CHECK AUTHORIZATION

In accordance with FAA Order 8080.6d section 3-11, I hereby agree as follows:

CONSENT TO BACKGROUND INVESTIGATION

I authorize LaserGrade, LP (the "Company") to investigate my background in connection with delivering FAA Airman Knowledge Tests. I understand that this background investigation will include, but not be limited to, a 5-year criminal history that reveals arrests and/or conviction of felonies, a state arrest investigation to reveal criminal arrest records maintained by state and local agencies such as Sheriff's Departments, State Police, and other Municipal, County, and State Law Enforcement Agencies.

CONSENT TO CONTACT GOVERNMENT AGENCIES

I further authorize the Company to receive a copy of any information obtained in the file of any federal, state, or local court, or governmental agency concerning or relating to me. I further consent to the release of such information and waive any right I may have to notification of the request for the release of such information.

TERM

This authorization is valid now through the end of my duties involving the delivery of FAA Airman Knowledge Tests with the company.

COOPERATION WITH THE INVESTIGATION

I agree to fully cooperate with the Company background investigation and to sign any waivers or releases that may be necessary or desirable to obtain access to relevant information. In the event that any federal, state, or local government agency will not release information directly to the Company, I agree to personally request such information to the extent permitted by law.

This authorization represents the entire understanding and agreement relating to its subject matter. The Company is fully entitled to rely on this Authorization. I understand that I have no guarantee of authorization to deliver FAA tests and that the Company may determine not to forward my application to the FAA for any lawful reason.

_____

(Printed) First   MI   Last

_____

Street Address   City   State   Zip

_____   _____   _____

County of Residence   Date of Birth   Social Security Number (for ID purposes only)

Please list any previous names:

_____

Please list past addresses over the last five years (attach additional sheet if necessary):

_____

_____

_____

_____

_____

_____   _____
Signature   Date

APPENDIX 3

FAA Order 8080

(Omitted)

ExCPT Content

1. Regulations and Technician Duties (~25% of exam)

1.1 Overview of technician duties and general information

    1.1.1   The role of pharmacists and pharmacy technicians

    1.1.2   Functions that a technician may and may not perform

    1.1.3   Prescription department layout and workflow

    1.1.4   Pharmacy security

    1.1.5   Inventory control

    1.1.6   Stocking medications

    1.1.7   Identifying expired products

1.2 Controlled substances

    1.2.1   Difference among the controlled substances schedules

    1.2.2   Refills, partial refills, filing, and prescription transfers

    1.2.3   Correct procedures for handling Schedule V sales

    1.2.4   Controlled Substance Act

    1.2.5   DEA numbers

1.3 Other laws and regulations

    1.3.1   Federal privacy act

    1.3.2   Generic substitution (incl. brand vs. generic products)

    1.3.3   Professionals with prescribing authority (and acronyms)

    1.3.4   Child-resistant packaging

    1.3.5   Role of government agencies (Board of Pharmacy, DEA, FDA, etc.)

    1.3.6   Manufacturer drug package labeling

    1.3.7   OTC package labeling

2. Drugs and drug therapy (~23% of exam)

2.1 Drug Classification

    2.1.1   Major drug classes (e.g., analgesics, anesthetics, antibiotics, etc.)

    2.1.2   Dosage forms (types, characteristics and uses)

    2.1.3   Over-the-counter products

    2.1.4   NDC number

2.2 Most frequently prescribed medications

    2.2.1   Brand and generic names

    2.2.2   Basic mechanism of action (pharmacology) and drug classification

    2.2.3   Primary indications

    2.2.4   Common adverse drug reactions, interactions, & contraindications

3.   Dispensing Process (~52% of Exam)

3.1   Prescription information
- 3.1.1   Information required on a valid prescription form
- 3.1.2   Telephoned and faxed prescriptions
- 3.1.3   Refill requirements
- 3.1.4   Patient information (age, gender, etc.)
- 3.1.5   Interpreting prescribers' directions for prescription labels
- 3.1.6   Recognizing and using common prescription abbreviations

3.2   Preparing/dispensing prescriptions
- 3.2.1   Avoiding errors (such as sound-alike/look-alike names)
- 3.2.2   Systems for checking prescriptions
- 3.2.3   Automated dispensing systems (including quality control)
- 3.2.4   Procedures for preparing prescriptions and data entry
- 3.2.5   Labeling prescriptions properly
- 3.2.6   The purpose and use of patient records
- 3.2.7   Proper packaging and storage
- 3.2.8   Managed care prescriptions

3.3   Calculations
- 3.3.1   Conversions / Systems of measurement used in pharmacy
- 3.3.2   Calculating the amounts of prescription ingredients
- 3.3.3   Calculating quantity or days supply to be dispensed
- 3.3.4   Calculating individual and daily doses
- 3.3.5   Calculations used in compounding
- 3.3.6   Calculating dosages and administration rates for IVs
- 3.3.7   Business calculations (pricing, markup, inventory control)

3.4   Sterile products, unit dose and repackaging
- 3.4.1   Drug distribution systems used in hospitals and nursing homes
- 3.4.2   Procedures for repackaging medications
- 3.4.3   Prescription compliance aids
- 3.4.4   Aseptic technique and the use of laminar flow hoods
- 3.4.5   Special procedures for chemotherapy
- 3.4.6   Routes of administration for parenteral products
- 3.4.7   Types of sterile products
- 3.4.8   Correct procedures for maintaining the sterile product environment
- 3.4.9   Accurate compounding and labeling of sterile product prescriptions

Candidate's Guide

Institute for the Certification of Pharmacy Technicians
2536 S Old Hwy 94, Suite 214
St. Charles, MO 63303
Phone: 314-442-6775 or 866-391-9188 • Fax: 866-203-9213
www.nationaltechexam.org

Please retain this *Guide* for future reference

Reviewed and updated September 2008

Exam for the Certification of Pharmacy Technicians — ExCPT

Mission Statement

The mission of the Institute for the Certification of Pharmacy Technicians is to recognize pharmacy technicians who are proficient in the knowledge and skills needed to assist pharmacists to safely, accurately and efficiently prepare and dispense prescriptions and to promote high standards of practice for pharmacy technicians.

In support of this mission, ICPT:

- Promotes high standards of practice for pharmacy technicians.

- Promotes safe and effective patient care by encouraging the use of highly qualified pharmacy technicians in all pharmacy practice settings.

- Develops and conducts examinations that evaluate the knowledge and skills associated with the performance of tasks required for professional practice as a pharmacy technician.

- Provides a means for recognizing pharmacy technicians who continue to demonstrate their qualifications by complying with ICPT continuing education requirements and adhering to high professional standards.

Table of Contents

1. Overview of the ExCPT

General Information	
Eligibility	Candidates must be 18 or older with high school degree or GED and not guilty of a felony
Target group for exam	Pharmacy technicians who work in any type of practice site in the United States
Test Sites	Over 300 LaserGrade Test Centers
Number of times per year that exam is offered	Over 310 day a year
Deadline for exam registration	Usually less than 48 hours
Deadline for notificationof change of exam time or location	24 hours
Exam format	Secure computer-based exam
Number of questions	110 multiple-choice questions with choices a-e. (100 are scored and the remaining 10 are pretested for possible use on future exams).
Length of exam	Two hours
Quality Assurance	
Exam based on comprehensive practice analysis	Yes
Advice and oversight by panel of experts	Yes
Committed to following Standards for Education and Psychological Testing published by the American Educational Research Association, American Psychological Association and National Council on Measurement in Education	Yes
Independent audit/review	Yes
Exam items approved by a panel of experts with a wide range of experience in the field	Yes
All exam items pretested	Yes
Complete item analysis conducted for all exams	Yes
Exam Security	
Eligibility verified at time of exam	Pre-registration required; approved identification must be shown at test center.
Procedure for rotating and retiring items	Yes
Procedure for equating multiple versions of the exam to assure that they present equal challenge to candidates	Yes
Proctors thoroughly trained to follow procedure and for handling emergency situations.	Yes
Stringent computer encryption programming used	Yes
Exams sent to testing site before exam	No, exam is sent in a secure encrypted format and downloaded at the testing center only after candidate checks in and has identification verified.
Extra printed exams that must be accounted for and destroyed if not used.	Not necessary because of computer-based exam
Services for Candidates and Other Stakeholders	
Diagnostic report offered to unsuccessful candidates	Yes
Candidates with disabilities accommodated in compliance with ADA	Yes
Website for exam information	www.nationaltechexam.org

Exam results reported to candidates	Immediate notification
Recertification	Required every two years. 20 hours of pharmacy-related continuing education (including at least one hour of law) required.
Employer registration	Employers may register candidates directly.
Confidentiality	All data related to candidates is held in strict confidence. Exam scores are release only to candidates. A roster of certified pharmacy technicians is available to stakeholders but the names of candidates who did not pass is not made available.
Exam results reported directly to the Board of Pharmacy	Yes, available on secure password-protected site for verification by Board of Pharmacy personnel.

2. Purpose of the ExCPT

The purpose of the ExCPT is to: (1) evaluate the knowledge and skills associated with the performance of tasks required for professional practice as a pharmacy technician and (2) provide a means for recognizing pharmacy technicians who continue to demonstrate their qualifications by complying with ICPT requirements and adhering to high professional standards. This purpose is supported by the ICPT Mission Statement published at the front of this *Guide*.

3. Non-discrimination Policy

ICPT endorses and adheres to the principles of equal opportunity. ICPT does not discriminate against any individual because of age, disability, gender, national origin, race, religion, sexual orientation, or veteran status.

4. Eligibility Requirements

To be eligible to take the ExCPT, a candidate must: (1) be at least 18 years of age, (2) have a high school diploma or GED and (3) have not been convicted of or pled guilty to a felony. Candidates who have been convicted of or pled guilty to a drug-related felony are not eligible for certification. Candidates who were convicted of a nondrug-related felony occurring more than 7 years prior may petition to apply for the ExCPT. ICPT will review and make decisions on their status on a case-by-case basis. ICPT reserves the right to deny certification to any convicted felon.

Candidates will be required to provide an attestation stating that they meet these criteria and recognize that ICPT will revoke certification if any false information is provided by the candidate. ICPT reserves the right to investigate criminal background and verify candidate eligibility. Candidates must provide government-issued photo identification at the time of the exam to verify identity.

5. **Registration**

   A. **Contacting LaserGrade**. The ExCPT is offered over 310 days per year at LaserGrade Testing Centers throughout the United States. Candidates may register by calling the LaserGrade toll-free number 1-800-211-2754 to arrange a test date, time and location. By providing a zip code, the candidate will be informed of the closest LaserGrade Testing Centers.   Alternatively, these locations can be found on the Web at www.lasergrade.com. Exams can usually be taken within 24 to 48 hours of registration.

   B. **Information Required**. Candidates must give their full name, address, Social Security Number, telephone number, email address (if applicable) and demographic information such as date of birth, gender, employer, type of practice site, type of training, years of practice and hours worked per week. Candidates should also indicate whether they qualify for special accommodations under the Americans with Disabilities Act. (See the following section.) These data are used to analyze test results and produce reports.   Date of birth also helps verify identification at the test center.

   C. **Payment**. The ExCPT costs $95 and is payable by credit card at the time the candidate calls LaserGrade.   Candidates who do not have credit cards can send LaserGrade a check or money order.   When the check clears, LaserGrade will contact the individual to arrange the test date.   Employers may prepay for a specified number of candidates by making arrangements directly with LaserGrade. Registered candidates who need to change an exam time for any reason must contact the LaserGrade call center at least 24 hours in advance to reschedule or cancel an exam without penalty.

   D. **Cancellation of Scheduled Exam**

      1)   **Notification by Candidate**. Candidates who are unable to take the ExCPT at the scheduled time should notify LaserGrade at least 24 hours in advance to avoid penalties.   Refunds are not provided but credit will be given for a future exam appointment. If an exam appointment is NOT cancelled by the candidate at least 24 hours before taking the exam or the candidate does not arrive during the scheduled time, the exam fee will be forfeited. Cancellation notices will only be accepted from the candidate; employers, family members or other individuals may not request a cancellation on behalf of candidates. An exception to this rule may be made by an employer who originally registered the candidate with LaserGrade and directly paid the examination fee.

      2)   **Cancellation by LaserGrade**. LaserGrade Testing Centers may close without notice in the case of inclement weather, a state of emergency or other unforeseen event.   In this case, the candidate will be allowed to reschedule at

a convenient time and location with the exam fee credited to the future exam appointment. Candidates may verify that the LaserGrade Test Center is open by calling the center directly shortly before the appointed time.

E. Compliance with the Americans with Disabilities Act

1)   **General Policy**. Candidates with documented disabilities (including learning disabilities, reading disabilities, visual impairment, hearing impairment, or other physical or mental disabilities) will be given special accommodations upon request, in conformance with the Americans with Disabilities Act (ADA).

2)   **Procedure for Requesting Special Accommodations.** Documentation must be provided at the time of the request and must provide a specific description of the candidate's needs. Candidates must indicate the name of a physician or other professional who can verify the disability or provide further information in support of the request. The candidate may include a letter from an appropriate professional on official stationary that provides evidence of a prior diagnosis or accommodation (e.g., special education services).   Previous school records may also be submitted to document a disability.   This documentation letter must describe the specific disability/diagnosis, the approximate date when the disability was first diagnosed, the method used to confirm the diagnosis, a brief description of the disability, and the type of accommodation needed by the candidate.   The letter must be signed by the professional. Candidates requesting accommodation because of an emotional disability must have a SSM-IV classification of the diagnosis specified in the letter. A *Request for Special Accommodations Form* is available on the ICPT website.

The candidate will need to provide authorization for the physician or other professional to share protected health information as described in the Heath Insurance Portability and Accountability Act (HIPAA).   This physician or other professional may be contacted by ICPT to verify information or provide clarification of any information with regard to the disability or testing needs. ICPT will respond to the candidate as expeditiously as possible, but this may take two weeks or more.

6.   Exam Content

The purpose of the Exam for the Certification of Pharmacy Technicians (ExCPT) is to: (1) evaluate the knowledge and skills associated with the performance of tasks required for professional practice as a pharmacy technician who assist pharmacists in the preparation of prescriptions, and (2) to provide a means for recognizing pharmacy technicians who continue to demonstrate their qualifications by complying with ICPT continuing education requirements and adhering to high professional standards.

The target group for the ExCPT is pharmacy technicians from all practice settings throughout the United States. Stakeholders include individuals, companies, associations and government agencies that employ, supervise, train, regulate or receive services from pharmacy technicians.

Exam questions fall into three general areas: (1) Regulation and Technician Duties (~25%), (2) Drugs and Drug Products (~23%); and (3) The Dispensing Process (~52%). Details are provided below.

_____

ExCPT Content

Regulations and Technician Duties (~25% of exam)

1.1 Overview of technician duties and general information
- 1.1.1 The role of pharmacists and pharmacy technicians
- 1.1.2 Functions that a technician may and may not perform
- 1.1.3 Prescription department layout and workflow
- 1.1.4 Pharmacy security
- 1.1.5 Inventory control
- 1.1.6 Stocking medications
- 1.1.7 Identifying expired products

1.2 Controlled substances
- 1.2.1 Difference among the controlled substances schedules
- 1.2.2 Refills, partial refills, filing, and prescription transfers
- 1.2.3 Correct procedures for handling Schedule V sales
- 1.2.4 Controlled Substance Act
- 1.2.5 DEA numbers

1.3 Other laws and regulations
- 1.3.1 Federal privacy act
- 1.3.2 Generic substitution (incl. brand vs. generic products)
- 1.3.3 Professionals with prescribing authority (and acronyms)
- 1.3.4 Child-resistant packaging
- 1.3.5 Role of government agencies (Board of Pharmacy, DEA, FDA, etc.)
- 1.3.6 Manufacturer drug package labeling
- 1.3.7 OTC package labeling

2. Drugs and drug therapy (~23% of exam)

2.1 Drug Classification
- 2.1.1 Major drug classes (e.g., analgesics, anesthetics, antibiotics, etc.)
- 2.1.2 Dosage forms (types, characteristics and uses)
- 2.1.3 Over-the-counter products
- 2.1.4 NDC number

2.2 Most frequently prescribed medications
- 2.2.1 Brand and generic names

2.2.2   Basic mechanism of action (pharmacology) and drug classification

2.2.3   Primary indications

2.2.4   Common adverse drug reactions, interactions, & contraindications

3. Dispensing Process (~52% of Exam)

3.1 Prescription information

3.1.1   Information required on a valid prescription form

3.1.2   Telephoned and faxed prescriptions

3.1.3   Refill requirements

3.1.4   Patient information (age, gender, etc.)

3.1.5   Interpreting prescribers' directions for prescription labels

3.1.6   Recognizing and using common prescription abbreviations

3.2 Preparing/dispensing prescriptions

3.2.1   Avoiding errors (such as sound-alike/look-alike names)

3.2.2   Systems for checking prescriptions

3.2.3   Automated dispensing systems (including quality control)

3.2.4   Procedures for preparing prescriptions and data entry

3.2.5   Labeling prescriptions properly

3.2.6   The purpose and use of patient records

3.2.7   Proper packaging and storage

3.2.8   Managed care prescriptions

3.3 Calculations

3.3.1   Conversions / Systems of measurement used in pharmacy

3.3.2   Calculating the amounts of prescription ingredients

3.3.3   Calculating quantity or days supply to be dispensed

3.3.4   Calculating individual and daily doses

3.3.5   Calculations used in compounding

3.3.6   Calculating dosages and administration rates for IVs

3.3.7   Business calculations (pricing, markup, inventory control)

3.4 Sterile products, unit dose and repackaging

3.4.1   Drug distribution systems used in hospitals and nursing homes

3.4.2   Procedures for repackaging medications

3.4.3   Prescription compliance aids

3.4.4   Aseptic technique and the use of laminar flow hoods

3.4.5   Special procedures for chemotherapy

3.4.6   Routes of administration for parenteral products

3.4.7   Types of sterile products

3.4.8   Correct procedures for maintaining the sterile product environment

3.4.9   Accurate compounding and labeling of sterile product prescriptions

7. **Testing Procedures**

  A. **Examination Rules of Conduct and Confidentiality.** Passing the ExCPT is a big step in a pharmacy technician's career. Understandably, candidates will want to take advantage of all available resources when preparing for this important examination. It is *illegal and unethical to* recall (memorize) and share questions that are on the ExCPT or to solicit questions that are on the ExCPT from candidates who have taken the exam. *Items from the examination are not to be recalled for any purpose.*

  Soliciting recalled questions from candidates who have previously taken the examination is unethical for several reasons.   The first is obvious; candidates are expected to pass the test based on their own merit without assistance. The members of the public who will entrust certified technicians with their well-being expect that that they are trustworthy and competent individuals.   Secondly, the purpose of the ExCPT is to protect the public by ensuring that candidates for licensure have achieved entry-level competence.   By asking previous test takers to share questions, candidates are undermining the very purpose of the examination.   Lastly, soliciting questions from previous test takers who have agreed to the Candidate Attestation would be encouraging candidates to commit illegal acts. *Items from the examination are not to be solicited by candidates for any purpose.*

  ICPT will actively prosecute individuals who violate the Attestation Agreement. The Institute will also report any incidents of students requesting questions or sharing questions to their licensing jurisdiction. Candidates who are prosecuted by ICPT or who are reported to a licensing jurisdiction for soliciting or sharing questions may severely damage their chances of achieving certification.

  Before candidates begin taking the ExCPT at a LaserGrade Testing Center, they will be provided a copy of the candidate attestation on the computer screen. Candidates must agree to comply with the terms of this attestation before they can proceed with the exam. A copy of the attestation is available on the ICPT website for inspection.

  B. **Preparing for the ExCPT.** Unless specified otherwise by an employer or by a given state board of pharmacy, candidates are not required to participate in a specific pharmacy technician training program in order to take the ExCPT. There are several excellent pharmacy technician courses and manuals available. ICPT does not endorse any particular course or manual. Following is a partial list of publications that are used by pharmacy technicians:

  - American Pharmacists Association, *The Pharmacy Technician Workbook and Certification Review, Second Edition* (Englewood, CO: Morton Publishing, 2004).
  - Lile JM, Miller DE and Rybicki AL, *Pharmacy Certified Technician Training Manual, Tenth Edition*, (Lansing, MI: Michigan Pharmacists Association, 2006).

- Posey LM, *APhA's Complete Review for the Pharmacy Technician*, (Washington, DC: American Pharmaceutical Association, 2001).
- Reifman N, *Certification Review for Pharmacy Technicians, Sixth Edition* (Golden, CO: Ark Pharmaceutical Consultants, 2002).
- Schafermeyer KW, *The National Pharmacy Technician Training Program, Fifth Edition* (St. Charles, MO: Institute for the Certification of Pharmacy Technicians, 2007).

The National Pharmacy Technician Training Program covers all content areas covered by the ExCPT and is available through the Institute for the Certification of Pharmacy Technicians.   This *Training Program* includes self-assessment questions and a competency assessment tool at the end of each module.   The Training Program is also easy to incorporate into a new technician orientation program as well as on-going employee performance evaluation programs.   You can order a *Training Program* from the online order form on the ICPT website.

C. Taking the Exam

1)   Test Administration Method. The ExCPT is a secure, computer-based exam offered during business hours and some evenings and weekends at one of the LaserGrade Testing Centers located throughout the United States. Candidates may register by calling LaserGrade's toll-free number, 1-800-211-2754. Candidate identification is verified at the LaserGrade Testing Center at the time of the test.

Candidates have two hours to answer 110 multiple-choice questions.   Each question has four choices. One question is presented on the screen at a time. Candidates may mark the answers or they can skip questions and come back later. Final answers are submitted when the candidate indicates that he or she is finished. The exam is graded by the LaserGrade computer system and the candidate is given results immediately.   A demonstration of the computer format used for exams administered by LaserGrade is shown on the LaserGrade website at www.lasergrade.com. A brief practice/demonstration session is available for candidates to practice on the computer before the exam actually starts.

Candidates are given an opportunity to comment on any item that they believe is ambiguous, inaccurate or deficient. Candidates are also asked to complete a brief survey at the end of the exam to rate the exam registration procedures, the testing facility and the testing experience. This information is reviewed by the ICPT staff and referred to the Certification Governing Committee.

2)   PSI/LaserGrade Testing Centers. LaserGrade is a computer-based public testing network with headquarters in Vancouver, Washington, and can be

found on the Web at www.lasergrade.com.   The company has been in operation for over 25 years and has been using the "LaserGrade" name since 1995.   The LaserGrade network consists of secure and supervised testing centers located throughout North America and overseas at colleges, training schools, and certification-related locations. LaserGrade currently delivers nearly 200,000 exams per year through their national testing network.

LaserGrade's function in the market is purely test administration. They do not provide training or item bank development. LaserGrade, acquired in November 2007 by psi, provides proctored, secured testing at over 300 testing locations in the US, Canada, and overseas, along with central candidate registration services.

3) **Identification Required.** In order to take the exam at a LaserGrade Testing Center, candidates are required to present government-issued photo identification, such as a valid passport, driver's license, US Armed Forces photo identification or a non-driver's identification issued by a state department of motor vehicles.   The identification must be clear and legible. The name on the photo identification must be the same as on the original registration. If the names are different, then a certified or notarized copy of a marriage license, divorce decree, adoption papers or other legal documentation of name change should be provided.   If the address on the government-issued photo identification is different from that supplied at the time of registration, the candidate must show proof of address, such as a current utility bill.

4) **Prohibited Items.** Candidates may not bring any paper, books, cell phones, calculators, pagers, scanners, cameras or PDAs with them into the examining room.   Candidates may be inspected for such materials prior to the exam. All purses, brief cases and other personal items will be securely locked up during the exam.   The testing session may be videotaped for additional security.

5) **Materials Supplied.** Candidates will be supplied with two blank sheets of paper and a pencil.   The paper must be returned to the proctor at the end of the exam. A calculator will be available on the computer. Easy instructions on using this calculator and for navigating through the exam items and submitting the final answers will be given at the time of the exam. Candidates may also preview these instructions on the LaserGrade website at www.lasergrade.com.

6) **Questions.** No questions concerning the content of the examination may be asked during the testing period.

7)   **Comments.**   Candidates will be given the opportunity to comment on any question that they believe is ambiguous, inaccurate or deficient.   A comment section for this purpose is provided at the end of the exam.   All comments submitted will be reviewed by the ICPT Expert Panel. Responses are not provided to individual comments.   Candidates will also be asked to complete a brief survey at the end of the exam to rate the exam registration procedures, the testing facility and general satisfaction with the testing experience.

D.   Scoring Exams and Reporting Results

1)   **Exam Results for Successful Candidates.** The ExCPT is scored immediately and successful candidates are given an official report by LaserGrade indicating that they passed the ExCPT immediately after completing the exam.   Candidates may use this report to provide evidence to employers or regulatory boards that they passed the ExCPT and are a certified pharmacy technician.

2)   **Exam Results for Unsuccessful Candidates.** The purpose of the exam is to provide summative assessment (i.e., to determine whether an individual has achieved a certain level of competency). It is not designed for formative assessment (i.e., to give the candidate feedback).   ICPT does, however, provide diagnostic reports to help unsuccessful candidates focus their study time so they can successfully retake the exam.   This diagnostic report will indicate how the candidate performed on each the major sections of the exam. A description of the specific content from each section of the exam can be found in The "Exam Content" section of this *Guide*.

Candidates who do not pass the Exam will be allowed to retake the exam after four weeks. Candidates who retake the Exam may receive a different, but equivalent, set of questions.

3)   **Scoring.**   The ExCPT is scored immediately and successful candidates are given an official report by LaserGrade indicating that they passed the ExCPT immediately after completing the exam. Candidates may use this report to provide evidence to employers or regulatory boards that they passed the ExCPT and are a certified pharmacy technician.

The passing score is established by the ICPT Expert Panel based on a standard of performance that experts in the profession have determined are acceptable for this certification program.   Specifically, the Expert Panel uses the Angoff procedure to determine the passing score. With this method, each exam item is independently assessed by each panel member in terms of how likely minimally adequate or competent candidates (i.e., those who would barely meet mastery standards) would correctly answer that item. The panelists' ratings are averaged to determine the passing score (also known as the "cut

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score"). The overall passing score is the mean of the individual ratings adjusted for the standard error of measurement. The passing score is not based on a curve.

4) **Recognition of Certification.** Pharmacy technicians who successfully pass the ExCPT are considered Certified Pharmacy Technicians and may use the designation "CPhT." Within four weeks of passing the exam, Certified Pharmacy Technicians will receive a certificate suitable for framing, which will indicate the certification number and expiration date.

5) **Appeals and Rescoring.** Unsuccessful candidates may appeal their test results or a specific test item by completing an Appeal Form available on the ICPT website and remitting the required examination review fee. If the appeal is successful, the payment will be returned. Exam item appeals must be submitted in writing on the approved form. Candidates must submit the appeal form within 30 days of receiving exam results. All appeals will be reviewed by the ICPT staff and referred to the Appeals Committee.

6) **Requests for Duplicate Certificates.** Candidates who need a duplicate certificate may obtain one for a nominal charge by ordering online on the ICPT web site. The address used in the online order form will be used as your mailing address. Individuals requesting a name change must provide notarized proof of the name change. This information must be faxed or mailed to ICPT with the certificate request order. A copy of the Duplicate Certificate Order Form is available on the ICPT website.

7) **Re-examination.** Candidates who do not pass the ExCPT will be allowed to retake the exam after four weeks. Candidates who retake the exam may receive a different, but equivalent, set of exam items.

E. **Standards for Assuring Quality of the ExCPT**

1) **Standards.** The ExCPT is committed to following the standards of the American Educational Research Association, American Psychological Association and National Council on Measurement in Education, *Standards for Educational and Psychological Testing.* The ExCPT is committed to following the standards of the National Commission for Certifying Agencies (NCCA), the accreditation body of the National Organization for Competency Assessment and most recently was awarded a five-year accreditation in June 2008.

2) **Development of Exam.** The above-referenced standards require that certain steps be followed to assure the psychometric soundness of the ExCPT. These steps include the following:

a)   **Practice Analysis.** A comprehensive job/practice analysis was conducted to clearly delineate performance domains and tasks and the associated knowledge and skill sets for pharmacy technicians. Among other things, respondents indicated the criticality and amount of time spent by technicians on various job tasks. Individuals were surveyed from a stratified sample of pharmacy technicians as well as technician supervisors and trainers from all practice settings. New practice analyses are conducted on a periodic basis as determined by the Certification Governing Committee but at least once every 5 years.

The practice analysis for the ExCPT was completed in August 2005. A survey questionnaire was mailed to a stratified random sample of 628 individuals (416 pharmacy managers and 212 pharmacy technicians) in selected target states. These states selected were geographically distributed and were ones deemed at the time to be most likely to be among the first to adopt the ExCPT. The states included Connecticut, Missouri, New Mexico and Oregon. A reminder postcard and follow-up survey were also sent to non-respondents. Respondents were given a list of 77 job functions selected by an advisory panel of experts and asked to indicate: (1) the importance of each pharmacy technician function with regard to promoting patient health and safety (with a Likert Scale responses ranging from very important [5] to not important [1]); (2) the frequency that pharmacy technicians perform each function on an average day; and (3) the relative amount of time that pharmacy technicians spend on each function (with responses ranging from high to low).

Of these three measures, the first one, "importance," was considered the most vital measurement and was to be given more weight in the analysis. To take all data into account and give "importance" more weight. The composite scores were then ranked in order to generate overall weights for each area.

The pharmacy technician functions covered in the practice analysis included functions performed in all practice settings, including community and institutional practice. Respondents practiced in a variety of practice settings: community (66%), hospital (23%), long-term care (8%); and other (3%).

Of the 573 surveys delivered, 308 were returned but 18 were discarded as unusable. The overall response rate, therefore was 50.6%. The results were tabulated and ranked in descending order and included as an appendix to this *Guide*. These results were used by

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the Expert Panel, along with input from stakeholders, to design the exam blueprint.

There were no differences in the rankings among the states. Although pharmacy technicians typically ranked most functions as slightly more important and performed slightly more frequently than did pharmacy managers, the rank order for the various functions was the same for both groups. While practitioners practicing in a given setting tended to value their functions as more important than those not practicing in that setting, this factor was taken into account by assuring that the numbers of respondents from each practice area were in proportion to those actually in practice. Since the numbers of respondents from the various practice sites closely approximated the proportion in practice and the exam is supposed to represent all practice sites, the aggregate results were sufficient for developing the exam blueprint.

A copy of the complete practice analysis report is available from the ICPT Director of Education upon request by any stakeholder.

b) **Exam Blueprint**. The results of the practice analysis and input from stakeholders were used by the Expert Panel to recommend the content areas to be tested on the exam and the weight given to each of these content areas. The result is the production of a document known as the exam blueprint, which is approved by the Certification Governing Committee. The ExCPT consists of 110 multiple-choice questions, including 10 pretest questions. Exam questions fall into three general areas: (1) Regulation and Technician Duties (~25%), (2) Drugs and Drug Products (~23%); and (3) The Dispensing Process (~52%). For more information, see the "Exam Content" section of this *Guide*.

c) **Item Writing.** A panel of volunteer item writers from a wide range of pharmacy practice settings is used to submit exam items. These item writers include pharmacy college professors, pharmacists and certified pharmacy technicians who have practiced in many different states and in many different practice settings, including community, hospital, long-term care, home health care, managed care and the military. All item writers are instructed on the standards for writing acceptable multiple-choice exam items. The guidelines for this training are from a text by NE Gronlund titled *How to make Achievement Tests and Assessments, Fifth Edition* published by Allyn and Bacon (1993). The trainers were two PhDs with extensive experience in educational design and assessment. All items submitted are numbered, categorized according to topic and coded to identify the writer. All

items are submitted to an extensive review process before being adopted as a part of the ExCPT exam item bank.

d)   **Certification Governing Committee.** The Certification Governing Committee has authority over essential certification and recertification decisions including establishing and ensuring effectiveness and fairness of certification policies, procedures and assessment instruments. Specifically, the Certification Governing Committee is responsible for:

- Adopting certification program policies and procedures
- Adopting its own rules of procedure
- Approving the ExCPT blueprint, scoring, scaling and equating methods
- Appointing an advisory Expert Panel and to act on the Expert Panel's recommendations
- Appointing an Appeals Committee
- Electing successors on the Committee

The Certification Governing Committee has autonomy and its decisions are not be subject to approval by or undue influence from any other body. The Certification Governing Committee is comprised of 9 members. At least five members are Certified Pharmacy Technicians in good standing. One is a public member who is a recipient of the services provided by Certified Pharmacy Technicians. Three members represent other stakeholders such as employers, educators or regulators.

e)   **Expert Panel Review.** A panel of five to ten highly qualified individuals from a diverse set of practice settings is appointed to the Expert Panel to review all items submitted by item writers. The panel accepts those items that meet the standards and either amends or rejects other items. All items accepted must first be pretested before being used on an exam. The Expert Panel also reviews results of the practice analysis, recommends the exam blueprint, and sets the passing score and scaled scores and equates the exams according to procedures adopted by the Certification Governing Committee.

f)   **Pretesting.** As with all standardized tests, the ExCPT contains some questions that are being pretested for possible use on future exams. Pretesting new questions before they are used as scored questions on the ExCPT is necessary to assure that all items perform properly and that new versions of the exam can be created in the future. Specifically, the ExCPT consists of 110 questions, of which ten are pretest questions that are not scored. The pretest items are

randomly interspersed throughout the exam and are not identified for the candidate in order to assure that test statistics are valid. All pretest items are analyzed carefully for difficulty, reliability, discrimination and validity and are approved by the Expert Panel before they are used as scored questions on future versions of the ExCPT.

g) **Item Analysis.** All items are carefully reviewed through a process known as an item analysis. This item analysis consists of statistical procedures including difficulty, discrimination and reliability to determine whether each pretest item performs properly before it is used as a scored question on the ExCPT and again on a regular basis while items are being used to ensure that they are performing properly.

The ICPT staff receives weekly reports from LaserGrade indicating the score earned on each exam taken during the week as well as the answers given for each item – both scored items and pretest items. Results are reviewed for unexpected difficulty, unusual patterns and other potential problems. The Expert Panel also reviews performance of the items.

The ICPT staff also receives detailed item analyses from LaserGrade on a regular basis to facilitate the ongoing review of overall exam performance and the performance of each item on the exam.

h) **Equating and Scaling.** Multiple versions of the ExCPT may be used and the sample of questions taken from the test bank will change over time as well. Because different forms of the ExCPT will be made up of different combinations of questions, it is important to assure that these different versions provide an equal challenge to everyone. The careful selection of items helps ensure that different versions of the exam test the same content areas. The Expert Panel establishes the passing score using the Angoff procedure in which each panelist independently estimates the percentage of minimally qualified candidates who would answer each item correctly. The panelists' ratings are averaged to determine the passing score (also known as the "cut score").

Equating is essentially a statistical method of selecting the raw score on each test that would provide the same probability of passing. In other words, it is a way of calibrating different versions of the exam to assure that they provide an equal challenge. For example, a raw score of 75 may be determined to be a passing score on one version of the exam and a 74 may be determined to be the equivalent passing score on a more difficult version.

A scale is a score-reporting technique that translates the different raw scores into a standard score. For example, the scores that may be earned on the ExCPT range from 200 to 500 and the passing score is 390. The minimum passing raw scores are then converted to 390 for all versions of the exam. If two different versions of the exam have different cut scores (e.g., a raw score of 75 on one version and a raw score of 74 on another) then both would be converted so that 390 is the passing score. Reporting only raw scores could cause confusion because the results of one test administration may be difficult to compare with another that does not have exactly the same difficulty or same cut score. Equating and scaling procedures are used in most certification programs because they are easy and reliable, commonly accepted as standard procedures in certification programs, psychometrically sound and are legally defensible.

i) **Rotating and Retiring Exam Items.** The item bank consists of over 2,000 items. New items are being added on a regular basis with about 300 new items added during the first half of 2007. The integrity of the exam is protected by rotating and retiring test items on a regular basis. As exam volume increases, the Certification Governing Committee may decide to rotate the items more frequently. Those items that are rotated off the exam may be reused at some point. To avoid overexposure, items will be retired as new items are adopted. All versions of the exam, however, will be consistent with the exam blueprint and will be equated. Questions that are retired from the exam can be used later as practice questions.

j) **References Used for Exam Development.** The following textbooks, reference books, manuals and official websites have been used to develop and verify the items for the ExCPT:

- Catizone CA, *Survey of Pharmacy Law*. (Park Ridge, IL: National Association of Boards of Pharmacy); 2006.
- DiPiro JT, Talbert RL, Yee GC, Matzke JR, Wells BG and Posey LM, *Pharmacotherapy: a Pathophysiologic Approach*, *Sixth Edition,* (New York: McGraw-Hill, 2005).
- Enrlich A, *Medical Terminology for Health Professionals, Fourth Edition,* (Albany, NY: Delmar Learning, 2001)
- Lacy C, *Drug Information Handbook, Fifteenth Edition,* (Hudson, OH: Lexi-Comp Inc., 2007).
- Lile JM, Miller DE and Rybicki AL, *Pharmacy Certified Technician Training Manual, Tenth Edition*, (Lansing, MI: Michigan Pharmacists Association, 2006).

- Reifman N, *Certification Review for Pharmacy Technicians, Seventh Edition* (Golden, CO: Ark Pharmaceutical Consultants, 2005).
- Schafermeyer KW, *The National Pharmacy Technician Training Program, Fifth Edition* (St. Charles, MO: Institute for the Certification of Pharmacy Technicians, 2007).
- Thompson Healthcare, *Physician's Desk Reference, Sixty-First Edition,* (Montvale, NJ:, Medical Economics Company, Inc., 2007).
- Thompson Healthcare, *Drug Information for the Health Care Professional, Twenty-Seventh Edition,* (Englewood, CO: Micromedix, 2007).
- U.S. Drug Enforcement Administration, http://www.dea.gov
- U.S. Food and Drug Administration, http://www.fda.gov
- University of the Sciences in Philadelphia, *Remington: The Science and Practice of Pharmacy, Twenty-First Edition*, (Lippincot Williams and Wilkins, 2005).

F. Services to Boards of Pharmacy

1) **Reporting and Maintaining Results.** Exam results are posted on a secure website designed specifically for authorized stakeholders. With a password, authorized stakeholders may check ExCPT records to determine whether specified pharmacy technicians are certified by ExCPT and the expiration date of their certification. Exam scores and other information are not available without specific authorization of the candidates. ExCPT records can also be used to update board of pharmacy records and to generate reports from the certification database. An online user's manual is available from ICPT to help stakeholders make optimal use of the website.

2) **Reciprocity.** Boards of pharmacy can use the secure website to verify certification the current status of all ExCPT-certified pharmacy technicians for purposes of reciprocity. Boards can also be notified of any pharmacy technicians whose certification has been revoked.

8. Revocation Policy

ICPT may revoke the certification of a pharmacy technician for any of the following reasons:

- Submission of false or misleading information in connection with certification or recertification
- Violation of any of ICPT's policies on exam cheating or exam confidentiality or failure to cooperate with ICPT in the investigation of any such incident by another candidate

- Conviction of a felony or a crime involving prescription medications or controlled substances (including but not limited to the illegal use, sale or distribution of prescription medications or controlled substances)
- Revocation or suspension of a pharmacy technician registration or license by a state board of pharmacy
- Documented violation of the Pharmacy Technician Code of Ethics.

The certificant may appeal the decision to the ICPT Appeals Committee, whose decision will be final. The appeal must state the grounds for the appeal and provide evidence supporting the petitioner's case. Individuals who have had their certification revoked may appeal to the ICPT Appeals Committee after two years for permission to retake the ExCPT and earn certification again. The Appeals Committee will determine whether the candidate is worthy to be reinstated through examination and the terms under which this will be granted. A complete description of the Code of Ethics and disciplinary policies are available on request from the ICPT office.

9. Recertification Requirements

The purpose of recertification is to promote high standards of practice for pharmacy technicians, to encourage their participation in continuing education in order to promote safe and effective patient care. Recertification also provides a means for recognizing pharmacy technicians who continue to demonstrate their qualifications by complying with ICPT continuing education requirements and adhering to high professional standards.

A. **Application.** Because of the rapid changes in health care, new drug treatments and technology, pharmacy technicians must keep up to date. Therefore, the Certification Governing Committee has determined that certification must be renewed every two years. During the two-year period prior to recertification, certified pharmacy technicians must participate in at least 20 hours of continuing education (CE), including at least one hour of pharmacy law. To recertify, technicians must use the ICPT Recertification Application Form, which is available on the ICPT website, and send it to ICPT along with full payment by the postmark deadline.

Applications may be filed by one of three ways:

- online at www.nationaltechexam.org
- by fax at 1-866-203-9213
- by regular mail: ICPT, 2536 S. Old Hwy 94, Suite 214, St. Charles, MO 63303.

Applications not completed correctly will be returned and will require a $10 reapplication fee.

B. **Application Fee.** The recertification fee is $50 if faxed or mailed; $40 if processed online. The fee may be paid by check or credit card. Certified technicians will be allowed to recertify up to 90 days after expiration of their certification but cannot

include CE credit earned during this grace period. After this 90-day grace period, technicians will lose their certification status. Certified technicians who fail to recertify on time may be able to have their certification reinstated within 18 months of their expiration date. Please see the following section on reinstatement. Checks returned for insufficient funds will be charged a $25 administrative fee.

C. **Address Corrections and Name Changes.** Candidates will receive a new ICPT certificate by mail approximately 60 days after ICPT has received all recertification materials and approved the application. Name or address changes should be sent to ICPT so that we may send a recertification application approximately 60 days prior to the expiration date. It is the Certified Technician's responsibility to apply for certification on time. ICPT sends renewal notices as a courtesy; Certified Technicians are responsible for recertifying on time whether or not they receive a renewal notice.

Candidates are responsible for notifying ICPT in the event of a name change. Information should include: full name, Social Security Number and appropriate documentation, such as a court order, marriage license, divorce decree, etc.

D. **Continuing Education.** Continuing education is necessary to maintain a high level of knowledge and skills in pharmacy practice. During the two-year period prior to recertification, certified pharmacy technicians must participate in at least 20 hours of continuing education (CE), including at least one hour of pharmacy law. Additional CE credits earned cannot be carried over to the next recertification period.

1) **Acceptable Topics.** To be approved, CE credit must be related to pharmacy technician practice and must include at least one hour of pharmacy law per two-year certification period. ICPT reserves the right to reject credits not deemed applicable to pharmacy technician practice.

Acceptable topics include, but are not limited to:

- drug distribution
- managed health care
- therapeutic issues
- communications
- pharmacy operations
- calculations
- drug repackaging
- inventory control
- drug products
- patient interaction
- interpersonal skills
- prescription compounding
- pharmacy law (at least one hour required)
- preparation of sterile products

2)   **Certificates of Participation.** Certificates of Participation must be obtained for each CE program.

This certificate must include:

- participant's name
- date of the program
- name of the sponsor*
- program title
- number of contact hours
- signature of a person responsible for the program

If the continuing education provider is accredited by the American Council on Pharmaceutical Education (ACPE), the ACPE program number should also be included. ACPE accreditation of the program provider is not mandatory to receive continuing education credit.

*Note: ACPE accredits CE providers; it is not a CE provider and should not be listed as the name of the sponsor.

It is necessary that you retain your continuing education Certificates of Participation during your two-year certification period plus one more year following your recertification application. Send photocopies of your Certificates of Participation to ICPT only if requested as part of an audit. (See "Audit" below.)

3)   **ExCPT Continuing Education Form.** The ExCPT Continuing Education Form, which is available on the ICPT website, can be used to document your completion of in-service training programs or projects.

In-service training programs may be:

- CE programs for which you do not have a Certificate of Participation,
- other training or projects completed under the supervision of a pharmacist in which you developed new knowledge or skills to improve your abilities as a pharmacy technician.

Your supervising pharmacist must complete and sign the ExCPT Continuing Education Form for you to receive credit. A maximum of 10 hours of CE is allowed using the ExCPT Continuing Education Form.

4)   **College Courses.** Any college course in mathematics, life sciences or pharmaceutical sciences will also be accepted. Applicable college courses with a grade of "C" or better will also be eligible for CE credit at the rate of 15 CE hours for each a 3 credit-hour course offered on a semester basis (i.e., three

hours a week for 15 weeks). Courses offered on a quarter basis will be credited for 15 hours for a 4 credit-hour course (i.e., four hours per week for approximately 11 weeks). The maximum number of CE credits earned through college courses during a two-year period is 15. A college transcript is considered as the Certificate of Participation.

5) **Continuing Education Providers.** There are many ways to complete your continuing education requirements for recertification. CE programs offered by national and state pharmacy associations and pharmacy technician associations will generally be acceptable if related to pharmacy technician practice. ICPT recommends CE courses offered by the National Association of Chain Drug Stores (NACDS) and the National Community Pharmacists Association.

For NACDS programs, go to: http://nacds.rxschool.com.
For NCPA programs, go to http://www.ncpanet.org/education/ce.php

CE programs are also available from other national and state pharmacy associations and private providers which can be found on the Internet.

All of the following are acceptable:

- live presentations
- Internet courses
- correspondence courses
- workshops
- in-service training programs
- computer-assisted instruction
- journal articles with a CE test
- audio or video recordings with a CE test

6) **Audits.** Certified Pharmacy Technicians are randomly selected for an audit of continuing education credits at the discretion of ICPT. If you are notified that you were randomly selected for audit, you will need to list all continuing education hours on the audit application (that will be sent to you) and send photocopies of the continuing education Certificates of Participation and/or the ExCPT Continuing Education Form(s). ExCPT does not charge certificants a fee for being audited. Audit applications not completed correctly, however, will be returned and will require a $10 reapplication fee. ICPT recommends that you keep copies of your continuing education Certificates of Participation for at least 1 year after your certification expiration date.

10. Reinstatement Requirements

Pharmacy technician certification must be renewed every two years. If you have not recertified within the 90-day grace period following the expiration date on your certificate, you are no longer certified. You may, however, be eligible to have your recertification status reinstated if you do so within 18 months of the expiration date. Reinstated certification will expire on the same date that it would have expired had you recertified on time - there is no extension of the expiration date.

To reinstate your certification status, you must complete at least 20 hours of continuing education (CE), including at least one hour of pharmacy law. All CE requirements are the same as for recertification. To recertify, technicians must use the ICPT Reinstatement Form, which is available on the ICPT website, and send it to ICPT along with full payment by the postmark deadline. The fee for reinstatement is $80. Applications not completed correctly will be returned and will require an additional $10 reapplication fee.

Reinstatement is not available in the following circumstances:

- certification has expired for more than 18 months
- certification has been revoked
- a board of pharmacy has revoked registration or licensure
- the pharmacy technician has been convicted of or pled guilty to a felony

If recertification has lapsed more than 18 months, you must retake the ExCPT.

11. Appeals Policy

Pharmacy technicians may appeal certain decisions involving eligibility, ADA accommodations, disciplinary issues and individual exam items. All appeals will be handled by an Appeals Committee, which shall be comprised of the chairperson of the Certification Governing Committee and two members appointed by the chair. Candidates requesting an appeal must state their case in a timely manner in writing. Appeals will not be accepted by telephone, or email. The appeal must include the candidate's name, address, telephone number, email address (if available), a description of the reason for the appeal and other information that may be relevant to the case. The Appeals Committee will investigate and resolve issues as expeditiously as possible. The decision of the Appeals Committee is final.

12. Exam Numbers

As of June 30, 2008, 3334 candidates have taken the ExCPT and 2414 (72%) have passed. Candidates may take exams at any PSI/LaserGrade Tesing Center located in every state plus the District of Columbia. There are now ExCPT-Certified Pharmacy Technicians from 42 states with the largest being Oregon, Utah, Maryland, Iowa, Illinois and Massachusetts.

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Appendix

Pharmacy Technician Tasks Ranked by Order of Importance

Practice Analysis for Pharmacy Technicians, August 2005

1. Understand the necessity of having a pharmacist check all work performed by the technician.
2. Use proper procedures to avoid medication errors.
3. Use proper procedures to assure delivery of the correct prescriptions to patients.
4. Accurately enter prescription information and drug history into the computer.
5. Demonstrate a clear knowledge of the line between tasks that may be performed by a pharmacy technician and those that must be performed by a pharmacist.
6. Prepare prescription labels or patient information.
7. Demonstrate knowledge of abbreviations used on prescriptions and familiarity with the ways in which abbreviations can be misinterpreted.
8. Communicate accurately and appropriately with patients.
9. Follow the proper rules and regulations when filling prescriptions.
10. Correctly translate a prescriber's directions for use into accurate and complete directions for the patient.
11. Differentiate among different classes of drugs.
12. Describe each of the four major categories of dosage forms and cite examples.
13. Maintain HIPAA compliance while communicating with patients.
14. Follow the proper rules and regulations when handling refills, partial filling and transfers of controlled substances among pharmacies.
15. Properly file prescriptions.
16. Identify the brand and generic names of the most commonly used prescription drugs.
17. Correctly calculate prescription quantities and days supply.
18. Calculate the amount of prescription medications to be dispensed.
19. Describe what information is required on completed prescription forms and how to gather any information that is missing.
20. Describe the different types of information conveyed on prescription labels and receipts.
21. Describe the therapeutic class and primary indications for commonly used over-the-counter drug products.
22. Take proper action when a compliance alert is noted when entering a prescription.
23. Demonstrate knowledge of terms and units of measurement in each of the systems of measurement and the ability to convert from one system to another.
24. Identify the most common indication for the most commonly used prescription drugs.
25. Define and give examples of adverse drug reactions, contraindications and drug interactions.
26. Demonstrate awareness of the compliance/interaction checks that a pharmacy computer performs.
27. Demonstrate knowledge of record-keeping requirements.
28. Differentiate among the controlled substances schedules.

29. Cite rules and regulations regarding time limits for refilling prescriptions.
30. Identify and interpret the various methods used to indicate the quantity of medication to dispense.
31. Assist with inventory control.
32. Follow correct procedures for maintaining the sterile product environment.
33. Take proper corrective action to handle potential medication errors.
34. Explain the procedures used for telephone or faxed prescriptions.
35. Cite information required on completed prescription forms.
36. Describe the purpose of patient profiles and how to enter, update, and maintain them.
37. Assure maintenance of adequate supplies of prescription vials, caps, bottles, and other supplies.
38. Describe the requirements for maintaining pharmacy security.
39. Properly repackage drug products, label correctly and, in the case of unit-dose medications, include the correct expiration date.
40. Understand the basic mechanism of action of the most commonly used medications.
41. Properly process third-party prescriptions.
42. Compound and label sterile products accurately.
43. Use auxiliary labels properly.
44. Assist with stocking inventory.
45. Use the proper DAW code when entering prescription data.
46. Describe the proper packaging and storage of commonly used medications.
47. Calculate individual and daily dosages.
48. Differentiate among the various types of sterile products.
49. Differentiate among the various routes of administration for parenteral products.
50. Describe laws and regulations regarding generic substitution.
51. Describe requirements of the Controlled Substance Act regarding ordering, storing, inventorying, and dispensing controlled substances.
52. Accept refill authorizations from prescribers or their authorized agents, provided there is no change to the original prescription.
53. Properly label drug products packaged in approved containers or, when appropriate, in original packages.
54. Identify which reject codes returned by third-party processors can be handled by a technician.
55. Demonstrate knowledge of federal and state laws and regulations affecting pharmacy.
56. Properly package the drug to be dispensed in child-resistant containers or other approved containers as required.
57. Follow the correct procedures for handling patient requests for pseudoephedrine.
58. Answer patients' questions about their third-party prescription coverage.
59. Properly use automated dispensing devices or other devices used in the dispensing process.
60. Explain HIPAA requirements to patients (e.g., why they have to sign for prescriptions when picked up).
61. Identify the types of information found on medication stock bottles.
62. Explain the requirements for DEA numbers.
63. Describe the elements of an NDC number and how they are used.
64. Follow the correct procedures for handling Schedule V sales without a prescription.

65. Demonstrate a working knowledge of different types of drug dispensing systems (e.g., multidose vials, punch cards, and unit-dose packaging).
66. Follow proper procedures for preparing chemotherapeutic medications.
67. Use calculations properly for compounding (e.g., ratio strength, w/w%, w/v, v/v, dilution/concentration, mEq, etc.).
68. Calculate dosages and administration rates for IV medications.
69. Explain the use of various prescription compliance aids.
70. Explain what generic drugs are and how they compare to brand-name medications.
71. Describe the requirements for an OTC package label.
72. Explain the role of the state board of pharmacy.
73. Recognize the significance of product expiration dates and identify expired products.
74. Perform basic pharmacy business calculations (e.g., pricing, markup and inventory control).
75. Describe strategies for avoiding mix-ups among easily confused products.
76. List the practitioners who are authorized to prescribe medications.
77. Explain the relationship between a pharmacy's layout and workflow.

National Commission for Certifying Agencies

Standards for the
Accreditation of Certification Programs

Table of Contents

Preamble

INTRODUCTION

The National Commission for Certifying Agencies (NCCA) accredits certification organizations complying with its Standards. The mission of NCCA is to help ensure the health, welfare, and safety of the public through the accreditation of certification programs/organizations that assess professional competence. The NCCA uses a peer review process to establish accreditation standards, to evaluate compliance with these standards, to recognize organizations/programs which demonstrate compliance, and to serve as a resource on quality certification. The purpose of NCCA accreditation is to provide the public and other stakeholders the means by which to identify certification programs that serve their competency assurance needs. NCCA Standards address the structure and governance of the certifying agency, the characteristics of the certification program, the information required to be available to applicants, certificants, and the public, and the recertification initiatives of the certifying agency. NCCA is a separately governed accreditation arm of the National Organization for Competency Assurance (NOCA), a membership association of certification organizations providing technical and educational information concerning certification practices.

Since the Standards were first issued in the late 1970s, NCCA has observed fundamental changes in the nature, scope, and importance of certification. First, the certification community has expanded dramatically to include a broader variety of occupational and professional credentials offered by non-profit organizations, for-profit entities, governmental agencies, and industries. Second, it is increasingly common for a certification organization to offer multiple certification programs. Third, the certification community has expanded internationally. Fourth, the certification and testing communities have introduced the computer as a means of both developing items and new assessment formats, as well as administering assessments. This change has also led to the implementation of modern testing methodologies to capitalize on the power of the computer to score and scale the assessment instruments. Fifth, an increasing number of certification programs are recognized by state and provincial regulatory authorities, a practice that expands the traditional definition of certification.

In keeping with its service to the public and to various other stakeholders of professional certification, and in order to address fundamental changes in certification, NCCA undertook the review and revision of its accreditation standards. In 1997, NCCA established two Task Forces to address the feasibility of revising the accreditation Standards to address the changes described above and to ensure the currency of the Standards for the foreseeable future. The Task Forces were eventually combined at the end of 1997 to form a Steering Committee.

In August 1998, NCCA obtained approval from the NOCA Board of Directors to conduct fundraising activities in support of the continued work of the Steering Committee. As an outcome of this effort, NCCA hired an independent project manager.

During 1999 and early 2000 the Steering Committee conducted activities through the formation of four Task Forces, each focusing on a different set of accreditation standards: (1) Purpose, Governance, and Resources (2) Responsibilities to Stakeholders (3) Assessment Mechanisms, and (4) Recertification. The Task Forces represented a cross section of currently accredited groups, testing services, and other professionals with expertise in certification.

Members of the Steering Committee and the Task Forces reported to NCCA in November, 1999, and to the NOCA Board and Membership in December, 1999. A complete report of the Standards Revision Project was prepared and submitted to NCCA by the Steering Committee in March, 2000. After NCCA review and revision of the Steering Committee's report a draft of these documents was made available for public comment. Following numerous revisions and review periods throughout 2001 the draft Standards were presented to the organizations accredited by the NCCA for ratification in January, 2002. The Standards were approved in February, 2002.

In November of 2006, the Commission approved a revised definition of "Public Member." This was considered an editorial revision.

STRUCTURE AND DEVELOPMENT OF THE STANDARDS

The Standards focus on certification programs and are organized into five sections: (1) Purpose, Governance, and Resources, containing five Standards (2) Responsibilities to Stakeholders, containing four Standards (3) Assessment Instruments, containing nine Standards (4) Recertification, containing two Standards, and (5) Maintaining Accreditation, containing one Standard.

To earn or maintain accreditation by NCCA, the certification program must meet *all* Standards and provide evidence of compliance through the submission of required documentation.

The statements describing the Standards are numbered consecutively. Accompanying each Standard are *Essential Elements*, which are directly related to the Standard and specify what a certification program must do to fulfill requirements of the Standard.

A second subsection under each Standard is called *Commentary*. The Commentary section clarifies terms, provides examples of practice that help explain a Standard, or offers suggestions regarding evidence that must be documented to demonstrate compliance. NCCA reserves the right to revise the Essential Elements and the Commentary sections in response to changes in certification practice.

The development of the Standards was guided by the following assumptions:

1. A number of previous NCCA Standards, such as the requirement that the certifying agency be non-governmental, nonprofit, and national in scope, are restrictive. Further, by opening the accreditation process to include certification programs in for-profit organizations, NCCA more effectively achieves its public service mission.

2. The appropriate unit of accreditation is the certification program rather than the certifying organization. In fact, NCCA accreditation previously required that all certification programs offered by an agency meet all standards in order for the agency to achieve accreditation.

3. NCCA accreditation should be awarded for a period of five years for the initial program certification. If organizations or agencies apply for NCCA accreditation of additional programs following accreditation of the original program(s), any new programs will be accredited until the date the organization's initial accreditation expires. All of an organization's accredited programs will be eligible for renewal on the same the five-year renewal cycle.

4. Autonomy in the management and administration of certification protects certification programs from undue influence. Autonomy is required in order for certification programs to serve stakeholder interests, primarily those of consumers of professional services. However, since certification programs take different forms for different professions and occupations, a variety of structures may be effectively employed to prevent undue influence from competing interests.

5. The term stakeholder has been used to refer to candidates and the public, as well as to members of a profession, occupation, or regulatory body. The term denotes the primary interest of the public and other consumers of the certification program. The term also encompasses certificants and the entities offering certification, as well as educators, and employers. It is appropriate to acknowledge the legitimate influence of all stakeholder bodies.

6. The NCCA Standards pertaining to assessment instruments should be consistent with the Standards for Educational and Psychological Testing (American Educational Research Association, American Psychological Association, and National Council on Measurement in Education, 1999), as well as other standards and guidelines related to certification accreditation developed by specific professions, occupations, governmental agencies, and international organizations, or certification activity criteria more generally, such as (but not limited to) Principles of Fairness: An Examining Guide for Credentialing Boards (Council on Licensure Enforcement and Regulation and the National Organization for Competency Assurance, 1993) and the Uniform Guidelines on Employee Selection Procedures (Equal Employment Opportunity Commission, Civil Service Commission, U.S. Department of Labor, and U.S. Department of Justice, 1978).

7. Recertification is valuable for all certification programs. Demonstrating continuing competence through a variety of recertification mechanisms is in the best interests of both the public and the discipline certified.

Standards

PURPOSE, GOVERNANCE, and RESOURCES

Standard 1

The purpose of the certification program is to conduct certification activities in a manner that upholds standards for competent practice in a profession, occupation, role, or skill.

Essential Element:

A. It is the responsibility of the certification program applying for NCCA accreditation to identify the population being certified and to provide justification for the appropriateness of its certification activities. Typically, a certification program issues a credential or title to those certified. If the applying program does not, an explanation should be provided explaining why the issuance of a credential or title is not appropriate to the profession, occupation, role, or skill.

Commentary:

A. Suggested evidence to document that the Standard has been met may include a mission statement, bylaws, articles of incorporation, a policy and procedures document, a governing committee charter, or candidate brochures.

Standard 2

The certification program must be structured and governed in ways that are appropriate for the profession, occupation, role, or skill, and that ensure autonomy in decision making over essential certification activities.

Essential Elements:

A. The certifying program must show that the governance structure, policies, and procedures that have been established protect against undue influence that could compromise the integrity of the certification process.

B. The governance structure, policies, and procedures must provide for autonomy in decision making regarding important aspects of the certification program such as eligibility standards; the development, administration, and scoring of the assessment instruments; selection of personnel; and operational processes.

C. The development, administration, and scoring of assessment instruments must promote the purpose of the certification program.

D. To avoid conflicts of interest between certification and education functions, the certification agency must not also be responsible for accreditation of educational or training programs or courses of study leading to the certification.

Commentary:

A. The appropriate structure and governance of a certification program will reflect the interests of the general public in the credential. In traditional forms of professional or occupational certification, public interest requires direct protection of essential certification decisions from undue influence. Such protection is especially important when a certification program is sponsored by a professional membership association or proprietary entity. In these cases it is appropriate that the certification program's structure and governance protect the integrity of essential certification decisions.

   When the certification program involves a proprietary product or service, the issue of undue influence is different. In these cases it is assumed that the proprietor has a clear and reasonable self- interest in preventing external or competing influences from diminishing the quality of the certification. It is recognized that the public is often not a direct consumer of the activities of the certified population. The public interest will be adequately protected when the needs of the proprietor, employers, or purchasers who rely on the credential provide significant direction over certification policy and decision making.

B. Pressure to adjust certification standards either to limit the number of certificants or to reduce or elevate the established standard by changing requirements could interfere with the maintenance of standards established for a given certification.

C. Certification programs may satisfy the requirement for autonomy of the governing body or governing committee in a number of ways. Incorporation of the certifying agency as an independent unit usually ensures autonomy. The bylaws of a parent organization may be constructed so that certification program governance and decision-making are defined as the responsibility of a specific unit of the organization with complete authority over all essential certification decisions. A governing committee may be given such authority in the policies and procedures and organizational chart of a corporation.

D. In addition to not *accrediting* programs leading to the initial certification, the certification organization must not require that candidates complete that organization's program for certification eligibility. If a certification organization *provides* an educational program (including but not limited to primary education, exam preparation courses, study guides), the organization must not state or imply that: 1) this program is the only available route to certification; or 2) that purchase or completion of this program is required for initial certification.

E. Suggested evidence to document that the Standard has been met may include a mission statement, bylaws, articles of incorporation, business plans, a policy and procedures document, a governing committee charter, or organizational charts.

Standard 3

The certification board or governing committee of the certification program must include individuals from the certified population, as well as voting representation from at least one consumer or public member. For entities offering more than one certification program, a system must be in place through which all certified populations are represented, with voting rights, on the certification board or governing committee.

Essential Elements:

A. A system or structure must be established for ensuring appropriate stakeholder involvement by designating certain representative positions on the governing body. To ensure a balance of

program input, the governing body may implement a rotating system of representation over a set period of time.

B. The certification program must establish bylaws and/or policies and procedures for the selection of individuals who serve on the board or governing committee. This information must show that the selection of these individuals prevents inappropriate influence from a parent or outside body.

Commentary:

A. It is important that stakeholders (e.g., the public and other consumers, employers, regulators, and certificants) are represented on the body(ies) that sets policies regarding the certification program, including activities related to eligibility and the development, administration, and scoring of the assessment instrument.

B. Suggested evidence to document that the Standard has been met may include a mission statement, bylaws, articles of incorporation, business plans, a policy and procedures document, a governing committee charter, or organizational charts.

C. The public member is considered by NCCA to be a person who represents the direct and indirect users of certificants' skills/services. Because this may be defined very broadly, a rotating system for representation of various publics may be implemented over time. The public member may be a professional, but should not have similar credentials to the certificants. The public member should not be a member of a related profession or a profession that provides services that are complementary to certificants' services. The NCCA recommends, but does not require, that the public member has been or is a potential a consumer of the certificants' skills or services. It is also recommended that public members have experience with public advocacy.

The public member should not be:

- A current or previous member of the profession encompassed by the certification programs of the certification organization.

- A member of a related profession or a profession that provides complementary services to the certificants' services.

- An employer or an employee of individuals in the profession encompassed by the certification programs of the certification organization.

- An employee of an individual certified by the certification organization or of an employer of individuals in the profession encompassed by the certification programs of the certification organization.

- An employee of any certification organization.

- Currently deriving more than 5% of their total income from the profession encompassed by the certification programs of the certification organization.

The public member should not have:

- Derived in any of the five years preceding my appointment as a public member on the governing body more than 5% of their total income from the profession encompassed by the certification programs of the certification organization.

- Worked for or provided contract services to the certification organization at any time during the five years preceding my appointment as a public member on the governing body.

Standard 4

The certification program must have sufficient financial resources to conduct effective and thorough certification and recertification activities.

Essential Element:

A. Financial reports of the certification program must demonstrate adequate resources available to support ongoing certification and recertification processes.

Commentary:

A. The certification program should be able to document that monies used for the certification program are readily available.

B. Suggested evidence to document that the Standard has been met includes financial statements for the certification program.

Standard 5

The certification program must have sufficient staff, consultants, and other human resources to conduct effective certification and recertification activities.

Essential Elements:

A. Key staff and non-staff consultants and professionals must possess adequate knowledge and skill to conduct certification program activities.

B. The certification program must have adequate resources to conduct the activities (e.g., processing of applications, administering the assessment instrument, storage of records) of the certification program.

Commentary:

A. Documentation of resource availability and activity occurrence does not mean that every certification program must have its own office or building; in some cases, all activities could be adequately handled with services from a testing company, consultants, or management service.

B. Suggested evidence to document that the Standard has been met may include resumes or curriculum vitae of key staff, non-staff consultants, and professionals, and associated organizational charts describing the inter-relationships among the individuals providing services to the certification program.

RESPONSIBILITIES to STAKEHOLDERS

Standard 6

A certification program must establish, publish, apply, and periodically review key certification policies and procedures concerning existing and prospective certificants such as those for determining eligibility criteria; applying for certification; administering assessment instruments; establishing performance domains, appeals, confidentiality, certification statistics, and discipline; and complying with applicable laws.

Essential Elements:

A. Published documents that clearly define the certification responsibilities of the organization must include the following:

- The purpose of the certification program

- Eligibility criteria and application policies and procedures

- Materials outlining all examination processes and procedures

- A detailed listing and/or outline of the performance domains, tasks, and associated knowledge and/or skills

- A summary of certification activities (number of candidates examined, pass/fail statistics, and number of individuals currently certified) for each program

- Discipline, nondiscrimination, and confidentiality policies and procedures

- Appeals policies and procedures

B. Confidentiality policies must (a) ensure that candidate application status and examination results are held confidential, and (b) delineate the circumstances under which this information may be disclosed or made public.

C. Policies and procedures must be published and must include guidelines by which candidates may question eligibility determination, assessment instrument results, and certification status.

D. Disciplinary policies must include procedures to address complaints that may concern conduct that is harmful to the public or inappropriate to the discipline (e.g., incompetence, unethical behavior, or physical/mental impairment affecting performance). These policies must ensure appropriate treatment of sensitive information and fair decision making.

Commentary:

A. Publications concerning eligibility criteria, applications, assessment instruments, appeals, discipline, confidentiality, etc., are required to inform candidates and other stakeholders about program policies.

B. Applicable laws and regulations include nondiscrimination, disabilities, and other issues which may affect fairness to candidates or protection for consumers.

C. Procedures for requesting accommodations for disabled candidates should be stated clearly and published in an appropriate agency document. The process should include mechanisms that will ensure that proper evidence is submitted to the agency to assist the agency in making a determination regarding the requested accommodation.

D. Any accommodation provided should be reasonable and not compromise the validity and reliability of the assessment instruments.

E. Suggested evidence to document that the Standard has been met may include a policy and procedures manual, a candidate handbook, and any written documents or forms regarding procedures for obtaining approval for an accommodation.

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:

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

Standard 8

The certification program must award certification only after the knowledge and/or skill of individual applicants has been evaluated and determined to be acceptable.

Essential Elements:

A. If any current certificants (at the time the application for accreditation is made) were granted certification without having to meet the examination requirements established for certification, a rationale must be provided to explain how the competence of those individuals was evaluated and found to be sufficient. The period during which such test exemptions were granted must have been terminated before the certification program is eligible for accreditation.

B. Once a program is accredited, "grandfathering," or any other procedure for granting a credential in the absence of evaluating the knowledge and/or skill of an individual, is not acceptable.

Commentary:

A. Grandfathering is generally seen as a conflict with stakeholder interests. It is used from time to time in licensure as a means of protecting the rights of individuals who entered a profession prior to its regulation and should not be excluded from the right to practice. Professional certification does not normally carry such potential to restrict the right to practice.

B. Suggested evidence to document that the Standard has been met may include a policy and procedures document, a candidate handbook, brochures about the certification program, and other public documents.

Standard 9

The certification program must maintain a list of and provide verification of certified individuals.

Essential Element:

A. The certification program must maintain a list of current and previous certificants.

Commentary:

A. The certification program should provide and verify that a certificant possesses currently valid certification upon request from any member of the public. Policies governing verification should allow disclosure of whether or not the certificant is currently in good standing, without communicating other information which may violate the confidentiality rights of certificants or applicants.

B. The certification program may discard information about previous certificants after a reasonable time period when such information is no longer valuable to the certification program's stakeholders.

C. Suggested evidence to document that the Standard has been met may include a policy and procedures document, a candidate handbook, brochures about the certification program, directories in which certificant names are published, and other public documents.

ASSESSMENT INSTRUMENTS

Standard 10

The certification program must analyze, define, and publish performance domains and tasks related to the purpose of the credential, and the knowledge and/or skill associated with the performance domains and tasks, and use them to develop specifications for the assessment instruments.

Essential Elements:

A. A job/practice analysis must be conducted leading to clearly delineated performance domains and tasks, associated knowledge and/or skills, and sets of content/item specifications to be used as the basis for developing each type of assessment instrument (e.g., multiple-choice, essay, oral examination).

B. A report must be published that links the job/practice analysis to specifications for the assessment instruments.

Commentary:

A. No single method exists to define performance domains, tasks, and associated knowledge and/or skills. Appropriate strategies include (a) committees of representative experts to define performance domains and tasks and associated knowledge and/or skills, including a review of related practice- or job-based information, or a review of the information from a previous study (b) rating scales (e.g., frequency and importance) to identify and select critical performance domains, tasks, and associated knowledge and/or skills (c) collection of job/practice information using logs, observations of practice, and/or interviews, or (d) review of proposed performance domains, tasks, associated knowledge and/or skills, and rating scales by an independent panel of experts.

B. Validation of performance domains, tasks, and associated knowledge and/or skills is typically accomplished by conducting a survey of current certificants and/or individuals providing services or performing a job consistent with the purpose of the credential. It is important to sample widely within the profession, occupation, or role, or among those who use or support a product, to ensure representation in terms of major practice areas, job titles, work settings, geography, ethnic diversity, gender, and work experience. Stakeholders such as educators, supervisors, and employers may be included, as appropriate. An adequate sample size should be used to ensure that the estimated level of measurement error is defensible.

C. Analysis of ratings information collected in the survey should determine how and to what degree the performance domains, tasks, and associated knowledge and/or skills relate to the purpose of the credential. Linkages to the content of the assessment instruments should be based on the use of ratings data. Empirical algorithms or other psychometric methods used to analyze or combine ratings from different scales should be specified. Analyses of demographic information collected from survey participants should also be examined to evaluate representativeness of the findings.

D. A table of specifications should be prepared for each assessment instrument specifying the weighting of performance domains, tasks, and associated knowledge and/or skills to be included. The weighting system should be based primarily on data collected from survey participants, with informed review and interpretation provided by a panel of subject-matter experts. Decision rules used to eliminate performance domains, tasks, and associated knowledge and/or skills from the specification table should be explained. The specifications may also include instructions to the item writers to be used in developing assessment instruments.

E. Because rapid changes may occur in knowledge and/or skills and in technology, it is important that certification programs periodically review performance domains, tasks, and associated knowledge and/or skills in the specifications to ensure that they are current. Since it is impossible to specify with precision how often the review should be conducted, each certification agency should develop its own timeframe and rationale. For existing certification programs, any changes between new specifications and previous specifications should be noted and explained.

F. Suggested evidence to document that the Standard has been met requires a complete report summarizing the results of the job/practice analysis, which may include:

- A description of the background and experience of subject-matter experts and professionals who participated in various phases of the job/practice analysis

- Identification of the psychometric consultants or organization used to conduct the job/practice analysis or important phases of it

- A description of methods used to delineate performance domains, tasks, and associated knowledge and/or skills

- A copy of the job analysis survey, including all instructions, rating scales, open-ended questions, and background demographic information collected from participants

- A description of the survey's sampling plan and its rationale

- Documentation of survey results, including return rate, analysis of ratings data, algorithms or other psychometric methods used to analyze or combine ratings data, and a rationale supporting representativeness of survey findings

- A table of specifications for each assessment instrument specifying weighting of the performance domains, tasks, and associated knowledge and/or skill, along with any decision rules used to eliminate any of these elements from the table of specifications

- Date of the study and description of a plan to update periodically the job/practice analysis

G. The formal report of the job/practice analysis study to be provided to demonstrate compliance with this standard may be considered by the organization to be a confidential document, and therefore, the organization may decide to not make it widely available. However, in these cases, the organization must publish and make available a summary of the study or statement(s) describing the exam specifications development process for dissemination to prospective candidates and other interested members of the public.

Standard 11

The certification program must employ assessment instruments that are derived from the job/practice analysis and that are consistent with generally accepted psychometric principles.

Essential Elements:

A. Assessment instruments, including assessment items, exhibits, instructions to examinees, scoring procedures, and training procedures for administration of assessments, must be products of an appropriately designed and documented development process.

B. The content sampling plan for test items or other assessment components must correspond to content as delineated and specified in the job/practice analysis.

C. An ongoing process must exist to ensure that linkage between the assessment instruments and the job/practice analysis is maintained, as assessment components are revised and replaced over time.

This linkage between assessment content and job/practice analysis must be documented and available for review by stakeholders.

D. Certification programs must follow a valid development process that is appropriate for assessment instruments.

E. A systematic plan must be created and implemented to minimize the impact of content error and bias on the assessment development process. Assessment content must be reviewed by qualified subject matter experts.

Commentary:

A. Documentation for assessments should include a detailed description of the delivery format for each portion of the assessment and the type of response required of candidates. Developers should take reasonable steps to ensure that modes of presentation and response are justified by job relatedness. If the form of the assessment instrument is to be delivered on computer, the documentation of item selection rules or display features should be described. Certification programs should document how background and experience factors of the candidate population were considered in selecting item types or other assessment formats.

B. Qualifications of subject matter experts, assessment development professionals, content reviewers, and others involved in assessment development should be appropriate to the content area tested and assessment procedures used and documented.

C. Training provided to item writers, item reviewers, and others who produce assessment content should be structured, delivered, and documented in a professional and consistent manner.

D. The development and assembly process for assessment instruments should be documented.

E. The development process should include pilot testing of new items with a representative sample of the target population, with revision based on statistical analysis of results, where appropriate.

F. Certification programs should document procedures used to examine the performance of items or other assessment components and describe the criteria used to identify components for revision or removal from the assessment.

G. The size of the item pool must be sufficient to sample specifications for the assessment and to provide adequate item exposure control to safeguard the security and integrity of the item bank and test forms, particularly in relation to computer-based administration.

H. Provision should be made for monitoring continued validity of each assessment item and assessment form during the period in which they are active.

I. Suggested evidence to document that the Standard has been met may include: specifications for the assessment instruments; training materials, agendas, and reports on item development; procedures for the development of assessment instruments; and technical reports.

Standard 12

The certification program must set the cut score consistent with the purpose of the credential and the established standard of competence for the profession, occupation, role, or skill.

Essential Elements:

A. Cut scores must be set using information concerning the relationship between assessment performance and relevant criteria based on the standard of competence.

B. A report must be published documenting the methods and procedures used to establish the standard of competence and set the cut score, along with the results of these procedures.

Commentary:

A. No single method exists to set cut scores. Appropriate strategies include the use of judges or panelists who focus their attention on assessment content by rating each item or task, or who consider the candidates or their completed assessments.

B. The raters in a cut score study must understand the purpose of the assessment, the standard of competence, and how to apply the cut score process that is to be used. Raters should have a sound basis for making required judgments. If data are available, estimates of the effects of setting the cut score at various points should be provided.

C. The cut score study should be documented in sufficient detail to allow for replication, including full descriptions of the procedures followed, results, and how they should be interpreted.

D. Suggested evidence to document that the standard has been met includes a report of the cut score study that addresses the following:

- Overview of the cut score process

- Qualifications of those designing and implementing the process

- Number of panelists, manner of selecting the panelists, and their qualifications

- Material used

- Data collection procedures

- Descriptions or conceptualizations developed by the panelists

- Data collection activities

- Meeting agendas

- Any adjustments made to the cut score by a governing body or policy group

E. This formal cut score report may be considered confidential by the organization; however NCCA accreditation review requires that a formal report of the cut score be submitted with the application. In these cases, the organization must make available a summary of the study or statement regarding the study to prospective candidates and other interested stakeholders. The summary can be in journal articles, candidate bulletin, or other information accessible to candidates and stakeholders.

Standard 13

The certification program must document the psychometric procedures used to score, interpret, and report assessment results.

Essential Elements:

A. The certification program must describe procedures for scoring, interpreting, and reporting assessment results*.*

B. For responses scored by judgment, developers must document training materials and standards for training judges to an acceptable level of valid and reliable performance. Any prerequisite background or experience for selection of judges must also be specified.

C. Candidates must be provided meaningful information on their performance on assessment instruments. Such information must enable failing candidates to benefit from the information and, if psychometrically defensible, understand their strengths and weaknesses as measured by the assessment instruments.

D. Reports of aggregate assessment data in summarized form must be made available to stakeholders without violating confidentiality obligations.

Commentary:

A. Certification programs are responsible for establishing quality control procedures that regularly monitor the precision of calculations used to compute assessment scores and their conversion to standardized, equated, or scaled scores, if performed.

B. The certification program should publish an explanation of the appropriate uses and misuses of reported score information.

C. Suggested evidence to document that the Standard has been met may include descriptions of scoring procedures, training documents, quality control procedures, and sample score reports for passing and failing candidates.

D. Evidence in support of essential element D should include documentation of aggregate assessment data to the various stakeholder groups on interest. For example, details of the aggregate assessment data might be appropriate reported to representatives of the program sponsor (e.g. a board or committee) and documented in the NCCA Accreditation application. In addition, however, some aggregate data must be available to the public and the certificant population, at a minimum addressing the number of candidates and the number of individuals attaining the certification credential during a specified period of time.

Standard 14

The certification program must ensure that reported scores are sufficiently reliable for the intended purposes of the assessment instruments.

Essential Element:

A. Certification programs must provide information to indicate whether scores (including any subscores) are sufficiently reliable for their intended uses, including estimates of errors of measurement for the reported scores. Information must be provided about reliability or consistency of pass/fail decisions. When appropriate, information should be provided about the standard error of measurement or similar coefficients around the cut score.

Commentary:

A. The level of reliability required for an assessment instrument depends on the type of assessment device and the purpose for which scores will be used.

B. Different types of assessment instruments require different methods of estimating reliability. Reliability should be estimated using methods that are appropriate for characteristics of the assessment instruments and the intended uses of the scores.

C. Suggested evidence to document that the Standard has been met may include:

- Methods used to assess reliability of scores (including subscores), and the rationale for using them

- Characteristics of the population involved (e.g., demographic information, employment status)

- A reliability coefficient, an overall standard error of measurement, an index of classification consistency, an information function, or other methods for estimating the consistency of scores

- Standard errors of measurement or other measures of score consistency around the cut score

- Information about the speededness of performance on the assessment instruments

- Any procedures used for judgmental or automated scoring

- The level of agreement among judges

Standard 15

The certification program must demonstrate that different forms of an assessment instrument assess equivalent content and that candidates are not disadvantaged for taking a form of an assessment instrument that varies in difficulty from another form.

Essential Elements:

A. Equating or other procedures used to ensure equivalence and fairness must be documented, including a rationale for the procedure used.

B. When assessment instruments are translated or adapted across cultures, certification programs must describe the methods used in determining the adequacy of the translation or adaptation and demonstrate that information attained from adapted and source versions of the assessment instruments produce comparable test scores and inferences.

Commentary:

A. Different ways exist to link assessment scores, ranging in rigor from strict equating models to judgmental methods.

B. When certification programs use more than one mode of administration (e.g., paper/pencil and computer-based testing), it is important to document equivalence of score information and any score adjustment method used to achieve equivalence.

C. A rationale should be provided for the reporting scales selected and methods used to determine score scales.

D. The scales on which scores are reported should not encourage finer distinctions among candidates than can be supported by the precision of the assessment instruments. The scale values should be chosen in a manner that avoids confusion with other scales that are widely used by the same population of candidates.

E. Raw scores should not be reported except under one or more of the following circumstances:

- Only one form of the assessment instrument is to be offered

- Scores on one form will not be compared with scores on another form

- Raw or percentage scores on all forms are comparable, or

- Raw or percentage scores are reported in a context that supports intended interpretations.

F. When scaling scores, the stability of the score scale should be checked periodically. When indicated, steps should be taken to minimize score misinterpretations. If a change to the assessment instrument or to the composition of the candidate population alters the meaning of

scores, it may be appropriate to rescale the scores to minimize confusion between the old and new scores, or in the absence of rescaling, to ensure that the differences between the old and new scores are clearly communicated to candidates and to other stakeholders.

G. Certification programs should, whenever possible, conduct pilot studies prior to implementation of the adapted version of the assessment instruments. Field study research should be part of a program of ongoing maintenance and improvement. Tryout and field studies should be part of a larger research program to ensure comparability and quality of cross-cultural information on the assessment instruments.

H. Suggested evidence to document that the Standard has been met may include:

- A description of the methods used to determine that different forms of an assessment instrument measure equivalent content and ensure that candidates are not disadvantaged for taking a form of the assessment instrument that varies in difficulty from another form

- An equating and scaling report

Standard 16

The certification program must develop and adhere to appropriate, standardized, and secure procedures for the development and administration of the assessment instruments. The fact that such procedures are in force should be published.

Essential Element:

A. Assessment instruments must be administered securely, using standardized procedures that have been specified by the certification program sponsor.

Commentary:

A. Non-standardized administration procedures may adversely influence scores as well as the inferences drawn from these scores. When administration procedures deviate from the expected, such irregularities must be thoroughly documented.

B. Chief examiners and proctors should be thoroughly trained in proper administration of the assessment instruments in an effort to minimize the influence of test administration on scores. Similarly, all candidates should have equal access to preparatory materials and instructions available from the sponsor.

C. Certification programs are responsible for protecting the integrity of assessment information. This responsibility requires a security program that restricts access to assessment information to authorized personnel.

D. Administration sites should offer similar conditions, such as adequate lighting, comfortable seating, and an environment free from noise and other distraction.

E. Suggested evidence to document that the Standard has been met may include:

- Candidate handbook or similar document

- Chief examiner and/or proctor manual

- Quality control policy and procedures documents

- Security procedures manual

Standard 17

The certification program must establish and document policies and procedures for retaining all information and data required to provide evidence of validity and reliability of the assessment instruments.

Essential Element:

A. Policies and procedures must ensure that items and forms of the assessment instruments are stored in a medium and method that emphasizes security, while being accessible to authorized personnel. Such policies must not only describe procedures for a secure system but also address actions required of personnel.

Commentary:

A. Policies should establish a time period for retention of physical or electronic copies of forms of the assessment instruments and of reports and analyses related to the development process. The documents may be used in matters relating to challenges concerning scores, validity, or other essential issues. Documentation of the secure retention of assessment instruments and development information (e.g. cut score studies, technical reports) must be provided as part of the NCCA Application Accreditation. Note here how this information is securely maintained.

B. Suggested evidence to document that the Standard has been met should include policy and procedures documents.

Standard 18

The certification program must establish and apply policies and procedures for secure retention of assessment results and scores of all candidates.

Essential Element:

A. Organizational policy must determine the length of time that assessment results will be retained.

Commentary:

A. Organizational policy concerning the length of time that assessment results will be retained and score reports provided should be stated clearly in information provided to candidates.

B. Certification program policy should prevent assessment results and other personal information from the candidate's file being provided to a third party without the candidate's documented permission. The policy should be stated in information provided to candidates.

C. Suggested evidence to document that the Standard has been met should include policy and procedures documents.

RECERTIFICATION

Standard 19
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The certification program must require periodic recertification and establish, publish, apply, and periodically review policies and procedures for recertification.

Essential Elements:

A. The published policy must contain a statement of the basis and purpose for recertification and all recertification requirements.

B. The rationale for the recertification time interval must be included in the policy.

C. Recertification policies and procedures in handbooks, guides, and/or electronic media must be published and made available to certificants and the public.

Commentary:

A.. The goals of recertification can differ for different organizations. Examples might include: to assess core knowledge and skills; to assess knowledge and skills in specific areas of practice; to encourage continued professional development; to ensure maintenance of competence; to promote lifelong learning; etc. An organization's recertification policy should clearly state the purpose of recertification.

B. An explanation of consequences for the certificant when recertification requirements are not met should be provided.

C. In the case of a certification program involving a proprietary product or service, the proprietor may describe recertification on the basis of a systemic process of upgrading the product of service in connection with steps taken to withdraw technical support provided by the proprietor for the previous version of the product.

D. Suggested evidence to document the Standard has been met should include renewal policy and procedure documents and a candidate handbook.

Standard 20
_____

The certification program must demonstrate that its recertification requirements measure or enhance the continued competence of certificants.

Essential Element:

A. If the purpose of recertification is to *measure* continued competence of certificants, then the certification program must substantiate the validity and reliability of the assessment instruments used to measure continued competence.

B. If the purpose is to *enhance* continued competence of certificants, then the certification program must demonstrate how the policy contributes to professional development of the individual certificant.

Commentary:

A. If an assessment method is used (e.g. self-assessment, third-party assessment, peer review, up to date version of the initial certification exam, portfolio), then the application and documentation must include an explanation of the validity and reliability of the assessment or process.

B. If the enhancement method is used (e.g. continuing education, mentoring, clinical skills or practice improvement modules, institutional or web-based learning), then the application and

documentation must include the applicant's rationale for how the method(s) supports the professional development and enhances the competence of the certificant (e.g. how an enhancement method is related to an individual certificant's needs assessment; how the applicant evaluates the quality and relevance of the competency enhancement methods; whether the enhancement method includes a mechanism, such as a post-test, to assess whether certificant knowledge and/or practical skills have been enhanced.)

C. Suggested evidence to document that the Standard has been met should include certification renewal policy and procedure documents and a candidate handbook.

MAINTAINING ACCREDITATION

Standard 21

The certification program must demonstrate continued compliance to maintain accreditation.

Essential Elements:

A. The certification program must annually complete and submit information requested on the current status of the certification agency and its programs.

B. The certification program must report any change in purpose, structure, or activities of the certification program.

C. The certification program must report any substantive change in examination administration procedures.

D. The certification program must report any major change in examination techniques or in the scope or objectives of the examination.

E. The certification program must submit any information NCCA may require to investigate allegations of lack of compliance with NCCA Standards.

Glossary

Accommodation—
A reasonable modification in an assessment instrument or its administration made to compensate for the effects of a qualified disability without altering the purpose of the assessment instrument.

Accountability—
Responsibility of a certification board, governing committee, or other sponsor of a certification program to its stakeholders to demonstrate the efficacy and fairness of certification policies, procedures, and assessment instruments.

Accreditation—
1. **General use:** Approval of an educational program according to defined standards.
2. **As related to NCCA:** Status awarded to a certification program that has demonstrated compliance with the *Standards for the Accreditation of Certification Programs* set forth by the National Commission for Certifying Agencies.

Administrative Independence—
An organizational structure for the governance of a certification program that ensures control over all essential certification and recertification decisions without being subject to approval by or undue influence from any other body. See Autonomy.

Applicant—
An individual who declares interest in earning a credential offered by a certification program, usually through a request for information and the submission of materials. See Candidate.

Assessment Instruments—
Any one of several standardized methods for determining if candidates possess the necessary knowledge and/or skill related to the purpose of the certification.

Autonomy—
Control over all essential certification and recertification decisions without being subject to approval by or undue influence from any other body. Autonomy in the management and administration of certification enhances the ability of certification programs to serve stakeholder interests, primarily those of consumers of professional services. See Administrative Independence.

Bias—
IN THE CONTEXT OF SCORING: a systematic error in a score on an assessment instrument.
IN THE CONTEXT OF EXAMINATION FAIRNESS: may refer to the inappropriateness of content in the assessment instrument, either in terms of its irrelevance, overemphasis, or exclusion.
IN THE CONTEXT OF ELIGIBILITY AND RECERTIFICATION REQUIREMENTS: may refer to the inappropriateness or irrelevance of requirements for certification or recertification if they are not reasonable prerequisites for competence in a profession, occupation, role, or skill. See Fairness.

Candidate—
An individual who has met the eligibility qualifications for, but has not yet earned, a credential awarded through a certification program. See Applicant.

Certificant—
An individual who has earned a credential awarded through a certification program.

Certification—
A process, often voluntary, by which individuals who have demonstrated the level of knowledge and skill required in the profession, occupation, role, or skill are identified to the public and other stakeholders.

Certification Agency—
The organizational or administrative unit that offers and/or operates a certification program.

Certification Board—
A group of individuals appointed or elected to govern one or more certification programs as well as the certification agency, and responsible for all certification decision making, including governance.

Certification Committee—
A group of individuals appointed or elected to recommend and implement policy related to certification program operation. (See governing committee)

Certification Program—
The standards, policies, procedures, assessment instruments, and related products and activities through which individuals are publicly identified as qualified in a profession, occupation, role, or skill.

Commentary—
Comments, remarks, and observations that clarify terms, provide examples of practice that help explain a standard, or offer suggestions regarding evidence that must be documented to demonstrate compliance.

Content Domains—
The set of organized categories characterizing subject matter under which knowledge and skills may be represented in specifications for assessment instruments.

Consumer—
See also "Public Member"

Continuing Competence—
The ability to provide service at specified levels of knowledge and skill, not only at the time of initial certification but throughout an individual's professional career. See Recertification and Continuing Education.

Continuing Education—
Activities, often short courses, that certified professionals engage in to receive credit for the purpose of maintaining continuing competence and renewing certification. See Recertification and Continuing Competence.

Cut Score—
A specific score on an assessment instrument or instruments at or above which passing decisions are made and below which failing decisions are made.

Discipline—
A formal, published process for the enforcement of standards governing the professional behavior (i.e., ethics) of certificants.

Eligibility Requirements—
Published criteria, often benchmarks for education, training, and experience, with which applicants must demonstrate compliance in order to qualify for certification.

Equating—
A statistical process used to convert scores on two or more alternate forms of an assessment instrument to a common score for purposes of comparability and equivalence.

Essential Element—
A statement that is directly related to a Standard and specifies what a certification program must do to fulfill the requirement of the Standard.

Fairness—
The principle that all applicants and candidates will be treated in an equitable manner throughout the entire certification process. See Bias.

Grandfathering—
The process by which individuals are granted certification without being required to meet a formal examination requirement. This process is frequently invoked when a certification program is initiated, as a way of recognizing the experience and expertise of long-term experts, and/or to allow grandfathered individuals to develop the initial form(s) of the certification examination. Individuals initially certified through grandfathering may, in the future, be required to pass a form of the certification examination they did not participate in developing in order to maintain certification.

Governing Committee—
A group of individuals appointed or elected to formulate and implement policy related to certification program operation. The NCCA uses this term to denote those committees that are given complete authority over all essential certification decisions.

Incorporation Status—
Legal recognition granted by states to organizations; determines IRS classification as for-profit or nonprofit.

Item—
A general term referring to problems and/or questions that appear in assessment instruments and to which candidates must respond.

Item Bank—
The system by which test items are maintained, stored, and classified to facilitate item review, item development, and examination assembly.

Item Type or Format—
The structure of a problem or question in an assessment instrument (i.e., multiple choice, open-ended).

Job/Practice Analysis/Role Delineation Study—
Any of several methods used singly or in combination to identify the performance domains and associated tasks, knowledge, and/or skills relating to the purpose of the credential and providing the basis for validation.

Parent Organization—
The legal entity under which a certification program is established when the certification program is governed as part of a larger organization.

Performance Domains—
The set of organized categories characterizing a role or job under which tasks and associated knowledge and/or skills may be represented in the job/practice analysis.

Public Member—
A representative of the consumers of services provided by a defined certificant population, serving as a voting member on the governing body of a certification program, with all rights and privileges, including holding office and serving on committees. The public member should bring a perspective to the decision and policy making of the organization that is different from that of the certificants, and helps to balance the organization's role in protecting the public while advancing the interests of the profession.
 (*remove "consumer" from the glossary, as it has no definition*)

Publish—
Make available in hardcopy, electronic, or web-based formats and easily accessible and available on request. The degree of accessibility may be a function of the level of confidentiality of the information.

Recertification—
Requirements and procedures established as part of a certification program that certificants must meet in order to ensure continuing competence and renew their certification. See Continuing Competence and Continuing Education.

Reliability—
The degree to which the scores on an assessment instrument are free of measurement error.

Role—
A more specific or narrower set of knowledge and skills than may be encompassed by the term *profession* or *occupation*, and may also be the focus of certification for a particular product or service to the public.

Self-Assessment—
A process by which an assessment instrument is self-administered for the specific purpose of providing performance feedback rather than a pass/fail decision.

Stakeholders—

The various groups with an interest in the quality, governance, and operation of a certification program, such as the public, certificants, candidates, employers, customers, clients, and third party payers.

Standard—
An accreditation requirement that must be met by a certification program submitting an application to the National Commission for Certifying Agencies.

Standardization—
IN THE CONTEXT OF ASSESSMENT INSTRUMENTS: ensuring that the process is conducted according to a specified plan in order to provide the same conditions for all candidates.

IN THE CONTEXT OF SCORING: ensuring that candidate responses are judged using predefined criteria in order to provide a consistent basis for evaluating all candidates.

Technical Report—
A summary of psychometric procedures and their results as implemented in the assessment instruments used in a certification program, often addressing such issues as content validity, item writing, test assembly, reliability analysis, cut score development, scoring, and equating.

Undue influence—
Control of decision making over essential certification policy and procedures by stakeholders or other groups outside the autonomous governance structure of a certification program.

Validity—
The degree to which accumulated evidence supports specific interpretations of all components of a certification program (e.g., education, experience, and assessment instruments).

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END OF DOCUMENT

The National Commission for Certifying Agencies

has recognized the

Institute for the Certification of Pharmacy Technicians
Certified Pharmacy Technician

as an accredited certification program
together with all rights and privileges thereto pertaining

through May 31st, 2013

_____
Chair

_____
Executive Director

Certified Pharmacy Technician Look-up and Verification Process

The national database of certified pharmacy technicians is hosted in a database through and application service provider. The database is uses the AlphaFive software is hosted by Alpha Software through their application service provider agreement. This database is accessed only through a login and password. Logins and passwords are created by MCI staff and provided for Boards of Pharmacy to verify certification. Screenshots of the application are provided here.

A failed login will give the user an error screen and prompt them for a valid login and password. When the login and password have been authenticated, the user is then taken to a lookup screen where they can search for individuals by a variety of filters.

In the following example, the query was for certified technicians in the state of Missouri. The following information is returned.

Search ExCPT Exam Database (you can enter in full or partial information)

Last name	
First name	
City	
State	mo
Zip	
SSN	
Other ID	
Date Exam Taken:	From: To:
Records per page	25
Clear Search Criteria	Search

Note: Once you search for the ExCPT data, you can click on any column title to sort the database by that field. Click on the Detailed field in the Report Grid to get an individual exam report.

ExCPT Records Found: 8

Detail View	Last Name	First name	MI	Address	+++	City	State	Zip	DOB	SSN	Exam Date	Grade	Certificate Exp.	Certficate No.
Click Here	Devita	James	T	980 BARNARD COLLEGE LAN		Saint louis	MO	63130	1/1/1970	*****9135	07/18/2006	PASS	07/28/2008	06-07-106
Click Here	Cayer	George		980 BARNARD COLLEGE LAN		Saint louis	MO	63130	1/1/1970	*****6789	07/25/2006	PASS	07/28/2008	06-07-103
Click Here	Laffey	Darla		2705 HWY U		Chillicothe	MO	64601	########	*****9127	11/20/2006	PASS	11/28/2008	06-11-112
Click Here	Morrow	Susan		1452 KEYSTONE CT		Saint charles	MO	63303	1/4/1961	*****2144	12/13/2006	PASS	12/28/2008	06-12-215
Click Here	Van bebber	Margaret		1449 N OUTER RD 202		Bates city	MO	64011	1/9/2007	*****6158	01/09/2007	PASS	01/28/2008	07-01-100
Click Here	Xu	Huizhen		1166 BONHOMME LAKE DR A		Saint louis	MO	63132	3/2/2007	*****5951	03/02/2007	PASS	03/28/2009	07-03-122
Click Here	Rabbitt	Rebecca		29 COUNTRY PARK CR		Saint charles	MO	63304	########	*****6767	06/29/2007	PASS	06/28/2009	07-06-146
Click Here	Vansliyke	Sandra		ROUTE 2 BOX 86		Adrian	MO	64720	########	*****4730	07/29/2007	PASS	07/28/2009	07-07-155

By selecting an individual record, the details of that certified technician are shown as depicted below.

Main Menu   Logout   ICPT Exam Lookup for Boards of Pharmacy

ExCPT Individual Exam View

First name	Rebecca
Last name	Rabbitt
MI	
Address Line 1	29 COUNTRY PARK CR
Address Line 2	
City	Saint charles
State	MO
Zip	63304
Date of Birth	########
SSN	*****6767
Date exam taken	06/29/2007
Grade	PASS
Certificate expiration date	06/28/2009
Certficate number	07-06-146
Close View	

Please note the following:

- All information is confidential.
- The address used may be a work location.
- Exam information is updated weekly and posted no later then Monday morning.

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